

# Phase II SBIR/STTR Suggested Timeline

## **Within 2 months** of winning a Phase I award:

A team meeting must be held between the company, Karen West (**KW**), Suzanne Hamlin (**SH**) and Market Researcher (**MR**), to outline Phase II process and strategize Phase II objectives and goals.

## **Within 1-3 months** of winning a Phase I award:

Company discusses funding application opportunities to defray the costs of writing a Phase II application and support business development activities related to the SBIR/STTR Project. Company completes Intake form at [https://www.mainetechnology.org/ Get Started](https://www.mainetechnology.org/GetStarted).

## **4 months** after winning Phase I

KW supplies Phase II template – kick-off call with SH/MR for commercialization plan (com plan) discussion and define market research requirements

Company begins drafting Phase II – emphasis on work plan, com plan and obtaining letters of support/funding for Phase II and Phase III

Company begin contacting customers, end users and supporters for letters of support. You may need to write the letters (we will help you and review them) and send them to them for editing, signing and sending them back to you on their company letterhead.

## **3 months** prior to due date

Company begins drafting commercialization plan

Company continues outlining Phase II work effort

## **2 months** prior to due date

Company submits initial rough draft to KW for review and comments, review process is iterative

Data entry on Forms started

Com plan work concurrently with SH & KW

Company starts working with SG to update company indirect rate, begin developing budget

Company updates all registration information (DUNs, SAM, Grants.gov, FastLane, eRA Commons, DOD portal as applicable)

## **1 month** prior to due date

Company submits draft for review by KW & SH (com plan only)

Company submits rough budget numbers to SG

## **2 weeks** prior to due date

Company continues to write/revise drafts as part of review loop on a continuous basis, sending for review to KW/SH as often as needed

Form package as complete as possible except for attachments

Company continues to work with SG

## **1 week** prior to due date

Company submits final draft for review by KW

## **2 – 5 days** prior to due date

Company submits Phase II proposal electronically

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The **MTI Technical Assistance Program (TAP)** involves highly qualified consultants hired by MTI to assist companies in the SBIR/STTR proposal writing process. Please next page for qualifications.

### **All Phase II Agencies:**

**Karen West** – 20 hours advice and strategic planning, proposal review and editing, advise on electronic submittal of proposals.

**Stan Gavitt** – up to 10 hours assistance on compiling a company indirect (overhead) rate, Phase I budget preparation assistance and 5 hours post award to establish sound financial management system and review financial requirements.

**Market Researcher** – up to 20 hours of market research to support commercialization planning.

**Suzanne Hamlin** – up to 20 hours of commercialization planning assistance, plan review and commenting.

Applications to the National Institutes of Health or as approved by KW for other Biotechnology applications receive specific agency guidance by Jo Anne Goodnight in addition to the other support listed above.

NOTE: The TAP team has found that the more drafts and iterations of the proposal sent by the company to the TAP team results in a higher quality application. Initial proposal drafts should be to KW no later than two weeks prior to the Agency due date.

NOTE: All proposals are handled on a first in, first out basis based on Agency due date.

# Consultant Bios

**Karen West Morgan**, is president of *C & P Management Services, LLC*, a small woman veteran-owned business specializing in assisting companies in writing competitive SBIR/STTR proposals and contract management. She is 2006 SBA Tibbetts Award winner for exemplifying excellence in the SBIR/STTR program and a recognized expert with extensive SBIR/STTR experience. With over 21 years' experience, Karen provides knowledge of federal regulations, proposal development and contract/subcontract management expertise to small businesses in Maine and across the U.S.

Karen leads MTI's Technical Assistance Program (TAP) where MTI provides pro bono assistance to Maine companies on the SBIR/STTR program. She has co-authored two publications: [A Guide to Successful SBIR/STTR Proposal Writing](#), and [A Guide to the National Institutes of Health \(NIH\) Grant Writing](#). Karen is an invited panel member for the NSF and the USDA's SBIR/STTR review process. Karen is an ex-Air Force contracting officer and certified technical training instructor. She has developed SBIR/STTR proposal writing courses and routinely gives SBIR/STTR workshop presentations. Karen holds a BS in business from Columbia College.

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**Stanton W. Gavitt, Jr., CPA**, received a B.S. in Accounting from Bentley College and had six years of Public Accounting experience with a large firm and twenty-two years in industry working for a large government contractor prior to going into business for himself in 2002. During his time in industry, he spent a significant portion of his time working with the accounting systems and reporting requirements dictated by the US government and was intimately involved with audits conducted by the EPA and Defense Contract Audit Agency (DCAA). As a consultant, Stan provides CPA support, tax services and accounting support to Maine companies with federal contracts. Under the TAP program, Stan guides companies in preparing an indirect cost rate, and provides budget and justification support.

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**Suzanne Hamlin**, principal of *Transformative Knowledge Group*, is a business strategy and customer development consultant with a special interest in business transition, transformation, and scaling. She has been a member of MTI's SBIR/STTR TAP team since 2004 and has served as an SBIR grant application reviewer for both NSF and USDA. She has extensive experience leading teams and companies through organizational change, planning for new product commercialization, and applying new and emerging technologies for revenue growth and streamlining of work processes. A presenter with Maine Center for Entrepreneur's Top Gun program since its inception, her sessions on Customer Discovery and Strategic Marketing are consistently top-rated.

Suzanne's extensive operating experience encompasses both large and small organizations in a variety of functional roles including marketing, product management, business process redesign, and operations management. Her industry experience includes retail, direct marketing, medical products, manufacturing, banking, and insurance, as well as a broad range of non-profits, and she has consulted heavily in all seven of Maine's target technology sectors. She has served on boards of a number of high tech and community service organizations and is an Organizational Partner of the Maine Accelerates Growth (MxG) initiative. Suzanne holds a BSE in Computer Science from Princeton University, with honors, and an MBA from Harvard Business School.

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# Consultant Bios

**For Biotech Projects – Jo Anne Goodnight** – Jo Anne has 25+ years of federal government service, most of which was spent at the National Institutes of Health (NIH) serving as the SBIRSTTR Program Coordinator. She brings extensive experience in virtually all aspects of the NIH SBIR/STTR programs and processes including identifying relevant topics, facilitating agency introductions, developing research plan strategies, massaging proposals and using key grantsmanship tips, understanding policies related to human subjects/vertebrate animal research, and facilitating introductions to potential commercialization partners. Jo Anne has an extensive "rolodex" of contacts within the NIH and other federal agencies (e.g., DOD, NSF, DOE, NASA). She holds a Bachelor of Science in Microbiology from Virginia Tech.

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## **Market Researchers**

**Jan Knight**, President of Bancroft Information Services, is a market and business research consultant based in Arizona. Jan describes her business as ‘providing insight to entrepreneurs from start-ups to grown-ups’ and has worked in almost all industry segments. In recent years she has expanded her services to include ‘research-driven writing’ projects including whitepapers, and market and industry snapshots. Since starting her business in 2001, Jan has written and spoken on topics related to market research to business groups, in SBIR related presentations and in academic courses. She has also been a frequent mentor and presenter at business incubators in Arizona, and in 2018 served as a mentor for a technology company in the NSF I Corps program.

Jan holds a BA from UC Berkeley and an MA in Information Resources & Library Science from the University of Arizona. She is an active member and on the Ambassador board of the Arizona Technology Council, a statewide trade association for technology companies, and recently served on the board of her international professional association, Association of Independent Professionals. Jan has been a member of MTI’s SBIR/STTR TAP team since 2014 and her research work has helped to shape dozens of commercialization plans in industry segments ranging from seaweed to insulation and software to medical devices.

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**Jocelyn Sheppard** is an independent consultant who assists startups and entrepreneurs with business planning and technology commercialization strategy. She has extensive experience with all aspects of SBIR/STTR proposal preparation. Prior to founding Red House Consulting (Washington, PA) in 2001, Jocelyn served as a program manager at the National Technology Transfer Center, where she designed and managed commercialization feasibility studies for new technologies belonging to commercial, federal and academic clients.

The NASA Jet Propulsion Laboratory credited her reports with helping to secure the interest of potential investors and licensees in JPL technologies. Jocelyn also provided contract strategic planning support to the U.S. Army Biometrics Fusion Center (Clarksburg, WV). She has published articles and presented workshops on market and industry research, technology transfer tools, and effective speaking and writing. Jocelyn earned an M.L.S. and a Ph.D. in English from the State University of New York at Buffalo, and a B.A. in Comparative Literature from the University of Virginia.

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