Utah Technology Innovation Funding (UTIF) Program

Note to prospective applicants: Please read this announcement carefully and follow all requirements. Applicants who do not adhere to the process outlined in this document will not have their applications reviewed or funded.

OVERVIEW: Utah Technology Innovation Funding (UTIF), administered by Nucleus Grow, aims to leverage Utah's small business success with the federal Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs. Two distinct offerings, Microgrants for Phase I applicants and Nonrecourse Loans for Phase II applicants, maximize the opportunity to bring novel technology and solutions to the marketplace.

Programs:

1) **Microgrants** are for qualified Utah small businesses that work with Nucleus Grow to prepare and submit a competitive SBIR/STTR proposal in response to one of the 11 federal participating agencies. This program intends to offset the cost of staff time to develop, write, and submit a competitive proposal that can take upwards of 200 hours. The microgrant is intended for Utah small businesses that are new to the SBIR/STTR program.

   Limit of one award per company; $3,000 ($2,000 additional funding for rural businesses to address barriers in the technology industry, for a total of $5,000). Microgrants are issued after SBIR/STTR proposal submission.

2) **Nonrecourse Loans** are for SBIR/STTR Phase I awardees who submit a Phase II proposal. Winning federal SBIR/STTR funding means a company, team, and technology have met rigorous standards and requirements. Qualified Utah small businesses that are awarded SBIR/STTR Phase I funding with a period of performance greater than three months and a minimum award opportunity of $125,000 may apply to the Utah Technology Innovation Funding (UTIF) program.

   Limit of two nonrecourse loans per company; Loan amount not to exceed $50,000 ($10,000 additional funding for rural businesses for a total of $60,000) as a nonrecourse loan to provide gap funding before a Phase II award is received. The nonrecourse loan is received after proposal submission, and a contract is finalized.

ELIGIBILITY

- The company must meet SBA's eligibility requirements for the SBIR/STTR programs and provide proof of registration with sbir.gov.
- The company must be Utah-based; i.e. maintain its principal place of business in Utah. To be considered Utah-based, a company must:
  - Be registered with the Utah Division of Corporations as an active for-profit business entity in good standing.
  - Maintain current registration in the System for Award Management (SAM.gov) as a Utah for-profit business.

- **Microgrant Program:**
  - Applicants must not have been awarded an SBIR/STTR grant or contract within the last five years.
  - Phase I opportunity must have a period of performance greater than three months and a minimum award opportunity of $125,000.
  - Applicants must not have worked with the Nucleus Grow team (previously Utah Innovation Center) more than once on a previous submission.
  - Applicants must work with the Nucleus Grow team on the Phase I proposal before submission.
  - Limit of one Microgrant per company.

- **Nonrecourse Loan Program:**
  - Applicants must have won a Phase I SBIR/STTR grant or contract with a period of performance greater than three months and a minimum award opportunity of $125,000 and submit a corresponding Phase II proposal.
  - Applicants must work with Nucleus Grow on the Phase II proposal before submission.
  - Limit of two Nonrecourse Loans per company.

ADDITIONAL ELIGIBILITY REQUIREMENTS

Additional Funding for Rural Businesses

- To confirm rural status, current registration in SAM.gov as a Utah business with an address in a county of the third, fourth, fifth or sixth class (which excludes Davis, Salt Lake, Utah, and Weber Counties) is required.
- Misrepresentation of any kind may result in immediate disqualification.
- Funding decisions are final.

ADMINISTRATIVE PROCESS

Application Submission and Preapproval:

- Apply through the Governor's Office of Economic Development Submission Portal.
- Applications should be completed and submitted four weeks before the related SBIR/STTR submission deadline. Prior SBIR/STTR submissions are not eligible.
- Upon submission of a complete application, applicants will be notified of the eligibility decision within ten business days after receipt of a complete UTIF application. If accepted, the UTIF application will be under conditional approval.
- UTIF application and SBIR/STTR project must demonstrate that the innovative technology is aligned with the priorities of the federal agency for which the proposal will be submitted and has the ability to win SBIR/STTR funding.
- Required Registrations and Documents (to submit with application):
  - Active SAM registration (ID assigned is not proof of an active registration).
  - Active SBIR registration.
  - Active business registration under the Utah Division of Corporations.
  - W-9 form with handwritten date/signature (No digital date/signature & no SSN).
  - NSF Project Pitch Acceptance Letter (Only for proposals targeting the NSF).

SBIR/STTR Proposal Submission:

- **Before Agency's Submission Deadline:**
  - Work with Nucleus Grow on the SBIR/STTR proposal prior to submission, including submitting drafts of key components for review and editing services, attending workshops, or receiving guidance and consultations.
  - Share a copy of the SBIR/STTR proposal with a Nucleus Reviewer ***at least two weeks before the submission deadline*** (preliminary review).
  - Submit a competitive SBIR/STTR proposal to the agency ***at least one day prior to the submission deadline*** and successfully pass the agency's administrative review.

- **After Agency's Submission Deadline:**
  - Provide Nucleus Grow with the **email receipt** stating that the submission has been accepted by the agency's application system.
  - Provide a **copy of the submitted proposal** to allow Nucleus Grow staff to verify completeness.

- If the applicant fails to satisfy the program requirements before the targeted submission deadline, or has not provided proof of submission documentation within 60 days following the submission deadline, the UTIF application may be dismissed.

Payment:

- Additional documentation may be required to support the funding request.
- Funds will be awarded to eligible companies on a first-come, first-served basis until funds are exhausted.
- UTIF payments are processed through the University of Utah's PaymentWorks vendor platform within 30 days of receiving all required documentation.
- Recipients are required to respond to reporting requests, including annual reports for nonrecourse loans and regular updates for microgrants.
- Nonrecourse loan repayment terms will be stipulated in the contract such that:
  - When the technology is deemed commercially successful, the company shall repay the original loan amount in full to the state of Utah without interest if paid within the agreed-upon time limit.
  - If not paid in full, repayment of the loan will be made over a maximum period of five years with interest.
  - An exception will be in place for companies when it is determined that the technology does not have a viable path to commercialization.
- The Nucleus Institute shall have full control over the use of repaid loan monies. These repaid funds will be deployed to support the continued efforts of the UTIF program

Questions regarding this program may be submitted to grow@nucleusutah.org.

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