

SBIR/STTR Steps:

Proposal

- Company and UMass agree to apply for an STTR program
- UMass PI writes a succinct scope of work for UMass participation
- Develops UMass budget
- Completes other required documents as stated in the RFP such as cv, references, facilities, etc.
- Complete an Internal Processing form
- Routes complete proposal, IPF and either URL or paper copy of the RFP/BAA through appropriate channels to OGCA
- OGCA reviews
- OGCA prepares a special transmittal letter if necessary to address any concerns with the language of the RFP/BAA to insure we remain in the fundamental research definition
- OGCA prepares and submits proposal to the Small Business
- Small business incorporates UMass materials into prime proposal
- Small business submits proposal to sponsoring agency

Sponsor Review:

Proposal is reviewed by sponsoring agency. For an STTR, if the sponsor selects a project to fund, the small business and UMass must sign an allocation of rights agreement. UMass has developed a boilerplate agreement that should be used for this purpose. OGCA is the contact for negotiating and signing an allocation of rights agreement.

Award:

The small business is responsible for awarding to UMass. However they often do not have sample contracts that they have used in the past. Therefore UMass has developed a boilerplate agreement that we suggest the company use. The boilerplate agreement will be sent to the small business along with the Allocation of Rights agreement so that the small business is prepared to award when they are under contract with the prime agency.

Pitfalls:

Because often times we are dealing with Department of Defense as the prime agency we run into issues in the prime terms surrounding publication restrictions, export control, etc. Normally we don't see these issues in phase 1 activities but more so in phase 2 and 3.

Conflict of interest

Companies are not experienced in contract management, therefore the PI needs to keep OGCA informed if issues arise.