

SBIR Procedures

The SBIR Program is intended for the entrepreneurial sector where most innovation and innovators thrive. The risk and expense of conducting serious R&D efforts are often beyond the means of many small businesses. SBIR funds the critical startup and development states and it encourages the commercialization of the technology, product, or service, which helps stimulate the economy.

Qualifications:

Phase I activities fund up to \$100,000 for a 6 month period. An academic partner is not required; however, are eligible to participate as a partner if invited by the small business. The maximum amount available to the Academic partner is 33% for Phase I activities. Phase II activities fund up to \$750,000 for 2 years. The academic partner is eligible for 50% of the proposed funded amount. The Small Business must meet the following criteria:

- The small business must be American-owned and independently operated
- For Profit
- Principal researcher must be employed by the business
- Company size limited to 500 employees

Proposals:

Proposals from the University for participation in an SBIR project are submitted by OGCA and handled in the same manner as any subcontract proposal. The UMass PI should not be listed as the PI of the overall project. The components of the proposal include the following:

1. Internal Processing Form (IPF)
2. UMass succinct scope of work
3. UMass budget – Note, because the amount available to the University as a partner in an SBIR's is very limited, the University is willing to reduce the overhead rate to 26% for the Phase I activities, with the understanding that if a Phase II proposal is submitted, the full federal rate will be applied.
4. UMass faculty and staff and student salary for participation on the SBIR project must be paid through the UMass subcontract and not paid directly by the company.
5. Biosketch
6. all other components as required in the sponsor RFP
7. OGCA will provide the Small Business with an agreement at proposal stage that the company may choose to use in the funding of a subcontract for the

University's participation. All negotiations are conducted by OGCA staff with the small business.

*Note: If the principal investigator or a direct family member has a financial interest in the company, including consulting contracts, a conflict of interest disclosure must be filed with the Department Head as well as the Vice Chancellor for Research and also identified on the Internal Processing Form. It should be noted, that if the PI is the principal of the Small Business, there is a requirement that the PI of the small business be full time at the company for a minimum of 51% time. Therefore, in addition to the Conflict of Interest resolution, the PI must also have an approved leave of absence from the University for this time period and a replacement PI for the proposed subcontract.