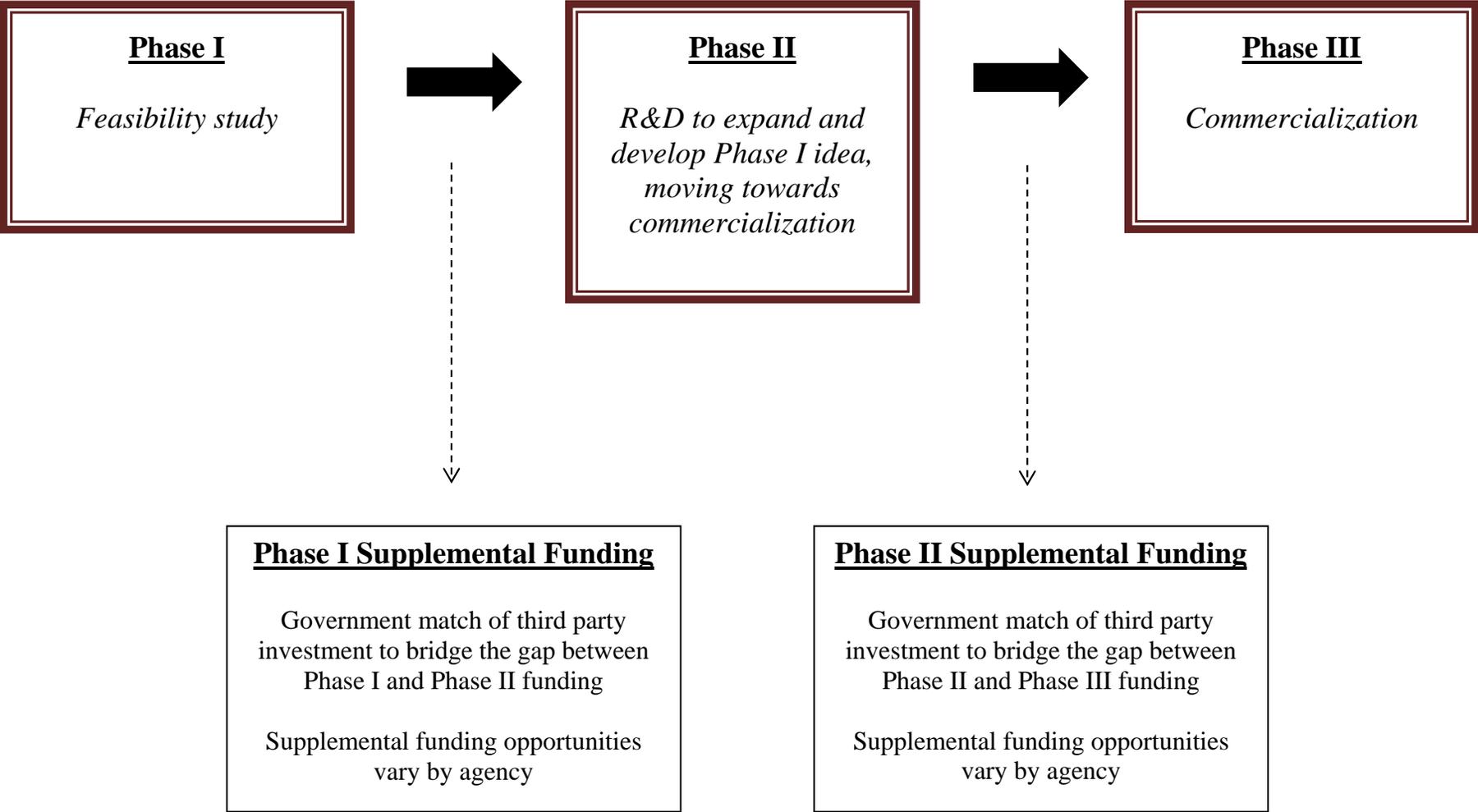


SBIR/STTR Funding Awarded in Phases



Rules Applicable to All Phases of SBIR and STTR Awards

Award Vehicle:

- NSF: Grant
- NASA: Contract
- DoE: Grant
- NIST (DoC): Cooperative Agreement
- DoD/OSD: Contract

Award Documents:

- NSF: Award letter, which includes the approved budget, proposal, solicitation, and special grant conditions
- NASA: Contract, which includes solicitation, proposal, FAR clauses and other terms incorporated by reference
- DoE: Assistance Agreement, which includes special terms and conditions, the proposal, policy assurances, budget summary, and Federal Assistance Reporting Checklist
- NIST (DoC): Cooperative agreement, which includes the budget and DoC standard and special terms and conditions
- DoD/OSD: Contract, which includes solicitation, proposal, FAR clauses and other terms incorporated by reference

Location of Work

- **All agencies:** work must be conducted in the United States

Small Business

- **All agencies:** to be eligible, the applicant must be a U.S. small business as defined by SBA (principal place of business in U.S., at least 51% U.S. owned, <=500 employees)

Duplicative Funding

- **All agencies:** SBC cannot receive funding for duplicative work and disclosure of related overlapping work is required

Method of Submitting Proposals

- NSF: Electronic (via NSF eJacket system, [https:// www.ejacket.nsf.gov](https://www.ejacket.nsf.gov))
- NASA: Electronic (via NASA Electronic Handbook, <https://sbir.nasa.gov>)
- DoE: Electronic (via Grants.gov)
- NIST (DoC): Electronic (via Grants.gov) or mail
- DoD/OSD: Electronic (via DoD Electronic Submission Web site, <http://www.dodsbir.net/submission>)

Phase III

- Purpose: Commercialization
- Source of Funds: Private or Non-SBIR Federal Funding

Comparison of SBIR Award Characteristics By Agency¹

| SBIR Phase I | Phase I Supplements² | SBIR Phase II | Phase II Supplements |
|---|---|---|--|
| <p><u>Max. Amount:</u></p> <ul style="list-style-type: none"> - NSF: \$150,000 - NASA: \$125,000 - DoE: \$225,000 - NIST (DoC): \$90,000 - DoD: \$150,000 | <p><u>NSF: Phase IB:</u></p> <p><i>Max. Amount:</i> \$50,000</p> <p><i>Eligibility Based on Third Party Investment:</i> To qualify, SBC must have obtained third party investment \geq\$30,000. Government will match half of third party investment up to \$50,000.</p> <p><i>Duration:</i> Extends Phase I award by 6 months (not a separate award)</p> | <p><u>Max. Amount:</u></p> <ul style="list-style-type: none"> - NSF: \$750,000 - NASA: \$750,000 - DoE: \$1,000,000 - NIST (DoC): \$300,000 - DoD: \$1,000,000 | <p><u>NASA: Phase II-E</u></p> <p><i>Max. Amount:</i> \$150,000</p> <p><i>Eligibility Based on Third Party Investment:</i> To qualify, SBC must have obtained third party investment \geq\$25,000. Government will match, on dollar-to-dollar basis, up to \$150,000.</p> <p><i>Duration:</i> Extends Phase II award by 6 to 12 months</p> |
| <p><u>Max. Fee:</u></p> <ul style="list-style-type: none"> - NSF: 7% of total direct and indirect costs - NASA: - DoE: 7% (rarely, can be negotiated higher) - NIST (DoC): “reasonable” fee - DoD: “reasonable” fee | | <p><u>Max. Fee:</u></p> <ul style="list-style-type: none"> - NSF: 7% of total direct and indirect costs - NASA: - DoE: 7% (rarely, can be negotiated higher) - NIST (DoC): “reasonable” fee - DoD: “reasonable” fee | |
| <p><u>Duration:</u></p> <ul style="list-style-type: none"> - NSF: 6 months - NASA: 6 months - DoE: 6-9 months - NIST (DoC): 7 months - DoD: 6-12 months | | <p><u>Duration:</u></p> <p>All agencies: 24 months³</p> | |
| <p><u>PI Employment:</u></p> <p>All agencies: Must be primarily employed by SBC (\geq51%)</p> | | <p><u>PI Employment:</u></p> <p>All agencies: Must be primarily employed by SBC (\geq51%)</p> | |
| <p><u>Subcontract limitations</u></p> <p>All agencies: SBC must conduct at least 2/3 of the research</p> | | <p><u>Subcontract limitations</u></p> <p>All agencies: SBC must conduct at least 1/2 of the research</p> | |
| | | <p><u>Eligibility Based on Phase I Award</u></p> <p>All agencies: SBC must have received a Phase I award to receive a Phase II</p> | |

¹ Rules listed are those set forth in FY2014 program solicitations for each agency. There may be some variations to these rules, such as lower maximum dollar amounts, under prior year solicitations, but the program requirements listed here should generally be the same as those listed in solicitations from prior years that apply to the awards in this case.

² Only supplemental funding opportunities relevant to this case are presented.

³ Once the R&D activity period is completed, NIST awardees must also submit a report regarding its commercialization activities one year later. If this reporting period is included, the total period of performance for NIST Phase II awards is 37 months.

Comparison of STTR Award Characteristics By Agency^{4 5}

| STTR Phase I | Phase I Supplements | STTR Phase II | Phase II Supplements |
|---|---|---|--|
| <p><u>Max. Amount:</u></p> <ul style="list-style-type: none"> - NSF: \$225,000 - NASA: \$125,000 - DoE: \$225,000 - DoD: \$150,000 | <p>NSF Phase IB: Same as above re SBIRs</p> | <p><u>Max. Amount:</u></p> <ul style="list-style-type: none"> - NSF: \$750,000 - NASA: \$750,000 - DoE: \$1,000,000 - DoD: \$1,000,000 | <p>NASA Phase II-E: Same as above re SBIRs</p> |
| <p><u>PI Employment:</u></p> <ul style="list-style-type: none"> - NSF: Must be primarily with SBC - NASA: With SBC or research partner - DoE: With SBC or research partner - DoD: With SBC or research partner | | <p><u>PI Employment:</u></p> <ul style="list-style-type: none"> - NSF: Must be primarily with SBC - NASA: With SBC or research partner - DoE: With SBC or research partner - DoD: With SBC or research partner | |
| <p><u>Duration:</u></p> <ul style="list-style-type: none"> - NSF: 12 months - NASA: 6 months - DoE: 6-9 months - DoD: 6-12 months | | <p><u>Duration:</u> All agencies: 24 months</p> | |
| <p><u>Subcontract Requirement</u> All agencies: SBC must pair with research institution to be eligible</p> | | <p><u>Subcontract Requirement</u> All agencies: SBC must pair with research institution to be eligible</p> | |
| <p><u>Subcontract limitations</u> All agencies: SBC must conduct at least 40% of the work and research partner must conduct at least 30% of the work</p> | | <p><u>Subcontract limitations</u> All agencies: SBC must conduct at least 40% of the work and research partner must conduct at least 30% of the work</p> | |

⁴ Note: Of the agencies involved in this case, only NSF, NASA, DoE and DoD participate in the STTR program.

⁵ Rules listed are those set forth in FY2014 program solicitations for each agency. There may be some variations to these rules under prior year solicitations, but the program requirements listed here should generally be the same as those listed in solicitations from prior years that apply to the awards in this case.