MEMORANDUM

Date: May 7, 2010
To: NSF Small Business Innovation Research/Small Business Technology Transfer (SBIR/STTR) Grantees
From: Kesh Narayanan, Division Director
Division of Industrial Innovation and Partnerships (IIP)
Caesar Jackson, Acting Division Director
Re: Division of Human Resource Development (HRD)
Supplemental Opportunity for SBIR/STTR - for Diversity CREST/HBCU-RISE Collaborations - Phase IIA

The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs, in collaboration with the Centers for Research Excellence in Science and Technology (CREST) and Historically Black Colleges and Universities Research Infrastructure for Science and Engineering (HBCU-RISE), seek to fund supplements to current SBIR/STTR Phase II awards that:

- foster partnerships between the academic and small business communities;
- increase participation of underrepresented groups in both academic and small business research;
- promote commercialization efforts of the product identified in the Phase II project; and
- encourage members of underrepresented groups to pursue careers in science and engineering.

The Directorate for Engineering’s Division of Industrial Innovation and Partnerships (IIP) SBIR/STTR programs, in collaboration with the Directorate for Education and Human Resources’ Division of Human Resource Development (HRD), invites all active SBIR/STTR Phase II, CREST, and HBCU-RISE grantees to participate.

OVERVIEW OF WORK TO BE ACCOMPLISHED: The Small Business Minority Academic Research Partnership Supplement (henceforth to be referred to as SBIR/STTR Phase IIA) will award a research supplement to a current SBIR/STTR Phase II grantee able to partner with a CREST/HBCU-RISE institution. The goals of the supplemental research are to:

- further the understanding of the SBIR/STTR Phase II research;
- facilitate the development of a stronger technology base within the SBIR/STTR organization;
- investigate the scientific or engineering underpinnings of the SBIR Phase II technology;
- utilize the supported research capabilities of the CREST/HBCU-RISE institutions; and
- enhance the educational objectives associated with NSF HRD support.
CREST/HBCU-RISE institutions interested in identifying and seeking possible partnerships with SBIR/STTR Phase II grantees should consult the NSF interactive award search system (reference: http://www.nsf.gov/awardsearch; under Search Award For, enter SBIR Phase II or STTR Phase II and check Active Awards Only). Also, a listing of eligible CREST/HBCU-RISE institutions may be found at: CREST/HBCU-RISE Awards

It is expected that key personnel from the small business and CREST/HBCU-RISE institution will lead the proposed efforts and, along with doctoral and postdoctoral students, will be engaged in supported activities.

A SBIR/STTR PI or CREST/HBCU-RISE co-PI contemplating the development of a request for supplemental funding in response to this Dear Colleague Letter should discuss with their cognizant program officer the planned work well before submitting a supplemental funding request.

ELIGIBILITY INFORMATION

**Organization Limit:** Only companies with active NSF SBIR/STTR Phase II or Phase IIB grantees, partnering with currently funded CREST and/or HBCU-RISE grantees, are eligible to submit requests for supplemental funding under this initiative.

**PI Eligibility Limit:** The Principal Investigator must be the PI of an active SBIR/STTR Phase II award.

**Limit on Number of Supplemental Funding Requests:** One per active Phase II grant. A Phase IIA award does not limit your eligibility for a Phase IIB award or other Supplemental Opportunities. Also, a Phase IIB or other Supplemental award does not limit your eligibility for a Phase IIA award.

AWARD INFORMATION

- Awards will be made as supplements to active SBIR/STTR Phase II awards;
- Maximum supplemental award amount is twenty percent of the Phase II award for a total duration of no more than one year;
- Seventy percent of supplement available as sub-award to partner CREST/HBCU-RISE institution;
- Thirty percent of supplement (including overhead) available to SBIR/STTR institution;
- Eight (8) supplemental awards anticipated each fiscal year; and
- Awards subject to the availability of funds.

SUPPLEMENTAL REQUEST PREPARATION AND SUBMISSION INSTRUCTIONS

**Supplemental Funding Request Preparation Instructions:** Requests must be submitted according to the instructions for submitting supplemental funding requests found on the SBIR/STTR home page http://www.nsf.gov/eng/sbir under Supplemental Funding Opportunities.

The Project Description is limited to 5-10 pages; single spaced, and must include the following components:

- Clear description of the project activity including a section describing the connection of the research to the CREST/HBCU-RISE supported research;
- Justification of the funds requested, and a supporting budget; and
- Identification of key personnel who will lead the effort. Their roles must be clearly articulated.

The small business typically retains the intellectual property rights of SBIR/STTR projects supported by the Federal Government. It is strongly suggested that an agreement between the small business and the CREST/HBCU-RISE institution be in place at the time of the submission of the supplemental funding request to ensure that all parties understand the ownership of the technology supported by the grant. An example of a cooperative agreement can be found at: http://www.nsf.gov/eng/iip/sbir/cooperative_agreement.jsp
**Budgetary Information:** Budgets for SBIR/STTR Phase IIA supplemental funding request may not exceed 20% of the Phase II award for a total duration of no more than one year.

**Deadline Dates:** There are two deadlines for Phase IIA supplemental requests, March 17th and October 17th, annually.

**Review Information:** Requests for supplemental funding submitted in response to this Dear Colleague Letter will be reviewed by a National Science Foundation program officer. The supplemental funding request will be reviewed for:

- the technical objectives and how they fit with the technical objectives of the Phase II award;
- how this supplemental effort will help the commercialization of the product identified in the Phase II award; and
- how the proposed research takes advantage of the research capabilities of the CREST/HBCU-RISE institution

**CONTACT PERSONNEL**

Questions about this letter should be directed to your program officer in the Division of Industrial Innovations and Partnerships, Directorate for Engineering, or Demetrios Kazakos (703-292-4988, dkazakos@nsf.gov), Division of Human Resource Development, Directorate for Education and Human Resources or Richard Smith (703-292-8071, rsmith@nsf.gov), Division of Human Resource Development, Directorate for Education and Human Resources.

Here is the list of IIP SBIR/STTR Program Officers

<table>
<thead>
<tr>
<th>Program Director</th>
<th>Telephone</th>
<th>Email Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cheryl F. Albus</td>
<td>(703) 292-7051</td>
<td><a href="mailto:calbus@nsf.gov">calbus@nsf.gov</a></td>
</tr>
<tr>
<td>Errol B. Arkilic</td>
<td>(703) 292-8095</td>
<td><a href="mailto:earkilic@nsf.gov">earkilic@nsf.gov</a></td>
</tr>
<tr>
<td>Gregory T. Baxter</td>
<td>(703) 292-7795</td>
<td><a href="mailto:gbaxter@nsf.gov">gbaxter@nsf.gov</a></td>
</tr>
<tr>
<td>Ian M. Bennett</td>
<td>(703) 292-8655</td>
<td><a href="mailto:ibennett@nsf.gov">ibennett@nsf.gov</a></td>
</tr>
<tr>
<td>Juan E. Figueroa</td>
<td>(703) 292-7054</td>
<td><a href="mailto:jfiguero@nsf.gov">jfiguero@nsf.gov</a></td>
</tr>
<tr>
<td>Muralidharan S. Nair</td>
<td>(703) 292-7059</td>
<td><a href="mailto:mnair@nsf.gov">mnair@nsf.gov</a></td>
</tr>
<tr>
<td>Benaiah Schrag</td>
<td>(703) 292-8323</td>
<td><a href="mailto:bschrag@nsf.gov">bschrag@nsf.gov</a></td>
</tr>
<tr>
<td>Ruth M. Shuman</td>
<td>(703) 292-2160</td>
<td><a href="mailto:rshuman@nsf.gov">rshuman@nsf.gov</a></td>
</tr>
<tr>
<td>Grace Jinliu Wang</td>
<td>(703) 292-2214</td>
<td><a href="mailto:jiwang@nsf.gov">jiwang@nsf.gov</a></td>
</tr>
<tr>
<td>M. Josephine Yuen</td>
<td>(703) 292-5332</td>
<td><a href="mailto:jyuen@nsf.gov">jyuen@nsf.gov</a></td>
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**OTHER SUPPLEMENTAL OPPORTUNITIES OF INTEREST**

All active SBIR/STTR Phase II grantees are invited to participate in other supplement opportunities available at [http://www.nsf.gov/eng/iip/sbir/Supplement/phase_II.jsp](http://www.nsf.gov/eng/iip/sbir/Supplement/phase_II.jsp)

Kesh Narayanan  
Director  
Division of Industrial Innovation and Partnerships  
IIP/ENG

Caesar Jackson  
Acting Division Director  
Division of Human Resource Development (HRD)  
HRD/EHR