

Florida Atlantic University
Division of Research

| Key Differences and PI Requirements for Phase I and Phase II SBIR and STTR Programs | |
|---|------|
| SBIR | STTR |

For both Phase I and Phase II proposals, the Principal Investigator (PI) must have primary employment with the SBC at the time of award and during the conduct of the proposed project. Primary employment means that more than one-half of the PI's time is spent in the employ of the SBC. This precludes full-time employment with another organization, so a full-time FAU faculty member cannot be the PI for an SBIR proposal.

The primary employment of the Principal Investigator must be with the SBC or the research institution at the

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How Do I Get Started?

Office of Sponsored Programs

A faculty considering a proposal with a small business concern (SBC) and applying to SBIR/STTR program should contact the Office of Sponsored Programs (OSP) early in the process to discuss requirements, eligibility and negotiations with the SBC

OSP staff can offer guidance on the proposal and will negotiate the subcontract/subaward agreements with the SBC. The agreement includes the scope of work, deliverables, reporting requirements, intellectual property terms, and other obligations.

Proposals to conduct research at FAU under a SBIR subcontract must follow the same procedure and approval process as any other proposal for external funding. Please contact your Proposal and Contract Administrator (PCA) for assistance.

OSP general email: sponsoredprograms@fau.edu

Office of Technology Development (OTD)

Faculty should contact the Office of Technology Development (OTD) to submit invention disclosure form as soon as they feel they have discovered something unique with possible commercial value. This should be done well before presenting the discovery through publications, posters, conferences, or other communications. Once publicly disclosed (i.e., published or presented in some form to other persons), an invention may have restricted or minimal potential for intellectual property protection.

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SBIR and STTR Program Guidance

Each agency administers its own individual program within guidelines established by Congress. These agencies designate R&D topics in their solicitations and accept proposals from small businesses. Awards are issued on a competitive basis after proposal evaluation.

ThreePhase Program

The SBIR Program is structured in three phases:

Phase I. The objective of Phase I is to establish the technical merit, feasibility, and ~~commercial~~ potential of the proposed R/R&D efforts and to determine the quality of performance of the small business awardee organization prior to providing further Federal support in Phase II. SBIR Phase I awards normally do not exceed \$150,000 total costs ~~for~~ 6 months.

Phase II

