

SMALL BUSINESS TECHNOLOGY TRANSFER (STTR) PROGRAM  
POLICY DIRECTIVE APPENDICES

Contents

Appendix I: Instructions for STTR Program Solicitation Preparation.....	2
Appendix II: Codes for Tech-Net Database .....	17
Appendix III: Solicitations Database .....	18
Appendix IV: Company Registry Database.....	19
Appendix V: Application Information Database .....	20
Appendix VI: Award Information Database.....	22
Appendix VII: Commercialization Database.....	23
Appendix VIII: Annual Report Database .....	24
Appendix IX – Performance Areas, Metrics and Goals.....	26
Appendix X – National Academy of Sciences Study .....	27

## Appendix I: Instructions for STTR Program Solicitation Preparation

a. General. Section 9(p) of the Small Business Act (15 U.S.C. 638(p)) requires “. . . simplified, standardized and timely STTR solicitations” and for STTR agencies to utilize a “uniform process” minimizing the regulatory burden of participation. Therefore, the following instructions purposely depart from normal Government solicitation formats and requirements. STTR solicitations must be prepared and issued as program solicitations in accordance with the following instructions.

b. Limitation in Size of Solicitation. In the interest of meeting the requirement for simplified and standardized solicitations, while also recognizing that the Internet has become the main vehicle for distribution, each agency should structure its entire STTR solicitation to produce the least number of pages (electronic and printed), consistent with the procurement/assistance standing operating procedures and statutory requirements of the participating Federal agencies.

c. Format. STTR Program solicitations must be prepared in a simple, standardized, easy-to-read, and easy-to-understand format. It must include a cover sheet, a table of contents, and the following sections in the order listed.

1. Program Description
2. Certifications
3. Proposal Preparation Instructions and Requirements
4. Method of Selection and Evaluation Criteria
5. Considerations
6. Submission of Proposals
7. Scientific and Technical Information Sources
8. Submission Forms and Certifications
9. Research Topics
- d. Cover Sheet.

The cover sheet of an STTR Program solicitation must clearly identify the solicitation as an STTR solicitation, identify the agency releasing the solicitation, specify date(s) on which contract proposals or grant applications (proposals) are due under the solicitation, and state the solicitation number or year.

### Instructions for Preparation of STTR Program Solicitation

§§1 through 9

#### 1. Program Description.

- (a) Summarize in narrative form the request for proposals and the objectives of the STTR Program.
- (b) Describe in narrative form the agency's STTR Program, including a description of the three phases. Note in your description whether the solicitation is for Phase I or Phase II proposals. Also note in each solicitation for Phase I that all awardees may apply for a Phase II award and provide guidance on the procedure for doing so.
- (c) Describe program eligibility:
- (d) List the name, address and telephone number of agency contacts for general information on the STTR Program solicitation.
- (e) Whenever terms are used that are unique to the STTR Program, a specific STTR

solicitation or a portion of a solicitation, define them or refer them to a source for the definition. At a minimum, the definitions of “funding agreement,” “R/R&D,” “SBC,” “STTR technical data,” and STTR technical data rights” must be included.

(f) Include information explaining how an individual can report fraud, waste and abuse (e.g. include the fraud hotline for the agency’s Office of Inspector General);

## 2. Certifications.

(a) This section must include certifying forms required by legislation, regulation or standing operating procedures, to be submitted by the applicant to the contracting or granting agency. This would include certifying forms such as those for the protection of human and animal subjects.

(b) This section must include any certifications required concerning size, ownership and other STTR Program requirements.

(i) The agency may request the STTR applicant to submit a certification at the time of submission of the application or offer. The certification may require the applicant to state that it intends to meet the size, ownership and other requirements of the STTR Program at the time of award of the funding agreement, if selected for award.

(ii) The agency must request the STTR applicant to submit a certification at the time of award and at any other time set forth in SBA’s regulations at 13 C.F.R. §§121.701-121.705. The certification will require the applicant to state that it meets the size, ownership and other

requirements of the STTR Program at the time of award of the funding agreement.

(iii) The agency must request the STTR awardee to submit certifications during funding agreement life cycle. A Phase I funding agreement must state that the awardee shall submit a new certification as to whether it qualifies as a SBC and that it is in compliance with specific STTR Program requirements at the time of final payment or disbursement. A Phase II funding agreement must state that the awardee shall submit a new certification as to whether it qualifies as a SBC and that it is in compliance with specific STTR Program requirements prior to receiving more than 50% of the total award amount and prior to final payment or disbursement.

(iv) agencies may require additional certifications at other points in time during the life cycle of the funding agreement, such as at the time of each payment or disbursement.

(c) The agency must use the following certification at the time of award and upon notification by SBA, must check [www.SBIR.gov](http://www.SBIR.gov) for updated certifications prepared by SBA:

### *STTR Funding Agreement Certification*

All small businesses that are selected for award of an STTR funding agreement must complete this certification at the time of award and any other time set forth in the funding agreement that is prior to performance of work under this award. This includes checking all of the boxes and having an authorized officer of the awardee sign and date the certification each time it is requested.

Please read carefully the following certification statements. The Federal government relies on the information to determine whether the business is eligible for a Small Business Technology Transfer (STTR) Program award. A similar certification will be used to ensure continued compliance with specific program requirements during the life of the funding agreement. The definitions for the terms used in this certification are set forth in the Small Business Act, SBA regulations (13

C.F.R. Part 121), the STTR Policy Directive and also any statutory and regulatory provisions referenced in those authorities.

If the funding agreement officer believes that the business may not meet certain eligibility requirements at the time of award, they are required to file a size protest with the U.S. Small Business Administration (SBA), who will determine eligibility. At that time, SBA will request further clarification and supporting documentation in order to assist in the verification of any of the information provided as part of a protest. If the funding agreement officer believes, after award, that the business is not meeting certain funding agreement requirements, the agency may request further clarification and supporting documentation in order to assist in the verification of any of the information provided.

Even if correct information has been included in other materials submitted to the Federal government, any action taken with respect to this certification does not affect the Government's right to pursue criminal, civil or administrative remedies for incorrect or incomplete information given in the certification. Each person signing this certification may be prosecuted if they have provided false information.

The undersigned has reviewed, verified and certifies that (all boxes must be checked):

(1) The business concern meets the ownership and control requirements set forth in 13 C.F.R. §121.702.

Yes No

(2) If a corporation, all corporate documents (articles of incorporation and any amendments, articles of conversion, by-laws and amendments, shareholder meeting minutes showing director elections, shareholder meeting minutes showing officer elections, organizational meeting minutes, all issued stock certificates, stock ledger, buy-sell agreements, stock transfer agreements, voting agreements, and documents relating to stock options, including the right to convert non-voting stock or debentures into voting stock) evidence that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702.

Yes No N/A Explain why N/A:

(3) If a partnership, the partnership agreement evidences that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702.

Yes No N/A Explain why N/A:\_\_\_\_\_

(4) If a limited liability company, the articles of organization and any amendments, and operating agreement and amendments, evidence that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702.

Yes No N/A Explain why N/A:\_\_\_\_\_

(5) The birth certificates, naturalization papers, or passports show that any individuals it relies upon to meet the eligibility requirements are U.S. citizens or permanent resident aliens in the United States.

Yes No N/A Explain why N/A:\_\_\_\_\_

(6) It has no more than 500 employees, including the employees of its affiliates.

Yes No

(7) SBA has not issued a size determination currently in effect finding that this

business concern exceeds the 500 employee size standard.

Yes No

(8) During the performance of the award, the principal investigator will spend more than one half of his/her time as an employee of the awardee or has requested and received a written deviation from this requirement from the funding agreement officer.

Yes No Deviation approved in writing by funding agreement officer: \_%

(9) All, essentially equivalent work, or a portion of the work proposed under this project (check the applicable line):

**Has not** been submitted for funding by another Federal agency.

**Has** been submitted for funding by another Federal agency **but has not** been funded under any other Federal grant, contract, subcontract or other transaction.

A portion has been funded by another grant, contract, or subcontract as described in detail in the proposal and approved in writing by the funding agreement officer.

(10) During the performance of award, it will perform the applicable percentage of work unless a deviation from this requirement is approved in writing by the funding agreement officer (check the applicable line and fill in if needed):

STTR Phase I: at least forty percent (40%) of the research.

STTR Phase II: at least forty percent (40%) of the research.

Deviation approved in writing by the funding agreement officer: %

(11) During performance of award, the research/research and development will be performed in the United States unless a deviation is approved in writing by the funding agreement officer.

Yes No Waiver has been granted

(12) During performance of award, the research/research and development will be performed at my facilities with my employees, except as otherwise indicated in the STTR application and approved in the funding agreement.

Yes No

(14) The small business concern has provided satisfactory evidence that it will exercise management direction and control of the performance of the STTR funding agreement.

Yes  No

It will notify the Federal agency immediately if all or a portion of the work authorized and funded under this award is subsequently funded by another Federal agency.

I understand that the information submitted may be given to Federal, State and local agencies for determining violations of law and other purposes.

I am an **officer** of the business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the business concern, that the information provided in this certification, the application, and all other information submitted in connection with this application, is true and correct as of the date of submission. I acknowledge that

any intentional or negligent misrepresentation of the information contained in this certification may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. §1001; (2) treble damages and civil penalties under the False Claims Act (31 U.S.C. §3729 et seq.); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. §3801 et seq.); (4) civil recovery of award funds, (5) suspension and/or debarment from all Federal procurement and nonprocurement transactions (FAR Subpart 9.4 or 2 C.F.R. part 180); and (6) other administrative penalties including termination of SBIR/STTR awards.

<i>Signature</i>	<i>Date / / __</i>
<i>Print Name (First, Middle, Last)</i>	
<i>Title</i>	
<i>Business Name</i>	

(d) The agency must use the following certification during the lifecycle of the funding agreement in accordance with subsection 8(h) of the directive and paragraph 2(b)(iv) of this Appendix and upon notification by SBA, must check [www.SBIR.gov](http://www.SBIR.gov) for updated certifications prepared by SBA:

*STTR Funding Agreement Certification –Life Cycle Certification*

All STTR Phase I and Phase II awardees must complete this certification at all times set forth in the funding agreement (see §8(h) of the STTR Policy Directive). This includes checking all of the boxes and having an authorized officer of the awardee sign and date the certification each time it is requested.

Please read carefully the following certification statements. The Federal government relies on the information to ensure compliance with specific program requirements during the life of the funding agreement. The definitions for the terms used in this certification are set forth in the Small Business Act, the STTR Policy Directive, and also any statutory and regulatory provisions referenced in those authorities.

If the funding agreement officer believes that the business is not meeting certain funding agreement requirements, the agency may request further clarification and supporting documentation in order to assist in the verification of any of the information provided.

Even if correct information has been included in other materials submitted to the Federal government, any action taken with respect to this certification does not affect the Government’s right to pursue criminal, civil or administrative remedies for incorrect or incomplete information given in the certification. Each person signing this certification may be prosecuted if they have provided false information.

The undersigned has reviewed, verified and certifies that (all boxes must be checked):

(1) The principal investigator spent more than one half of his/her time as an employee of the awardee or the awardee has requested and received a written deviation from this requirement from the funding agreement officer.

Yes No Deviation approved in writing by funding agreement officer: %

(2) All, essentially equivalent work, or a portion of the work performed under this project (check the applicable line):

**Has not** been submitted for funding by another Federal agency.

**Has** been submitted for funding by another Federal agency **but has not** been funded under any other Federal grant, contract, subcontract or other transaction.

A portion has been funded by another grant, contract, or subcontract as described in detail in the proposal and approved in writing by the funding agreement officer.

(3) Upon completion of the award it will have performed the applicable percentage of work, unless a deviation from this requirement is approved in writing by the funding agreement officer (check the applicable line and fill in if needed):

STTR Phase I: at least forty percent (40%) of the research.

STTR Phase II: at least forty percent (40%) of the research.

Deviation approved in writing by the funding agreement officer: %

(4) The small business concern, and not the single, partnering Research Institution, is exercising management direction and control of the performance of the STTR funding agreement.

Yes  No

(5) The work is completed and it has performed the applicable percentage of work, unless a deviation from this requirement is approved in writing by the funding agreement officer (check the applicable line and fill in if needed):

STTR Phase I: at least forty percent (40%) of the research.

STTR Phase II: at least forty percent (40%) of the research.

Deviation approved in writing by the funding agreement officer: %

N/A because work is not completed

(6) The research/research and development is performed in the United States unless a deviation is approved in writing by the funding agreement officer.

Yes No Waiver has been granted

(7) The research/research and development is performed at my facilities with my employees, except as otherwise indicated in the STTR application and approved in the funding agreement.

Yes No

I will notify the Federal agency immediately if all or a portion of the work proposed is subsequently funded by another Federal agency.

I understand that the information submitted may be given to Federal, State and local agencies for determining violations of law and other purposes.

I am an officer of the business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the business concern, that the information provided in this certification, the application, and all other information submitted in connection with the award, is true and correct as of the date of submission. I acknowledge that any intentional or negligent misrepresentation of the information contained in this certification may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. §1001; (2)

treble damages and civil penalties under the False Claims Act (31 U.S.C. §3729 et seq.); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. §3801 et seq.); (4) civil recovery of award funds, (5) suspension and/or debarment from all Federal procurement and nonprocurement transactions (FAR Subpart 9.4 or 2 C.F.R. part 180); and (6) other administrative penalties including termination of SBIR/STTR awards.

<i>Signature</i>	<i>Date / /</i> ___
<i>Print Name (First, Middle, Last)</i>	
<i>Title</i>	
<i>Business Name</i>	

3. Proposal Preparation Instructions and Requirements. The purpose of this section is to inform the applicant on what to include in the proposal and to set forth limits on what may be included. This section of the proposal should also provide guidance to assist applicants, particularly those that may not have previous Government experience, in improving the quality and acceptance of proposals.

(a) Limitations on Length of Proposal. Include at least the following information:

(1) STTR Phase I proposals must not exceed a total of 25 pages, including cover page, budget, and all enclosures or attachments, unless stated otherwise in the agency solicitation. Pages should be of standard size (8 ½ inches by 11 inches or 21.6 centimeters by 27.9 centimeters) and should conform to the standard formatting instructions. Margins should be 1 inch or 2.6 centimeters and type at least 10 point font.

(2) A notice that no additional attachments, appendices, or references beyond the 25-page limitation shall be considered in proposal evaluation (unless specifically solicited by an agency) and that proposals in excess of the page limitation shall not be considered for review or award.

(b) Proposal Cover Sheet. Every applicant is required to provide a copy of its registration information printed from the Company Registry unless the information can be transmitted automatically to STTR agencies. Each applicant must also include at least the following information on the first page of proposals.

(1) Agency and solicitation number or year.

(2) Topic Number or Letter.

(3) Subtopic Number or Letter.

(4) Topic Area.

(5) Project Title.

(6) Name and Complete Address of Firm.

(7) Disclosure permission (by statement or checkbox), such as follows, must be included at the discretion of the funding agency:

“Will you permit the Government to disclose the name, address, and telephone number of the corporate official of your concern, if your proposal does not result in an award, to appropriate local and State-level economic development organizations that may be interested in contacting you for further information? Yes\_ No\_”

(8) Signature of a company official of the proposing SBC and that individual's typed name, title, address, telephone number, and date of signature.

(9) Signature of Principal Investigator or Project Manager within the proposing SBC and that individual's typed name, title, address, telephone number, and date of signature.

(10) Legend for proprietary information as described in the “Considerations” section of this program solicitation if appropriate. It may also be noted by asterisks in the margins on proposal pages.

(c) Data Collection Requirement.

(1) Each Phase I and Phase II applicant is required to provide information for SBA’s database (www.sbir.gov). The following are examples of the data to be entered by applicants into the database:

(i) Any business concern or subsidiary established for the commercial application of a product or service for which an STTR award is made.

(ii) Revenue from the sale of new products or services resulting from the research conducted under each Phase II award;

(iii) Additional investment from any source, other than Phase I or Phase II awards, to further the research and development conducted under each Phase II award.

(iv) The information in the database for any prior Phase II award received by the SBC. The SBC may apportion sales or additional investment information relating to more than one Phase II award among those awards, if it notes the apportionment for each award.

(2) Each Phase II awardee is required to update the appropriate information on the award in the database upon completion of the last deliverable under the funding agreement and is requested to voluntarily update the information in the database annually thereafter for a minimum period of 5 years.

(d) Abstract or Summary. Applicants will be required to include a one-page project summary of the proposed R/R&D including at least the following:

(1) Name and address of SBC.

(2) Name and title of principal investigator or project manager.

(3) Agency name, solicitation number, solicitation topic, and subtopic.

(4) Title of project.

(5) Technical abstract limited to two hundred words.

(6) Summary of the anticipated results and implications of the approach (both Phases I and II) and the potential commercial applications of the research.

(e) Technical Content. STTR Program solicitations must require as a minimum the following to be included in proposals submitted thereunder:

(1) Identification and Significance of the Problem or Opportunity. A clear statement of the specific technical problem or opportunity addressed.

(2) Phase I Technical Objectives. State the specific objectives of the Phase I research and

development effort, including the technical questions it will try to answer to determine the feasibility of the proposed approach.

(3) Phase I Work Plan. Include a detailed description of the Phase I R/R&D plan. The plan should indicate what will be done, where it will be done, and how the R/R&D will be carried out. Phase I R/R&D should address the objectives and the questions cited in (e)(2) immediately above. The methods planned to achieve each objective or task should be discussed in detail.

(4) Related R/R&D. Describe significant R/R&D that is directly related to the proposal including any conducted by the project manager/principal investigator or by the proposing SBC. Describe how it relates to the proposed effort, and any planned coordination with outside sources. The applicant must persuade reviewers of his or her awareness of key, recent R/R&D conducted by others in the specific topic area.

(5) Key Individuals and Bibliography of Directly Related Work. Identify key individuals involved in Phase I including their directly-related education, experience, and bibliographic information. Where vitae are extensive, summaries that focus on the most relevant experience or publications are desired and may be necessary to meet proposal size limitation.

(6) Relationship with Future R/R&D.

(i) State the anticipated results of the proposed approach if the project is successful (Phase I and II).

(ii) Discuss the significance of the Phase I effort in providing a foundation for the Phase II R/R&D effort.

(7) Facilities. A detailed description, availability and location of instrumentation and physical facilities proposed for Phase I should be provided.

(8) Consultants. Involvement of consultants in the planning and research stages of the project is permitted. If such involvement is intended, it should be described in detail.

(9) Potential Post Applications. Briefly describe:

(i) Whether and by what means the proposed project appears to have potential commercial application.

(ii) Whether and by what means the proposed project appears to have potential use by the Federal Government.

(10) Similar Proposals or Awards. **WARNING**—While it is permissible with proposal notification to submit identical proposals or proposals containing a significant amount of essentially equivalent work for consideration under numerous Federal program solicitations, it is unlawful to enter into funding agreements requiring essentially equivalent work. If there is any question concerning this, it must be disclosed to the soliciting agency or agencies before award. If an applicant elects to submit identical proposals or proposals containing a significant amount of essentially equivalent work under other Federal program solicitations, a statement must be included in each such proposal indicating:

(i) The name and address of the agencies to which proposals were submitted or from which awards were received.

(ii) Date of proposal submission or date of award.

(iii) Title, number, and date of solicitations under which proposals were submitted or awards received.

(iv) specific applicable research topics for each proposal submitted or award received.

(v) ) Titles of research projects.

(vi) ) Name and title of principal investigator or project manager for each proposal submitted or award received.

(11) Prior STTR Phase II Awards. If the SBC has received more than 15 Phase II awards in the prior 5 fiscal years, the SBC must submit in its Phase I proposal: name of the awarding agency; date of award; funding agreement number; amount of award; topic or subtopic title; follow-on agreement amount; source and date of commitment; and current commercialization status for each Phase II award. (This required proposal information will not be counted toward the proposal pages limitation.)

(f) Cost Breakdown/Proposed Budget. The solicitation will require the submission of simplified cost or budget data.

#### 4. Method of Selection and Evaluation Criteria.

(a) Standard Statement. Essentially the following statement must be included in all STTR Program solicitations:

“All Phase I and II proposals will be evaluated and judged on a competitive basis. Proposals will be initially screened to determine responsiveness. Proposals passing this initial screening will be technically evaluated by engineers or scientists to determine the most promising technical and scientific approaches. Each proposal will be judged on its own merit. The Agency is under no obligation to fund any proposal or any specific number of proposals in a given topic. It also may elect to fund several or none of the proposed approaches to the same topic or subtopic.”

(b) Evaluation Criteria.

(1) The STTR agency must develop a standardized method in its evaluation process that will consider, at a minimum, the following factors:

(i) The technical approach and the anticipated agency and commercial benefits that may be derived from the research.

(ii) The adequacy of the proposed effort and its relationship to the fulfillment of requirements of the research topic or subtopics.

(iii) The soundness and technical merit of the proposed approach and its incremental progress toward topic or subtopic solution.

(iv) Qualifications of the proposed principal/key investigators, supporting staff, and consultants.

(v) ) Evaluations of proposals require, among other things, consideration of a proposal's commercial potential as evidenced by:

(A) The SBC's record of commercializing STTR or other research;

(B) The existence of second phase funding commitments from private sector or non- STTR funding sources;

(C) The existence of third phase follow-on commitments for the subject of the research; and

(D) The presence of other indicators of the commercial potential of the idea.

(2) The factors in (b)(1) above and other appropriate evaluation criteria, if any, must be specified in the “Method of Selection” section of STTR Program solicitations.

(c) Peer Review. The program solicitation must indicate if the STTR agency contemplates that as a part of the STTR proposal evaluation, it will use external peer review.

(d) Release of Proposal Review Information. After final award decisions have been announced, the technical evaluations of the applicant's proposal may be provided to the applicant. The identity of the reviewer must not be disclosed.

5. Considerations. This section must include, as a minimum, the following information:

(a) Awards. Indicate the estimated number and type of awards anticipated under the particular STTR Program solicitation in question, including:

(i) Approximate number of Phase I awards expected to be made.

(ii) Type of funding agreement, that is, contract, grant or cooperative agreement.

(iii) Whether fee or profit will be allowed.

(iv) Basis of funding agreement, for example, fixed-price, cost reimbursement, or cost-plus-fixed fee.

(v) Information on the approximate average dollar value of awards for Phase I and Phase II.

(b) Reports. Describe the frequency and nature of reports that will be required under Phase I funding agreements. Interim reports should be brief letter reports.

(c) Payment Schedule. Specify the method and frequency of progress and final payment under Phase I and II agreements.

(d) Innovations, Inventions and Patents.

(i) Proprietary Information. Essentially the following statement must be included in all STTR solicitations:

“Information contained in unsuccessful proposals will remain the property of the applicant. The Government may, however, retain copies of all proposals. Public release of information in any proposal submitted will be subject to existing statutory and regulatory requirements. If proprietary information is provided by an applicant in a proposal, which constitutes a trade secret, proprietary commercial or financial information, confidential personal information or data affecting the national security, it will be treated in confidence, to the extent permitted by law. This information must be clearly marked by the applicant with the term ‘confidential proprietary information’ and the following legend must appear on the title page of the proposal:

‘These data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of this proposal. If a funding agreement is awarded to this applicant as a result of or in connection with the submission of these data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the funding agreement and pursuant to applicable law. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction are contained on pages\_\_of this proposal.’

Any other legend may be unacceptable to the Government and may constitute

grounds for removing the proposal from further consideration, without assuming any liability for inadvertent disclosure. The Government will limit dissemination of such information to within official channels.”

(ii) Alternative To Minimize Proprietary Information. Agencies may elect to instruct applicants to:

(A) Limit proprietary information to only that absolutely essential to their proposal.

(B) Provide proprietary information on a separate page with a numbering system to key it to the appropriate place in the proposal.

(iii) Rights in Data Developed Under STTR Funding Agreements. Agencies should insert essentially the following statement in their STTR Program solicitations to notify SBCs of the necessity to mark STTR technical data before delivering it to the Agency:

“To preserve the STTR data rights of the awardee, the legend (or statements) used in the STTR Data Rights clause included in the STTR award must be affixed to any submissions of technical data developed under that STTR award. If no Data Rights clause is included in the STTR award, the following legend, at a minimum, should be affixed to any data submissions under that award.

These STTR data are furnished with STTR rights under Funding Agreement No. ——— (and subcontract No. ——— if appropriate), Awardee Name ———, Address, Expiration Period of STTR Data Rights ———. The Government may not use, modify, reproduce, release, perform, display, or disclose technical data or computer software marked with this legend for (chose four (4) or five (5) years). After expiration of the (4- or 5-year period), the Government has a royalty-free license to use, and to authorize others to use on its behalf, these data for Government purposes, and is relieved of all disclosure prohibitions and assumes no liability for unauthorized use of these data by third parties, except that any such data that is also protected and referenced under a subsequent STTR award shall remain protected through the protection period of that subsequent STTR award. Reproductions of these data or software must include this legend.”

(iv) Copyrights. Include an appropriate statement concerning copyrights and publications; for example:

“With prior written permission of the contracting officer, the awardee normally may copyright and publish (consistent with appropriate national security considerations, if any) material developed with (agency name) support. (Agency name) receives a royalty-free license for the Federal Government and requires that each publication contain an appropriate acknowledgement and disclaimer statement.”

(v) Patents. Include an appropriate statement concerning patents. For example:

“Small business concerns normally may retain the principal worldwide patent rights to any invention developed with Government support. In such circumstances, the Government receives a royalty-free license for Federal Government use, reserves the right to require the patent holder to license others in certain circumstances, and may require that anyone exclusively licenses to sell the invention in the United States must normally manufacture it domestically. To the extent authorized by 35 U.S.C. 205, the Government will not make public any information disclosing a Government-supported invention for a minimum 4-year period (that may be extended by subsequent STTR funding agreements) to allow the awardee a reasonable time to pursue a patent.”

(vi) Invention Reporting. Include requirements for reporting inventions. Include appropriate information concerning the reporting of inventions, for example:

“STTR awardees must report inventions to the awarding agency within 2 months of the inventor's report to the awardee. The reporting of inventions may be accomplished by submitting paper documentation, including fax.”

Note: Some agencies provide electronic reporting of inventions through the NIH iEdison Invention Reporting System (iEdison System). Use of the iEdison System satisfies all invention reporting requirements mandated by 37 CFR part 401, with particular emphasis on the Standard Patent Rights Clauses, 37 CFR 401.14. Access to the system is through a secure interactive Internet site, <http://www.iedison.gov>, to ensure that all information submitted is protected. All agencies are encouraged to use the Edison System. In addition to fulfilling reporting requirements, the Edison System notifies the user of future time sensitive deadlines with enough lead-time to avoid the possibility of loss of patent rights due to administrative oversight.

(e) Cost-Sharing. Include a statement essentially as follows:

Cost-sharing is permitted for proposals under this program solicitation; however, cost-sharing is not required. Cost-sharing will not be an evaluation factor in consideration of your Phase I proposal.

(f) Profit or Fee. Include a statement on the payment of profit or fee on awards made under the STTR Program solicitation.

(g) Joint Ventures or Limited Partnerships. Include essentially the following language:

Joint ventures and limited partnerships are eligible provided the entity created qualifies as a small business concern as defined in this program solicitation.

(h) Research and Analytical Work. Include essentially the following statement:

“For both Phase I and Phase II, not less than 40 percent of the R/R&D work must be performed by the SBC, and not less than 30 percent of the R/R&D work must be performed by the single, partnering Research Institution, as defined in this solicitation.”

(i) Awardee Commitments. To meet the legislative requirement that STTR solicitations be simplified, standardized and uniform, clauses expected to be in or required to be included in STTR funding agreements must not be included in full or by reference in STTR Program solicitations. Rather, applicants must be advised that they will be required to make certain legal commitments at the time of execution of funding agreements resulting from STTR Program solicitations. Essentially, the following statement must be included in the “Considerations” section of STTR Program solicitations:

“Upon award of a funding agreement, the awardee will be required to make certain legal commitments through acceptance of numerous clauses in Phase I funding agreements. The outline that follows is illustrative of the types of clauses to which the contractor would be committed. This list is not a complete list of clauses to be included in Phase I funding agreements, and is not the specific wording of such clauses. Copies of complete terms and conditions are available upon request.”

(j) Summary Statements. The following are illustrative of the type of summary statements to be included immediately following the statement in subparagraph (i). These statements are examples only and may vary depending upon the type of funding agreement used.

(1) Standards of Work. Work performed under the funding agreement must conform to high professional standards.

- (2) Inspection. Work performed under the funding agreement is subject to Government inspection and evaluation at all times.
  - (3) Examination of Records. The Comptroller General (or a duly authorized representative) must have the right to examine any pertinent records of the awardee involving transactions related to this funding agreement.
  - (4) Default. The Government may terminate the funding agreement if the contractor fails to perform the work contracted.
  - (5) Termination for Convenience. The funding agreement may be terminated at any time by the Government if it deems termination to be in its best interest, in which case the awardee will be compensated for work performed and for reasonable termination costs.
  - (6) Disputes. Any dispute concerning the funding agreement that cannot be resolved by agreement must be decided by the contracting officer with right of appeal.
  - (7) Contract Work Hours. The awardee may not require an employee to work more than 8 hours a day or 40 hours a week unless the employee is compensated accordingly (for example, overtime pay).
  - (8) Equal Opportunity. The awardee will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin.
  - (9) Affirmative Action for Veterans. The awardee will not discriminate against any employee or applicant for employment because he or she is a disabled veteran or veteran of the Vietnam era.
  - (10) Affirmative Action for Handicapped. The awardee will not discriminate against any employee or applicant for employment because he or she is physically or mentally handicapped.
  - (11) Officials Not To Benefit. No Government official must benefit personally from the STTR funding agreement.
  - (12) Covenant Against Contingent Fees. No person or agency has been employed to solicit or secure the funding agreement upon an understanding for compensation except bona fide employees or commercial agencies maintained by the awardee for the purpose of securing business.
  - (13) Gratuities. The funding agreement may be terminated by the Government if any gratuities have been offered to any representative of the Government to secure the award.
  - (14) Patent Infringement. The awardee must report each notice or claim of patent infringement based on the performance of the funding agreement.
  - (15) American Made Equipment and Products. When purchasing equipment or a product under the STTR funding agreement, purchase only American-made items whenever possible.
- (k) Additional Information. Information pertinent to an understanding of the administration requirements of STTR proposals and funding agreements not included elsewhere must be included in this section. As a minimum, statements essentially as follows must be included under “Additional Information” in STTR Program solicitations:
- (1) This program solicitation is intended for informational purposes and reflects current planning. If there is any inconsistency between the information contained herein and the terms of any resulting STTR funding agreement, the terms of the funding agreement are controlling.

(2) Before award of an STTR funding agreement, the Government may request the applicant to submit certain organizational, management, personnel, and financial information to assure responsibility of the applicant.

(3) The Government is not responsible for any monies expended by the applicant before award of any funding agreement.

(4) This program solicitation is not an offer by the Government and does not obligate the Government to make any specific number of awards. Also, awards under the STTR Program are contingent upon the availability of funds.

(5) The STTR Program is not a substitute for existing unsolicited proposal mechanisms. Unsolicited proposals must not be accepted under the STTR Program in either Phase I or Phase II.

(6) If an award is made pursuant to a proposal submitted under this STTR Program solicitation, a representative of the contractor or grantee or party to a cooperative agreement will be required to certify that the concern has not previously been, nor is currently being, paid for essentially equivalent work by any Federal agency.

6. Submission of Proposals.

(a) This section must clearly specify the closing date on which all proposals are due to be received.

(b) This section must specify the number of copies of the proposal that are to be submitted.

(c) This section must clearly set forth the complete mailing and/or delivery address(es) where proposals are to be submitted.

(d) This section may include other instructions such as the following:

(1) Bindings. Please do not use special bindings or covers. Staple the pages in the upper left corner of the cover sheet of each proposal.

(2) Packaging. All copies of a proposal should be sent in the same package.

7. Scientific and Technical Information Sources. Wherever descriptions of research topics or subtopics include reference to publications, information on where such publications will normally be available must be included in a separate section of the solicitation entitled “Scientific and Technical Information Sources.”

8. Research Topics. Describe sufficiently the R/R&D topics and subtopics for which proposals are being solicited to inform the applicant of technical details of what is desired. Allow flexibility in order to obtain the greatest degree of creativity and innovation consistent with the overall objectives of the STTR Program.

9. Submission Forms. Multiple copies of proposal preparation forms necessary to the contracting and granting process may be required. This section may include Proposal Summary, Proposal Cover, Budget, Checklist, and other forms the sole purpose of which is to meet the mandate of law or regulation and simplify the submission of proposals.

## Appendix II: Codes for Tech-Net Database

<b>Code</b>	<b>Meaning</b>
<b>&lt;Program&gt;</b>	
SBIR	Small Business Innovation Research
STTR	Small Business Technology Transfer
<b>&lt;Agency&gt;</b>	
DHS	Department of Homeland Security
DOC	Department of Commerce
DOD	Department of Defense
DOE	Department of Energy
DOT	Department of Transportation
ED	Department of Education
EPA	Environmental Protection Agency
HHS	Department of Health and Human Services
NASA	National Aeronautics and Space Administration
NSF	National Science Foundation
USDA	US Department of Agriculture
<b>&lt;Branch&gt;</b>	
<i>DHS</i>	
ST	Science and Technology Directorate
DNDO	Domestic Nuclear Detection Office
<i>DOC</i>	
NOAA	National Oceanic and Atmospheric Administration
NIST	National Institute of Standards and Technology
<i>DoD</i>	
USAF	Department of the Air Force
ARMY	Department of the Army
CBD	Chemical and Biological Defense Program
DARPA	Defense Advanced Research Projects Agency
DHP	Defense Health Program
DLA	Defense Logistics Agency
DMEA	Defense Microelectronics Activity
DTRA	Defense Threat Reduction Agency
MDA	Missile Defense Agency
NAVY	Department of the Navy
NGA	National Geospatial-Intelligence Agency
OSD	Office of the Secretary of Defense
SOCOM	Special Operations Command
<i>DOE</i>	
ARPA	Advanced Research Projects Agency - Energy
DOE HQ	Department of Energy Headquarters
<i>HHS</i>	
ACF	Administration for Marriage and Families
CDC	Center for Disease Control
FDA	Food and Drug Administration
NIH	National Institute of Health
<b>Research Institution &lt;Type Codes&gt;</b>	
1	Nonprofit College or University
2	Domestic Nonprofit Research Organization
3	Federally Funded R&D Center (FFRDC)
<b>Research Institution &lt;SchoolCategory&gt;</b>	
ANSI	Alaskan Native Serving Institution
HBCU	Historically Black College or University
HSI	Hispanic Serving Institution
TCU	Tribal College or University
NHSI	Native Hawaiian Serving Institution
<b>Sales Codes &lt;Sales Code&gt;</b>	

SF	Sales to Federal or Prime Contractor
SO	Sales to Other
SP	Sales to Private Industry
LIC	Licensing Revenue
<b>&lt;Additional Funding Code&gt;</b>	
FT	FastTrack
P2E	Phase II Enhancement
P1B	Phase IB
P2A	Phase IIA
P2B	Phase IIB
P2CC	Phase IICC
P2REU	Phase II REU
P2RET	Phase II RET
P2RAHSS	Phase II RAHSS
P2TECP	Phase II TECP
P2I/UCRC	Phase II I/UCRC Membership Grants
P2ERC	Phase II ERC Supplement
P2CostMatch	Phase II Cost Match
Phase II Commercialization Option	Phase II Commercialization Option
<b>&lt;Investment Code&gt;</b>	
IA	Investment from Angel Investors
IF	Investment from Federal or Prime Contractor
IO	Investment from Other
IS	Investment from the Small Business Concern itself

## Appendix III: Solicitations Database

**Reporting Mechanism:** Agencies report on Tech-Net

**Agency interaction:** Automatic or manual input

**Collection Frequency:** within 5 days of solicitation release date

**Public Data (Y/N):** Yes

<b>Solicitation Field Name</b>	<b>Type</b>
<b>Solicitation Level</b>	
solicitation program	varchar(4)
solicitation year	int(11)
solicitation number	varchar(25)
solicitation release	varchar(20)
solicitation open date	varchar(20)
solicitation close date	varchar(20)
solicitation title	longtext
solicitation body	longtext
solicitation phase	int(11)
solicitation occurrence number	int(11)
solicitation url	varchar(2048)
solicitation url title	varchar(255)
solicitation url attributes	mediumtext
<b>Topic Level</b>	
topic title	longtext
topic number	varchar(30)
associated solicitation	

## Appendix IV: Company Registry Database

Collection Frequency: Register or reconfirm at time of application

Public Data (Y/N): No

Company Registry Field name	Reporting Mechanism	Agency interaction
Agency Tracking #	Company reports data to SBA	Receives pdf from Company
SBA Firm ID	Company reports data to SBA	Receives pdf from Company
Company URL	Company reports data to SBA	Receives pdf from Company
HQ Address 1	Company reports data to SBA	Receives pdf from Company
HQ Address 2	Company reports data to SBA	Receives pdf from Company
HQ City	Company reports data to SBA	Receives pdf from Company
HQ Zip Code	Company reports data to SBA	Receives pdf from Company
HQ Zip Code +4	Company reports data to SBA	Receives pdf from Company
HQ State	Company reports data to SBA	Receives pdf from Company
Company Name	Company reports data to SBA	Receives pdf from Company
Number of Employees	XML or manual upload to Tech-Net	Agency collects data, provides to SBA. Also updated as a part of commercialization information
Flag for External Funding	Company reports data to SBA	Receives pdf from Company
Investment Ownership Percentage	Company reports data to SBA	Receives pdf from Company
Majority-Owned by External Funding Firms	Company reports data to SBA	Receives pdf from Company
Affiliate Name	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Affiliate Address 1	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Affiliate Address 2	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Affiliate City	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Affiliate Zip Code	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Affiliate Zip Code + 4	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Affiliate Number of Employees	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Additional Funding Type	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Additional Funding Amount	XML or manual upload to Tech-Net	Agency collects data, provides to SBA
Investment Type [VC, Hedge, PE]	Company reports data to SBA	Receives pdf from Company
Investment Firm Name	Company reports data to SBA	Receives pdf from Company
Investment Not US-Based	Company reports data to SBA	Receives pdf from Company
Investment Amount	Company reports data to SBA	Receives pdf from Company

## Appendix V: Application Information Database

Reporting Mechanism: **XML or manual upload to TechNet**

Agency interaction: **Agency collects data, provides to SBA**

(Exception: *Agency Tracking #*: Agency creates this number for tracking – not submitted by SBC)

Collection Frequency: **Quarterly**

Public Data (Yes/No): **No**

Application Info Field Name	Type
Company Name	int(50) unsigned
Program [SBIR/STTR]	Varchar(4)
Agency Tracking #	varchar(60)
SBA Firm ID	int(10) unsigned
Agency	int(4) unsigned
Solicitation Number	int(20) unsigned
Solicitation Topic Number	varchar(15)
Contact First Name	varchar(50)
Contact Middle Name	varchar(1)
Contact Last Name	varchar(50)
Contact Title	varchar(40)
Contact Phone	varchar(14)
Contact Email	varchar(150)
Phase Number	int(111)
Solicitation Close Date	varchar(2010)
Solicitation Year	int(4)
Company URL	varchar(255)
Solicitation Topic	int(10) unsigned
Address 1	varchar(80)
Address 2	varchar(80)
City	varchar(40)
Zip Code	int(5)
Zip Code +4	int(4)
State	varchar(2)
HubZone Certified	varchar(1)
SDB	varchar(1)
Women-Owned	varchar(1)
Women PI	varchar(1)
Socially and Economically Disadvantaged PI	varchar(1)
Student/Faculty Owned	varchar(1)
FAST Assistance	varchar(1)
Allow EDO's to Have Contact Info	varchar(1)
Agency Contact First Name	varchar(50)
Agency Contact Middle Initial	varchar(1)
Agency Contact Last Name	varchar(50)
Agency Contact Title	varchar(50)
Agency Contact Phone #	varchar(14)
Agency Contact Email	varchar(50)
Key Individual Percentage of Effort	int(3)
Project Aims	
Abstract	varchar(unlimited)

Key Individual First Name	varchar(50)
Key Individual Middle Name	varchar(1)
Key Individual Last Name	varchar(50)
Key Individual Position/Title	varchar(50)
Key Individual Email	varchar(50)
Key Individual Phone	varchar(14)
<b>STTR-specific</b>	
<i>Collection Frequency: 60 days from time of solicitation close</i>	
RIName	varchar(80)
RIType	varchar(1)
RIAddress 1	varchar(80)
RIAddress 2	varchar(80)
RICity	varchar(40)
RIZip Code	int(5)
RIZip Code +4	varchar(204)
RIState	int(2)
RI_Officer_First_Name	varchar(50)
RI_Officer_Middle_NameInitial	int(1)
RI_Officer_Last_Name	Varchar(50)
RI_Officer_Phone	varchar(14)

## Appendix VI: Award Information Database

Reporting Mechanism: **XML or manual upload to Tech-Net**

Agency interaction: **Agency collects data, provides to SBA**

Note: Award data includes "Applicant" data fields

Award Field Name	Collection Frequency	Public Data (Y/N)	Type
Phase	Monthly	Y	int(1)
Phase II # [if 1st or 2nd]	Quarterly	Y	int(1)
Contract # / Grant #	Quarterly	Y	varchar(20)
Amount	Quarterly	Y	decimal(20,2)
SBC_Proceeds	Monthly	Y	decimal(20,2)
RI_Proceeds	Monthly	Y	decimal(20,2)
Third_Party_Proceeds	Monthly	Y	decimal(20,2)
StrInitiatedCollaboration	Monthly	Y	varchar(3)
StrInitiatedTechnology	Monthly	Y	varchar(3)
StrMonthstoAgreement	Monthly	Y	int(2)
Year	Quarterly	Y	int(4)
First Date of PoP	Quarterly	Y	varchar(10)
Notification of Selection Date	Quarterly	Y	varchar(10)
Award Title	Quarterly	Y	varchar(255)
Last Day of PoP	Quarterly	Y	varchar(10)
Associated Applicant/Proposal #	Quarterly	Y	int(50)
PI First Name	Quarterly	Y	varchar(50)
PI Middle Name	Quarterly	Y	varchar(1)
PI Last Name	Quarterly	Y	varchar(50)
PI Title	Quarterly	Y	varchar(40)
PI Phone	Quarterly	Y	varchar(14)
PI Email	Quarterly	Y	varchar(150)
ITAR Controlled	Quarterly	Y	varchar(1)
Manufacturing	Quarterly	Y	varchar(1)
Renewable Energy	Quarterly	Y	varchar(1)
Comments [Free Text Field for Notes]	Quarterly	Y	longtext
CAGE #	Quarterly	Y	varchar(5)
DUNS #	Quarterly	Y	int(9)
EIN	Quarterly	N	varcharint(9)
RI_EIN	Monthly	Y	varcharint(9)
Award Amount Justification, if Limit Exceeded	Quarterly	N	varchar(4000)
Convicted or Civilly Liable Flag	At time of application	N	varchar(1)
CL First Name	At time of application	N	varchar(50)
CL Middle Name	At time of application	N	varchar(1)
CL Last Name	At time of application	N	varchar(50)
CL Company Associated	At time of application	N	varchar(50)

## Appendix VII: Commercialization Database

Reporting Mechanism: **XML or manual upload to TechNet**

Agency interaction: **Agencies and companies report to TechNet**

Collection Frequency: **1) In real time 2) SBC updates prior to subsequent award application**

Public Data (Y/N): **No**

<i>Commercialization Field Name</i>	<i>Type</i>
<b>Firm Level Commercialization</b>	
Company Name	int(10) unsigned
Agency Tracking #	int(10) unsigned
SBA Firm ID	int(10) unsigned
IPO	varchar(1)
IPO Year	int(4)
Merger/Acquired	varchar(1)
Spinoff	varchar(1)
Narrative	lvarchar(4000)
Comm Contact First Name	varchar(50)
Comm Contact Middle Name	varchar(50)
Comm Contact Last Name	varchar(50)
Comm Contact Title	varchar(50)
Comm Contact Phone	varchar(14)
Comm Contact Email	varchar(50)
Sales Amount	decimal(20,2)
SttrPercentSbc	int(3)
SttrPercentRi	int(3)
Investment Amount	decimal(20,2)
Patent #'s	varchar(4000)
Number of Patents	int(50)
Investment Types	
Sales Type	
<b>Award Level Commercialization</b>	
Product Launched	varchar(1)
Names of Company Established for Product/Commercialization	varchar(50)
Sales Amount	decimal(20,2)
Investment Amount	decimal(20,2)
Investment Types	int(11)
Sales Type	int(11)
Phase III Value	decimal(20,2)
Phase III Launched/Implemented [CRP]	varchar(1)
Phase III Narrative [CRP]	varchar(4000)

## Appendix VIII: Annual Report Database

Reporting Mechanism: XML or manual upload to Tech-Net

Collection Frequency: Annually

Public Data (Y/N): Yes

<i>Annual Report Field Name</i>	<i>Type</i>
agency code	int(11)
Program	char(4)
Year	char(4)
reporting unit	varchar(255)
submitted by	varchar(100)
phone number	varchar(255)
Agency Extramural Budget	varchar(100)
Agency SBIR Budget	varchar(100)
Number of Solicitations Released	int(6)
Number of Research Topics in Solicitations	
Number of Phase I Proposals Received	int(6)
Total Phase I Awards	int(6)
Total Phase I Dollars Awarded (\$)	varchar(25)
Total Phase I Dollars to SBCs	int(6)
Total Phase I Dollars to RIs	int(6)
Total Phase I Dollars to RI - Universities	int(6)
Total Phase I Awards to RI – Universities	int(6)
Total Phase I Dollars to RI – FFRDCs	int(6)
Total Phase I Awards to RI – FFRDCs	int(6)
Total Phase I Dollars to RI – Non-Profit R&D	int(6)
Total Phase I Awards to RI – Non-Profit R&D	int(6)
Minority/Disadvantaged Phase I Awards	int(6)
Minority/Disadvantaged Phase I Dollars Awarded (\$)	varchar(25)
HUBZone Phase I Awards	int(6)
HUBZone Phase I Dollars Awarded (\$)	int(6)
phase1 hubzone dollars obligated	varchar(25)
phase1 manufacturing awards	int(6)
phase1 manufacturing dollars obligated	varchar(25)
Number of Phase II Proposals Received	int(6)
Total Phase II Awards	int(6)
Total Phase II Dollars Awarded (\$)	varchar(25)
Total Phase II Dollars to SBCs	int(6)
Total Phase II Dollars to RIs	int(6)
Total Phase II Dollars to RI – Universities	int(6)
Total Phase II Awards to RI – Universities	int(6)
Total Phase II Dollars to RI – FFRDCs	int(6)
Total Phase II Awards to RI – FFRDCs	int(6)
Total Phase II Dollars to RI – Non-Profit R&D	int(6)
Total Phase II Awards to RI – Non-Profit R&D	int(6)
Minority/Disadvantaged Phase II Awards	int(6)
Minority/Disadvantaged Phase II Dollars Awarded (\$)	varchar(25)
HUBZone Phase II Awards	int(6)
HUBZone Phase II Dollars Awarded (\$)	int(6)

phase2 hubzone dollars obligated	varchar(25)
phase2 manufacturing awards	int(6)
phase2 manufacturing dollars obligated	varchar(25)
new phase2 with dollars obligated	int(6)
new phase2 dollars obligated	varchar(25)
old phase2 with dollars obligated	int(6)
old phase2 dollars obligated	varchar(25)
number amount modified	int(6)
amount modified	varchar(25)
agency obligations	varchar(50)
phase1 success rate	varchar(3)
phase2 success rate	varchar(3)
overall success rate	varchar(3)
The percentage of new phase 1 awards where difference between Solicitation Close Date and Proposal Award Date is less than 180 days (ProposalAwardDate - SolicitationCloseDate)	varchar(3)
The average of the number of days between Solicitation Close Date and Proposal Award Date for all the new phase 1 awards (ProposalAwardDate - SolicitationCloseDate)	varchar(50)
The average of the number of days between the Contract End Date for the related phase 1 award and the Proposal Award Date for all the new phase 2 awards (P2 Proposal Award Date - P1 ContractEndDate)	varchar(50)
The average number of days between Proposal Selection Date and Proposal Award Date for all the new phase 2 awards (ProposalAwardDate - ProposalSelectionDate)	varchar(50)
The percentage of new phase 2 awards where the number of days between Proposal Selection Date and Proposal Award Date was less than 60 (ProposalAwardDate - ProposalSelectionDate)	varchar(3)
sbcname changed	text
one proposal per solicitation	text
more than 15 awards	text
justification	text
submitted	timestamp
confirmed_by_uid	int(10) unsigned
<b>Annual Report calculations based on above fields</b>	
Dollars Obligated	
Percent of SBIR to Extramural Budget	
Deficit/Surplus	
Exceeding award size threshold of 150%	
Award cross btwn SBIR and STTR programs	
<b>Additions to Annual Report</b>	
tracking compliance grievance	
grievance tracking for data rights	
-track deficit/surplus of budgets, esp. VC, etc. backed	
Track data at component level	

## Appendix IX – Performance Areas, Metrics and Goals

(a) Examples of performance areas include:

- (1) company and agency-level commercialization of awards (see commercialization section for detail);
- (2) repeat-award winners;
- (3) outreach to first time SBIR/STTR applicants, WOSBs, SDBs - including percentage of new applicants from those demographics that have applied to the agency, and other goals and metrics established by the agency and the interagency policy committee;
- (4) shortening review and award timelines for small businesses (collected annually in annual report).

(b) Examples of metrics relating to timelines for awards of Phase I funding agreements and performance start dates of the funding agreements, include:

- (1) The percentage of Phase I awards where the duration between the closing date of the solicitation and the first date of the period of performance on the funding agreement is less than 180 calendar days.
- (2) The average duration of time between a Phase I solicitation closing date and the first day of the period of performance on the funding agreement.
- (3) The percentage of Phase I awards where the duration between the closing date of the solicitation and the notification of recommendation of award is not more than one year for NIH or NSF and not more than 90 calendar days for all other agencies.
- (4) The average duration of time between a Phase I solicitation closing date and the notification of recommendation for award.

(c) Examples of metrics relating to timelines for awards of Phase II funding agreements and performance start dates of the funding agreements, include:

- (1) The percentage of Phase II awards where the duration between the closing date of the solicitation, or the applicable date for receiving the Phase II application, and the first date of the period of performance on the funding agreement is the less than 180 calendar days.
- (2) The average duration of time between a Phase II solicitation close dating and the first day of the period of performance on the funding agreement.
- (3) The percentage of Phase II awards where the duration between the closing date of the solicitation, or the applicable date for receiving the Phase II application, and the notification of recommendation of award is not more than one year for NIH or NSF and not more than 90 calendar days for all other agencies.
- (4) The average duration of time between a Phase II solicitation closing date, or the applicable date for receiving the Phase II application, - and the notification of recommendation for award.
- (5) The average duration of time between the end of the period of performance on a Phase I funding agreement and the closing date for a Phase II solicitation for the same work.
- (6) The number of awardees for whom the Phase I process exceeded 6 months, starting from the closing date of the STTR solicitation to award of the funding agreement.
- (7) Metrics with respect to each STTR agency's adherence to Policy Directive and

implementation

(8) Metrics with respect to agencies' measures to reduce fraud, waste and abuse within the STTR Program and coordination with the STTR agency's OIG.

## Appendix X – National Academy of Sciences Study

(a) The purpose of the study is to:

(1) Continue the most recent study relating to the following issues:

(i) a review of the value to the Federal research agencies of the research projects being conducted under the STTR Program, and of the quality of research being conducted by small businesses participating under the program, including a comparison of the value of projects conducted under the STTR Program to those funded by other Federal research and development expenditures;

(ii) to the extent practicable, an evaluation of the economic benefits achieved by the STTR Program, including the economic rate of return, and a comparison of the economic benefits, including the economic rate of return, achieved by the STTR Program with the economic benefits, including the economic rate of return, of other Federal research and development expenditures;

(iii) an evaluation of the noneconomic benefits achieved by the STTR Program over the life of the program;

(iv) analysis of whether Federal agencies, in fulfilling their procurement needs, are making sufficient effort to use small businesses that have completed a second phase award under the STTR Program; and

(2) Conduct a comprehensive study of how the STTR program has stimulated technological innovation and technology transfer, including--

(i) a review of the collaborations created between small businesses and Research Institutions, including an evaluation of the effectiveness of the program in stimulating new collaborations and any obstacles that may prevent or inhibit the creation of such collaborations;

(ii) an evaluation of the effectiveness of the program at transferring technology and capabilities developed through Federal funding;

(iii) to the extent practicable, an evaluation of the economic benefits achieved by the STTR program, including the economic rate of return;

(iv) analysis of how Federal agencies are using small businesses that have completed Phase II under the STTR program to fulfill their procurement needs;

(v) an analysis of whether additional funds could be employed effectively by the STTR program; and

(vi) an assessment of the systems and minimum performance standards relating to commercialization success established under §9(qq) of the Small Business Act;

(3) Make recommendations with respect to--

(i) measures of outcomes for strategic plans submitted under 5 U.S.C. § 306 and performance plans submitted under 31 U.S.C. §1115, of each Federal agency participating in the STTR Program;

- (ii) how to increase the use by the Federal Government in its programs and procurements of technology-oriented small businesses;
  - (iii) improvements to the STTR Program, if any are considered appropriate; and
  - (iv) STTR program can further stimulate technological innovation and technology transfer.
- (4) Estimate the number of jobs created by the SBIR or STTR program of the agency, to the extent practicable.