How to Submit

Use this guide to help you submit a Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) Phase I or Phase II proposal in Research.gov.

New in November 2022, NSF will only accept full proposals from startups and small businesses via Research.gov, a new proposal submission portal that allows applicants to create, submit, track and update full proposals. (The system and process used to submit Project Pitches has not changed.)

Access Research.gov to submit a full Phase I or Phase II SBIR/STTR proposal. Visit the Research.gov About Page to help you prepare and submit your proposal.

Research.gov help desk

Please contact the Research.gov Help Desk (1-800-381-1532 or rgov@nsf.gov) for IT system or accessibility-related questions (7:00 AM – 9:00 PM Eastern Time; Monday – Friday except federal holidays).

Before you submit

Were you invited to submit a proposal?

NSF SBIR/STTR Phase I applicants are REQUIRED to submit a "Project Pitch" that outlines the project objectives, technical innovation and associated technical risks. Projects that seem to be a good fit will be officially INVITED to submit a full proposal.

Only invited SBIR/STTR proposals will be reviewed by NSF. To learn more about the Project Pitch, please visit How It Works.

Applying for Phase II?

Only NSF Phase I SBIR/STTR awardees are permitted to submit a Phase II proposal.

We encourage you to follow guidance from your program director about when and how to submit your Phase II proposal.

Preparing your proposal

Read the SBIR/STTR Solicitations

The Phase I and Phase II SBIR/STTR Solicitations explain the content needed in your proposal. We also encourage you to join an upcoming webinar to help you prepare your proposal or to reach out to the relevant SBIR/STTR program director if you have questions about the proposal and review process.

Proposal content questions

SBIR and STTR program-related questions should be directed to sbir@nsf.gov.

Project Pitch: User Guide For Communities

The National Science Foundation updated its Project Pitch submission portal to provide users with a more secure and private experience. Now, a user must create a user account to submit a Project Pitch. In addition, a user must use credentials to sign in to respond to any active Project Pitches and/or Program Director requests. This user guide is provided to assist new and existing users in creating and managing their accounts.

1 Account Creation

- **1.1 SBIR/STTR communities' sign in**

1.1.1 Sign in page

- Go to https://nsfiip.force.com/sbir
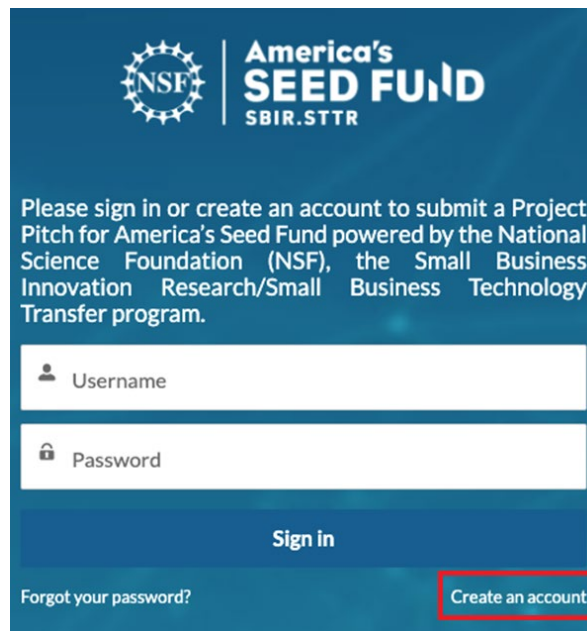
- Click on **"Create an account"**

Figure 1 User sign in page for SBIR/STTR

1.1.2 Create an account page

Fill in

- First Name

- Last Name

- A valid Email Address

- Alphanumeric Password (10 characters, 1 letter, 1 number, 1 special character)

Figure 2 Creating a new account for SBIR/STTR communities

1.1.3 SBIR/STTR project pitch form

- Click on "Sign Up" to be routed to the Project Pitch form.

- Fill in the remaining fields.

Figure 3 SBIR/STTR project pitch form page 1 (prepopulated)

*2. First Name:

Sally

*3. Last Name:

Fuerte

*4. Phone Number (10 digits, no special characters):

*5. Company Name:

If you have not yet decided upon your company name or you have not formally incorporated your company, please enter your "FirstName" followed by your "LastName" in this field.

*6. Company zip code:

*7. Company State:

--None--

8. Corporate website: (if applicable)

*9. Please pick the SBIR/STTR topic that best fits your project's technology area:

Select a value

Figure 4 SBIR/STTR project pitch form page 1 (prepopulated)

1.1.4 Complete the Project Pitch

- Fill in all the form details to submit a Project Pitch.

Figure 5 SBIR/STTR project pitch form page 1 (filled)

*2. First Name:

Sally

*3. Last Name:

Fuerte

*4. Phone Number (10 digits, no special characters):

1234567890

*5. Company Name:

Hogwarts

If you have not yet decided upon your company name or you have not formally incorporated your company, please enter your "FirstName" followed by your "LastName" in this field.

*6. Company zip code:

32122

*7. Company State:

AZ

8. Corporate website: (if applicable)

Hogwarts.com

*9. Please pick the SBIR/STTR topic that best fits your project's technology area:

Biomedical Technologies (BM)

Figure 6 SBIR/STTR project pitch form page 1 (filled)

*6. Company zip code:

32122

*7. Company State:

AZ

8. Corporate website: (if applicable)

Hogwarts.com

*9. Please pick the SBIR/STTR topic that best fits your project's technology area:

Biomedical Technologies (BM)

Next

Figure 7 SBIR/STTR project pitch form page 1 (filled)

Please provide the Award Number of the most recent NSF SBIR or STTR award (7 digits).

1324567

*12. Does your company currently have a full Phase I SBIR or STTR proposal under review at NSF?

🔘 Yes   ⚪ No

Please Note: Any small business that has submitted a full proposal to the NSF SBIR/STTR Phase I Program must wait for a resolution of the full proposal before submitting a new (or revised) Project Pitch.

*13. Briefly Describe the Technology Innovation?

Up to 500 words describing the technical innovation that would be the focus of a Phase I project, including a brief discussion of the origins of the innovation as well as an explanation as to why it meets the program's mandate to focus on supporting research and development (R&D) of unproven, high-impact innovations.

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*14. Briefly Describe the Technical Objectives and Challenges?

Up to 500 words describing the R&D or technical work to be done in a Phase I project, including a discussion of how and why the proposed work will help prove that the product or service is technically feasible and/or significantly reduce technical risk. Discuss how, ultimately, this work could contribute to making the new product, service, or process commercially viable and impactful. This section should also convey that the proposed work meets definition of R&D, rather than straightforward engineering or incremental product development tasks.

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Figure 8 SBIR/STTR project pitch form page 2 (filled)

*15. Briefly Describe the Market Opportunity?

Up to 250 words describing the customer profile and pain point(s) that will be the near-term commercial focus related to this technical project.

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*16. Briefly Describe the Company and Team?

Up to 250 words describing the background and current status of the submitting small business, including team members related to the technical and/or commercial efforts discussed in this Project Pitch.

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*17. How did you first hear about our program?

Other

Please provide any Other Reason on how you have heard about the Program.

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NSF SBIR/STTR Phase I Eligibility Information:

In addition to receiving an invitation to submit a full proposal from the NSF SBIR/STTR Phase I Program based upon the review of their submitted Project Pitch, potential proposers to the program must also qualify as a small business concern to participate in the program (see SBIR/STTR Eligibility Guide   for more information). The firm must be in compliance with the SBIR/STTR Policy Directive(s) and the Code of Federal Regulations (13 CFR 121).

Figure 9 SBIR/STTR project pitch form page 2 (filled)

1.1.5 Form submission

- **Write down the Project Pitch case number. (Don't forget!)**
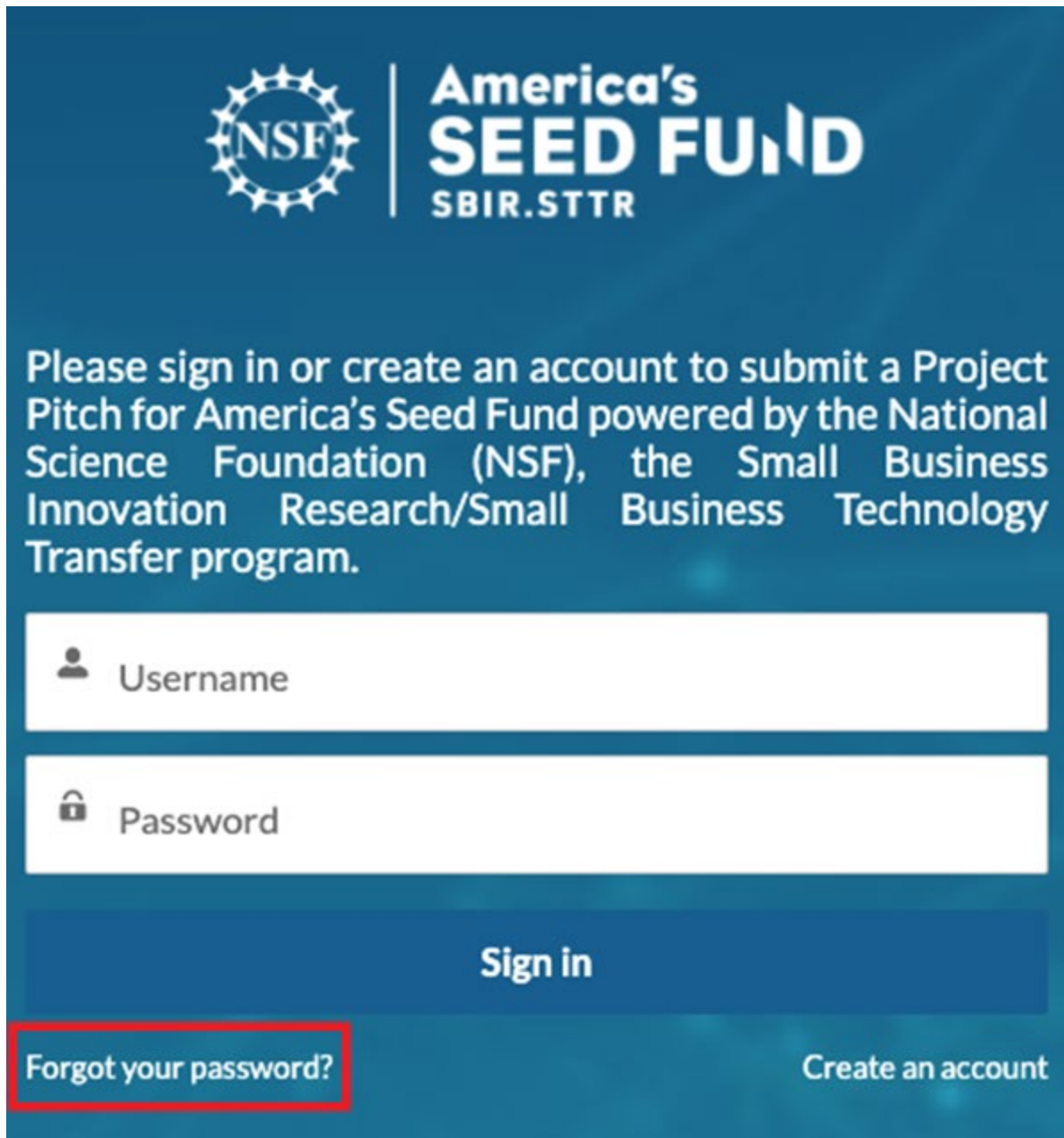
- Sign out once you have submitted the Project Pitch.

Figure 10 Project pitch submission page

1.2 SBIR/STTR account recovery

1.2.1 Sign in page

- Go to: https://nsfiip.force.com/sbir

- Click on **"Forgot your password?"**

- For users who have forgotten their usernames or email address, email your first and last name to tip-ti-tech-support@nsf.gov.

Figure 11 NSF sign in page

1.2.2 Password reset page

- Enter the email address for which you want to recover the password and click on **"Reset Password"**.

Figure 12 Reset password page

1.2.3 Password reset confirmation page

- An email has been sent to reset the password for SBIR/STTR communities.
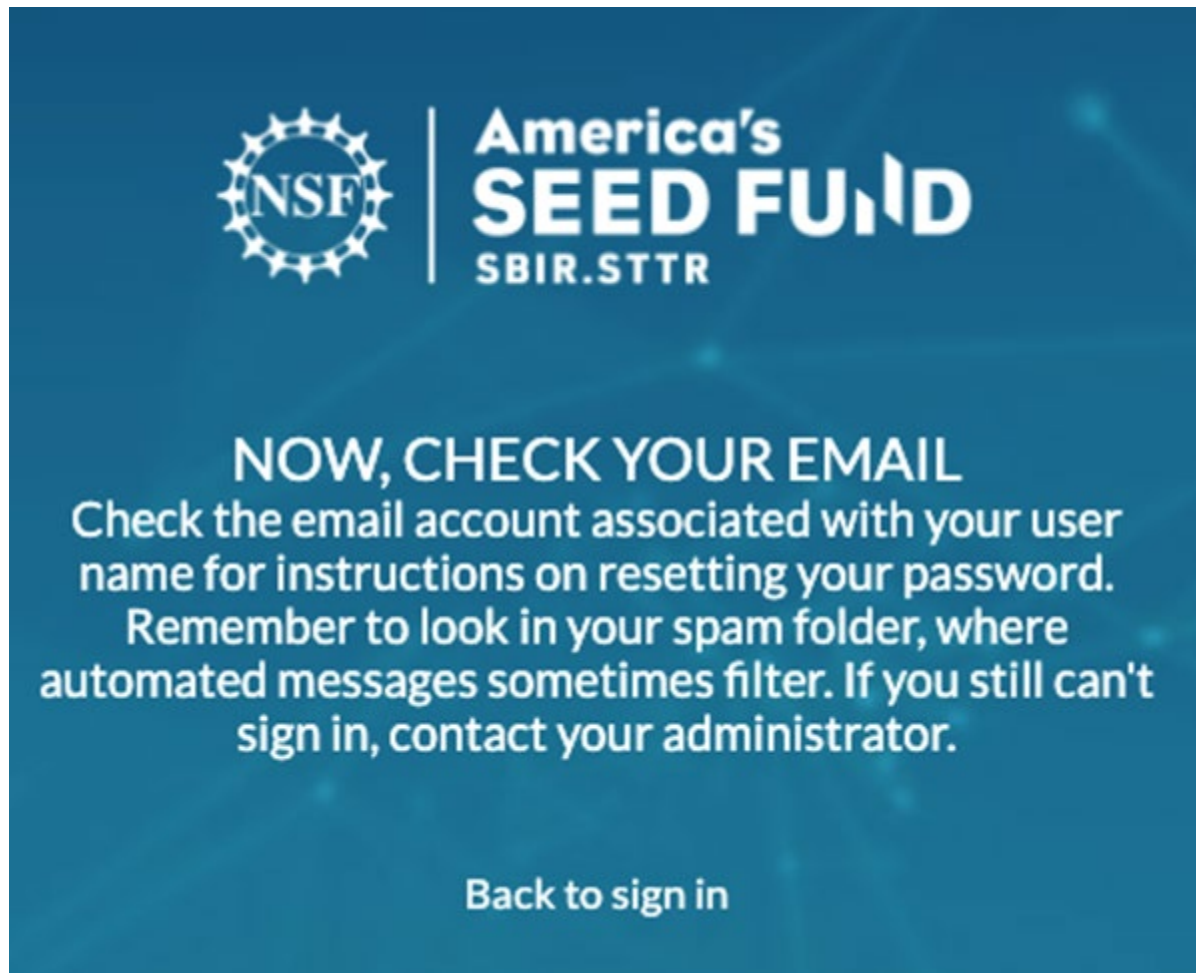
Figure 13 Password reset email confirmation page

1.2.4 Password reset link in the email alert

- Use the password reset link in the inbox to reset the password.
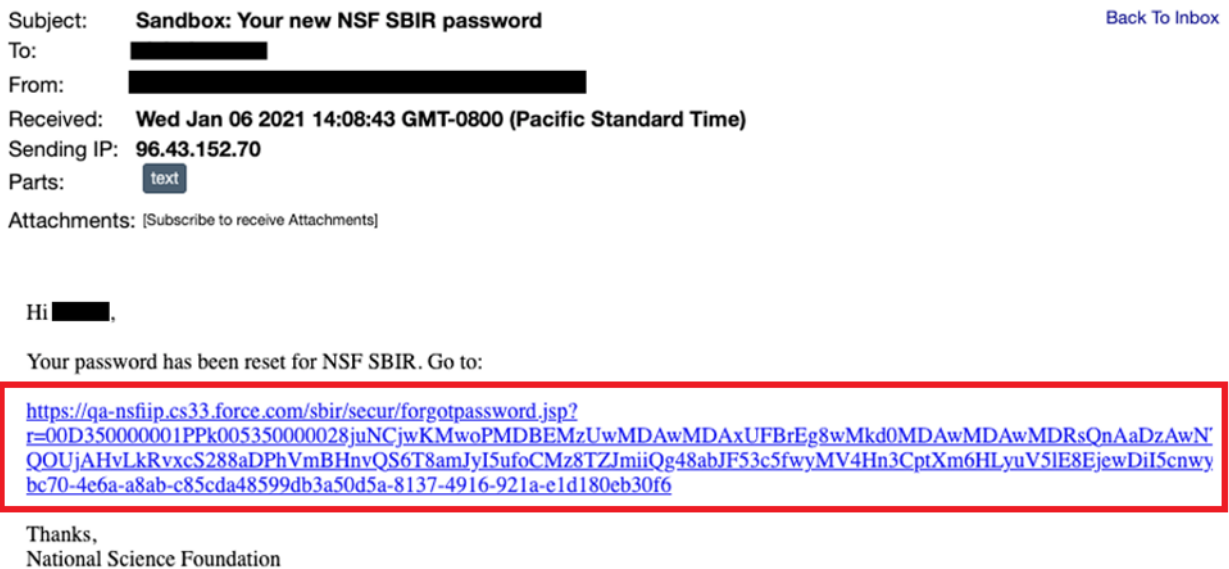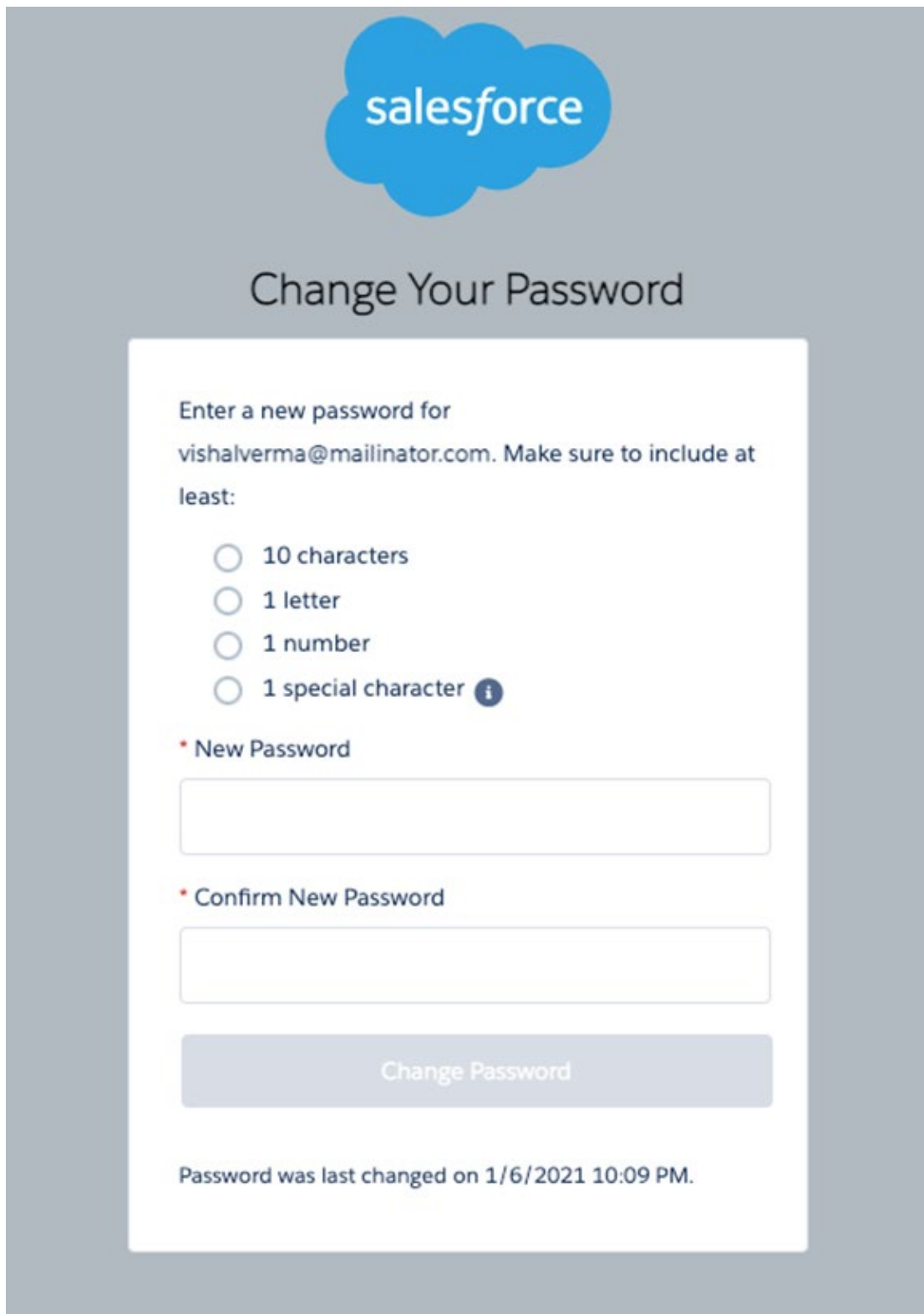
Figure 14 Email for password reset

The new password should contain:

- 10 characters

- 1 letter

- 1 number

- 1 special character

1.2.5 Change Password Page

Figure 15 Password reset page

1.2.6 SBIR/STTR Project Pitch page

- Resetting the password takes users back to the Project Pitch form.

Figure 16 Project Pitch form for SBIR/STTR

Required Registrations

Register your company (FREE and required)

If your company hasn't worked with the government before, you'll need to register with these. Every step in the process, including all of these registrations, is free.

You **must** have completed your SAM registration **before** you can begin entering your proposal in Research.gov. We recommend completing the steps in this order and starting as soon as possible!

1. [Register in SAM.gov for a Unique Entity Identifier (UEI)](#)

2. [Register in Research.gov](#)

3. [Complete the SBIR Company Registry](#)

Unique Entity ID (SAM.gov)

You MUST register to do business with the U.S. government through [System for Award Management (SAM)](#). An active SAM.gov registration is needed to receive a Unique Entity ID (UEI) to create an account in Research.gov and submit a proposal to NSF.

Timing

This registration process is free and takes only 10-15 minutes to initiate but can take up to one month to complete. Sometimes SAM registrations can take longer if the registration information provided in SAM is incomplete or not accurate.

NOTE: Once your new SAM registration is active, it takes up to two business days for NSF to receive and process your SAM information. New organizations cannot register with NSF until the organization's active SAM registration information is processed by NSF.

IRS Taxpayer Identification Number

The SAM registration information must be validated with outside parties before the registration can be activated.

When entering the organization's TIN in SAM, ensure that the organization name matches the taxpayer name associated with your TIN. A mismatch of information can result in significant SAM registration activation delays.

If the registration fails the Internal Revenue Service Taxpayer Identification Number (TIN) validation or Commercial and Government Entity (CAGE) validation with the Department of Defense's Defense Logistics Agency, the SAM registration could take significantly longer to become active.

Bank account information

When you register, you'll have to share bank account information of the account where the NSF funds would be deposited.

Financial assistance v. contract authority

To submit proposals to NSF SBIR/STTR, you only need to request "financial assistance" authority and do NOT need "contract" authority (which can be a much longer process to obtain).

** Important note about UEI numbers: The Unique Entity ID Number does not expire. However, SAM registrations must be updated and renewed each year to remain in the "active registration" status. If you do not update or renew your registration, it will be

in an "inactive" status, but your entity will still have its same UEI. If a registration is not active, an organization will not be able to submit a proposal. Additionally, if the registration is not revalidated annually, NSF will block any award approval actions.

Subrecipients must obtain a UEI

Any subrecipient(s) named in a proposal is also required to obtain a SAM.gov-issued Unique Entity ID (UEI) and register the organization with NSF. Once these two steps are complete, the subrecipient organization may be added to the proposal with the UEI.

Subrecipient(s) named in the proposal, however, do not need to go through the full UEI registration in SAM.gov. Refer to the Proposal & Award Policies & Procedures Guide (PAPPG) Chapter I.G.2.

1. Step 1: Subrecipient must obtain a UEI:

A subrecipient without a UEI must go to [SAM.gov](#) and select the green Get Started button on the "Register Your Entity or Get a Unique Entity ID" section in the upper right side of the page.

Please note, the information required for obtaining a UEI is minimal (organization's legal business name and address) and will be processed relatively quickly.

2. Step 2: Subrecipient(s) must register their organization with NSF:

Once the subrecipient obtains the UEI through [SAM.gov](#), the subrecipient must contact the NSF Help Desk at 1-800-381-1532 (7:00 AM - 9:00 PM ET; Monday - Friday except federal holidays) to register the organization with NSF.

When the subrecipient(s) contacts the NSF Help Desk, inform the technician that this is an SBIR or STTR proposal requiring subrecipient organization registration. (*Please do not attempt to register the subrecipient organization with NSF in Research.gov because the system will generate an error and will not permit the subrecipient registration.*)

To expedite the process, subrecipients should provide the following information for each unique subrecipient organization on the proposal:

- **Subrecipient UEI:** Required

- **Subrecipient Organization Name:** Required

- **Subrecipient Complete Address (Including City, State, and Zip):** Required

- **Subrecipient Phone Number:** Optional

- **Subrecipient POC:** Optional

- **Email of Subrecipient Organization:** Optional

Research.gov

Register a New Organization

Organizations must be registered with NSF to submit proposals using NSF's systems. Before a new organization can register with NSF, it must first be registered in the System for Award Management (SAM - https://www.sam.gov) Note that completion of the SAM registration process can take up to one month.

Follow the step-by-step process below to register a new organization in Research.gov.

How do I register a new organization with NSF?

- Open Research.gov

- Click "Sign In" located at the top right of the screen.

- Enter your NSF ID and password and click "Sign In."

- Click "My Profile" located at the top right of the screen.

- Click "Add a New Role" from the left navigation bar.

- Click "Add Organizational Role" located in the "Add and Manage Organizations" box.

  - Note: If an organization is new to NSF, you must start the process by setting yourself up as the Administrator for the new organization. You must have an NSF account to start this process. The system will automatically detect that the organization is new and will walk you through setting up the organization and Administrator role.

- If your organization is not already registered with NSF, a message will display to confirm that the organization is not found in NSF systems and you will be able to register the organization and become the first Administrator.

- If your organization is not already registered with NSF, a message will display to confirm that the organization is not found in NSF systems and you will be able to register the organization and become the first Administrator

Helpful Tip: If a new organization is registered with NSF without an Administrator, the first user to request a role will become the organization's first Administrator.

- Enter your contact information for the Administrator role, add your organization's information, and then click "Next." (Figure 3)

- Notice the "Administrator" role is pre-selected. Click "Next." (Figure 4)

- Review your organization's information for accuracy and click "Submit." (Figure 5)

- The request to register your organization with NSF will be forwarded via email to your organization's SAM points of contact for their information only. The SAM points of contact will **not** need to approve the request. (Figure 6)

Add a New Role to Add and Manage Organizations

| 1. Find Organization ✔ | 2. Add Information ✔ | **3. Choose Role(s)** | 4. Review |

You will be registered for the following role:

☑ Administrator (Manage Roles)

Cancel   Previous   **Next**

Add a New Role to Add and Manage Organizations

| 1. Find Organization ✔ | 2. Add Information ✔ | 3. Choose Role(s) ✔ | **4. Review** |

Review

Organization Name:	National Science Foundation
SAM Legal Business Name:	NATIONAL SCIENCE FOUNDATION
Role(s):	Administrator
Work Email:	test@associates.nsf.gov
Work Phone Number:	(123) 456-7890

Cancel   Previous   **Submit**

Add a New Role to Add and Manage Organizations

⚠ Only persons with the Authorized Organizational Representative (AOR) role can submit proposals to NSF on behalf of their organization. This role must be assigned to one or more persons in your organization before you can finalize a proposal submission. The AOR role is never assigned to any person by default. You can request the AOR role via the Add a New Role page.

✔ Success – You have been assigned the Administrator Role. You can review your role on the View My Roles page.

Organization Contact(s) ⬥	Organization Contact Type
DOE, JANE	SAM POC

Continue to My Profile ›

Add Additional Roles ›

Helpful Tip: Once an organization is registered with NSF, any updates to organizational information must be made by an organizational Administrator in SAM.gov.

Add a New Role to Add and Manage Organizations

| 1. Find Organization ✓ | 2. Add Information ✓ | **3. Choose Role(s)** | 4. Review | 5. Confirmation |

Choose Role(s)

Select all roles that apply. ❶ *What are these roles?*

- ☑ Administrator (Manage Roles)
- ☑ Authorized Organizational Representative - AOR (Submit Proposals)
- ☑ Sponsored Projects Officer - SPO (View/Edit Proposals)
- ☑ View Only (View Reports)

It is recommended that the Principal Investigator (PI) also registers as an "Authorized Organizational Representative – AOR" for the organization. The PI creates and uploads all proposal components to Research.gov and the AOR formally submits the proposal to NSF. Only PIs with AOR privileges can submit the proposal. Failing to register as an AOR is not a valid excuse for missing the solicitation deadline.

SBA Company Registry

Register your company (FREE and required)

You need to register with the [SBIR Company Registry](#) (operated by the Small Business Administration).

Company registration is meant for small businesses to register and gain access to the SBIR.gov system. Completed registrations will receive a unique SBC Control ID to be used for submissions at any of the other federal agencies with SBIR or STTR programs.

Proposal submission

SBIR/STTR proposals must be submitted via Research.gov Proposal Submission System.

This system provides the ability to create, submit, track, and update proposals. Follow the steps below for accessing Research.gov and submitting your proposal using Proposal Wizard Set-up.

Access Research.gov

- Open Research.gov.

- Click "Sign In" located at the top right of the screen and enter credentials.

- From the My Desktop page, select the "Letters of Intent and Proposals" link under the Prepare & Submit Proposals category

- Click the "Continue to Proposal System" button after reviewing the Welcome to NSF's Research.gov Proposal Submission System pop-up message.
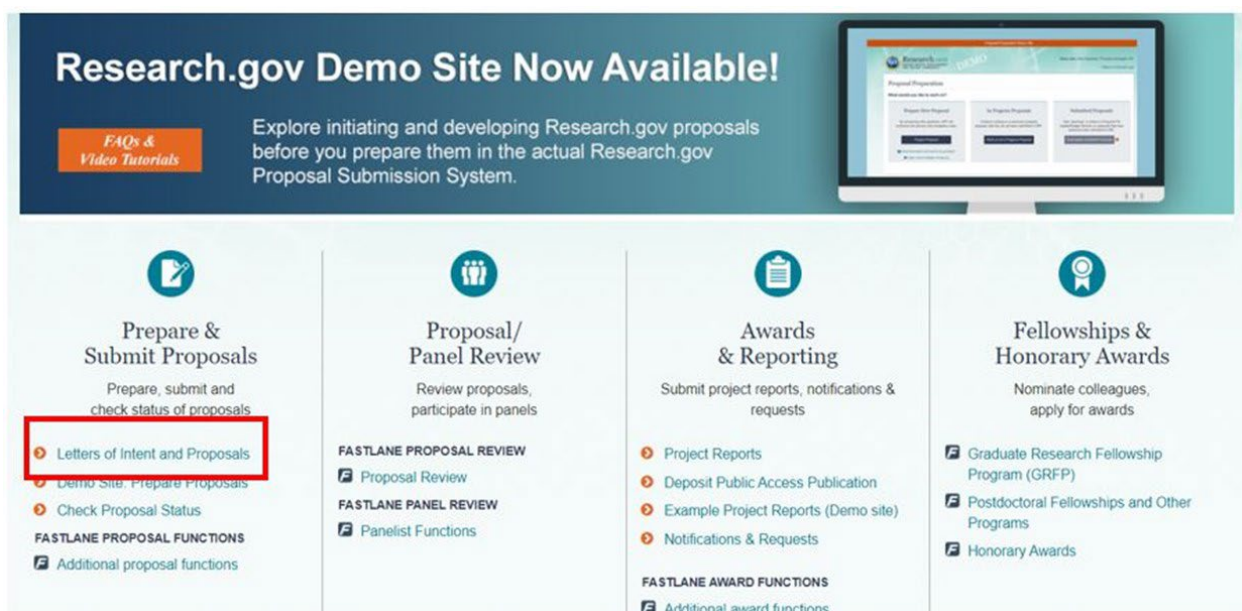
- On the next screen, select "Full Proposal" from the drop-down menu in the Prepare New tile on the preparation landing page.
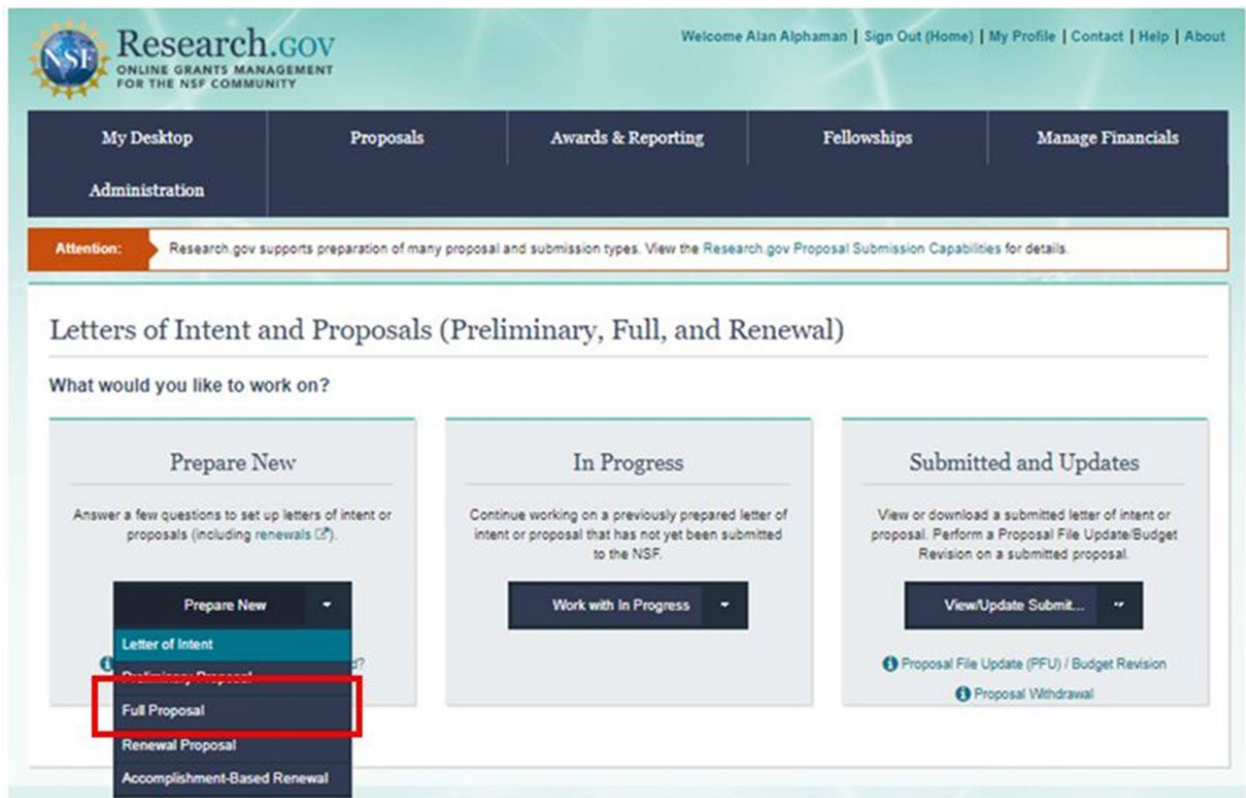
-
- Once "Full Proposal" is selected, the custom proposal setup wizard will initiate a new proposal.

Pick the solicitation

- Select one of the following SBIR/STTR funding opportunities.
    - NSF 23-515: Small Business Innovation Research (SBIR)/Small Business Technology Transfer (STTR) Phase I
    - NSF 23-516: Small Business Innovation Research (SBIR)/Small Business Technology Transfer (STTR) Phase II

	1. Funding Opportunity	2. Where to Apply	3. Proposal Type	4. Proposal Details

Select Funding Opportunity ❶ Find Funding Opportunity Number

❶ Please note the following:
- If your funding opportunity is not displayed, check whether you have the appropriate roles, and if needed, add a new role. Otherwise, check FastLane.
- If this full proposal will be related to a preliminary proposal, the preliminary and full proposals must use the same funding opportunity

Show 10 ⬍   Filter by number or keyword   Showing 41-50 of 243   « ‹Prev 3 4 **5** 6 7 Next› »

Select	Funding Opportunity Number ⬍	Funding Opportunity Title ⬍
○	NSF 22-570	Solar, Heliospheric, and INterplanetary Environment
○	NSF 22-569	Algorithms for Modern Power Systems
○	NSF 22-567	Research Visioning for Computer and Information Science and Engineering (CISE): Future Research Directions for the CISE Community
○	NSF 22-565	Civic Innovation Challenge
○	NSF 22-563	Geophysics
○	NSF 22-560	Petrology and Geochemistry
○	NSF 22-555	Pathways into the Earth, Ocean, Polar and Atmospheric & Geospace Sciences
○	NSF 22-552	NSF Small Business Innovation Research Phase II (SBIR)/ Small Business Technology Transfer (STTR) Programs Phase II
○	NSF 22-551	NSF Small Business Innovation Research (SBIR)/ Small Business Technology Transfer (STTR) Programs Phase I
○	NSF 22-549	Accelerating Innovations in Biomanufacturing Approaches through Collaboration Between NSF and the DOE BETO funded Agile BioFoundry

- Select the appropriate SBIR or STTR program and Phase.

- Confirm proposal type. The proposal type is driven by the program that was selected.

- Select the appropriate radio button.
  - Is your organization a sole proprietorship? (A sole proprietorship is an unincorporated business owned and run by one individual with no distinction between the business and the owner.)
    - Yes. My organization is a sole proprietorship.
    - No. My organization is not a sole proprietorship. My organization is an LLC, Corporation, etc.

- If the proposal is a Phase II proposal, the "Proposal Title", an **SBIR or STTR Phase I award number must be entered**. Once the 'Validate' button is clicked, the proposal title of the SBIR/STTR Phase I award will be automatically added into the Phase II proposal title. You will have the ability to edit the proposal title.

- Select the Prepare Proposal button to create the proposal based on the selections made in the proposal setup wizard and to continue.

- Once a proposal is prepared, the proposal main page opens for the PI to upload proposal documents and to perform proposal actions such as adding co-PIs and OAUs and sharing access with SPOs and AORs.

Find Research.gov help guides

Frequently asked questions

Have lingering questions? Visit Research.gov FAQ, which cover the pre-application process to post-award reporting (and everything in between).

Research.gov How-To Guides and Tutorials

- Access the How-to guides for:
  - Initiating a New Proposal
  - Sharing Proposal and Proposal File Update/Budget Revision Access with SPO/AOR
  - Entering Proposal Budgets
  - Adding or Removing Subaward Organizations
  - Adding or Removing Collaborators and Other Affiliations
  - Deleting an In Progress Letter of Intent, Proposal, or Proposal File Update/Budget Revision
  - Submitting Letters of Intent and Proposals
  - Submitting Proposal File Updates/Budget Revisions
  - View Video tutorials page (with helps such as a 17-minute Research.gov Proposal Demo video)
  - Other resource available: Research.gov Help System

Contact the Research.gov Help Desk (1-800-381-1532 or rgov@nsf.gov) for IT system or accessiblity-related questions (7:00 AM – 9:00 PM Eastern Time; Monday – Friday except federal holidays). SBIR and STTR program-related questions should be directed to sbir@nsf.gov.

Definitions

Award support/performance period

For Phase I awards, the award support/performance period is at the discretion of the submitting organization and can range from 6 to 12 months. For Phase II awards, the award support/performance period begins on the award's effective date and usually ends 24 months later.

Commercialization

The process of developing markets and producing and delivering products or services for sale (whether by the originating party or by others). We use the term to include government and non-government markets.

Consultant

A person who contributes to a company's research (as described in their proposal) and who isn't an employee of that company. Consultants can be paid or unpaid. More information on how to distinguish between consultants and employees can be found here: https://www.irs.gov/businesses/small-businesses-self-employed/independent-contractor-self-employed-or-employee.

Cooperative research and development

In the context of the STTR program, cooperative research and development is that conducted jointly by a small business and a research institution. As measured by the budget, the small business must perform at least 40 percent of the research, and the research institution must perform at least 30 percent.

Development

Systematically applying knowledge to produce useful materials, devices, and systems or methods. Development may include designing, developing, and improving prototypes and processes to meet specific requirements.

Effective date

An award's **effective date**, which appears in the body of the award letter, is the date on or after which proposed work is expected to begin. The effective date is different from the **award date**, which indicates when the award was made administratively and which appears in the upper right-hand corner of the award letter. At NSF, the effective date and the award date usually occur within 1-2 weeks of each other.

Equivalent proposal

An equivalent proposal is one that contains a description of work that completely overlaps (matches) the work described in another proposal.

Expiration date

For Phase I awards, the expiration date is the last day of the performance period. For Phase II awards, the expiration date is the last day of the award support period, which is usually 24 months long.

Funding Agreement

As used in this solicitation, the funding agreement is a Grant – a legal instrument of financial assistance between NSF and an awardee, consistent with 31 USC 6302-6305 and as noted in the NSF Proposal & Award Policies Guide (PAPPG) Introduction, Section D ("Definitions & NSF-Grantee Relationships").

Joint venture

A joint venture is an association of people or business concerns who, either by express or implied contract, are working together to execute a single business venture for joint profit. These people or concerns may combine their efforts, skills, property, money, or knowledge, but only on a temporary basis.

A joint venture has the capability to control its own management, has its own Employer Identification Number as assigned by the Internal Revenue Service (IRS), and is eligible under the SBIR Program, provided that it qualifies as a small business concern as defined in this glossary.

Non-Dilutive Funding

Financing that does not involve equity, debt, or other elements of the business ownership structure.

Overlapping proposals

An overlapping proposal is one that contains a description of work that overlaps (matches) the work described in another proposal.

Permanent equipment

Equipment is defined as a piece of non-expendable, tangible personal property that has a useful life of more than one year and an acquisition cost of $5,000 or more per unit. Individual companies may choose capitalization thresholds of less than $5,000.

Place of performance

Place of performance is a term that describes where awardees conduct the work outlined in their proposals. Phase I and Phase II awardees must perform all of their research in the United States, which includes:

- The 50 states

- The territories and possessions of the U.S. federal government

- The Commonwealth of Puerto Rico

- The District of Columbia

- The Republic of the Marshall Islands

- The Federated States of Micronesia

- The Republic of Palau

Principal investigator

The Code of Federal Regulations, Title 42, Part 52, defines a Principal Investigator as "the single individual designated by the grantee in a grant application who is responsible for the scientific and technical direction of the project." Many awardees like to think of Principal Investigator (PI) as a project's technical lead. Companies that wish to change their PIs must get approval from the NSF.

Proposer

A proposer is the organization (company or small business) seeking SBIR/STTR funding.

Research and Development (R&D):

Broadly defined in 2 CFR § 200.1, but specified for the NSF SBIR/STTR program as follows:

- The application of creative, original and potentially transformative concepts to systematically study, create, adapt, or manipulate the structure and behavior of the natural or man-made worlds.

- The use of the scientific method to propose well-reasoned, well-organized activities based on sound theory, computation, measurement, observation, experiment, or modeling.

- The demonstration of a well-qualified individual, team, or organization ready to deploy novel methods of creating, acquiring, processing, manipulating, storing, or disseminating data or metadata.

- The novel integration of new theories, analysis, data, or methods regarding cognition, heuristics, and related phenomena, which can be supported by scientific rationale.

Research institution

Within the context of the SBIR/STTR program, research institutions include:

- Nonprofit universities

- Nonprofit research institutions as defined in section 4(5) of the Stevenson-Wydler Technology Innovation Act of 1980

- Contractor-operated, federally funded research and development centers (FFRDCs), as identified by the National Science Foundation in accordance with the government-wide Federal Acquisition Regulation issued in accordance with section 35(c) (1) of the Office of Federal Procurement Policy Act (or any successor legislation thereto)

- Federal laboratories

Research institution investigator

The single person, designated by the research institution, who is responsible for the scientific and technical direction of the partner research institution involved in a Small Business Technology Transfer (STTR) project.

SBIR/STTR Data

As defined by the [SBA SBIR/STTR Policy Directive](#), SBIR/STTR Data is all Data developed or generated in the performance of an SBIR or STTR award, including Technical Data and Computer Software developed or generated in the performance of an SBIR or STTR award. The term does not include information incidental to contract or grant administration, such as financial, administrative, cost or pricing or management information.

SBIR/STTR Data Rights

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Small business concern (SBC)

A business concern that, at the time of the Phase I or Phase II award, meets the following criteria:

- Is organized for profit.

- Is located in the United States or makes a significant contribution to the U.S. economy through payment of taxes or use of American products, materials, or labor.

- Is in the legal form of an individual proprietorship, partnership, limited liability company, corporation, joint venture, association, trust or cooperative. If the business is a joint venture, it can have no more than 49 percent participation by foreign business entities.

- Is at least 51 percent owned and controlled by one or more people who are U.S. citizens or permanent resident aliens.

- Have no more than 500 employees (including affiliates).

Socially and economically disadvantaged individual

A member of any of the following groups: Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, other groups designated from time to time by the Small Business Administration (SBA) to be socially disadvantaged, and any other individual found to be socially and economically disadvantaged by SBA pursuant to Section 8(a) of the Small Business Act, 15 U.S.C. ; 637(a). For more information on this definition, contact the SBA.

Socially and economically disadvantaged small business

A socially and economically disadvantaged small business concern is one that is at least 51 percent owned and managed by one or more socially and economically disadvantaged people (who also control and the day-to-day operations). In this context, *control* means making policy decisions. *Operate* means being actively involved in day-to-day management.

Subaward (contract or subcontract)

Any agreement that a small business concern makes with another organization to procure supplies or services needed to complete work outlined in the funding agreement.

Technical data

Data developed by the awardee as they're completing the work outlined in their proposal and funded by their award. Technical data could include information relating to an invention, a manufacturing process, or software developed under the award.

Technical Innovation

Technical innovation indicates that the new product or service is differentiated from current products or services; that is, the new technology holds the potential to result in a product or service with a substantial and durable advantage over competing solutions on the market. It also generally provides a barrier to entry for competitors. This means that if the new product, service, or solution is successfully realized and brought to the market, it would be difficult for a well-qualified, competing firm to reverse-engineer or otherwise neutralize the competitive advantage generated by leveraging fundamental science or engineering research techniques.

Technical Risk

Technical risk assumes that the possibility of technical failure exists for an envisioned product, service, or solution to be successfully developed. This risk is present even to those suitably skilled in the art of the component, subsystem, method, technique, tool, or algorithm in question.

Women-owned small business

A small business concern that is at least 51 percent owned by a woman or women. In the case of any publicly owned business, it must have at least 51 percent of its stock owned by women, who also control and operate it. In this context, *control* means exercising the power to make policy decisions. *Operate* means being actively involved in the day-to-day management of the organization.