

SBIR STTR Projects Some of Which Include a COI Mixer

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UNC SYMPOSIUM
for
RESEARCH ADMINISTRATORS

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Acknowledgement and Disclosure Statement

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- The speakers have \$0 financial conflicts of interest to report regarding this topic.
- The speakers would like the audience to be aware they have significant personal interests in educating research administrators on this topic since:



Overview

- SBIR/STTR Project and UNC
- SBIR/ STTR Proposal Tips
- SBIR/ STTR Award Tips
- What you need to know about COI when working on an SBIR/ STTR Project
- Progress Reports & Data
- Resources
- Questions



What is an SBIR/ STTR Project?

- Small Business Innovation Research (SBIR)
 - Can be company only or is allowed to have academic sub-recipient
- Small Business Technology Transfer (STTR)
 - Must have academic or research lab sub-recipient
- Congressionally mandated funding to support research & development
- Goal- Stimulation of technological innovation and private sector commercialization of technology
- Only Small Business Concerns (SBC) [aka company] are Eligible to Apply as the Prime Recipient.



SBIR/STTR's At UNC

	Proposals Submitted	Awards received	Percentage Awarded	Total Dollar Awards
SBIR				
FY17	51	20	39%	1,601,059
FY18	65	24	37%	2,350,416
FY19	56	26	46%	2,022,764
STTR				
FY17	47	11	23%	1,314,079
FY18	56	20	36%	1,715,985
FY19	57	24	42%	1,842,543
TOTALS	332	125	38%	10,846,846

SBIR/ STTR Proposal Tips

- F&A Waiver – When is it applicable?
- UNC SBIR/STTR LOI Template – **required**
(<https://research.unc.edu/files/2019/07/OSR-SBIR-STTR-Letter-of-Intent.pdf>)
- Importance of Detailed Scope of Work
- Can the SBC do work in NC? What address are they registered with?
- SBC Contact & Personnel – No UNC Employees! Spouse or Partner yikes...
- Request Full proposal now, required after submission... Award can't be set-up without it.



SBIR/ STTR Award Tips

- Using the guidance sheet and tips to submit an SBIR/ STTR proposal will decrease the time it takes to set-up an award.
- Notify OSR immediately once award is received – COI & Agreement negotiation can be lengthy.
 - Award Received status triggers automated award notification emails to IACUC, Export, COI and Technology Transfer
- Admin Unit provide contract template directly to SBC to decrease negotiation time
- Be clear in documentation of use of other personnel working but not paid on project

Choices....

UNC SBIR/STTR Agreement Template – Use it if they will accept it!

OR

If SBC doesn't want to use the template, Admin Unit must review the certification section in template to ensure the company can provide these assurances:

- Company is registered in North Carolina to do business and searchable on the NC Secretary of State website with a non-University (not UNC-CH) address.
- Company contact person, negotiation/ legal contact, responsible party for prime award fiscal, purchasing, and grant processing, and authorized signature authority on all notices related to this project are non-UNC-CH employees nor spouse/ partner of UNC employee.

[***Actually, they shouldn't be state employees at all.....]



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COI Overlap with SBIR STTR Projects

Sample questions that are asked during the COI Review Process for setup at Award:

- Does the Lead PI of the Sub Award have any relationships with the company (consultant, equity, licensed IP, spouse)?
- Who's running the SBC and representing to Federal Sponsor?
- Who's doing the work on the SBC side and is there an overlap in scope?

See Guidance Document for other items

Bottom line: Good data in the proposal equals faster outcome at time of award.



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How Many At UNC with COI?

	Proposals Submitted	Awards received	% Awarded	Total Dollar Awards	Awards with Conflicts	% of Awards w/COI	Conflicted Individuals Involved
SBIR							
FY17	51	20	39%	1,601,059	7	35%	9
FY18	65	24	37%	2,350,416	6	25%	7
FY19	56	26	46%	2,022,764	13	50%	15
STTR							
FY17	47	11	23%	1,314,079	7	64%	7
FY18	56	20	36%	1,715,985	10	50%	12
FY19	57	24	42%	1,842,543	10	42%	33
TOTALS	332	125	38%	10,846,846	53	42%	83



Progress Reports..... and Data

- All progress and/or final reports must be submitted through Ramses. A specific SBIR STTR Report IPF type is being created but until this is finalized select the Progress Report type and include SBIR/STTR Report in the Title.
- Admin Unit should be mindful of ensuring other support and/or visiting scholars are included as necessary in the report before indicating dept approval.
- For certain projects where there is a COI, the Lead PI will be responsible for completing a data confirmation report, forwarding to the Unit Chair and then attaching to the SBIR STTR IPF. Lead PIs are notified of this requirement upon award.



Resources

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OSR Website SBIR/STTR <https://research.unc.edu/sponsored-research/resources/sbir-and-sttr-programs/>

- Guidance Document
- Letter of Intent (LOI)
- Agreement Template

Questions: researchadmin@unc.edu

Office of Technology and Commercialization

- Area for UNC employees and companies
 - <https://otc.unc.edu/inventors/sbir-sttr-employees/>
 - <https://otc.unc.edu/inventors/sbir-sttr-companies/>

Questions: otc@unc.edu

COI Program

COI Questions: coi@unc.edu



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Questions



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