



SBIR/STTR Phase 0: Frequently Asked Questions

Question: *Must I have formed a company prior to applying for Phase 0 funding?*

Answer: Having a company formed at the time of a Phase 0 application submission is preferred, but exceptions may be granted on a case-by-case basis. For further explanation, please refer to the federal SBIR/STTR eligibility requirements, which state: “you do not have to certify eligibility until the time of award, and most agencies allow you to submit an application prior to establishing the business that will receive the award. However, to avoid potential complications, you should discuss this with the procuring agency’s contracts or grants officer before applying.”

Question: *May exceptions be granted to the eligibility requirement “Applicants must conduct at least 51% of the research they describe in their federal proposal within Oregon” if there is a compelling reason to purchase the majority of services and materials out of state?*

Answer: In some cases, a majority of services or materials must be purchased outside of Oregon to complete research affiliated with an SBIR/STTR grant. Exceptions will be considered on a case-by-case basis. Please provide a written statement explaining what services or materials will be purchased outside of the state of Oregon.

Question: *May I apply for Phase 0 funding if I am resubmitting an SBIR/STTR proposal?*

Answer: Yes. If you are awarded Phase 0 funding the first of the three reviews included in the program will be a critical analysis focusing on reviewer comments from the initial SBIR/STTR submission.

Question: *Are the reviewers required to sign a non-disclosure agreement (NDA) before evaluating a proposal?*

Answer: Yes. All reviewers are required to sign NDAs to participate in the program.

Question: *What criteria are used to evaluate proposals?*

Answer: The criteria to rank and evaluate the Phase 0 proposals are as follows:

- Clear and compelling abstract
- Significance of the proposed innovation
- Technical merit, topic responsiveness, and timeline
- Commercial potential
- Concise, coherent proposal and application
- Team and available resources (qualifications, balance, etc.)
- Detailed outline of Phase I, II or Fast-track plan and timeline

Question: *How long before a decision is made regarding my Phase 0 application?*

Answer: Applicants will be notified within ten days of submitting a Phase 0 application.

Please further clarification please contact:

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