

<b>Subject:</b>  <b>Small Business Innovative Research (SBIR)</b>	<b>Effective Date:</b> January 31, 1995	<b>Initiated by:</b>  Deputy Director
	<b>Supersedes:</b> TOP 20.002 Dated 3/22/88	<b>Approved:</b>  Director

**Applicability**

This procedure is applicable to requests for small businesses for innovative research activities.

**Introduction**

Individual investigators occasionally submit Small Business Innovative Research (SBIR) proposals to PPPL which require the use of Laboratory resources. This procedure provides guidelines to PPPL staff to avoid any subsequent conflict while talking with an SBIR investigator preparing a grant request that requires PPPL participation.

PPPL approval of an SBIR grant request for the use of the Laboratory's resources must be obtained prior to submission to DOE for approval. PPPL approval is contingent upon Policy P-021, Small Business Innovative Research and :

1. PPPL labor, material, and facility costs to be funded as part of the SBIR proposal.
2. When it is determined that the SBIR assumption of PPPL resource costs are not practical, Laboratory participation will be considered only if the proposed project is clearly supportive of planned programmatic goals and that the cost can be assumed by the project.

**Reference Documents**

P-021, Small Business Innovative Research  
Public Law 97-219 (1982)  
Public Law 99-443 (1993)

**Procedure****Responsibility****Action**

Contacted Individual  
at PPPL

1. Documents, via memo to PPPL's Deputy Director, contact by a prospective SBIR investigator requesting use of PPPL personnel and/or facilities.
2. Requests the SBIR investigator to write a letter directly to PPPL's Deputy Director identifying, in detail, the nature of the proposed research project; its relationship to PPPL's programmatic objectives; the type(s) of Laboratory support required; and the name of the researcher's contact within the Laboratory.

PPPL Deputy  
Director

3. Discusses with appropriate staff, upon receipt of SBIR investigator's written request letter, to determine the Laboratory's position in accordance with the guidelines stipulated in P-021 and this procedure.
4. Informs, in writing, the SBIR investigator of the Laboratory's position in reference to the SBIR request.