

TABLE OF CONTENTS

Small Business Innovation Research Assistance Grants

Definitions	32-176- 1
Eligibility	32-176- 2
Application and procedures	32-176- 3
Grant award criteria	32-176- 4
Grant awards and agreements	32-176- 5
Disbursement	32-176- 6

Small Business Innovation Research Assistance Grants

Sec. 32-176-1. Definitions

“Commissioner” means the Commissioner of Economic Development.

“Department” means the Connecticut Department of Economic Development.

“Small Business” means a corporation, partnership, sole proprietorship or individual, operating a business for profit, which employs two hundred fifty or fewer employees, including employees employed in any subsidiary or affiliated corporation, which otherwise meets the requirements of the Federal Small Business Innovation Research Program.

“Small Business Innovation Research Program (SBIR)” means the federal program established pursuant to the Small Business Innovation Development Act of 1982 (P.L. 97-219) which provides funds to small businesses to conduct innovative research which has potential commercial applications.

“Connecticut Small Business” means, for the purpose of these Regulations, a Small Business with a principal place of business or branch facilities in Connecticut.

“Phase I and Phase II” means stages of research work as defined in the federal Small Business Innovation Development Act of 1982 (P.L. 97-219) or the federal Regulations relating to such Act.

(Effective November 3, 1987)

Sec. 32-176-2. Eligibility

To be eligible for a grant under these Regulations an applicant must:

1. be a Connecticut Small Business;
2. be a recipient of, and performing research work under, a federal SBIR Phase I grant which expires after July 1, 1987;
3. have submitted a federal Final Report for its federal SBIR Phase I research work and have submitted a proposal for a federal SBIR Phase II continuing research grant;
4. be applying for a grant hereunder to cover, in whole or in part, the cost of labor, consumable materials and, to the extent acceptable to the Commissioner, subcontracted research work necessary to continue to perform its research effort until the receipt of further funding from a related federal SBIR Phase II grant; and
5. perform such research solely in Connecticut.

(Effective November 3, 1987)

Sec. 32-176-3. Applications and procedures

To be considered for a grant the applicant must within thirty (30) days following submission of its federal Phase II proposal and on forms prescribed by the Commissioner, submit to the Commissioner an application for grant, together with:

1. A copy of the applicant’s federal SBIR Phase I Program proposal and award notification;
2. A copy of the applicant’s final Phase I report and the related federal SBIR program Phase II research proposal, as well as evidence that they have been properly submitted to the federal agency involved;
3. A proposal describing research work to be performed with the grant requested under these Regulations;
4. The applicant’s certification that the continuing research work will be performed solely in Connecticut; and
5. Such other information and documents as the Commissioner may from time to time require.

(Effective July 28, 1992)

Sec. 32-176-4. Grant award criteria

Applications will be reviewed and evaluated on the basis of the following, among other criteria:

1. The prospects that the research will lead to a commercially viable product having a significant potential for technological and economic development in Connecticut;
2. The degree to which the requested grant is needed and necessary to enable the applicant to continue its research effort; and
3. The degree to which there exists a linkage of the applicant or its research work to Connecticut institutions of higher education.

(Effective November 3, 1987)

Sec. 32-176-5. Grant awards and agreements

(a) Eligible and properly submitted applications shall be reviewed and approved by the Commissioner or by his or her designee. Such review shall consider the criteria established in Sec. 4 of these Regulations.

(b) No grant may exceed \$20,000.

(c) Upon approval of an application by the Commissioner or his or her designee, the Commissioner and the applicant shall enter into a Grant Agreement which shall set forth the amount of grant approved, the terms and conditions set forth by these Regulations, and such other terms and conditions considered by the Commissioner to be necessary, including, without limitation, conditions for the termination of the grant.

(d) Conditions for the termination of a grant issued under these Regulations shall, without limitation, include:

1. Determination by the Commissioner that the work being, or to be, performed with the proceeds of the grant, or with the proceeds of any other grant approved for the benefit of the applicant under Section 5 (c) of these Regulations, is inconsistent with the applicant's respective grant application;

2. Receipt by the applicant or Department of a notification of denial of the related federal SBIR Phase II continuing research grant; and

3. Evidence of fraud or mismanagement, voluntary or involuntary bankruptcy or any felony conviction which, in the Commissioner's opinion, incapacitates the applicant's ability to perform the work for which the grant was approved or renders such performance contrary to the interest of the State of Connecticut.

(Effective March 28, 1991)

Sec. 32-176-6. Disbursement

Disbursement of the approved grant shall be in accordance with the grant agreement.

(Effective November 3, 1987)