



National Institutes of Health
Office of Extramural Research



Overview of the NIH SBIR/STTR Program

NCI SBIR Workshop on Federal Resources
to Accelerate Commercialization

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2.7%

SMALL BUSINESS INNOVATION RESEARCH (SBIR) PROGRAM

Set-aside program for small business concerns to engage in Federal R&D -- with potential for commercialization.

0.35%

SMALL BUSINESS TECHNOLOGY TRANSFER (STTR) PROGRAM

Set-aside program to facilitate cooperative R&D between small business concerns and U.S. research institutions -- with potential for commercialization.





SBIR Eligibility Criteria

From 1/28/2013 FOAs going forward



Organized as **for-profit** U.S. business



Small: **500** or fewer employees, including affiliates



PD/PI's **primary employment** must be with **small business concern** at time of award and for duration of project period



Greater than **50% U.S.- owned by individuals** and independently operated **or**

Greater than **50% owned and controlled by other business concern/s** that is/are greater than 50% owned and controlled by one or more **individuals** **OR**



Be a concern which is more than 50% owned by multiple venture capital operating companies, hedge funds, private equity firms, or any combination of these





Applicant is Small Business Concern



Formal Cooperative R&D Effort

- Minimum 40% by small business
- Minimum 30% by U.S. research institution



U.S. Research Institution

- College or University; other non-profit research organization; Federal R&D center



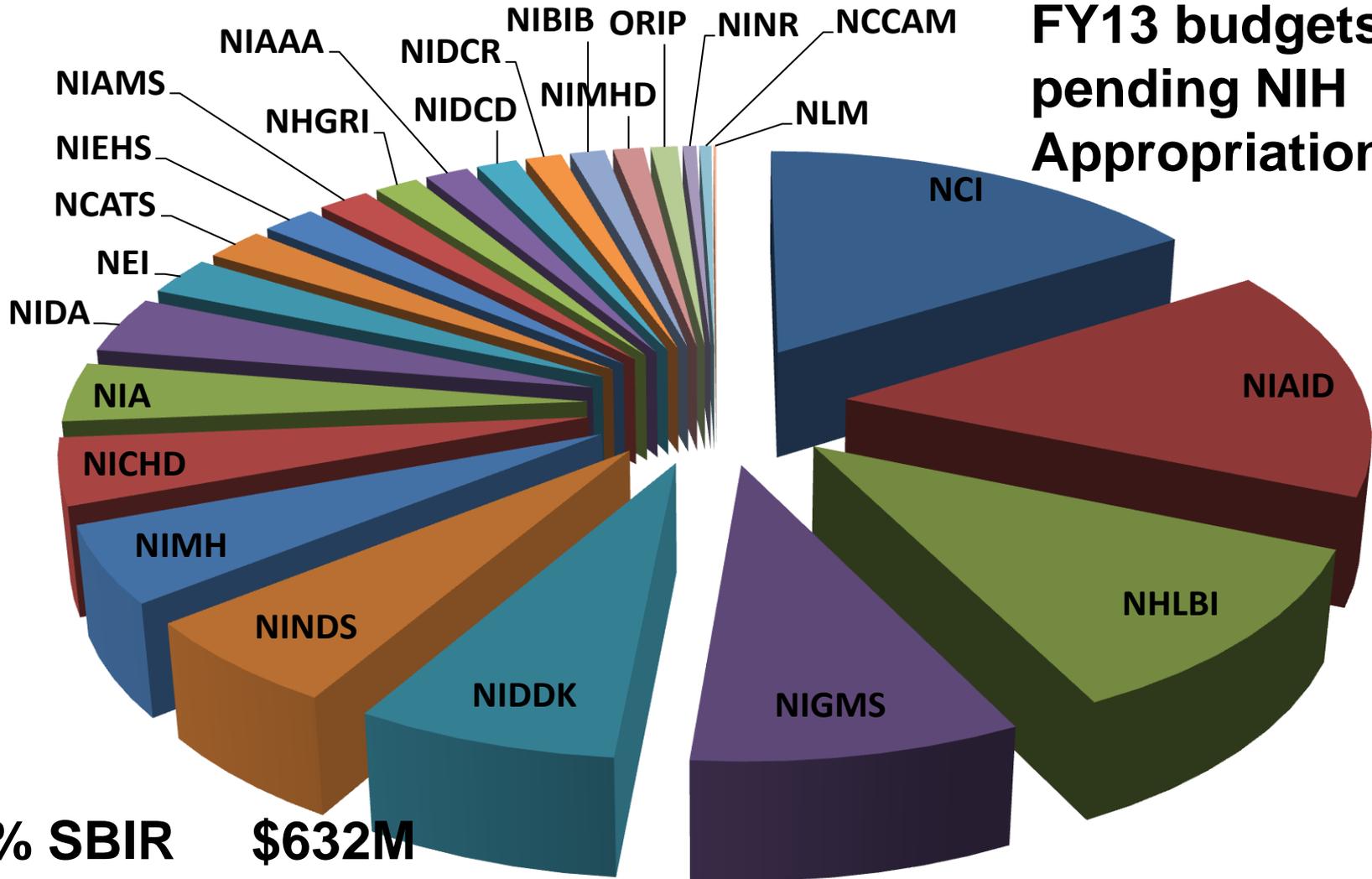
Intellectual Property Agreement

- Allocation of Rights in IP and Rights to Carry out Follow-on R&D and Commercialization



NIH SBIR/STTR Budget Allocations FY2012

FY13 budgets pending NIH Appropriation



2.6% SBIR \$632M
0.35% STTR \$85M
Total FY2012 \$717M



NIH-wide SBIR/STTR Success Rates

Fiscal Year	SBIR/STTR	Phase	Number of Applications Reviewed	Number of Applications Awarded	Success Rate	Total Funding
2011	SBIR	Fast Track	409	42	10.3%	\$10,059,904
2011	SBIR	Phase 1	4,672	536	11.5%	\$123,802,074
2011	SBIR	Phase 2	681	203	29.8%	\$137,152,687
2011	STTR	Fast Track	42	4	9.5%	\$813,900
2011	STTR	Phase 1	508	80	15.7%	\$18,321,516
2011	STTR	Phase 2	103	37	35.9%	\$20,977,584
2011	FY TOTAL		6,415	902	14.1%	\$311,127,665
2012	SBIR	Fast Track	358	57	15.9%	\$13,985,802
2012	SBIR	Phase 1	4,287	667	15.6%	\$154,237,890
2012	SBIR	Phase 2	557	222	39.9%	\$153,650,162
2012	STTR	Fast Track	32	11	34.4%	\$2,840,632
2012	STTR	Phase 1	542	110	20.3%	\$23,857,700
2012	STTR	Phase 2	71	28	39.4%	\$18,240,418
2012	FY TOTAL		5,847	1,095	18.7%	\$366,812,604





<http://sbir.nih.gov>

Grants & Funding

Welcome to the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs at the National Institutes of Health

News Flashes

- NEW** Nomination period extended until February 7, 2013 for SBA Tibbetts Awards and SBIR Hall of Fame
- NEW** PHS 2013-2 Omnibus Solicitation for SBIR/STTR Grants Now Available
- 2013 Spring SBIR/STTR National Conference, May 14-16 National Harbor, MD
- NIH Office of Technology Transfer offers new exclusive license agreements for start-up companies

(Current, Archived News Flashes)

Funding Opportunities for U.S. Small Businesses

<p>2013 SBIR and STTR Omnibus Grant Solicitations of the NIH, CDC, FDA and ACF</p>	<p>NEW SBIR Parent Funding Opportunity Announcement (PA-13-088)</p> <p>NEW STTR Parent Funding Opportunity Announcement (PA-13-089)</p> <p>NEW Program Descriptions and Research Topics (PDF - 1 MB or MS Word - 1 MB)</p> <p>NEW SBA Approved Topics that can Exceed Award Cap for NIH (PDF - 91 KB)</p>	<p>Standard Receipt Dates: April 5, Aug 5, Dec 5</p> <p>AIDS and AIDS-Related Receipt Dates: May 7, 2013, September 7, 2013, January 7, 2014</p>
<p>Special Funding Opportunities and Announcements</p>	<p>See individual announcements</p>	<p>Receipt dates vary. See individual announcements for dates.</p>

NIH SBIR/STTR Reauthorization Implementation

REPORT FRAUD, WASTE AND ABUSE

The Office of Inspector General Hotline accepts tips from all sources about potential fraud, Health & Human Services programs. The reporting individual should be relevant.

Report Fraud

What Are SBIR and STTR Programs?

Standard Due Dates: Apr 5; Aug 5; Dec 5





- **NIH, CDC, FDA, & ACF SBIR/STTR Grant Solicitation ****
“Parent” FOAs: **SBIR: [PA-13-088](#)** **STTR: [PA-13-089](#)**
Release: January
Standard Due Dates: April 5, **Aug 5**, Dec 5
(AIDS/AIDS-related: **May 7**, Sept 7, Jan 7)

- **SBIR Contract Solicitation (NIH, CDC)**
Release: August November **13th, 2012** close date

- **NIH Guide for Grants and Contracts**
Release: Weekly Receipt dates specified in each FOA
(<http://grants.nih.gov/grants/guide/index.html>)



Important changes in this year's Omnibus Grant Solicitations

- See <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-027.html> for details.
- New SBIR/STTR award budget HARD caps in place

Award Guidelines

Program	Phase I	Phase II
SBIR	\$150,000	\$1,000,000
STTR	\$150,000	\$1,000,000

Award Hard Caps – cannot exceed

Program	Phase I	Phase II
SBIR	\$225,000	\$1,500,000
STTR	\$225,000	\$1,500,000





- Technical Assistance option
 - NIH offers distinct [technical assistance programs](#) to SBIR Phase I and Phase II awardees (Niche & CAP)
 - Applicants wishing to utilize their own technical assistance vendor are required to include this in your budget and provide a detailed budget justification.
 - Please note, if funds are requested to utilize your own technical assistance vendor and an award is made, the awardee is not eligible to apply for the NIH-provided technical assistance program for the phase of their award.





1. No Switching mechanisms at Phase II

- Applicants **cannot** apply for Phase II SBIR funding based on a Phase I STTR award or conversely a Phase II STTR based on a Phase I SBIR award. Similarly, applicants **cannot** apply for a Phase IIB SBIR or STTR based on a Phase II STTR or SBIR award, respectively.

2. No Direct Phase II applications (pilot FOAs when implemented)

Why not? NIH is currently updating its electronic systems and forms for these provisions.





3. VC-backed companies (VCOC, Hedge fund, private equity firm) **CANNOT** apply at this time.

4. SBA Company registry at SBIR.gov.

Why not? SBA's new eligibility rules went into effect **after** NIH issued the Omnibus solicitations. NIH is currently updating its electronic systems and forms for these provisions.



- NIH intends to revise, amend or re-issue the Omnibus solicitations in the middle of 2013 to implement additional reauthorization provisions as guidance from the SBA is received and electronic system and form updates at NIH and SBA are implemented.





- SBIR/STTR grant applications must be submitted electronically. SBIR contract proposals still in paper form.
- **Registrations are required!!!**
 - System for Award Management (SAM)
 - Grants.gov (company)
 - eRA Commons (company and all PD/PIs)
 - Coming Soon --- SBA company registry at SBIR.gov





- **NIH Guide for Grants and Contracts (weekly notification)**

<http://grants.nih.gov/grants/guide/listserv.htm>

- **NIH SBIR/STTR Notification**

Send email to LISTSERV@LIST.NIH.GOV with the following text in the message body:

subscribe SBIR-STTR your name.





15th Annual NIH SBIR/STTR Conference

- October 28-30, 2013
- Sioux Falls, South Dakota
- Hosted by University of South Dakota Research Park, Inc.
- Stay tuned to [NIH SBIR website](#) and [listserv](#) for details!





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Office of Extramural Research

For More Information

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