SBIR and STTR NIH Granting Process

Outline

- Compare and contrast the two applications
- Discussion of the SBIR/STTR Grants and the application process
- Discussion and question/answer forum

Goal of the SBIR and STTR Programs

- The SBIR and STTR programs are Congressionally-mandated set-aside programs for domestic small business concerns to engage in Research/Research and Development (R/R&D) that has the potential for commercialization. The SBIR Program includes the following objectives: using small businesses to stimulate technological innovation, strengthening the role of small business in meeting Federal R/R&D needs, increasing private sector commercialization of innovations developed through Federal SBIR R&D, increasing small business participation in Federal R/R&D, and fostering and encouraging participation by socially and economically disadvantaged small business concerns and women-owned business concerns in the SBIR program. The STTR and SBIR programs are similar in that both programs seek to increase the participation of small businesses in Federal R&D and to increase private sector commercialization of technology developed through Federal R&D. The unique feature of the STTR program is the requirement for the small business concern applicant organization to formally collaborate with a research institution in Phase I and Phase II.

The Basic Highlights

SBIR: Small Business Innovation Research

- Requires a small (<500 ppl) US business

- Requires the PI to be employed more than 50% by the entity

- Allows multiple PI/PDs without min contribution

- Encourages collaborations, even with non-profits

STTR: Small Business Technology Transfer Research

- Requires a small (<500 ppl) US business

- Requires the PI to be affiliated with entity

- Allows multiple PI/PDs but with 10% min contribution

- Discourages extensive collaborations, requiring at least 40% of work by entity

The steps to application:

1) Register company at grants.gov
2) Register company and PI/PD at eRA Commons
3) Find funding opportunity announcement
4) Download application package
5) Complete application and upload attachments
6) Review components
7) Send application (retain a copy for record)
8) Get grants.gov tracking number
9) Get NIH tracking number
10) Complete verification process

STEP 1: Listing in the Central Contract Registration

- You have to register in CCR
  - This requires a DUNS number
  - Company information
    - EIN number
    - Official start date (incorporation date)
  - NAICS codes for goods/products/industry
  - List the consumables/products used by code

STEP 1: Registering with grants.gov

- Registration with CCR is required before trying to register in grants.gov

- Both the PI and the Entity CEO/President must register with grants.gov

- Also an accountant/administrative person should have a grants.gov login as well

Step 2: Registering with eRA Commons

- Both the PI and the CEO/President must be registered in eRA Commons
  - *Ensure the CEO/President has set each PI to that role in the syste*
- Please note if the research project is a clinical trial it also has to be registered at clinicaltrials.gov
- If animal research is involved the entity must have a IACUC committee or board to review and approve work
- If human subjects research is involved the entity must have a FWA with a registered IRB

Step 3: How to get started...

- Everything starts with a funding announcement:
  - SBIR Parent: http://grants.nih.gov/grants/guide/pa-files/PA-12-088.html
  - STTR Parent: http://grants.nih.gov/grants/guide/pa-files/12-089.html
- Submission dates are April 5, August 5, and December 5

Step 4-7: Downloading, completing, and submitting application

- This is the focus of your time…

- It takes about 22 hours to complete the application materials (not including the research plan)

- http://grants.nih.gov/grants/funding/424/SF424_RR_Guide_SBIR_STTR_Adobe_VerB.pdf

Steps 8-10: Receipt and Review

- It is imperative that you view your full application in the eRA Commons. Things can and do happen in the transfer (especially if you are submitting/working on multiple applications) and there is no grace period for fixing mistakes past the application deadline
  - Pre-application deadline you have two days to correct mistakes

Sample Applications

- http://funding.niaid.nih.gov/researchfunding/ sb/pages/app.aspx
  - Note this is prior to page limit changes
  - Also if you can find someone who has been successful feel free to contact them for advice or editing

http://grants.nih.gov/grants/funding/sbir.htm