

THE NIH SMALL BUSINESS INNOVATION RESEARCH (SBIR) PROGRAM

Focus of program: To provide funding for domestic small business concerns to engage in Research/Research and Development (R/R&D) that has the potential for commercialization.

Estimated amount of NIH set-aside for fiscal year (FY) 2003: \$525 million

Application/proposal receipt dates

Grant applications: April 1, August 1, and December 1 each year

Contract proposals: Anticipated receipt date- November 7, 2003.

Three phases of SBIR programs:

Phase I: Objective is to determine the scientific and technical merit, feasibility, and potential for commercialization of the proposed project and the quality of the performance of the small business concern, before consideration of further Federal support in Phase II. Generally, not more than one-third of the project in Phase I may be conducted through consultant and contractual arrangements.

Phase II: Objective is to continue the research efforts initiated in Phase I. Funding is based on the results achieved in Phase I and the scientific and technical merit and commercial potential of the Phase II grant application or contract proposal. Generally, not more than one-half of the project in Phase II may be conducted through consultant and contractual arrangements.

Phase III: Objective of this phase, where appropriate, is for the small business concern to pursue, with non-STTR funds, the commercialization of the results of the research project funded in Phases I and II.

Amount and period of support for SBIR program:

Phase I: Normally, should not exceed \$100,000 for direct costs, indirect costs, and profit for a period normally not to exceed six months.

Phase II: Normally should not exceed \$750,000 for direct costs, indirect costs, and negotiated fixed fee for a period normally not to exceed two years, that is, generally, a two-year project should not cost more than \$750,000 for that project. A Phase I award must have been received in order to apply for a Phase II award.

THE NIH SMALL BUSINESS TECHNOLOGY TRANSFER (STTR) PROGRAM

Focus of program: To facilitate cooperative research and development (R&D) with potential for commercialization between domestic small business concerns and U.S. non-profit research institutions.

Estimated amount of NIH set-aside for fiscal year (FY) 2003: \$31.5 million.

Grant application receipt dates: April 1, August 1, and December 1 each year

Cooperative R&D: At least 40 percent of the project (both Phases I and II) must be performed by the small business concern and at least 30 percent of the project must be performed by the research institution (e.g., college or university; other non-profit research organization; or Federal R&D center, but not laboratories staffed by Federal employees).

Three phases of STTR programs:

Phase I: Objective is to determine the scientific and technical merit, feasibility, and potential for commercialization of the proposed project and the quality of the performance of the small business concern, before consideration of further Federal support in Phase II. At least 40 percent of the project must be performed by the small business concern and at least 30 percent of the project must be performed by the research institution (e.g., college or university; other non-profit research organization; but not laboratories staffed by Federal employees).

Phase II: Objective is to continue the research efforts initiated in Phase I. Funding is based on the results achieved in Phase I and the scientific and technical merit and commercial potential of the Phase II grant application or contract proposal. At least 40 percent of the project must be performed by the small business concern and at least 30 percent of the project must be performed by the research institution (e.g., college or university; other non-profit research organization; but not laboratories staffed by Federal employees).

Phase III: Objective of this phase, where appropriate, is for the small business concern to pursue, with non-STTR funds, the commercialization of the results of the research project funded in Phases I and II.

Amount and period of support for STTR program:

Phase I: Normally, should not exceed \$100,000 for direct costs, indirect costs, and profit for a period normally not to exceed one year.

Phase II: Nonnally, should not exceed \$750,000 for direct costs, indirect costs, and negotiated fixed fees for a period normally not to exceed two years, that is, generally, a two-year project may not cost more than \$750,000 for that project. A Phase I award must have been received in order to apply for a Phase II award.

Eligibility for SBIR program:

Applicant organization: For-profit, U.S. small business concern (sole proprietorship, partnership, corporation, joint venture, etc.) with no more than 500 employees. Economically and socially disadvantaged small business concerns and woman-owned small business concerns are encouraged to participate in the program, but there is no preferential treatment afforded to either group.

Principal Investigator (PI): The one individual designated by the applicant small business concern to be responsible for the scientific and technical direction of the project. PI must

have his or her primary employment (over 50 percent) with the small business concern at the time of award and during the conduct of the project.

Eligibility for STTR program:

Applicant organization: Same as SBIR program. The applicant small business concern will be the recipient of the award and will execute a subcontract with the research institution for performance under the STTR award.

Principal investigator (PI): Same as SBIR program, except that the PI may have his or her primary employment with other than the small business concern, including the research institution, provided that the PI has a formal appointment with or commitment to the applicant small business concern, which is characterized by an official relationship between the small business concern and that individual.

Inquiries for SBIR/STTR programs:

Calendar year SBIR and STTR solicitations, including application forms and instructions, are available electronically through the NIH Web site at:
<http://grants.nih.gov/grants/funding/sbir.htm>.

Potential applicants are encouraged to subscribe to the NIH Guide for Grants and Contracts to stay apprised of other funding opportunities. (<http://grants1.nih.gov/grants/guide/index.html>)

General questions about the SBIR/STTR Program may be directed to:

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