

What are SBIR & STTR Awards?

- The **Small Business Innovation Research (SBIR)** program is a highly competitive program that provides funding to small, high-tech businesses to research, design, develop, and test new technology ideas related to **specific needs defined in competitive solicitations** floated by the federal agencies.
- The **Small Business Technology Transfer (STTR)** is another program that expands funding opportunities in the federal innovation research and development (R&D) arena. The unique feature of the STTR program is the **requirement for the small business to formally collaborate with a research institution**
- There are 11 agencies funding SBIR awards and 5 agencies funding STTR awards. Research the solicitations using the NIH Project RePORTER (<http://projectreporter.nih.gov/>)

Key Features

- \$2.5B annually set aside
- Not a loan. No repayment is required.
- IP rights are retained by the small business.
- Provides recognition, verification, and visibility.
- Time from application to award is typically 7-10 months.
- 8% success rate for original application, and 25% for resubmissions

What are the amounts and stages?

- **Phase I:** “Proof of Concept” awards are typically \$150,000 – 300,000 for 6-12 months.
- **Phase II:** “Research & Development / Commercialization Plan” awards are typically \$1,000,000 – 2,000,000 for 1-2 years.
- **“Fast-Track”** awards combine Phases I & II.
- **Phase IIB Bridge Award:** “Technology valuation and clinical translation” awards can be up to \$4,000,000 for 2-3 years.

Who should apply?

- U.S. small business concerns (SBCs) with 500 or fewer employees that are registered as for-profit entities (some citizenship/residency requirements apply).
- Research investigators may apply for SBIR/STTR awards; however, funding agencies will require certification at the time of award that investigators’ firms are eligible SBCs, and that is the primary place of employment for the proposed projects’ research investigators.
- Innovative solutions solving significant **unmet needs** with **commercial** potential – customer discovery and business plan are essential elements.
- NOT for matching products, incremental innovations, or basic research.
- Small business eligibility criteria: <https://sbir.nih.gov/about/eligibility-criteria>

Typical Review Criteria

- Significance
- Investigator team
- Innovation
- Research strategy / experimental design
- Environment
- Selection process and review criteria: <https://sbir.nih.gov/review/selection-process>

What resources are available?

- **SBIR.gov online resources** including Online Tutorials and Sample Applications (<https://sbir.nih.gov/resources>)
- **NIH How to Apply** – Application Guide (<https://grants.nih.gov/grants/how-to-apply-application-guide.html>) (.pdf)
- **NIH/NCI Applicant Assistance Program (AAP)**: Application preparation assistance **for cancer technologies only**. *Only eligible for applicants with no previous NIH SBIR/STTR awards granted.* (<https://sbir.cancer.gov/programseducation/aap>)
- **Maryland TEDCO SBIR/STTR Proposal Lab** (January 15 – June 3): TEDCO selects up to 20 companies to assist in their National Science Foundation (NSF) SBIR/STTR proposal submissions. Application deadline is December 31. (www.tedcomd.com/sbirproposal)
- **BioHealth Innovation (BHI)**: A team of EIRs, analysts, and consultants review and edit applications, as well as more in-depth grant writing support. The company's obligation may be nothing until an award is granted or a nominal fee up front and the remainder only after the award has been granted. ([SBIR/STTR Federal Funding Assistance](#))
- **Eva Garland Consulting NIH Applicant Assistance Program**: Application deadline is May 14. (<https://www.evagarland.com/nih-aap-cover-page/>)
- **Winning SBIR/STTR Grants: A Ten Week Plan for Preparing Your NIH Phase I Application**, 2nd Edition (<https://www.amazon.com/Winning-SBIR-STTR-Grants-Preparing/dp/1542519047/>)

Tips for Success

- Focus on critical unmet need
- Align application language with aims found in RFA
- Engage with agency program officers: applicants are encouraged to contact an appropriate Program Director at least 2 months in advance to discuss specific aims and receive feedback.
- Clear all administrative requirements **in advance** (<https://sbir.nih.gov/about/eligibility-criteria>)

Support at JHTV

- Support letters from Johns Hopkins Technology Ventures may be provided upon request.
- IP rights letters of commitment – prior to executing a formal Option or License
- Contact Mark VanderZyl, Sr. Operations Manager – FastForward (mark.vanderzyl@jhu.edu)