

# **SBIR/STTR Funding**

## **When, How, How much?**

**Dieter Haemmerich, PhD**  
**Assoc. Prof.**

Dept. Pediatrics  
Medical Univ. of South Carolina  
Charleston, SC, USA

# SBIR/STTR Program overview

- **Goal:** Commercialization of New Technologies
- Small Business: <500 Employees
- Mandatory Programs for Federal Agencies with >\$100 Mio annual budget
- NIH (DHHS), NSF, DOE, DOD, NASA, ...
- SBIR: 2.5 % of annual budget of agency  
STTR: 0.3% of annual budget of agency
- FY 2010 NIH:
  - ❖ SBIR \$616 Mio
  - ❖ STTR \$74 Mio

# SBIR

## (Small Business Innovation Research)

- Popular funding mechanism for start-ups
- Does not dilute equity; patent rights remain at company (patents resulting from grant must be reported)
- PI (Principal Investigator) employed >50% at company
- Phase I: max. 33% of budget for subcontracts (e.g. academic institution, consultants)
- Phase II: max 50% of budget for subcontracts

# STTR

(Small Business Technology Transfer)

- Phase I & II:
  - >40% budget to company
  - >30% budget to single academic partne
- Chance of funding similar SBIR/STTR

# Available Budget (guidelines)

- Phase I: Proof of Concept/Feasibility
  - ❖ SBIR: \$150k / 6 months
  - ❖ STTR: \$100k / 1 year
- Phase II: Technical and Commercial Merit
  - ❖ Requires Completion of Phase I grant
  - ❖ SBIR: \$1 Mio / 2 years
  - ❖ STTR: \$ 750k / 2 years
- Fast-Track: Combined Phase I/II proposals

# Budget

- Fast-Track: Combined Phase I/II proposals
- Indirect cost rate: <40%, or negotiated with federal agency

# SBIR/STTR Review Panel

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**CENTER FOR SCIENTIFIC  
REVIEW  
SPECIAL EMPHASIS PANEL  
ZRG1 ETTNK  
11/11/2010-11/12/2010  
MEETING ROSTER**

**NDI MEDICAL**

**BOSTON UNIVERSITY**

**ARIZONA STATE UNIV**

**NEUROBIO TEX**

**BRIGHAM AND WOMEN'S  
HOSPITAL**

**PRONGHORN SCIENTIFIC, LLC**

**OREGON HEALTH AND  
SCIENCE UNIVERSITY**

**VANDERBILT UNIVERSITY**

**CLEVELAND CLINIC MAIN**

**DUKE UNIVERSITY MEDICAL  
CENTER**

**BOSTON SCIENTIFIC**

**UNIVERSITY OF CALIFORNIA  
SAN FRANCISCO**

**UNIVERSITY OF UTAH**

**ACCELEREYES, LLC**

**CALIFORNIA INSTITUTE OF  
TECHNOLOGY**

**WASHINGTON STATE  
UNIVERSITY**

**UNIVERSITY OF MIAMI**

**CLINICAL  
NEUROPHYSIOLOGICAL  
SERVICES, LLC**

**JOHNS HOPKINS UNIVERSITY**

**UNIVERSITY OF CINCINNATI**

**UNIVERSITY OF KENTUCKY**

**UNIVERSITY OF NEW MEXICO**

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**PALO ALTO VETERANS  
AFFAIRS HOSPITAL**

**UNIVERSITY OF ROCHESTER**

**INDIANA UNIVERSITY**

**BOSTON UNIVERSITY**

**UNIVERSITY OF ILLINOIS -  
CHICAGO**

**COLUMBIA UNIVERSITY**

# General guidelines

- Application layout similar to academic research applications
  - ❖ Specific Aims, Research Strategy
  - ❖ Biosketches with personal statement
  - ❖ Phase I: 6 pages
  - ❖ Phase II: 12 pages
    - ★ Including commercialization plan (!!)
- Expertise with academic research grant applications helps



# General guidelines

- Innovative & novel
- At beginning of R&D phase
- Commercially feasible (esp. Phase II)
  
- Academic Reviewers like to see publications record for key personnel
  
- Key personnel should include ideally:
  - ❖ Business expertise
  - ❖ Clinical expertise
  - ❖ R&D / Scientific expertise

# Submission Deadlines

	RECEIPT CYCLE I	RECEIPT CYCLE II	RECEIPT CYCLE III
<b>Small Business Innovation Research (SBIR), Small Business Technology Transfer (STTR) Grants</b> – R41, R42, R43 and R44 <i>new, renewal, resubmission, revision</i>	April 5	August 5	December 5
<b>AIDS and AIDS-Related Grants</b> All (including SBIR/STTR) <i>new, renewal, resubmission, revision</i>	May 7	September 7	January 7

- Earliest starting date ~6 months later

# Submission overview

- grants.gov registration
- NIH eRA Commons registration
- Central Contractor Registry Registration
- Submit ahead of deadline (submission errors)
- <http://grants.nih.gov/grants/funding/sbir.htm>

# Questions?

Charleston, SC

