

# **Workshop on SBIR/STTR Funding**

## **NIH Phase I Application Deep Dive**

**Rich Giersch**

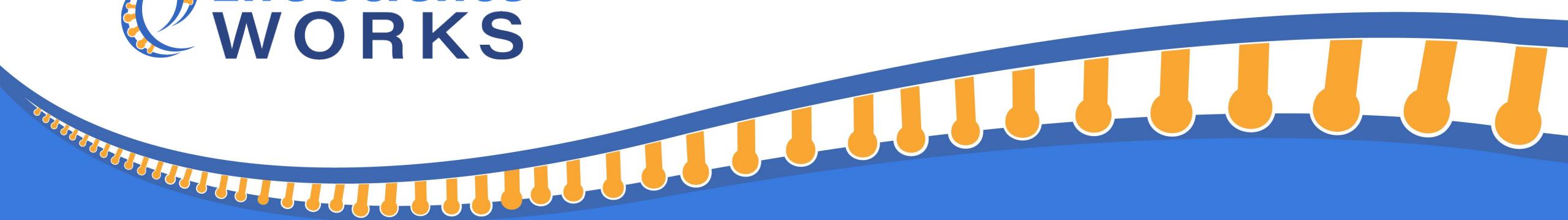
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In Partnership with VIPC

Manassas, VA

**February 11-12, 2026**



# Life Science Works

- VA-based company dedicated to helping early-stage companies succeed. We provide expertise on growth strategies and strengthening company operations.
- Provides SBIR/STTR grant development services
  - Will partner with you to develop your application
  - If you write your own application, we provide independent review



# Agenda for Day 1

- Proposal Considerations
  - Time requirements
  - Preparing to write
- Budgeting Basics
- Review NIH Phase I Application Packet Components

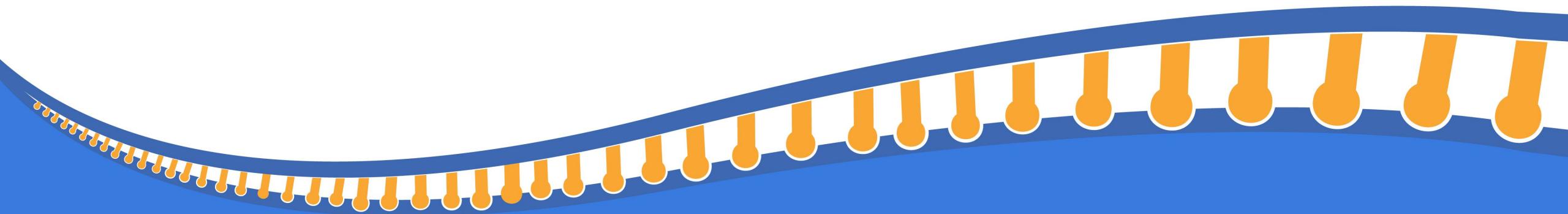
*Disclaimer: All information presented here should be checked against the grant solicitation, most recent set of application instructions and any agency guidance. Guidelines for grant applications change frequently.*



# Agenda for Morning Day 2

One-on-one discussions on your specific aims page

Sign up for a 25-minute slot starting at 8:30 am



# Goals

*At the end of this session participants will understand:*

- ✓ How to build a timeline for submitting a Phase I SBIR/STTR Proposal
- ✓ Components of a Phase I SBIR/STTR Grant application
- ✓ High level evaluation criteria reviewers use
- ✓ Direct versus indirect rates
- ✓ The importance of a budget justification
- ✓ The various components of a NIH Phase I application

# Purpose and Goals

- Stimulate technological innovation
- Use small business to meet Federal R/R&D needs
- Foster and encourage participation by the socially and economically disadvantaged small businesses and those that are 51% owned and controlled by women, in technological innovation – Updates
- Increase private sector commercialization of innovations derived from Federal R/R&D, thereby increasing competition, productivity, and economic growth
- Commercial potential is evaluated
- The program is viewed as seed capital for early-stage R&D with commercial potential

# 11 Agencies Fund SBIRs and/or STTRs

- ✓ Department of Defense – all contracts
- ✓ Department of Energy
- ✓ Department of Health and Human Services
- ✓ National Aeronautics and Space Administration
- ✓ National Science Foundation
- ✓ Department of Education
- ✓ Department of Homeland Security
- ✓ Department of Transportation
- ✓ Department of Commerce
- ✓ US Department of Agriculture
- ✓ Environmental Protection Agency

# What do they fund?

- Topics related to agency priorities
- 207,794 Awards made since 1983
- The range of topics funded is broad
  - Geophysical System for Fluid Flow and Fracture Imaging
  - Iso Geometric Analysis for Nuclear Engineering
  - Social Platform with Machine Learning Moderation
  - Mobius: Vehicle Command and Control Software
  - Low Temperature Reduction of Rare Earth Metals using Ionic Liquids

*Start looking and prepare to talk to a Program Manager*

# SBIR/STTR 3 phase program

- **Phase I** – this is the proof-of-concept / feasibility study phase lasting from 6-24 months with up to ~ \$314k in funding.
- **Phase II** – 1-3 years and expands on the Phase I results. Prototype development, field testing, clinical work demonstrating safety / efficacy – generally only available to phase I awardees normally up to ~ \$2.09MM for up to 3 years
- **Phase III** – The innovation moves from the laboratory into the marketplace – follow-on VC funding, sales

# SBIR vs STTR

## Key Differences

- STTR projects REQUIRE the small business be teamed with a non-profit research institution (RI)
- STTR projects typically focus on but are not required to transfer technology from the Research Institution to the small business for the purpose of commercialization
- SBIR intellectual property created is owned by the small business (SB)

## Principal Investigator (PI) Differences

- SBIR- PI MUST be primarily employed at the SB
- STTR – PI can be primarily employed at the RI or SB (except NSF)

# **SBIR vs STTR**

## **Subcontracting requirements**

- SBIR – up to 33% of the research can be subcontracted to one or more entities
- STTR – at least 30% must be performed by a single research Institution
- STTR – at least 40% of the R&D must be performed by the small business – no more than 60% can be subawarded
- STTR – the remaining 30% of the research can be performed by the small business or any other eligible subcontractor

# Applicants

- Only a for-profit small business can apply and be the responsible business and technical lead
- Must have 500 or fewer employees it doesn't matter if they are full-time, part time, or leased. They all count toward the limit.
- All work must be done in the US
- Must be primarily U.S. owned, greater than 50% by US Citizens or permanent resident aliens or owned by another small business that is greater than 50% us owned.
- If the small business is venture backed with greater than 50% VC ownership, additional considerations come into play

# Company Registrations

## Start Early

- System for Award Management (SAM) up to 3 weeks – need EIN, notarized letter  
[www.sam.gov](http://www.sam.gov) – As a new , you will also register for a Unique Entity Identifier (UEI) during this registration. Prior to April 4, 2022 companies also registered for a DUNS number.
- Grants.gov – minutes to register [www.grants.gov](http://www.grants.gov)
- Small Business Administration <https://www.sbir.gov>
- Agency Specific Registrations
  - Electronic Handbook – NASA
  - Grants.gov – HHS and DOE
  - Fastlane – NSF
  - DOE – additional systems
  - DOD through the DOD submission site

# Registration Requirements

(For illustration, not comprehensive)

	HHS	NSF	DOD	DOE	NASA
Unique Entity Identifier	X	X	X	X	X
SAM.gov	X	X	X	X	X
SBIR.gov	X	X	X	X	X
Grant.gov	X	X		X	
eRA Commons	X				
Electronic Handbook (EHB)					X
NSF FastLane		X			
DOE Portfolio Analysis (PAMS)				X	
Fedconnect.net				X	
Funding Accountability				X	
DoD Submission Website			X		

# Prepare the Proposal

- Evaluation Criteria
  - Innovation
  - Team / Environment
  - Commercial potential / Significance
- Develop a Preparation Schedule
- Build the Team
- Creative vs Non-Creative Components

# Evaluation Criteria

- **How do you know if your work is innovative**
  - Show an understanding of the state of the art through a discussion of the literature and contrast your approach with that conventional wisdom
  - Do not assume the reviewer is familiar with the literature
  - Clearly call out what is innovative about your approach
  - Reviewers will ask: Is this work a refinement improvement, or new application of theoretical concepts, approaches or methodologies, instrumentation, or interventions? Some agencies view modifications as innovative, others do not.

# Evaluation Criteria Team/Environment

- Do the stated qualifications of the team demonstrate the capability to accomplish the proposed research or work?
- If the project is collaborative in nature does the leadership team have complimentary and integrated expertise?
- If investigator is early stage is there sufficient experience and training? Is there a need for a mentor as part of the application?
- Are there sufficient resources and institutional support available to the team to address the proposed work?
- Has this team ever worked together before?

# Evaluation Criteria

## Commercialization/Significance

- Is the problem important and critical to progress in the field?
- If aims are achieved how will knowledge, technical capability and/or practice be improved?
- Does the project have commercial potential to lead to a marketable product, process, or service?
- Are there letters of support from potential customers?
- After Phase I is complete Is there a convincing case made that the work, if successful will lead to additional development funding after SBIR/STTR support ends?

# Develop a Preparation Schedule

- It takes more time than you anticipate
- Start at the end and work backwards
- Identify resources, people and organizations you may want to include in a proposal as early as possible
- Complete company start-up and registrations once you decide you are going to apply for an award
- Allow a minimum of 10 weeks – recognizing that some solicitations do not allow for that much time

Review the following for developing a schedule  
<https://www.sbir.gov/tutorials/preparing-proposal/tutorial-2#>

# Proposal Timeline

Start Before Due Date	Completion Time Before Due Date	Task
Now	12 weeks	Complete company registrations
10 weeks	10 weeks	Identify 2-3 external reviewers
11 weeks	10 weeks	Brainstorm and write Aims Page
10 weeks	9 weeks	Contact program officer for discussion
5 weeks	3 weeks	Final budget development
5 weeks	3 weeks	Biosketches / CVs for key personnel
5 weeks	3 weeks	Letters of support
10 weeks	3 weeks	Complete non-technical components
3 weeks	2 weeks	Final draft sent to reviewers
	3 business days before due date	Company Submits Application

## Build the Team

The agency/reviewers evaluate the ability of the proposer to carry out the work being proposed.

- *What if the PI does not look compelling for a variety of reasons?* - Make a contingent hire --either a consultant or employee --to fill out competencies that may be missing – the agreement must be in place and submitted with the application
- *What if the resources of the company are not sufficient to perform the work?* – Identify resources and enter contingent agreement to acquire those resources either through a partnership, acquisition, or subaward.

# Creative vs Non-Creative Components

- Parts of the application will require creativity and deep subject matter expertise like the specific aims, research strategy, and budget
- Parts of the application are more administrative in nature or require outside assistance or input

# Budgeting Basics

- Indirect rate vs direct cost
- Determining consulting rates
- Percent effort for the PI
- Allowed Profit request
- How do I scope the project to fit the budget?
- What do I include in a budget justification?

# Budgeting Basics Direct vs Indirect Rates

- **Direct** – costs you incur when working for a client such as labor, supplies, grant related travel, fringe benefits
- **Indirect** – costs you incur simply by being in business such as rent, employer's portion of payroll taxes, general management, accounting

If a company does not have an indirect rate it is often prescribed in a Phase I application. If the company does not have a rate and is to propose one, the following tutorial is useful but not comprehensive:

<https://www.sbir.gov/tutorials/accounting-finance/tutorial-3>

# Budgeting Basics Consulting Rates

*Consulting rates should be “reasonable” –What would a prudent person in the conduct of competitive business pay?*

## To determine reasonableness:

- Professional association salary surveys
- Bureau of Labor Statistics salary survey
- Private sector payroll information sources
- Primary research – call firms that employ similar workers

*SBIR/STTR negotiators will often ask where rates came from*

# Budgeting Basics PI % Effort

*Multiple variables are in-play but the overarching guidance is the effort should not look like “window dressing”*

- A highly regarded PI is given a token role and token percentage effort
- Review agency specific requirements
  - ✓ Phase I DOE PI must contribute 3 hours per week Phase II 5 hours per week
  - ✓ Phase I NSF PI must put in at least 1 calendar month

# Budgeting Basics – Profit?

- Agencies are required to allow a reasonable profit or fee on the project – most commonly 7%
- Always ask for the maximum amount you are allowed
- Infinitely flexible funding source

# Budgeting Basics – Fit Project to Budget

## Phase I SBIR

\$314,000 Award

- 20,543 – 7% profit or fee

\$293,457 – Available for Directs and indirect expenses

-38, 277 – 15%\* Indirect

\$255,180 – Total available for direct costs

- 15% used for illustrative purposes based on Admin. directive

# Budgeting Basics – Budget Justification

The **budget justification** is a categorical description of the proposed costs.

It covers:

- ✓ Staffing, staff roles and effort
- ✓ Supplies and consumption patterns
- ✓ Methods used to calculate prices including cost escalation
- ✓ Details travel and how those expenses are determined
- ✓ Details how pricing for contracts and consultants were determined

# Instructions and Guidance

## **Key Sources of Agency Provided Information:**

- Instructions SF 424 (R&R) Application Packages
- Solicitation (FOA) – Solicitation instructions / requirements supersede instruction manual
- Informational Webinar
- Scientific/Research Program Contact

## B.200 – SF 424 (R&R) Form P.1

- Detailed line-by-line instructions in the SF 424 (R&R) Instruction manual
- No attachments
- Some fields auto populate
- Must have completed all company registrations to complete the form

APPLICATION FOR FEDERAL ASSISTANCE SF 424 (R&R)		OMB Number: 4040-0001 Expiration Date: 10/31/2019
<a href="#">View Burden Statement</a>		
<b>3. DATE RECEIVED BY STATE</b> State Application Identifier		
4. a. Federal Identifier b. Agency Routing Identifier c. Previous Grants.gov Tracking ID		
<b>5. APPLICANT INFORMATION</b> Legal Name: <input type="text"/> Department: <input type="text"/> Division: <input type="text"/> Street1: <input type="text"/> Street2: <input type="text"/> City: <input type="text"/> County / Parish: <input type="text"/> State: <input type="text"/> Province: <input type="text"/> Country: <input type="text"/> USA: UNITED STATES ZIP / Postal Code: <input type="text"/>		
Person to be contacted on matters involving this application Prefix: <input type="text"/> First Name: <input type="text"/> Middle Name: <input type="text"/> Last Name: <input type="text"/> Suffix: <input type="text"/> Position/Title: <input type="text"/> Street1: <input type="text"/> Street2: <input type="text"/> City: <input type="text"/> County / Parish: <input type="text"/> State: <input type="text"/> Province: <input type="text"/> Country: <input type="text"/> USA: UNITED STATES ZIP / Postal Code: <input type="text"/>		
<b>6. EMPLOYER IDENTIFICATION (EIN) or (TIN):</b> <input type="text"/>		
<b>7. TYPE OF APPLICANT:</b> <input type="text"/> Please select one of the following Other (Specify): <input type="text"/> Small Business Organization Type <input type="checkbox"/> Women Owned <input type="checkbox"/> Socially and Economically Disadvantaged		
<b>8. TYPE OF APPLICATION:</b> If Revision, mark appropriate box(es). <input type="checkbox"/> New <input type="checkbox"/> Resubmission <input type="checkbox"/> A. Increase Award <input type="checkbox"/> B. Decrease Award <input type="checkbox"/> C. Increase Duration <input type="checkbox"/> D. Decrease Duration <input type="checkbox"/> Renewal <input type="checkbox"/> Continuation <input type="checkbox"/> Revision <input type="checkbox"/> E. Other (specify): <input type="text"/>		
Is this application being submitted to other agencies? Yes <input type="checkbox"/> No <input type="checkbox"/> What other Agencies? <input type="text"/>		
<b>9. NAME OF FEDERAL AGENCY:</b> <input type="text"/>		<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> <input type="text"/> TITLE: <input type="text"/>
<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> <input type="text"/>		
<b>12. PROPOSED PROJECT:</b> Start Date <input type="text"/> Ending Date <input type="text"/>		<b>13. CONGRESSIONAL DISTRICT OF APPLICANT</b> <input type="text"/>

# B.220 – R&R Other Project Information Form

- Carefully review human subjects
- Proprietary information checkbox
- 6 Attachments
  - Project Summary/Abstract (30 lines)
  - Project Narrative (3 sentences)
  - Bibliography & References Cited (no limit)
  - Facilities & other Resources (no limit)
  - Equipment (no limit)
  - Other Attachments (small business certification)

## RESEARCH & RELATED Other Project Information

OMB Number: 4040-0001  
Expiration Date: 10/31/2019

1. Are Human Subjects Involved?  Yes  No

1.a. If YES to Human Subjects  
Is the Project Exempt from Federal regulations?  Yes  No  
If yes, check appropriate exemption number.  1  2  3  4  5  6  7  8  
If no, is the IRB review Pending?  Yes  No  
IRB Approval Date: \_\_\_\_\_  
Human Subject Assurance Number: \_\_\_\_\_

2. Are Vertebrate Animals Used?  Yes  No

2.a. If YES to Vertebrate Animals  
Is the IACUC review Pending?  Yes  No  
IACUC Approval Date: \_\_\_\_\_  
Animal Welfare Assurance Number: \_\_\_\_\_

3. Is proprietary/privileged information included in the application?  Yes  No

4.a. Does this Project Have an Actual or Potential Impact - positive or negative - on the environment?  Yes  No

4.b. If yes, please explain: \_\_\_\_\_

4.c. If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed?  Yes  No

4.d. If yes, please explain: \_\_\_\_\_

5. Is the research performance site designated, or eligible to be designated, as a historic place?  Yes  No

5.a. If yes, please explain: \_\_\_\_\_

6. Does this project involve activities outside of the United States or partnerships with international collaborators?  Yes  No

6.a. If yes, identify countries: \_\_\_\_\_

6.b. Optional Explanation: \_\_\_\_\_

7. Project Summary/Abstract  Add Attachment Delete Attachment View Attachment

8. Project Narrative  Add Attachment Delete Attachment View Attachment

9. Bibliography & References Cited  Add Attachment Delete Attachment View Attachment

10. Facilities & Other Resources  Add Attachment Delete Attachment View Attachment

11. Equipment  Add Attachment Delete Attachment View Attachment

12. Other Attachments  Add Attachments Delete Attachments View Attachments

[View Burden Statement](#)

# B.230 – Project/Performance Site Location(s) Form

- No required Attachments unless more than 2 performance sites
- List all locations where work will be performed, generally starting with the location of the applicant organization
- Note requirement for a Federal Wide Assurance Number (FWA) for applications with human subjects

OMB Number: 4040-0010  
Expiration Date: 10/31/2019

**Project/Performance Site Location(s)**

**Project/Performance Site Primary Location**  I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:		
DUNS Number:		
* Street1:		
Street2:		
* City:	County:	
* State:		
Province:		
* Country:	USA: UNITED STATES	
* ZIP / Postal Code:		
* Project/ Performance Site Congressional District:		

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**Project/Performance Site Location 1**  I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:		
DUNS Number:		
* Street1:		
Street2:		
* City:	County:	
* State:		
Province:		
* Country:	USA: UNITED STATES	
* ZIP / Postal Code:		
* Project/ Performance Site Congressional District:		

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[Delete Entry](#) [Next Site](#)

Additional Location(s)

# B.240 – R&R Senior/Key Person Profile (Expanded) Form

- Must make a substantive contribution
- All must have eRA commons account
- STTR applicants need to affiliate PI with small business if the PI is not an employee
- 1 required attachment
  - Biosketch
    - 5 page maximum
    - Personal statement is important
    - Publications/positions/honors relevant to the application
    - Up to 5 contributions to science ½ page maximum

RESEARCH & RELATED Senior/Key Person Profile (Expanded)

<b>PROFILE - Project Director/Principal Investigator</b>		
Prefix:	* First Name:	Middle Name:
* Last Name:	Suffix:	
Position/Title:	Department:	
Organization Name:	Division:	
* Street1:		
Street2:		
* City:	County/ Parish:	
* State:	Province:	
* Country:	USA: UNITED STATES	* Zip / Postal Code:
* Phone Number:	Fax Number:	
* E-Mail:		
Credential, e.g., agency login:		
* Project Role:	PD / PI	Other Project Role Category:
Degree Type:		
Degree Year:		
<input type="button" value="Attach Biographical Sketch"/> <span style="background-color: yellow; border: 1px solid black; padding: 2px;"> </span> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>		
<input type="button" value="Attach Current &amp; Pending Support"/> <span style="background-color: yellow; border: 1px solid black; padding: 2px;"> </span> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>		
<b>PROFILE - Senior/Key Person 1</b>		
Prefix:	* First Name:	Middle Name:
* Last Name:	Suffix:	
Position/Title:	Department:	
Organization Name:	Division:	
* Street1:		
Street2:		
* City:	County/ Parish:	
* State:	Province:	
* Country:	USA: UNITED STATES	* Zip / Postal Code:
* Phone Number:	Fax Number:	
* E-Mail:		
Credential, e.g., agency login:		
* Project Role:	PD / PI	Other Project Role Category:
Degree Type:		
Degree Year:		
<input type="button" value="Attach Biographical Sketch"/> <span style="background-color: yellow; border: 1px solid black; padding: 2px;"> </span> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>		
<input type="button" value="Attach Current &amp; Pending Support"/> <span style="background-color: yellow; border: 1px solid black; padding: 2px;"> </span> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>		
<input type="button" value="Delete Entry"/> <span style="margin-left: 100px;"><input type="button" value="Next Person"/></span>		

To ensure proper performance of this form; after adding 20 additional Senior/ Key Persons; please save your application, close the Adobe Reader, and reopen it.

## RESEARCH & RELATED BUDGET - Budget Period 1

[Delete Period](#)

OMB Number: 4040-0001  
Expiration Date: 10/31/2019

ORGANIZATIONAL DUNS:

Enter name of Organization:

Budget Type:  Project  Subaward/Consortium

Budget Period: 1

Start Date:

End Date:

### A. Senior/Key Person

Prefix	First	Middle	Last	Suffix	Base Salary (\$)	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
						Cal.	Acad.	Sum.			
X											

Project Role: PD/PI

[Add Additional Key Person](#)

Additional Senior Key Persons:

[Add Attachment](#)

[Delete Attachment](#)

[View Attachment](#)

Total Funds requested for all Senior Key Persons in the attached file

Total Senior/Key Person

### B. Other Personnel

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
		Cal.	Acad.	Sum.			
	Post Doctoral Associates						
	Graduate Students						
	Undergraduate Students						
	Secretarial/Clerical						
X							

[Add Additional Other Personnel](#)

Total Number Other Personnel

Total Other Personnel

Total Salary, Wages and Fringe Benefits (A+B)

### C. Equipment Description

List items and dollar amount for each item exceeding \$5,000

Equipment item	Funds Requested (\$)
X	
<input type="button" value="Add Additional Equipment"/>	
Additional Equipment:	<input type="text"/> Add Attachment <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
Total funds requested for all equipment listed in the attached file	
Total Equipment	

### D. Travel

1. Domestic Travel Costs ( Incl. Canada, Mexico and U.S. Possessions)	Funds Requested (\$)
2. Foreign Travel Costs	
	Total Travel Cost

### E. Participant/Trainee Support Costs

1. Tuition/Fees/Health Insurance	Funds Requested (\$)
2. Stipends	
3. Travel	
4. Subsistence	
5. Other	
<input type="text"/> Number of Participants/Trainees	Total Participant/Trainee Support Costs

<b>F. Other Direct Costs</b>	<b>Funds Requested (\$)</b>
1. Materials and Supplies	
2. Publication Costs	
3. Consultant Services	
4. ADP/Computer Services	
5. Subawards/Consortium/Contractual Costs	
6. Equipment or Facility Rental/User Fees	
7. Alterations and Renovations	
8.	
9.	
10.	
<b>Total Other Direct Costs</b>	

<b>G. Direct Costs</b>	<b>Funds Requested (\$)</b>
<b>Total Direct Costs (A thru F)</b>	

<b>H. Indirect Costs</b>	<b>Funds Requested (\$)</b>		
Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requested (\$)
<input checked="" type="checkbox"/>			
Add Additional Indirect Cost			
<b>Total Indirect Costs</b>			

**Cognizant Federal Agency**  
 (Agency Name, POC Name, and  
 POC Phone Number)

<b>I. Total Direct and Indirect Costs</b>	<b>Funds Requested (\$)</b>
<b>Total Direct and Indirect Institutional Costs (G + H)</b>	

<b>J. Fee</b>	<b>Funds Requested (\$)</b>

<b>K. Total Costs and Fee</b>	<b>Funds Requested (\$)</b>
<b>Total Costs and Fee (I + J)</b>	

<b>L. Budget Justification</b>
(Only attach one file.) <input type="text"/>
<b>Add Attachment</b> <b>Delete Attachment</b> <b>View Attachment</b>

**Add Period**

[View Burden Statement](#)

## PHS 398 Research Plan

OMB Number: 0925-0001  
Expiration Date: 3/31/2020

# B.400 – PHS 398 Research Plan Form

- Introduction – only for resubmissions – not for new or renewal applications
- Specific Aims 1 Page
- Research Strategy 6 Pages
- Progress Report / Publication List
- Vertebrate Animals
- Select Agent Research
- Multiple PD/PI Leadership Plan
- Consortium Contractual Arrangements
- Letters of Support
- Resource Sharing Plan(s)
- Authentication
- Appendix

### Introduction

1. Introduction to Application  
(for Resubmission and Revision applications)

 [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

### Research Plan Section

2. Specific Aims

 [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

3. \*Research Strategy

 [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

4. Progress Report Publication List

 [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

### Other Research Plan Section

5. Vertebrate Animals

 [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

6. Select Agent Research

 [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

7. Multiple PD/PI Leadership Plan

 [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

8. Consortium/Contractual Arrangements

 [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

9. Letters of Support

 [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

10. Resource Sharing Plan(s)

 [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

11. Authentication of Key Biological and/or Chemical Resources

 [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

### Appendix

12. Appendix

[Add Attachments](#) [Delete Attachments](#) [View Attachments](#)

# B.440 – SBIR/STTR Information Form P.2

The sections on this form are largely self-explanatory an Attachments is necessary if the company has received Phase II awards. The attachment states either that the small business has not received more than 15 phase II awards in the last 5 years or documents the commercialization history.

## SBIR/STTR Information

### SBIR-Specific Questions:

*Questions 8 and 9 apply only to SBIR applications. If you are submitting ONLY an STTR application, leave questions 8 and 9 blank and proceed to question 10.*

<input type="checkbox"/> Yes <input type="checkbox"/> No	* 8. Have you received SBIR Phase II awards from the Federal Government? If yes, provide a company commercialization history in accordance with agency-specific instructions using this attachment.  * Attach File: <input type="text"/>  <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 9. Will the Project Director/Principal Investigator have his/her primary employment with the small business at the time of award?

### STTR-Specific Questions:

*Questions 10 - 12 apply only to STTR applications. If you are submitting ONLY an SBIR application, leave questions 10 - 12 blank.*

<input type="checkbox"/> Yes <input type="checkbox"/> No	* 10. Please indicate whether the answer to BOTH of the following questions is TRUE:  (1) Does the Project Director/Principal Investigator have a formal appointment or commitment either with the small business directly (as an employee or a contractor) OR as an employee of the Research Institution, which in turn has made a commitment to the small business through the STTR application process; AND (2) Will the Project Director/Principal Investigator devote at least 10% effort to the proposed project?
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 11. In the joint research and development proposed in this project, does the small business perform at least 40% of the work and the research institution named in the application perform at least 30% of the work?
	* 12. Provide DUNS Number of non-profit research partner for STTR.  <input type="text"/>

# B.600 – PHS Assignment Request Form

Use of this form is optional and is used to convey information for about your preferences for assignment and review of the application. This information was previously collected in a cover letter.

[View Burden Statement](#)

## PHS Assignment Request Form

OMB Number: 0925-0001  
Expiration Date: 3/31/2020

Funding Opportunity Number:

Funding Opportunity Title:

### Awarding Component Assignment Request (optional)

If you have a preference for an awarding component (e.g., NIH Institute/Center) assignment, use the link below to identify the appropriate short abbreviation and enter it below. All requests will be considered; however, assignment requests cannot always be honored.

Awarding Components: [https://grants.nih.gov/grants/phs\\_assignment\\_information.htm#AwardingComponents](https://grants.nih.gov/grants/phs_assignment_information.htm#AwardingComponents)

First Choice

Second Choice

Third Choice

Assign to Awarding Component:

Do Not Assign to Awarding Component:

### Study Section Assignment Request (optional)

If you have a preference for study section assignment, use the link below to identify the appropriate study section (e.g., NIH Scientific Review Group or Special Emphasis Panel) and enter it below. Remove all hyphens, parentheses, and spaces. All requests will be considered; however, assignment requests cannot always be honored.

Study Sections: [https://grants.nih.gov/grants/phs\\_assignment\\_information.htm#StudySection](https://grants.nih.gov/grants/phs_assignment_information.htm#StudySection)

First Choice

Second Choice

Third Choice

Assign to Study Section:

*Only 20 characters allowed*

Do Not Assign to Study Section:

*Only 20 characters allowed*

## PHS Assignment Request Form

List individuals who should not review your application and why (optional)

Only 1000 characters allowed

Identify scientific areas of expertise needed to review your application (optional)

Note: Please do not provide names of individuals

1

2

3

4

5

Expertise:

Only 40 characters allowed

# **SBIR/STTR Policy and Program Update**

- Indirect rates
- Eligibility – remove emphasis on disadvantaged groups
- Re-authorization of program was due Sept 2025. As of Feb 3, Congressional leaders moving closer to resolution on potential reforms, which could include:
  - Caps on numbers of applications submitted per year by a single business
  - Increased focus on Foreign Ownership, Control, or Influence
  - Making the program permanent rather than re-authorized every few years
  - Increasing the set-aside %

# Additional Resources

- NIH Omnibus Solicitation <https://grants.nih.gov/grants/guide/pa-files/PA-24-246.html>
- Specific Aims <https://www.biosciencewriters.com/NIH-Grant-Applications-The-Anatomy-of-a-Specific-Aims-Page.aspx>
- Sample NIH Applications <https://grants.nih.gov/grants/how-to-apply-application-guide/resources/sample-applications.htm>
- NIH Scientific/Research program contacts <https://sbir.nih.gov/engage/ic-contacts>
- Develop your budget <https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/develop-your-budget.htm>
- GSA Per Diem Rates <https://www.gsa.gov/travel/plan-book/per-diem-rates>
- Sample NIH Applications <https://www.niaid.nih.gov/grants-contracts/sample-applications>

# Additional Resources

- SBIR Homepage <https://www.sbir.gov>
- SBIR Tutorials <https://www.sbir.gov/tutorials/>
- SBIR/STTR Agency Contacts <https://www.sbir.gov/agency-contacts-bak>
- IRS – Obtain EIN [www.irs.gov](http://www.irs.gov)
- Organization Registration Guidance  
<https://www.grants.gov/applicants/organization-registration/step-1-obtain-duns-number.html>
- DOE Phase 0 program <http://www.dawnbreaker.com/doephase0/>
- NIH SBIR/STTR Application Guide <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/sbir-sttr-forms-e.pdf>

# Opportunity Identification

- SBIR/STTR Funding Topics <https://www.sbir.gov/sbirsearch/topic/current>
- Search for Grants <https://www.grants.gov/web/grants/search-grants.html>
- FedBizOpps SBIR/STTR Contracts [www.sam.gov](http://www.sam.gov)
- Federal Register <https://www.federalregister.gov>
- NIH <https://www.nih.gov>
- SBIR/STTR Awards Database  
<https://www.sbir.gov/sbirsearch/award/all?firm=&topic=>