

OFFICE OF RESEARCH INFRASTRUCTURE PROGRAMS

ORIP FACT SHEET

Small Business Grant Programs

http://opasi.nih.gov/orip/cm/small_business_opportunities.aspx

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Overview

The National Institutes of Health (NIH) provides grant opportunities for small businesses in any biomedical or behavioral research area that falls within NIH's mission to improve human health. The Office of Research Infrastructure programs (ORIP) at NIH, supports primary research to create and develop critical resources, models, and technologies; including high-throughput informatics technologies that provide comprehensive answers to complex biomedical questions. ORIP encourages the development of inquiry-based, problem solving educational games and other social media approaches to educate K-12 students, teacher and parents on health-related topics, the clinical trials process and NIH-funded basic and clinical research. Through the small business program, ORIP supports research to create and develop critical resources, models, and technologies. ORIP participates in two federal grant programs that provide funding to small businesses - the Small Business Innovation Research (SBIR) program and the Small Business Technology Transfer (STTR) program. Both programs seek to increase the participation of small businesses in federally supported research and development (R&D) and to increase private-sector commercialization of technology developed through federally supported R&D. Both of these programs provide opportunities to integrate public and private initiatives.

Comparative Medicine

ORIP helps meet the needs of biomedical researchers for high-quality, disease-free animals and specialized animal research facilities. Of particular interest to scientists are a variety of sources for genetic analysis services, such biological materials as cultures and reagents, and online information about model organisms.

Other areas include:

- Methods for identification or production of new mammalian or non-mammalian animal models.
- Technologies for preservation or management of laboratory animals.
- Control of selected laboratory animal diseases.
- Improvement of culture and culture conditions.

Another example of high-priority interest are for the development of innovative methods and tools to control and prevent herpes virus B in nonhuman primates and the development of effective means of accessing and using disease models-related data.

Science Education Partnership Award (SEPA)

ORIP is working to improve the public's understanding of health and biomedical research, to generate interest in science-related careers, and to train the next generation of biomedical and behavioral researchers. To meet these goals, ORIP is interested in funding discovery-oriented, user-friendly educational software and applying technology and tools on health science topics for K-12 and undergraduate students. Topics must be health related and can range from basic molecular and cellular biology to human diseases and the clinical trials process. This effort is intended to generate efficient and problem-based educational materials for students that can then be extended to enhance the health science literacy of the general public.

Definitions of the NIH SBIR and STTR Programs

The *NIH SBIR program* is a set-aside program for domestic small businesses to engage in biomedical R&D that has the potential for commercialization. The *NIH STTR program* is a set-aside program to facilitate cooperative R&D between small businesses and U.S. research institutions, with the potential for commercialization.

Differences between SBIR and STTR

Under the *SBIR program*, the principal investigator's (PI) primary employment must be with the small business. However, if multiple PIs are applying for a grant, the second PI need not be primarily employed by the small business. Under the *STTR program*, primary employment is not stipulated. The STTR program requires research partners at universities and other nonprofit research institutions to have a formal collaborative relationship with the small business.

Structure of the SBIR and STTR Programs

The SBIR and STTR programs are structured in three phases:

Phase I

- Establish technical merit, feasibility, and potential for commercialization.
- SBIR: Support may not exceed \$150,000 in total costs for six months.*
- STTR: Support may not exceed \$150,000 in total costs for one year.*

Phase II

- Continue research and R&D efforts initiated in Phase I.
- Funding will be based upon Phase I results and may not exceed \$1,000,000 in total costs for a two-year period.
- Commercialization plan required.

Phase III

- Commercialization stage using non-SBIR/STTR funds to pursue Phase I and II goals.

* Deviations from the indicated Phase I/Phase II statutory award amount and project period guidelines are acceptable but must be well justified. However, the support cannot exceed 50 % of the indicated values.

Eligibility

SBIR Requirements

- The small business must be an organized for-profit U.S. business.
- It must have 500 or fewer employees, including affiliates.
- It must be at least 51 percent U.S.-owned by individuals and independently operated or at least 51 percent owned and controlled by another (one) business that is at least 51 percent owned and controlled by one or more individuals.
- The PI's primary employment must be with the small business at the time of award and for the duration of the project period.

STTR Requirements

- The small business must be a for-profit U.S. business.
- A formal cooperative R&D arrangement must exist with a 40 percent minimum effort by small business and a minimum 30 percent effort by a U.S. research institution.
- The U.S. research institution must be a nonprofit.
- There must be an agreement identifying the allocation of intellectual property rights.
- The PI's primary employment may be with either the small business or the research institution.

Contacts for More Information:

Miguel Contreras, Ph.D.

ORIP Division of Comparative Medicine.

Phone: (301) 594-9410

E-mail: contrel@mail.nih.gov

Tony L. Beck, Ph.D.

ORIP Science Education Partnership Award (SEPA).

Phone: (301) 435-0805

E-mail: beckl@mail.nih.gov

NIH Small Business Grant Program Information

<http://grants1.nih.gov/grants/funding/sbir.htm>
