

# NIH SBIR GRANTS AT-A-GLANCE

SMALL BUSINESS INNOVATION RESEARCH (SBIR(SBIR) AWARDS (STTR)   R43/R44				
NIH GUIDANCE	NIH Small Business Omnibus Solicitation for SBIR/STTR			
	Phase I (1 R43)	Phase II (2 R44)	Fast Track (1 R44)	Phase IIB (2 R44)
ADD'L RESEARCH FUNDS	YES	YES	YES	YES
ANNUAL FFR	YES - No Carryover to Phase II	NO- 2 <sup>nd</sup> yr only	YES -Phase I end NO - Phase II,2nd yr only	NO – last yr only
APPLICATION USED	SF424	SF424	SF424	SF424
CONCURRENT APPLICATION & AWARDS	NO	NO	NO	NO
CONFLICT OF INTEREST <a href="http://grants.nih.gov/grants/policy/coi/">http://grants.nih.gov/grants/policy/coi/</a>	NO	YES	NO- Phase I YES –Phase II	YES
EX.AUTH. & /SNAP	YES – EA, not SNAP	YES	YES - Same as Phase I and Phase II	YES
JUST-IN-TIME	YES	YES	YES	YES
MIN RECRUITMENT PLAN	NO	NO	NO	NO
MISCONDUCT IN SCIENCE	YES	YES	YES	YES
PERIOD OF SUPPORT does not include a onetime no cost extension, which must not exceed 1 yr	6 MONTHS	2 YEARS	6 MO– Phase I 2 YEARS - Phase II Combination not to exceed 4yr	3 YEARS
PLAN FOR INSTRUCTION IN RESPONSIBLE CONDUCT OF RESEARCH	NO	NO	NO	NO
PROGRAM INCOME collect interest, make profit	NO	NO	NO	NO
PURPOSE OF GRANT	To support high-risk feasibility projects	To support second phase of high-risk project -	See Phase I and Phase II – allows concurrent review, shortens review to award	To support second phase of high-risk projects that require extraordinary R&D time and effort
ELIGIBILITY (at time of award)	Small, for-profit organizations (67% minimum effort) <500 employees at SBC SBC US owned, for-profit Maybe >50% VC owned by multiple VCs, but 1 VC must not exceed 50% ownership	Small, for-profit organization (50% minimum effort) <500 employees at SBC SBC US owned, for-profit Maybe >50% VC owned by multiple VCs, but 1 VC must not exceed 50% ownership	Small, for-profit organizations (67% minimum effort) Phase I (50% minimum effort) Phase II <500 employees at SBC SBC US owned, for-profit Maybe >50% VC owned by multiple VCs, but 1 VC must not exceed 50% ownership	Same as Phase II
THIRD PARTY COSTS	33% OF TOTAL COSTS	50% OF TOTAL COSTS	Same as Phase I AND II	Same as Phase II
PI ELIGIBILITY	>50% employed by SBC, legally resides in US, can perform scope of work for the duration of the grant	>50% employed by SBC, legally resides in US, can perform scope of work for the duration of the grant	>50% employed by SBC, legally resides in US, can perform scope of work for the duration of the grant	>50% employed by SBC, legally resides in US, can perform scope of work for the duration of the grant
EFFORT REQUIRED	No min PI effort	No min PI effort	No min PI effort	No min PI effort
RESEARCH EXPERIENCE	NO	NO	NO	NO
SALARY RANGE	NIH SALARY CAP	NIH SALARY CAP	NIH SALARY CAP	NIH SALARY CAP
RECYCLE retrospective funding	90-days	90-days	90-days	90-days
AMOUNT OF SUPPORT Direct Costs +F&A+Fee	Normally \$150,000 total costs <b>Hard Cap \$225,000</b>	Normally, \$1,000,000 for project period <b>Hard Cap \$1,500,000</b>	Normally, \$1,150,000 for total project (Phase I + Phase II) <b>Hard Cap \$1,725,000</b>	\$3,000,000
FACILITIES AND ADMINISTRATIVE COSTS (In Direct Costs)	40% max if no current negotiated rate NIH will not negotiate for Phase I F&A	40% or current negotiated rate Grantee may negotiate with NIH for F&A	See Phase I/Phase II – same for Fast-track	Same as Phase II
FIXED FEE	7% max for SBC only	7% max for SBC only	7% max for SBC only	7% max for SBC only
UNALLOWABLE COSTS	Market Research/Marketing IP associated costs Legal costs	Market Research/Marketing IP associated costs Legal costs	Market Research/Marketing IP associated costs Legal costs	Market Research/Marketing IP associated
PI TRANSFER	Yes, to other eligible for-profit small business	Yes, to other eligible for-profit small	Yes, to other eligible for-profit small business	Yes, to other eligible for-profit small
RENEWABLE	NO	Yes to a Phase IIB	Yes to a Phase IIB	NO