An Overview of the HHS SBIR & STTR Programs
for the NICHD Council Meeting

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Office of Extramural Research, NIH HHS
What are SBIR and STTR Programs?

**SBIR**

The NIH SBIR program funds early stage small businesses that are seeking to commercialize innovative biomedical technologies. This competitive program helps small businesses participate in federal research and development, develop life-saving technologies, and create jobs.

**STTR**

The NIH STTR program is similar to the NIH SBIR program, but requires that the small business formally collaborate with a research institution in Phase I and Phase II. Learn more about the NIH SBIR and STTR programs, including their critical differences.

https://sbir.nih.gov
# NIH SBIR/STTR 3-Phase Program

<table>
<thead>
<tr>
<th>Phase</th>
<th>Description</th>
<th>Budget Guide</th>
<th>Project Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td><strong>Feasibility Study</strong></td>
<td>$150K for SBIR and STTR</td>
<td>6 months (SBIR); 1 year (STTR)</td>
</tr>
<tr>
<td>II</td>
<td><strong>Full Research/R&amp;D</strong></td>
<td>$1M for SBIR and STTR, over two years</td>
<td></td>
</tr>
<tr>
<td>IIB</td>
<td><strong>Competing Renewal/R&amp;D</strong></td>
<td>Clinical R&amp;D; Complex Instrumentation/to FDA Many, but not all, IC’s participate Varies~$1M per year; up to 3 years</td>
<td></td>
</tr>
<tr>
<td>III</td>
<td><strong>Commercialization</strong></td>
<td>NIH, generally, not the “customer” Consider partnering and exit strategy early</td>
<td></td>
</tr>
</tbody>
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### SBIR and STTR Critical Differences

<table>
<thead>
<tr>
<th></th>
<th>SBIR</th>
<th>STTR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partnering Requirement</td>
<td>Permits partnering</td>
<td>Requires a non-profit research institution partner (e.g. university)</td>
</tr>
<tr>
<td>Work Requirement</td>
<td>Guidelines: May outsource 33% (Phase I) 50% (Phase II)</td>
<td>Minimum Work Requirements: 40% small business 30% research institution partner</td>
</tr>
<tr>
<td>Principal Investigator</td>
<td>Primary employment (&gt;50%) must be with the small business</td>
<td>PI may be employed by either the research institution partner or small business</td>
</tr>
</tbody>
</table>

**Award is always made to the small business**
Budget Allocations FY’18

3.20% SBIR $897M
0.45% STTR $126M
Total FY’18 $1.023B
NIH 2017 SBIR/STTR Grants
Success Rate by Phase

- Fast Track: 19% (SBIR), 17% (STTR)
- Phase I: 16% (SBIR), 16% (STTR)
- Regular Phase II: 37% (SBIR), 39% (STTR)
- Phase IIB: 40% (SBIR)
- Direct Phase II: 28% (SBIR)
- CRP: 29% (SBIR)
Lift Labs

- Develops new technologies to provide proactive care for people with essential tremor and Parkinson's Disease
- Acquired by Google in September 2014

http://www.liftlabsdesign.com/

Anupam Pathak, Ph.D.
Founder & CEO
NINDS SBIR Awardee
Multi-IC Technology Development Programs
(open to eligible Awardees from participating ICs)

I-Corps™ at NIH
An intensive Entrepreneurial Immersion course for scientists

Facilitating Partnerships

12 Participating ICs + CDC
Technical Assistance Programs

Niche Assessment Program - *Foresight Science & Technology* (Phase I Awardees)
- Helps jump start commercialization efforts
- Determines competitive advantages
- Develops market entry strategy

Commercialization Accelerator Program - *Larta, Inc.* (Phase II Awardees)
- Technical Assistance/Training in:
  - Strategic/business planning
  - FDA requirements
  - Technology evaluation
  - Manufacturing issues
  - Patent and licensing issues
- Helps build strategic alliances
- Facilitates investor partnerships
- Individualized mentoring/consulting
Get Connected!

- Subscribe to the SBIR/STTR Listserv:
  - Email LISTSERV@LIST.NIH.GOV with the following text in the message body: subscribe SBIR-STTR your name
- NIH Guide for Grants and Contracts (weekly notification)
- Follow us on Twitter: @NIHsbir
- Read our NIH SBIR/STTR Success Stories
- Connect with Us
- Email: sbir@od.nih.gov
For More Information

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NICHD SBIR/STTR Program
Funding & Solicited Topic Areas
FY16-17

Lou Quatrano, Ph.D.
<table>
<thead>
<tr>
<th></th>
<th>FY16</th>
<th>FY17</th>
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<tbody>
<tr>
<td><strong>Set-aside %</strong></td>
<td>3.1%</td>
<td>3.2%</td>
</tr>
<tr>
<td>Non-Competing Cont.</td>
<td>$10,631,395</td>
<td>$19,481,113</td>
</tr>
<tr>
<td>RFA’s (New)</td>
<td>$6,003,439</td>
<td>$225,000</td>
</tr>
<tr>
<td>Investigator Initiated (New)</td>
<td>$14,370,793</td>
<td>$15,210,896</td>
</tr>
<tr>
<td><strong>SBIR Totals:</strong></td>
<td><strong>$31,005,627</strong></td>
<td><strong>$34,917,009</strong></td>
</tr>
<tr>
<td><strong>STTR</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Set-aside %</td>
<td>0.45%</td>
<td>0.45%</td>
</tr>
<tr>
<td>Non-Competing Cont.</td>
<td>$475,078</td>
<td>$2,202,871</td>
</tr>
<tr>
<td>RFA’s (New)</td>
<td>$1,690,215</td>
<td></td>
</tr>
<tr>
<td>Investigator Initiated (New)</td>
<td>$2,562,789</td>
<td>$2,679,116</td>
</tr>
<tr>
<td><strong>STTR Totals:</strong></td>
<td><strong>$4,728,082</strong></td>
<td><strong>$4,881,987</strong></td>
</tr>
<tr>
<td>RMS</td>
<td>$296,828</td>
<td>$255,845</td>
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<tr>
<td>R&amp;D</td>
<td>$294,464</td>
<td>$438,728</td>
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SBIR Set-aside increased by 0.1% from FY16 to FY17.
NICHD FY2016-17 Solicited Topic Areas

- Neurocognitive Development
- Point of Care, Portability
- Neonates
- Pediatric
- Resource-Limited Settings
- Adolescent HIV Testing
- Linkage to Care
- Routinizing Testing
- Robotics
- Upper Limb Prostheses
For FY16-17, NICHD received applications in response to these RFAs.

<table>
<thead>
<tr>
<th>RFA#</th>
<th>RFA Title</th>
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<tbody>
<tr>
<td>HD14-029</td>
<td>Discovery of Molecular Targets for Pregnancy-Related/Induced Diseases &amp; Development of Therapeutics to Prevent/Treat These Diseases</td>
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<tr>
<td>HD14-032</td>
<td>Improving Health Through Rehabilitation Robotic Technology</td>
</tr>
<tr>
<td>HD15-001 /</td>
<td>Innovative Development/Use of Technology to Increase HIV Testing &amp; Linkage to Care Efforts in Adolescent Populations</td>
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<tr>
<td>HD15-006</td>
<td></td>
</tr>
<tr>
<td>HD15-008</td>
<td>In-Vivo Methods for Assessing Placental Development &amp; Function</td>
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<tr>
<td>HD15-018</td>
<td>Isolation, Purification, &amp; Synthesis of Human Milk Oligosaccharides With Antimicrobial Activity</td>
</tr>
<tr>
<td>HD15-023</td>
<td>Neurodevelopmental Assessment of Infants &amp; Children in Resource-Limited Settings</td>
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<tr>
<td>HD15-024</td>
<td>Non- Or Minimally-Invasive Methods to Measure Biochemical Substances for Neonatal &amp; Perinatal Clinical Care &amp; Research</td>
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<tr>
<td>HD16-006</td>
<td>Orthotics for Pediatric Populations</td>
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<tr>
<td>HD16-007 /</td>
<td>Tools for Assessment &amp; Improvement of Neurologic Outcomes in Perinatal Medicine</td>
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<td>HD16-024 /</td>
<td></td>
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<tr>
<td>HD16-028</td>
<td></td>
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<tr>
<td>HD16-029 /</td>
<td>Use of 3-D Printers for the Production of Medical Devices</td>
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<td>HD16-030</td>
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Visit NICHD’s SBIR/STTR Web Page
Questions