

Small Business Innovation Research Small Business Technology Transfer Research



Understanding the Impact of Alcohol on Human Health and Well-Being

NIAAA's **Small Business Innovation Research (SBIR)** and **Small Business Technology Transfer Research (STTR)** programs are part of America's seed fund for small businesses in need of funding and resources to accelerate innovative solutions to help millions of Americans overcome alcohol use disorder (AUD) and related problems. Through the program,

NIAAA fosters small business and private-sector participation through grants, contracts, and technical assistance. NIAAA's SBIR/STTR program provides vital non-dilutive, early-stage funds to your small businesses so you can do the work needed to bring your innovative treatments and products in the AUD field out of the lab and onto the market.

SBIR supports early-stage research and development projects at small businesses.

STTR supports small businesses in a formal collaboration with a non-profit research institution.

PROJECT LEADERSHIP

SBIR requires the project's principal investigator to be employed primarily (more than half-time) by the small business during the award period, unless NIH grants a waiver of this requirement.

STTR does not define employment criteria for the project's principal investigator.

NONPROFIT RESEARCH INSTITUTION PARTNERSHIPS

SBIR encourages but does not require nonprofit research institution partnership. A research institution can complete up to 33% of the total effort for a Phase I project and up to 50% of the total effort for a Phase II project, as applicable.

STTR requires the small business to have a formal collaboration agreement with a nonprofit research institution during Phases I and II. The research institution is responsible for at least 30% of the total effort for the project, and the small business is responsible for at least 40%.



AWARDS ARE ALWAYS MADE TO THE SMALL BUSINESS.

WHY APPLY? NIAAA's SBIR/STTR program offers non-diluted, stable, and predictable funding to help your small business commercialize innovative new products and treatments to prevent, diagnose, and treat AUD. Small businesses and research organizations retain their intellectual property rights

and gain recognition, validation, and visibility to help attract future funding from strategic partners and investors. Awardees are also eligible to apply for additional technical assistance, commercialization R&D support, and training programs to help ensure success.

NIAAA SUPPORTS RESEARCH ON:

- Health Effects
- Treatment
- Genetics
- Devices
- Health Disparities
- Medications
- Behavioral Therapies
- Fetal Alcohol Spectrum Disorders
- Health Services
- Prevention

The National Institute on Alcohol Abuse and Alcoholism conducts and supports research to expand and disseminate fundamental knowledge about the effects of alcohol on health and well-being, and apply that knowledge to improve diagnosis, prevention, and treatment of alcohol-related problems, including alcohol use disorder, across the lifespan.



NATIONAL INSTITUTE ON ALCOHOL ABUSE AND ALCOHOLISM

<p>PHASE I Feasibility & Proof of Concept</p>	<ul style="list-style-type: none"> • Establish technical merit and feasibility of proposed R&D • Demonstrate the ability of the small business to grow and operate successfully • SBIR: typically \$150,000 over six months; may not exceed \$304,872* total cost • STTR: typically \$150,000 over one year; may not exceed \$304,872* total cost
<p>PHASE II R&D</p>	<ul style="list-style-type: none"> • Continue R&D initiated in Phase I toward commercialization • Commercialization plan is required • SBIR and STTR: typically \$1 million over two years; total costs over \$2,045,816 hard cap require a waiver
<p>FAST TRACK</p>	<ul style="list-style-type: none"> • Combined application for both Phases I and II • Allows single peer review process
<p>Direct-to-Phase II R&D</p>	<ul style="list-style-type: none"> • Apply directly for Phase II funding • Must demonstrate feasibility through research completed under other funding sources • Only open to SBIR
<p>Commercialization Readiness Pilot</p>	<ul style="list-style-type: none"> • Continue R&D to transition from SBIR/STTR to commercialization • Provides funding and technical assistance for R&D not supported through Phase II /IIB grants • SBIR and STTR: typically up to \$3.4 million up to three years
<p>PHASE IIB Competing Renewal</p>	<ul style="list-style-type: none"> • Up to three years • Typically awards up to \$3 million • Encouraged to secure substantial third-party investor funds

*For specific topics, NIH may exceed these total award amounts

 **ELIGIBILITY**

For-profit U.S. small businesses with 500 or fewer employees are eligible for SBIR/STTR funding. Review the complete list of NIH SBIR/STTR program [eligibility requirements](#).

 **FUNDING OPPORTUNITIES**

Omnibus Solicitation

- Investigator-initiated
- Standard due dates apply

Targeted Funding Solicitations

- Focused on priority research topics
- Application due dates vary

Commercialization Readiness Pilot

- Open to Phase II and Phase IIB awardees
- Standard due dates apply

Standard Due Dates
Jan. 5, Apr. 5, Sept. 5

Review [open funding opportunities](#)

 **TRAINING OPPORTUNITIES**

I-Corps™ at NIH. An 8-week intensive entrepreneurship course.

 **TIPS FOR SUCCESS**

Start early and submit before the deadline.

Completing required registrations and crafting a strong application can take a few months, and you'll want to leave some time at the end in case of last-minute challenges.

Complete the four required registrations.

Register your small business with [SAM.gov](#) and sign up for your [Unique Entity Identifier \(UEI\)](#) number; as well as with [Grants.gov](#), [SBA Company Registry](#), and the [NIH eRA Commons](#) as soon as possible. Principal Investigators must also individually register with NIH eRA Commons. Be sure to certify as a woman-owned small business (WOSB) or socially and economically disadvantaged small business (SDB) if your company qualifies.

Use available resources to build a strong application.

Talk to your program officer about your project idea before you submit and use the SBIR/STTR Application Guide to ensure proper grant application content and format. You can also find tutorials and examples of successful applications on a variety of topics on the SBIR/STTR website. To identify a program officer in your scientific area use the NIH Matchmaker: reporter.nih.gov/matchmaker

For questions, please contact Megan Ryan, M.B.A., at 301-433-4225 or NIAAASBIRSTTR@mail.nih.gov

