SBIR/STTR Phase I, Phase II and Fast-track Application Support Program:
Solicitation for Phase 0 Proposals

Issued By: Business Oregon and the Oregon Health & Science University
Biomedical Innovation Program

Key Dates

<table>
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<th>Event</th>
<th>Date</th>
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<tr>
<td>Phase 0 application due date</td>
<td>Apply Now – Must submit a minimum of 9 weeks prior to SBIR/STTR due date (7/6/2015 for September 5th submission)</td>
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<tr>
<td>Phase 0 awardee decision</td>
<td>10 days after application submission</td>
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<tr>
<td>Submission of Phase I, Phase II or Fast-Track draft grant to reviewers</td>
<td>Submit Early – Must be a minimum of 4 weeks prior to grant due date (8/5/2015 for April Submission)</td>
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<td>Reviews sent to Phase 0 awardees</td>
<td>1-2 weeks from draft grant submission</td>
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Purpose

Business Oregon has joined forces with the Biomedical Innovation Program (BIP) at Oregon Health & Science University to help Oregon small businesses access federal funding through successful Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) grant applications. This program is intended for businesses that are pursuing healthcare-related topic areas. Currently, only OHSU startups or companies with OHSU intellectual property are eligible to apply.

The specific goal of the Phase 0 process is to greatly enhance the chance of funding by helping to improve the competitiveness of SBIR/STTR applications. The Phase 0 program provides expert reviews of draft SBIR/STTR grant proposals, as well as support for proposal development. OHSU’s Technology Transfer and Business Development Department will help to identify OHSU startup companies or companies with OHSU intellectual property for this pilot phase of the program (1/1/2015 – 7/31/2015).

Those who receive Phase 0 support will receive three written critiques of their Phase I, Phase II or Fast-track proposal from senior OHSU researchers and/or bioscience community members with SBIR/STTR program experience and subject matter expertise. The Phase 0 program provides compensation ($425 per review) to these reviewers, who are selected by the BIP with the awardee’s input and final approval. Reviewers will sign confidentiality agreements prior to their work on an awardee’s SBIR/STTR application. *If the applicant has yet to begin writing the SBIR/STTR proposal at the time the Phase 0 funding is awarded, the first “review” can be an advisory meeting with a reviewer or mentor.*
Grant review benefits include:

- Strategic advice from experienced translational scientists
- Writing guidance and feedback on grant structure, based on NIH review criteria
- Identification of potential scientific consultants or advisors
- Recommendations for additional preliminary studies or data analysis
- Application weaknesses highlighted prior to submission

In addition to the services provided by the three reviewers, Phase 0 program applicants can request up to $3,725 for SBIR/STTR grant application preparation services.

Examples of allowable expenses for grant application preparation include:

- Biostatistics and statistical design support
- Business planning assistance (e.g., marketing consultants)
- Consultant or mentor services for preparation of the SBIR/STTR proposal, including grant writing or graphic designer services
- Preliminary data preparation or analysis for inclusion in the SBIR/STTR proposal
- Patent and intellectual property analysis

Successful SBIR/STTR applications share the following characteristics:

- Clear aims
- Supporting research to date
- Strong roster of collaborators
- Viable commercialization plans

Eligibility

*Important note - please refer to Frequently Asked Questions, which describes exceptions to the eligibility requirements below.*

1. During the pilot phase of this program (1/1/2015 – 7/31/2015), only OHSU startups or companies with OHSU intellectual property are eligible to apply.
2. Applicants must be traded sector Oregon-based small businesses. Oregon Statute defines traded sector businesses as “industries in which member firms sell their goods or services into markets for which national or international competition exists.”
3. Applicant businesses must be healthcare-related.
4. Applicant must meet all federal SBIR or STTR eligibility requirements. Additional information can be found here.
5. Applicants must conduct at least 51% of the research they describe in their federal proposal within Oregon.
Process

Please note that Phase 0 applications will be accepted on a rolling basis. A Phase 0 application submitted in April that seeks support for the September federal deadline will be reviewed within two weeks, per the process outlined below (in other words, it won’t be “held” for review until closer to the September deadline). The “no later than” stipulations below are firm.

1. Submit a Phase 0 application at least 9 weeks prior to the federal agency’s due date for SBIR/STTR applications.
   For example, federal SBIR/STTR applications due April 5th would require submission of a Phase 0 application to OHSU by February 1st.
2. Phase 0 awards will be announced on or before the 10th day of each month.
3. If awarded, the company will work with the BIP office to request and/or approve reviewers prior to the submission of the draft grant application.
4. The draft SBIR/STTR application must be submitted to OHSU at least 4 weeks prior to the federal agency’s grant due date although earlier submission is recommended. This gives reviewers adequate time to provide thorough and thoughtful feedback.
   For example, federal SBIR/STTR applications due April 5th would require Phase 0 awardees to submit their Phase 1 draft application to OHSU no later than March 8th.
5. Reviews will be returned to Phase 0 awardees no later than 2 weeks after submission of their draft SBIR/STTR application.

Application Materials

The Phase 0 application can be accessed via REDCap, here. Please be prepared to include the following documents (instructions for upload are given on the application):

1. An SBIR/STTR Phase 0 proposal, composed of
   - Identification and significance of the problem
   - A brief background of the project
   - Related research or R&D
   - Commercialization potential
   - Outline of Phase I, II or Fast-track plan and timeline

2. Biosketches/resumes of key personnel.

3. Questionnaire to identify reviewers and services (included on the REDCap application form).
   - Selecting reviewers. Please list individuals who you would like to review your SBIR/STTR proposal. You may choose from a list of potential reviewers via OTRADi’s BioMentors program, or you may submit other names for consideration. OCTRI and Business Oregon can assist with identifying reviewers pre- and post-award, if necessary.
   - Grant application preparation services. Please select from the services listed on page 2 and on the REDCap online form, or describe other requested services. The budget for these services may not exceed $3725.
Method of Selection and Evaluation Criteria

An Evaluation Team will review Phase 0 applications from eligible entities. The Evaluation Team members will be from the OHSU academic and small business communities, as well as Business Oregon. These individuals will have in-depth knowledge of and experience with the competitive SBIR/STTR process.

Each month, the Evaluation Team will judge submissions and recommend Phase 0 proposals for award. A recommendation on the selection for award(s) will be compiled by the BIP Program Director and reviewed by Business Oregon.

The criteria to rank and evaluate the Phase 0 proposals are as follows:

1. Clear and compelling abstract
2. Significance of the proposed innovation
3. Technical merit, topic responsiveness, and timeline
4. Commercial potential
5. Concise, coherent proposal and application
6. Team and available resources (qualifications, balance, etc.)
7. Detailed outline of Phase I, II or Fast-track plan and timeline

Post-Award Funding Approval and Invoicing

Non-reviewer budget approval process:

1. Preliminary discussion with OCTRI and Business Oregon about potential uses of non-reviewer grant funds and to answer questions regarding step 2.

2. Recipient submits a budget with justification electronically to OCTRI and Business Oregon that provides a cost and brief description for each line item.

3. Business Oregon will send electronic approval of the proposed budget (or seek clarification where necessary) to the recipient, at which time work may proceed.

Payment of invoices (reviewer and non-reviewer support):

1. Recipient receives invoice(s) for application support services and sends an electronic copy of the invoice(s) to Mark Brady at Business Oregon for approval.

2. Business Oregon approves appropriate payments and issues check to recipient.

3. Recipient pays the service provider for the work performed.

Note: Business Oregon typically processes and pays invoices quickly, so that, barring unforeseen circumstances, recipient will receive payment in time to pay the service provider before the invoice is due (assuming recipient handles his/her responsibilities in a timely manner).
Answers to **Frequently Asked Questions** can be found [here](#).

**Please direct program inquiries to:**

Jonathan Jubera, OHSU Biomedical Innovation Program  
Email: jubera@ohsu.edu  
Phone: 503-805-8179

Daphne Emerson, OHSU Technology Transfer and Business Development  
Email: emersond@ohsu.edu  
Phone: 503-494-8913

Mark Brady, Business Oregon  
Email: mark.brady@state.or.us  
Phone: 503-229-5223