SBIR/STTR Phase I, Phase II and Fast-track Application Support Program: Solicitation for Phase 0 and Phase 00 Proposals

**Key Dates**

<table>
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<th>Event</th>
<th>Dates</th>
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<tr>
<td>Phase 0 application due date</td>
<td>Apply Now – Must submit a minimum of 4 weeks prior to SBIR/STTR due date</td>
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<tr>
<td>Phase 0 award decision</td>
<td>3-5 business 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 2 weeks prior to grant due date</td>
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<tr>
<td>Phase 0 awardees receive reviews</td>
<td>1-2 weeks after submitting a draft SBIR/STTR application to reviewers</td>
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**Purpose**

Business Oregon has joined forces with the Biomedical Innovation Program (BIP)\(^1\) at Oregon Health & Science University to help small businesses in Oregon access 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** innovations and technologies.

The Phase 0 program provides application support for SBIR/STTR grant proposals, a process that improves an application’s competitiveness and the chances of funding. Phase 0 and Phase 00 awardees will receive up to $5,000, which may be used for application support services including written critiques of their Phase I, Phase II (Phase 00) or Fast-track proposal, grant writing assistance, or any service that helps strengthen the application. Prior approval of reviewers and support services is required from Business Oregon and OCTRI. OCTRI may assist with finding reviewers from within the local bioscience and business communities, or awardees may select their own. Reviewers sign confidentiality agreements prior to their work on an awardee’s SBIR/STTR application.

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\(^1\) The BIP is part of OHSU’s Oregon Clinical and Translational Research Institute (OCTRI).
If the applicant has yet to begin writing the SBIR/STTR proposal when the Phase 0/00 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 criteria
- Connections with potential scientific consultants or advisors
- Recommendations for additional preliminary studies or data analysis
- Identification of application weaknesses prior to federal submission

Additionally, applicants may request to use part, or all Phase 0/00 funding for SBIR/STTR grant application preparation services. Examples of allowable expenses include:

- Biostatistics and statistical design support
- Business plan 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
- Patent and intellectual property analysis
- OHSU Research Cores and Shared Resources [http://www.ohsu.edu/xd/research/research-cores/](http://www.ohsu.edu/xd/research/research-cores/)

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 the Frequently Asked Questions for a list of exceptions to the eligibility requirements listed below.*

1. Applicants must be traded sector Oregon-based small businesses. [Oregon Statute 285A.010](http://www.leg.state.or.us/billsearch/plansearch.cfm?bill=285A.010) defines traded sector businesses as “industries in which member firms sell their goods or services into markets for which national or international competition exists.”
2. Applicant businesses must be healthcare-related.
3. Applicant must meet all federal SBIR or STTR eligibility requirements. Additional information can be found [here](http://www.ohsu.edu/xd/research/research-cores/).
4. Applicants must conduct at least 51% of the research they describe in their federal proposal within Oregon.
**Process and Timeline**

Phase 0 applications are accepted, reviewed, and awarded on a rolling basis.

Application and award steps:

1. Phase 0 applications due at least 4 weeks prior to the federal agency’s SBIR/STTR due date.
2. Phase 0 award decision announced within 3-4 days of application submission.
3. Awardees work with BIP staff to request and/or approve reviewers.
4. Awardees must submit their draft SBIR/STTR application to reviewers at least 2 weeks prior to the federal agency’s due date (earlier submission is recommended). This gives reviewers adequate time to provide thorough and thoughtful feedback.
5. Reviews are returned to awardees no later than 2 weeks after they submit their draft SBIR/STTR application to their reviewers.

**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 in 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. Completed questionnaire that identifies reviewers and/or services (found in the REDCap application form)
   - **Selecting reviewers:** You may choose from a list of potential reviewers via OTRADI’s BioMentors program, the BIP’s list of OHSU reviewers, or you may submit other names for consideration. OCTRI and Business Oregon can assist with identifying reviewers pre- and post-award.
   - **Application preparation services:** Please select from the services listed on the REDCap online application, or describe other requested services.
Method of Selection and Evaluation Criteria

An evaluation team will review Phase 0/00 applications from eligible entities. The evaluation team members will be from OHSU and Business Oregon.

The team will judge submissions and recommend Phase 0/00 proposals for award. Funding recommendations will be compiled by BIP staff and reviewed by Business Oregon.

The criteria to rank and evaluate the Phase 0/00 proposals are:

1. Clear and compelling abstract
2. Significance of the proposed innovation
3. Technical merit and topic responsiveness
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

Payment of invoices for reviewer services and additional grant preparation costs:

1. Phase 0/00 awardee receives invoice(s) for application preparation 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 Phase 0/00 awardee.
3. Phase 0/00 awardee pays the service provider for the work performed.

Note: Business Oregon typically processes and pays invoices quickly. Barring unforeseen circumstances, recipient will receive payment in time to pay the service provider before the invoice is due. This assumes the Phase 0/00 awardee performs step 1 in a timely fashion.

Budget approval process for additional grant preparation services:

1. Preliminary discussion with OCTRI and Business Oregon staff about potential uses of funds for additional grant preparation services.
2. Recipient submits a budget and budget justification electronically to OCTRI and Business Oregon.
3. Business Oregon will send electronic approval of the proposed budget (or seek clarification where necessary) to the recipient; work from service providers may then proceed.
Answers to Frequently Asked Questions can be found here.

Please direct program inquiries to:

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