



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

**Issued By: Business Oregon and Oregon Health & Science University's
Biomedical Innovation Program**

Key Dates

Phase 0 application due date	Apply Now – Must submit a minimum of 9 weeks prior to SBIR/STTR due date (11/3/2015 for the January 5 th National Institutes of Health (NIH) deadline)
Phase 0 award decision	10 days after application submission
Submission of Phase I, Phase II or Fast-Track draft grant to reviewers	Submit Early – Must be a minimum of 4 weeks prior to grant due date (12/1/2015 for January NIH deadline)
Phase 0 awardees receive reviews	1-2 weeks after submitting a draft SBIR/STTR application to reviewers

Purpose

Business Oregon has joined forces with the Biomedical Innovation Program (BIP)¹ at Oregon Health & Science University to help Oregon small businesses access National Institutes of Health (NIH) 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 support to improve an application's competitiveness and the chances of funding by paying for expert reviews of draft SBIR/STTR grant proposals and other application preparation services. Phase 0 awardees will receive \$1,275² to pay for three written critiques of their Phase I, Phase II or Fast-track proposal. These reviews will come from senior OHSU researchers and/or members of the bioscience and business communities. Awardees can select their own reviewers, or BIP staff can help choose individuals with SBIR/STTR program experience and subject matter expertise (BIP/Business Oregon must approve awardee-selected reviewers). Reviewers sign confidentiality agreements prior to their work on an awardee's SBIR/STTR application.

¹ The BIP is part of OHSU's Oregon Clinical and Translational Research Institute ([OCTRI](#)).

² Total award can be up to \$5,000. See page two for allowable expenses.

If the applicant has yet to begin writing the SBIR/STTR proposal when 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 criteria
- Connections with potential scientific consultants or advisors
- Recommendations for additional preliminary studies or data analysis
- Identification of application weaknesses prior to federal submission

Applicants can request up to \$3,725 for SBIR/STTR grant application preparation services in addition to the \$1,275 awarded for the services of the three reviewers. 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/>

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](#) 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](#).
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. However, the “no later than” stipulations are firm (listed in the Key Dates table on page 1).

Application and award steps:

1. Phase 0 applications due at least 9 weeks prior to the federal agency’s SBIR/STTR due date.
2. Phase 0 award decision announced within 10 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 4 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](https://octr.ohsu.edu/redcap/surveys/?s=MFA9X43TC8), <https://octr.ohsu.edu/redcap/surveys/?s=MFA9X43TC8>. 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 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. The budget for these services may not exceed \$3,725 and must be pre-approved by Business Oregon.*

Method of Selection and Evaluation Criteria

An evaluation team will review Phase 0 applications from eligible entities. The evaluation team members will be from OHSU, the local business community, and Business Oregon.

On a rolling basis, the team will judge submissions and recommend Phase 0 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 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 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 awardee.
3. Phase 0 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 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 description of how the work to be completed with the funds, 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 not proceed before this approval is received.

Answers to [Frequently Asked Questions](#) can be found [here](#).

Please direct program inquiries to:

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