

Advice on NIH SBIR & STTR Grant Applications
FY2008 Data

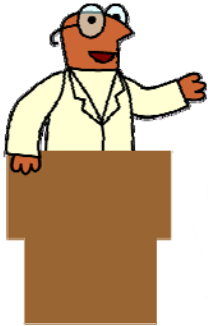


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Hello, I am Gregory Milman. In these presentations I provide advice on the NIH SBIR and STTR programs. This module is titled FY2008 Data. It was updated in July 2009. Send your comments, suggestions, and criticisms to gmilman@niaid.nih.gov.

Agenda
FY2008 Data



- Award Rates for Initial and Revised Applications
- Award Rates for Omnibus Solicitation and Other FOAs
- Relation of Funding Date to Receipt Date
- Relation of Priority Score to Funding
- Success of Fast-Track Applications
- Average Phase I Awards by Institute or Center
- How Requested Budget Affects Award Rate

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Agenda - FY2008 Data

This module provides the FY2008 data that may help you plan your SBIR or STTR application strategy.

You will view:

- Award rates for initial and revised applications
- Award rates for the omnibus solicitation and other funding opportunity announcements
- Relation of funding date to receipt date
- Relation of priority score to funding
- Success of fast-track applications
- Average phase I awards by Institute or Center
- How requested budget affects award rate

Interpreting Statistical Data

- Data from FY2008 may help you plan your strategy.
- Like the stock market, FY2008's performance is no guarantee that the future will be the same.
- Be careful how you use this information.



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Interpreting Statistical Data


Data from FY2008 may help you plan your application strategy.

Like the stock market, one year's SBIR and STTR performance is no guarantee that another year's will be the same.

Be careful how you use this information because priorities and procedures can change. Ask NIH staff to describe changes, if any, between FY2008 and today.

FY2008 NIH Phase I Application Award Data

Type	Received	Funded	Award Rate
SBIR All	3062	739	24.1%
Initial	2255	478	21.2%
1st revision	661	208	31.5%
2nd revision	146	53	36.3%
STTR All	805	109	13.5%
Initial	521	49	9.4%
1st revision	222	38	17.1%
2nd revision	62	22	35.5%




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FY2008 NIH Phase I Application Award Data

This table shows award data for FY2008 SBIR and STTR Phase I applications. The horizontal table headings are the type of application, the number of competitive Phase I applications received, the number funded, and the percent funded or award rate. Two separate blocks show the data for SBIR or STTR Phase I applications. The first line in each block shows the total number of applications received, and is next subdivided into initial submissions, first revision and second revision. The overall award rate was 24.1% for SBIR compared to 13.5% STTR applications. Not all unfunded applications were revised but the award rate improved for those that were revised and resubmitted. Note that about 35% of SBIR and 55% of STTR applications were revised and resubmitted before they were awarded. Also note that only a single revised resubmission is allowed for new NIH grant applications submitted in FY2009.

FY2008 NIH Phase II Application Award Data

Type	Received	Funded	Award Rate
SBIR All	675	269	39.9%
Initial	401	161	40.1%
1st revision	196	76	38.8%
2nd revision	78	32	41.0%
STTR All	130	43	33.1%
Initial	73	24	32.9%
1st revision	37	10	27.0%
2nd revision	20	9	45.0%




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FY2008 NIH Phase II Application Award Data

This table shows the same data sets for FY2008 Phase II applications. The horizontal table headings are the type of application, the number of competitive Phase II applications received, the number funded, and the award rate. Two separate blocks show the data for SBIR or STTR Phase II applications. The first line in each block shows the total number of applications received, and is next subdivided into initial, first revision and second revision. The award rate was about 40% for SBIR applications and 33% for STTR. Not all unfunded applications were revised but the award rate remained about the same for those that were revised and resubmitted. Again, only a single revised resubmission is allowed for new NIH grant applications submitted in FY2009.

FY2008 NIH Parent and Other Small Business Applications

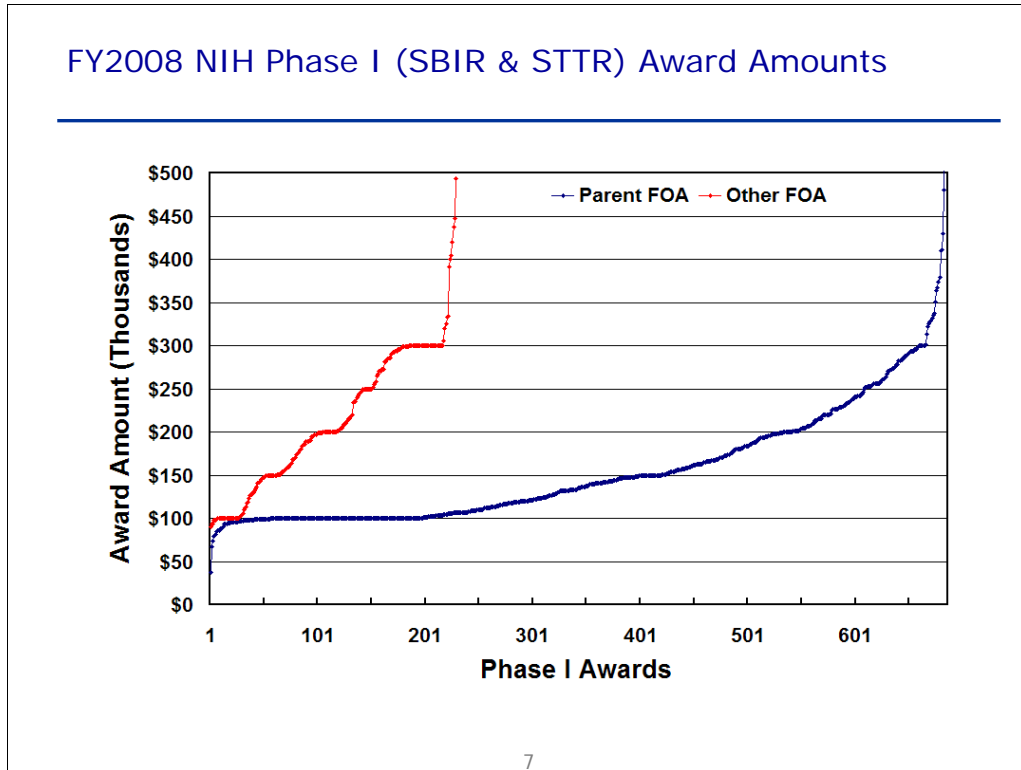


Type	Received	Funded	Award Rate
SBIR Phase I	3062	739	24.1%
Parent FOA	2309	550	23.8%
Other FOA	753	189	25.1%
STTR Phase I	805	109	13.5%
Parent FOA	579	81	14.0%
Other FOA	226	28	12.4%
SBIR Phase II	675	269	39.9%
Parent FOA	570	230	40.4%
Other FOA	105	39	37.1%
STTR Phase II	130	43	33.1%
Parent FOA	106	37	34.9%
Other FOA	24	6	25.0%

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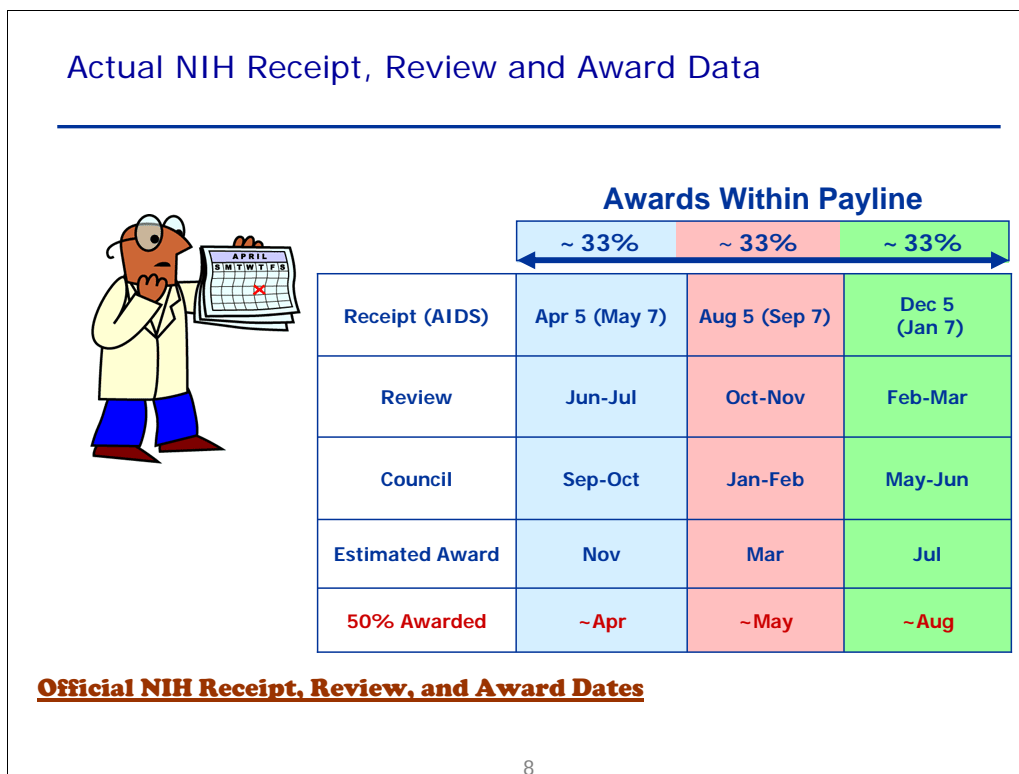
FY2008 NIH Parent and Other Small Business Applications

This table shows the data for FY2008 SBIR and STTR applications in response to the Omnibus Solicitation (parent funding opportunity announcement, FOA) or to other FOAs. The horizontal headings are the type of application, the number of competitive Phase II applications received, the number funded, and the award rate. Four separate blocks show the data for SBIR Phase I, STTR Phase I, SBIR Phase II and STTR Phase II applications. The first line in each block shows the total number of applications received, and is next subdivided into those received in response to the Omnibus Solicitation, or to one of the topic-targeted FOAs. There appears to be no significant difference in the award rate for applications responding to the parent or to targeted FOAs. While you may want to look at all NIH small business FOAs, focus your application on company priorities, often the parent Omnibus Solicitation.



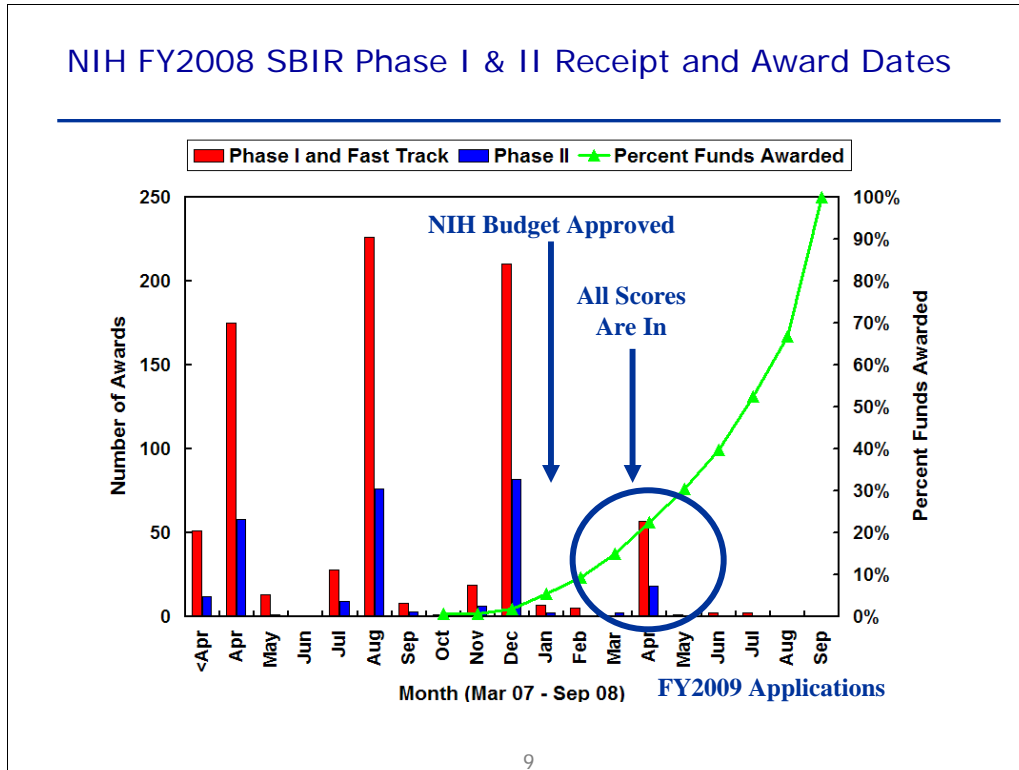
FY2008 NIH Phase I (SBIR & STTR) Award Amounts

This line chart shows award amounts for applications responding to the Parent FOA or to other FOAs. Each point is an individual grant award arranged along the horizontal axis from lowest to highest amount on the vertical axis. The right (blue) curve are points for the Parent FOA and the left (red) curve are for all other FOAs. The award plateau at \$100K most likely represents applications that requested \$100K as the "normal" amount in the Omnibus Solicitation. The award plateaus at \$150K, \$200K, \$250K, and \$300K most likely represent applications that requested the amounts stated in specific FOAs. Note that award amounts in response to the Parent FOA overlap those in response to the specific FOAs.



Actual NIH Receipt, Review, and Award Data

The NIH estimate of seven months from receipt to award is overly optimistic. The link takes you to official NIH receipt, review, and award dates. Regardless of when you submit your application, if you receive an award it is likely that you will receive it between June and September. As shown in the next two slides, about one-third of awards go to applications for each of the three receipt dates, but not when NIH says they will. Over 50% of the applications received for the April/May receipt date are awarded 12-17 months later. Over 50% of the applications received for the August/September receipt date are awarded 9-13 months later. And, over 50% of the applications received for the December/January receipt date are awarded 8-9 months later.



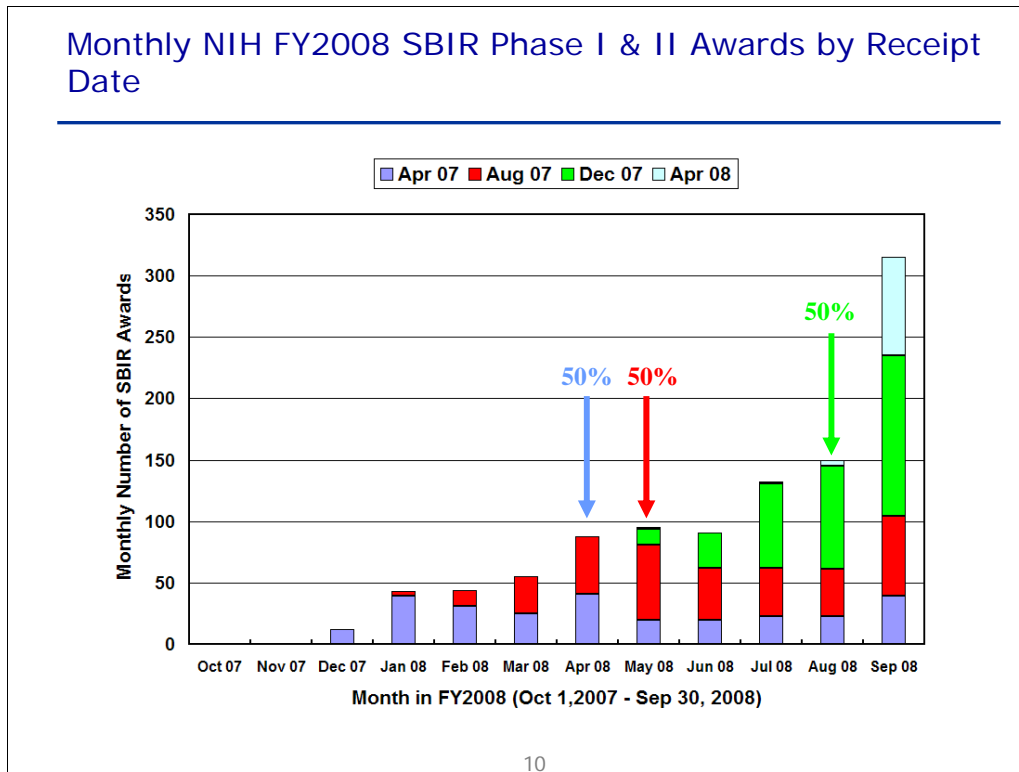
NIH FY2008 SBIR Phase I & II Receipt and Award Dates

This combination bar and line chart shows FY2008 SBIR receipt and award data. Along the horizontal axis are the months from April 2007 through September 2008. The Omnibus Solicitation FY2008 receipt dates were in April, August, and December of 2007, and one month later for AIDS applications. Targeted FOAs may have receipt dates at other times.

The month, marked <April, is for FY2008 awards whose applications were received before April 2007. A vertical bar represents the number of awards, on the scale on the left axis, submitted in the indicated month. Note that the bar's month is when the application was submitted, not when the award was received. The left (red) bar for each month denotes Phase I and Fast-Track awards and the right (blue) bar denotes Phase II awards. The number of awards was about the same for each of the three Omnibus Solicitation receipt dates.

The curved line (green) shows the cumulative percent of FY2008 funds awarded, on the scale on the right axis. Almost no awards were made before January and 75% were awarded between April and September. Awards cluster at the end of the fiscal year for two reasons. First, we do not award new grants until Congress appropriates NIH funds, often not until January or later. Second, we cannot make final funding decisions until April when the year's scores are finally all in.

A few SBIR FY2008 awards were made to applications received in April 2008. These were really FY2009 applications that received FY2008 awards because ICs had SBIR funds remaining after paying FY2008 applications within their paylines.

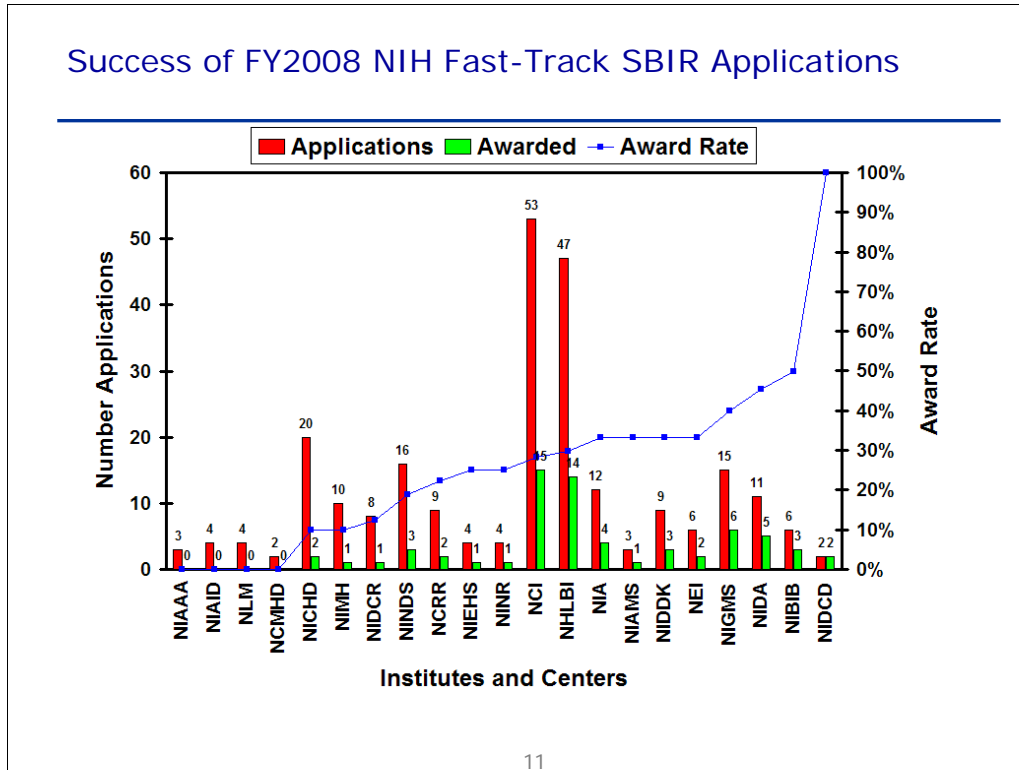


Monthly NIH FY2008 SBIR Phase I & II Awards by Receipt Date

This bar chart shows the number of FY2008 SBIR awarded each month and the month the application was received. Along the horizontal axis are the months from October 2007 to September 2008. The height of each bar shows the total number of monthly awards. The bottom bars in blue denote applications received in April 2007, the next bars in red represent applications received in August 2007, the next bars in green indicate applications received in December 2007, and the top bars occurring only in August and September correspond to applications received in April 2008.

Awards to April 2007 applications begin in December and are spread throughout FY2008 with half awarded by April 2008. Awards to August 2007 applications begin in January and are spread through the remainder of FY2008 with half awarded by May. Awards to December 2007 applications begin in May and are spread through the remainder of FY2008 with half awarded by August.

December applications offer the shortest time between receipt and funding. Although April applications wait the longest, this receipt date offers two big advantages. First, if an initial April application is non-funded, like over half of all funded applications, it can be revised and resubmitted for the December receipt date and funded in the shortest time. Second, if an April application receives an outstanding score, it may be funded early, like the few FY2009 applications that were given FY2008 awards in August and September.



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Success of FY2008 NIH Fast-Track SBIR Applications

This combination bar and line chart shows SBIR Fast-Track receipt and award data for each IC. Along the horizontal axis are NIH Institutes and Centers (ICs). The vertical bars show the number of Fast-Track applications on the scale on the left axis. The left (red) bar for each IC shows the number of applications received and the right (green) bar for each IC indicates the number of grants awarded. The curved line (blue) shows the award rate, the percent of applications funded. The ICs are arranged by award rate with the highest on the right and the lowest on the left. The award rate for NIMH and ICs to the left of NIMH are considerably lower than Phase I SBIR award rates. The Fast-Track award rate for NCI and ICs to the right of NCI are equal or higher than Phase I SBIR award rates. The differences in Fast-Track award rates of ICs are most likely due to the culture of the committees that review an IC's applications.

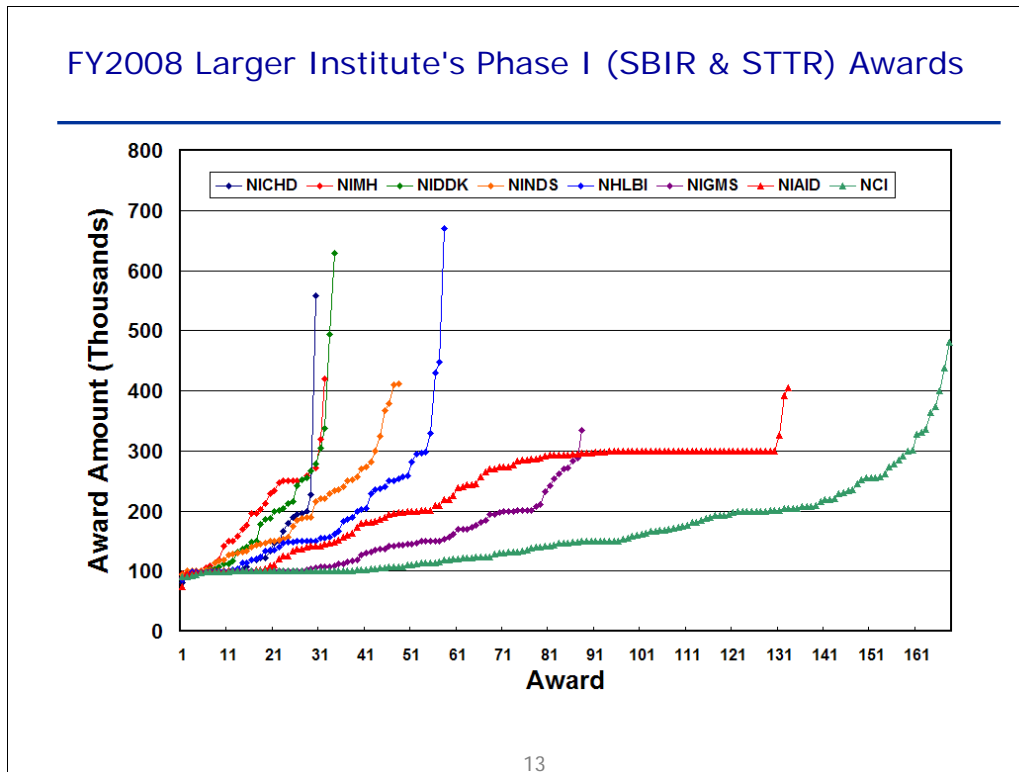
FY2008 Phase I SBIR & STTR Awards and Average Amounts for Institutes and Centers

IC	# Awards	Average	IC	# Awards	Average
NIAID	140	\$215K	NIGMS	86	\$149K
NIDDK	41	\$196K	NCMHD	6	\$139K
NIMH	37	\$194K	NIDA	24	\$138K
NINDS	54	\$186K	NIDCD	15	\$137K
NIA	16	\$177K	NIBIB	20	\$135K
NIAAA	6	\$177K	NIDCR	7	\$135K
NHLBI	58	\$175K	NCRR	34	\$132K
NHGRI	11	\$172K	NICHD	31	\$130K
NCI	172	\$164K	NIEHS	21	\$120K
NIAMS	31	\$164K	NCCAM	5	\$108K
NLM	1	\$150K	NINR	10	\$102K
NEI	21	\$149K			

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FY2008 Phase I SBIR & STTR Awards and Average Amounts for Institutes and Centers

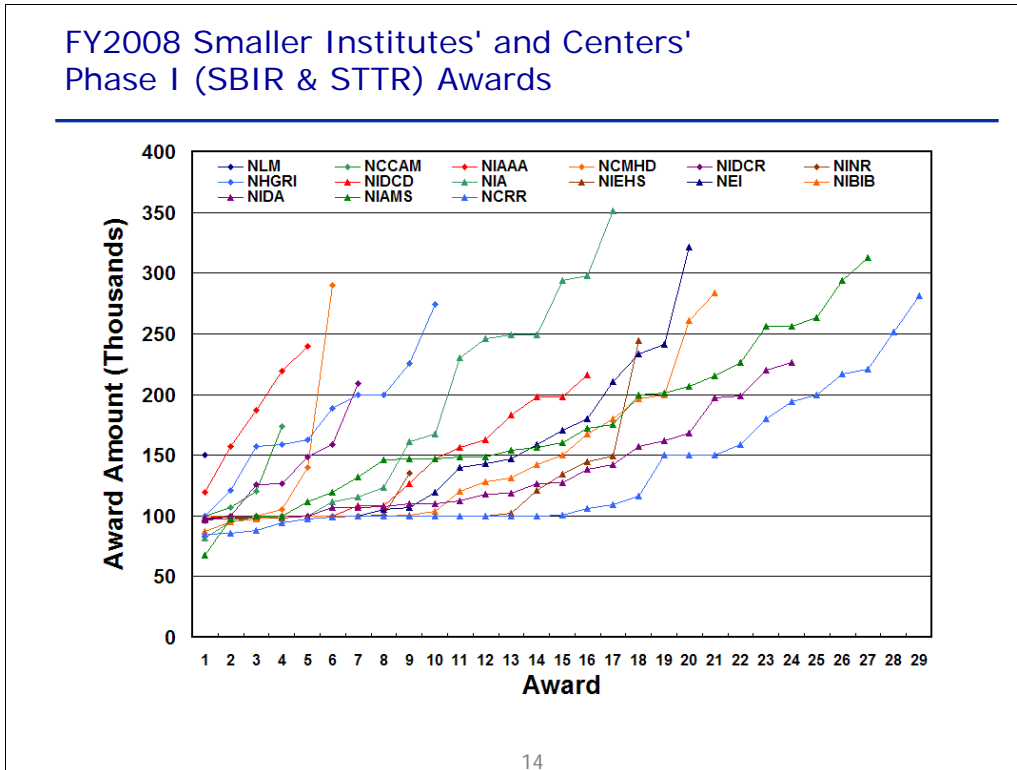
This table lists the number of FY2008 SBIR and STTR Phase I awards and the average award amount for all NIH ICs. The ICs are arranged by decreasing average award amount with NIAID having the highest at \$215K and NINR having the lowest at \$102K. There is no correlation between an IC's number of awards or total award dollars and its average award amount. The average award amount for all ICs was greater than the \$100K "normal" amount listed in the Omnibus Solicitation.



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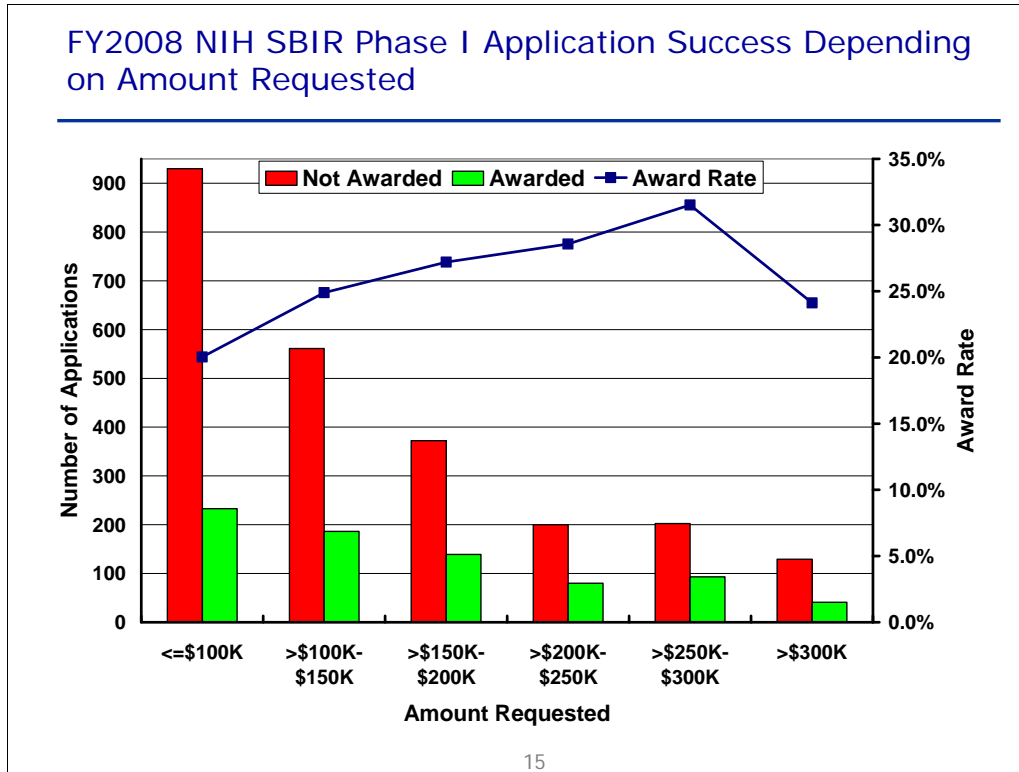
FY2008 Larger Institutes Phase I (SBIR & STTR) Awards

Larger institutes award Phase I grants between \$100K and \$300K with a few that are greater. This line chart shows a point for every FY2008 SBIR and STTR grant awarded with each institute's awards arranged along the horizontal axis from lowest to highest amount on the vertical axis.



FY2008 Smaller Institutes' and Centers' Phase I (SBIR & STTR) Awards

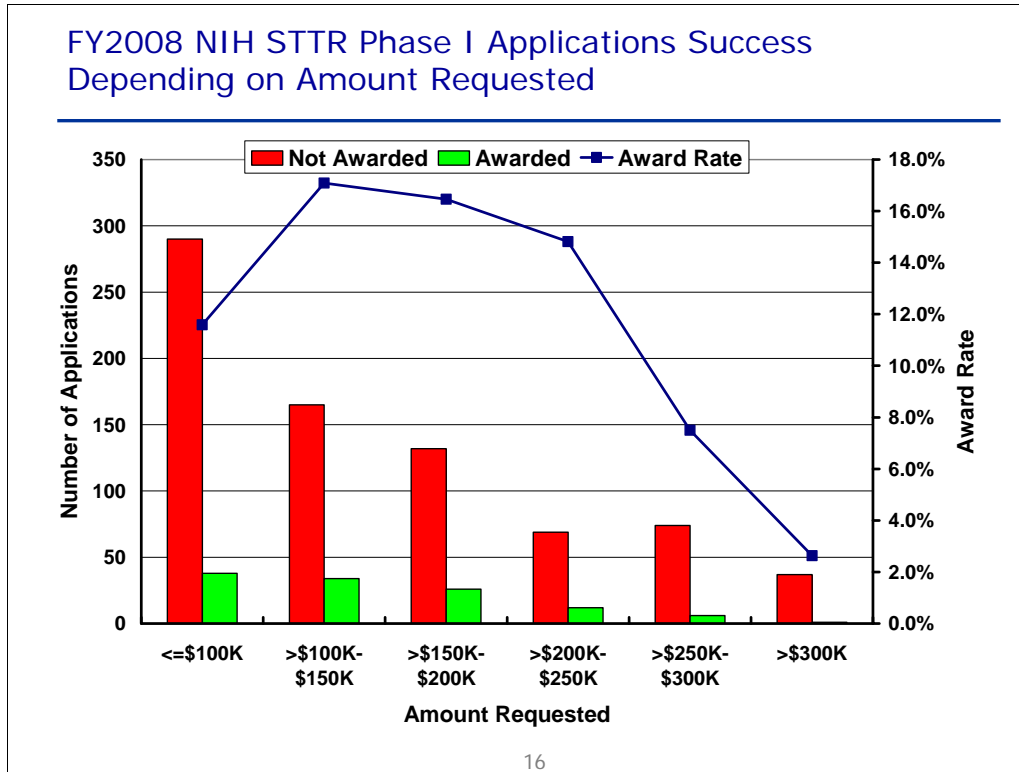
Even though they have fewer funds, smaller institutes also award Phase I grants between \$100K and \$300K with very few that are greater. This line chart shows a point for every FY2008 SBIR and STTR grant awarded with each IC's awards arranged along the horizontal axis from lowest to highest amount on the vertical axis.



FY2008 NIH SBIR Phase I Application Success Depending on Amount Requested

There appears to be little significant difference in award rates for SBIR applications requesting between \$100K and \$300K.

This combination bar and line chart shows numbers and award rates of SBIR Phase I applications requesting different amounts of funding. The requested funding ranges are on the horizontal axis and the number of applications are on the left vertical axis. For each funding range, the number of applications not awarded are shown on the left (red) bar and the number of applications awarded are shown on the right (green) bar. The curved line shows the award rate on the right axis.



FY2008 NIH STTR Phase I Application Success Depending on Amount Requested

There appears to be little significant difference in award rates for STTR applications requesting between \$100K and \$200K, but there does appear to be a significant decrease in STTR award rate for applications requesting more than \$200K.

This combination bar and line chart shows the number and award rates of STTR Phase I applications requesting different amounts of funding. The requested funding ranges are on the horizontal axis and the number of applications are on the left vertical axis. For each funding range, the number of applications on the left axis not awarded are shown on the left (red) bar and the number of applications awarded are shown on the right (green) bar. The curved line shows the award rate on the right axis.

More Presentations



TOPICS

- Basic Information
- Managing the NIH Timeline
- Writing for Reviewers
- FY2008 Data
- Tips and Tricks
- More than SBIR/STTR Funds
- Small Business Funds for Academic Investigators

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Thank you for watching this module. Close this window to select another topic.