

SBIR/STTR: READINESS SCREENING FORM

Business Applicant Name:

PI Name, Title, Department:

Targeted Funding Solicitation (if known) & Due Date:

Phase of SBIR or STTR Funding:

APPLICANT & PI ELIGIBILITY

Please use checklist below to confirm SBIR/STTR eligibility for your company.

The applicant will be a formal small business concern (SBC) that meets all of the following:

- Is organized for profit, with a place of business located in the United States, which operates primarily within the U.S.;
- Is in the legal form of an individual proprietorship, partnership, LLC, corporation, joint venture, association, trust, or cooperative. If a joint venture, there must be less than 50 percent participation by foreign business entities; and
- Has, including its affiliates, not more than 500 employees.
- For SBIR and STTR, the SBC must be more than 50 percent directly owned and controlled by one or more individuals who are citizens or permanent resident aliens of the U.S., other business concerns each of which is more than 50 percent directly owned and controlled by individuals who are citizens or permanent residents of the U.S., and Indian tribe, Alaska Native Corporation, Native Hawaiian Organization, or any combination of these;
- Or, for SBIR only, the SBC may be more than 50 percent owned by multiple venture capital operating companies, hedge funds, private equity firms, or any combination. No single venture capital operating company, hedge fund, or private equity firm may own more than 50 percent of the concern unless that entity qualifies as an SBC, itself, that is more than 50% directly owned and controlled by U.S. citizens or permanent resident aliens.

Now consider the individual who will be filling the Principal Investigator (PI) project leadership role:

- For SBIR, the PI will be more than 50 percent employed by the SBC at the time of award and during the entire project period. If more than one PI, at least one must meet the primary employment requirement.
- For STTR, the PI must be employed by either the partnering research institution or the SBC. If more than one PI, at least one must meet the primary employment requirement.

FUNDAMENTAL CONCEPT & SCOPE OF WORK

- Our project is centered around developing and marketing a new commercial product with viable potential.
- Our product is an early-stage concept, technology, or prototypical device that requires additional research and development (R&D) work before it can be commercialized.
- The envisioned work aligns with one of the phases of SBIR funding ([Phase 1](#), [Phase 2](#), or [Fast-Track](#)).

If SBIR ([Recap of SBIR vs. STTR can be found here](#)):

- For Phase I, at least two-thirds (67 percent) of the research or analytical effort (as determined by budgetary allocation of the total amount requested) will be carried out by our company. I recognize that no more than one-third of the work can be subcontracted to all consultant and contractual parties.
- For Phase II, at least one-half (50 percent) of the research or analytical effort (as determined by budgetary allocation of the total amount requested) will be carried out by our company. I recognize that no more than one-half of the work can be subcontracted to all consultant and contractual parties.

If STTR:

- We have identified a willing academic partner to our STTR effort.
- For Phase I or Phase II, at least 40 percent of the research or analytical effort (as determined by budgetary allocation of the total amount requested) will be carried out by our company.
- At least 30 percent of the work will be performed by our partnering research institution. The remaining 30 percent can be performed by either the SBC or partner or subcontracted to a third party.

PLANNED PROJECT

Describe the new product or technology to be developed using SBIR/STTR funding.

Briefly, how is this new product or technology relevant to human health or disease? What is the incidence of disease in your target population, or (if known) the size of the potential market?

What proof of principle data or prior work do you have to support the likelihood of success for the planned project?

What R&D tasks or specific aims do you envision proposing for this project period? If STTR, clearly define which tasks/role will be done at the academic institution vs. at the small business.

What timeframe and ballpark budget amount do you anticipate requiring to reach the end of this project period?

PLANNED TEAM LEADERSHIP, KEY PERSONNEL AND RESOURCES

Describe the business-affiliated research team, their terminal degree(s), current positions, applicable level of prior expertise or experience relevant to this project, and roles on the planned project. If STTR, also describe professor collaborator(s) at partnering institution.

List any plans to recruit outside consultants as key personnel to fill recognized gaps in the research team, and whom.

Briefly, provide a realistic assessment of the small business's access to research facilities and/or resources that will be essential for completing the planned work. If outsourcing, describe from where and to what extent.

List any potential future commercialization partners, key stakeholders, or market leaders who may be available to provide letters of support to demonstrate interest in your developing product or technology.