

# Small Business Programs

## Funding Innovation for Healthy Aging

The National Institute on Aging (NIA) leads a broad scientific effort to understand the nature of aging and to extend the healthy, active years of life.

NIA provides nearly \$150 million in funding for the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs.

The Institute offers non-dilutive grants to commercialize interventions that address aging, aging-related diseases, and the special needs of older Americans.

**NIA is the primary federal agency leading research on Alzheimer's disease (AD) and AD-related dementias (ADRD).**

What  
Is Your



## BIG IDEA

We're looking for groundbreaking ideas in aging research and AD/ADRD:



### INNOVATION

to support healthy aging and aging in place



### INTERVENTIONS

to help people with aging-related diseases



### SOLUTIONS

for aging-related challenges and needs



### TOOLS

to efficiently assess and diagnose aging-related diseases



### TECHNOLOGY

to reduce burden and improve care and services

#### APPLICATION GUIDANCE

Contact the NIA Office of Strategic Extramural Programs with questions or to discuss your project idea with Dr. Michael-David A.R.R. Kerns at [NIASmallbusiness@mail.nih.gov](mailto:NIASmallbusiness@mail.nih.gov).

#### ONLINE RESOURCES

Visit [nia.nih.gov/sbir](http://nia.nih.gov/sbir) to find Frequently Asked Questions and review NIA's research priorities.



## Available Opportunities

### OMNIBUS FUNDING

Investigator-initiated  
Standard application due dates:

► **Jan. 5, Apr. 5, Sept. 5** ◀

### FUNDING FOR AD/ADRD

Focused priority areas in aging  
Includes higher AD/ADRD budgets  
Application due dates vary

## NIA Divisions Support R&D On:



Aging Biology



Behavioral and  
Social Research



Geriatrics and  
Clinical Gerontology



Neuroscience,  
including AD/ADRD



## NIA SBIR & STTR Seeks

- Innovative solutions to significant **unmet clinical needs**
- Solutions that have **significant commercial potential**
- Projects that:
  - Leverage the **expertise of the company/founder**
  - Seek funding to **produce feasibility data** (Phase I) or conduct **product-focused development activities** (Phase II)
- To support innovators from all backgrounds including women and socially disadvantaged entrepreneurs.



## Special Research Interests in AD/ADRD

NIA's SBIR & STTR programs have funding available up to **\$500,000 for Phase I** and **\$2.5 million for Phase II** in AD/ADRD topics.

NIA seeks AD/ADRD R&D focusing on:

- |                     |                             |                  |
|---------------------|-----------------------------|------------------|
| • Prevention        | • Research & Clinical Tools | • Digital Health |
| • Diagnosis         | • Analytical Tools          | • Novel Devices  |
| • Treatment         |                             |                  |
| • Care & Caregiving |                             |                  |

## Focus on Alzheimer's Disease and Related Dementias Research

AD is a leading cause of death in the U.S., affecting more than 6 million Americans. Continued, significant investments are needed if we are to meet the national goal of preventing and effectively treating AD.

NIA's SBIR and STTR programs provide AD and ADRD research funding where it is most needed: in the early stages of R&D when new ideas are tested. We expect to provide nearly \$150 million in funding for small business innovation in aging, AD, and ADRD.

# Understanding the NIA SBIR & STTR Programs

## Who Is Eligible?

Organized for-profit U.S. small businesses with 500 or fewer employees. Learn more at [nia.nih.gov/sbir](https://nia.nih.gov/sbir).

## How Do SBIR & STTR Differ?

SBIR	STTR
Supports small businesses conducting early-stage R&D to commercialize innovations in healthy aging and diseases of aging	Supports small businesses that are formally collaborating with a research institution (e.g., university) in R&D to commercialize innovations
<b>PERMITS</b> research institution partnerships	<b>REQUIRES</b> research institution partnerships
The small business may outsource about 33% of Phase I activities and 50% of Phase II activities	The for-profit small business should conduct a minimum of 40% of the work, and a non-profit U.S. research institution should conduct a minimum of 30% of the work
The Project Director/Principal Investigator's primary employment (>50%) must be with the small business for the duration of the project period	An agreement providing necessary intellectual property (IP) rights to the small business is required to carry out follow-on R&D and commercialization
<b>Awards are always made to the small business.</b> Contact us for help determining whether SBIR or STTR is the best match for your project.	

## SBIR & STTR Program Phases and Funding Levels

<b>Phase I</b>	Discovery & Feasibility	<ul style="list-style-type: none"><li>• Typically 1 year in length</li><li>• Awards up to \$400,000, or up to \$500,000 for AD/ADRD</li><li>• Establish technical merit, feasibility, and potential for commercialization</li></ul>
<b>Phase II</b>	Development & Full R&D	<ul style="list-style-type: none"><li>• Typically 2 years in length</li><li>• Awards up to \$2.25 million, or up to \$2.5 million for AD/ADRD</li><li>• Continues Phase I R&amp;D efforts</li><li>• Requires a commercialization plan</li></ul>
<b>Fast Track</b>		<ul style="list-style-type: none"><li>• One combined application for Phases I and II</li></ul>
<b>Direct-to-Phase II (SBIR only)</b>		<ul style="list-style-type: none"><li>• Apply directly for Phase II funding</li><li>• Demonstrated feasibility through other funding sources</li></ul>
<b>Commercialization Readiness Pilot</b>		<ul style="list-style-type: none"><li>• Up to 3 years</li><li>• Awards up to \$3.9 million</li><li>• Funding for late-stage R&amp;D and technical assistance for commercialization</li></ul>
<b>Phase IIB</b>	Competing Renewal	<ul style="list-style-type: none"><li>• Up to 3 years</li><li>• Awards up to \$3 million</li></ul>



# Tips for Applying

## ✓ Start Early.

Strong proposals take time to develop.

Complete required registrations for your company at least 6 to 8 weeks prior to the application deadline.

The four required registrations are System for Award Management (SAM.gov) including your 18-digit Unique Entity Identifier (UEI) number, SBA Company Registry, eRA Commons, and Grants.gov

## ✓ Considerations for Developing Your Application.

1. The technology prototype or therapeutic to be developed;
2. The technical innovation the development would represent, the unmet need it addresses, and technical challenges to overcome;
3. The value proposition and competition; and how the technology builds on current scientific premise and/or preliminary data;
4. The proposed specific research aims, including key models, assays, metrics, and quantitative performance milestones; and
5. The relevance of the research and development to NIA's mission.

## Additional Resources for Applicants and Awardees

### Everyone

**Webinars & Events.** Watch archived presentations including a mock peer review session on our website and sign up for future events.

### Applicants

**Sample Applications.** Review other successful [applications](#) on our website to see what information other applicants included and how they presented it.

**Applicant Assistance Program.** A 10-week coaching [program](#) to help prepare your Phase I application. Offered once each standard funding period. Open to first-time and never-funded applicants.

### Awardees

**Diversity Supplement.** Funds to recruit and support students, postdocs, and eligible investigators from underrepresented groups that enhance the diversity of the research and entrepreneurial workforce.

**Innovator Support.** Support from the [NIA Entrepreneurs-in-Residence](#) including business consults, pitch coaching, and company showcase opportunities.

**Additional Resources and Support for Grantees.** Companies that receive SBIR/STTR awards are eligible to apply for additional funding, technical assistance, and training programs such as the I-Corps™ at NIH program, C3i Medical Device Entrepreneurial Training Program, and training programs designed for diverse applicants.