

## Congratulations on your NCATS Small Business Innovation Research (SBIR) / Small Business Technology Transfer Research (STTR) award!

This document aims to help familiarize you with key elements of managing your award.

Please note that the **NIH Welcome Wagon letter**, which is geared toward new grant recipients, is the best resource for information and reminders on managing your grant award.

## Manage Your Award

### ACCESSING FUNDS



You've been awarded an SBIR/STTR grant from NCATS, but how do you start cutting checks? The first step in managing your award is to **establish access** through the [Payment Management System \(PMS\)](#).

- As a recipient, you will be assigned a 12-digit Entity Identification Number (EIN) to request funds. It is provided on your NoA
- A PMS Liaison Accountant is available to answer questions about your account
- Be sure to check out the [PMS Grant Recipient FAQs](#) to learn more about PMS

**By drawing down funds from the payment management system, the recipient is agreeing to the NIH award and its associated terms and conditions.**

**PRIOR APPROVALS** | NCATS grantees are required to adhere to the NIH Grants Policy Statement, unless the Notice of Award states otherwise.

- All **prior approval requests** must be submitted in writing (including submission by email) to [NCATSPriorApprovalRequest@mail.nih.gov](mailto:NCATSPriorApprovalRequest@mail.nih.gov) with a copy to the named Grants Management Specialist (GMS) and Program Officer (PO) no later than 30 days before the proposed change and signed by the Authorized Organizational Representative
- Details on the most common prior approval requests (Key Personnel, Extensions, Foreign Components, Unobligated Funds/Carryover) for SBIR/ STTR awards are provided on the [NCATS website](#)

### REQUIRED REPORTING



For those who have multi-year grant awards, you will have to submit reports through [eRA Commons](#). This includes interim or annual progress reports as well a closeout report.

**Phase I** awardees are required to submit two formal reports:

- **Interim & Annual:** The [Research Performance Progress Report \(RPPR\)](#) should be submitted annually to document accomplishments and products, identify project changes, report on personnel and describe plans for Phase II award budgets
  - If submitting a renewal (Type 2) application, you should submit an **Interim RPPR** at the end of the year. If a Type 2 renewal is not funded, the Interim RPPR will serve as the final report for the project
- **End of Grant:** The [Closeout Report](#) should be submitted once all required work and administration on an award is complete. It includes:
  - [Final Federal Financial Report \(FFFR\)](#) (submit through PMS)
  - [Final Research Progress Report](#) summarizing progress toward scientific aims achievement and identifying significant outcomes (submit through RPPR)
  - [Final Invention Statement and Certification \(HHS 568\)](#) including all inventions conceived or put into practice during the award

The [NIH Grants Policy Statement](#) has information about post award processes and requirements. For specific questions, talk to your NCATS Grants Management Specialist and Program Officer.

## Research & Business Support

NCATS and the NIH offer programs and resources to help advance research and potential solutions. Our team is here to help you maximize these opportunities.

### RESOURCES TO SUPPORT YOUR RESEARCH



**Therapeutics for Rare and Neglected Diseases (TRND)**. The NCATS TRND program supports preclinical development of therapeutic candidates intended to treat rare or neglected disorders, with the goal of enabling an IND application.



**Bridging Interventional Development Gaps (BrIDGs)**. The NCATS BrIDGs program helps researchers to advance promising therapeutic agents through late-stage preclinical development toward an Investigational New Drug (IND) application and clinical testing.



**Technical and Business Assistance (TABA)**. The NIH TABA program provides additional funds for technical and business services such as market research and intellectual property protections.

- Award recipients may request TABA support through the NIH Administrative Supplement Parent, **PA-20-272**, if they did not include a request in their SBIR/STTR applications
- Award recipients who did not request TABA support through their SBIR/STTR applications may also apply for a **TABA Needs** to receive a third-party assessment and guidance in 10 technical and business areas
- **Participating in TABA does not limit your access to the other resources**



**Commercialization Readiness Pilot (CRP)**. The CRP program provides additional technical assistance and late-stage research and development support not typically covered by small business awards.

### RESOURCES TO DEVELOP YOUR BUSINESS



**Regulatory & Business Development Consultations**. Connect with seasoned professionals and get expert consultations and guidance related to business challenges (ex: **Entrepreneurs in Residence** program).



**Partnering & Investment Opportunities**. Amplify your work with investors and corporate partners at showcase events throughout the year and learn how to perfect your pitch to stand out from the crowd.



**Supplements to Promote Diversity in Small Business Research**. Request additional funds through an administrative supplement to enhance the diversity of the research and entrepreneurial workforce.

### RESOURCES TO BUILD YOUR ENTREPRENEURIAL SKILLS



**I-Corps at NIH™**. I-Corps is an 8-week intensive training program that provides funding, mentoring, and networking opportunities to help commercialize your promising biomedical technology.

## STAY CONNECTED!

If you have questions about your grant and available resources, contact us. And share your progress with us we'd love to hear about your successes.

 [linkedin.com/company/nih-ncats/](https://www.linkedin.com/company/nih-ncats/)

 [x.com/ncats\\_nih\\_gov](https://x.com/ncats_nih_gov)