

Item	Business Rules	Documents	Comments
1. SBIR form	<ul style="list-style-type: none"> • Add page to grant image (placement as last in 424 RR forms, first in PHS 398 forms) • Answer is required to all items on SBIR form • Do not allow submitter to indicate 'SBIR' and 'STTR', or 'Both' and either 'SBIR' or 'STTR'. • Do not allow submitter to indicate more than one choice of 'Phase I', 'Phase II', and 'Fast-Track'. • If 'Phase II' selected, must include Phase I grant number in the Federal Identifier. Validate on Federal Identifier (components of grant number must be parsable; IC % serial number must be included; number (as represented by IC and serial number) must exist in the NIH system; phase I must have been awarded) • If subcontracts are indicated, require that names of subcontract organizations (at least 1) be included; if 'no subcontracts' is indicated, do not allow entry of subcontract organization names. • If answer to 'work to be performed in US' question is 'no', require that Explanation attachment be included. • If answer to 'submittal of equivalent work to other agencies' question is 'yes', require that at least one name of other agency be included. • See rule below for Commercialization Plan. • Require answers to SBIR-specific questions only if this is an SBIR application; do not allow if STTR. • For SBIR-specific questions, if answer to the 'prior phase II award' question is 'yes', a company commercialization history attachment (Section L) is required. • Require answers to STTR-specific questions only if this is an STTR application; do not allow if SBIR. 	<p>Validations Document, Grant Image Document</p>	<p>Components need to be added to the schema</p>

Item	Business Rules	Documents	Comments
2. Cost limitations	<ul style="list-style-type: none"> • Phase I limited to 100k • Phase II limited to 750k • Fast Track limited to 850k • If any cost limitation is exceeded, validate that budget justification is not blank • Make sure 500k validations do not apply to SB apps • Limitations apply to total cost (direct cost, indirect cost, and fee) 		<p>Because of deviation possibilities, we will not reject or provide warning if limitation is exceeded</p> <p>Deviations apply to NIH only, not CDC or FDA</p>
3. Time limitations	<ul style="list-style-type: none"> • Phase I SBIR limited to 6 months • Phase I STTR limited to 1 year • Phase II limited to 2 years • If any time limitation is exceeded, validate that budget justification is not blank 		<p>Because of deviation possibilities, we will not reject or provide warning if limitation is exceeded</p> <p>Deviations apply to NIH only, not CDC or FDA</p>
4. Limitations on submitted types	<ul style="list-style-type: none"> • No type 2s can be submitted for Phase I • Phase II must have Phase I award • Phase II must be submitted within 6 receipt dates after expiration of Phase I budget (project period end date) • Assuming no type 4s 		
5. Applicable solicitations, mechanisms and receipt dates	<ul style="list-style-type: none"> • PHS 2005-2 could be R41-R44 • Specific RFA/PA could also be R41-R44 • RFA/PA could be U43 or U44 • RFA/PA could be UT1 or UT2 (for STTR) • Validate RFA/PA title against solicitation number • AIDS receipt is one month later, so need way to control receipt • Amended apps follow same receipt dates (April, August, December) 		<p>Will need to coordinate title/solicitation number for Omnibus Solicitation, and include in instructions</p>

Item	Business Rules	Documents	Comments
<p>6. Required attachments and page limitations</p>	<ul style="list-style-type: none"> • Phase I section A-D of Research Plan limited to 15 pages • Phase II section A-D of Research Plan limited to 25 pages • Introduction not part of above page limitations • Introduction required for revision and supplement • Introduction limited to 1 page for Phase I, 3 pages for Phase II, same limitation for each on Fast Track • Section B titled 'Significance and Related R&D', not 'Background and Significance'. • Section C titled 'Preliminary Studies/Phase I Final Report' instead of 'Preliminary Studies/Progress Report'. • Preliminary Studies can be submitted and is required for Phase II or Fast Track only. • Phase I Final Report is required for Phase II only (and should not be submitted for Phase I) • Section D is titled 'Experimental/Research Design and Methods' different for 1 and 2? • Phase II and Fast Track require commercialization plan (Section K) (limited to 15 pages) • Section L. Prior SBIR/STTR Phase II Awards • Fast Track image should have all Phase I forms, followed by all Phase II forms • Appendixes will not be validated yet 		<p>Does not include cover letter, page 2, intro, biosketch, sections E-L, checklist, personal data, letters of commitment, STTR budget, pages furnishing info required under 'Prior SBIR/STTR Phase II Awards'</p> <p>Appendices are not allowed for Phase I, unless solicited within the RFA/PA. Short-term, no validation. Long-term, modify RFA/PA to contain appendix parameter, and validate.</p>

Item	Business Rules	Documents	Comments
7. Budget validations—small business and consortium budgets	<ul style="list-style-type: none"> • No modular budgets • No 500k check for SBIR/STTR • Request for fee is entered below 'total direct costs for initial budget period'. • Fee needs to be justified on form page 5. • Fee can't exceed 7% of total costs (direct and indirect (found on checklist)) for each phase. • Fee can only be included for the small business budget (i.e., not for research inst. or consortium) • The Direct Cost amount for Phase I app should not be greater than the Total Cost • The Initial Direct Cost amount for Phase II app should not be greater than the Direct Cost • The Direct Costs amount for Phase II app should not be greater than the Total Cost • A Phase II app should not have an Initial Direct Cost greater than the Initial Total Cost • A Phase II app should not have an Initial Direct Cost greater than the Direct Costs • The Direct Costs Phase (I) amount for a Fast Track app should not be greater than the Total Cost 		Solicitation instructs: <i>"Indicate the research institution's total direct costs and F&A costs in the field labeled "Consortium/Contractual Costs" on the Small Business Concern's Budget Page".</i>

Item	Business Rules	Documents	Comments
8. STTR relationship with research institution	<ul style="list-style-type: none"> • Include Research Institution Budget detail page for each year of budget for an STTR • For an STTR, there must be one and only one Research Institution budget with 'primary' indicator (there may be multiple Research Institutions). • Identify it as 'budget of research institution' at the top of the page • Indicate the research institution's total direct costs and F&A costs in the field labeled "Consortium/Contractual Costs" on the Small Business Concern's Budget Page. • Data on the Research Institution Budget pages is a subset of the small business budget's pages 4 & 5 • PI's name can't be on both small business and research institution budget pages • Two signatures are required • Research Institution budgets to be placed in Grant Image before any consortium budgets 		Signature of business official at STTR Research Institution will be submitted as just in time, not with application.
9. Letter to be sent after successful processing	<ul style="list-style-type: none"> • Make sure text is generic, not specific to R01 		
10. Checklist	<ul style="list-style-type: none"> • Inventions and patents, if 'No', no other entries • Validate that 'Small Business' has been checked • Correctly map and store combinations of small business codes • Validate prior grant number for revision, supplement, type 2 		Small business codes stored in system at receipt are currently not mapped correctly, and are corrected in Grants Management. Speak to Cathy Walker, Maria Bukowski for what needs to be done here.

Item	Business Rules	Documents	Comments
11. Prior grant validations	<ul style="list-style-type: none"> • Look at rules for finding prior grant, to make sure SBIR requirements are included • Phase I is type 1, support year 1; Phase II is type 2, support year 2+ • Phase I may have more than one year • Phase I STTR is R41, Phase II STTR is R42 • Phase I SBIR is R43, Phase II SBIR is R44 • Phase II inherits IC and serial_num from Phase I • Fast Track is either R42, R44, U44, or UT2, type 1 • Title for Phase II may <i>not</i> be the same as Phase I title 		