SBIR CAP User Guide

January 12, 2021
CONTACT US

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Toll-free: 1-866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939
Web: https://grants.nih.gov/support (Preferred method of contact)
Email: helpdesk@od.nih.gov (for IMPAC II Support)
Hours: Mon-Fri, 7:00 a.m. to 8:00 p.m. Eastern Time

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1 SBIR CAP - Latest Updates

1.0.1 January 12, 2021
Updated steps for accessing SBIR CAP due to new eRA Commons login and landing screens. See Access SBIR CAP.

1.0.2 July 22, 2020
Updated screen shots and procedures to match module's new look and feel. See Navigating and Using the UI in eRA Modules.

1.0.3 October 23, 2019
Initial deployment of SBIR online Help System for CAP users.
2 Introduction to the SBIR CAP Module

The Small Business Innovation Research (SBIR) Commercialization Accelerator Program (CAP) provides selected company participants with customized technical assistance over 9 months towards accomplishing key commercialization goals of the small business. The SBIR CAP module is designed for small business funding awardees (grantees, contractors) to report to NIH on the outcomes of their participation in the Small Business Innovation Research (SBIR) Commercialization Accelerator Program (CAP).

Through the SBIR CAP module, awardees submit information to NIH on any partnerships, outside funding, revenue sources and amounts, other indicators of success such as acquisitions or employees, and more. NIH requests baseline information (at 0 months); followed by a similar follow-up information request 9 months later (Interval 1), then a final information request at 18 months (Interval 2). This information is submitted as requested by NIH and allows NIH to assess the progress of the CAP program.
3 Navigating and Using the UI in eRA Modules

For increased usability, eRA modules are gradually switching to a streamlined, modern, mobile-friendly look and feel for screens. The new look and the new navigation adjust dynamically for a variety of screen or font sizes, making your browsing experience more efficient on the device of your choice. New UI elements offer a consistent set of tools that you can use across modules. A new header and footer conserve space, leaving more work area for you to accomplish your tasks.

This topic explores the new navigation and UI elements that you might see on updated screens. All modules will eventually use the same framework for building the UI and navigation through screens. Older style screens will co-exist with updated screens during the transition to the new look and feel.

Read this topic to learn about:

- Header/footer for eRA modules
- Navigation to and within modules
- Actions column and how it might be replaced by an ellipsis (three-dot) dropdown in a row
- Standard tools for tables
- How columns are hidden and shown on small screens

3.1 Header and Footer Navigation

The header and footer use symbols to save screen real estate and dynamically adjust to fit smaller screens.

The first icon from left is the Apps menu. The Apps menu shows all apps available to the currently logged-in user, shown below:
3.1.0.1 Other Icons in Header

Links to the Department of Health and Human Services.

Link to grants.nih.gov.

Links to a general eRA Service Desk Support page.

Links to eRA Points of Contact page.

The person icon shows your login information, preferences, and sign out link:
3.1.0.2 Dynamic Header

Below, on a narrow screen, most items on the header are hidden, but they pop down when you click the grid icon in the upper right, circled below.

![Dynamic Header Image]

3.1.0.3 Redesigned Footer

The footer is clean and offers only essential information organized into columns.

![Redesigned Footer Image]

3.2 Actions Column Replaced by Ellipsis Menu

Actions that are available for each row in a table might be displayed under a three-dot ellipsis icon instead of an Actions column, as shown below. This happens if there are three or more actions to be displayed. If only one action item is listed, then the column will list that action as the header and have an ‘x’ in the body of the column.
3.3 **Standard Tools for Tables**

Tables are sleeker with tools for showing the data you want to see.

Entering filter text features instant filtering of the list as you type, with the number of found results updated as you type. The text you type in filter is highlighted in the table.

Click column headers to sort by that column.

Navigate to each page of search results using the following tool:
To help avoid scrolling, use the grid tool to specify how many table rows appear per page.

Use the bulk actions tool to select or deselect all, and to show selected rows only or all rows.

Use the download tool, shown below, to export table data to Excel or PDF, or to print.
4 Register for SBIR CAP and Obtain Initial Accounts

Each CAP participant company is required to register in eRA Commons in order to access the SBIR CAP tab within eRA Commons. If your organization is already registered in eRA Commons, go to the Add an SBIR CAP User Role page.

NOTE: Note: Only individuals with legal signing authority at the small business (e.g., CEO), known as signing officials (SOs), can register their organizations.

4.1 Initial Registration

1. In your browser, go to the Register Grantee Organization link on the eRA Commons home page.
2. Follow the instructions to register your organization.

NOTE: Note: For more information on registering an organization, read the Registering Institutions and Organizations help page or watch the training video How to Register an institution in eRA Commons.

Once your organization is added to eRA Commons, you are given a signing official (SO) user account. The SO user can then create an SBIR_CAP user account to access the SBIR_CAP module.

IMPORTANT: IMPORTANT: NIH recommends that each organization always maintain two or more active SO accounts. Should the SO user leave without a backup, the organization will have to re-register as new in eRA Commons. For more information on the SO and AA user roles, refer to the eRA Account Roles help page.
5 Add an SBIR CAP User Role

An SBIR CAP user role is needed to access the SBIR CAP module.

1. Log in to the eRA Commons module with an SO or AA user ID.
2. On the main eRA Commons page, click Admin > Accounts > Account Management.

The Manage Accounts, Search Accounts page displays.
3. Search for the user name (and create if necessary).

**NOTE:** Note: For detailed instructions on searching and creating user accounts, see the [Create a Commons account for an individual help page](#).

4. Select the user, and then click the **Manage** button and click the **Add Roles** button under the Roles section.

5. In the Add Roles window, click the **SBIR CAP** role from the list of **Roles** options.

6. Click the **Add Roles** button to add the role to the selected user account.

**NOTE:** The ID to which you add the SBIR CAP role must be administrative—scientific and administrative roles cannot both exist together for an account.
6 Access SBIR CAP

To access SBIR CAP, log in to eRA Commons, and then navigate to SBIR CAP. See https://era.nih.gov/erahelp/commons/#Commons/access/login.htm for complete login details.

The CAP Projects page displays.
7 The CAP Projects Page

The CAP Projects screen is the first screen SBIR CAP users see after logging into eRA Commons and clicking the SBIR CAP tab. It lists all submitted and pending tracking forms, as well as any tracking forms still awaiting initiation. Each project is listed in its own row, and each row lists individual tracking forms in columns by interval (i.e., Baseline, Interval 1, and Interval 2).

**IMPORTANT: TIP:** See *Navigating and Using the UI in eRA Modules* for information on using table tools and module navigation.

7.1 View, Edit, and Submit a Tracking Form

The Baseline and Interval columns may contain three different button types:

- **View** allows you to view (but not edit) submitted forms
- **Edit** allows you to edit forms that have been initiated and not yet submitted
- **Initiate** opens a form and initiates it; the button then changes to **Edit**.

7.2 Tracking Forms

Each tracking form has a *Header* at the top that lists basic project information, followed by four sections: *Section 1 - Road-to-the-Deal Activities*, *Section 2 - Funding*, *Section 3 - Revenue*, and *Section 4 - Other Success indicators (Employees, Acquisitions).*
7.2.1 Tracking Form Header

The tracking form Header lists details about the CAP organization and project and contains important notes and statements.

You can do the following on forms that have not yet been submitted:

**Cancel & Return to Dashboard.** Discards all changes and returns to the previous screen.

**Save.** Saves changes but does not submit. You can return later to finish.

**Submit.** Submits to NIH and sends emails to both NIH and the submitter contact person. Click this when finished with the form, which cannot be modified after submission.
Click **Cancel** to disregard all changes, **Save** to save and return.

These buttons only appear on forms that have not been saved.

This button only appears on tracking forms and indicates that they cannot be submitted.

**Important user notices**

**Important: Note on Cap Impact**

When assessing the CAP impact on partnership activities, funding, and revenue, please consider both direct and indirect impacts of the program. For example, a direct impact would include introducing you to a potential partner, and an indirect impact would include the tools and mentorship delivered by CAP that may have significantly contributed, or in your opinion, would significantly contribute to, the development of a partnership. Thus, “Major Impact” on a company’s growth whether it be a result that is tangible (a “deal”) or intangible (being better prepared and oriented toward a deal) to indicate that CAP contributed to your growth (tangible or intangible) but the impact was less than “Major.” It is understood, however, in either case your assessment as to whether you are “better off” after CAP than you were before you entered the program is the benchmark for measuring the impact.

**OMB Burden Statement**

Public reporting burden for this collection of information is estimated to average 20 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to NIH, Project Clearance Branch, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-0827). Do not return the completed form to this address.
### 7.2.2 Section 1: Road-to-the-Deal-Activities

The Road-to-the-Deal-Activities section contains questions regarding partnerships.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Number of road-to-the-deal activities in which your company has engaged during your participation in CAP*</th>
<th>Describe Significant Outcomes</th>
<th>Total remaining allowed limit is 798 characters.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contacts with Partners</td>
<td>125 Numeric Only</td>
<td>○ Contacts with Partners</td>
<td></td>
</tr>
<tr>
<td>Count only contacts with whom you had a meaningful conversation with about your mutual interests</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Meetings with Partners</td>
<td>323 Numeric Only</td>
<td>○ Meetings with Partners</td>
<td></td>
</tr>
<tr>
<td>Meetings can be face-to-face or by phone/web but should involve exploration of potential deals in some detail.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Confidential Disclosure Agreements signed CDA (HDA) agreements are generally a prerequisite for any serious discussion with potential partners</td>
<td>450 Numeric Only</td>
<td>○ Confidential Disclosure Agreements signed CDA (HDA) agreements are generally a prerequisite for any serious discussion with potential partners</td>
<td></td>
</tr>
<tr>
<td>Initial Proposals and Term Sheets</td>
<td>755 Numeric Only</td>
<td>○ Initial Proposals and Term Sheets</td>
<td></td>
</tr>
<tr>
<td>These are proposals of key terms of the deal and serve as the basis for a final agreement.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Negotiations with Partners</td>
<td>453 Numeric Only</td>
<td>○ Negotiations with Partners</td>
<td></td>
</tr>
<tr>
<td>At this stage, all parties are interested in the deal and you are exploring various give and take scenarios.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Deals</td>
<td>483 Numeric Only</td>
<td>○ Deals</td>
<td></td>
</tr>
<tr>
<td>Signed legal documents committing partners to a process, timeframe and outcome. If appropriate to the &quot;deal(s)&quot; please indicate the dollar amount(s) involved.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Please indicate the level of impact of the CAP on your partnership-related activities for the period October 2017 and June 2018. (Note: Please refer to the "Note on CAP impact" guideline above.)

- Major Impact
- Comments:
  - [ ] [ ]

*Total remaining allowed limit is 991 characters.*
7.2.3 Section 2: Funding: Financing, Bank loans or Other / Alternative Financing

The Funding: Financing, Bank loans or Other / Alternative Financing section contains questions regarding financial support and activities.
2. Funding: Financing, Bank loans or Other/Alternative Financing

a) Are you seeking outside financing?
- Yes  
- No

b) If yes, please check each of the following as appropriate to your situation:
- Investment
  - Bank loan or Other/Alternative Financing (e.g. receivable financing; please specify)
    - Options:
    - 2 B: Bank loan or Other/Alternative Financing
  - Total remaining allowed limit is 927 characters.

c) Please indicate in the table below the total amount of funding received by your company including your CAP-related technology in the time period October 2017 and June 2018. Please only state numbers and not qualitative data.

<table>
<thead>
<tr>
<th>Investor Party</th>
<th>Amount of Investments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Friends and Family</td>
<td>1234567899</td>
</tr>
</tbody>
</table>
| Angels                          | 2345678966  
| Venture Capitalists (VCs)       | 3214569874            |
| Strategic Investors             | 4521789632  

Comments:
2 E Comment Please indicate the level of impact of the CAP on funding received for the period October 2017 and June 2018. (Note: Please refer to the “Note on CAP Impact” guideline above.)

Total remaining allowed limit is 841 characters.

d) Please indicate in the table below the total amount of Bank Loan/Other received by your company including your CAP-related technology in the time period October 2017 and June 2018. Please only state numbers and not qualitative data.

<table>
<thead>
<tr>
<th>Bank Loan/Other</th>
<th>Amount of Financing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bank Loan</td>
<td>9835827419</td>
</tr>
</tbody>
</table>
| Other/Alternative Financing (e.g. receivable financing); please specify: 
  - Options:                                |
  - 2 E Bank Loan                        |
  - Total remaining allowed limit is 160 characters.

Comments:
2 F Comment Please indicate the level of impact of the CAP on "Bank Loan" or "Other/Alternative Financing" for the period October 2017 and June 2018. (Note: Please refer to the “Note on CAP Impact” guideline above.)

Total remaining allowed limit is 841 characters.
7.2.4 Section 3 - Revenue

The *Revenue* section of the tracking form contains questions about revenue sources and amounts.

3. Revenue

a) Indicate your company’s Largest source of revenue in the past interval (October 2017 and June 2018) (Choose one only)

| R&D Grant/Contracts | - |

b) What is the dollar range of your company’s cumulative sales of products/services for the past interval (October 2017 and June 2018)?

<table>
<thead>
<tr>
<th>$10,000,000 and above</th>
<th>0000000000</th>
</tr>
</thead>
<tbody>
<tr>
<td>Numbers Only</td>
<td></td>
</tr>
</tbody>
</table>

e) Please indicate the level of impact of the CAP on your company’s revenue for the period October 2017 and June 2018. (Note: Please refer to the “Note on CAP Impact” guidelines above.)

| Major impact | - |

Comments:

3 C Comments

Total remaining allowed limit is 188 characters.
7.2.5 Section 4 - Other Success Indicators (Employees, Acquisitions)

The Other Success Indicators (Employees, Acquisitions) section covers any business acquisitions, hiring activity, and employee numbers.

The questions that follow 4 a) and 4 b) change depending on your response to question a) and b).
4. Other Success Indicators (Employees, Acquisitions)

a) Have the number of employees in your company increased during the last interval?

- Yes
- No

If yes, please specify the number of employees in the past interval, versus the current number of employees. If there are multiple titles/positions of the new employees, list them in the table below. Count part-time employees as 1 (i.e. do not use fractional numbers to count part-time employees.)

<table>
<thead>
<tr>
<th>Employee Information</th>
<th>Titles/Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Employees in the past interval</td>
<td>Number of Employees in the past interval</td>
</tr>
<tr>
<td>1231 Numeric Only</td>
<td>Total remaining allowed limit is 960 characters.</td>
</tr>
<tr>
<td>Current Number of Employees</td>
<td>Current Number of Employees</td>
</tr>
<tr>
<td>1231 Numeric Only</td>
<td>Total remaining allowed limit is 973 characters.</td>
</tr>
</tbody>
</table>

b) If you had an increase in employment,

1) Was it due to obtaining additional SBIR funds?  
- Yes
- No

2) Did CAP influence your ability to hire?  
- Yes
- No

c) Has your company been acquired?  
- Yes
- No

d) Are you currently in discussion regarding an acquisition?  
- Yes
- No

If your answer to c) or d) is "Yes", NIH would like to continue tracking the progress of the SBIR-developed technology. Please provide the following information.

<table>
<thead>
<tr>
<th>Acquisition Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of the Acquiring Company</td>
</tr>
<tr>
<td>4 C and D Name of the Acquiring Company</td>
</tr>
<tr>
<td>Change in Company name as a Result of the Acquisition</td>
</tr>
<tr>
<td>4 C and D Change in Company name as a Result of the Acquisition</td>
</tr>
<tr>
<td>Change in Company Contact Information as a Result of the Acquisition</td>
</tr>
<tr>
<td>4 C and D Change in Company Contact Information as a Result of the Acquisition</td>
</tr>
<tr>
<td>Additional Details</td>
</tr>
<tr>
<td>4 C and D Additional Details</td>
</tr>
</tbody>
</table>

Total remaining allowed limit is 136 characters.

Total remaining allowed limit is 122 characters.

Total remaining allowed limit is 972 characters.

Click **Cancel** to discard all changes, **Save** to save and return later,
Once you click **Submit**, confirmation emails are sent to NIH and to the submitter.

**IMPORTANT:** A tracking form cannot be changed after you click **Submit**. Contact the NIH Service Desk immediately to request changes to a submitted form.