

	SBIR	STTR
Overview	The SBIR Program incentivizes small businesses with the potential for commercialization to pursue high-tech and scientific innovation and R&D in a variety of industries by providing funding from 11 participating federal agencies that specify topic areas of interest.	The STTR Program supports small businesses partnered with nonprofit research institutions pursuing scientific and technological innovation by providing funding from 5 participating federal agencies.
Funding <i>(same for SBIR and STTR)</i>	<p>Three-Phase Program</p> <p>Phase I:</p> <ul style="list-style-type: none"> - Concept Development - 6 months - Up to \$150,000 - (In special cases, up to \$300,000) <p>Phase II:</p> <ul style="list-style-type: none"> - Prototype Development/R&D - 2 years - Up to \$1,000,000 - (In special cases, up to \$1,500,000) <p>Phase III:</p> <ul style="list-style-type: none"> - Commercialization - Generally, no SBIR funding - Some NIH Institutes have recently begun offering Phase IIB Bridge awards for SBIR/STTR Phase II awardees: up to \$4,000,000 over 2 years <p><i>Note: Only successful Phase I awardees are eligible to apply for Phase II</i> <i>Note: "Fast-track" mechanism combines applications for Phase I and Phase II SBIR/STTR</i></p>	
Qualifications	<p>Domestic, for-profit, small business with:</p> <ul style="list-style-type: none"> - <500 employees/affiliates - <50% control by venture capital, hedge fund, private equity firms <p><i>Small business MAY have a relationship with a research institution but need not</i></p>	<p>Formal collaboration between a domestic, for-profit, small business with:</p> <ul style="list-style-type: none"> - <500 employees/affiliates - <50% control by venture capital, hedge fund, private equity firms <p>AND a research institution such as:</p> <ul style="list-style-type: none"> - Nonprofit college or university - Domestic nonprofit research organization - Federally funded R&D center

Principal Investigator Employment	Full time employee of the business who is: <ul style="list-style-type: none"> - A US citizen or permanent resident
Application Timeline (NIH)	Phase I Annual Submission Dates: <ul style="list-style-type: none"> - January 5th - April 5th - September 5th

STTR differs from SBIR in **three important aspects**:

1. STTR requires that the small business and its partnering institution establish an intellectual property agreement detailing the allocation of intellectual property rights and rights to carry out follow-on research, development or commercialization activities.
2. STTR requires that the small business perform at least 40% of the R&D and the single partnering research institution to perform at least 30% of the R&D. Under an SBIR, up to 33% (Phase I) or 50% (Phase II) of the total effort can be completed by the research institution.
3. Unlike the SBIR program, STTR does not require the Principal Investigator to be primarily employed by the small business. In other words, a USC professor can be the PI on an STTR, but only someone employed at least 51% by the small business can be a PI on an SBIR.

For more information:

<https://sbir.nih.gov/>

<https://www.sbir.gov/>

<https://www.sbir.gov/sites/all/themes/sbir/dawnbreaker/img/documents/Course1-Tutorial3.pdf>