

What You Need to Know About SBIR and STTR

1. Some Federal agencies participate in SBIR/STTR (NSF); others only participate in SBIR (EPA)
 - SBIR (set aside \$ for small businesses to engage in R&D=commercialization)
 - STTR (set aside \$ for small business/university cooperative R&D= commercialization)
2. Only small businesses can apply to the 13 participating federal agencies. (>50% US owned; US located)
3. SBIR encourages university partners (>50% PI must be from small business); STTR requires university partners (PI can be from either small business or university—except for campus policy).
4. Phase 1: Feasibility up to \$100K (SBIR-6 mos.; STTR-12 mos.)
 - SBIR: <33.3% of \$ to subrecipients (includes UCB F&A)
 - STTR <60% of \$ to subrecipients(includes UCB F&A)
 - If under a contract, subcontractor must be competed.
5. Phase 2: R/RD up to 2 years (SBIR-750K; STTR-500K)
 - SBIR: <50% of \$ to subrecipients (includes UCB F&A)
 - STTR <60% of \$ to subrecipients (includes UCB F&A)
 - If under a contract, subcontractor must be competed.
6. Phase 3: Commercialization via non SBIR/STTR funding options
 - Small business eligibility does not apply
 - No limit on number of Phase 3 awards a business may receive
 - May be funded by a different federal agency than Phase 1 or 2
 - Advantage of designation: Extends data rights and subcontractor has sole source status
7. SBIR/STTR are now extended by Congress through December 16, 2011
8. Agencies post solicitations on their sites as well as grants.gov.
 - Current solicitations also available at: <http://www.sbir.gov/solicitations>
 - Existing Awards described at: <http://www.sbir.gov/past-awards>
9. REGISTRATION ONGOING:
6th Annual Entrepreneurial University Startups Conference
January 18-20, 2012, Washington Convention Center, Washington DC Visit:
<http://www.ncet2.org>
10. National Council for Entrepreneurial Tech Transfer benchmarking start-ups by universities:
http://center.ncet2.org/index.php?option=com_content&view=article&id=400

Proposal Tips:

- Work with SPO:
 - Always submit your part of the proposal through SPO five working days before small business internal due date.
 - Understand that F&A (indirect costs) are applicable
- Before submitting a Phase I proposal know (generally) what the Phase II prototype will be and have a Transition Plan to a Phase III in mind.
- Understand the federal funding agency' culture:
 - Don't judge an agency's interest by its name.
 - Understand the agency's mission and needs.
 - Get to know the agency's program manager.
 - Read the solicitation and follow instructions.

Getting to Phase III

1. Non-SBIR/STTR funding Strategies

- Selling Product Development under a Phase II
- Non-Government Funding to Develop Technology or Product
- Licensing the Technology
- Non-SBIR Funding from Government to Develop Technology or Product

2. Timing

- There is no limit on the time that may elapse between the Phase I or Phase II award and a Phase III * (data rights may expire)
- There is no limit on the time that may elapse between one Phase III and a follow-on Phase III * (data rights may expire)