

Program Overview

Over \$4 billion is awarded annually to our nation's small, high-tech, innovative businesses through two competitive programs the Small Business Innovation Research (SBIR) program and the Small Business Technology Transfer (STTR) program. The SBIR & STTR programs engage U.S. small businesses in the Federal government's research and development efforts and in stimulating technology innovation.

About 20,000 small businesses apply for SBIR/STTR grants and contracts each year. Since 1987, North Dakota businesses have received more than \$20 million in SBIR/STTR grants and contract awards. Eleven (11) Federal agencies participating in the SBIR program and six (6) Federal agencies currently participating in the STTR program provide funding for a wide range of proposal topic areas in the form of Phase I and Phase II grants or contracts.



UND Center for Innovation

The UND Center for Innovation (CFI) in Grand Forks, ND will direct the state's efforts to capitalize on the SBIR/STTR programs. Working with small business service providers around the state, the CFI will help qualified small businesses compete for federal R&D dollars. Services include assistance in determining if SBIR/ STTR programs are right for your business, tips for getting started, an online SBIR/STTR Resource Toolkit, training opportunities, conferences and events and helping your business network.

REACH OUT TODAY!



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NORTH DAKOTA SBIR/STTR

Small Business Innovation Research
Small Business Technology Transfer



SBIR/STTR - What's the difference?

SBIR

Small business awardee and its partnering institution are required to establish IP agreement at least 40% of R&D performed by small business and 30% by the partnering institution

STTR

Minimum 30% of research by college, university, R&D Center, or non-profit research organization.

SBIR/STTR Awards since 1987 in North Dakota

SBIR	STTR
99	9

Who is eligible for SBIR/STTR?

SBIR Eligibility

- Organized for profit US business
- At least 51 percent owned by U.S. Citizens and permanent residents; independently operated
- Businesses with primary locations in the US
- 500 or fewer employees (including affiliates)
- Principal investigator (PI) primarily employed with small business during project
- Allows research institution partners (outsource 33% in Phase I, 50% in Phase II)

STTR Eligibility

- Must meet the same criteria as SBIR Program (listed above)
- Cooperative R&D agreement required
- Minimum of 40 percent by small business
- Minimum of 30 percent by US research institutions (college, university, federal R&D center, non-profit research organization)
- Intellectual property agreement—patent rights go to small firm; government has limited rights
- Must also partner with non-profit research institution (requirements below)
 1. Located in U.S.
 2. Be a non-profit college/university
 - Domestic non-profit organization
 - Federally funded Research & Development Center

The SBIR/STTR Programs are structured and given in three phases:

PHASE 1

The objective of Phase I is to establish the technical merit, feasibility, and commercial potential of the proposed R&D efforts to determine the quality of performance of the small business prior to providing further Federal support in Phase II. Awards typically range from \$50,000 - \$250,000, for time periods of approximately six months for SBIR and one year for STTR

PHASE 2

The objective of Phase II is to continue the R&D efforts initiated in Phase I. Funding is based on the results achieved in Phase I and the scientific and technical merit and commercial potential of the project proposed in Phase II. Typically only Phase I awardees are eligible for a Phase II award. Awards are typically \$500,000 to \$1,000,000 for approximately two years.

PHASE 3

The objective of Phase III is for the small business to pursue commercialization with non-SBIR/STTR funds resulting from the Phase I/II R&D activities. In some Federal agencies, Phase III may involve follow-on non-SBIR/STTR funded R&D or production contracts for products, processes or services intended for use by the U.S. Government. The SBIR/STTR programs do not fund Phase II.

