

SBIR & STTR



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LEADING SMALL BUSINESS INNOVATION AND
COMMERCIALIZATION IN THE FIGHT AGAINST CANCER

OVERVIEW OF THE NCI SBIR & STTR PROGRAMS

Small businesses are a national resource for the development of innovative technologies and a mainstay of the American economy. The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs were created by the U.S. Congress to strengthen the role of small, innovative companies in federally supported research and development. At the National Cancer Institute (NCI), these programs seek small business participation in the development and commercialization of technologies that will help in the fight against cancer. Specifically, the NCI SBIR & STTR Programs seek to support research and development of anticancer agents, biomarkers, informatics, medical devices, cancer imaging, nanotechnology, proteomics, pharmacodynamics, as well as many other areas of interest. Entrepreneurs and small businesses are encouraged to explore grant and contract funding opportunities to support work in these areas.

WHY PARTICIPATE IN SBIR & STTR?

The NCI SBIR & STTR Programs serve as one of the largest sources of early-stage technology financing in the United States. Through these programs, small businesses can receive seed capital to push promising technologies through development and toward commercialization. In addition, there are several other reasons why SBIR & STTR funding may be right for your business:

- SBIR & STTR awards provide recognition, verification, and visibility
- SBIR & STTR funding can be a leveraging tool to help attract additional funding from other third-party investors
- Awards are not loans; no repayment is required
- SBIR & STTR funding is non-dilutive capital (i.e., an award does not impact the company's stock or shares in any way)
- Intellectual property rights to technologies developed under these programs are retained by the small business concern

SBIR: SMALL BUSINESS INNOVATION RESEARCH

The NCI SBIR Program funds early-stage research and development within small businesses.

To participate in the NCI SBIR Program:

- The Small Business Concern (SBC) must be an organized for-profit business of 500 employees or fewer (including affiliates), located in the United States
- The SBC must be:
 - At least 51 percent U.S.-owned by individuals and independently operated
 - OR
 - At least 51 percent owned and controlled by another for-profit business concern that is at least 51 percent U.S.-owned by individuals and independently operated
- The Principal Investigator's primary employment must be with the SBC at the time of award and for the duration of the project period

STTR: SMALL BUSINESS TECHNOLOGY TRANSFER

The NCI STTR Program is similar in structure to SBIR with the exception of funding cooperative research and development projects involving a small business and a research institution (i.e., college or university, federally-funded center, non-profit research institution). The purpose of STTR is to create an effective vehicle for moving ideas from our nation's research institutions to the commercial market.

To participate in the NCI STTR Program:

- The SBC must meet the same size and ownership guidelines as for the SBIR Program
- The company must be engaged in a formal cooperative research and development effort with a U.S. research institution (i.e., college or university, federally-funded research and development center, or non-profit research institution)
- A minimum of 40 percent of the work must be done by the small business and a minimum of 30 percent of the work must be done by the research institution
- The Principal Investigator's primary employment may be with either the SBC or the research institution

PROGRAM GOALS

To help achieve the NCI's mission, the SBIR & STTR Programs act as NCI's catalyst of innovation for developing and commercializing novel technologies and products to prevent, diagnose, and treat cancer.

The goals of the NCI SBIR & STTR Programs are to:

- Stimulate technological innovation
- Increase private-sector commercialization of federal research and development
- Increase small business participation in federally funded research and development
- Foster participation by minority and disadvantaged companies in technological innovation

HOW TO APPLY

The NCI SBIR & STTR Programs are your entryway to federally funded cancer research. Organizations must first apply for a Phase I award. If Phase I proves successful, the company may apply for a two-year Phase II award to further develop the concept, usually to the prototype stage. Funding is awarded competitively. Proposals are judged on the basis of scientific, technical, and commercial merit.

Dedicated NCI program staff members are available to answer questions about the NCI SBIR & STTR Programs and to help meet your research program needs. **For further information regarding program eligibility, limitations, definitions, and other resources, please visit our Web site at: sbir.cancer.gov.**

CONTACT INFORMATION

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THREE-PHASE PROGRAM

The NCI SBIR & STTR Programs Are Structured in Three Phases

Phase I. The objective of the Phase I project is to test the technical merit and feasibility of a particular concept. Phase I support is normally \$100,000 provided over a period of six months for SBIR and one year for STTR. However, with proper justification, applicants may propose longer periods of time and greater amounts of funds necessary to establish the technical merit and feasibility of the proposed project.

Phase II. The objective of the Phase II project is to continue the research and development efforts initiated in Phase I. Only previously-funded Phase I awardees are eligible to compete for a Phase II award. Phase II awards are normally \$750,000 over two years. However, with proper justification, applicants may propose longer periods of time and greater amounts of funds necessary for completion of the project.

Bridge Award. The objective of the new SBIR Phase II Bridge Award is to address the funding gap known as the "Valley of Death" between the end of the SBIR Phase II award and commercialization, and encourage partnerships between NIH's SBIR Phase II awardees and third-party investors and/or strategic partners. Up to \$1 million in total costs per year and project periods up to three years (a total of \$3 million over three years) may be requested from the NCI.

Phase III. The objective in Phase III is for the small business concern to pursue with non-SBIR & STTR funds the commercialization objectives resulting from the Phase I/II research and development activities.