SBIR and STTR Funding at UTHealth: Quick Fact Sheet

Do I qualify for an SBIR or STTR award? These awards are focused on projects that can result in products or innovations with future commercialization potential. SBIR and STTR grants are awarded directly to a small business, which means you must work with a company in order to qualify. Although as a faculty member you may be involved in writing the grant application, the application must be submitted by the company. Once funded, the company will then subcontract a portion of the award to UTHealth through a sponsored research agreement.

The SBIR and STTR programs grant awards in two phases:

Phase I: Feasibility and Proof of Concept. The objective of Phase I is to establish the technical merit, feasibility, and commercial potential of the proposed R/R&D efforts and to determine the quality of performance of the small business awardee organization prior to providing further federal support in Phase II. Phase I awards normally do not exceed $150,000 total costs for 6 months (SBIR) or 1 year (STTR).

Phase II: Research/Research and Development The objective of Phase II is to continue the R/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. Only Phase I awardees are eligible for a Phase II award. SBIR/STTR Phase II awards normally do not exceed $1,000,000 total costs for 2 years.

What are the differences between SBIR and STTR awards?

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<th>SBIR</th>
<th>STTR</th>
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<td>For Phase I, a maximum of 33% of the work can be performed at UTHealth</td>
<td>For both Phase I and II, between 30% and 60% of the work MUST be performed at UTHealth</td>
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<td>For Phase II, a maximum of 50% of the work can be performed at UTHealth</td>
<td>The PI on the award can be primarily employed at EITHER the company or at UTHealth</td>
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<td>The PI on the award MUST be primarily employed by the company</td>
<td>A formal collaboration between the company and UTHealth must exist. This means there must be an agreement in place that contemplates intellectual property (Ex: License, Option, Collaboration Agreement, etc.)</td>
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For both SBIR and STTR:

Each awardee of a Phase I or Phase II award must qualify as a small business concern, and must certify that if meets the following requirements:

- ≤500 employees, including affiliates
- Must be “for profit”
- ≥51% owned & controlled by US citizens or permanent resident aliens

Upcoming submission deadlines Submission dates vary by funding institution and opportunity. Check the announcement for accurate timelines.

Have questions? Please contact Melissa Thompson, Strategic Industry Initiatives
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