Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs allow small, high-tech U.S. businesses and academia the opportunity to provide innovative research and development solutions in response to critical Army needs. By capturing the tremendous and agile talents of the U.S. small business community, the SBIR and STTR Programs benefit the Department of Defense, the private sector, and our national economy.
SBIR/STTR Programs

- Congressionally-mandated Programs (Reauthorized through 2017)
- Across Federal Government (DoD, DoE, DHS, DoT, etc...)
- SBIR/STTR Tax assessed on extramural RDT&E budget (FY16 SBIR = 3.0%, FY16 STTR = 0.45%)
- Increase small business participation in federally funded R&D
- Three-phased process encompassing technology feasibility, demonstration and transition
- Transition Federal R&D into:
  - Government Programs
  - Private Industry

The views expressed in this presentation are those of the author(s) and may not reflect the official policy or position of the Department of the Army, Department of Defense, or the U.S. Government.
DoD Component Participation

SBIR + STTR Programs:

- Air Force
- Army
- Navy
- Office of Secretary of Defense
- Defense Advanced Research Projects Agency
- Defense Health Program
- Missile Defense Agency

SBIR Program only:

- Defense Threat Reduction Agency
- Special Operations Command
- Joint S&T Office for Chemical and Biological Defense
- Defense Microelectronics Activity
- National Geospatial Agency
- Defense Logistics Agency
# Federal Agency Participation

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- Small Business Administration (SBA) oversees the federal SBIR/STTR programs:
  - Policy Directives
  - Congressional Reports
  - Size Determination
  - Waivers
SBIR/STTR Eligibility Requirements

• SBIR Eligibility:
  – Organized for profit, based in U.S., subs based in U.S.
  – 500 employees or fewer
  – At least 51% owned and controlled by U.S. individuals
  – Minimum 2/3 of Phase I and 1/2 of Phase II performed by small business
  – Principal Investigator’s primary employment must be with the small business

• STTR Eligibility:
  – Same size and control requirements as SBIR
  – STTR program requires participation by Universities, Federally Funded Research and Development Centers (FFRDCs), and other non-profit Research Institutions
  – Formal cooperative R&D Effort
    • Minimum 40% by small business
    • Minimum 30% by U.S. Research Institution
  – U.S. Research Institutions
DoD SBIR/STTR Solicitations

- Three DoD SBIR/STTR Solicitations announced annually
- Each solicitation has a: Pre-release, Open and Close
- During the pre-release period the government does not accept proposals, but small businesses can discuss technical questions directly with the Topic Authors
Proposal Submission

- A SBIR/STTR Phase I or Phase II proposal to any DoD Component must be submitted through the DoD Submission system https://sbir.defensebusiness.org

- Finding Topics https://sbir.defensebusiness.org/topics

- Topics Q&A (SITIS) https://sbir.defensebusiness.org/sitis
Proposal Review/Selection Process

• Components will evaluate and select Phase I proposals using the evaluation criteria in Section 6.0 of the DoD Program Solicitation.
  • Criteria includes:
    • The soundness, technical merit, and innovation of the proposed approach and its incremental progress toward topic or subtopic solution.
    • The qualifications of the proposed principal/key investigators, supporting staff, and consultants. Qualifications include not only the ability to perform the research and development but also the ability to commercialize the results.
    • The potential for commercial (Government or private sector) application and the benefits expected to accrue from this commercialization.

• Proposals not conforming to the terms of the solicitation, and unsolicited proposals, will not be considered.

• Select/non-select letters are sent out after the Source Selection process.
  • Unsuccessful offerors have the right to request a debrief after receiving a non-select letter.

• Awards are subject to the availability of funding and successful completion of contract negotiations.
MRMC Managed SBIR/STTR Process Flow

- **Topics**
  - DoD Solicitations
    - YY.1, YY.2, and YY.3
    - YY.A, YY.B, and YY.C

- **Phase I**
  - Feasibility Study
    - $150K, 6 Months
    - Army: $100K, 6 Months
      $50K Option, 4 Months

- **Phase II**
  - Prototype Development
    - $1M, 2 Years
    - PH II Enhancement = $1,000,000 ($500K Non-SBIR & $500K matching SBIR funding)
    - P2E available if outside funding is secured (1 Year)

- **Phase III**
  - Commercialization
    - Transition to Federal Govt or Private Industry
    - No SBIR Funds
    - No funding or time limits
DoD SBIR Website
www.acq.osd.mil/osbp/sbir/

- Program Overview
- News
- Solicitations
- Sample Proposals
- Model Contracts
- Conferences
- Contracting & Payment Desk Reference
- State Resources
- Commercial & Legal Resources
- Contacts
- Doing Business with DoD
SBA’s Official SBIR/STTR Website
www.sbir.gov

Search for:
• Applicants
• Awardees
• Investors
• Large Businesses
• Agencies
• Policy Directives
Questions?