



**DoD's SBIR & STTR Programs
An Overview**

HEMS

Harsh Environment Mass Spectrometry Symposium

Sarasota, Florida

September 2005



DoD's SBIR & STTR Programs

**Advancing
Technology Development
for the Military and the Nation**



What is SBIR?

The **Small Business Innovation Research** program funds R&D at small businesses and is designed to:

- **Stimulate technological innovation**
- **Increase private sector commercialization of federal R&D**
- **Increase small business participation in federally funded R&D**
- **Foster participation by minority and disadvantaged firms in technological innovation**





SBIR Qualification

- **Small Business of 500 or fewer employees**
- **Principal Investigator must spend more than 1/2 of time employed by the proposing firm**
- **During Phase I, a minimum of 2/3 effort must be performed by the proposing firm**
- **During Phase II, a minimum of 1/2 of the effort must be performed by the proposing firm**
- **Work must be performed in the U.S.**





What is STTR?

The Small Business Technology Transfer Program funds cooperative R&D between small businesses and research institutions and is designed to:

- Create vehicles for moving ideas from research institutions to market
- Enable researchers to pursue commercial application of technologies
- Bridge funding gap between basic research and commercial product





STTR Qualification

- **Small business of 500 or fewer employees; No size limit on research institution**
- **Research institution is a FFRDC, college or university, or non-profit research institution**
- **Small business must perform a minimum of 40% of the work; research institution a minimum of 30%**
- **Small business must manage and control the STTR funding agreement**
- **Principal Investigator may be at the small business or research institution**
- **Work must be performed in the U. S.**





Three Phased Programs

SBIR

STTR

Phase I

Project feasibility

6 months up to \$100,000

12 months up to \$100,000

Phase II

Project development
to prototype

2 years up to \$750,000

2 years up to \$750,000

Phase III

Commercialization

Commercialize, with non-SBIR/non-STTR funds, the
technology in military and/or private sector markets





Small Business Innovation Research Department of Defense

SBIR is the Largest Source of Early-Stage Technology Financing in the U.S.

Total Federal SBIR/STTR Funding

• \$2.25 billion in FY05

11 participating Federal Agencies

- DoD
- EPA
- DoC
- DoED
- NASA
- DoE
- NSF
- HHS/NIH
- DoT
- DHS
- USDA

SBIR/STTR Agency Funding

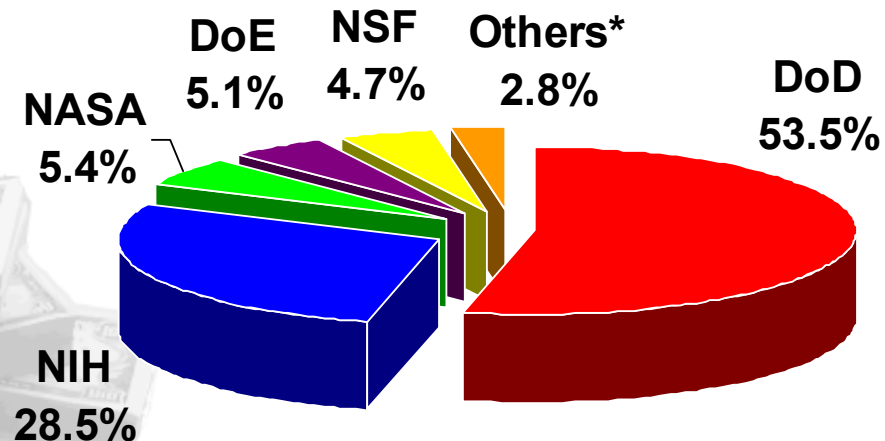
DoD accounts for **HALF** the program:

DoD SBIR Funding:

• \$1.081 billion in FY05

DoD STTR Funding:

• \$125 million in FY05





Small Business Innovation Research Department of Defense





DoD FY05 SBIR/STTR Programs

SBIR

- \$1.081B budget
- 10 participating components

Army	21.6%	OSD	5.7%
Navy	23.4%	CBD	0.5%
Air Force	29.2%	SOCOM	1.2%
DARPA	6.2%	DTRA	0.4%
MDA	11.7%	NGA	0.1%

STTR

- \$125M budget
- 6 participating components

Army	22.4%
Navy	24.3%
Air Force	30.3%
DARPA	6.1%
MDA	12.1%
OSD	4.8%



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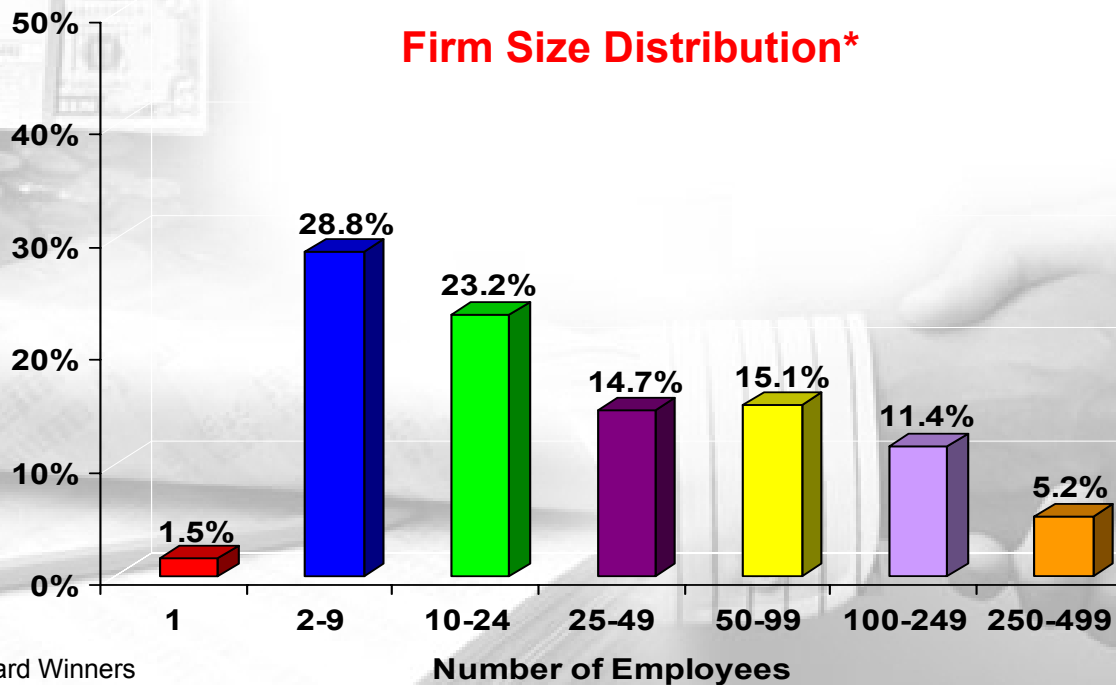
Why Participate in SBIR/STTR?

- **Up to \$850,000 of seed capital**
- **Develop working relationship & credibility with government R&D programs**
- **Data rights remain with the firm**



Who Participates in SBIR/STTR?

- Small hi-tech firms from across the country
- Firms are typically small & are new to the program





Nationwide Participation

Proposals & Awards in All 50 States

States with the highest # of Phase I winners (1999-2004)

SBIR

- California 21.9%
- Massachusetts 14.4%
- Virginia 7.4%
- Maryland 5.2%
- Colorado 4.9%

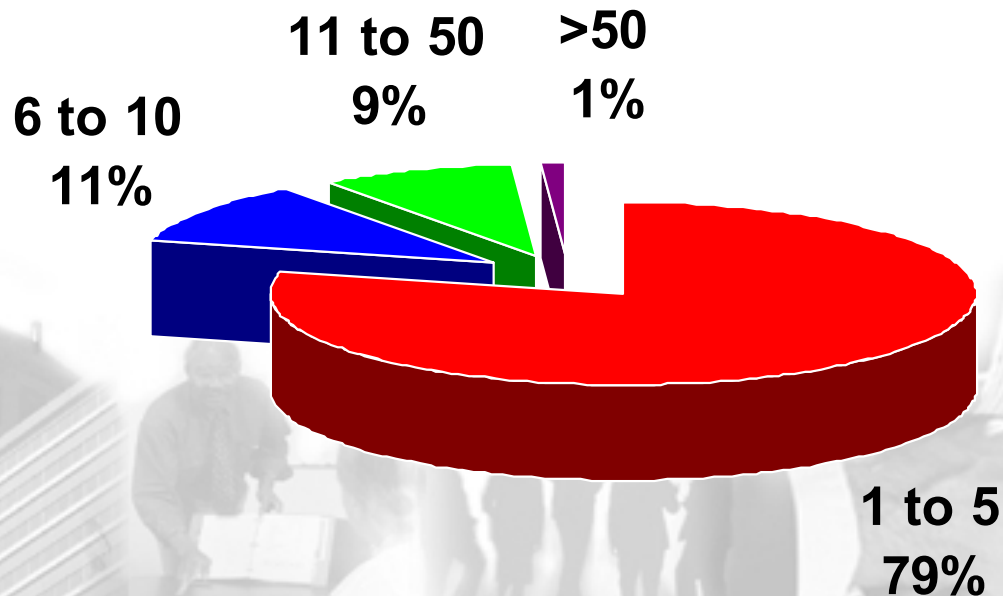
STTR

- California 16.3%
- Massachusetts 14.5%
- Virginia 8.5%
- Ohio 5.6%
- New York 5.1%



Entry to Federal R&D Funds

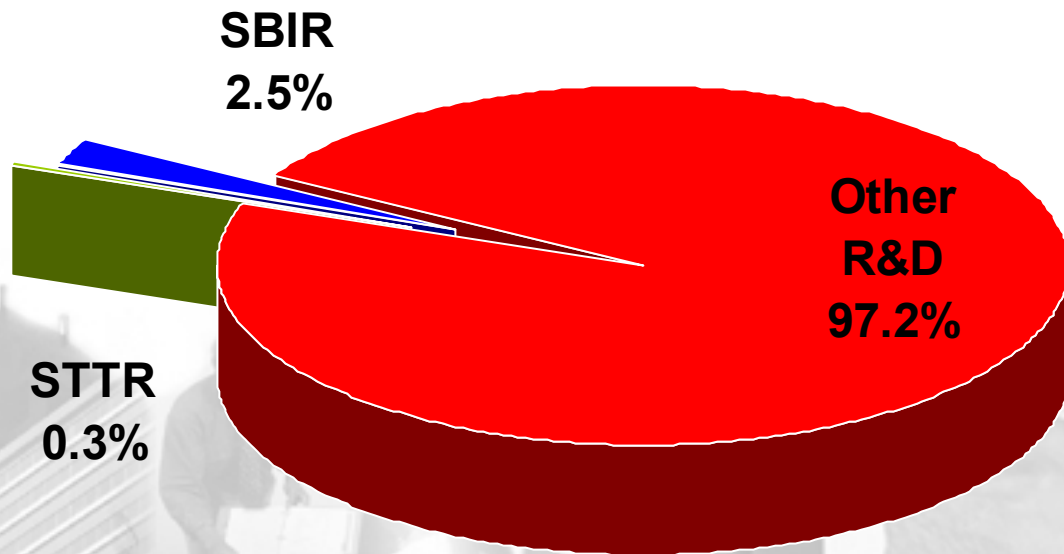
- **39% of Phase I Awardees are First-Time DoD Winners**
- **Even non-“First-Timers” are relatively new to the Program with only a few prior Phase II Awards:**





SBIR and STTR: Small Piece of the R&D Pie

SBIR and STTR are a small percentage of the total extramural R&D program, but it's where small businesses are able to demonstrate their capability to meet federal R&D needs.



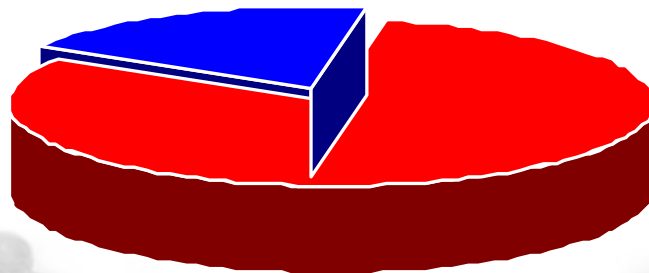


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Significant Minority/Disadvantaged Firm Participation

The SBIR/STTR Program Reaches Out to Socially and Economically Disadvantaged Firms

**Minority/
Woman Owned
19%**



**Other firms
81%**





SBIR/STTR Evaluation Criteria

- **Soundness, technical merit, and innovation of proposed approach and its incremental progress toward topic or subtopic solution**
- **Qualifications of the firm and team to perform R&D and commercialize results**
- **Potential for commercialization**





DoD SBIR/STTR Solicitation

	Solicitation Internet Release	Proposals Accepted Starting	Proposal Deadline	Contracts Awarded
SBIR FYxx.1	Approx. Nov. 1	Approx. Dec. 15	Approx. Jan. 15	Approx. May 15
SBIR FYxx.2	Approx. May 1	Approx. Jun. 15	Approx. Jul. 15	Approx. Nov. 15
SBIR FYxx.3	Approx. Aug. 1	Approx. Sep. 15	Approx. Oct. 15	Approx. Feb. 15
STTR FYxx	Approx. Feb. 1	Approx. Mar. 15	Approx. Apr. 15	Approx. Aug. 15

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31
Jan Feb Mar Apr May Jun Jul Aug Sep Oct Nov Dec





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DoD SBIR Technology Areas

- Air Platforms
- Battlespace Environments
- Chemical & Biological Defense
- Weapons
- Human Systems
- Materials & Processes
- Information Systems Technology
- Space Platforms Technology
- Biomedical
- Sensors, Electronics & Electronic Warfare
- Nuclear Technology
- Ground and Sea Vehicles Technology



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DoD SBIR/STTR is “User Friendly”

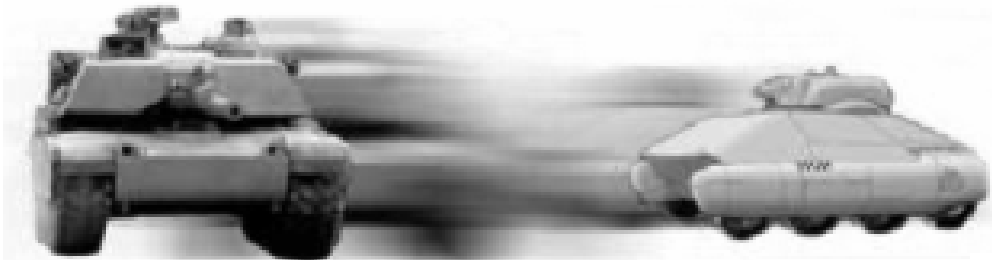
- **Solicitation topics and authors are available online during the Pre-Solicitation period**
- **Quick award process**
 - Phase I decisions made in 4 months
 - Phase II decisions in 6 months
- **Help Desk**
- **Fast Track Program/Phase II Plus Program**
- **Electronic Proposal Submission**
- **Commercialization Track Record used in proposal evaluation**



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Why DoD encourages private sector funding/ commercialization of SBIR R&D

- **Private sector funding/commercialization is needed to develop technology beyond prototype to actual product**
- **Market-tried products have greater value to DoD because they are:**
 - **More quickly advanced/improved**
 - **More reliable**
 - **Produced and procured at lower cost**



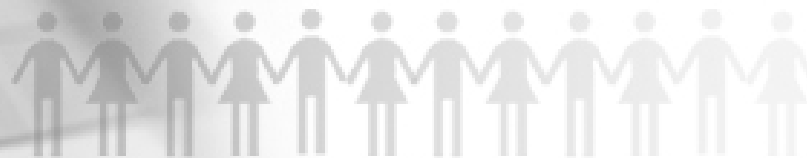


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Commercialization Metrics

DoD tracks commercialization metrics for all Phase II projects

- **Additional, non-SBIR/STTR investment**
- **Sales of new products or services**
- **Employee growth, IPOs, patents, use in defense systems**





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Firm's Commercialization Record Used in Proposal Evaluation

- **Each proposing company is asked to provide the commercialization metrics for its prior Phase II projects**
- **DoD calculates the Commercialization Achievement Index (CAI) of the company's commercialization track record to compare to DoD-wide SBIR average**
- **The Company Commercialization Report, containing the firm's CAI and commercialization metrics, is submitted with every DoD Phase I and Phase II proposal**





The Future of the SBIR/STTR Programs

PL 106-554 extends program to 2008

- **Clarifies retention of data rights**
- **Commercialization plan required with Phase II proposals**
- **National Academy of Sciences study of the SBIR Program**

PL 107-50 extends STTR program to 2009

- **Beginning in 2004, doubles the STTR percentage and increases Phase II awards to \$750k**



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How To Participate

- Review the Topics in the current solicitation at www.dodsbir.net/solicitation/
- Register and submit proposals at www.dodsbir.net/submission/
- General questions? Call our Help Desk **866-SBIRHLP (724-7457)**
- Questions about a solicitation topic? Contact topic author listed with the topic during the pre-release period or www.dodsbir.net/sitis/
- Subscribe to the Listserv at www.dodsbir.net/ to receive program notices and updates





Small Business Innovation Research Department of Defense

DoD SBIR/STTR Internet Resources

Homepage: www.acq.osd.mil/sadbu/sbir/

- Program overview, solicitations, sample proposals, and more

Proposal Submission: www.dodsbir.net/submission/

- Prepare & submit proposal coversheets, commercialization report, update phase II projects

Topic Questions: www.dodsbir.net/sitis/

- Obtain technical clarification regarding current solicitation topics

Topic Search: www.dodsbir.net/topics/

- Search current solicitation topics by topic number or keyword

Awards Search: www.dodsbir.net/awards/

- Searchable database of SBIR & STTR phase I & II awards from FY83-FY04





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DoD SBIR/STTR Topic Search Screen

DoD SBIR/STTR Topics - Basic Search - Microsoft Internet Explorer provided by Defense Threat Reduction Agency

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites Media Mail Print Mail Stop Links

Address http://www.dodsbir.net/Topics/Default.asp Go Links



Topic Number Search

Search by Topic Number:

- OR -


Keyword Search

Search by Keyword:


Limit search to within

AND Matches within


Sorted by Topic # Agency




Search Tips




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DoD SBIR/STTR Topics

Topics for current Department of Defense (DoD) Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Program Solicitations are easily accessed from this site. Search by topic number or keywords.

Current Solicitation	Pre-release Date	Begin Accepting Proposals	Close Date	Participating Components
DoD SBIR FY2005.3	August 1, 2005	September 14, 2005	October 14, 2005	MDA, Navy, OSD

Start Information Bulletin DoD SBIR/STTR Topic... Internet 2:49 PM



DoD Components

Component

Army
Army/STTR
Navy *
Air Force *
DARPA *
MDA *
DTRA
CBD
SOCOM
OSD *
NGA

Contact

Susan Nichols
Ellen Segan
John Williams
Steve Guilfoos
Connie Jacobs
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* - SBIR *and* STTR POC





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Other DoD Acquisition Opportunities

<http://www.fedbizopps.gov>

The Government's central source for posting
Requests for Proposals (RFPs)





FOR MORE INFORMATION

Call
866-724-7457

OR

Visit
www.dodsbir.net