



# Leveraging America's Seed Fund

**Small Business Innovation Research (SBIR)/  
Small Business Technology Transfer (STTR)**

**Small Business Training Week**

**August 17, 2021**



**ENERGY**      **FIRST RESPONDERS**  
**BIOMEDICAL**      **CYBERSECURITY**  
**AGTECH**      **NEW MATERIALS**  
**SPACE**      **ARTIFICIAL**  
**EXPLORATION**      **INTELLIGENCE**  
**SENSORS**      **DATA**  
**ROBOTICS**      **ANALYTICS**

# America's Seed Fund



[www.sbir.gov/showcase](http://www.sbir.gov/showcase)

## Small Business Innovation Research (SBIR)

- 3.2% of the extramural research budget for agencies with a budget greater than \$100 M per year
  - ~\$3.53 billion minimum spend each year

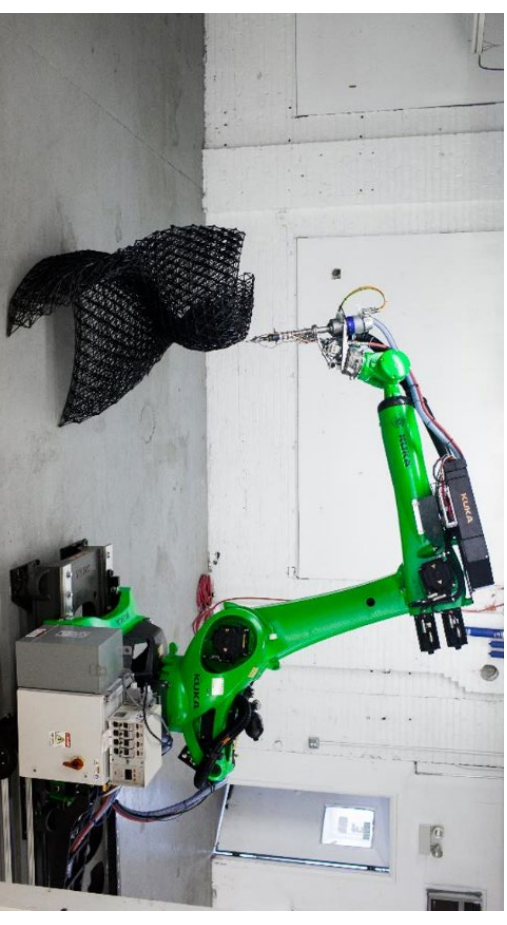
## Small Business Technology Transfer (STTR)

- 0.45% of the extramural research budget for agencies with a budget greater than \$1B per year
  - ~\$485 million minimum spend each year

Over 7,000 new awards every year

# What Entrepreneurs Love about SBIR/STTR

- **Non-Dilutive Capital**
- **IP/Data Rights**
- **Direct follow-on Phase III awards**



# Why?

To help startups and small businesses transform their high-risk, high-impact technologies into marketable products and services that solve problems.

## SBIR/STTR Program Goals

- Meet federal **research and development needs**
- Increase private-sector **commercialization** of innovation derived from federal research and development funding
- Stimulate technological **innovation**
- Foster and encourage **participation** in innovation and entrepreneurship by women and socially/economically disadvantaged individuals
- Foster **technology transfer** through cooperative R&D between small businesses and research institutions (STTR)

# Three Phase Process



May be grants or contracts depending on the agency



# Agencies that Fund SBIR/STTR Phase I & II

Department of Agriculture  
(USDA)

Department of Commerce  
(DoC)  
NIST, NOAA

Department of Defense  
(DoD)

Department of Education  
(ED)

Department of Energy  
(DOE)

Dept of Health and Human  
Services  
(HHS)  
NIH, FDA, CDC, ACL

Department of Homeland  
Security  
(DHS)

Department of  
Transportation  
(DOT)

Environmental Protection  
Agency  
(EPA)

National Aeronautics and  
Space Administration  
(NASA)

National Science  
Foundation  
(NSF)

# Participating DoD Components



Army



Navy



Air Force



Missile Defense Agency (MDA)



Defense Threat Reduction Agency (DTRA)



Defense Microelectronics Activity (DMEA)



Defense Advanced Research Projects Agency (DARPA)



Defense Health Program (DHP)



Chemical and Biological Defense (CBD)



Special Operations Command (SOCOM)



Defense Logistics Agency (DLA)

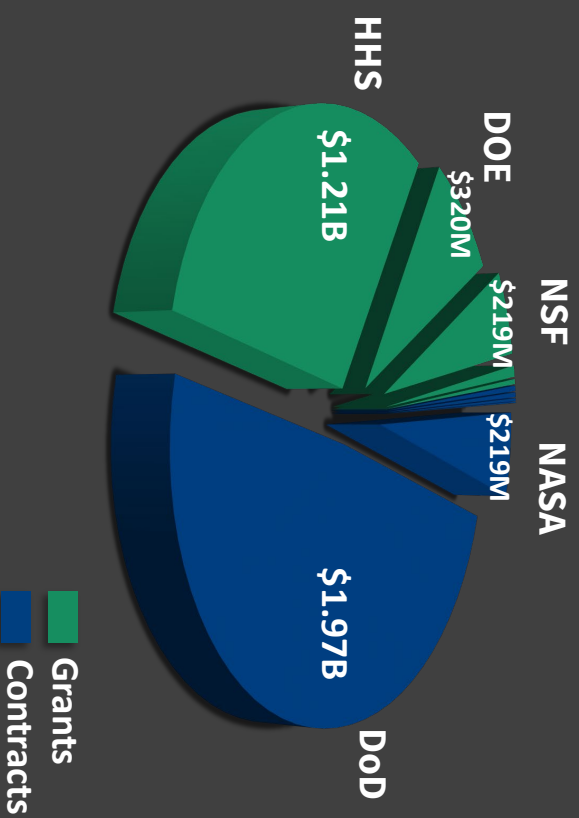


National Geospatial Intelligence Agency (NGA)

# FY2020 SBIR/STTR Budgets by Agency

Agencies	Budget
Department of Defense (DoD)*	\$1.97 B
Department of Health and Human Services (HHS)** , including the National Institutes of Health (NIH)	\$1.21 B
Department of Energy (DOE), including Advanced Research Projects Agency – Energy (ARPA-E)	\$320 M
National Science Foundation (NSF)	\$219 M
National Aeronautics and Space Administration (NASA)	\$219 M
U.S. Department of Agriculture (USDA)***	\$30 M
Department of Homeland Security (DHS)	\$14 M
Department of Commerce: National Oceanic and Atmospheric Administration (NOAA)	\$10 M
Department of Education (ED)	\$7.7 M
Department of Transportation (DOT)	\$12.7 M
Department of Commerce: National Institute of Standards and Technology (NIST)	\$3.7 M
Environmental Protection Agency (EPA)*	\$3.7 M

\* Budgeted Amount; other Agencies Obligated Amount  
 \*\* Provides grants and contracts  
 \*\*\* Estimated from prior years



**SBIR: \$3.53 Billion**  
**STTR: \$485 Million**

# Agency Implementation Varies

- Mission
- Award amounts
- Number of solicitations each year
- Special programs
- Contracts vs. Grants
  - Contracts: DoD, DHS, NASA, EPA, DOT, DoED
  - Grants: NSF, DOE, USDA, NIST, NOAA
  - Both: HHS
- Specificity of topics
- Agency as potential customer

## **SBA Office of Innovation & Technology (OI&T)**

### **Major Responsibilities**

- Provides oversight of SBIR/STTR Programs
  - Monitors participating agencies, develops policy, improves quality of data, manages SBIR.gov, and reports to Congress
- Builds capacity within SBIR Support Organizations
  - Manages two funding programs: [FAST](#) & [Growth Accelerators](#)
  - Provides training for [innovation ecosystem builders](#) (state economic development, universities, accelerators, PTACs & SBA Resource Partners)
- Leads Collaborative Federal Outreach and Training
  - Focuses on underrepresented populations
  - Creates a friendly front-door for small businesses

More on the SBA Innovation team at [www.sbir.gov/about/leadership](http://www.sbir.gov/about/leadership)

# Resources

## Phase III Resources

- Agency Phase III Guidebooks
  - [Navy SBIR/STTR Phase III Guidebook v2](#) (March 2020)
  - [Air Force Phase III Desk Reference v2.0](#) (Jan 2019)
  - [NASA Phase III Customer Guide](#) (Aug 2019)
- Discussion on FY20 NDAA changes to enhance support of SPES, OSDBUGs, PCRS for SBIR awardees
  - SBA First Wednesday Learning Series recording <https://youtu.be/uR-LkHLSmn8> (Dec 2020)
- Non-gov perspective - “A Government Guide to SBIR” - <https://www.fedscout.com/resources>
  - Developed by a [Growth Accelerator](#) awardee (not an endorsement)

# Award Searches

- Identify successful firms
- Identify agency investments in technology areas

Home / Reports

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View As:  List  Chart  State Map

### Award Data

**FILTER BY:**

**Agency**

- Department of Agriculture (3411)
- Department of Commerce (1528)
- National Institute of Standards and Technology (398)
- National Oceanic and Atmospheric Administration (184)
- Department of Defense (83894)
- Air Force (25888)
- Army (18791)
- Defense Advanced Research

**Phase**

- Phase I (125072)
- Phase II (51533)

**Program**

- SBIR (182061)
- STTR (14544)

**Year**

Search Keywords Company Name Topic Code Search

Reset

**1** For best search results, use the search terms first and then apply the filters

**1** The Award database is continually updated throughout the year. As a result, data for FY19 is not expected to be complete until June, 2020.

Displaying 1 - 10 of 176605 results

Download ▾ Awarded Year (descending) ▾

#### Integrated Sensors for the Evaluation of Structural Integrity of Inflatable Habitats

SBC; Nanosonic Inc. Topic: T6

The objective of the proposed NASA Sequential Phase II STTR program is to continue the development of mechanically flexible piezoresistive sensors for the measurement of long-term creep strain in inflatable habitat webbing/rbaps! During the Phase I and base Phase II programs, Nanosonic has worked with the Electronic Textiles Laboratory at Virginia Tech to demonstrate the technical feasibility of fa ...

STTR Phase II 2020 National Aeronautics and Space Administration

Person-Centered Planning Toolkit: Development of an Application to Improve Workforce Participation Through Team Collaboration and Customized Employment Discovery Technology

[www.sbir.gov/sbirsearch/award/all](http://www.sbir.gov/sbirsearch/award/all)



# Topic Searches

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## Topic Areas

**FILTER BY:**

- FUNDING TOPICS**
- OPEN
- FUTURE
- CLOSED

**Agency**

- Department of Health and Human Services (68)
- National Institutes of Health (65)
- National Science Foundation (159)

**Phase**

- Phase I (257)
- Phase II (67)

**Program**

- SBIR (47)
- STTR (217)

Search Keywords

**NOTE:** The Solicitations and topics listed on this site are copies from the various SBIR agency solicitations and are not necessarily the latest and most up-to-date. For this reason, you should visit the respective agency SBIR sites to read the official version of the solicitations and download the appropriate forms and rules.

If no search results for your keyword(s) were found, you are encouraged to review agency omnibus solicitations for additional funding opportunities. Omnibus solicitations are structured to be broad, extensive programmatic issuances with research areas related to the petitioning Agency and are not limited to predetermined Topics/Subtopics. If upon reviewing you have additional questions, you may consider reaching out to the respective Agency for clarification regarding acceptable proposals (<https://www.sbir.gov/agency-contact>).

Displaying 1 - 10 of 264 results

**RFA-HL-19-016: Technologies for Healthy Independent Living for Heart, Lung, Blood and Sleep Disorders (R43- Clinical Trial Not Allowed)**

Release Date: 05-15-2019

The average age of the U.S. population is climbing because people living longer. Chronic health conditions related to heart, lung, blood, and sleep (HLBS) disorders are becoming more prevalent as part of natural aging. Technological advances and the needs of older adults create an opportunity for the design and development of home digital health technologies that could enable functional independence ...

**SBIR** | **Phase I** | **Department of Health and Human Services** | **National Institutes of Health**

Learn which agencies  
fund different  
technology areas!

[www.sbir.gov/sbirsearch/topic/past](http://www.sbir.gov/sbirsearch/topic/past)

# Online Tutorials

55+ courses including:

- Agency overviews
- Program basics
- Data rights
- IP protection
- **Phase III**

[www.sbir.gov/tutorials](http://www.sbir.gov/tutorials)

**COURSE 4**  
**FINDING TOPICS**

**TUTORIAL 1**  
**HOW DO I FIND THE APPROPRIATE TOPIC?**

**FORMATS**

- ▶ Audio/Video
- ▶ **Multimedia**
- ▶ PDF

**TOOLS**

- 📖 Glossary
- 🔗 Links
- 📝 Quiz

▶ Hide Options

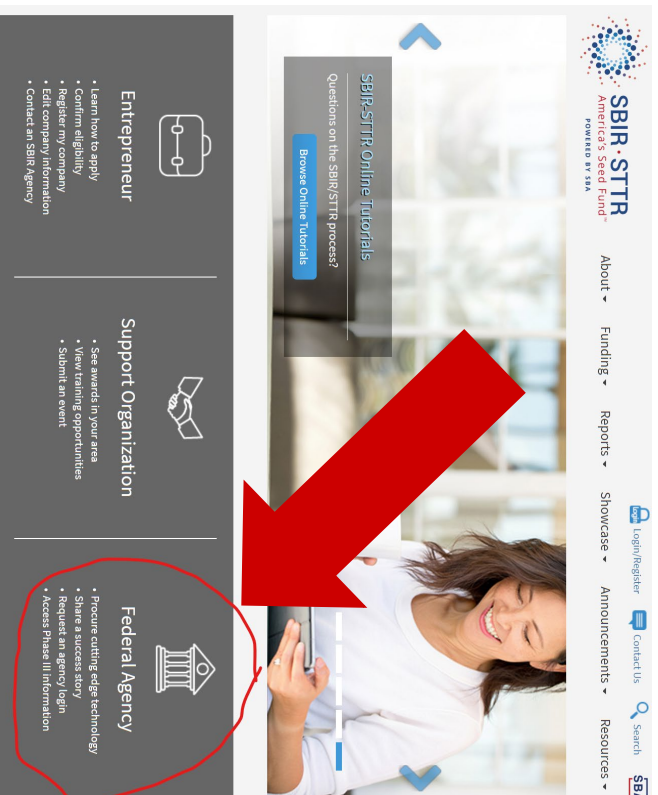
**SBIR/STTR TOPIC SEARCH ENGINES**

**Back to Tutorials**

If you want to submit an SBIR/STTR proposal, you must first find a relevant topic at one of the participating agencies. The SBIR/STTR programs do not accept "unsolicited proposals," but instead require that you respond to one of their current topics, even if they are very broad like topics found at many of the agencies that make their SBIR/STTR awards as grants vs. contracts. All of the agencies list their topics in their solicitation or Funding Opportunity Announcement (FOA). The only exception is the Department of Energy, which publishes a separate topic list several weeks before it releases its FOA.

In the early days of SBIR/STTR, you had to read a paper copy of the solicitation from beginning to end to see if there were any relevant topics. Now that the solicitations are all distributed electronically, it is much faster, easier, and more productive to find topics by using search engines. You type in your key word(s), and the search engine goes through the currently open topics (or, at your option, topics that closed in the recent past) and tells you which topics contain your key word(s).

# How can the SBA SBIR team help you?



- What information or tools would help you?
- Resources from SBA/OI&T?  
<https://www.sbir.gov/agency-representative>
- Resources from SBIR participating agencies?

Reach out and let us know –  
[technology@sba.gov](mailto:technology@sba.gov)

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# What is SBIR?

## Small Business Innovation Research

Funding to turn your R&D into products & services with global impact.

[Learn More](#)

### Entrepreneur

- Confirm eligibility
- Register my company
- Learn how to apply
- Edit company information
- Contact an SBIR Agency

### Support Organization

- See awards in your area
- View training opportunities
- Submit an event

### Federal Agency

- Procure cutting edge technology
- Share a success story
- Request an agency login
- Access Phase III information

[Are you looking for SBIR/STTR funding?](#)

[Find Opportunities](#)

**Stay In Touch**

**bit.ly/JoinSBIRList**

 **@SBIRgov**  
**#seedthefuture**

**www.sbir.gov**  
**technology@sba.gov**



# DEPARTMENT OF DEFENSE

## Small Business Innovation Research (SBIR)

## Small Business Technology Transfer (STTR)

## Program Overview

Presented by: Ms. Susan Cellis

Acting Director, Small Business and Technology Partnerships

DoD SBIR/STTR Program Manager

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Distribution is unlimited.

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August 17, 2021



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# SBIR/STTR Program Goals



SBIR and STTR Programs are Congressionally authorized small business set-asides established to support scientific excellence and technological innovation through the investment of Federal research funds in critical American priorities to build a strong national economy.

- Stimulate technological innovation for DoD to maintain technological superiority and military readiness to deter military operations from U.S. adversaries.
- Increase private sector commercialization of Federal R&D to increase competition, productivity, and economic growth.
- Stimulate a partnership of ideas and technologies between innovative small businesses and research institutions (STTR).
- Through a competitive awards-based program, SBIR/STTR enables small businesses to explore their technological potential and provides the incentive to profit from its commercialization.
- By including qualified small businesses in the nation's R&D arena, high-tech innovation is stimulated and the United States gains entrepreneurial spirit as it meets its specific R&D needs.



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# Statutory Origins of SBIR/STTR Programs



## 15 U.S.C. 632 - Small Business Act

- Requires that a fair portion of the total Federal Government contracts and spend be placed with small business concerns to maintain and strengthen the overall economy of the country.

## 15 U.S.C. 638 - Research and Development

- Empowers the Small Business Administration to assist small-business concerns to obtain Government contracts for research and development to obtain the benefits of research and development performed under Government contracts or at Government expense
  - **15 U.S.C. 638 Section 9** of the Small Business Act, ensures that, in selecting small business concerns to participate in SBIR or STTR programs under this section, Federal agencies give high priority to small manufacturing companies and other small business concerns engaged in or planning to engage in manufacturing research and development for the purpose of developing and producing new products and technologies in the United States.



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# Statutory Origins of SBIR/STTR Programs



## SBIR Program

- Established in 1982 by Public Law (P.L.) 97-219; reauthorized for continuation of SBIR/STTR programs through 30 September 2022.
- Requires Federal agencies with extramural Research and Development (R&D) budgets that exceed \$100 million to allocate a percentage of their R&D budget to these programs.
- Created as a competitive three-phased process to solicit proposals for Research/Research and Development (R/R&D), production, services, or any combination to meet stated agency needs or missions; and to award funding agreements to qualifying SBCs.

## STTR Program

- Established in 1992 by P.L. 102-564; reauthorized for continuation through 30 September 2022.
- Requires Federal agencies with extramural R&D budgets that exceed \$1 billion to reserve 0.45% of the extramural research budget for STTR awards to SBCs.
- Created as a parallel program to SBIR with the added requirement that SBCs partner with colleges/universities, Federally Funded Research and Development Centers (FFRDCs) or qualified non-profit research institutions on cooperative R/R&D





# Modernization Technology Priorities

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## Artificial Intelligence (AI)

The DoD will leverage AI to enable U.S. forces to operate more effectively and efficiently. As a Department, we are evaluating which of our processes and procedures can be enabled via adoption of AI technology to meet warfighter needs and Defense priorities.



## Biotechnology

Biotechnology is an engineering discipline that utilizes or exploits living systems to produce a wide range of technologies and products. Future advances in biotechnology will provide new operational capabilities to the Department of Defense across multiple domains, spanning material & systems, military medicine, warfighter performance, and chem-bio defense.



## Autonomy

Autonomy extends and complements human capabilities. Advantages include persistence, size, speed, maneuverability, and reduced risk to human life. The DoD targets seamless integration of diverse unmanned/mixed team capabilities that provide flexible options for the Joint Force.



## Cyber

Cyber is a unique operational domain with significant security challenges and potential leap-ahead capabilities for military operations requiring enhanced command, control and situational awareness, and autonomous operations. Ability to gain and maintain the U.S. technological edge in cyberspace in the face of rapid evolution is essential to maintaining mission readiness.



## Directed Energy

When directed energy matures to a deployable capability, our armed forces will have the potential to defend against several types of threats with great precision and minimal collateral damage, at minimal cost per engagement. High Energy Laser (HEL) technology development and advancements in hardware are making laser weapon systems increasingly viable.



**Fully Networked Command, Control, and Communications**  
Fully Networked Command, Control, and Communications technology encompasses the capability to acquire, process, and disseminate information across force elements. DoD requires a clear path to robust C4I with multiply redundant, fully-networked "Comms." Existing capabilities require sufficient protection against an increasing threat, in pervasiveness and effectiveness.



## Hypersonics

Hypersonic weapons travel five or more times the speed of sound. There is a focus on the tactical capability that these sorts of weapons bring to theater conflicts or regional conflicts. Very quick response, high speed, highly maneuverable, difficult to find and track and kill. We are modernizing our offensive and defensive force structure to both utilize and deter this capability.



## Microelectronics

Microelectronics have been rapidly evolving as the demand for inexpensive and lightweight equipment has increased, and have been incorporated into countless DoD systems. Our modernization ability is jeopardized by foreign microelectronics (ME) production, actions, and investments. We must develop and deliver next generation microelectronic technologies to enhance lethality, ensure critical infrastructure, and achieve economic competitiveness.



## Quantum Science

Quantum computers pose an impending threat to secure communications. Continued US dominance in quantum information science will keep us ahead of these risks, and NSA crypto-modernization will protect our most sensitive communications against a quantum computer attack. Quantum sensing will deliver new and assured precision position, navigation, and timing capabilities, keeping our forces safe in GPS-denied theaters. Quantum networks will deliver drastically enhanced sensors for finding and fixing elusive targets, and will deliver resource multiplying effects for commercially developed quantum computers to solve DoD's hardest analytical problems.



## Space

The U.S. way of war, across all domains, is dependent on timely and assured space effects. Adversary capabilities and advancements require us to move quickly to a more defensible and resilient space posture. Added protection and resiliency to our current spacecraft fleet is essential.



## 5G

5G will bring about wireless, ubiquitous connectivity across humans, machines, and the Internet of Things. DoD will adapt 5G and next generation technologies to "operate through" congested and contested spectrum and in spite of compromised networks to ensure maximum readiness, lethality, and partnering among allies. 5G prototyping and experimentation will be conducted in collaboration with the defense industry and commercial suppliers to accelerate U.S. prominence in the 5G global ecosystem.

Distribution Statement A, Code:20-S-1754 Approved for public release, Distribution is unlimited.

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Visit: <https://www.cto.mil/modernization-priorities/> for more information.



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# DOD SBIR/STTR Process and Components



Topic Development



Broad Agency Announcement



Proposal Submission



Proposal Evaluation/Selection



Contract Award



Department of the Army



Department of the Navy



Department of the Air Force



Defense Advanced Research Projects Agency



Defense Health Agency



Defense Logistics Agency



Defense Microelectronics Activity



Defense Threat Reduction Agency



Chemical and Biological Defense



Missile Defense Agency



National Geospatial-Intelligence Agency



Office of Secretary of Defense



Space Development Agency



United States Special Operations Command



# SBIR / STTR Program Phases

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Phase	SBIR/STTR
Phase I	\$256,580 cap (~10 months) Feasibility Study
Phase II/Direct-to-Phase II*	\$1,710,531 cap (24-36 months) Adoptions/Co-funds Continued Research and Prototype
Phase II Enhancement	\$1:\$1 Match (up to 12 months) Up to \$500K
Phase III	No time limit No SBIR funds

**Eligibility in a nutshell:**

**MUST be more than 50% owned by US citizens.**

**MUST be located and operated in the US.**

**MUST be 500 employees or less, including affiliates.**

**www.sba.gov/size**

Program Differences	SBIR	STTR
	<ul style="list-style-type: none"> <li>A minimum of 2/3 of the research/work must be performed by the proposing Small Business in Phase I</li> <li>A minimum of 1/2 of the research/work must be performed by the proposing Small Business in Phase II</li> <li>Primary employment of the Principal Investigator must employed by the small business</li> </ul>	<ul style="list-style-type: none"> <li><b>Small Businesses MUST partner with a U.S. Research Institution</b></li> <li>At least 40% of the work must be performed by the proposing Small Business</li> <li>At least 30% of the work must be performed by the Research Institution</li> <li>Small Businesses must manage and control the STTR funding agreement</li> <li>Principal Investigator may be employed at either the Small Business or the Research Institution</li> </ul>

\*Phase II values can exceed these numbers if funds are available and by using a simple waiver process.



# Broad Agency Announcement (BAA) Schedule

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A DOD Agency-wide

announcement includes:

- DOD Instructions
- Service/Component Unique Instructions
- Topics
- Not all Components participate in each solicitation.
- Multiple solicitations provide opportunities to participate throughout the fiscal year.

**SBIR 21.3  
STR 21.C**

Pre-Release  
8/25/21

Open  
9/23/21

Close  
10/22/21

**SBIR 22.1  
STR 22.A**

Pre-Release  
11/23/21

Open  
01/05/22

Close  
02/10/22

**SBIR 22.2  
STR 22.B**

Pre-Release  
04/19/22

Open  
05/17/22

Close  
06/15/22

**SBIR 22.3  
STR 22.C**

Pre-Release  
08/23/22

Open  
09/21/22

Close  
10/20/22

Note: Dates are subject to change.

**Out-of-cycle BAAs are released when a component needs to solicit topics outside of the three DOD SBIR/STR BAA cycles shown.**

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# UNCLASSIFIED TechLink Economic Impact Study



- DOD SBIR/STTR Economic Impact Study released October 2019
  - Conducted by TechLink, a national DOD partnership intermediary (PIA) at Montana State University-Bozeman, in collaboration with the University of Colorado in Boulder
- The study quantifies the DOD SBIR/STTR Programs' overall contribution to the nation's economy and defense mission
  - Examines the economic outcomes and impacts up to 2018 from DOD SBIR/STTR Phase II contracts initiated during the 1995-2012 FY
- Major findings of the study include:



View the DOD SBIR/STTR Economic Impact Study:  
<https://www.sbir.gov/impact>





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# Helpful Websites



- SBA SBIR/STTR - <https://www.sbir.gov/about>
- Defense SBIR/STTR Innovation Portal (DSIP) - <https://www.dodsbirsttr.mil/submissions>
- DOD SBIR/STTR - <https://rt.cto.mil/rtl-small-business-resources/sbir-sttr/>
- System for Award Management (SAM) registration - [www.sam.gov](http://www.sam.gov)
- Export Control - [https://www.pmdc.state.gov/ddtc\\_public](https://www.pmdc.state.gov/ddtc_public)
- Historically Black Colleges and Universities and Minority Institutions (HBCU/MI) - <http://www.ed.gov/about/offices/list/ocr/edite-minorityinst.html>
- Federally Funded Research and Development Centers - <https://www.nsf.gov/statistics/ffrdclist/>
- National Institutes of Health Guidelines for Research Involving Recombinant DNA Molecules - [https://osp.od.nih.gov/wp-content/uploads/2016/05/NIH\\_Guidelines.pdf](https://osp.od.nih.gov/wp-content/uploads/2016/05/NIH_Guidelines.pdf)
- Defense Counterintelligence and Security Agency (DCSA) facility and personnel clearance procedures and requirements - <https://www.dcsa.mil/mc/ctp/fc/>
- Invention Reporting - [www.iedison.gov](http://www.iedison.gov)
- Technical Reporting - <https://discover.dtic.mil/submit-documents/>
- Defense Contract Audit Agency - <https://www.dcaa.mil/Guidance/Audit-Process-Overview/>
- Procurement Technical Assistance Centers - <https://www.aptac-us.org/>



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# OSD TRANSITIONS SBIR/STTR TECHNOLOGIES (OTST) PROGRAM

“Transitioning SBIR Technology to the Warfighter”

Phase II Development to Phase III Transition/Integration

Presented by:

Mr. Matthew B. Williams, Technology Portfolio Manager,  
Small Business and Technology Partnerships

DISTRIBUTION C. Distribution authorized to U.S. Government agencies and their contractors; administrative or operational use; August 17, 2021. Other requests for this document shall be referred to the Office of the Under Secretary of Defense for Research and Engineering.

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# SBIR / CRP Background

## Small Business Innovation Research (SBIR) Program

Established by Congress in 1982 to strengthen the role of innovative small business concerns (SBCs) in Federally-funded research or research and development (R/R&D).

### Objectives:

- (1) Stimulate technological innovation;
- (2) Use small business to meet Federal R/R&D needs;
- (3) Foster and encourage participation by socially and economically disadvantaged SBCs in working in technological innovation; and
- (4) Increase private sector commercialization of innovations derived from Federal R/R&D, thereby increasing competition, productivity and economic growth.

## Commercialization Pilot Program (CPP)

Established by Congress in 2006 to accelerate the transition of technologies, products, and services developed under SBIR to Phase III, including the acquisition process.

- *Made permanent in 2012 and renamed the Commercialization Readiness Program (CRP).*
- *Dynamic, results-oriented response to the Congressional challenge to the Department of Defense in 2006 to deliver more advanced technologies - faster - to our warfighters.*





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# OTST Program – Objectives

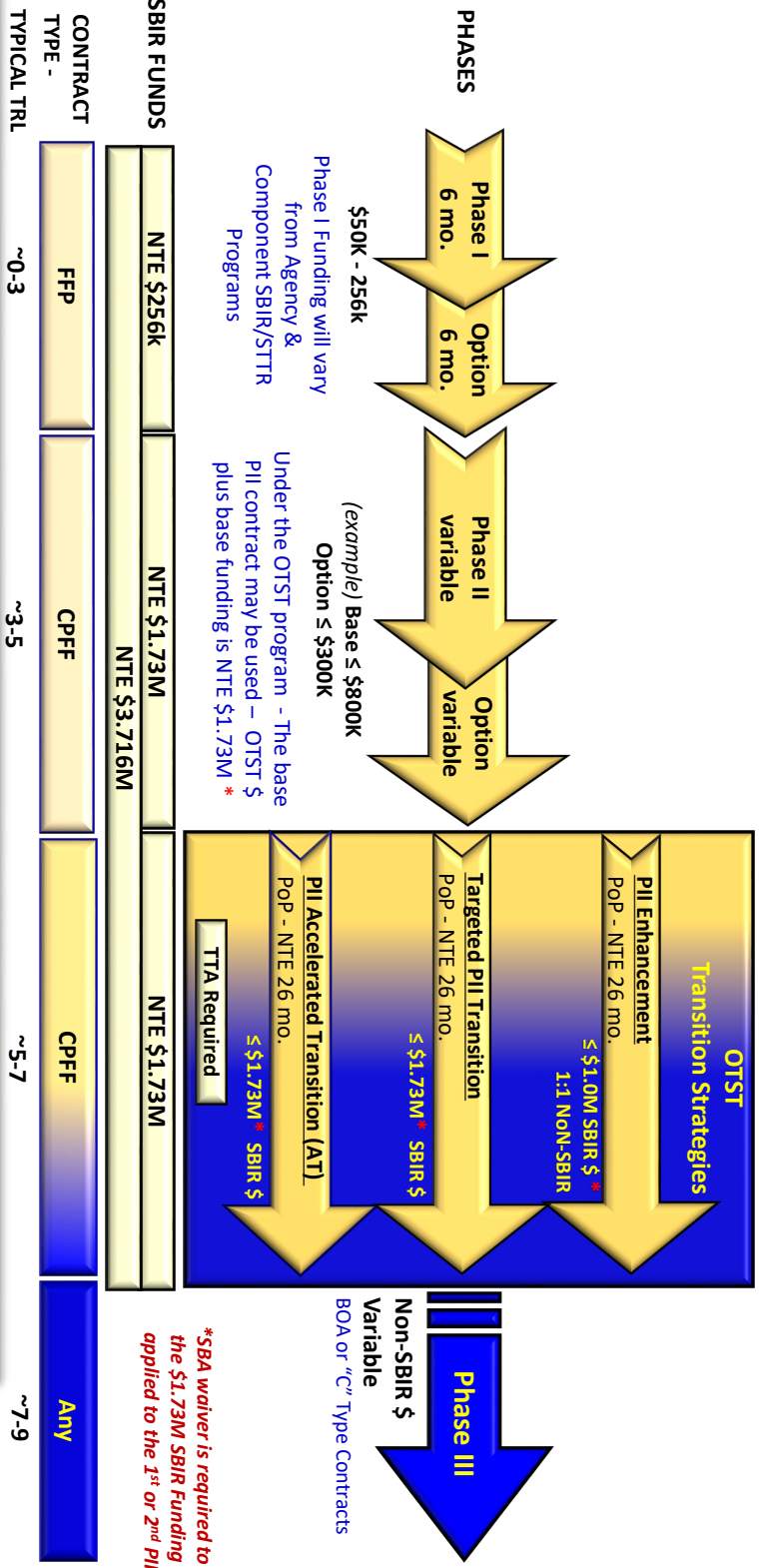
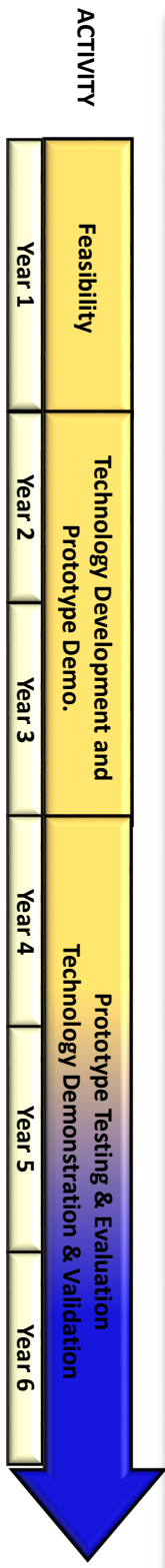


- Provide the Sponsoring Programs with the right tools to select the best OTST project.
- Assist Sponsoring Programs in identifying SBIR Phase II Technologies that have a high potential of transition.
- Encourage the Sponsoring Programs to Data Mine (Reach Back) for SBIR Technologies to Transition.
  - Help bridge the valley of death.
- Align resources to better support DoD's Modernization Goals.
  - Establish a proactive and predictive approach to the development of mission critical technologies.
- Accelerate SBIR technology incorporation and transition into Programs of Record through shared SBIR and Program investment.
  - Provide investment strategies to mature and transition the technologies.
  - Accelerate transitions to Phase III for acquisition programs.



# OUSD (R&E) SBIR/STTR Award Structure

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\*SBA waiver is required to exceed the \$1.73M SBIR Funding that is applied to the 1<sup>st</sup> or 2<sup>nd</sup> PII effort

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# OTST Investment Strategies

The OTST Program includes three (3) Transition Funding Strategies. The funding levels associated with these strategies reflects the OTST Programs Commitment to Transitioning the SBR/STTR Technology.

**(Listed in Funding Priority Order)**

- A. **Phase II Enhancement (e)** – Shared Development of a SBR Phase II Project between the OTST Program and the Assistant Directors (AD) or Funding Sponsor. The Funding Sponsor is eligible for SBR matching funds up to \$1.0M. SBR/STTR funds may be applied to an existing PII contact or applied to a 2<sup>nd</sup> Phase II contract. The funding from the Sponsor is applied, concurrently, to a Phase II or III contract.
  - ❖ **Transition Probability = MEDIUM – HIGH**
  
- B. **Targeted Phase II Transition (TPT)** – The Funding Sponsor has identified a specific Technology or Technologies that will address their emergent / urgent Technology requirement/gap – has funding identified in a POM, existing PE or other funding (i.e. CIP etc...) and wants to Data Mine for this technology in the vast SBR/STTR warehouse for mature technologies - (TRL- ≥5) - and can transition the technology – post SBR/STTR development – within 12 months. SBR Funding Not-to-Exceed \$1.73M. (see slide 24 for TPT Process)
  - ❖ **Transition Probability = HIGH**
  
- C. **Accelerated Transition (AT)** – The Funding Sponsor Commits to Transition the SBR Technology and Acquisition Funding has been identified; matching funds variable - SBR Funding Not-to-Exceed \$1.73M.
  - ❖ **Transition Probability = MEDIUM - HIGH**
  - ❖ *If the Funding Sponsor is committed to Transitioning the Technology, the OTST Program may/will provide up to \$1.73M in SBR funding. The sponsor will enter into a Technology Transition Agreement (TTA) with the OTST program and be able to clearly show the Acquisition Plan and Funding Required to Transitioning the Technology.*

*The OTST program is not about funding, but about a Funding Sponsor's "**SBR Technology Pull**" to meet requirements that address potential and emerging threats.*



# Contact Us

UNCLASSIFIED



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Mr. Matthew B. Williams, Technology Portfolio Manager, SBTP  
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Send general questions about the SBIR/STTR Programs to:  
(address SBTP Team)  
[osd.ncr.osud-r-e.mbx.sbir-str@mail.mil](mailto:osd.ncr.osud-r-e.mbx.sbir-str@mail.mil)

Send general questions about the OTST Program to:  
(address Transition Team)  
[osd.ncr.osud-r-e.mbx.sbir-str-tech-transition@mail.mil](mailto:osd.ncr.osud-r-e.mbx.sbir-str-tech-transition@mail.mil)

## Connect with us!

Visit: <https://rt.cto.mil/rtl-small-business-resources/> for more information  
Visit: <https://www.dodsbirsttr.mil/submissions/login> to subscribe to our **listserv**

 [facebook.com/dodsbir](https://facebook.com/dodsbir)

 [@dodsbir](https://twitter.com/dodsbir)

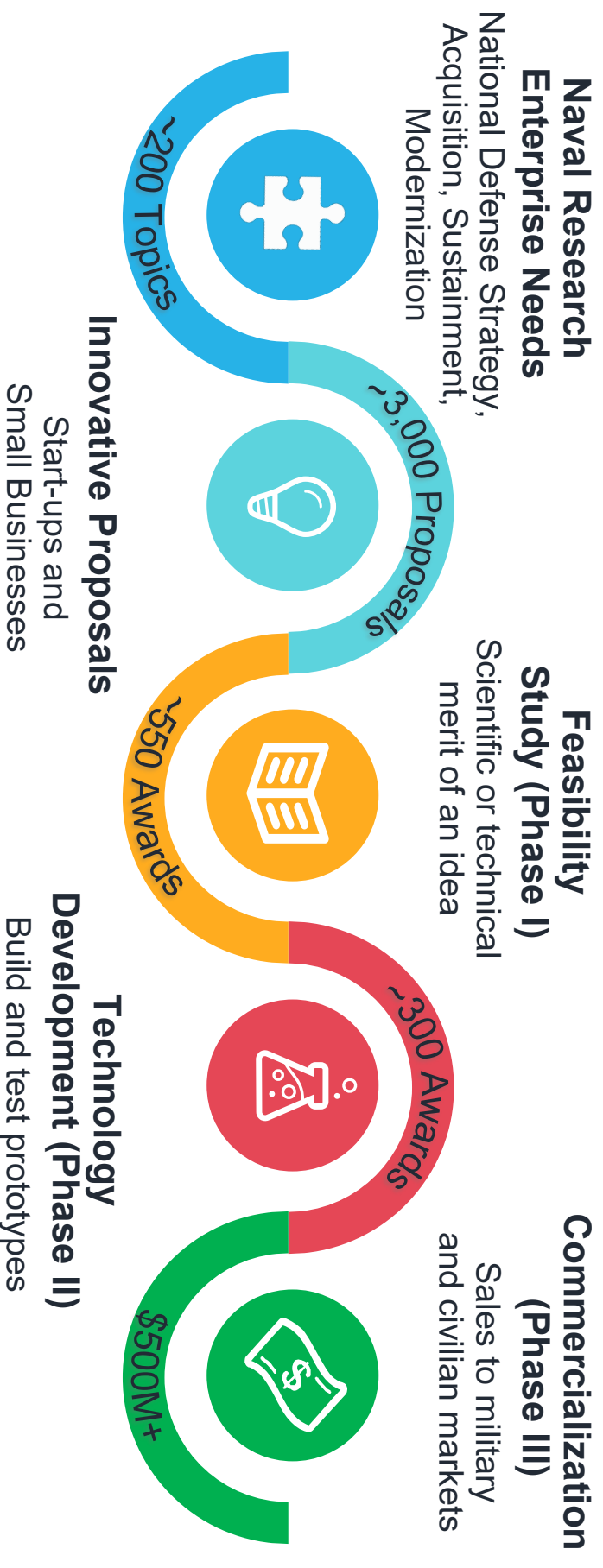
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# DEPARTMENT OF THE NAVY SMALL BUSINESS INNOVATION RESEARCH (SBIR) SMALL BUSINESS TECHNOLOGY TRANSFER (STTR)

## Program Overview



# The SBIR/STTR Process



## How SBCs Participate

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1. Determine eligibility  
<https://www.sbir.gov/faqs/eligibility-requirements>
2. Research topics consistent with their business strategies  
<https://www.dodsbirsttr.mil/submission/login>
3. Read and understand the DoD Broad Agency Announcement (BAA) and Component-specific BAA instructions  
<https://www.dodsbirsttr.mil/submission/login>
4. Use templates as instructed by BAA  
[www.navysbir.com/links\\_forms.htm](http://www.navysbir.com/links_forms.htm)
5. Submit a proposal that meets the stated need of the topic  
<https://www.dodsbirsttr.mil/submission/login>


# Navy Differentiators


- Topics tied to **specific Naval needs** in acquisition programs with defined transition targets
- Proposal requirements **50% less** than DoD standard
- Faster awards via **dedicated SBIR Contracting Command** (all Phases)
- **Larger** first Phase I payment, **75% faster**
- Navy-funded **SBIR/STTR Transition Program** to facilitate transition of technology (NavySTP.com)
- **Naval Technology Accelerator** to help companies stand on their own in the commercial sector
- New **SBIR Experimentation Cell** connecting SBIR innovators with the DON experimentation community
- **Commercialization success** that accounts for over 50% of all of DoD




# Stay in Touch with DON SBIR/STTR

 **Website**  
www.navysbir.com

 **Email**  
navy-sbir-sttr@navy.mil

 **Twitter**  
@donsbir

 **LinkedIn**  
www.linkedin.com/company/donsbir

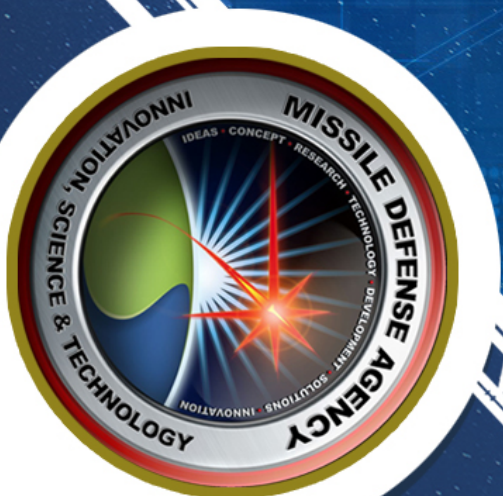
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# 2021



# MISSILE DEFENSE AGENCY

## SBIR/STTR PROGRAM OVERVIEW

## SBIR/STTR INNOVATION SUMMIT

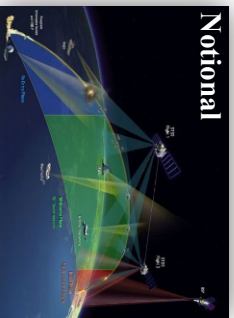
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*Embracing Innovation, Science, and Technology to Outpace the Threat*



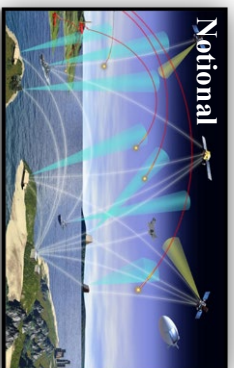
# SBIR/STTR SOLICITATION PROCESS

- **SBIR / STTR program is a four step process**
  - Phase I: Feasibility and concept development
  - Phase II: Technology and prototype development
    - Technology may receive one sequential Phase II
  - Phase II Enhancement: Prototype testing and technology demonstrations and validation
  - Phase III: Commercialization and Transition



(SBIR/STTR Funded)

**Phase I**



(SBIR/STTR Funded)

**Phase II**



(SBIR/STTR Funded)

**Phase II Enhancement**

(Program Funded)

**Phase III**

**Feasibility Study**  
**Technology Development & Prototype Demonstration**

**Prototype Testing & Evolution Technology Demo & Validation**

**Commercialization Transition**

Announcement published in <https://www.dodsbirstr.mil>



# SBIR/STTR RESEARCH AREAS

Research Area	Research Interests
Sea-Based Weapon Systems	Innovative Ejector Launch System, Standard Missile 3 (SM-3) Materials Design Improvements
C2BMC	Artificial Intelligence applied to Battle Management
Radar	Kinematic Invariant Space Maximum Entropy Tracker
Director for Technology Protection	Bare Metal Hypervisor and Anti-Tamper Protections
Industrial Manufacturing	Advanced Supercapacitors Based on Novel Low-cost Biocarbon Materials
Lethality	Modeling and testing of materials for Lethality Assessments
Survivability	RadHard Parts, Testing of Nuclear Survivability
Modeling & Simulation	Aerodynamic Controls for Hypersonic Vehicles, hypersonic vehicle modeling, upper stage motors



# SBIR/STTR RESEARCH AREAS

Research Area	Research Interests
Ground Based Midcourse Defense	IR signature modeling, Lightweight Multifunctional Components for Next-Gen Kill Vehicles
Targets & Countermeasures	Sensors and In-flight Communications
THAAD	LADAR, Antennas, and Hypersonic Control Surfaces, Thermal Batteries
Test Instrumentation	Optics testing
Technology Maturation	Hypersonics, propulsion, advanced materials,
Sensors & Directed Energy	Fiber laser modeling and performance
Quality, Safety & Mission Assurance	Transparent SiC windows, Igniter Systems for Solid Rocket Motors



## CONTACT INFORMATION

[www.mda.mil](http://www.mda.mil)

- Missile Defense News, Images, Videos, Fact Sheets
- BMDS Overview, BMD Basics
- MDA Business Opportunities  
([https://www.mda.mil/business/advanced\\_research.html](https://www.mda.mil/business/advanced_research.html))
- SBIR/STTR Innovation Summit Charts  
([https://www.mda.mil/business/SBIR\\_STTR\\_programs.html](https://www.mda.mil/business/SBIR_STTR_programs.html))
- DoD SBIR/STTR website: <https://sbir.defensebusiness.org>
- SBA SBIR/STTR website: <https://www.sbir.gov>

### To Contact MDA

- SBIR / STTR                      256-955-2020    [sbirstrindustry@mda.mil](mailto:sbirstrindustry@mda.mil)
- Commercialization            256-450-5343    [SBIR-PhaseIII@mda.mil](mailto:SBIR-PhaseIII@mda.mil)