

# Department of Defense (DoD) Small Business Innovation Research (SBIR) Small Business Technology Transfer (STTR) Program Overview

Historically Black Colleges and Universities  
and Minority-Serving Institutions (HBCU/MI) Workshop

27 July 2023

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Office of the Secretary of Defense for Research  
& Engineering





# Office of the Under Secretary of Defense for Research & Engineering Mission

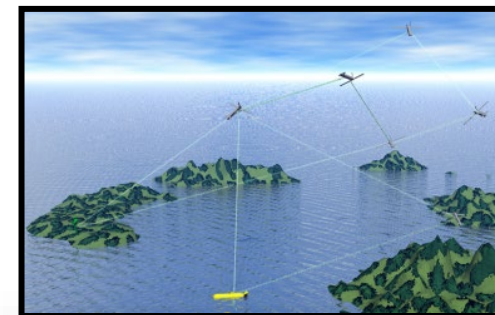


## ■ Ensure Technological Superiority for the U.S. Military

- Set the technical direction for the Department of Defense
- Champion and pursue new capabilities, concepts, and prototyping activities throughout the DoD research and development enterprise

## ■ Bolster Modernization

- Pilot new acquisition pathways and concepts of operation
- Accelerate capabilities to the warfighter



<https://www.cto.mil/usdre-strat-vision-critical-tech-areas/>



# *OUSD(R&E) SBIR/STTR Management Functions*



The Under Secretary of Defense for Research and Engineering, OUSD(R&E), oversees the DoD SBIR and STTR programs, and serves as the central OSD point of contact for Congress, the Small Business Administration, Government Accountability Office, and the interagency SBIR/STTR community

Responsibilities include but are not limited to:

- **LEADERSHIP:** Lead the DoD SBIR/STTR Programs and strive to establish and maintain relationships with participating DoD Services and Components that unifies and conveys an environment of transparency and trust
- **LEGISLATION/POLICY:** Influence and implement legislation, policy and regulations – to include drafting responses to RFIs, meeting with staffers upon request, and developing legislative proposals
- **AUTOMATION/WEBSITE:** Oversee development, maintenance, and enhancement of the Defense SBIR/STTR Innovation Portal (DSIP) in collaboration with the participating DoD Components. Establish and maintain a web presence for DoD, Federal, industry, and academia to find useful and relevant information regarding the DoD SBIR/STTR Programs
- **PROGRAM MANAGEMENT:** Publish SBIR/STTR Topics from across DoD through Broad Agency Announcements (BAAs) and Commercial Solutions Openings (CSOs), manages OSD-level Transition and Commercialization Program, submit quarterly and annual reports and metrics to SBA for DoD SBIR/STTR, coordinate with Services and Components to conduct program outreach/in-reach
- **FINANCIAL MANAGEMENT:** Manage execution of OSD SBIR/STTR Extramural and Admin Budgets



# *Statutory Origins of SBIR/STTR Program*



## **SBIR Program**

- Established in 1982 by Public Law (P.L.) 97-219; reauthorized for continuation of SBIR/STTR programs through 30 September 2025.
- 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 2025.
- 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.



# *Small Business Act*

## **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.
  - Sections 9(j) and 9(p) require that the Small Business Administration (SBA) issue Policy Directives for the general conduct of the SBIR and STTR programs within the Federal Government.



# SBIR/STTR Mission and Goals



**MISSION: 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





# SBIR / STTR Program Phases

**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](http://www.sba.gov/size)**

Phase	SBIR/STTR	
Phase I (optional)	\$295,924 cap (6-12 months) Feasibility Study	
Phase II* Direct-to-Phase II Sequential/Cross Agency Phase II	\$1,972,828 cap (24-36 months) Adoptions/Co-funds Continued Research and Prototype	
Phase II Enhancement	Non-SBIR/STTR \$ Match with additional period of performance Varies by Component	
Phase III	No time limit No SBIR/STTR funds	
	SBIR	STTR

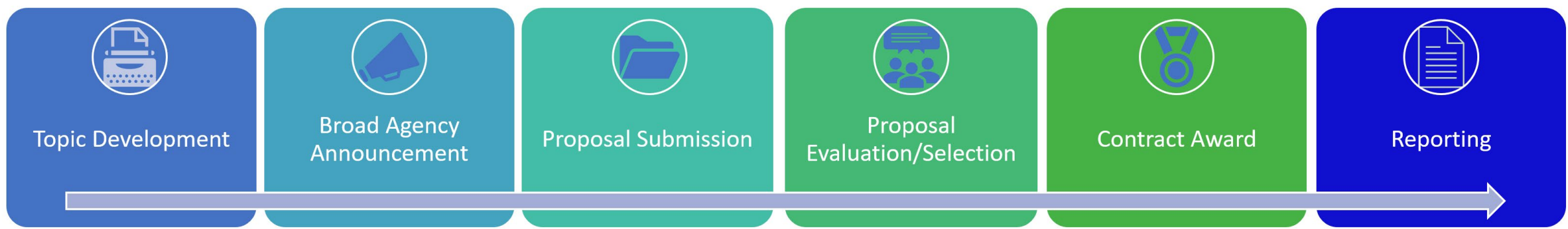
## Program Differences

- A minimum of 2/3 of the research/work must be performed by the proposing Small Business in Phase I
- A minimum of 1/2 of the research/work must be performed by the proposing Small Business in Phase II
- Primary employment of the Principal Investigator must be the small business
- **Small Businesses MUST partner with a U.S. Research Institution**
- At least 40% of the work must be performed by the proposing Small Business
- At least 30% of the work must be performed by the Research Institution
- Small Businesses must manage and control the STTR funding agreement
- Principal Investigator may be employed at either the Small Business or the Research Institution

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



# DoD SBIR/STTR Process



[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](#)



[United States Special Operations Command](#)





# Announcement Schedule

## DoD Agency-wide announcement includes:

- DoD Instructions
- Service/Component Unique Instructions
- Topics

## Note:

- Not all Components participate in each announcement
- Multiple announcements provide opportunities to participate throughout the fiscal year
- Although the announcement may be referred to as a “SBIR,” or possibly as a “SBIR topic,” the actual request for proposals may be a Broad Agency Announcement (BAA) or—a Commercial Solutions Opening (CSO)

**SBIR 23.1  
STTR 22.A**

Pre-Release  
January 11, 2023

Open  
February 8, 2023

Close  
March 8, 2023

**SBIR 23.2  
STTR 23.B**

Pre-Release  
April 19, 2023

Open  
May 17, 2023

Close  
June 14, 2023

**SBIR 23.3  
STTR 23.C**

Pre-Release  
August 23, 2023

Open  
September 20, 2023

Close  
October 18, 2023

Note: Dates are subject to change

**Annual SBIR/STTR BAA has replaced out-of-cycle BAAs. Topics are released under the annual BAA when a component needs to publish topics outside of the three DoD SBIR/STTR BAA cycles shown.**



## *Summary*

- DoD uses a combination of centralized and decentralized management and execution of the SBIR/STTR programs to introduce innovative technologies into the Department.
- The OUSD(R&E) provides the single doorway into DoD for small businesses that receive about \$2B of annual funding for innovative research through a series of BAAs and CSOs.
- SBIR/STTR applies to the full acquisition lifecycle—concept development, research and development, prototyping, manufacturing improvements, as well as Programs of Record and fielded systems.
- Annually, about 1,500 unique firms participate in the DoD SBIR/STTR programs.



# Defense SBIR/STTR Innovation Portal (DSIP)



- DSIP is the official proposal submission website for the Department of Defense.
- Proposal Submission
  - SBIR/STTR Phase I, Direct to Phase II, or Phase II proposals to any DoD Component must be submitted through the DSIP.
- Topic Search
- Topics Q&A

<https://www.dodsbirsttr.mil/submissions/login>

**DSIP** Defense SBIR/STTR Innovation Portal  
Proposal Submissions

The DoD Small Business and Technology Partnerships Office is pleased to announce the Defense SBIR/STTR Innovation Portal (DSIP), the new Website for DoD SBIR/STTR Proposal Submissions.

In the coming weeks, the current DoD SBIR/STTR Submissions Website will be decommissioned, and the new Defense SBIR/STTR Innovation Portal (DSIP) will take its place. DSIP features a new look and feel and will provide new and more user-friendly functionality. This announcement is the first of several communications to keep you informed of the changes and the impact this transition will have on the DoD SBIR/STTR proposal submission process. Please read the below information for details and training opportunities.

DSIP Dashboard Overview:

- File Information: 100% COMPLETED
- File Registration: 100%
- File Certifications: 100%
- File Information: 100%

Recent Activity:

- PROPOSAL CERTIFICATION FORM
- PROPOSAL SUMMARY FORM

Open DMAs:

- Phase 2 Proposals
- Archived Proposals

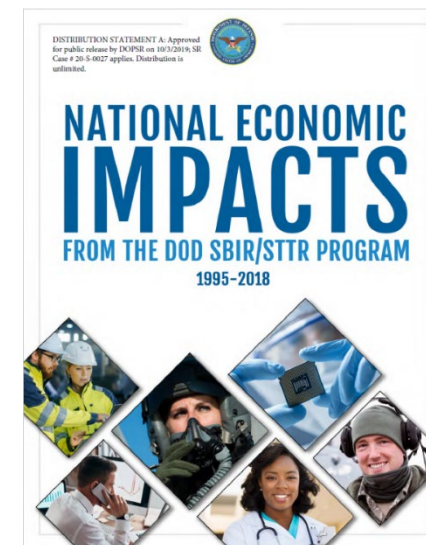
DMAs	Phase 2 Proposals	Archived Proposals	Actions
000 2020-2	1 Proposal (Due 11/20/20)	0	START NEW PROPOSAL
AT10 100-0015 - Acquisition Decision Aid	1 Phase 1 Proposal (Created: 11/16/20)	0	START NEW PROPOSAL
000 2020-5	8 Proposals (Due 11/20/20)	0	START NEW PROPOSAL
10001180008-02	8 Proposals (Due 11/20/20)	0	START NEW PROPOSAL



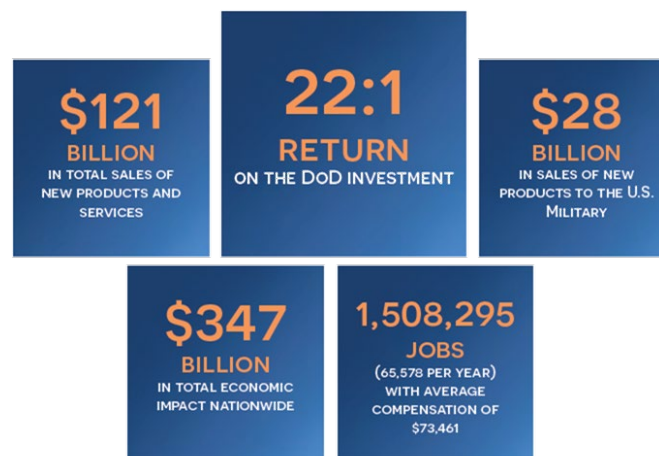
# TechLink Economic Impact Study



- 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>



# Helpful Websites

- Defense SBIR/STTR Innovation Portal (DSIP) - <https://www.dodsbirsttr.mil/submissions>
- DoD SBIR/STTR - <https://www.defensesbirsttr.mil/>
- SBA SBIR/STTR - <https://www.sbir.gov/about>
- Project Spectrum FOCI Course - <https://www.projectspectrum.io/>
- System for Award Management (SAM) registration - [www.sam.gov](http://www.sam.gov)
- Export Control - [https://www.pmddtc.state.gov/ddtc\\_public](https://www.pmddtc.state.gov/ddtc_public)
- Historically Black Colleges and Universities and Minority Institutions (HBCU/MI) - <http://www.ed.gov/about/offices/list/ocr/edlite-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/>
- APEX Accelerators, formerly known as Procurement Technical Assistance Program (PTAC) - <https://www.apexaccelerators.us/#/>



# Get in Touch

Visit: <https://www.defensesbirsttr.mil/> for more information.

Visit: <https://www.dodsbirsttr.mil/submissions/login> to subscribe to our ListServ.

Questions? Contact us!



DoDSBIRSupport@reisystems.com

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