

# **SBA Office of Investment & Innovation SBIR-STTR Presentation**

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# Questions?

# Mission of the SBIR/STTR Programs



To support scientific excellence and technological innovation through the investment of Federal research funds in critical American priorities to build a strong national economy...one small business at a time

# Goals of the SBIR/STTR Program



- ▶ 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 **socially and economically disadvantaged persons**

# The Small Business Innovation Research (SBIR) Program

- ▶ A set aside program for small business to engage in Federal R&D with potential for commercialization
- ▶ 3.0% of the extramural research budget for FY16 (FY15 ~2.2 Billion in summation) for all agencies with a budget greater than \$100M per year. Growing to 3.2% by 2017

	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
SBIR	2.5%	2.6%	2.7%	2.8%	2.9%	3.0%	3.2%

- ▶ Legislation has passed House Small Business and working through Senate Small Business – It is possible that program will be reauthorized early in 2016

# Agencies that Participate in the SBIR program

- ▶ Department of Agriculture (USDA)
- ▶ Department of Commerce (DoC)
- ▶ Department of Defense (DoD)
- ▶ Department of Education (ED)
- ▶ Department of Energy (DOE)
- ▶ Department of Health and Human Services (HHS)
- ▶ Department of Homeland Security (DHS)
- ▶ Department of Transportation (DOT)
- ▶ Environmental Protection agency (EPA)
- ▶ National Aeronautics and Space Administration (NASA)
- ▶ National Science Foundation (NSF)

# Small Business Technology Transfer (STTR) program

- ▶ A sister set-aside program to facilitate cooperative R&D between small business concerns and U.S. research institutions – with potential for commercialization
- ▶ 0.45% of the extramural research budget (>\$250 million) for all agencies with a budget greater than \$1B per year.

	<b>SBIR</b>	<b>STTR</b>
Phase I duration	~6 months	~12 months
# participating agencies	11	5
Size Phase I award	~ \$150,000	~ \$150,000
% extramural R&D budget [FY16]	3.00%	0.45%
IP allocation agreements required	No	Yes
RI or FFRDC participation required	No	Yes
PI employment	Small business	Small business or RI
Applicant	Small business	Small business

# These Programs Make a Difference

## SBIR/STTR Success Stories

- Qualcomm
- Symantec
- iRobot
- Genzyme
- Nimble Systems
- NanoMech
- Lift Labs
- Adaptec
- Ecovative Design
- Children's Progress, Inc.
- JENTEK Sensors
- Squid

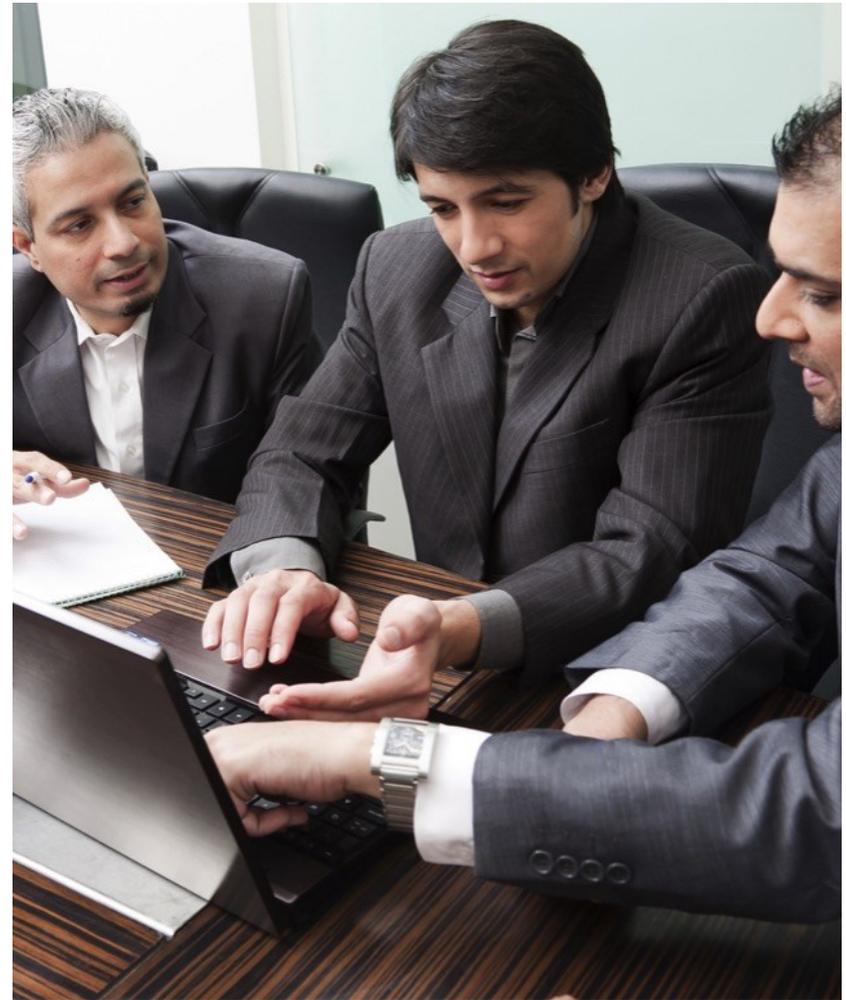
# SBIR/STTR is a gated process - with three Phases



**Program is designed to be extremely flexible  
so scope of work, dollar amounts, period of  
performance are adapted to the need**

# Eligibility Criteria

- ▶ Organized as for-profit U.S. business
- ▶ Small: 500 or fewer employees, including affiliates
- ▶ Work must be done in the U.S. (with few exceptions)
- ▶ Individual Ownership:
  - ▶ Greater than 50% U.S.- owned by individuals and independently operated OR
  - ▶ Greater than 50% owned and controlled by other business concern/s that is/are greater than 50% owned and controlled by one or more individuals OR
  - ▶ Be a concern which is more than 50% owned by multiple venture capital operating companies, hedge funds, private equity firms, or any combination of these.

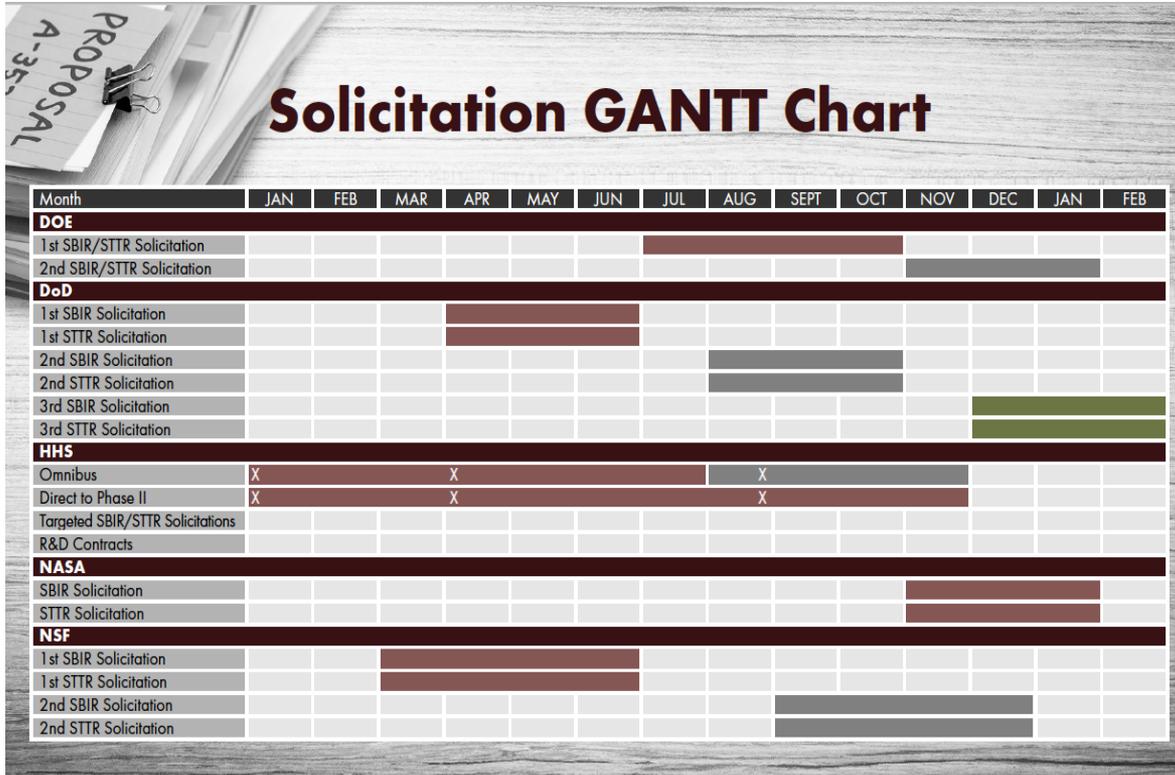


# Principal Investigator (PI)

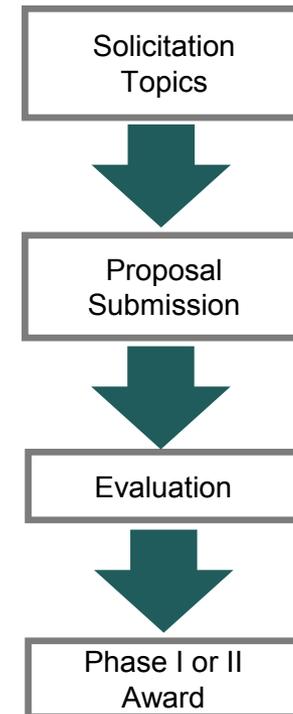
- ▶ Must be employed by the SBC at **time of award (i.e. primary employer)**
- ▶ Principal Investigator (PI) is **not** required to have a Ph.D./M.D.
- ▶ The PI is required to have appropriate expertise to oversee project scientifically and technically
- ▶ Applications **may be** submitted to **different agencies** for similar work
- ▶ Awards may not be accepted from different agencies **for duplicative projects**
- ▶ This is also a grey area as many projects have overlap work so focus needs to be on not charging twice for same work.



# Application Process for SBIR/STTR



## Typical Application Process



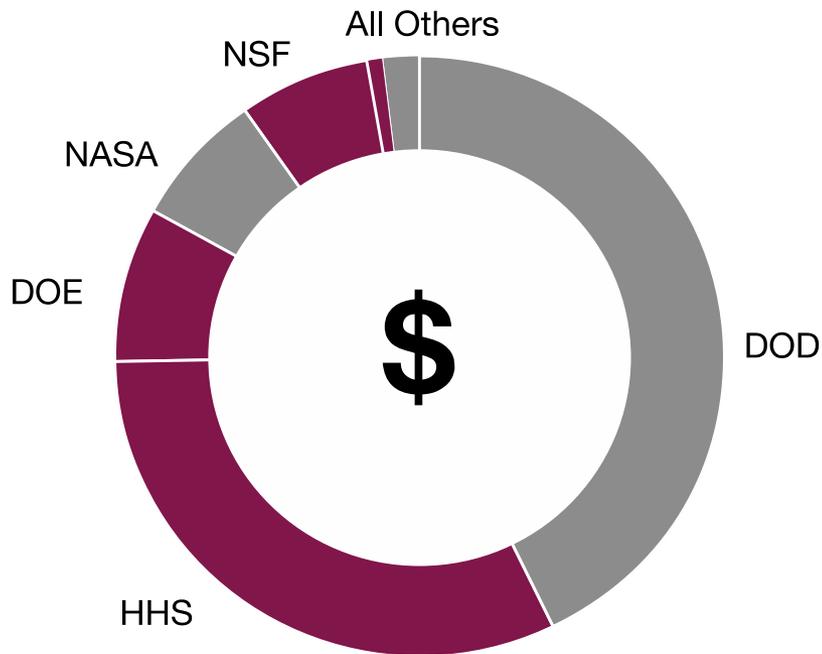
# Required registrations vary by agency

## Required Registrations and Submissions

	NASA SBIR	HHS SBIR	NSF SBIR	DOE SBIR	DOD SBIR
<b>DUNS</b>	X	X	X	X	X
<b>SAM</b>	X	X	X	X	X
<b>Company Registry (SBA.gov)</b>	X	X	X	X	X
<b>EHB [Electronic Handbook]</b>	X				
<b>eRA Commons</b>		X			
<b>Grants.gov</b>		X		X	
<b>NSF FastLane</b>			X		
<b>Portfolio Analysis and Management System (PAMS)</b>				X	
<b>fedconnect.net</b>				X	
<b>Funding Accountability and Transparency Anct Sub-award Reporting System</b>				X	
<b>DoD Submission Website</b>					X

# FY 2015 Distribution of Total SBIR/STTR Budget

## SBIR/STTR Budget by Agency, FY2015



~\$2.5B in FY2015 across all agencies

■ Grants ■ Contracts

Agencies with SBIR and STTR Programs	Budget
Department of Defense (DOD)	\$1.070 B
Department of Health and Human Services (HHS) including the National Institutes of Health (NIH)	\$797.0M
Department of Energy (DOE), including Advanced Research Projects Agency - Energy (ARPA-E)	\$206.1M
National Aeronautics and Space Administration (NASA)	\$180.1M
National Science Foundation (NSF)	\$176.0M
Agencies with SBIR Programs	Budget
U.S. Department of Agriculture (USDA)	\$20.3M
Department of Homeland Security (DHS): Science and Technology Directorate (S&T) and Domestic Nuclear Detection Office (DNDO)	\$17.7M
Department of Commerce: National Oceanic and Atmospheric Administration (NOAA) and National Institute of Standards and Technology (NIST)	\$8.4M
Department of Transportation (DOT)	\$7.9M
Department of Education (ED)	\$7.5M
Environmental Protection Agency (EPA)	\$4.2M

\*NIH also issues contract; within DOC, NIST issues grants and NOAA issues contracts

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SUCCESS STORIES

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Company Listing

**Analytics Dashboard**

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## LEARN ABOUT

- Overview
- Policy Directive
- Authorization Act
- Intellectual Property
- Commercialization Successes

## I'M A(AN)...

- Applicant
- Awardee
- Investor

## I WANT TO...



START A SMALL BUSINESS



REGISTER MY COMPANY



UPDATE MY COMPANY PROFILE/COMMERCIALIZATION



SUBSCRIBE TO SOLICITATION POSTINGS



CONTACT AN SBIR AGENCY



# New Resources for Stakeholders Coming July, 2016

## ▶ Target Audience

- ▶ SBCs interested in learning more about SBIR/STTR [Primarily newbies]
  - ▶ FireFox, Chrome
- ▶ Will be accessed from SBIR.gov
- ▶ Open to everyone
- ▶ Better prepare companies for meetings with Agency personnel
- ▶ Tool for trainers
- ▶ 10 Courses
- ▶ Release: July 1, 2016

The screenshot displays the SBIR/STTR website homepage. At the top, the logo for SBIR/STTR (America's Seed Fund) is visible, along with social media icons and a search bar. The navigation menu includes links for HOME, ABOUT, FUNDING, AWARDS, NEWS, EVENTS, and RESOURCES. The main content area features a large banner for 'ON-LINE TUTORIALS' with a 'Start Learning' button. Below this is a 'COURSES' section with a grid of course tiles: ACCOUNTING & FINANCE, CYBER SECURITY, DATA RIGHTS, PROGRAM BASICS, INDIVIDUAL AGENCY REQUIREMENTS, SBA REGISTRATION, PREPARING PROPOSALS, and SOLICITATION REVIEWS. The footer contains a 'Navigation' menu, 'Follow Us' social media links (Facebook, LinkedIn, YouTube, Twitter), and 'Contact Us' information including a helpdesk support phone number and hours.

# Course List

- ▶ Course 1: Program Basics
- ▶ Course 2: Finding Topics
- ▶ Course 3: Agency Introductions
- ▶ Course 4: Agency Solicitations
- ▶ Course 5: Registration Requirements
- ▶ Course 6: Proposal Preparation
- ▶ Course 7: Finding Partners
- ▶ Course 8 Accounting and Finance
- ▶ Course 9: SBIR Data Rights
- ▶ Course 10: CyberSecurity

# Requests from the SBIR PM's

- ▶ The SBIR PM's need to have a better understanding of
  - ▶ Where the Fraud issues are
  - ▶ How that compares to non SBIR firms
  - ▶ Best practices that help prevent Fraud
  - ▶ Best practices that help identify Fraud
  - ▶ Is there low hanging fruit
  - ▶ Does anyone know what the cost of the Fraud is to the US
  - ▶ Does anyone know what the cost we spend on identifying Fraud and how can we get the biggest bang for the buck
  - ▶ What you would like to see the SBIR PM's do to support your efforts

**Thanks for your Time**

**Contact me for follow up  
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