The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs: Overview and Initiatives

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Office of the Under Secretary (AT&L)

DEPARTMENT OF DEFENSE

DoD Mission:
Protecting you and your families

- Mission: To maintain and employ Armed Forces to support and defend the Constitution of the United States against all enemies, foreign and domestic.
- Key objective: To ensure that the right capabilities, resources, and materiel are rapidly delivered to our Warfighters.

Key challenge: address high cost of acquiring new weapon and support systems and maintaining legacy systems.

USD(AT&L) Goals seek enabling technologies…and robust supplier base

3 Key AT&L Goals:
- Focused Technology to meet Warfighter needs
- Reliable and Cost-effective Industrial Capabilities
- Strategic & Tactical Acquisition Excellence

Small businesses are critical for the Department to provide future technologies to enable priority-critical warfighting capabilities.

DoD SBIR FY 08 Budget

- $270.4M Army
- $262.4M Navy
- $330M Air Force
- $122.7M MDA
- $566.6M DARPA
- $57.1M DTRA
- $6.7M SOCOM
- $57.9M OSD
- $12.6M CBD
- $8.5M NGA
- $2.67M DLA
- $1.05M DMEA

$1.15B DoD Total

DoD STTR FY 08 Budget

- $32.4M Army
- $31.5M Navy
- $40M Air Force
- $14.7M MDA
- $8M DARPA
- $5.3M OSD

$132M DoD Total

SBIR & STTR Budgets Have Grown

- Increasing RDT&E appropriations have driven strong SBIR budget growth.

2008 SBIR Workshop at Stony Brook University, March 20, 2008
SBIR AWARDS - FY 2007

Percentage of Firms Receiving Awards

<table>
<thead>
<tr>
<th>Phase I</th>
<th>Phase II</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-4 Phase I Awards 30%</td>
<td>1-4 Phase I Awards 40%</td>
</tr>
<tr>
<td>5 or more Phase I Awards 18%</td>
<td>5 or more Phase I Awards 39%</td>
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<tr>
<td>Non SBIR Awards 10%</td>
<td>No Prior Phase II Awards 24%</td>
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<tr>
<td>No Prior Phase II Awards 13%</td>
<td>No Prior Phase II Awards 7%</td>
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</table>

Historical Success/Transition Rates


Annual Report Summary: FY 2007 SBIR Program Activity

<table>
<thead>
<tr>
<th>DoD Component</th>
<th>SBIR Budget</th>
<th># Proposals</th>
<th># Ph I Awards</th>
<th># Ph II Awards</th>
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<tbody>
<tr>
<td>Army</td>
<td>$243,003,000</td>
<td>216</td>
<td>2,792</td>
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<td>Navy</td>
<td>$310,924,000</td>
<td>215</td>
<td>2,620</td>
<td>567</td>
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<tr>
<td>Air Force</td>
<td>$327,833,000</td>
<td>409</td>
<td>4,700</td>
<td>517</td>
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<td>DARPA</td>
<td>$70,229,000</td>
<td>87</td>
<td>657</td>
<td>106</td>
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<td>DTRA</td>
<td>$6,744,000</td>
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<td>MDA</td>
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<td>789</td>
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<td>ESPP</td>
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<td>DARPA</td>
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<td>DLA</td>
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<td>ONR</td>
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<td>NASA</td>
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<td>25</td>
<td>0</td>
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<tr>
<td>All DoD</td>
<td>$1,178,050,000</td>
<td>1,127</td>
<td>12,424</td>
<td>1,982</td>
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DoD 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

SBIR/STTR: Small Piece of R&D Pie

SBIR and STTR are a small percentage of the total extramural R&D budget, but is where small businesses demonstrate their capability to meet federal R&D needs.

Total Extramural R&D Budget
Key Technology Areas: Focus of SBIR Investments

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

SOLICITATION SCHEDULE

- SBIR 08.1 Open December 10, 2007 Close January 9, 2008 at 6am EST
- SBIR 08.2 Open May 19, 2008 Close June 18, 2008 at 6am EST
- SBIR 08.3 Open August 25, 2008 Close September 24, 2008 at 6am EST
- STTR 08.A Open February 19, 2008 Close March 19, 2008 at 6am EST
- STTR 08.B Open August 25, 2008 Close September 24, 2008 at 6am EST

WEBSITE: www.dodsbir.net

ELECTRONIC PROPOSAL SUBMISSION

TIPS FOR GETTING TO PHASE II

- Work very closely with the topic author/monitor to understand their needs and requirements.
- Stay in regular contact with your program manager to ensure the project is meeting the milestones.
- Know who makes Phase II decisions and make sure they know about your progress.
- Provide regular updates to your customers and stakeholders.
- Ensure all paperwork is filled out correctly and submitted on time.

The Submission Site's Main Menu allows registered firms to prepare and submit Phase I and Phase II proposals, update their Company Commercialization Report and Firm Information, prepare a Fast Track application and prepare a Final Report Documentation Page.
SUCCESS STORIES

Small Arms Protective Inserts (SAPI)

Phraselator: hand-held phrase translation system

World’s first whole-spacecraft vibration isolation system

QC-40 DSP board, which launched on Mighty-SatII Spacecraft

Commercially-viable method for improved semiconductor wafer production

Multi-Purpose Processor (MPP) and associated Multi-Purpose Transportable Middleware (MTM)

QUESTIONS?

Contact the
DoD SBIR/STTR Help Desk

866-724-7457
www.dodsbir.net/helpdesk

SUCCESS STORIES