



# DOD SBIR/STTR PROGRAM SUMMARY

**PROGRAM MISSION:** The mission of the DoD SBIR/STTR Program is to help SBIR/STTR companies quickly create and deliver cost-effective innovations that will sustain America’s technological superiority over adversaries.

## SBIR/STTR PROGRAM OVERVIEW

The **Small Business Innovation Research (SBIR) Program** was established by Congress in 1982 to fund Research and Development (R&D) through small businesses of less than 500 employees. Eligible projects must serve a Department of Defense (DoD) R&D need and have potential to develop into a product or service for commercial and/or defense markets. The DoD SBIR Program is part of a larger Federal SBIR Program administered by the Small Business Administration (SBA).

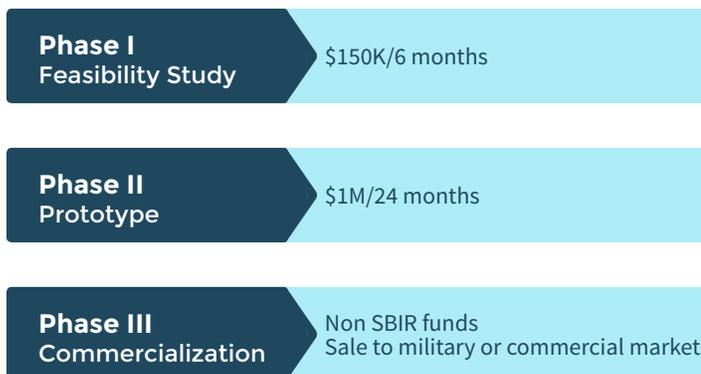
Congress established the **Small Business Technology Transfer (STTR) Program** in 1992. It is similar in structure to SBIR and funds cooperative R&D projects with small businesses in partnership with not-for-profit research institutions (such as universities) to move research to the marketplace.

## PROGRAM GOALS

**SBIR/STTR** goals are designed to:

- Stimulate technological innovation in private sector
- Use small business to meet federal research and development needs
- Encourage participation by socio-economically disadvantaged firms
- Fund cooperative R&D between small businesses and research Institutions
- Bridge funding gap between basic research and the commercial marketplace

## PROGRAM STRUCTURE



## WHO’S ELIGIBLE?

### SBIR

- Small businesses with 500 or fewer employees
- Independently owned and operated for profit
- Have its principal place of business in the U.S.
- Be at least 51% owned by U.S. citizens or lawfully admitted permanent resident aliens
- The primary employment of the principal investigator must be with the small business
- A minimum of 2/3 of the research work must be performed by the proposing firm in Phase I and 1/2 in Phase II

### STTR

- Small businesses with 500 or fewer employees; there is no size limit on the research institution
- Partnership with a U.S. research institution
- 40% of work performed by small business
- 30% of work performed by research institution
- Small business must manage and control the STTR funding agreement
- Principal investigator may be employed at the small business or research institution

## HOW ARE PROPOSALS EVALUATED?

Government scientists and engineers who are experts in a particular area review the proposals and evaluate them based on:

- Soundness, technical merit and innovation of approach
- Qualifications of the principal investigators and supporting staff
- Potential for government or private sector application

## DOD SBIR/STTR BY THE NUMBERS





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*“Because acquiring funding through traditional lending sources continues to prove difficult in today’s tight credit market, SBIR/STTR provides tech start-up companies another viable chance to compete for early-stage funding.”*

–CONNECT, University of California

## HOW DO I PARTICIPATE?

Each year, the DoD issues **three** SBIR solicitations and **three** STTR solicitations which identify hundreds of topics from DoD components that represent serious scientific and technical needs requiring innovative solutions.

SBIR 16.1 STTR 16.A	SBIR 16.2 STTR 16.B	SBIR 16.3 STTR 16.C
Pre-Release 12/11/15	Pre-Release 4/22/16	Pre-Release 8/26/16
Open 1/11/16	Open 5/23/16	Open 9/26/16
Close 2/17/16	Close 6/22/16	Close 10/26/16

Topics are available at: <https://sbir.defensebusiness.org>

## PARTICIPATING DEFENSE AGENCIES

- Department of Army (ARMY)
- Department of Navy (NAVY)
- Department of Air Force (Air Force)
- Missile Defense Agency (MDA)
- Defense Advanced Research Projects Agency (DARPA)
- Defense Threat Reduction Agency (DTRA)
- Defense Health Program (DHP)
- Special Operations Command (SOCOM)
- Chemical and Biological Defense (CBD)
- Defense Logistics Agency (DLA)
- Defense Microelectronics Agency (DMEA)
- National Geospatial Intelligence Agency (NGA)

## BENEFITS OF THE PROGRAM

- DoD is the largest Federal SBIR Program
- DoD is both the investor and customer
- Safe way to conduct high-risk R&D
- Establish credibility with the marketplace and potential investors
- Largest source of funding for R&D to small business
- Potential to receive \$1M+ in seed funding
- Retain intellectual property rights for 5 years after contract ends
- Enhance our national defense capabilities and economic strength

## BEYOND PHASE II

Phase III work may be for products, production, services, R/R&D, or any combination thereof, including testing and evaluation of products, services or technologies for use in technical or weapon systems. DoD Supports the transitioning of SBIR Investments through:

- Commercialization Readiness Program (CRP)
- SBIR Liaisons to Acquisition Programs
- DoD Beyond Phase II Technology Showcase
- Phase II Enhancement Program
- Direct To Phase II Pilot Program
- Rapid Innovation Fund (RIF)

## SMALL BUSINESS RESOURCES

- <https://sbir.defensebusiness.org>
- [www.sba.gov](http://www.sba.gov)
- [www.sbir.gov](http://www.sbir.gov)
- [www.fedbizopps.gov](http://www.fedbizopps.gov)

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