

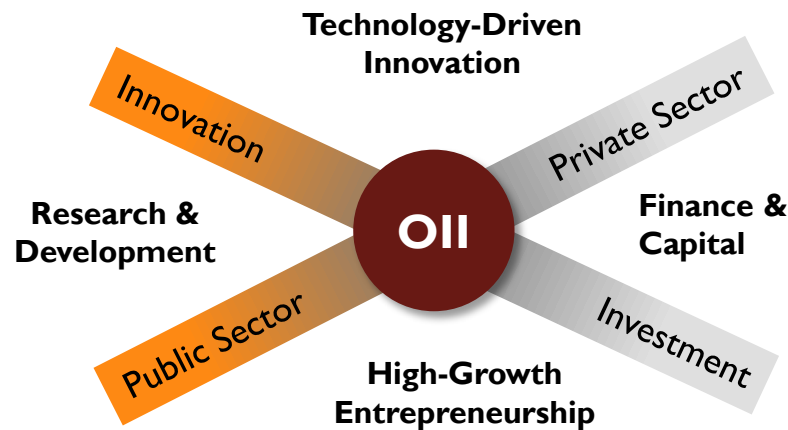
**SBA Office of Investment & Innovation
SBIR-STTR Presentation**

SBA-HQ | MARCH 2016



Office of Investment and Innovation (OII)

- ▶ SBA's Office of Investment and Innovation (OII) leads programs that provide the high-growth, small business community with access to financial capital and R&D funds to develop commercially viable innovations.
- ▶ Our work is underpinned by public-private partnerships that operate on or along a dynamic and economically important intersection.



Office of Investment and Innovation

- ▶ **Small Business Investment Company (SBIC) Program** delivers access to financial capital
 - ▶ \$4 billion authorization per year
 - ▶ \$23.78 billion of assets under management
 - ▶ 299 active SBICs
- ▶ **Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs**
 - ▶ Supports R&D and financing of cutting edge technologies
 - ▶ \$2.5 billion annual set aside
 - ▶ ~145,000 awards granted
 - ▶ ~10 patents per day
- ▶ **Innovation** – Supports the American high growth entrepreneurial ecosystem
 - ▶ \$4M Accelerator Program
 - ▶ Start-Up America
 - ▶ Demo Days
 - ▶ Crowdfunding

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**

History and Impact of the SBIR/STTR Programs



- ▶ SBIR was created by Roland Tibbetts at the National Science and signed as a Federal wide program in 1982 by Ronald Reagan
- ▶ SBIR programs have awarded over \$40 billion to research-intensive American small businesses
- ▶ The 450,000 engineers and scientists involved are one of the largest STEM talent concentrations in the world
- ▶ Key catalysts for thousands of small businesses

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 (FY 2015 ~2.0 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%

Agencies that Participate in the SBIR program

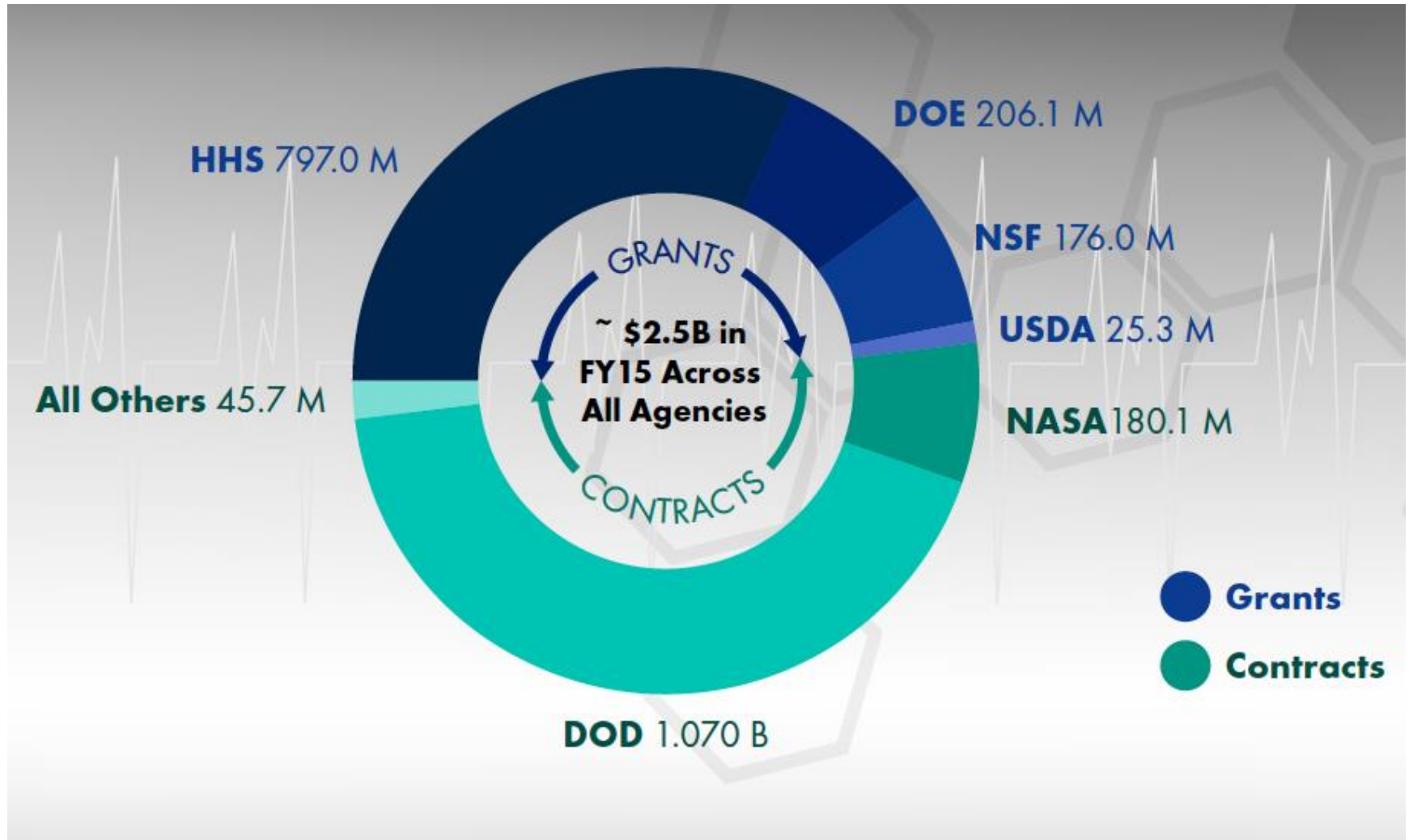
- ▶ Department of Agriculture (USDA)
- ▶ Department of Commerce (DoC)
- ▶ Department of Defense (DoD)
- ▶ Department of Education (ED)
- ▶ Department of Energy (DOE)
- ▶ Department of Health and Human Services (HHS)
- ▶ Department of Homeland Security (DHS)
- ▶ Department of Transportation (DOT)
- ▶ 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
- ▶ 0.35% of the extramural research budget (>\$250 million) for all agencies with a budget greater than \$1B per year. Growing to 0.45% by 2017

	SBIR	STTR
Phase I duration	6 months	12 months
# participating agencies	11	5
Size Phase I award	Up to \$150,000	Up to \$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

FY15 Combined SBIR/STTR budget



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
- Biogen
- Made in Space
- Natel Energy
- Intuitive Surgical
- Orbital ATK

SBIR/STTR is a gated process - with three Phases



Requires a solid team!

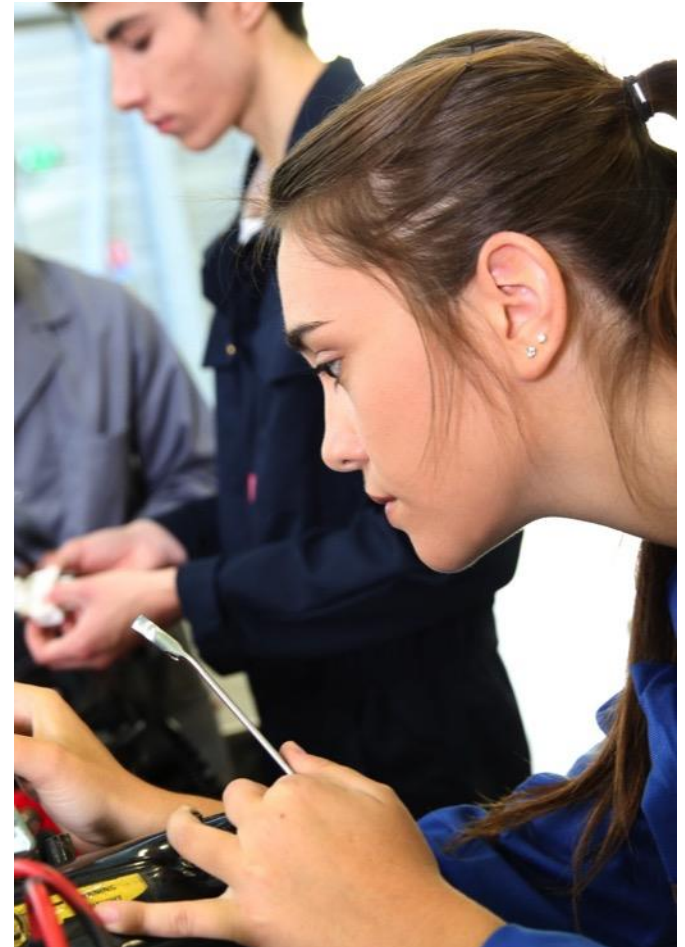
Eligibility Criteria

- ▶ 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.

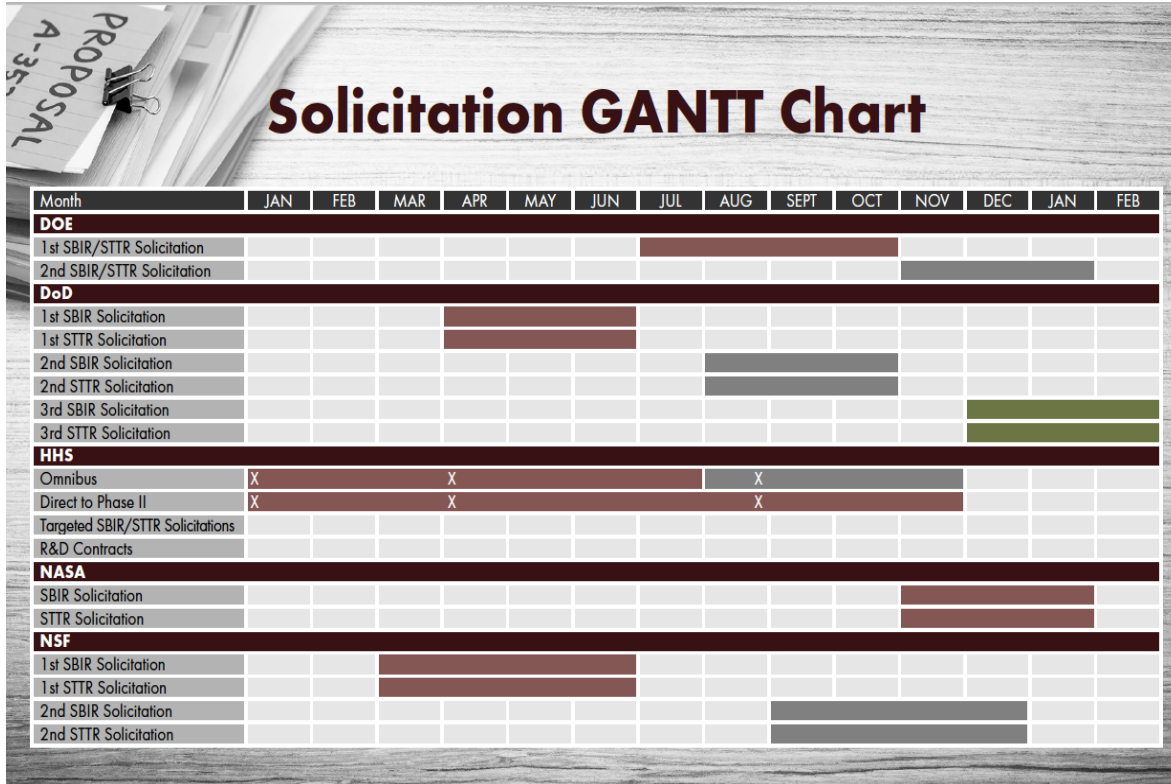


Principal Investigator (PI)

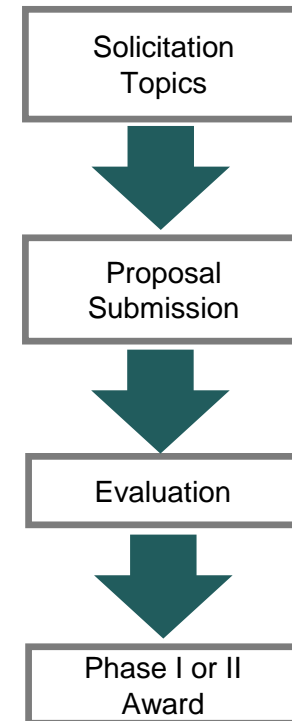
- ▶ Must be employed by the SBC at **time of award**
- ▶ Principal Investigator (PI) is **not** required to have a Ph.D./M.D.
- ▶ The PI is required to have appropriate expertise to oversee project scientifically and technically
- ▶ Applications **may be** submitted to **different agencies** for similar work
- ▶ Awards may not be accepted from different agencies **for duplicative projects**



Application Process for SBIR/STTR



Typical Application Process



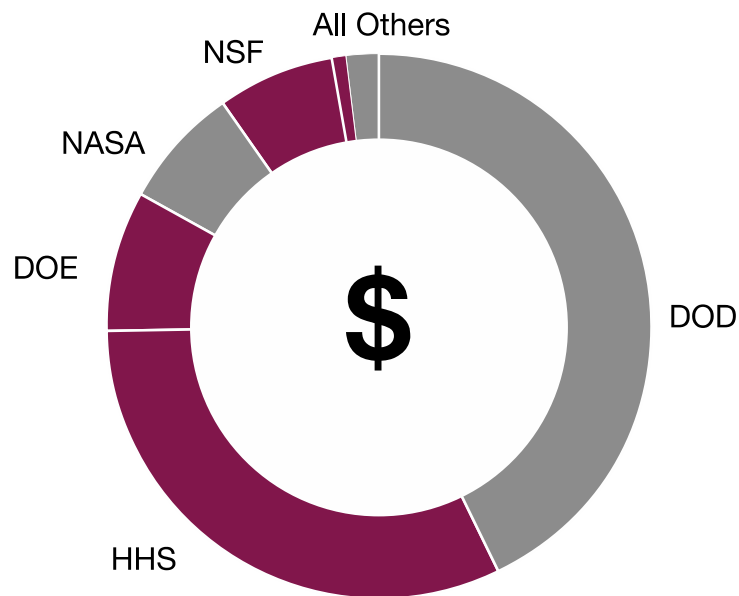
Required registrations vary by agency

Required Registrations and Submissions

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

FY 2015 Distribution of Total SBIR/STTR Budget

SBIR/STTR Budget by Agency, FY2015



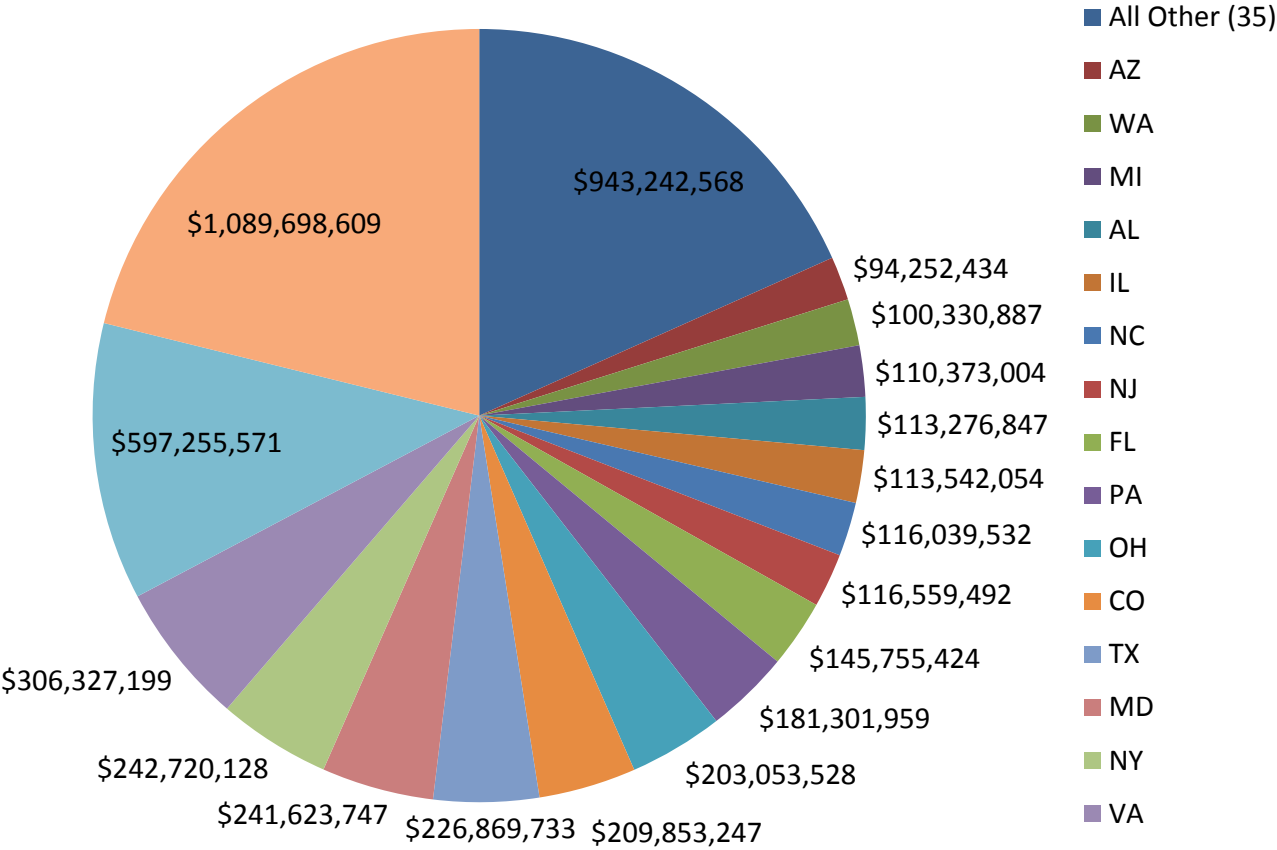
~\$2.5B in FY2015 across all agencies

■ 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

Snapshot Across the US for the Past 4 Fiscal Years



Top total award dollars went primarily to 10 states:
 CA, MA, VA, NY, MD, CO, PA, TX, OH and FL



Pertinent Resources for Stakeholders

- ▶ SBIR Website: www.sbir.gov
- ▶ Archive Listing of Relevant Webinars
 - ▶ <https://www.sbir.gov/events/webinars/past>
- ▶ SBIR Road Tour Website: <http://www.sbirroadtour.com/>
- ▶ SBIR/STTR Solicitation Listing:
 - ▶ <https://www.sbir.gov/solicitation-listing/open>
- ▶ Global Innovation Exchange:
 - ▶ <http://www.globalinnovationexchange.org/about-exchange>

New Resources for Stakeholders Coming July, 2016

Train the Trainer

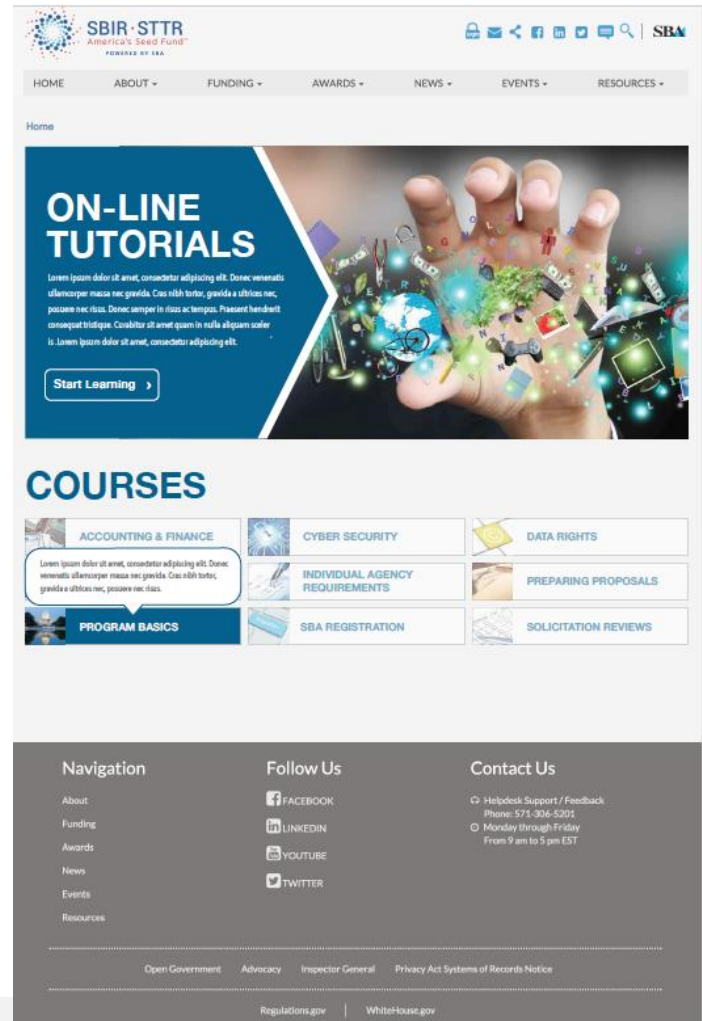
Target Audience: PTACs, SBDCs, Accelerators – minimum knowledge of SBIR/STTR programs



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 interface. At the top, the logo reads "SBIR · STTR America's Seed Fund" with "FUNDED BY SBA" below it. A navigation bar 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 ten topics: ACCOUNTING & FINANCE, CYBER SECURITY, DATA RIGHTS, INDIVIDUAL AGENCY REQUIREMENTS, PREPARING PROPOSALS, PROGRAM BASICS, SBA REGISTRATION, 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. At the very bottom, there are links for Open Government, Advocacy, Inspector General, Privacy Act, Systems of Records Notice, Regulations.gov, and Whitehouse.gov.

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