



# General Overview: SBA Office of Investment & Innovation

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# Mission of the SBIR and 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 ”

# 4 Goals of the 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**



- **SBIR was created by Roland Tibbetts at the National Science Foundation and signed as a Federal-wide program in 1982 by Ronald Reagan**
- **SBIR programs have awarded over \$43 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 tens of 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 (FY2015 ~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
2.5%	2.6%	2.7%	2.8%	2.9%	3.0%	3.2%

# The 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
- 0.4% of the extramural research budget (> \$250M) for all agencies with a budget greater than \$1B per year.  
Growing to 0.45% by 2017



# 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)**

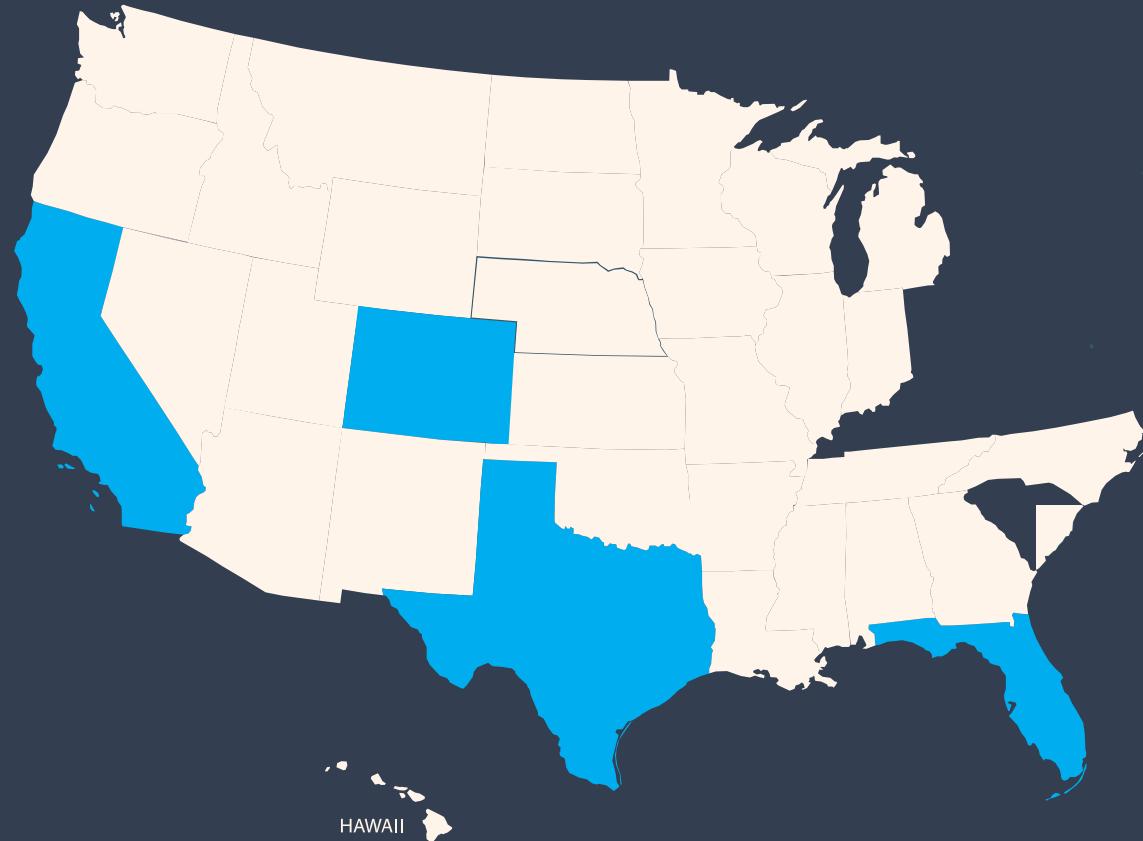
# Who Qualifies as a Small Business?

- Organized as for-profit U.S. business
- 500 or fewer employees including affiliates
- Work must be done in the U.S. (with few exceptions)
- Greater than 50% U.S.-owned by individuals and independently operated with some exceptions



# Top total award dollars went primarily to 10 states

- California
- Massachusetts
- Virginia
- New York
- Maryland
- Colorado
- Pennsylvania
- Texas
- Ohio
- Florida

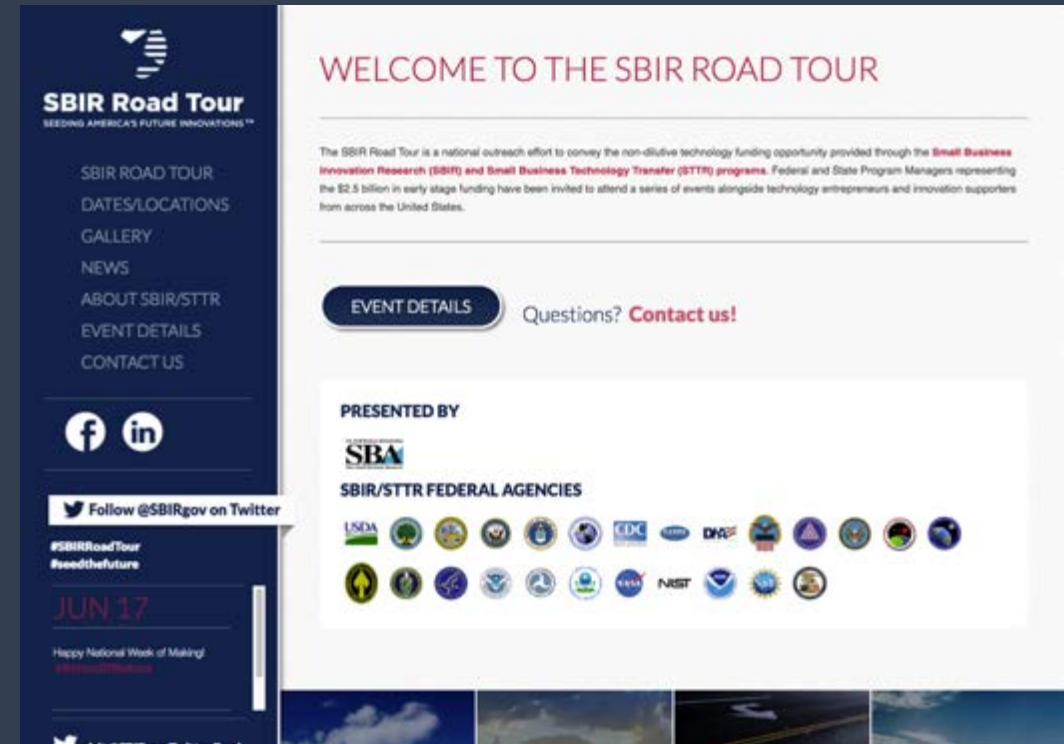


# SBIR Website



 [www.sbir.gov](http://www.sbir.gov)

# SBIR Road Tour



 [www.sbirroadtour.com](http://www.sbirroadtour.com)





# NASA's SBIR/STTR Program

Ramsey Smith, Ph.D.

Center Lead

SBIR/STTR Program

NASA Goddard Space Flight Center



# NASA SBIR/STTR Program Overview



NASA's SBIR/STTR Annual Budget - \$150-\$180M

- Topics/Subtopics developed to:
  - Support the needs of NASA's Mission Directorates
  - To support mid- to long-term technology development needs identified in NASA's "Space Technology Roadmaps", Science Decadal Surveys or the National Aeronautics R&D Plan
- All SBIR/STTR projects are managed at one of NASA's 10 Centers

# NASA MISSION DIRECTORATES



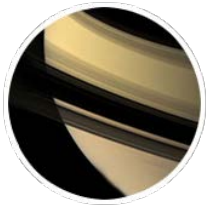
## **Aeronautics Research**

Enabling a safer, more secure, efficient, and environmentally friendly air transportation system.



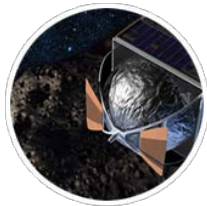
## **Human Exploration and Operations**

Operating the International Space Station and prepare for the human exploration beyond low Earth orbit.



## **Science**

Exploring the Earth-Sun system, our own solar system, and the universe beyond.



## **Space Technology**

Developing the crosscutting, advanced and pioneering new technologies needed for current and future missions, benefiting the aerospace industry and other agencies, and addressing national needs.

# Understanding NASA Needs



- Visit each of the NASA centers website
  - Learn the current technical interest of each center
- Visit each Mission Directorate's website
  - Learn what projects, programs, and research each mission directorate is supporting
  - Remember that programs/projects are your future customers  
... so Target them
- Visit the Office of the Chief Technologist website
  - Learn what technology is being researched
- Visit the SBIR website
  - Become familiar with past solicitation
  - Learn what types of topics and subtopics NASA is looking for help
  - Visit <http://sbir.nasa.gov>





## NASA Technology Available (TAV) and Intellectual Property (IP)

- NASA's IP and non-patented software is available for use during an SBIR/STTR performance period
- A non-exclusive, royalty free research license is available during the performance period
- Software identified and requested under a SBIR/STTR contract must request a Software Usage Agreement
- Increase private-sector commercialization of innovations derived from Federal research and development funding
- TAV and IP can be found at  
<http://technology.nasa.gov>



- Report Technology through a NASA New Technology Report
- Keep an open line of communication with your Contracting Officer's Representative (COR) or Technical Monitor
- Stay current with NASA's technology needs/gaps and our future missions/projects/experiments
- Report growth in employees, subsequent awards or contracts and commercialization

# Post-Phase II Awards



Phase II-E	Minimum non-SBIR/STTR Funding Required for Eligibility for Matching in Phase II-E	Corresponding SBIR/STTR Program Contribution	Anticipated Period of Additional Performance
	\$25,000	\$25,000	6-12 Months
	Maximum non-SBIR/STTR Funding to be Matched by SBIR/STTR Program in Phase II-E	Corresponding SBIR/STTR Program Contribution	Anticipated Period of Additional Performance
	\$125,000	\$125,000	6-12 Months

For Additional information

<http://sbir.nasa.gov/content/post-phase-ii-initiatives#Phase-II-E-2016-2>