General Overview:
SBA Office of Investment & Innovation

Presentation Courtesy of G. Nagesh Rao, Chief Technologist, Nagesh.Rao@sba.gov
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

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 2011</td>
<td>2.5%</td>
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<tr>
<td>FY 2012</td>
<td>2.6%</td>
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<tr>
<td>FY 2013</td>
<td>2.7%</td>
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<tr>
<td>FY 2014</td>
<td>2.8%</td>
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<tr>
<td>FY 2015</td>
<td>2.9%</td>
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<tr>
<td>FY 2016</td>
<td>3.0%</td>
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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
NASA’s SBIR/STTR Program

Ramsey Smith, Ph.D.
Center Lead
SBIR/STTR Program
NASA Goddard Space Flight Center
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
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’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
Performance Period

- 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
## Phase II-E

### Minimum non-SBIR/STTR Funding Required for Eligibility for Matching in Phase II-E

<table>
<thead>
<tr>
<th>Phase II-E</th>
<th>Corresponding SBIR/STTR Program Contribution</th>
<th>Anticipated Period of Additional Performance</th>
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<td>$25,000</td>
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### Maximum non-SBIR/STTR Funding to be Matched by SBIR/STTR Program in Phase II-E

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**For Additional information**

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