

# Department of Defense (DoD)

## Small Business Innovation Research (SBIR)

## Small Business Technology Transfer (STTR)

### Program Overview

### SBTDC Webinar



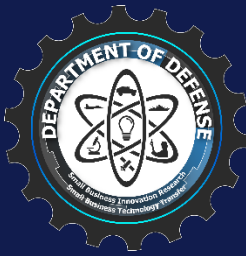
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Ms. Susan Celis  
Director, Defense SBIR/STTR Program Office  
Office of the Secretary of Defense for Research & Engineering  
Washington, DC  
9 February 2023



# *Reauthorization Updates*

- At the close of fiscal year 2022, the future of the SBIR/STTR programs was uncertain. However, thanks to a lot of hard work and support from SBIR/STTR colleagues across the Department, our Federal partners, and the small business community, the SBIR/STTR programs prevailed, and Congress passed the SBIR/STTR Extension Act of 2022 on September 30, 2022.
- The SBIR/STTR Extension Act of 2022, which amends the Small Business Act (15 U.S.C. Section 638), includes eight new requirements that must be implemented. Foreign Risk Management, Agency Recovery Authority and Ongoing Reporting, Program on Innovation Open Topics, Increased Minimum Performance Standards for Experienced Firms, and Prohibition Against Writing Solicitation Topics requirements will be of primary interest to small businesses that participate in the SBIR/STTR programs. The full bill text is available at <https://www.congress.gov/bill/117th-congress/senate-bill/4900/text>.
  - **Sec. 4. Foreign Risk Management**
  - **Sec 5. Agency Recovery Authority and Ongoing Reporting**
  - Sec 6. Report on Adversarial Military and Foreign Influence in the SBIR and STTR Programs
  - **Sec. 7. Program on Innovation Open Topics**
  - **Sec. 8. Increased Minimum Performance Standards for Experienced Firms**
  - **Sec. 9. Prohibition Against Writing Solicitation Topics**
  - Sec. 10. GAO Study on Multiple Award Winners
  - Sec. 11. GAO Report on Subcontracting in SBIR and STTR Programs



## *Sec. 4. Foreign Risk Management*

The head of each Federal agency required to establish an SBIR or STTR program, in coordination with the Administrator, shall establish and implement a due diligence program to assess security risks presented by small business concerns seeking a federally funded award. Since October 1, 2022, our primary focus has been establishing and implementing this requirement by the end of June 2023, which is the statutory deadline.

- DoD plans to implement SBA's SBIR/STTR Disclosure Form once finalized through the Federal Register Notice process SBIR/STTR Due Diligence Tiger Team established Oct 27, 2022, with DoD-wide representation.

The approach is to implement a Department-wide program that applies a common, and scalable risk-based framework that ensures consistent outcomes for the Department and small businesses. To that end, we will communicate how these new requirements will impact the Department's SBIR/STTR programs and the small business community through our newsletter, our website and focused announcements from our Listserv.

- Four Levels of Effort (LOEs):
  - LOE 1: Overall Due Diligence Framework
  - LOE 2: Review Process
  - LOE 3: Solicitation/Contract Modifications
  - LOE 4: Education
- 30-day Briefings to Congress started on December 1<sup>st</sup>



# SBIR / STTR Program Phases

Phase	SBIR/STTR	
Phase I (optional)	\$275,500 cap (~10 months) Feasibility Study	
Phase II*	\$1,838,436 cap (24-36 months) Adoptions/Co-funds Continued Research and Prototype	
Phase II Enhancement	\$1:\$1 Match (up to 12 months) Up to \$500K	
Phase III	No time limit No SBIR funds	
	SBIR	STTR

**Eligibility in a nutshell:**

**MUST be more than 50% owned by US citizens.**

**MUST be located and operated in the US.**

**MUST be 500 employees or less, including affiliates.**

**[www.sba.gov/size](http://www.sba.gov/size)**

### Program Differences

- A minimum of 2/3 of the research/work must be performed by the proposing Small Business in Phase I
- A minimum of 1/2 of the research/work must be performed by the proposing Small Business in Phase II
- Primary employment of the Principal Investigator must be employed by the small business
- **Small Businesses MUST partner with a U.S. Research Institution**
- At least 40% of the work must be performed by the proposing Small Business
- At least 30% of the work must be performed by the Research Institution
- Small Businesses must manage and control the STTR funding agreement
- Principal Investigator may be employed at either the Small Business or the Research Institution

\*Phase II values can exceed these numbers if funds are available and by using a simple waiver process.



# Announcement Schedule

## DoD Agency-wide announcement includes:

- DoD Instructions
- Service/Component Unique Instructions
- Topics

## Note:

- Not all Components participate in each announcement.
- Multiple announcements provide opportunities to participate throughout the fiscal year.
- Although the announcement may be referred to as a “SBIR,” or possibly as a “SBIR topic,” the actual request for proposals may be a Broad Agency Announcement (BAA) or—a Commercial Solutions Opening (CSO).

**SBIR 23.1  
STTR 22.A**

Pre-Release  
January 11, 2023

Open  
February 8, 2023

Close  
March 8, 2023

**SBIR 23.2  
STTR 23.B**

Pre-Release  
April 19, 2023

Open  
May 17, 2023

Close  
June 14, 2023

**SBIR 23.3  
STTR 23.C**

Pre-Release  
August 23, 2023

Open  
September 20, 2023

Close  
October 18, 2023

Note: Dates are subject to change.

**Annual SBIR/STTR BAA has replaced out-of-cycle BAAs. Topics are released under the annual BAA when a component needs to publish topics outside of the three DoD SBIR/STTR BAA cycles shown.**



# *Helpful Websites*

- SBA SBIR/STTR - <https://www.sbir.gov/about>
- Defense SBIR/STTR Innovation Portal (DSIP) - <https://www.dodsbirsttr.mil/submissions>
- DoD SBIR/STTR - <https://www.defensesbirsttr.mil/>
- System for Award Management (SAM) registration - [www.sam.gov](http://www.sam.gov)
- Export Control - [https://www.pmddtc.state.gov/ddtc\\_public](https://www.pmddtc.state.gov/ddtc_public)
- Historically Black Colleges and Universities and Minority Institutions (HBCU/MI) - <http://www.ed.gov/about/offices/list/ocr/edlite-minorityinst.html>
- Federally Funded Research and Development Centers - <https://www.nsf.gov/statistics/ffrdclist/>
- National Institutes of Health Guidelines for Research Involving Recombinant DNA Molecules - [https://osp.od.nih.gov/wp-content/uploads/2016/05/NIH\\_Guidelines.pdf](https://osp.od.nih.gov/wp-content/uploads/2016/05/NIH_Guidelines.pdf)
- Defense Counterintelligence and Security Agency (DCSA) facility and personnel clearance procedures and requirements - <https://www.dcsa.mil/mc/ctp/fc/>
- Invention Reporting - [www.iedison.gov](http://www.iedison.gov)
- Technical Reporting - <https://discover.dtic.mil/submit-documents/>
- Defense Contract Audit Agency - <https://www.dcaa.mil/Guidance/Audit-Process-Overview/>
- Procurement Technical Assistance Centers - <https://www.aptac-us.org/>



# Get in Touch

Visit: <https://www.defensesbirsttr.mil/> for more information.

Visit: <https://www.dodsbirsttr.mil/submissions/login> to subscribe to our ListServ.

Questions? Contact us!



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