

DoD SBIR/STTR Commercialization of University Innovations



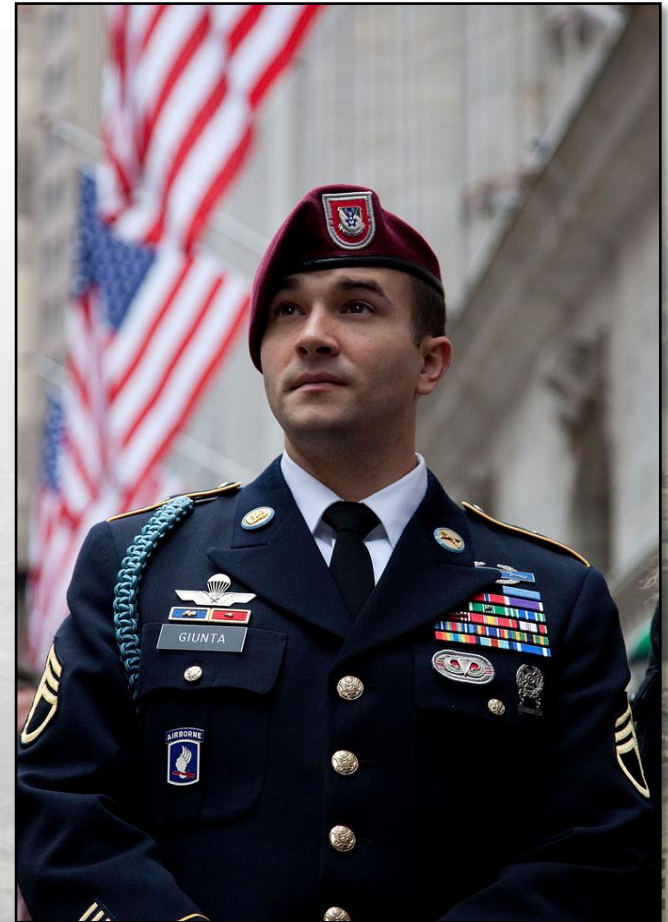
**Briefing to:
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University Symposium
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What is unique about the DoD SBIR and STTR Program?

- **Focused on the WARFIGHTER**
- **LARGEST SBIR & STTR programs in the Federal Government**
- **DoD is a Procurement Agency**



**Congressional Medal of Honor
recipient U.S. Army Staff Sergeant
Salvatore A. Giunta**



DoD Component Participation

SBIR + STTR Programs



Army



Navy



Air Force



Missile Defense Agency



Assistant Secretary of Defense (Research & Engineering)



Defense Advanced Research Projects Agency

SBIR Only Programs



Joint S&T Office for Chemical and Biological Defense



Special Operations Command



Defense Threat Reduction Agency



Defense Logistics Agency



Defense Microelectronics Activity



National Geospatial Intelligence Agency



Defense Health Program



DoD SBIR/STTR Overview

SBIR

>**\$100M** to set-aside **2.7%**

- \$903M budget (FY13)
- 3 annual solicitations
- 575 topics
- 9,167 proposals
- 1,720 Phase I awards
- 879 Phase II awards

STTR

>**\$1B** to set-aside **0.35%**

- \$110M (FY13)
- 2 annual solicitations
- 96 topics
- 1,198 proposals
- 254 Phase I awards
- 108 Phase II awards



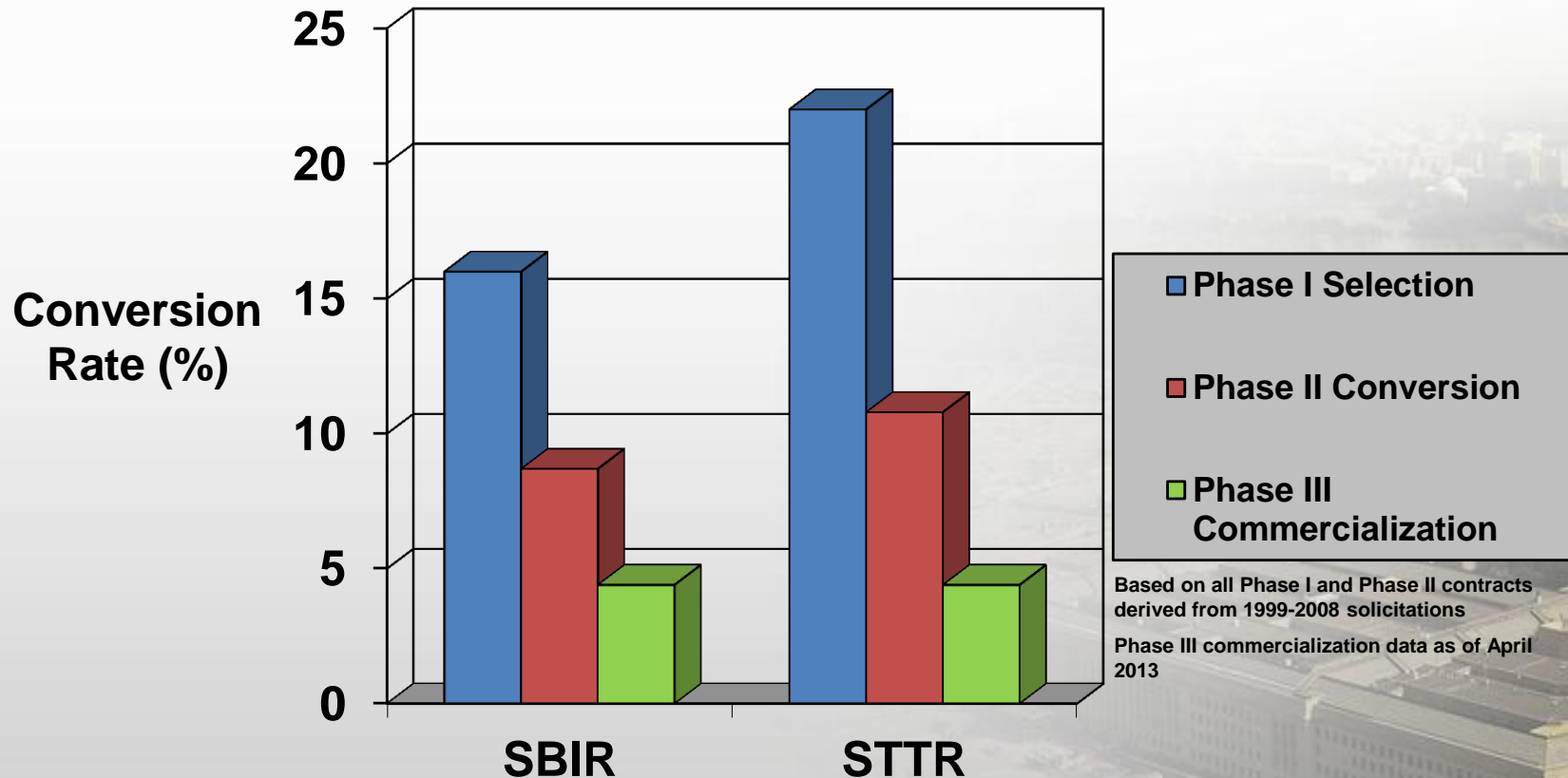
DoD is a Procurement Agency

- **Topics**
- **Contracts versus Grants**
- **Company Commercialization Report (CCR)**
- **Commercialization Achievement Index (CAI)**
- **Goals and Incentives**
- **Beyond Phase II Conference**





DoD SBIR/STTR Historical Conversion Rates



DoD SBIR & STTR is a competitive process, but participants have reasonable success



DoD STTR Investment in University Technologies

- **Universities are #1 STTR Partner**

Phase I:

88% Universities
4.3% FFRDC
28% Small Businesses
6% Large Businesses
5% Nonprofit
2% Other

Phase II:

83% Universities
5.5% FFRDC
37% Small Businesses
6% Large Businesses
4% Nonprofit
5% Other

- **Min 30% of STTR effort must be performed by the Research Institution (~\$34M for FY13)**



Leading Research Institutions Participating in STTR Phase II Awards

Penn State University	3.5%	Johns Hopkins University	1.2%
Georgia Institute of Technology	3.0%	Arizona State University	1.2%
MIT	2.6%	U of California, Santa Barbara	1.1%
University of Colorado	2.3%	University of Texas at Austin	1.1%
Virginia Tech	2.2%	University of Wisconsin	1.0%
UNIV. OF ILLINOIS	2.1%	University of Delaware	1.0%
University of Michigan	1.9%	Carnegie Mellon University	1.0%
Purdue University	1.8%	University of Minnesota	0.9%
STANFORD UNIV.	1.8%	Jet Propulsion Laboratory	0.9%
Cornell University	1.8%	University of Iowa	0.9%
University of Arizona	1.7%	University of Washington	0.9%
University Of Central Florida	1.7%	U of California, Berkeley	0.8%
Northwestern University	1.7%	Stony Brook University	0.8%
University of Maryland	1.6%	George Mason University	0.8%
University of California, San Diego	1.6%	Rensselaer Polytechnic Institute	0.8%
UCLA	1.6%	Iowa State University	0.8%
Ohio State University	1.5%	Duke University	0.8%
University of Southern California	1.5%	Stanford Research Institute	0.8%
University of Florida	1.3%	University of New Mexico	0.8%



DoD SBIR Investment in University Technologies

Teaming Partners:

Phase I

18% Universities
0.5% FFRDC
19% Small Businesses
11% Large Businesses
2% Nonprofit
4% Other

Phase II

14% Universities
0.1% FFRDC
22% Small Businesses
20% Large Businesses
3% Nonprofit
6% Other

Approximately 50% of all SBIR proposals report teaming arrangements



Discussion Points

- **What's best for transitioning University technologies to DoD?**
 - University Small Business Spin Out, OR
 - Subcontracting to University
- **Would combining STTR with SBIR facilitate the program?**
 - SBIR and STTR teaming arrangements are similar
 - New legislation allows cross-over
 - Minimize administrative burden