

DoD SBIR/STTR Commercialization of University Innovations



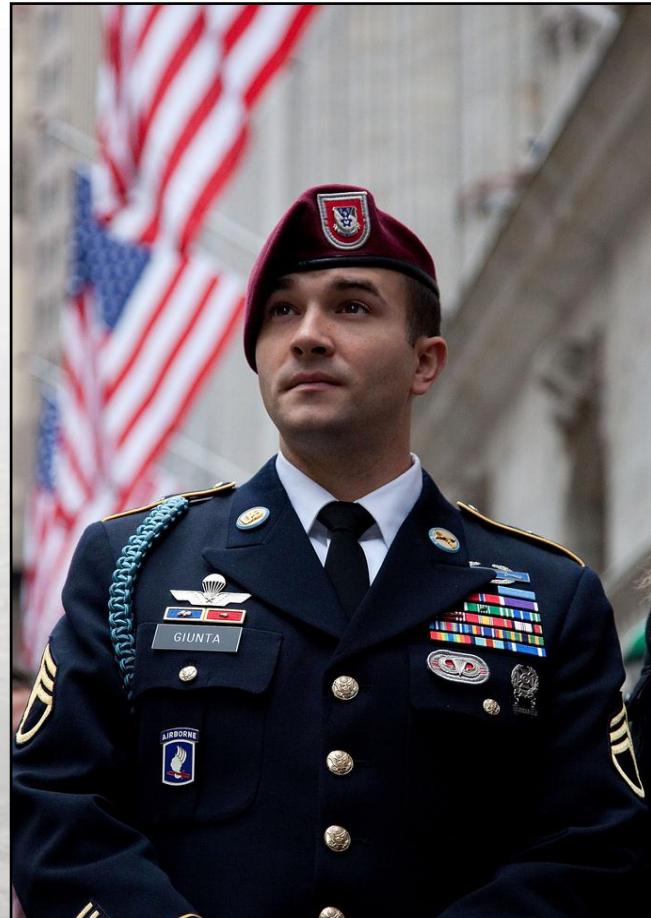
Briefing to:
National Academy of Science (NAS)
University Symposium
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What is unique about the DoD SBIR and STTR Program?

- **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

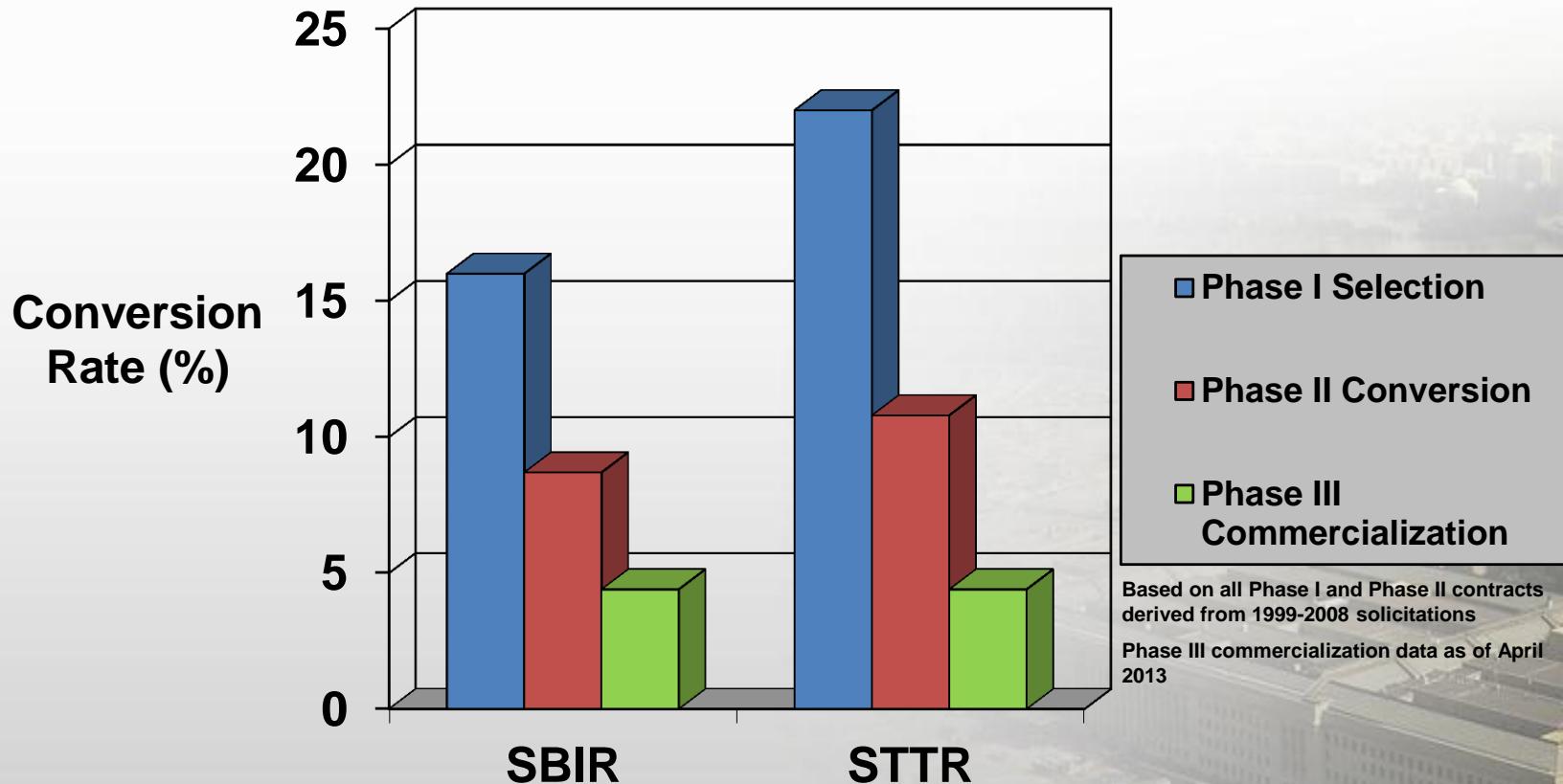
- Topics
- Contracts versus Grants
- Company Commercialization Report (CCR)
- Commercialization Achievement Index (CAI)
- Goals and Incentives
- Beyond Phase II Conference





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