

DoD Small Business Technology Transfer (STTR) Program



Briefing to:
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STTR Legislation



Similar to SBIR:

- Federally mandated as an assessment of extramural RDT&E (0.4% as of 2015)
- Small research firms (<500 employees)
- Must be 51% owned by US Citizen

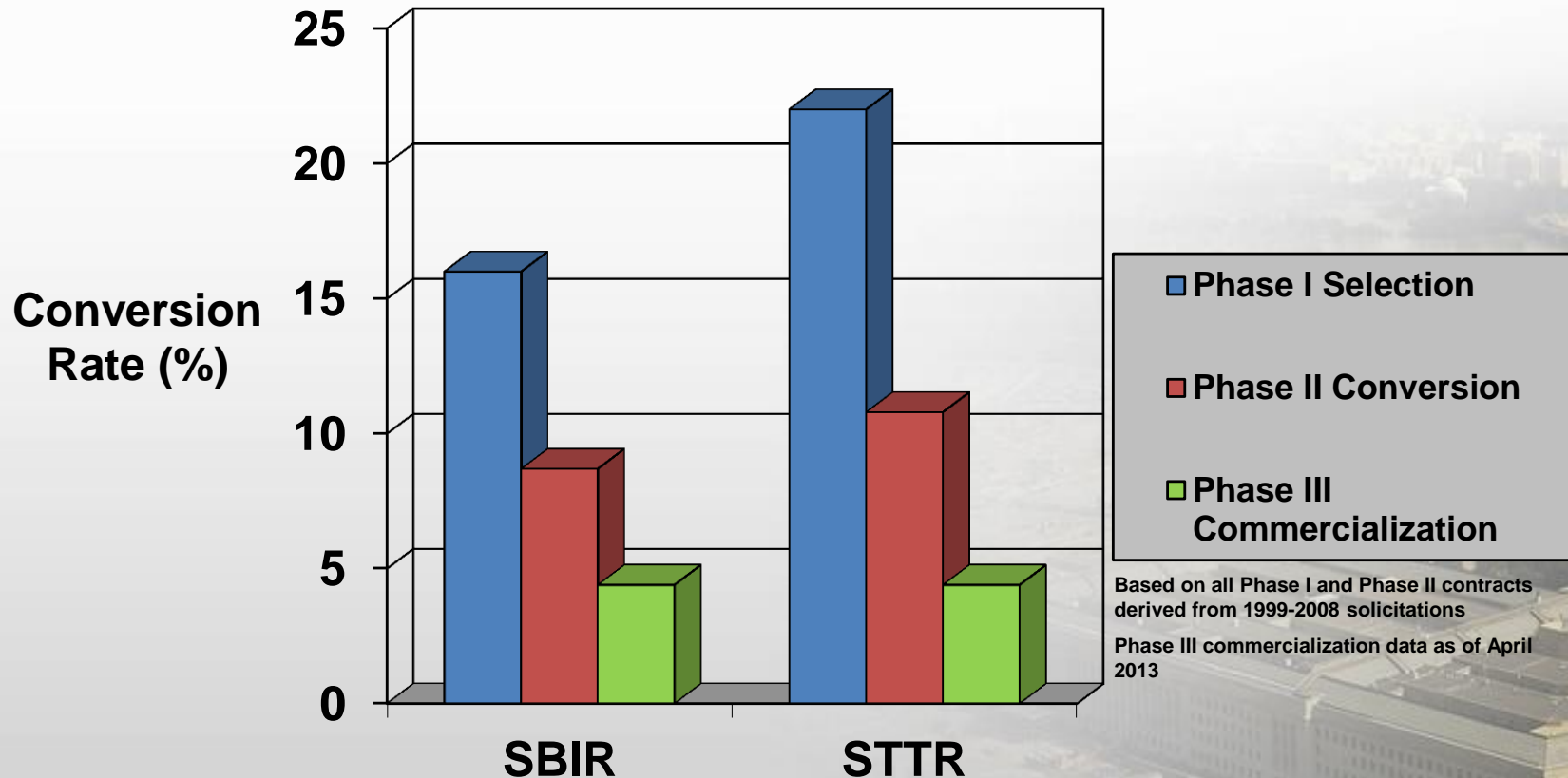
Requires:

- 30% Funding to a Research Partner (University, FFRDC or *not-for-profit Research Institution)
- 40% remain with contracted small business concern
- 30% balance to be split or subcontracted as needed

*A non-profit institution as defined in section 4(5) of the Stevenson-Wydler Technology Innovation Act of 1980. That is, an organization that is owned and operated exclusively for scientific or educational purposes, no part of the net earnings of which inures to the benefit of any private shareholder or individual.



DoD SBIR/STTR Historical Conversion Rates



DoD SBIR & STTR have similar conversion rates



DoD STTR Investment in University Technologies

- **Universities are #1 STTR Partner**

Phase I:

88% Universities
4% FFRDC
5% Nonprofit
28% Small Businesses
6% Large Businesses
2% Other

Phase II:

83% Universities
6% FFRDC
4% Nonprofit
37% Small Businesses
6% Large Businesses
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
2% Nonprofit
19% Small Businesses
11% Large Businesses
4% Other

Phase II

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

Approximately 50% of all SBIR proposals report teaming arrangements



Summary

- **Conversion rates are similar for SBIR and STTR**
- **University partnerships are # 1 for DoD STTR.**
- **University partnerships are significant for DoD SBIR (18% in FY13).**

DoD is leveraging University partnerships via both the STTR and SBIR programs