

There is a common fallacy that all agencies' SBIR & STTR programs are the same. There are many differences that are important in deciding which agency best fits your interests, & developing a proposal strategy. This "SBIR Matrix" summarizes the major differences among the agencies' SBIR/STTR Programs. Data come from the agencies' SBIR/STTR program managers, solicitations, proposal guides, and other sources. It also reflects key changes coming from the 2011 Reauthorization of the SBIR/STTR programs

EXPLANATION OF CATEGORIES

SBIR Program

Contract vs Grant: Does the agency make its SBIR awards as contracts or grants?

Max Phase I Amount: The maximum dollar value the agency will fund in a Ph I SBIR.

Phase I Awards: Number of Ph I awards the agency made in the current year, or anticipates in the next year.

Max Phase II Amount: The maximum dollar value that the agency will fund in a Ph II SBIR.

#Phase II Awards: Number of Ph II awards that the agency made this year, or anticipates in the next year.

Phase I/II Gap Funding: Can agency reduce the gap between the end of Ph I and the start of Ph II?

Solicitations/ # Due Dates per Year: How many times per year does the agency publish a Ph I solicitation and how many times per year do they accept proposals?

Electronic or Paper Proposal: Does the agency require Electronic or Paper proposal submission?

Dept. \$s Possible for Phase III: Is it possible to get non-SBIR Ph III funding from the agency?

Advance vs Progress/Partial Pmts: Does the agency give Ph I winners advance or progress/partial payments?

% PI's Time Req'd w/the Firm: What % of the Principal Investigator's time must be with the company?

Possible to Skip Phase I?: If allowed under Reauthorization, does agency accept a Ph II proposal from someone who didn't get a Ph I award?

Commercializ Ready/Pilot Program?: Does the agency have a CPP allowed by the Reauthorization & modeled after DOD's Commercialization Readiness Program?

% Avail to VCs/HFs/PEFs: % of agency's SBIR budget available to firms majority owned by multiple VCs/Hedge Funds/Private Equity Funds, per the Reauthorization

Phase II must be invited?: Does the agency require an invitation (now disallowed by Reauthorization)?

Notification of Award (months): What Reauthorization Requires, or actual if it is more or less

Contact Tech Rep If Solicit Out?: Does the

agency allow companies to contact its technical representatives about SBIR Ph I topics once the solicitation is released?

% Of Phase I Applies Awarded: What % of the Ph I proposals received by the agency get Phase I awards?

% Of Phase II Applies awarded: What % of the Ph II proposals received by the agency get Ph II awards?

Internal/External Proposal Review: Does the agency review proposals using its own employees, or does it use external reviewers such as university faculty?

Debriefing Request: Oral or Written: Does proposer ask for a Ph I proposal debriefing verbally or in writing?

Debriefing: Oral or Written: Will that debriefing of a company's Ph I proposal be written or oral?

STTR Program

Phase 1 STTR Awards: How many Ph I STTR awards will the agency make this year or next?

Max Phase 1 Award Amount: Maximum dollar amount that the agency will fund in a Ph I STTR project

Phase 2 STTR Awards: How many Ph II STTR awards will the agency make this year or next?

Max Phase 2 Award Amount: The maximum dollar amount the agency will fund in a Ph II STTR project

PI at Small Business or R Institute?: Does agency require that the principal investigator work at the small business, or could they work at the research institution partner?

Commercialization Pilot Program?: Does the agency have an STTR CPP allowed by the Reauthorization & modeled after DOD's Commercialization Readiness Program?

FFRDCs Allowed?: Does agency follow Reauthorization mandate to allow Federally Funded Research & Development Center (FFRDC) Federal laboratories to be a subcontractor in STTR?

Agency Internet Access:

SBA <http://sba.gov>

USDA <http://www.nifa.usda.gov/fo/sbir.cfm>

DOC <http://techpartnerships.noaa.gov>
<http://nist.gov/tpo/sbir/index.cfm>

DOD <http://www.acq.osd.mil/osbp/sbir>

DOED <http://www.ed.gov/programs/sbir/applicant.html>

DOE <http://science.energy.gov/sbir>

DHS <https://sbir2.st.dhs.gov/portal/SBIR/>

DHHS <http://grants.nih.gov/grants/funding/sbir.htm>

DOT <http://www.volpe.dot.gov/sbir/>

EPA <http://www.epa.gov/ncer/sbir>

NASA <http://sbir.nasa.gov>

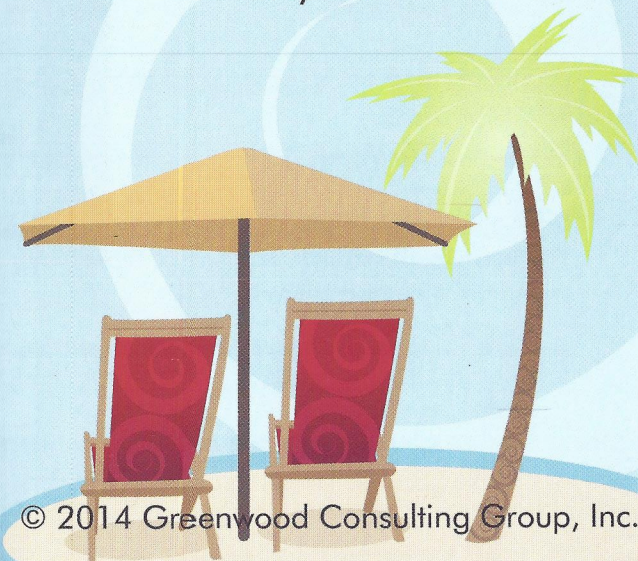
NSF <http://www.nsf.gov/eng/iip/sbir/>

SBIR & STTR PROGRAMS

Differences Among Federal Agencies

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SBI R/STTR Matrix of Characteristics

	USDA	DOC	Department Of Defense							DOED	DOE	DHHS/NIH	DHS	DOT	EPA	NASA	NSF	
	NOAA	NIST	USAF	Army	DARPA	MDA	Navy	IES; NIDDR			Contracts	Grants	S&T;DNDO					
SBIR PROGRAM																		
Contract vs Grant	G	C	G	C	C	C	C	C	C; G		G	C	G	C ; C	C	C	C	G
Max Phase I Amount	\$100k	\$95k	\$90k	\$150k	\$150k	\$150k	\$125k	\$150k	\$150;75k	\$150/225k	\$150k+	\$150k+	\$100; 150k	\$150k	\$100k	\$125k	\$150k	
#Phase I Awards	75	15	8	~400	~198	~60	~100	~500	10 ; ~12	~200	~75	~500	29; 0	~10-15	20	~315	~300	
Max Phase II Amt	\$450k	\$400k	\$300k	\$750k+	\$1M	\$1M+	\$1M	\$500/750k+	\$900;500k	\$1M/1.5M	\$1M+	\$1M+	\$750k;1M	\$1M	\$300k+	\$750k/1.5M	\$750k+	
#Phase II Awards	28	8	4	~170	~102	~24	~50	~260	~4;?	~90	18	200	11 ; 8	~7	8	98	120	
Ph I/II Gap Funding	Y	N	N	N	Y	Y	N	Y	Y;N	N	Y	Y	N; N	N	N	N	Y	
# Solicits/# Due Dates Per Yr	1/1	1/1	1/1	1/1	3/3	3/3	1/1	3/3	1/1;1/1	2/2	1/1	1+/3+	2/2;?/?	2/2	1/1	1/1	2/2	
Electronic or Paper Proposal	E	P	E	E	E	E	E	E	P;E	E	P	E	E	E	E	E	E	
Dept. \$s Possible for Ph III	N	Y	N	Y	Y	Y	Y	Y	N;N	Y	N	N	Y; Y	Y	N	Y	N	
Advance vs Progress/Partial Pmts	A or P	P	P	P	P	P	P	P	P;?	A or P	P	A	P ; P	P	P	A & P	P	
%Pl's Time Req'd w/the Firm	51%	51%	51%	51%	51%	51%	51%	51%	51%;51%	51%	51%	51%	51%;51%	51%	51%	51%	51%	
Possible to Skip Phase 1?	N	N	N	N	N	Y	N	N	?;?	N	N	Y	N	N	N	N	N	
Commercializ Ready/Pilot Prgram?	N	N	TBA	Y	Y	Y	N	Y	?;?	N	TBD	TBA	Y;Y	N	N	Y	N	
% Avail to VCs/HFs/PEFs	0%	0%	0%	0%	0%	0%	0%	0%	?;?	0%	25%	25%	0%;0%	0%	0%	0%	0%	
Phase II must be invited?	N	N	N	N	N	N	N	N	N;N	N	N	N	N;N	N	N	N	N	
Notification of award (months)	5	3	3	3	3	3	3	3	3;3	3	12	12	3;3	3	9	3	6	
Contact Tech Rep If Solicit Open?	Y	N	N	Ltd	Ltd	Ltd	N	Ltd	?;?	Y	N	Y	Ltd ; Ltd	N	N	N	Y	
%of Phase I Applies Awarded	15%	15%	13%	Varies	13%	Varies	15%	~15%	?;?	13%	~13%	~13%	12%;N/A	7%	10%	28%	15-20%	
%of Phase II Applies Awarded	50-60%	30-50%	50%	Varies	50%	Varies	40-50%	~50%	?;?	51%	~33%	~33%	59%; 100%	~60-80%	40%	~35-40%	40%	
Internal/External Proposal Review	Ex	In/Ex	In	In	In	In	In	In	In;?	Ex	Ex	Ex	In; In/Ex	In	In/Ex	In/Ex	Ex	
Debriefing Request: Oral or Written	Auto	W	Auto	W	W	Auto	W	W	?;?	Auto	W	Auto	W ; W	W	W	Auto	Auto	
Debriefing: Oral or Written	W	W	W	W	W	W	W	O/W	?;?	W	O/W	W	W ; W	W	W	W	O/W	
STTR PROGRAM																		
# Ph1 ST TR Awards				~60	~21	~15	~20	~65		~35		~100				36	30	
Max Phase 1 Award Amount				\$150k	\$100k	\$150k	\$100k	\$80k/150k		\$150k/225k		\$150k+				\$125k	\$225k	
# Ph2 ST TR Awards				~30	~21	~8	~7	~25		~15		~20				~12	10	
Max Phase 2 Award Amount				\$750	\$750k	\$1M	\$1M	\$500/750+		\$1M/1.5M		\$1M+				\$750k	\$750k	
PI at Small Business or R Institute?				Either	Either	Either	Either	Either		Either		Either				Either	SB	
Commercialization Pilot Program?				Y	N	Y	N	Y		N		TBA				Y	N	
FFRDCs Allowed?				Y	Y	Y	Y	Y		Y		TBA				Y	Y	

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Auto	Automatic	?	Unknown	TBD	To Be Determined
Ltd	Limited	~	Approximate	TBA	To Be Announced

We would like to thank those SBIR/STTR Program Managers who responded to our request for information about their agencies