



# SBIR/STTR Re-Authorization Update

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# Re-Authorization PL 112-81: Signed 12/31/2011

- Reauthorizes the SBIR/STTR programs for 6 years through FY 2017
- SBA has 120 days to issue draft revised eligibility regulations called Size Rules (VC, US ownership, affiliation)(open for public comment)
- SBA has 180 days to issue draft revised Policy Directives (open for public comment)



# SBA Draft Size Regulations

Not effective until final rule issued end of 2012

- Draft Size Regulations issued on 5/15/2012 for public comment. **Deadline 7/16/2012**
- Federal Register
  - <https://www.federalregister.gov/articles/2012/05/15/2012-11586/small-business-size-regulations-small-business-innovation-research-sbir-program-and-small-business>
- Regulations.gov
  - <http://www.regulations.gov/#!documentDetail;D=SBA-2012-0008-0001>





# SBA SBIR and STTR Policy Directives

- 2 documents, one for each program
- Addresses all other rules and regulations of program beyond eligibility
- Expected to go out for 60 day public comment period by SBA soon
- **Effective when drafts issued**



# Key Re-Authorization Provisions

## 1. Set aside requirements for Agencies will increase

FY	Set-aside SBIR	Set-aside STTR
2011 (current)	2.5%	0.30%
<b>2012</b>	<b>2.6%</b>	<b>0.35%</b>
2013	2.7%	0.35%
2014	2.8%	0.40%
2015	2.9%	0.40%
2016	3.0%	0.45%
2017	3.2%	0.45%



# Key Re-Authorization Provisions

## 2. Guidelines for Size of Awards (adjusted for inflation annually by SBA)

Program	Phase I	Phase II	Current
SBIR	\$150,000	\$1,000,000	150K/1M
STTR	\$150,000	\$1,000,000	100K/750K

## 3. Hard Limits\* on award size to 50% over guidelines

Program	Phase I	Phase II	Current
SBIR	\$225,000	\$1,500,000	Flexible
STTR	\$225,000	\$1,500,000	Flexible



\* Waiver possible for Specific Topics from SBA



# Key Re-Authorization Provisions

4. Venture Capital Participation expanded  
NIH, DOE, & NSF up to 25% (other agencies 15%)
5. Technical Assistance programs (CAP and Niche)  
Both SBIR and STTR increased to \$5,000 per Phase I and II award per year



# Key Re-Authorization Provisions

6. Continued NAS studies for all agencies

7. 3% Administrative Funds from SBIR set-aside for 3 FY

Administration, outreach, management of program and compliance with statute







# Reauthorization Provisions

8. SBC can receive Phase II from a different agency than its Phase I
9. SBC with Phase I SBIR/STTR may receive Phase II from either SBIR or STTR program
10. Eliminate Phase II Invitations





# Reauthorization Provisions

11. NIH, DoD, DEd, **may** award direct Phase II award to SBC
12. May allocate  $\leq 10\%$  of SBIR funds  
Commercial Readiness Pilot
13. Timeframe for award decisions and reducing the timelines.





# Reauthorization Provisions

14. Benchmarks for commercialization

15. Increased outreach to WOSB, SDB, states with historically low application and award rates

16. Fraud, Waste, Abuse (coordinate with IG)





# Reauthorization Provisions

17. Interagency Policy Committee (OSTP)

18. Reporting (New SBA databases to be built)

Registration, Application, Award, Solicitation,  
Commercialization

19. Other Reporting to SBA, Congress on  
pilots, VC, phase flexibility, coordination, other





# Status

- Begin phased implementation when policy directives are issued
- Much will have to wait until final eligibility rules issued (ie, issuing new FOAs)
- Coordinate with ICs
- Coordinate with SBA and other agencies



# For More Information



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