

U.S. Department of Transportation

DOT

Small Business Innovation Research

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SBIR Program

Volpe National Transportation Systems Center

U.S. Department of Transportation
Research and Innovative Technology Administration
John A. Volpe National Transportation Systems Center
RVT-91
55 Broadway, Kendall Square
Cambridge, MA 02142-1093

What Is SBIR?

Small Business Innovation Research (SBIR) is a research and development program mandated by Congress in 1982 and reauthorized in 2000 with the purpose of developing technological innovation using the highest level of expertise in the small business community throughout the United States.

Specifically, the SBIR Program aims to:

- Stimulate technological innovation;
- Meet the federal government's needs for research and development by providing opportunities to small businesses;
- Increase private-sector commercialization of innovations derived from federal research and development; and
- Provide opportunities for the minority and disadvantaged population to participate in technological innovation.

Within the Department of Transportation (DOT), these initiatives are directed to high-priority transportation research and development requirements in the Federal Aviation Administration, Federal Highway Administration, Federal Motor Carrier Safety Administration, Federal Railroad Administration, Federal Transit Administration, National Highway Traffic Safety Administration, Pipeline and Hazardous Materials Safety Administration, and Research and Innovative Technology Administration.

The Three Phases of the SBIR Program

The SBIR Program consists of three phases:

Phase I awards proposals based on scientific merit and feasibility and on relevance to DOT requirements. Awards can be up to \$150,000 for a period of up to six months.

Phase II provides funding for the principal research or R&D. Awards can be up to \$1,000,000 for a period of up to two years.

Phase III requires private sector funding or non-SBIR federal funding for commercialization of the results of Phase II. This phase is conducted by the small business.

SBIR 2.0

SBIR 2.0 is an SBA-led initiative focused on implementing a targeted set of initiatives to attract more high quality entrepreneurs into the SBIR Program; leverage best practices among agencies to improve the commercialization rates of SBIR awardees; and strengthen performance measurement to ensure effective operation of the program.

SBIR 2.0 initiatives have been launched to improve the effectiveness of the program, including:

- **Streamlining and simplification:** Set a target time frame from selection to award of 2 months for every agency.
- **Greater performance management:** Create a common set of performance metrics across agencies, including output metrics such as commercialization.
- **Bridge Financing:** Expand successful "bridge financing" programs to provide supplemental funding to select Phase II awardees to accelerate commercialization.
- **Technology Transfer:** Replicate and scale a very successful tech transfer model from the National Institute of Standards and Technology (NIST).
- **Launch a joint solicitation:** Enhance broader Government-wide initiatives in areas of national priorities through joint solicitations which combine agency resources and efforts.



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development



opportunity



transportation

What are the secrets to writing a winning Phase I proposal?

The key points are innovation and how well your idea responds to a topic. Read the solicitation carefully and respond to all requirements in the best way that you can. Many new proposers to the SBIR Program are winners each year.

If I submit a proposal to the SBIR Program, when will I know if I will receive funding?

The list of Phase I award recommendations will be posted on the SBIR Web site at <http://www.volpe.dot.gov/sbir/>. If your firm's name does not appear on the list, your proposal was not selected for an award.

How can a small business submit a topic for inclusion in the DOT SBIR Solicitation?

DOT has no direct mechanism for accepting research topics from proposers, as its mission requirements come from Congress and the Administration. However, all proposers are encouraged to submit their innovative ideas, concepts, and technologies in response to any topic included in the solicitation for which they feel they can meet the requirements.

For Additional Information on the DOT SBIR Program

For additional information, you may contact the SBIR Program Director or visit the SBIR Web site. The Web site is updated regularly and contains links to other small business Web resources.

DOT SBIR Program Director
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Cambridge, MA 02142-1093

Telephone: 617/494-2051
Fax: 617/494-2370
Web site: <http://www.volpe.dot.gov/sbir/>

How Is the DOT SBIR Program Publicized?

- **Internet** – Information about the SBIR Program can be found by visiting the DOT SBIR Web site at <http://www.volpe.dot.gov/sbir/>.
- **Outreach** – SBIR representatives participate in national, regional, and local high-tech conferences that are open to the public.
- **Peer-to-peer exchange** – SBIR Program information is exchanged among the eleven participating agencies, which allows program directors to make referrals if another program is better suited to your idea.

Calendar

For SBIR Program solicitation announcements, go to the Department of Transportation's SBIR Web site at <http://www.volpe.dot.gov/sbir/>.

Frequently Asked Questions

How can I learn about other agencies' SBIR programs?

You may link to the other agencies' websites by going to http://www.sba.gov/aboutsba/sbaprograms/sbir/announce/sbir_links.html. From each site you may access the solicitations, requirements, dates, topics, etc. For answers to additional questions about the SBIR Program, contact:

U.S. Small Business Administration
Office of Technology
409 Third Street, SW, 8th Floor
Washington, DC 20416
Telephone: 202/205-6450
Web site: <http://www.sba.gov/sbir>

Does the principal investigator have to be employed full time with my firm?

No; 51% or more of the principal investigator's primary employment must be with your firm.



research



innovation



technology