



COURSE 3, TUTORIAL 2

AN INTRODUCTION TO THE DoD SBIR/STTR ANNOUNCEMENTS

In order to provide solutions to the warfighter more rapidly, the Department of Defense (DoD) releases three recurring Joint DoD Broad Agency Announcements (BAAs), or Commercial Solutions Openings (CSOs) each year for both the SBIR and STTR programs. DoD also releases out-of-cycle BAAs or CSOs as needed on behalf of the DoD Services and Components.

JOINT-DoD & COMPONENT BAAs OR CSOs

DoD recurring BAAs and CSOs are numbered using two digits to indicate the fiscal year followed by .1, .2, or .3 to indicate the order in which the three releases are made throughout the fiscal year. For example, 21.1 indicates that this was the first SBIR BAA/CSO in fiscal year 2021. STTR BAAs and CSOs use a letter instead of a number after the fiscal year designation – so 21.A is the first STTR BAA during fiscal year 2021. SBIR and STTR BAAs and CSOs are released at the same time in separate documents. The Federal government fiscal year begins October 1st – so the first BAA and CSO for the fiscal year occurs towards the end of the calendar year. Figure 1 shows the general time period in which the three recurring SBIR and STTR BAAs/CSOs are release.

Component BAAs and CSOs use the next numeric (e.g. 4, 5, 6) or alphabetic (e.g. D, E, F) designation to identify the announcement.

BAA NUMBER	PRE RELEASE	OPEN	CLOSE
FY.1/A	December	January	February
FY.2/B	April	May	June
FY.3/C	August	September	October

FIGURE 1: Approximate time period of the SBIR and STTR BAAs/CSOs releases.



DoD SERVICES AND COMPONENTS

DoD has the largest SBIR/STTR budget. The Department of Defense is comprised of 14 diverse components with unique missions. To address this diversity, each time that a DoD SBIR or STTR Solicitation is released general instructions are provided for all of DoD, as well as unique instructions and topics for each of the participating components. Not all components participate in each of the three solicitation releases and usually the first in each fiscal year is the largest. Also, important to note is that the smaller components often do not implement many of the options that the three larger entities do. For example, not all DoD components utilize a Direct to Phase II option. Given this diversity, after reading the general instructions, it is important to review the unique solicitations for the guidance provided by each service or component of interest.

DoD Services and Components

- › **Army**
- › **Navy**
- › **Air Force**
- › **Chemical and biological Defense (CBD)**
- › **Defense Advanced Research Projects Agency (DARPA)**
- › **Defense Health Agency (DHA)**
- › **Defense Logistics Agency (DLA)**
- › **Defense Microelectronics Activity (DMEA)**
- › **Defense Threat Reduction Agency (DTRA)**
- › **Missile Defense Agency (MDA)**
- › **National Geospatial-Intelligence Agency (NGA)**
- › **Office of the Secretary of Defense (OSD)**
- › **Space Development Agency (SDA)**
- › **Special operations Command (SOCOM)**

FIGURE 2: List of Agency Components

DoD SBIR/STTR BAAs and CSOs are published at <https://rt.cto.mil/rtl-small-business-resources/sbir-sttr/> and <https://www.dodsbirsttr.mil/submissions/login>. The Defense SBIR/STTR Innovation Portal (DSIP) is the official portal for DoD SBIR/STTR Topic Search, Topic Q&A and electronic proposal submission; proposals submitted by any other means will be disregarded. Firms submitting through this site for the first time will be asked to register in DSIP. To be notified of DoD SBIR/STTR opportunities, and other important program updates, small businesses are encouraged to subscribe to the Listserv by visiting <https://www.dodsbirsttr.mil/submissions/login> and clicking “DSIP Listserv” located under Quick Links.



DoD Modernization Priorities: Each modernization priority is led by a Principal Director, who is responsible for unifying and advancing the Department’s investments and capabilities in that area. The PDs are, by definition, meant to work quickly, set the technical direction for the Department in their area of expertise, and ensure the transition of technologies into operational use.

For more information, visit: <https://www.cto.mil/modernization-priorities/>

MODERNIZATION PRIORITY	DESCRIPTION
5G	Technologies enabling the 5G spectrum to increase speed over current networks, to be more resilient and less susceptible to attacks, and to improve military communication and situational awareness.
Artificial Intelligence (AI)/ Machine Learning (ML)	Systems that perceive, learn, decide, and act on their own. Machine-learning systems with the ability to explain their rationale, characterize their strengths and weaknesses, and convey understanding of how they will behave in the future.
Autonomy	Technology that can deliver value by mitigating operational challenges such as: rapid decision making; high heterogeneity and/or volume of data; intermittent communications; high complexity of coordinated action; danger to mission; and high persistence and endurance.
Biotechnology	Biotechnology is any technological application that harnesses cellular and biomolecular processes. Most current biotech research focuses on agent detection, vaccines, and treatment. Future advances in biotechnology will improve the protection of both the general public and military personnel from biological agents, among numerous other potential applications.
Cybersecurity	Prevention of damage to, protection of, and restoration of computers, electronic communications systems, electronic communications services, wire communication, and electronic communications, including information contained therein, to ensure its availability, integrity, authentication, confidentiality, and nonrepudiation.
Directed Energy (DE)	Technologies related to production of a beam of concentrated electromagnetic energy, atomic, or subatomic particles.
Hypersonics	Innovative concepts or technologies that enable, or directly support, weapons or aircraft that fly at or near hypersonic speeds and/or innovation that allows for enhancing defensive capability against such systems.
Microelectronics	Critical microcircuits used in covered systems, custom-designed, custom-manufactured, or tailored for specific military application, system, or environment.
Networked Command, Control, and Communications (C3)	Fully networked command control and communications including: command and control (C2) interfaces, architectures, and techniques (e.g., common software interfaces and functional architectures and improved C2 processing/decision making techniques); communications terminals (e.g, software-defined radio (SDRs)/apertures with multiple networks on the same band and multi-functional systems); and apertures and networking technologies (e.g., leveraging/managing a diverse set of links across multiple band and software defined networking/ network slicing).



MODERNIZATION PRIORITY	DESCRIPTION
Nuclear	Technologies supporting the nuclear triad-including nuclear command, control, and communications, and supporting infrastructure. Modernization of the nuclear force includes developing options to counter competitors' coercive strategies, predicated on the threatened use of nuclear or strategic non-nuclear attacks.
Quantum Science	Technologies related to matter and energy on the atomic and subatomic level. Areas of interest: clocks and sensors; networks; computing enabling technologies (e.g., low temperature amplifiers, cryogenics, superconducting circuits, photon detectors); communications (i.e., sending/receiving individual photons); and manufacturing improvements.
Space	Technologies supporting space, or applied to a space environment.
General Warfighting Requirements (GWR)	Warfighting requirements not meeting the descriptions above; may be categorized into Reliance 21 areas of interest.

The DoD Instructions document also contains a section called Contractual Requirements. These are important to review. Of particular importance is the section entitled Technical Data Rights, commonly referred to as SBIR Data Rights. Another course included in this On-Line System provides guidance on this topic [See [Tutorial on SBIR Data Rights](#)].

In this overview of the DoD Instructions document, what has been highlighted are some unique features of DoD that become apparent when reviewing the solicitation. Most of the concepts discussed will not affect your proposal preparation but provide insight into working with the Department of Defense. Be sure to visit the DoD SBIR/STTR program website numerous times during the year. This site contains many useful tools including the ability to search topics in open SBIR and STTR solicitations, links to the proposal submission site, and access to DSIP Topic Q&A.

DSIP SUPPORT MATERIALS

All DoD proposals must be submitted in the Defense SBIR/STTR Innovation Portal (DSIP). All proposal submissions must be made through the Defense SBIR/STTR Innovation Portal, DSIP, at <https://www.dodsbirsttr.mil/submissions/login>. You and your small business concern must register in DSIP if you wish to submit a proposal to any DoD Component topics.

If you are new to the DoD SBIR/STTR Program and your Firm/Small Business Concern (SBC) has not been registered yet, you will register as a New User – SBC. The first person registering for the Firm should have the DUNS number readily available before registering. You can follow the steps in the Registration and Login Help Video and Job Aid, which can be found in the Learning and Support portal here: <https://www.dodsbirsttr.mil/submissions/learning-support/training-materials>.

Please be sure to submit your proposals as early as possible in order to avoid unexpected delays due to high volume of traffic during the final hours before BAA close.

The Learning and Support section of DSIP provides several resources to help you navigate the DSIP while submitting your proposal. Please see the following list of support materials that are available to you.

DSIP Learning and Support: <https://www.dodsbirsttr.mil/submissions/learning-support/training-materials>



DSIP SUPPORT MATERIAL	DESCRIPTION
Registration and Login Job Aid	Learn how to register your Small Business Concern (SBC) with DSIP, grant access to additional users from their SBC, and login with Login.gov.
Submissions Dashboard Job Aid	An overview of the Submissions Dashboard, which provides a tracker of your Firm-level forms, active Broad Agency Announcements (BAAs), and any proposals in progress or submitted to the BAAs.
Firm Forms Job Aid	An overview and helpful features of the Firm forms. Firms are required to provide information about their Firm certifications in the Firm-level forms. The Firm-level forms need to be completed prior to the SBC submitting their first proposal in DSIP and will need to be validated each year for accuracy.
Proposal Landing Page Job Aid	Learn how to navigate the proposal landing page, which provides you with an overview of your proposal package and the status of each proposal form.
Volume I: Cover Sheet Job Aid	An overview and helpful features of Volume I: Cover Sheet forms. In Volume I, also called the Cover Sheet, you will provide the proposal summary, complete proposal certifications, and add contact information for key proposal personnel.
Volume III: Cost Volume Job Aid	Learn about Volume III: Cost Volume forms, where you will provide a breakdown of the cost associated with the proposed research project. This includes standard components, such as direct labor and overhead, as well as optional costs, like subcontractors/consultants.
Volume IV: Company Commercialization Report Job Aid	An overview and helpful features of Volume IV: Company Commercialization. In Volume IV, you will upload a PDF of the Company Commercialization Report you completed through the SBA SBIR website.
Certify Proposal Job Aid	This job aid walks through how to certify and submit a proposal. Learn about how when submitting a proposal, it must be certified by the Corporate Official (CO), how during the certification process, you can conduct a final review of the proposal volumes and how to download a ZIP file of the proposal package for your records.
Phase II and Phase II Sequential Proposal Submission Job Aid	A walkthrough of how to start and submit a Phase II or Phase II Sequential proposal, including how to start the proposal, how to submit, and how to certify it.
Topics Search and Topic Q&A (SITIS) Job Aid	Learn how to navigate the Topics and Topic Q&A (SITIS) page, how to view active and archived BAAs, how to search and view details for Topics and how to submit a question during pre-release for a BAA.
Registration Help Video	This help video provides an overview of how to login and register in the Defense SBIR/STTR Innovation Portal as a small business interested in submitting a proposal to the DoD SBIR/STTR Program. You will learn about how returning users can log in using Login.gov, how first-time users can register their small business, and how an additional new user can register their account to an already registered small business.
Proposal Landing Page Help Video	This video provides an overview of the Defense SBIR/STTR Innovation Portal Proposal Landing Page. You will learn about the Proposal Landing Page's helpful dashboard features to help you track and certify proposals!