

# U.S. DEPARTMENT OF TRANSPORTATION

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Volpe National Transportation  
Systems Center  
Cambridge, Massachusetts

## Small Business Innovation Research (SBIR) Program

Presented By:  
Joseph Henebury  
DOT SBIR Program Director



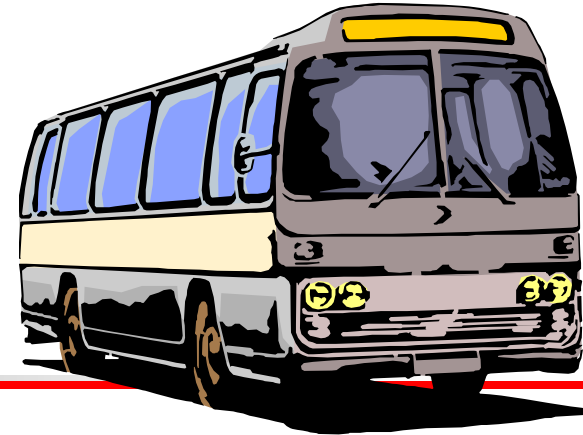


# What is SBIR?

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- Small Business Innovation Research (SBIR) is a congressionally mandated program signed into law by the President on July 22, 1982 and reauthorized on December 21, 2000, which seeks to encourage the initiative of the private sector and to use small businesses as effectively as possible in meeting federal research and development objectives.
- In the Department of Transportation, these initiatives are directed to high priority transportation research and development requirements in the Operating Administrations.

# The Three Phases of the SBIR Program



SBIR is a competitive federal award system consisting of the following three phases:

Phase I - Is to evaluate the scientific technical merit and feasibility of an idea. Awards are for periods of up to six months in amounts up to \$100,000.

Phase II - Is to expand on the results of and further pursue the development of Phase I. Awards are for periods of up to two years in amounts up to \$750,000.

Phase III - Is for the commercialization of the results of Phase II and requires the use of private sector or non-SBIR federal funding. No SBIR funds may be utilized in Phase III.

# How SBIR Supports the Mission of DOT

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SBIR is well integrated into DOT's R&D Program.

DOT's SBIR Program has met its statutory requirements, and in many years has exceeded them, attesting to its acceptance in DOT's R&D Program.

DOT Operating Administrations participate in funding innovations for moving people and goods on the ground, in the air and on the sea.





# Purpose and Funding

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## **What is its Purpose?**

The DOT SBIR Program's purpose is to stimulate technological innovations in Departmental programs utilizing, to the degree possible, the valuable resources and creative capabilities of the small business community in the United States.

## **How is the Program Funded?**

Each Operating Administration invests 2.5% of its extramural R&D budget annually.



# DOT Modal Administrations in the SBIR Program

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- Federal Aviation Administration
- Federal Highway Administration
- Federal Railroad Administration
- Federal Transit Administration
- Federal Motor Carrier Safety Administration
- National Highway Traffic Safety Administration
- Research and Innovative Technology Administration
- Pipeline and Hazardous Material Safety Administration



# DOT Outreach Efforts

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- DOT SBIR Web Site

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

- Participation at:
  - ▶ National
  - ▶ Regional
  - ▶ Local High Tech Conferences
- Intergovernmental Exchange



# DOT SBIR Program

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<b>Fiscal Year</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<b>Proposals Submitted</b>						
Phase I	128	202	136	127	66	89
<u>Phase II</u>	8	8	6	5	5	4
<b>Recommended for Funding</b>						
Phase I	30	13	11	12	5	9
<u>Phase II</u>	7	5	4	5	4	4
<b>Recommended for Funding (X000)</b>						
Phase I	\$2,950	\$ 1275	\$1,097	\$1,182	\$680	\$893
<u>Phase II</u>	4,157	5,123	2,117	2,511	3028	2861
<u>Total</u>	\$7,107	\$6,398	\$3,214	\$3,693	\$3,708	\$3,754
<b>DOT Extramural R&amp;D Budget</b>						
<u>(Base) (X000,000)</u>	----	\$220.1	\$163.4	\$120.0	\$131.0	\$140.0 \$150.0est
Statutory Percentage	----	2.5%	2.5%	2.5%	2.5%	2.5% 2.5%

Last Update 03/31/07



# DOT SBIR Program Representative

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# IDEA PROGRAM

## *Innovations Deserving Exploratory Analysis Programs*

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The IDEA Program explores the feasibility of unproven technical concepts, novel applications of proven concepts, and cross-cutting advances in technologies for transportation.

Four IDEA Programs:

- ▶ High-Speed Rail IDEA
- ▶ Transportation Safety
- ▶ Highway – IDEA
- ▶ Transit - IDEA

IDEA Program Office

Telephone: (202) 334-3568

Email: [TRB-IDEA@NAS.EDU](mailto:TRB-IDEA@NAS.EDU)



# 2006 DOT SBIR Calendar

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**February 15, 2006**

**Solicitation Opened**

**May 1, 2006**

**Solicitation Closed**

**May, June, July, 2006**

**DOT Professionals meet to evaluate proposals**

**July 25, 2006**

**DOT Panel Meeting**

**October 2, 2006**

**Phase I proposals recommended for award posted on DOT SBIR web site, no written notification.**

**October 2-30, 2006**

**Phase I Contract Awards**

# Related Websites



<http://osdbuweb.dot.gov/>

◆ The Marketing Information Package:

<http://osdbuweb.dot.gov/business/mp/mip.html>



◆ USDOT Contracting Opportunities: Section B of the Marketing Package

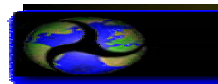
<http://osdbuweb.dot.gov/business/mp/contract.html>

This document is also printed as a standalone pamphlet.

◆ Transportation Link™ newsletter:

<http://osdbuweb.dot.gov/translink/index.html>

(text and PDF formats)



Transportation Link

# Related Websites (cont.)



- ◆ DOT Procurement Forecast:



<http://osdbu.dot.gov/business/procurement/forecast.html>

- ◆ Other great DOT-related contract information and databases:  
<http://osdbuweb.dot.gov/business/procurement/index.html>

- ◆ Our News by Email:

<http://osdbuweb.dot.gov/about/lists/lists.html>