

# DARPA SBIR/STTR ENHANCEMENT PROGRAM

## APPLICATION INSTRUCTIONS

### OVERVIEW:

- DARPA Small Business Programs Office (SBPO) may provide a Phase II performer up to \$500,000 of matching SBIR/STTR funding (on a dollar-for-dollar basis) if the performer obtains commitment of non-SBIR/STTR funding from a DARPA Technology Office(s), another DoD component(s), another federal agency, and/or a commercial investor(s).
- Enhancement funding is typically applied to an active Phase II contract, which extends the period of performance by up to one year. However, on a case-by-case basis, a new Phase II contract may be awarded if appropriate.
- The proposed Enhancement effort must develop, deliver, and integrate a technology or product into a program within a DARPA Technology Office(s), other DoD component(s), other federal agency(ies), and/or the commercial sector.
- Applications for the Enhancement Program will be reviewed for overall merit, transition potential, commercialization strategy, and value to the DARPA mission.
- The DoD Submission System only allows submission of one investor on each application; however, DARPA will accept multiple applications until the matching amount has been met.

### APPLICATION PROCESS:

- The Performer obtains a firm commitment of non SBIR/STTR funding and requests Enhancement funding for the project from the DARPA Program Manager.
- The DARPA Program Manager completes a DARPA 99 Form and sends to [sbir@darpa.mil](mailto:sbir@darpa.mil) for approval by the SBPO Program Director and the Contracting Officer of the Phase II contract.
- The DARPA PM will notify the performer to submit a proposal to the DoD SBIR/STTR submission website at <https://sbir.defensebusiness.org>, following the template below.
- The Performer must obtain a certification letter from the investor within 45 days of the Enhancement approval notification, and provide it to DARPA SBPO along with a copy of the performer's bank statement that verifies the funds have been deposited. The certification letter must state that "\$\_\_\_\_\_ in cash has been transferred to [company name] from [investor name] in accordance with DARPA Enhancement Program procedures." The letter should be on the investor's letterhead if possible, and must be signed by both the investor and the performer.

### LIMITATIONS:

- All Enhancement requests are subject to the approval of the DARPA PM who is overseeing the effort, successful completion of negotiations, and the availability of funding.
- "Outside investment" must meet DoD Guidelines to qualify for Phase II Enhancement matching funds. For details, please see <http://www.acq.osd.mil/osbp/sbir/sb/investment-qualification.shtml>
- Phase II awards exceeding \$1.5M of SBIR/STTR dollars are ineligible to apply for the Enhancement program, except for awardees PRIOR to 13.1 (SBIR). NOTE: For awardees after 13.1 (SBIR) please contact the SBPO at [sbir@darpa.mil](mailto:sbir@darpa.mil) for information about addressing this limitation.
- Enhancement application should be submitted at least 4 months prior to the end of the Phase II period of performance to allow adequate time to complete the contracting process.
- The proposed Enhancement effort must be completed within 5 years of a Phase II contract's period of performance.

## TEMPLATE FOR DARPA SBIR/STTR ENHANCEMENT PROPOSAL

**Please note** – on your application cover sheet, in the section - “Proposed DoD SBIR/STTR Funds for Enhancement” - enter the amount of DARPA SBIR/STTR funds requested equal to the outside funding amount, not to exceed \$500,000. In the section - “Amount of Matching Funds (Cash) the Investor will provide” – enter the amount that will be provided by the Government agency, DARPA Technology Office, or commercial investor.

The following items (Section A through G) must be submitted in one proposal package, failure to meet the proposal requirements below will delay the application process.

### **Section A. DARPA Program Manager for Phase II contract:**

DARPA Technology Office:

DARPA Program (if applicable):

First and Last Name:

Email address:

### **Section B. DARPA Program Manager, DoD Procuring Organization or other federal agencies, and/or the commercial sector investor Point of Contact:**

First and Last Name:

Title:

Email address:

Phone number:

### **Section C. Phase II Enhancement Proposal:**

*In 15 pages or less, address each of the following questions in sequential order (place question with number prior to your answer):*

1. Briefly describe your Phase II technical accomplishments and how they will be furthered by the Enhancement.
2. Describe how the proposed Enhancement will support the transition roadmap and commercialization strategies for your technology.
3. Describe how the proposed Enhancement will support the DARPA Mission:
  - a. The current problem (i.e., capability need) your research is addressing.
  - b. How the current problem will be solved.
  - c. The value to the DARPA Mission in utilizing the proposed solution.
4. What are the required exit criteria for the SBIR/STTR Phase II such that the acquisition program manager/procuring organization might agree to insert this technology? Note: Exit criteria are some level of demonstrated performance (e.g., level of engine thrust), some process at some level of efficiency (e.g., manufacturing yield), or successful accomplishment of some event (e.g., first flight), or some other criterion that indicates that aspect of the program is progressing satisfactorily. Alternatively, what are the equivalent milestones for successful commercialization or insertion into a marketable product?
5. What are the risks (cost, schedule, technical, manufacturability, and sustainment) associated with your Phase II?

**Section D. ADVOCACY LETTER(s):** DoD Acquisition Program Manager(s) and/or DoD procuring organization(s) stating amount of funding and articulating how this technology will fill a capability gap. **Note: If the matching funds are coming from a DARPA Technology Office, you do NOT need to submit an Advocacy Letter(s).**

**Section E. OUTSIDE INVESTOR LETTER(s):** Non-government organization stating amount of funding and articulating how this technology will be used or commercialized. **Note: If the matching funds are coming from a DARPA Technology Office or other Government agency, you do NOT need to submit an Investor Letter(s).**

**Section F. Concise Statement of Work (SOW)** for the additional effort to be executed with the Enhancement funds.

**Section G. Total Cost Proposal.** You must use the DARPA Cost Proposal spreadsheet available in our website <http://www.darpa.mil/work-with-us/for-small-businesses/participate-sbir-sttr-program>