

UNCLASSIFIED

Exhibit R-2, RDT&E Budget Item Justification: PB 2021 United States Special Operations Command **Date:** February 2020

Appropriation/Budget Activity 0400: <i>Research, Development, Test & Evaluation, Defense-Wide I BA 7: Operational Systems Development</i>	R-1 Program Element (Number/Name) PE 1160279BB / <i>Small Business Innovation Research/Small Bus Tech Transfer</i>
---	--

COST (\$ in Millions)	Prior Years	FY 2019	FY 2020	FY 2021 Base	FY 2021 OCO	FY 2021 Total	FY 2022	FY 2023	FY 2024	FY 2025	Cost To Complete	Total Cost
Total Program Element	244.272	18.445	0.000	0.000	-	0.000	0.000	0.000	0.000	0.000	Continuing	Continuing
S050: <i>Small Business Innovation Research</i>	234.094	16.171	0.000	0.000	-	0.000	0.000	0.000	0.000	0.000	Continuing	Continuing
S051: <i>Small Business Technology Transfer</i>	10.178	2.274	0.000	0.000	-	0.000	0.000	0.000	0.000	0.000	Continuing	Continuing

A. Mission Description and Budget Item Justification

This program element consists of a highly competitive three-phase award system that provides qualified small businesses with the opportunity to propose high quality innovative ideas that meet specific research and development needs of USSOCOM. Small Business Innovation Research (SBIR) is a result of the Small Business Development Act of 1992. It was enacted by Congress in Public Law 97-219, reenacted by Public Law 99-443, and reauthorized by the SBIR Program Reauthorization Act of 2012. Starting in FY 1994, the SBIR program was refocused toward dual use and defense reinvestment efforts. Phase I projects evaluate the scientific merit and feasibility of an idea. Phase II projects expand the results of, and further pursue, the developments of Phase I. Phase III commercializes the results of Phase II and requires the use of private or non-SBIR federal funding. USSOCOM participates annually in the DOD Request for Proposal process. USSOCOM then awards its proposed SBIR projects. FY 2014 was the first year USSOCOM participated in the Small Business Technology Transfer (STTR) program. The STTR goal is similar to the SBIR program, but the STTR program additionally seeks to expand public/private sector partnerships between small business and nonprofit U.S. research institutions.

B. Program Change Summary (\$ in Millions)

	<u>FY 2019</u>	<u>FY 2020</u>	<u>FY 2021 Base</u>	<u>FY 2021 OCO</u>	<u>FY 2021 Total</u>
Previous President's Budget	0.000	0.000	0.000	-	0.000
Current President's Budget	18.445	0.000	0.000	-	0.000
Total Adjustments	18.445	0.000	0.000	-	0.000
• Congressional General Reductions	-	-			
• Congressional Directed Reductions	-	-			
• Congressional Rescissions	-	-			
• Congressional Adds	-	-			
• Congressional Directed Transfers	-	-			
• Reprogrammings	-	-			
• SBIR/STTR Transfer	18.445	-			

Change Summary Explanation

Funding:

UNCLASSIFIED

Exhibit R-2, RDT&E Budget Item Justification: PB 2021 United States Special Operations Command **Date:** February 2020

Appropriation/Budget Activity	R-1 Program Element (Number/Name)
0400: <i>Research, Development, Test & Evaluation, Defense-Wide / BA 7: Operational Systems Development</i>	PE 1160279BB / <i>Small Business Innovation Research/Small Bus Tech Transfer</i>

FY 2019: Net increase of \$18.445 million is due to reprogramming from various program elements for the congressionally mandated SBIR (\$16.171 million) and STTR (\$2.274 million) programs.

FY 2020: None.

FY 2021: None.

Schedule: None.

Technical: None.

UNCLASSIFIED

Exhibit R-2A, RDT&E Project Justification: PB 2021 United States Special Operations Command										Date: February 2020		
Appropriation/Budget Activity 0400 / 7					R-1 Program Element (Number/Name) PE 1160279BB / <i>Small Business Innovation Research/Small Bus Tech Transfer</i>					Project (Number/Name) S050 / <i>Small Business Innovation Research</i>		
COST (\$ in Millions)	Prior Years	FY 2019	FY 2020	FY 2021 Base	FY 2021 OCO	FY 2021 Total	FY 2022	FY 2023	FY 2024	FY 2025	Cost To Complete	Total Cost
S050: <i>Small Business Innovation Research</i>	234.094	16.171	0.000	0.000	-	0.000	0.000	0.000	0.000	0.000	Continuing	Continuing
Quantity of RDT&E Articles	-	-	-	-	-	-	-	-	-	-		

A. Mission Description and Budget Item Justification

This project consists of a highly competitive three-phase award system that provides qualified small businesses with the opportunity to propose high quality innovative ideas that meet specific research and development needs of USSOCOM. Small Business Innovation Research (SBIR) is a result of the Small Business Development Act of 1992. It was enacted by Congress in Public Law 97-219, reenacted by Public Law 99-443, and reauthorized by the SBIR Program Reauthorization Act of 2012. Starting in FY 1994, the SBIR program was refocused toward dual use and defense reinvestment efforts. Phase I projects evaluate the scientific technical merit and feasibility of an idea. Phase II projects expand the results of, and further pursue, the developments of Phase I. Phase III commercializes the results of Phase II and requires the use of private or non-SBIR federal funding. USSOCOM participates annually in the DOD Request for Proposal process. USSOCOM then awards its proposed SBIR projects.

B. Accomplishments/Planned Programs (\$ in Millions)

	FY 2019	FY 2020	FY 2021
Title: Small Business Innovation Research (SBIR)	16.171	-	-
Accomplishments/Planned Programs Subtotals	16.171	-	-

C. Other Program Funding Summary (\$ in Millions)

N/A

Remarks

D. Acquisition Strategy

SBIR is a three-phase program that provides early-stage Research and Development (R&D) to small companies. Eligible projects must fulfill an R&D need identified by DOD and have the potential to be developed into a product or service for commercial or defense markets. SBIR is designed to stimulate technological innovation, increase private sector commercialization of federal R&D, increase small business participation in federally funded R&D, and foster participation by minority and disadvantaged firms in technological innovation.

UNCLASSIFIED

Exhibit R-3, RDT&E Project Cost Analysis: PB 2021 United States Special Operations Command											Date: February 2020		
Appropriation/Budget Activity 0400 / 7				R-1 Program Element (Number/Name) PE 1160279BB / <i>Small Business Innovation Research/Small Bus Tech Transfer</i>				Project (Number/Name) S050 / <i>Small Business Innovation Research</i>					

Product Development (\$ in Millions)				FY 2019		FY 2020		FY 2021 Base		FY 2021 OCO		FY 2021 Total	Cost To Complete	Total Cost	Target Value of Contract
Cost Category Item	Contract Method & Type	Performing Activity & Location	Prior Years	Cost	Award Date	Cost	Award Date	Cost	Award Date	Cost	Award Date	Cost			
Phase I <\$150K	C/Various	Various : Various	19.651	9.681	Sep 2019	-		-		-		-	Continuing	Continuing	-
Phase II >\$750K	C/Various	Various : Various	15.932	6.490	Aug 2019	-		-		-		-	Continuing	Continuing	-
Prior Year Funding	C/Various	Various : Various	198.511	-		-		-		-		-	0.000	198.511	-
Subtotal			234.094	16.171		-		-		-		-	Continuing	Continuing	N/A

Remarks
.

	Prior Years	FY 2019	FY 2020	FY 2021 Base	FY 2021 OCO	FY 2021 Total	Cost To Complete	Total Cost	Target Value of Contract
Project Cost Totals	234.094	16.171	0.000	-	-	-	Continuing	Continuing	N/A

Remarks
Due to multiple awards, the dates listed above reflect the last Phase I and II awarded.

UNCLASSIFIED

Exhibit R-4, RDT&E Schedule Profile: PB 2021 United States Special Operations Command		Date: February 2020
Appropriation/Budget Activity 0400 / 7	R-1 Program Element (Number/Name) PE 1160279BB / <i>Small Business Innovation Research/Small Bus Tech Transfer</i>	Project (Number/Name) S050 / <i>Small Business Innovation Research</i>

	FY 2019				FY 2020				FY 2021				FY 2022				FY 2023				FY 2024				FY 2025			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4

<i>Small Business Innovative Research</i>																												
Phase I Efforts	██████████																											
Phase II Efforts	██																											

UNCLASSIFIED

Exhibit R-4A, RDT&E Schedule Details: PB 2021 United States Special Operations Command		Date: February 2020
Appropriation/Budget Activity 0400 / 7	R-1 Program Element (Number/Name) PE 1160279BB / <i>Small Business Innovation Research/Small Bus Tech Transfer</i>	Project (Number/Name) S050 / <i>Small Business Innovation Research</i>

Schedule Details

Events by Sub Project	Start		End	
	Quarter	Year	Quarter	Year
<i>Small Business Innovative Research</i>				
Phase I Efforts	1	2019	3	2019
Phase II Efforts	2	2019	4	2020

UNCLASSIFIED

Exhibit R-2A, RDT&E Project Justification: PB 2021 United States Special Operations Command **Date:** February 2020

Appropriation/Budget Activity 0400 / 7	R-1 Program Element (Number/Name) PE 1160279BB / <i>Small Business Innovation Research/Small Bus Tech Transfer</i>	Project (Number/Name) S051 / <i>Small Business Technology Transfer</i>
--	--	--

COST (\$ in Millions)	Prior Years	FY 2019	FY 2020	FY 2021 Base	FY 2021 OCO	FY 2021 Total	FY 2022	FY 2023	FY 2024	FY 2025	Cost To Complete	Total Cost
S051: <i>Small Business Technology Transfer</i>	10.178	2.274	0.000	0.000	-	0.000	0.000	0.000	0.000	0.000	Continuing	Continuing
Quantity of RDT&E Articles	-	-	-	-	-	-	-	-	-	-		

A. Mission Description and Budget Item Justification

Small Business Technology Transfer (STTR) goal is to expand public/private sector partnerships between small business and nonprofit United States (U.S.) research institutions.

B. Accomplishments/Planned Programs (\$ in Millions)

	FY 2019	FY 2020	FY 2021
<i>Title:</i> Small Business Technology Transfer (STTR)	2.274	-	-
Accomplishments/Planned Programs Subtotals	2.274	-	-

C. Other Program Funding Summary (\$ in Millions)

N/A

Remarks

D. Acquisition Strategy

STTR provides early-stage Research and Development funding directly to small companies working cooperatively with researchers at universities and other research institutions. STTR is also a three-phased program designed to stimulate technological innovation, increase private sector commercialization of federal R&D, increase small business participation in federally funded R&D, and foster participation by minority and disadvantaged firms in technological innovation.

UNCLASSIFIED

Exhibit R-3, RDT&E Project Cost Analysis: PB 2021 United States Special Operations Command **Date:** February 2020

Appropriation/Budget Activity 0400 / 7	R-1 Program Element (Number/Name) PE 1160279BB / <i>Small Business Innovation Research/Small Bus Tech Transfer</i>	Project (Number/Name) S051 / <i>Small Business Technology Transfer</i>
--	--	--

Product Development (\$ in Millions)				FY 2019		FY 2020		FY 2021 Base		FY 2021 OCO		FY 2021 Total	Cost To Complete	Total Cost	Target Value of Contract
Cost Category Item	Contract Method & Type	Performing Activity & Location	Prior Years	Cost	Award Date	Cost	Award Date	Cost	Award Date	Cost	Award Date	Cost			
STTR Phase I <\$150K	C/FFP	Various Vendors : Various Locations	3.499	1.251	May 2019	-		-		-		-	Continuing	Continuing	-
STTR Phase II >\$750K	C/Various	Various Vendors : Various Locations	1.556	1.023	May 2019	-		-		-		-	Continuing	Continuing	-
Prior Year Funding	C/Various	Various : Various	5.123	-		-		-		-		-	0.000	5.123	-
Subtotal			10.178	2.274		-		-		-		-	Continuing	Continuing	N/A

	Prior Years	FY 2019	FY 2020	FY 2021 Base	FY 2021 OCO	FY 2021 Total	Cost To Complete	Total Cost	Target Value of Contract
Project Cost Totals	10.178	2.274	0.000	-	-	-	Continuing	Continuing	N/A

Remarks
Due to multiple awards, the dates listed above reflect the last Phase I and II awarded.

UNCLASSIFIED

Exhibit R-4, RDT&E Schedule Profile: PB 2021 United States Special Operations Command			Date: February 2020
Appropriation/Budget Activity 0400 / 7	R-1 Program Element (Number/Name) PE 1160279BB / <i>Small Business Innovation Research/Small Bus Tech Transfer</i>	Project (Number/Name) S051 / <i>Small Business Technology Transfer</i>	

	FY 2019				FY 2020				FY 2021				FY 2022				FY 2023				FY 2024				FY 2025			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
<i>Small Business Technology Transfer</i>																												
STTR Phase I Efforts	████████████████																											
STTR Phase II Efforts		██████████████																										

UNCLASSIFIED

Exhibit R-4A, RDT&E Schedule Details: PB 2021 United States Special Operations Command		Date: February 2020
Appropriation/Budget Activity 0400 / 7	R-1 Program Element (Number/Name) PE 1160279BB / <i>Small Business Innovation Research/Small Bus Tech Transfer</i>	Project (Number/Name) S051 / <i>Small Business Technology Transfer</i>

Schedule Details

Events by Sub Project	Start		End	
	Quarter	Year	Quarter	Year
<i>Small Business Technology Transfer</i>				
STTR Phase I Efforts	1	2019	3	2020
STTR Phase II Efforts	2	2019	4	2020