

**BY ORDER OF THE  
SECRETARY OF THE AIR FORCE**

**AIR FORCE INSTRUCTION 61-102**

**16 NOVEMBER 2012**



**Scientific/Research, and Development**

**SMALL BUSINESS INNOVATION  
RESEARCH (SBIR) AND SMALL BUSINESS  
TECHNOLOGY TRANSFER (STTR)  
PROGRAMS**

**COMPLIANCE WITH THIS PUBLICATION IS MANDATORY**

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(Dr. David E. Walker)

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This instruction provides guidance concerning effective management and integration of the Small Business Innovation Research and Small Business Technology Transfer (SBIR/STTR) Program in support of the Air Force mission. This instruction implements Air Force Policy Directive (AFPD) 61-1, *Management of Science and Technology*, and is consistent with Air Force Policy Directive 61-1, *Management of Science and Technology*, AFPD 90-18, *Small Business Programs*, AFPD 63-1, *Acquisition Sustainment Life Cycle Management* and AFI 63-101/20-101, *Integrated Life Cycle Management*. It also implements 15 United States Code, Section 638, the Small Business Administration SBIR and STTR Policy Directive, and is consistent with DoD Directive 5000.01, *The Defense Acquisition System*, and DoD Instruction 5000.02, *Operation of the Defense Acquisition System*. This Instruction applies to Air Force military and civilian members involved in Small Business research and technology transfer initiatives. This publication does not apply to Air Force Reserve Command or the Air National Guard units. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with Air Force Manual (AFMAN) 33-363, *Management of Records*, and disposed of in accordance with the Air Force Records Disposition Schedule (RDS) maintained in the Air Force Records Information System (AFRIMS) located at <https://www.my.af.mil/afirms/afirms/afirms/rims.cfm>. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using the AF Form 847, *Recommendation for Change of Publication*; route AF Forms 847s from the field through the appropriate functional chain of command. After coordination with SAF/AQR, this publication may be supplemented by Air Force organizations having SBIR/STTR financial or management responsibilities.

**1. Goals and Objectives.** The goals of the Air Force SBIR/STTR Program are to: 1) stimulate small businesses to conduct research, development, and demonstration of technological innovation and 2) transition SBIR/STTR-developed technologies and processes into operational and/or commercial use in support of Air Force needs.

**2. General. The Air Force will:**

2.1. Focus SBIR/STTR funding on technology innovation and development activities consistent with Air Force strategic planning goals and priorities as identified in the Air Force Strategic Plan.

2.2. Establish and execute the SBIR/STTR Program in full compliance with governing statutes, directives, and other regulatory and policy guidance.

2.3. Develop and select research and development topics (i.e., technology areas) based on their potential to meet recognized Air Force mission capability needs and technology opportunities.

2.4. Competitively select the best proposals from industry and award contracts in a manner consistent with Air Force small business and technology development goals.

**3.1. The Assistant Secretary of the Air Force for Budget (SAF/FM):** Reviews and validates the SBIR/STTR extramural budgets and the application of the statutory percentages.

**3.2. The Deputy Assistant Secretary for Science, Technology, and Engineering (SAF/AQR):**

3.2.1. Serves as the Air Force OPR for the Air Force SBIR/STTR Programs and liaison with the Air Force Small Business Office (SAF/SB) and the United States Small Business Administration (SBA), through the Office of the Secretary of Defense (OSD) Office of Small Business Programs (OSBP).

3.2.2. Appoints a Program Element Monitor (PEM) for the SBIR/STTR Program.

3.2.3. Submits annual SBIR, STTR, and other required reports to Congress or the U.S. Small Business Administration (SBA) through the Office of Secretary of Defense (OSD) Office of Small Business Programs (OSBP).

3.2.4. Is the primary Air Force representative at Department of Defense and Federal SBIR/STTR meetings.

3.2.5. Drafts, coordinates, and promulgates SBIR/STTR Program policy and guidance.

3.2.6. Coordinates with Air Force Office of Small Business Programs (SAF/SB) on reports to OSD/OSBP and the SBA, as appropriate, and on other relevant programmatic activity.

**3.3. The Air Force Technology Executive Officer (TEO):**

3.4.1. Oversees the execution of Air Force SBIR/STTR Program.

3.4.2. Develops and approves all SBIR/STTR topic (i.e., technology areas) allocations and topic selections, and ensures topics comply with OSD criteria/guidance and meet

recognized Air Force mission capability needs and technology opportunities consistent with documented capability needs.

3.4.3. Prior to the release of SBIR/STTR funds to the executing organization, ensure appropriate staffing and procedures are in place to support timely and effective execution of those funds in support of the Air Force SBIR/STTR Program objectives and goals.

3.4.4. Integrates SBIR/STTR Research and Development (R&D) into strategic technology planning processes, including Core Function Master Plans, and:

3.4.4.1. Includes SBIR/STTR technologies on roadmaps for capability development areas, and incorporate them into core Science and Technology (S&T) programs, when applicable.

3.4.5. Conducts an annual AF SBIR/STTR program review with SAF/AQR, to evaluate how all SBIR/STTR program funds are being used in a cost-effective manner in support of Air Force technology needs. As a minimum, the review should include program and financial management, fraud, waste and abuse, etc.

3.4.6. Approves SBIR/STTR pilot activities to improve program execution and effectiveness.

3.4.7. Appoints, in writing, an Air Force SBIR/STTR Program Manager (PM) and provides program support staff.

3.4.8. Ensures all reports required by statute or regulation, including annual Program reports, are submitted to SAF/AQR in a timely manner.

3.4.9. Maintains and, on a quarterly basis, validates the accuracy of databases for compiling reports to Congress, to minimize the risks of Fraud, Waste, and Abuse, etc.

**3.5. The Air Force Small Business Program Office (SAF/SB):** Monitors the SBIR/STTR Program and leverages Program results and Air Force relevant technologies developed by small businesses, to meet prime and subcontracting goals, when appropriate.

**3.6. Air Force Materiel Command:**

3.6.1. Appoints, in writing a lead SBIR/STTR technology manager to coordinate development of approved topics with Air Force Research Laboratory (AFRL) Subject Matter Experts (SMEs) and assists in transition of technologies into their programs, as appropriate. A single SBIR/STTR technology manager may support multiple offices, where appropriate.

3.6.2. Provides and retains a designated Sponsor Point of Contact (SPOC) for each topic.

3.6.3. Ensures topics continue to align with, and support, programs throughout the acquisition lifecycle. Should a topic lose relevance, takes corrective action (amendment, recommendation for termination, etc.) as appropriate.

3.6.4. Ensures PEOs and acquisition program managers and personnel receive SBIR/STTR training and information so that they may identify and give favorable consideration to transitioning SBIR/STTR technologies into programs in all phases of the acquisition lifecycle.

3.6.5. Provides information to AFRL on the extent to which SBIR/STTR technologies have been considered and incorporated into capability concepts or pre-acquisition programs. This information will be incorporated into the annual SBIR/STTR Program Review.

3.6.6. Ensures PEOs and acquisition program managers plan and budget for SBIR efforts, including developing and coordinating POM inputs, as appropriate.

**3.7. Air Force Space Command:**

3.7.1. Designates, in writing, a lead SBIR/STTR technology manager to coordinate development of relevant topics with AFRL Subject Matter Experts (SMEs), and assist in transitioning technologies. A single SBIR/STTR technology manager may support multiple offices where appropriate.

3.7.2. Provides, assigns, and reassigns as necessary, or until operational acceptance, a designated Sponsor Point of Contact (SPOC) for each topic.

3.7.3. Ensures topics are aligned with or support one or more programs in any phase of the acquisition lifecycle.

3.7.4. Identifies and, as appropriate, transitions SBIR/STTR technologies into programs throughout all phases of an acquisition lifecycle.

3.7.5. Provides information to AFRL on the extent to which SBIR/STTR technologies have been considered and/or incorporated into capability concepts or pre-acquisition programs. This information will be incorporated into the annual SBIR/STTR Program Review.

CHARLES R. DAVIS, Lt Gen, USAF  
Military Deputy, Office of the Assistant Secretary  
of the Air Force (Acquisition)

## Attachment 1

## GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

*References*

15 United States Code, Section 638 (“*The Small Business Act*”)

Small Business Administration, Small Business Innovation Research Policy Directive, September 24, 2002

Small Business Administration, Small Business Technology Transfer Policy Directive, December 16, 2005.

DoD Directive 5000.01, *The Defense Acquisition System*, May 12, 2003

DoD Instruction 5000.02, *Operation of the Defense Acquisition System*, December 8, 2008

Air Force Policy Directive 61-1, *Management of Science and Technology*, August 18, 2011

Air Force Policy Directive 63-1, *Integrated Life Cycle Management*, July 3, 2012

Air Force Instruction 63-101, *Acquisition and Sustainment Lifecycle Management*, April 8, 2009

Air Force Policy Directive 90-18, *Small Business Programs*, March 23, 2011

Air Force Manual 33-363, *Management of Records*, March 1, 2008

*Adopted Forms*

Air Force Form 847, *Recommendation for Change of Publication*

*Abbreviations and Acronyms*

**AFPD**—Air Force Policy Directive

**AFRL**—Air Force Research Laboratory

**DOD**—Department of Defense

**OPR**—Office of Primary Responsibility

**OSBP**—Office of Small Business Programs

**OSD**—Office of the Secretary of Defense

**PEM**—Program Element Monitor

**PM**—Program Manager

**POM**—Program Objective Memorandum

**R&D**—Research and Development

**SAF/AQ**—Assistant Secretary of the Air Force for Acquisition

**SAF/AQR**—Deputy Assistant Secretary for Science, Technology, and Engineering

**SAF/SB**—Air Force Office of Small Business Programs

**SBA**—U. S. Small Business Administration

**SBIR**—Small Business Innovation Research

**SME**—Subject Matter Expert

**SPOC**—Sponsor Point of Contact

**STTR**—Small Business Technology Transfer

**TEO**—Technology Executive Officer

**TRL**—Technology Readiness Level