



# SBIR/STTR TABA

## Technical and Business Assistance

Randy Simpson, COO

TechOpp, Inc.

[randy.simpson@techopp.com](mailto:randy.simpson@techopp.com) | 540.744.5854

March 18, 2026

# Outline

- What is TABA
  - *Definitions*
  - *Current legislation changes*
    - All Agencies
    - All Discretionary
- What is the most effective use of these funds?
  - *Options*
  - *Considerations*
  - *TABA\$ as a function of...*
- Requesting TABA
  - *With proposal submission*
- Choosing a TABA vendor
  - *Credentials/ Past Performance*
  - *Scope of Work*
  - *Letter of Commitment*
- What to expect from TABA
- TechOpp Resources
- SBIR/STTR Reauthorization Act status

# What is TABA?

# Small Business Act

As amended by S.3971

- Discretionary Technical and Business Assistance
  - *Section 9, page 200 (q)(1)*
    - Each Agency shall authorize recipients of awards to select
    - This expands TABA to all federal agencies in the SBIR/STTR
- Note the Small Business Act drives the SBA Policy Directive
  - *Which then drives Agency-specific policies*
  - *Specific implementation is defined by each Agency*
    - Within the guidelines of the SBA Policy Directive



# Why does TABA exist?

Commercialization

SBA Section 9, page 178 item (4)

- (4) the term “Small Business Innovation Research Program” or “SBIR” means a program under which a portion of a Federal agency’s research or research and development effort is reserved for award to small business concerns through a uniform process having—
- (A) a first phase for determining insofar as possible, the scientific and technical merit and feasibility of ideas that appear to have commercial potential, as described in subparagraph (B), submitted pursuant to SBIR program solicitations;
- (B) a second phase, which shall not include any invitation, pre-screening, or pre-selection process for eligibility for Phase II, that will further develop proposals which meet particular program needs, in which awards shall be made based on the scientific and technical merit and feasibility of the proposals, as evidenced by the first phase, considering, among other things, the proposal’s commercial potential, as evidenced by—
- (i) the small business concern’s record of successfully commercializing SBIR or other research;
- (ii) the existence of second phase funding commitments from private sector or non-SBIR funding sources;
- (iii) the existence of third phase, follow-on commitments for the subject of the research; and
- (iv) the presence of other indicators of the commercial potential of the idea

# Why should I choose TABA?

Commercialization

- SBIR/STTR funding is short term federal, taxpayer funding to enable ideas to convert into products or services, stimulate economic growth and create new jobs
  - *“Short term” funds to “seed” longer term commercial success*
  - *SBIR/STTR is not an end in itself*
    - It enables small businesses to develop products and services for commercial use
- This is not traditional, long term, academic research
  - *Although many small businesses have their genesis in universities*
  - *There needs to be a paradigm shift from “research” to “product and service”*
    - Learning market needs (“pull”) is critical but not generally the small business Researcher’s skill set
    - TABA fills this gap by providing these skills and freeing the Researcher to do research

# If we build it, they will come



## Only in the movies...



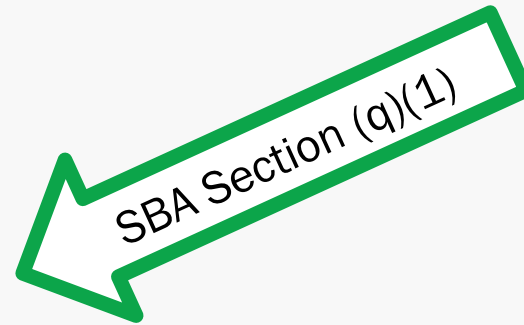
# Changes to TABA

S.3971 Impact

- TABA is expanded to all Agencies
- All TABA is now Discretionary TABA
  - *No government mandated TABA vendor*
  - *Small Business selects TABA and their vendor*
- Funding remains the same
  - *Phase I = \$6,500*
  - *Phase II = \$50,000*
- Agency Policy will define whether funding is in addition to the grant or included in the grant
- Agency Policy may require targeted reviews of TABA funding

# TABA Goals

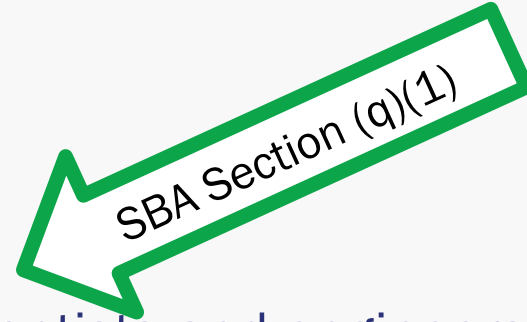
High Level Objectives



- For the purpose of:
  - A. *Making better technical decisions concerning such projects;*
  - B. *Solving technical problems which arise during the conduct of such projects;*
  - C. *Minimizing technical risks associated with such projects;*
  - D. *Developing and commercializing new commercial products and processes resulting from such projects, including intellectual property protections; and*
  - E. *Screening for potential foreign involvement in technology development or commercialization activities.*

# TABA Assistance Provided

Definition from SBA



- Access to a network of scientists and engineers engaged in a wide range of technologies
- Assistance with
  - *Product sales,*
  - *Intellectual property protections,*
  - *Cybersecurity assistance*
  - *Market research, market validation, and*
  - *Development of regulatory plans and manufacturing plans, or*
- Access to technical and business literature available through on-line data bases

# TABA Goals

## High Level Objectives

- For the purpose of:
  - A. *Making better technical decisions concerning such projects;*
  - B. *Solving technical problems which arise during the conduct of such projects;*
  - C. *Minimizing technical risks associated with such projects;*
  - D. *Developing and commercializing new commercial products and processes resulting from such projects, including intellectual property protections; and*
  - E. *Screening for potential foreign involvement in technology development or commercialization activities.*



# TABA Goals

## TABA Vendor Actions

- For the purpose of:
  - Making better technical decisions concerning such projects;*
  - Solving technical problems which arise during the conduct of such projects;*
  - Minimizing technical risks associated with such projects;*
  - Developing and commercializing new commercial products and processes resulting from such projects, including intellectual property protections, and*
  - Screening for potential foreign involvement in technology development or commercialization activities.*

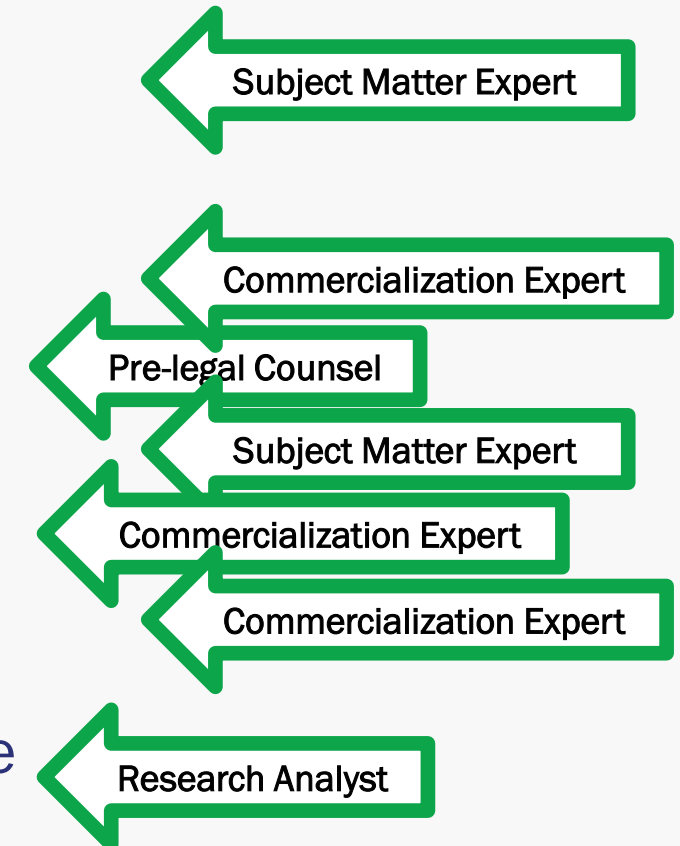


- Identify and assist in acquiring SME for specific technical consultation
- Identify Initial Use Case and alternate Use Cases
  - *Identify and contact End Users to determine Operational Requirements*
  - *Structures research and development towards sales*
- Research potential partnerships

# TABA Overview

Eligible use of funds

- Access to a network of scientists and engineers engaged in a wide range of technologies
- Assistance with
  - *Product sales,*
  - *Intellectual property protections,*
  - *Cybersecurity assistance*
  - *Market research, market validation, and*
  - *Development of regulatory plans and manufacturing plans, or*
- Access to technical and business literature available through on-line data bases



# TABA Overview

## TABA Vendor Actions

- Access to a network of scientists and engineers engaged in a wide range of technologies
- Assistance with
  - *Product sales,*
  - *Intellectual property protections,*
  - *Cybersecurity assistance*
  - *Market research, market validation, and*
  - *Development of regulatory plans and manufacturing plans, or*
- Access to technical and business literature available through on-line data bases



- Identify and assist in acquiring SME
- Identify Initial Use Case and alternate Use Cases
  - *Identify and contact End Users to determine Operational Requirements*
  - *Structures research and development towards sales*
- Research applicable business literature

# Effective Use of TABA

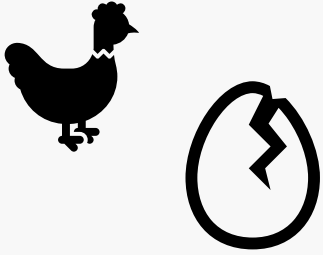
# Eligible Use of (TABA) Funds

SBA Section (q)(2)

- Select one or more vendors to assist in meeting the goals
- Staff augmentation to conduct or participate in training consistent with the goals

- For the purpose of:

- A. *Making better technical decisions concerning such projects;*
- B. *Solving technical problems which arise during the conduct of such projects;*
- C. *Minimizing technical risks associated with such projects;*
- D. *Developing and commercializing new commercial products and processes resulting from such projects, including intellectual property protections; and*
- E. *Screening for potential foreign involvement in technology development or commercialization activities.*



# Considerations

TABA\$ and Effort = f(technical progress & use case(s))

Phase	TRL	TABA funds	Technical Assistance	Commercialization: Market Research, Product Sales	IP Protection	Cybersecurity Assistance—(CMMC)	Regulatory & Manufacturing Plans	Foreign Involvement Screening	Add or Train Staff in TABA
I	<3	\$6,500	Systems Engineering	ID Use Cases for Phase II proposal	Pre-legal consult	Assess Level 1 capabilities	Initial assessment	Personnel & Partner screening	Training vs. Execution
II Yr 1	3-4	\$25,000	System Design	Use Case requirements	Competitive review	Plan for Level 2 per contract	Draft	Continue	Add, train or outsource
II Yr 2	4-5	\$25,000	Subsystem Design	Connect with End Users	Initiate legal protection	Execute Level 2 per contract	Finalize for Phase III	Continue	Add, train or outsource
<b>OR</b>									
II Yr 2	6+	\$25,000	Test & Evaluation	Secure demo agreements & sales opportunities	Secure protection	Execute Level 2 per contract	Validate for Phase III	Continue	Add, train or outsource

# How to request TABA

# Requesting TABA

Step-by-Step

- Must be requested at Phase I proposal submission
  - *Each Agency/Solicitation will have unique submission and TABA requirements*
  - *Solicitation will specify amount and inclusion or extra funds*
  - *Small Business will acquire TABA Provider who will provide a Letter of Commitment meeting certain requirements*
    - Scope of Work
    - Deliverable Schedule and Prices

# Choosing a TABA Provider

- There is no single list of TABA Providers for SBIR/STTR
  - *DOE does maintain one list: <https://science.osti.gov/sbir/Partnering-Resources/Commercialization-Services>*
  - *Internet search will surface a few Providers*
- It is best to interview several and determine their strengths and experience within each Agency
  - *Assess the “vibes” of this potential subcontractor business relationship*
    - Is there an understanding/interest in the technology?
    - Can you sense they have market and Use Case ideas and seem excited to work for you, not just give you ideas? Who is going to do the work?
    - Are the deliverables defined thoroughly and FFP invoicing prescribed?
  - *Ask for references and check them out*

# TABA Scope of Work

Customize for your needs

- Notionally, Scope of Work follows slide 14

Phase	TRL	TABA funds	Technical Assistance	Commercialization: Market Research, Product Sales	IP Protection	Cybersecurity Assistance	Regulatory & Manufacturing Plans	Foreign Involvement Screening	Add or Train Staff in TABA
I	<3	\$6,500	Systems Engineering	ID Use Cases for Phase II proposal	Pre-legal consult	Assess requirements	Initial assessment	Personnel & Partner screening	Training vs. Execution
II Yr 1	3-4	\$25,000	System Design	Use Case requirements	Competitive review	Initiate per contract	Draft	Continue	Add, train or outsource
II Yr 2	4-5	\$25,000	Subsystem Design	Connect with End Users	Initiate legal protection	Mature per contract	Finalize for Phase III	Continue	Add, train or outsource
<b>OR</b>									
II Yr 2	6+	\$25,000	Test & Evaluation	Secure demo agreements & sales opportunities	Secure protection	Implement	Validate for Phase III	Continue	Add, train or outsource

# Sample Statement of Work

DoD **Phase I SBIR**  
TechOpp, Inc.

- Each TABA Provider will be different
- This is the SOW for TechOpp
- Our focus is unique for each small business' needs
- Notional goal is to facilitate Phase II success
  - *Market ID & connections*
  - *Listen to real end users*
  - *Plan to contact primary and secondary market principals*
- Potentially unique to TechOpp
  - *We do not consult*
  - *We work*

*We think you should....*

*We found someone interested*

Deliverable	Description	Month	Price
Phase I TABA Plan	Review the SBIR/STTR topic and related technology. Identify applicable markets and research competitors. Meet with the client team to identify the most pressing technical and business needs. Perform a gap analysis and provide the client with a Phase I TABA Plan.	1	\$1,300
Markets and Opportunities Survey	Meet with the TPOC, if applicable, to determine key success criteria and preferred markets. Conduct market research to identify organizations and programs for transition. Survey additional opportunities (BAAs, conferences, technical groups, etc.). Deliver a markets and opportunities survey including a transition strategy to position for Phase II.	2	\$1,300
Contacts List and Marketing Materials	Research key decision-makers within organizations and programs of interest. Deliver a list of contacts and a one-page technology summary highlighting the technology's competitive advantages and specific applications. Develop outreach messaging and a marketing strategy.	3	\$1,300
Outreach and Opportunity Report	Execute an outreach campaign to the client-approved contacts. Facilitate meetings between the client and interested stakeholders. Based on initial results, revise the strategy, and perform secondary outreach. Summarize the campaign performance and deliver an Opportunity Report containing key statistics and next steps.	5	\$1,300
Commercialization Strategy and Final Report	Create a commercialization strategy based on market research and validation. Deliver a final TABA report summarizing the results of Phase I.	6	\$1,300
<b>Total</b>			<b>\$6,500</b>

# Sample Statement of Work

DoD **Phase II** SBIR  
TechOpp, Inc.

- Each TABA Provider will be different
- This is the SOW for TechOpp
- Our focus is driven by Phase II final Technology Readiness Level—see slide 14
  - *TRL <6—find more R&D funds*
  - *TRL >6—find demonstration/sales opportunities*
- Potentially unique to TechOpp
  - *We do not consult*
  - *We work*

We think you should....

We found someone interested

Deliverable Name	Objective	Price
Kickoff Meeting and Initial Strategy	Define specific objectives for the TABA project. Determine client goals and identify gaps to achieving those goals. Identify initial target markets, regulatory issues and IP protection plans.	\$5,000
Post Phase II Capture Strategy	Interview TPOC, if available, for Post Phase II planning. Research federal programs and commercial funding opportunities. Perform initial research of primary commercial markets. Identify networking events.	\$5,000
Contacts Research Report	Perform contacts research across relevant DOD, federal and commercial organizations. Identify program principals. Create preliminary marketing material to address use cases.	\$5,000
Post Phase II Transition Opportunity Report	If deemed appropriate by the client, perform outreach to federal and commercial contacts; or pursue additional federal funding opportunities and networking events identified in Post-PHII capture research.	\$5,000
Post-Phase II Capture Strategy	Create detailed plan to transition to federal or commercial applications and develop plan to apply for Post-Phase II funding. Identify team member targets and initiate discussions.	\$5,000
Technology Transition Opportunity Survey	Perform a broad market survey to include adjacent federal and commercial markets. Perform additional market and competitor research for primary markets. Research competitors, competing intellectual property and develop compelling differentiators.	\$5,000
Expanded Contacts Research Report	Perform contacts research across relevant commercial and federal organizations identified in the Technology Transition Opportunity Survey. Identify program principals.	\$5,000
Commercial & Federal Transition Opportunity Report	Perform outreach to commercial and federal contacts, if approved, or pursue additional commercialization and networking events identified in Opportunity Survey. Facilitate Post Phase II teaming/matching fund agreements.	\$5,000
Market Validation Report	Pursue federal and commercial opportunities identified above. Identify relevant consortia, trade shows, and conferences.	\$5,000
Final TABA Report	Complete outstanding tasks, prepare detailed TABA report. Include suggested next steps to pursue Post Phase II funding opportunities.	\$5,000

# Letter of Commitment

Notional version from  
TechOpp

- LOC is required to be submitted with the Phase I or Phase II proposal
  - *Required components are included*
    - Justification/experience
    - Scope of Work/Deliverables
    - Price and Schedule
- Execution is aligned with LOC
  - *Some customization of the effort at the Kickoff Meeting is expected*

Letter of Commitment to Provide Technical and Business Assistance (TABA)

TechOpp, Inc.  
1880 Pratt Drive, Suite 2007  
Blacksburg, VA 24060-6165  
Unique Entity ID: NRARL3CRXN73

Date Prepared: 09/23/2025

Dear Dr. [REDACTED]

Thank you for the opportunity to join your team on your Navy Phase I project, Topic No. [REDACTED]. TechOpp specializes in technology transition and business development. We have been supporting small businesses since 2009. Our unique TABA approach emphasizes engaging directly with stakeholders to fill resource gaps and to position you for Phase II success. Our objective for Phase I will be to facilitate commercializing your technology by researching applicable markets and initiating relationships with key decision-makers. We will also identify additional funding opportunities and networking events to pursue. Phase I deliverables are listed below and described on page 2.

1. Phase I TABA Plan
2. Markets and Opportunities Survey
3. Contacts List and Marketing Materials
4. Outreach Campaign and Opportunity Report
5. Commercialization Plan and Final Report

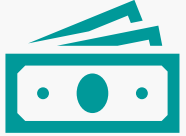
This work will be completed under a firm-fixed-price contract. Payments will be tied to specific deliverables delineated in the quote on page 2. The total cost will not exceed \$6,500. Estimated labor hours and rates are [REDACTED]. This rate is consistent with, or more favorable than, recent billings for similar work. We will be available for the 6-month project, which is expected to begin approximately March of 2026.

Thank you again for this opportunity.

Sincerely,  
  
Bob Fielder  
President  
TechOpp, Inc.

TechOpp, Inc. | 1880 Pratt Drive, Suite 2007 | Blacksburg, VA 24060  
www.techopp.com | bob.fielder@techopp.com

# What to Expect



# TABA Specifics

What to expect from  
TABA

- Brainstorm with project team for market ideas and **commercialization** strategy
- Interview Agency TPOC for Programs of Record (POR) suggestions
- Prepare Market Survey with market sizes, growth % and principals
  - *Identify specific companies/POR and Decision Makers therein*
  - *Reach out to create business relationships—learn End User use case specifics and discuss partnering for PII*
- Objective: Acquire transition partner for Phase II + Solidify a Phase III **Commercialization** Strategy (for the Phase II proposal)

Phase I Project

- Proposal
- Topic
- Technology
- Kickoff Meeting
- KO Meeting notes

Technical Monitor Call

- TPOC background
- Prescriptive questions
- Notes

Contacts List

- Federal
- Commercial
- LinkedIn search
- Bookkeep Principals
- No email yet

Marketing Materials

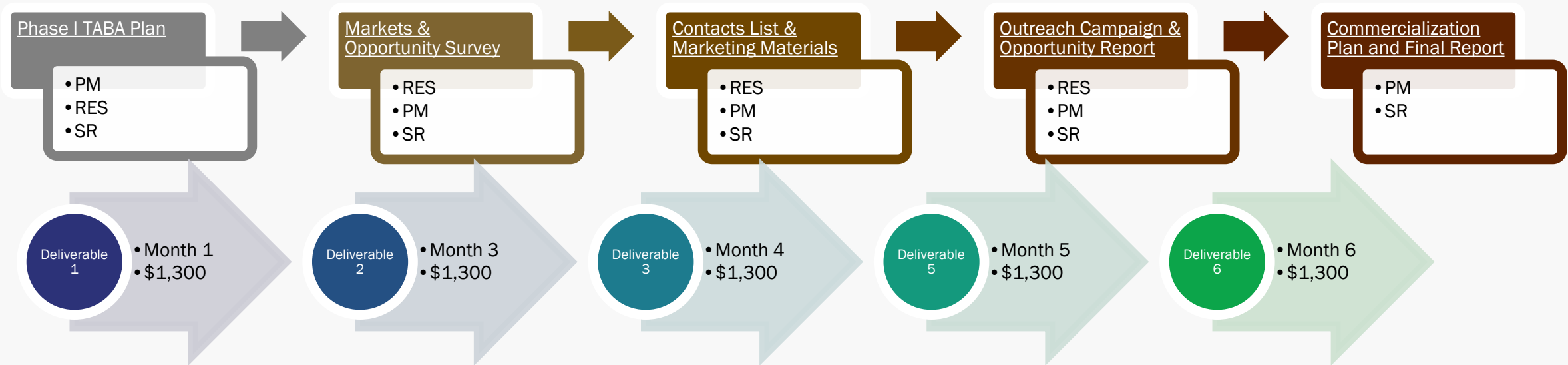
- Draft Tech Profile
- Relevant Conferences

Commercialization Plan

- Phase II Comm Section
- Strategy
- Content
- TABA for Phase II

Final Report

- TABA Deliverable History
- Opp Report Summary
- Contacts
- Tech Profile
- Outreach Results



Market(s) Identification

- Federal
- Commercial
- Size
- CAGR
- Principals

Opportunities

- Phase II SBIR
- Open & Funded BAA

Outreach Campaign

- Approved contacts
- Email text content
- Send emails
- Respond to interest
- Teleconferences
- Letter of Support

Opportunity Report

- Phase II SBIR
- Open & Funded BAA
- Conferences
- NDAs with Primes

# TABA Goals

TechOpp Engagement

- Discretionary: work for you, not the government
- Flexibility
- Commercialization focus
  - *Connect small business with real End User(s)*
  - *Discern Use Case(s) and Key Performance Parameters*
- Work, not consult
- Take work off your plate
- Enable the next phase of funding





What is important to the End User?



# Resources from TechOpp

# TechOpp Webinars

Actionable Guidance

	<h3>Create a Navy Phase II Commercialization-Transition Plan</h3> <p>While the Navy seeks to acquire new technologies developed under the SBIR program, given the commercialization requirements in the new SBIR legislation, it is imperative to also find commercial markets. This webinar covers how to create a compelling commercialization plan for Navy-related technologies.</p>
	<h3>Developing a Compelling DOE Phase II Commercialization Strategy</h3> <p>The Department of Energy SBIR program looks for high-impact technologies that will have significant long-term benefits. This webinar includes key considerations that are specific to DOE-funded projects.</p>
	<h3>Write your DOE Phase I SBIR/STTR Proposal to be Graded</h3> <p>Proposals are not read, they are graded. We emphasize how to carefully address each of the merit review criteria, and how to ensure your important ideas are clearly conveyed.</p>
	<h3>Enhancing Your NASA Market Opportunities with TABA Funding</h3> <p>You don't want NASA to be your only customer of your SBIR-developed technology. Learn how you can leverage TABA funding to move beyond NASA and into commercial markets.</p>

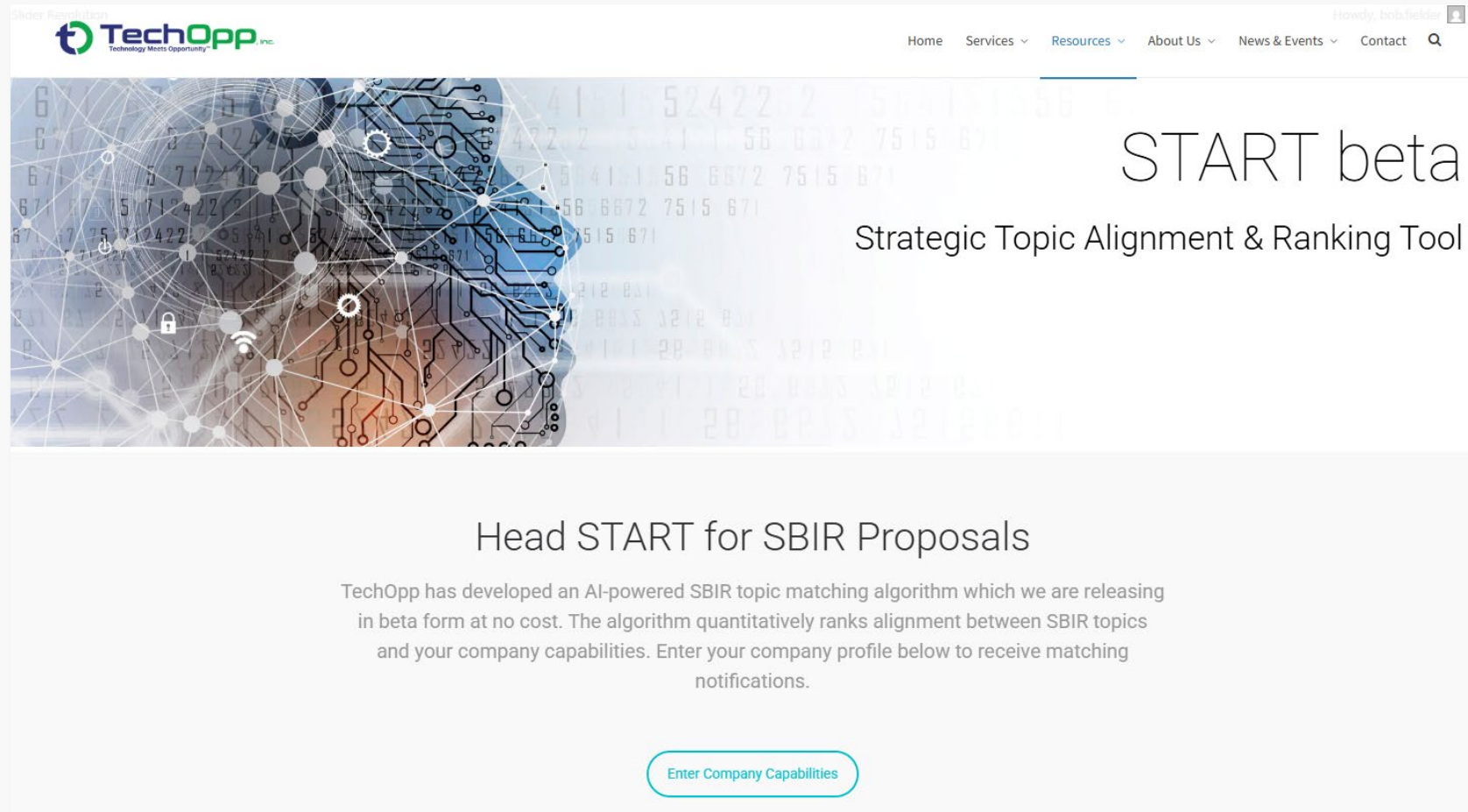
- Continuously offering free training
  - At Agency solicitation releases
  - Address challenging solicitation requirements
  - Create commercialization strategy
  - How to write to the Evaluator

[Register Here](#)

[Techopp.com/webinars](https://Techopp.com/webinars)

# SBIR Topic Search Tool

Enter capabilities,  
receive early  
notification of topics



The screenshot shows the TechOpp website's landing page for the SBIR Topic Search Tool. The page features a navigation menu with links for Home, Services, Resources, About Us, News & Events, and Contact. The main heading is "START beta Strategic Topic Alignment & Ranking Tool". Below this, a sub-heading reads "Head START for SBIR Proposals". The text explains that TechOpp has developed an AI-powered SBIR topic matching algorithm, available in beta at no cost, which quantitatively ranks the alignment between SBIR topics and company capabilities. A prominent button labeled "Enter Company Capabilities" is positioned at the bottom of the main content area.

Location: <https://techopp.com/resources/sbir-topic-search-tool/>

[AF Instructions: Phase II proposals require a comprehensive, detailed effort to be proposed in accordance with the information in these of the technology under development is extremely important. Proper commercial exploitation of resulting technologies are sought.

All D2P2 research or research and development (R/R&D) must be members in the United States, as defined in the DoD SBIR 23.3 BA. employment must be with the small business concern at the time of award. Primary employment means more than one-half the PI's time is spent full-time employment with another entity.

Knowingly and willfully making false, fictitious, or fraudulent statements in violation of U.S.C. Section 1001, punishable by a fine up to \$250,000, up to five years imprisonment, or both.

Please note the FWA Training must be completed prior to proposal submission. If certified, DSIP will indicate completion of the Volume 6 requirements. If training is complete, the DAF recommends completing submission early to avoid close, causing system lag. Do not wait until the last minute. The proposal must be completely submitted prior to the deadline due to system inaccessibility. Do not use any alternative means of submission outside of DSIP.]

**1 DoD Proposal Cover Sheet (Volume 1)**

[DoD Instructions: Complete the proposal Cover Sheet in accordance with the instructions. The technical abstract should include a brief description of the program objectives, benefits and commercial applications of the proposed research, and a list of each successful proposal will be submitted to the Office of the Secretary of Defense. Therefore, must not contain proprietary or classified information.]

**2 Technical Volume (Volume 2)**

**2.1 Table of Contents**

**1 DoD Proposal Cover Sheet (Volume 1)**

**2 Technical Volume (Volume 2)**

2.1 Table of Contents

2.2 Glossary

2.3 Milestone Identification

2.4 Identification and Significance of the Problem or Opportunity

2.4.1 Introduction

2.4.2 Phase II Evaluation Criteria

2.4.3 Problem

2.4.4 Solution Summary

2.4.5 Unique Position

2.4.6 Overview of 3-Phase Program and Key Outcomes

2.4.7 Resulting Product, Market Pull and Commercialization

2.5 Phase II Technical Objectives

2.5.1 Technical Approach

This proposal includes data that shall not be disclosed outside the Government without the prior written consent of the contractor. The data disclosed-in whole or in part-for any purpose other than to evaluate this proposal to this proposing SBC as a result of or in connection with the submission of this proposal. The contractor shall retain the right to duplicate, use, or disclose the data to the extent provided in this proposal. This restriction shall not limit the Government's right to use information contained in this data. The data subject to this restriction are contained in pages [insert page numbers]

2.5.2 Method  
2.5.3 Potential Commercial Application

**2.6 Work Plan**

2.6.1 Objective

2.6.2 Scope

2.6.3 Background

2.6.4 Task/Technical Requirements

**2.7 Deliverables**

**2.8 Related Work**

2.8.1 Significant activities conducted by the Principal Investigator

2.8.2 Proposer's Awareness of the State-of-the-Art in [specify area]

2.8.3 Previous Work Not Directly Related to the Proposed Work

**2.9 Commercialization Potential**

2.9.1 Commercialization Plan

2.9.2 Commercialization Strategy Plan

**2.10 Relationship with Future Research or Research and Development**

2.10.1 Anticipated Results

2.10.2 Significance of Phase II Effort

**2.11 Key Personnel**

2.11.1 Foreign Persons

2.11.2 Export Control

**2.12 Facilities/Equipment**

**2.13 Consultants/Subcontractors**

**2.14 Prior, Current or Pending Support of Similar Proposals or Projects**

**2.15 Risk/Mitigation Strategies NOTE THIS SECTION IS A TECHNICAL REQUIREMENT**

**3 Evaluation Criteria (for reference) [Remove Prior to Submission]**

**4 Page Count Allocation calculation (for reference; not an DAF requirement)**

**2.2 Glossary**

[AF Instructions: (2) Glossary: Include a glossary of acronyms and abbreviations.]

- TOC Suggestion: Insert Glossary defining all acronyms.

**2.3 Milestone Identification**

[AF Instructions: (3) Milestone Identification: Include a program schedule showing key milestones.]

- TOC Suggestion: Summarize the project visually in a Gantt chart or "real tool" used to manage the project, not just a pretty picture.

**2.4 Identification and Significance of the Problem or Opportunity**

[AF Instruction: (4) Identification and Significance of the Problem/Opportunity: Identify the technical problem/opportunity to be pursued under this effort.]

[Evaluation Criteria a. The soundness, technical merit, and innovation of the proposed approach and its incremental progress toward topic or subtopic solution.]

**NOTE: SUBHEADINGS IN THIS SECTION ARE THE RECOMMENDATION OF TECHOPP AND NOT AN AIR FORCE SOLICITATION REQUIREMENT**

**2.4.1 Introduction**

- TOC Suggestion: Demonstrate an understanding of the user's concept of operation, application requirements, implementation challenges, critical issue being solved, etc. If you don't know, ask the Topic Author, do research, talk to an end user; do not submit "blind" to the end user's requirements.
- TOC Suggestion: Summarize your solution to the topic or subtopic, addressing the bullet above, in a sentence or two ("elevator story").

**2.4.2 Phase II Evaluation Criteria**

- TOC Suggestion: These criteria will be used to evaluate your proposal. The Evaluation team may not be able to thoroughly read/review every section, therefore we suggest a table up front to aid the Evaluator. Proposals may not be thoroughly read, but they have to be evaluated.

**Table 1. Summary of [Client's] solution and its response to evaluation criteria**

Criteria	Summary	Proposal Section Reference
a. The soundness, technical merit, and innovation of the proposed approach and its incremental progress toward topic or subtopic solution.	TOC Suggestion: Summarize in two or three bullets that you have a sound, innovative approach with technical merit  TOC Suggestion: Summarize anticipated results of Phase I that prepares for Phase II that produces a prototype/beta for operational evaluation	TOC Suggestion: Insert links to the relevant sections that touch on the review criteria
b. The qualifications of the proposed principal/key investigators, supporting staff, and consultants. Qualifications include not only the ability to perform the research and development but also the ability to commercialize the results.	TOC Suggestion: Bulletize your key personnel with very brief qualifications, R&D successes, and commercialization successes	TOC Suggestion: Insert links to the relevant sections that touch on the review criteria
c. The potential for commercial (Government or private sector) application and the benefits expected to accrue from this commercialization.	TOC Suggestion: Bulletize federal programs and commercial markets  TOC Suggestion: Bulletize benefits to end user(s)	TOC Suggestion: Insert links to the relevant sections that touch on the review criteria

**2.4.3 Problem**

- TOC Suggestion: Other people have tried to solve this before, demonstrate an understanding of the current state of the art and how it falls short of satisfying the end user's need.

[Summarize your offer here]

- Challenge (end user)
- Solution
- Benefit 1 (end user)
- ...
- Benefit n

# Appendix

# Congress and Agency Responsibilities

Legislation to Directives to Policy

## Congressional Reauthorization Act

- Establishes congressional direction
- Prescribes funding

Passed legislation



The focus of Link

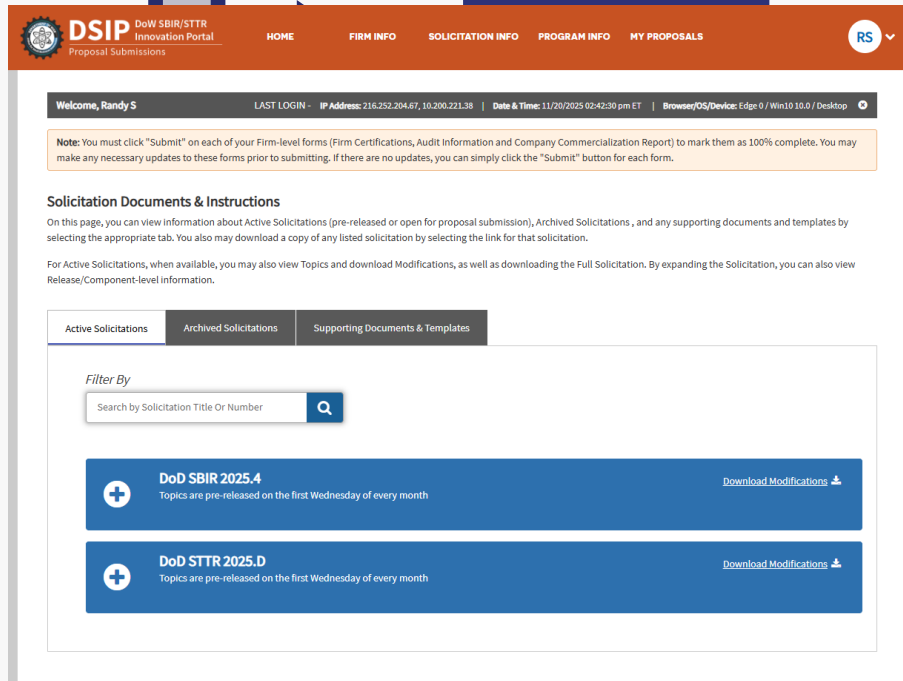
legislation incorporate Act

## SBIR/STTR Policy Directive

- Single directive by SBA
- Advises all Agencies

## Agency-Specific: Regulations & Procedures

- Specific implementation for each Agency
- Inconsistent



# Legislation

## SBIES Act

119TH CONGRESS  
2D SESSION

### S. 3971

---

#### AN ACT

To extend the SBIR and STTR programs, and for other purposes.

1 *Be it enacted by the Senate and House of Representatives*  
2 *of the United States of America in Congress*

2

1 **SECTION 1. SHORT TITLE.**  
2 This Act may be cited as the “Small Business Innovation and Economic Security Act”.

4 **SEC. 2. BOLSTERING RESEARCH SECURITY OF SBIR AND**  
5 **STTR AWARDS.**  
6 (a) IN GENERAL.—Section 9 of the Small Business  
7 Act (15 U.S.C. 638) is amended—  
8 (1) in subsection (g)—  
9 (A) by redesignating paragraphs (15),  
10 (16), and (17) as paragraphs (16), (18), and  
11 (19), respectively;  
12 (B) by inserting after paragraph (14) the  
13 following:

3. [S.3971](#) — 119th Congress (2025-2026)  
**Small Business Innovation and Economic Security Act**  
Sponsor: [Ernst, Joni \[Sen.-R-IA\]](#) (Introduced 03/03/2026) Cosponsors: (1)  
Latest Action: House - 03/17/2026 Motion to reconsider laid on the table Agreed to without objection. (All Actions)  
Tracker: Introduced → Passed Senate → Passed House → To President → Became Law

- Small Business Innovation and Economic Security Act
  - March 4, 2026
  - Jointly introduced by Sen. Ernst and Sen. [Name] in the Senate
  - [Name] of the Senate’s Small Business Committee
  - unanimously
  - representatives
- Passed the House
  - March 17
- Next to the President for signature
  - Or in 10 days will become law

Full Text: <https://www.congress.gov/bill/119th-congress/senate-bill/3971?s=1&r=8>

# Small Business Act

Amendments per  
SBIES Act

## SMALL BUSINESS ACT

[Public Law 85-536; Approved July 18, 1958]

[As Amended Through P.L. 119-74, Enacted January 23, 2026]

[15 U.S.C. 631 et seq.; 72 Stat. 384 et seq.]

[Currency: This publication is a compilation of the text of Public Law 85-536. It was last amended by the public law listed in the As Amended Through note above and below at the bottom of each page of the pdf version and reflects current law through the date of the enactment of the public law listed at <https://www.govinfo.gov/app/collection/comps/>]

[Note: While this publication does not represent an official version of any Federal statute, substantial efforts have been made to ensure the accuracy of its contents. The official version of Federal law is found in the United States Statutes at Large and in the United States Code. The legal effect to be given to the Statutes at Large and the United States Code is established by statute (1 U.S.C. 112, 204).]

AN ACT To amend the Small Business Act of 1953, as amended.

*Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled,* That title II of the Act of July 30, 1953 (Public Law 163, Eighty-third Congress), as amended, is hereby withdrawn as a part of that Act and is made a separate Act to be known as the "Small Business Act".

SEC. 1. [15 U.S.C. 631 note] This Act may be cited as the "Small Business Act".

SEC. 2. [15 U.S.C. 631] (a) The essence of the American economic system of private enterprise is free competition. Only through full and free competition can free markets, free entry into business, and opportunities for the expression and growth of personal initiative and individual judgment be assured. The preservation and expansion of such competition is basic not only to the economic well-being but to the security of this Nation. Such security and well-being cannot be realized unless the actual and potential capacity of small business is encouraged and developed. It is the declared policy of the Congress that the Government should aid, counsel, assist, and protect, insofar as is possible, the interests of small-business concerns in order to preserve free competitive enterprise, to insure that a fair proportion of the total purchases and contracts or subcontracts for property and services for the Government (including but not limited to contracts or subcontracts for maintenance, repair, and construction) be placed with small-business enterprises, to insure that a fair proportion of the total sales of Government property be made to such enterprises, and to maintain and strengthen the overall economy of the Nation.

(b)(1) It is the declared policy of the Congress that the Federal Government, through the Administrator of the Small Business Administration, acting through the Associate Administrator for Inter-

1

February 11, 2026

As Amended Through P.L. 119-74, Enacted January 23, 2026

- TechOpp took the S.3971 and incorporated the proposed changes into the Small Business Act
- We then commented on each revised section of the Small Business Act to include those elements of interest to the Small Business Community
- We presented a LinkedIn Live webinar which is archived [here](#):
  - Full presentation
  - Slide deck for download

# Line by Line Assessment

SPIES Act

Page by page summary of the SPIES Act's Changes to the Small Business Act  
SPIES is the draft version downloaded Feb 26, 1026  
Small Business Act is as amended through P.L. 119-74, Jan 23--2026

Section 9 is where the Act is amended and begins on page 174 of the SBA

Page	Section	Change	Small Business Impact
181	(20)	Defines "agency acquisition work"	N/A
184	(15)	Agency requirement to "evaluate whether a small business concern presents a security risk..."	N/A
184	(16)	Modifies the definition of "small business concern" to include a list of "significant lists" to avoid	Significant list of "significant lists" to avoid
185	(17)	Termination and the basis	N/A

Note: comments are aligned with the edited Small Business Act

[LinkedIn webinar](#) continues to the end of the Act



# Thank You

Randy Simpson, COO

TechOpp, Inc.

Blacksburg, VA 24060

[randy.simpson@techopp.com](mailto:randy.simpson@techopp.com) | 540-744-5854

[www.TechOpp.com](http://www.TechOpp.com) | 540-627-5129

© 2026, TechOpp, Inc., All Rights Reserved