

Business Case: Capital Asset Summary

Part I: Summary Information and Justification (All Capital Assets)

Section A: Overview & General Information

Date Investment First Submitted: 2010-09-17
Date of Last Change to Activities: 2021-07-26
Investment Auto Submission Date:
Date of Last Investment Detail Update: 2020-09-25
Date of Last Business Case Update: 2021-07-26
Date of Last Revision: 2021-07-26

Agency: 028 - Small Business Administration **Bureau:** 00 - Agency-Wide Activity

1. Name of this Investment: (OII) Small Business Innovative Research (SBIR)

2. Unique Investment Identifier (UII): 028-000008007

Section B: Investment Detail

- Provide at least one Agency Strategic objective code ([A-11 Section 230](#)) and/or Agency Priority Goal code ([A-11 Section 250](#)) that this investment aligns to on performance.gov. If this investment aligns to more than one Agency strategic objective code and/or Agency Priority goal code list all that apply. If your agency does not report to performance.gov please use "0". This is required for Agency IT Portfolio Summary Part 1 and Part 2 Investments, not for Part 3 Investments.**

Agency Strategic Objective(s):

028SO18186: Expand Access to Capital

028SO18191: Create a Small Business Friendly Environment

028SO18195: Implement Enterprise-wide Information System Modernization and Cost-effective Technology

Agency Priority Goal(s):

- Briefly describe the investment's return on investment, including benefits internal and external to the government and outcomes achieved or planned.**

The SBIR investment is a one-stop site for all SBIR/STTR program related information. It is an integrated repository of program data that facilitates SBIR program evaluation and reporting across the 11 participating Federal agencies. With the automation of agencies Annual Reports, enhancements to the SBIR.gov portal and the integration of the previous enhanced TechNet database into SBIR.gov, the SBIR investment provides a secure, web based electronic system for the collection of Commercialization Phase III, Non-Awardee, and Phase I and II information as mandated by Congress. The platform is used to collect and host proposals, awards granted and proposals submitted by participating agencies and to provide transparency to mitigate fraud, waste and abuse within the program. The recently added Company Registry is a new element of the

SBIR/STTR data system that facilitates the application process and reduces the need for multiple data entry. Having one central registry helps coordinate data collection across agencies, and will save small businesses from having to input the same data across different agencies, across different years. The result will be shortened timelines for application evaluation and award notification. With more support for Commercialization efforts, enhanced provisions for Phase III transitions, greater reporting from agencies for increased accountability in the program and stronger measures to prevent fraud, waste, and abuse in the program, the SBIR investment demonstrates an excellent return on investment for the government. This system will be in an ongoing development in order to maintain compliance with OMB, SBA, and Congressional requirements, due to the yearly data updates from the 11 participating federal agencies. Planned activities primarily focus around data collection, curation, and analysis in order to monitor and assess the health of the SBIR/STTR programs from the 11 participating federal agencies.

3. **If this investment will result in the elimination or the reduction of another major or non-major investment(s), please complete the following:**

Table I.B.1 Affected Investment Information	
Investment UII	To Be Status
NONE	

4. **Does the Investment currently include an intra- or inter-Agency shared service (common, shared, or centralized solution)?:**

YES

5. **Does the Investment plan to include an Intra- or Inter-Agency shared service that it does not currently include (common, shared, or centralized solution)?:**

NO

6. **If systems contained in this Investment collect data from the public, please identify the OMB Control Numbers which authorize that data collection as per the Paperwork Reduction Act. Use [Reginfo](#) at the following link to identify information collection requests and OMB control numbers. Agencies can work with their Records Officers to determine the applicability.**

3245-0199|3245-0242|3245-0356

7. **Provide the name of the Investment-level project manager:**

Erick Page-Littleford

8. **Select the qualification/experience level of the Investment-level project manager (select one):**

4 - Other certification with 4 or more years PM experience (within the last five years)

Section C: Life Cycle Costs

1. Provide the total estimated life cycle costs for the investment in millions. Note: Do not enter information in the grey cells as these will be calculated.

Table I.C.1 Life Cycle Costs				
	PY-1 & Prior	PY 2021	CY 2022	BY 2023
Planning Costs:	0	\$0.076780	0	0
DME (Excluding Planning) Costs:	0	\$0.196914	\$0.496130	\$1.719540
DME (Including Planning) Govt. FTEs:	0	0	0	0
Sub-Total DME (including Internal Labor (Govt. FTE)):	0	\$0.273694	\$0.496130	\$1.719540
O & M Costs:	\$0.375000	\$1.089990	\$1.174979	\$0.346900
O & M Internal Labor (Govt. FTE):	0	\$0.223695	\$0.230023	\$0.237350
Sub-Total O & M Costs (Including Internal Labor (Govt. FTE)):	\$0.375000	\$1.313685	\$1.405002	\$0.584250
Total Cost (Including Internal Labor (Govt. FTE)):	\$0.375000	\$1.587379	\$1.901132	\$2.303790
Total Cost Internal Labor (Govt. FTE) costs:	0	\$0.223695	\$0.230023	\$0.237350
# of FTE rep by costs:	3	2	2	2
Total change from prior year final President's Budget (\$)		\$1.587379	\$1.901132	
Total change from prior year final President's Budget		0.00%	0.00%	

Table I.C.1 Life Cycle Costs

	PY-1 & Prior	PY 2021	CY 2022	BY 2023
(%)				

2.
 - a. In which year did or will this investment begin? (specify year - e.g., PY-1= 2019)
2010
 - b. In which year will this investment reach the end of its estimated useful life? (specify year - e.g., FY+5 = 2027)
2024
3. Compare the funding levels for PY and CY to the final FY 2022 President's Budget for those same years. Briefly explain any significant changes. When making comparisons, ensure that you compare same-year-to-same-year (e.g., the FY20 level for 2020 versus the FY21 level for 2020):
The budgeted numbers for FY 16 and 17 are comparable

Business Case Detail: Performance Measurement Report

Section A1: General Information

1. **Name of this Investment:** (OII) SMALL BUSINESS INNOVATIVE RESEARCH (SBIR)
2. **Unique Investment Identifier (UII):** 028-000008007

Section C1: Projects Table

Projects Table C.1

Unique Project ID	Project Name	Project Goal	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)	Software Project?
14217	SBIR.gov Enhancements 2017	Enhancements for www.sbir.gov interface to the existing Tech-Net system in order to meet agency needs while continuing to address statutory requirements as well as Operations and maintenance support.	09/28/2017	09/29/2018	\$1.3	
14218	SBIR.gov Enhancements 2018	Further development and enhancements of the SBIR.gov database and website.	09/26/2018	09/25/2019	\$0.9	No
14219	SBIR.gov Enhancements 2020	Enhancements for SBIR.gov business intelligence system to address statutory requirements and meet agency needs, as well as operations and maintenance support.	09/26/2019	09/25/2020	\$1.0	No
2021Q1AR	SBIR.GOV 2021 O&M and Enhanced Data Management	Develop enhanced annual reporting module for FY21 agency submissions reflective of data collection requirements and informed through customer experience feedback, and ongoing operations and management support.	10/01/2020	09/30/2021	\$1.2	No
2021_CX	SBIR.GOV 2021 Customer Discovery and Technology Roadmap	In depth human center designed customer discovery activity with all major SBIR.gov stakeholders, as well as an infrastructure/architectural review including addressing security, architecture, and enhanced modernized functionality.	04/05/2021	09/27/2021	\$0.5	No

Section C2: Project Activities

1. Provide all non-agile project activities for projects in Table C.1 that started in a previous FY (PY and earlier) and that have not been completed by the beginning of the CY, as well as activities that are scheduled to start in the current FY and BY.

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
14217	SBIR.gov Enhancements 2017 Q1	First Quarter Progression	14217.1.1	2017-09-28	2017-09-28	2017-09-28	2017-12-28	2017-12-28	2017-12-28	0.250000	0.250000	0.250000
14217	SBIR.gov Enhancements 2017 Q2	Second Quarter Progression	14217.1.2	2017-12-28	2017-12-28	2017-12-28	2018-03-28	2018-03-28	2018-03-28	0.250000	0.250000	0.250000
14217	SBIR.gov Enhancements 2017 Q3	Third Quarter Progression	14217.1.3	2018-03-28	2018-03-28	2018-03-28	2018-06-28	2018-06-28	2018-06-28	0.250000	0.250000	0.250000
14217	SBIR.gov Enhancements 2017	Continued updating and ongoing enhancements of the SBIR.gov website and database for 2017 and 2018	14217.1	2017-09-28	2017-09-28	2017-09-28	2018-09-28	2018-09-28	2018-09-28	1.000000	1.000000	1.000000
14217	SBIR.gov Enhancements 2017 Q4	Fourth Quarter Progression	14217.1.4	2018-06-28	2018-06-28	2018-06-28	2018-09-28	2018-09-28	2018-09-28	0.250000	0.250000	0.250000
14218	First Quarter Progression	Q1 Progression	14218.2.1	2018-09-26	2018-09-26	2018-09-26	2018-12-26	2018-12-26	2018-12-26	0.232614	0.232614	0.232614
14218	Second Quarter Progression	Q2 Progression	14218.2.2	2018-12-26	2018-12-26	2018-12-26	2019-03-26	2019-03-26	2019-03-26	0.232614	0.232614	0.232614
14218	Third Quarter Progression	Q3 Progression	14218.2.3	2019-03-26	2019-03-26	2019-03-26	2019-06-26	2019-06-26	2019-06-26	0.232614	0.232614	0.232614
14218	SBIR.gov Enhancements 2018	Continued updating and ongoing enhancements	14218.2	2018-09-26	2018-09-26	2018-09-26	2019-09-25	2019-09-25	2019-09-25	0.930456	0.930456	0.930456

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
		of the SBIR.gov website and database for 2018 and 2019										
14218	Fourth Quarter Progression	Q4 Progression	14218.2.4	2019-06-26	2019-06-26	2019-06-26	2019-09-25	2019-09-25	2019-09-25	0.232614	0.232614	0.232614
14219	SBIR.gov Homepage Design Refresh	Refresh homepage of SBIR.gov to take into account customer experience feedback	14219.3.2	2020-03-06	2020-03-06	2020-03-06	2020-05-31	2020-05-31	2020-05-31	0.130000	0.130000	0.130000
14219	SBIR.gov Enhancements 2019	Continued updating and ongoing enhancements of the SBIR.gov website and database for 2019 and 2020	14219.3	2020-03-06	2020-03-06	2020-03-06	2020-06-12	2020-06-12	2020-06-26	0.206780	0.206780	0.206780
14219	SBIR.gov AoA for Drupal 7 Migration	Analysis of alternatives to address SBIR.gov migration off Drupal 7 before end of life November 2021.	14219.3.1	2020-03-06	2020-03-06	2020-03-06	2020-06-12	2020-06-12	2020-06-26	0.076780	0.076780	0.076780
2021Q1AR	AR FY20 Module	Enhanced annual reporting module for AR FY20 data collection.	2021Q1AR.1.1	2020-10-01	2020-10-01	2020-10-01	2020-12-31	2020-12-31	2021-01-12	0.416733	0.416733	0.368327
2021Q1AR	Company Commercialization	Enhancements required to	2021Q1AR.1.3	2021-01-14	2021-01-14	2021-01-14	2021-02-26	2021-02-26	2021-03-04	0.080000	0.080000	0.080000

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
	Reporting	facilitate DoD SBIR 21.1/A successful utilization of SBIR.gov Company Commercialization Reporting (CCR) module.										
2021Q1AR	ARFY20 Enhancements	Enhancing Annual Reporting module for FY21.	2021Q1AR.1	2020-10-01	2020-10-01	2020-10-01	2021-03-27	2021-03-27	2021-03-30	0.600916	0.600916	0.552510
2021Q1AR	Enhanced Taxonomy	Enhanced agency branching and reporting taxonomy to facilitate HHS and DoD unique component reporting.	2021Q1AR.1.2	2021-01-01	2021-01-01	2021-01-12	2021-03-27	2021-03-27	2021-03-30	0.104183	0.104183	0.104183
2021Q1AR	Ongoing O&M with Minor Enhancements	Quarter three ongoing operations and maintenance activity, including: User community annual recertification; ongoing data reconciliation; enhanced commercialization data access, and streamlined award data extractions.	2021Q1AR.3	2021-03-28	2021-03-29	2021-03-30	2021-06-28	2021-06-28	2021-06-28	0.276240	0.276240	0.276240

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
2021Q1AR	4th Quarter Operations & Maintenance	Quarter four ongoing operations and maintenance activity, including: ongoing data reconciliation; additional CCR support for DoD; and review and modification of company registration processes.	2021Q1AR.4	2021-06-28	2021-06-28	2021-06-28	2021-09-27	2021-09-27		0.276240	0.276240	
2021_CX	CX and Functional Modernization	In-depth customer experience and modernization road mapping initiative to future proof SBIR.gov and resolve current end-of-life challenges.	2021_CX.1	2021-04-05	2021-04-05	2021-04-08	2021-09-27	2021-09-27		0.480496	0.480496	

Section D: Operational Data

1. Provide the date and results of the last Operational Analysis (for operational and mixed life cycle systems/Investments):

1. Date of Analysis:

2. Analysis Results:

3. Analysis Conclusion: initiate modernization/replacement action

2. Report a minimum of 5 metrics using the following table to provide metrics and actual results for each individual metric:

Metrics Definitions and Actual Results Table D.2 / D.3										
Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
30117	Throughput - Number of work items (User Stories addressing defects, content changes, and other activities) completed during a two-week sprint.	Average Completed Work Items per sprint.	3 - Financial Performance	14.000000		12.000000	Under target	Quarterly		No
Metric ID	Actual Result ID	Actual Result	Date of Actual Result	Comment						
30117	289505	13.000000	06/30/2021							
30117	284072	11.000000	03/31/2021							
30117	278621	14.000000	12/31/2020							
29653	Reduce tier-1 helpdesk incidents (bug reports).	Number of Helpdesk Incidents	3 - Financial Performance	10.000000	10.000000	10.000000	Under target	Quarterly	028SO18186 : Expand Access to Capital	Yes
Metric ID	Actual Result ID	Actual Result	Date of Actual Result	Comment						
29653	264805	0.000000	12/18/2018							
29653	264804	1.000000	09/18/2018							

Metrics Definitions and Actual Results Table D.2 / D.3

Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
29652	Reduce the average time required by Agencies to complete the SBIR Annual Report process.	Average Time in Months	2 - Strategic and Business Results		29653	264803	1.000000	06/29/2018		
					29653	264802	1.000000	03/16/2018		
					29653	264801	2.000000	12/29/2017		
					29653	264800	2.000000	09/30/2017		
					29653	264799	4.000000	06/26/2017		
					29653	264798	5.000000	03/09/2017		
					29653	264797	3.000000	01/11/2017		
					1.500000	2.000000	Under target	Annual	028SO18195 : Implement Enterprise-wide Information System Modernization and Cost-effective Technology	No
Metric ID	Actual Result ID	Actual Result	Date of Actual Result	Comment						
29652	289506	2.200000	05/21/2021							
29652	272006	3.600000	06/30/2020							
29652	272005	3.000000	06/30/2019							
29652	264796	3.000000	06/29/2018							
29652	264795	3.000000	06/26/2017							

Metrics Definitions and Actual Results Table D.2 / D.3

Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
29651	Establish and promote a customer portal for SBIR awardee s/non-awardee data.	Number of Visits to Portal	2 - Strategic and Business Results		1000000.000000	1000000.000000	Over target	Quarterly	028SO18195 : Implement Enterprise-wide Information System Modernization and Cost-effective Technology	No

Metric ID	Actual Result ID	Actual Result	Date of Actual Result	Comment
29651	289507	715313.000000	06/30/2021	
29651	284073	747346.000000	03/31/2021	
29651	276407	549138.000000	12/31/2020	
29651	272007	596162.000000	09/30/2020	
29651	267744	570471.000000	06/30/2020	
29651	264794	518750.000000	03/12/2020	
29651	264793	436044.000000	12/15/2019	
29651	264792	502860.000000	06/19/2019	
29651	264791	451891.000000	09/10/2019	
29651	264790	524513.000000	03/16/2019	
29651	264789	421829.000000	09/18/2018	
29651	264788	439532.000000	12/18/2018	

Metrics Definitions and Actual Results Table D.2 / D.3

Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
29650	Increase the percentage of uptime of TECH-net database for viewing and upload of data (excludes scheduled maintenance).	Percentage Uptime	2 - Strategic and Business Results		29651	264787	415263.000000	06/29/2018		
					29651	264786	380770.000000	03/16/2018		
					29651	264785	316829.000000	12/29/2017		
					29651	264784	326426.000000	09/30/2017		
					29651	264783	357794.000000	06/26/2017		
					29651	264782	407138.000000	03/09/2017		
					29651	264781	339265.000000	01/11/2017		
					99.000000	99.000000	Over target	Monthly	028SO18195 : Implement Enterprise-wide Information System Modernization and Cost-effective Technology	No
Metric ID	Actual Result ID	Actual Result	Date of Actual Result	Comment						
29650	291314	99.990000	07/31/2021							
29650	289508	100.000000	06/30/2021							
29650	287278	100.000000	05/31/2021							
29650	286390	99.930000	04/30/2021							
29650	284074	100.000000	03/31/2021							

Metrics Definitions and Actual Results Table D.2 / D.3										
Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
					29650	281219	100.000000	02/28/2021		
					29650	278622	99.920000	01/31/2021		
					29650	276408	99.960000	12/31/2020		
					29650	274992	99.970000	11/30/2020		
					29650	274572	99.990000	10/31/2020		
					29650	272009	99.980000	09/30/2020		
					29650	272008	100.000000	08/31/2020		
					29650	267746	100.000000	07/31/2020		
					29650	267745	100.000000	06/30/2020		
					29650	264780	100.000000	05/31/2020		
					29650	264779	100.000000	04/13/2020		
					29650	264778	99.700000	03/12/2020		
					29650	264777	99.970000	02/12/2020		
					29650	264776	99.960000	01/12/2020		
					29650	264775	99.990000	12/15/2019		
					29650	264774	98.900000	11/18/2019		
					29650	264773	99.980000	10/10/2019		

Metrics Definitions and Actual Results Table D.2 / D.3

Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
					29650	264772	99.990000	09/10/2019		
					29650	264771	99.980000	08/16/2019		
					29650	264770	100.000000	07/16/2019		
					29650	264769	100.000000	06/19/2019		
					29650	264768	99.990000	05/23/2019		
					29650	264767	99.230000	04/14/2019		
					29650	264766	99.990000	03/16/2019		
					29650	264765	99.990000	02/16/2019		
					29650	264764	100.000000	01/31/2019		
					29650	264763	100.000000	12/31/2018		
					29650	264762	100.000000	11/30/2018		
					29650	264761	100.000000	10/31/2018		
					29650	264760	99.900000	09/28/2018		
					29650	264759	99.990000	08/31/2018		
					29650	264758	99.950000	07/31/2018		
					29650	264757	99.860000	06/29/2018		
					29650	264756	97.490000	05/31/2018		

Metrics Definitions and Actual Results Table D.2 / D.3

Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
					29650	264755	99.910000	04/30/2018		
					29650	264754	99.980000	03/16/2018		
					29650	264753	92.860000	02/04/2018		
					29650	264752	99.990000	01/04/2018		
					29650	264751	99.990000	12/29/2017		
					29650	264750	99.900000	11/30/2017		
					29650	264749	97.200000	10/31/2017		
					29650	264748	99.900000	11/20/2017		
					29650	264747	97.200000	10/21/2017		
					29650	264746	99.500000	09/30/2017		
					29650	264745	98.320000	08/31/2017		
					29650	264744	99.620000	07/31/2017		
					29650	264743	99.020000	06/26/2017		
					29650	264742	98.390000	05/09/2017		
					29650	264741	99.670000	04/09/2017		
					29650	264740	99.310000	03/09/2017		
					29650	264739	97.300000	02/28/2017		

Metrics Definitions and Actual Results Table D.2 / D.3

Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
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29650 264738 99.480000 01/11/2017

29649	Reduce Bounce Rate - where Bounce Rate is the percentage of visitors that visit one page on a website but exit the site before visiting another page.	Bounce Rate Percentage	1 - Customer Satisfaction (Process Results)		70.000000	70.000000	Under target	Quarterly	028SO18195 : Implement Enterprise-wide Information System Modernization and Cost-effective Technology	No
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Metric ID	Actual Result ID	Actual Result	Date of Actual Result	Comment
29649	289509	68.930000	06/30/2021	
29649	284075	68.930000	03/31/2021	
29649	276409	64.530000	12/31/2020	
29649	272010	64.200000	09/30/2020	
29649	267747	61.860000	06/30/2020	
29649	264737	60.540000	03/12/2020	
29649	264736	62.400000	12/15/2019	
29649	264735	63.660000	09/10/2019	
29649	264734	62.120000	06/19/2019	
29649	264733	66.700000	03/16/2019	
29649	264732	61.500000	09/18/2018	

Metrics Definitions and Actual Results Table D.2 / D.3

Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
					29649	264731	64.220000	12/18/2018		
					29649	264730	57.180000	03/30/2018		
					29649	264729	60.640000	09/30/2017		
					29649	264728	64.040000	06/26/2017		