



# **ADAPT Direct to Phase II SBIR What is it and how does it work?**

***Lee Ann Boyer, DON SBIR/STTR  
Commercialization PM***

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# Important

The BAA takes precedence over any information presented today.



# Overview

- What is SBIR?
- Who can participate?
- What are the steps in the process and how long will it take?
- Why the 2-Step process for Proof of Feasibility followed by Proposals?
- How is “Proof of Feasibility” determined?
- What is included my proposal?
- Where do we submit our Proof of Feasibility/Proposal?
- When will we find out if we are eligible to submit a proposal?
- Where can I go to get help?



# What is SBIR?

- Small Business Innovation Research (SBIR)- is a program to involve US small businesses in the performance of federal research and development (R&D) and the commercialization of products, processes, and services that results therefrom
- SBIR allows the company to maintain commercial rights to the intellectual property developed under the R&D while the government has restricted rights for a limited period and then attains government purpose rights
- SBIR is a 3-Phase program with the first Phase designed to prove feasibility of the concept or idea, the second phase to develop a working and tested prototype, and a third phase which is for further work that derives from, extends or completes the work done under prior SBIR funded awards (i.e. commercialization)



# Who can participate?

- SBIR Phase II requires:
  - Companies must have 500 employees or less including affiliates
  - Be US owned and operated
  - Perform all the work in the US
  - Perform a minimum of 50% of the work themselves
  - Full-time employer of the Principal Investigator
- ADAPT BAA has several differences from standard Phase II:
  - Direct to Phase II (DP2) solicitation under the statutory pilot authority granted to the Department of Defense
  - Phase II awards up to 150% of the award guidelines established by the Small Business Administration
  - Proposals will be allowed from majority-owned Venture Capital Operating Companies, Hedge Funds, or Private Equity Firms



# What are the steps in the process and how long will it take?

The ADAPT SBIR DP2 BAA involves a 2-step process for award involves (1) Proof of Feasibility Submission (POFS) and (2) a Direct to Phase II (DP2) Proposal

<b>ADAPT BAA Pre-Release</b>	<b>20 March</b>
Adapt BAA Opens for POF Submission	12 April
Last day to submit questions in SITIS	26 April
POF Submissions due by 2pm ET	13 May
Notification of Proposal Eligibility*	28 May
DP2 Proposal Due by 2pm ET*	11 June
Notification of Award Selection*	25 June
Award of OTA*	12 August

\* Estimated based on current plans



# Why the 2-Step process for Proof of Feasibility followed by Proposals?

- Before an SBIR award can be made under the DP2 statutory authority an Agency must determine that the small business has demonstrated the scientific and technical merit of their technology solution and that it has capability for commercialization
- The 2-step process enables the small business to avoid the expense of preparing a full DP2 proposal if they do not meet Proof of Feasibility requirements while also allowing additional time and feedback for those small businesses that do prepare proposals
- Government reviewers can minimize the DP2 proposal requirements and overall review time by eliminating the need to review proposals from ineligible candidates



# How is “Proof of Feasibility” determined?

- Technical Proof of Feasibility (POF) and eligibility for submission of DP2 proposals is based solely on the POF Submission (POFS)
- POFS must establish:
  - Existing technology, designs or concepts have been developed and tested to the point that it is possible to meet the DON objectives and with further development have a high probability of meeting the DON requirements
  - Plans for developing the technology to meet the DON technology needs verify the current state of the technology and demonstrate an understanding of the development required to meet DON needs
  - Technology currently existing or to be developed has a likelihood of successful commercialization and that the company or staff have the expertise or will hire the necessary expertise to succeed
  - Resources and facilities exist or can be acquired to execute the planned development





# How is “Proof of Feasibility” determined?

- POFS will be reviewed against the information set forth in the specific topic
- In preparing the POFS small businesses should describe the existing technology, designs or concepts and clearly and concisely demonstrate how it demonstrates that it is capable of meeting the identified DON objectives
- Existing products, data, test, and M&S results should back-up the assessments and predictions of the current status and substantiate the expected high probability of achieving the required results of meeting the topic parameters to include cost & schedule set out in Round I-III summaries
- Topic requirements for Phase I can be used as a guide to determine the expected standard for entry and assessment of technical maturity necessary to be eligible for submission of a DP2 proposal



# What is included my POFS?

The POFS consists of 4 Volumes as set forth below.

- **POF Submission (POFS)**

Volume 1– Proposal Coversheet (system generated from firm inputs)

Volume 2-Technical Volume (Quad Chart, Text Document, 5 page total)

Volume 3-Cost Volume NOT REQUIRED/AVAILABLE

Volume 4-Company Commercialization Report (system generated)

Volume 5-Supporting Documents (Up to 10 pages of M&S results and test data to support existing technology capabilities in POFS; list of assertions for technology or software being provided with limited rights, Key personnel resumes not to exceed one page per person and 5 pages total; and documentation concerning use of Human Subjects in Research)



# What is included my DP2 proposal?

The DP2 Proposal consists of all 5 Volumes and provides more detail on Rounds I-III in completing Volumes 2, 3, and 5. Contents of DP2 Proposal are in the BAA and will be provided to eligible firms.

## DP2 Proposal:

- Volume I-Proposal Coversheet (system generated from company inputs)
- Volume 2-Breakdown of major tasks included in POFS using a Gantt chart( has tasks with period of performance, interdependencies, responsibilities and required resources); discuss risk/issue management; separate work plan for each Round I-III; proposed payable milestone chart that matches the Gantt chart and includes a Final Technical report and publically releasable research summary; and a Commercialization section that includes the company's record of commercializing prior research, the existence of other Phase II funding commitments, the existence of Phase III funding commitments and other indicators of commercialization potential; total is 10 pages)
- Volume 3-Detailed breakdown of costs per task including hours per task, labor category, labor costs, total material costs, other direct costs, subcontractor costs and the basis of costs for any items not based on historical estimates; if proposal is for modification of existing item only cost related to modification and need show sales at commercial prices
- Volume 4- Company Commercialization Report (system generated)
- Volume 5- Identify exceptions/requested changes to Model OTA; and resubmission including changes any items submitted in Volume 5 in POFS



# Where do we submit our Proof of Feasibility/Proposal?

- As part of the POFS at least one individual from the small business will be required to register for an account on the DoD Submission site: <https://sbir.defensebusiness.org>
- Prior to POFS submission at the DoD Submission portal small businesses must register with the SBA in their Company Registry Database at <https://www.sbir.gov/registration>
- Both the POFS and the DP2 proposal are submitted to the DoD Submission portal at: <https://sbir.defensebusiness.org>
- Prior to any award the firm must also register in the Federal Government System for Award Management (SAM) database at: <https://sam.gov/SAM>



# When will we find out if we are eligible to submit a proposal?

- All small businesses that submit a POFS for evaluation will be notified via email of the status of their submission on the same day- thus it is imperative that the email address included on the coversheet be correct
- Anticipated date for email notifications is May 28<sup>th</sup>
- Small businesses notified they are eligible to submit a DP2 proposal will be given confirmation of the due date/time for submission and notified of any changes in the required proposal format currently the anticipated due date is June 11<sup>th</sup> at 2pm ET
- All POFS submitters whether eligible for DP2 proposal submission or not will be provided evaluator comments on their POFS in a separate email on the same date as eligibility notification; there is no separate requirement to request a debrief



# Where can I go to get help?

- Questions about research topics:
  - Prior to 12 April contact TPOC listed in the topic
  - 12-26 April use SITIS at <https://sbir.defensebusiness.org/topics> and select the appropriate topic
- Questions about the BAA or SBIR:
  - Send an email to: [navy-sbir-sttr@navy.mil](mailto:navy-sbir-sttr@navy.mil) and include “ADAPT BAA” in the subject line
  - Go to: [www.navysbir.com](http://www.navysbir.com)
- Questions about the submission process or registrations:
  - Send an email to: [sbirhelpdesk@u.group](mailto:sbirhelpdesk@u.group)
  - Contact DoD SBIR/STTR Helpdesk at 1-800-348-0787