

Department of the Navy SBIR/STTR Programs Subsequent Phase II Participation Guidelines

Last Updated: November 2022

What:

SBIR/STTR Policy Directive (October 1, 2020) Section 4(b)(7) provides authority for a small business concern (SBC) that received a Phase I award from one Federal agency to receive a subsequent Phase II award from another Federal agency on the same topic. The Navy uses this authority to continue research efforts, started at another agency, to meet Navy technology development needs. The subsequent Phase II must meet a Navy need and the relevant awards must be to the same topic.

Who:

Eligible SBCs include:

- 1) All SBCs with single Phase II awards from other Federal agencies, as long as the original topic sponsor/agency has granted permission for a subsequent Phase II award on the same topic
- 2) All SBCs that submitted Phase II proposals at the end of Phase I but did not receive a Phase II award from the original topic sponsor/agency

When:

A subsequent Phase II award may be initiated after the original topic sponsor/agency has completed its Phase II solicitation process.

How:

- Step 1: The **SBC** must garner support from a Navy Endorsing Organization/technical point of contact (TPOC) with interest in continuing the Phase I research in a subsequent Phase II.
- Step 2: The **Navy Endorsing Organization/TPOC** must contact the relevant Navy Systems Command (SYSCOM) SBIR/STTR Program Manager (PM) to determine subsequent Phase II solicitation requirements and availability of funds. Any interest in a Phase II cost-share should be communicated to the Navy Endorsing Organization/TPOC.
- Step 3: If approved, the **SYSCOM SBIR/STTR PM** will solicit a subsequent Phase II proposal from the SBC and specify submission instructions with deadlines.
- Step 4: The **SBC** must prepare and submit a subsequent Phase II proposal in accordance with requirements provided by the Navy.

Note: Subsequent Phase IIs are solicited, evaluated, and awarded as individual actions, on an ongoing basis, and are NOT governed by a fixed schedule.

Other Items of Importance:

- SBCs are **limited to two Phase II awards** per topic (e.g., a first Phase II award followed by a sequential award or one Phase II award each from two different Federal agencies).
- SBCs are encouraged to explore transition paths with other Federal agencies; however, it is strongly recommended that each SBC **participate fully in the Phase II opportunity** provided by the original topic sponsor/agency. Only after the original topic sponsor/agency Phase II solicitation process has closed will a subsequent Phase II with the Navy be considered.
- **Finding a Navy Endorsing Organization/TPOC** is like any other business development effort – it involves making contacts, developing relationships, and finding an organization that has interest and funding to continue technology development. Please do not engage with Navy SYSCOM SBIR/STTR Program Offices for technical support, the Navy Endorsing Organization/TPOC will contact the relevant SBIR/STTR Program Office for the next steps.
- **Navy personnel will NOT sign a letter of support or Memorandum of Understanding (MOU)** for an awardee; the Navy does NOT require a letter of support or MOU from an end-user for Phase II. If another agency requests confirmation of Navy's interest in a given technology, the Navy will communicate its interest Government-to-Government.