



DEPARTMENT OF THE NAVY
Small Business Innovation Research (SBIR)
Small Business Technology Transfer (STTR)

Commercialization Overview

Welcome

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Federal SBIR / STTR Program Goals

Small Business Innovation Research (SBIR) Program

Program Goals

- ✓ Stimulate technological innovation
- ✓ Increase small business participation in federally funded R&D
- ✓ Foster participation by socially and economically disadvantaged firms in technological innovation
- ✓ Increase private sector commercialization of federal R&D

11 Federal agencies and 13 DoD components participate

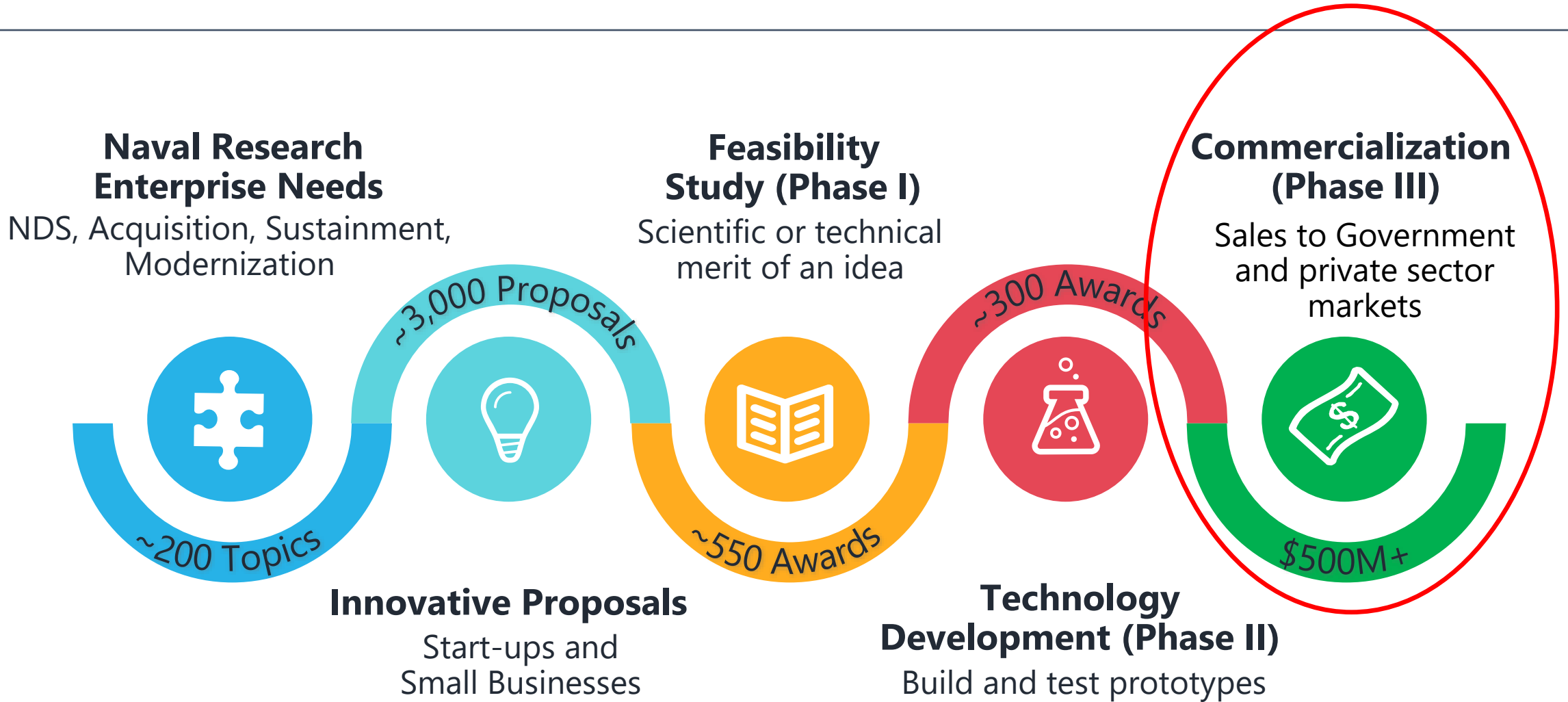
Small Business Technology Transfer (STTR) Program

Program Goals

- ✓ Create vehicles for moving ideas from research institutions to market
- ✓ Enable researchers to pursue commercial application of technologies
- ✓ Bridge funding gap between basic research and commercial product

5 Federal Agencies and 7 DoD Components Participate

The DON SBIR / STTR Process



What is Phase III?

Phase III [PD (4)(c)]

- Products, processes, technologies, services, and/or R/R&D
- Derives from, extends, or completes an effort made under prior SBIR / STTR Funding Agreements
- Funded by non-SBIR / STTR funds



Commercialization (Phase III)

Sales to Government
and private sector
markets



Phase III Facts – Did You Know?

- Small business size limits do not apply in Phase III. [PD (4)(c)(6)]
- A Phase III Awardee [PD (6)(a)(5)]
 - may have either received a prior Phase I or Phase II award
 - been novated a Phase I or Phase II award
 - be a successor-in-interest entity
- May be for products, production, services, R/R&D, or any combination. [PD (4)(c)(4)]
- Any type of contract, including subcontract

Phase III Facts – Did You Know?

- Competition is not required for a Phase III award [PD (4)(c)(3)]

If Justification and Approval is required by the agency:

“Project is an SBIR/STTR Phase III award that is derived from, extends, or completes efforts made under prior SBIR/STTR Funding Agreements and is authorized pursuant to 15 U.S.C. 638(r)(4).”

Phase III Facts – Did You Know?

- Non-Federal funded [PD (2)(e)(3)]
 - Commercial application
 - Including R/R&D, testing and evaluation of products, services or technologies for use in technical or weapons systems
- Federally-funded [PD(4)(c)(1)]
 - Non-SBIR/STR funding
 - For SBIR/STTR-derived, products or services intended for use by the Federal Government.
 - To continue SBIR/STTR work, including R/R&D

Phase III Facts – Did You Know?

- There is no limit on the number, duration, type, or dollar value of Phase III awards.
- Agencies shall issue Phase III awards to the Awardee that developed the technology under an SBIR/STTR award, to the greatest extent practicable, consistent with an Agency's mission and optimal small business participation. [PD (4)(c)(7)]

DON *Working* Definitions

Commercialization

- The process of developing products, processes, technologies, or services and the production and delivery (whether by the originating party or by others) of products, processes, technologies, or services for sale to or use by Government or commercial sectors.

Transition

- A shift from SBIR / STTR funding to mature, produce, or acquire the developed technology using non-SBIR / STTR funds.

Fielded

- Delivery of products, processes, or technology to:
 - An acquisition program – including subcontracts or agreements with Primes.
 - Direct to the Force / Fleet (operational use and implementation).
 - Government research lab, maintenance repair overhaul facility, or Warfare Center.

How Do the Programs and DON Support Transition?

Program Authorities

- Technical and Business Assistance (TABAs)
- Commercialization Readiness Program (CRP)
- Second (Sequential) Phase II
- Subsequent Phase II

DON Transition Initiatives and Resources

- SBIR / STTR Transition Program (STP)
- Phase II.5 / Enhancements
- Matching Funds / Cost Sharing
- Technology Transition Plans / Agreements
- DON SBIR / STTR Experimentation Cell (DON SEC)
- Phase III Guidebook

Technical and Business Assistance (TABA)

- Provides Phase I and Phase II awardees with funding to enter into agreements for business and / or technical assistance
- Phase I: Up to \$6,500 in Phase I in addition to the Phase I award
- Phase II: Up to \$50,000 per project in Phase II as part of the Phase II award
- Requests for TABA must be included in Phase I and Phase II proposals

Important Note

TABA awarded in a Phase II contract eliminates the awardee from participating in the DON SBIR/STTR Transition Program (STP) and any other assistance the DON provides directly to awardees.

Commercialization Readiness Program (CRP)

- Authority to identify high priority projects with the potential for rapid transition
- Ability to provide administrative support (not direct funding to SBIR / STTR projects) to accelerate transition, including:
 - Development of transition planning agreements and documents
 - Risk Assessments
 - Participation in Exercises and Demonstrations
 - Assistance with Manufacturing Readiness and Manufacturing Plans
 - Phase III contract planning and documentation development
- Benefits
 - Transition support to high priority projects
 - Additional SBIR / STTR funding
 - Matching funds from Program Offices

Second (Sequential) Phase II

- Additional Government-requested Phase II contract award
 - Under the same topic, **and**
 - To the same small business, **and**
 - For the same project
- Without competition
- Continues work on the first Phase II project
- Resulting Phase II award must be within the scope of the original topic

Subsequent Phase II

- Government-requested Phase II contract award
 - To a Phase I awardee, **and**
 - From an Agency, SYSCOM, or organization other than the original topic owner
- Must follow originating Agency's competitive Phase II selection requirements
- Resulting Phase II award must be within the scope of the original topic but not duplicate any previous Phase II tasking (initial award)

DON Transition Support

SBIR / STTR Transition Program (STP)

- 11-month Navy-specific program (*NavySTP.com*)
- Provides services to assist with transition of technologies through business mentoring, Education, and Networking
- Services provided by Business Consultants and Market Researchers:
 - Mentoring on Government / Prime contractor relationships
 - Conduct market research appropriate to transition targets
 - Identify leads for potential transition opportunities
 - Promote technologies on the Virtual Transition Marketplace (VTM) – an online, searchable showcase accessible to Government and private sector
 - Assist with exhibiting at Forum for SBIR / STTR Transition (FST) and Focused Technology Events
- STP participants, on average, have commercialization rates 17% higher than non-STP participants

Phase II.5 / Enhancements

- Used to mature technologies and accelerate transition
- Provides investment strategies for Program Offices
- Shared SBIR and Program Office investment and risk mitigation
- Agreements – varies by Systems Command
 - **Phase II Enhancement (e):** Shared development between SBIR and Program Office
 - **Phase II.5 Accelerated Transition (AT):** Program Executive Office (PEO) / Program Manager, Aircraft (PMA) commits to transition the SBIR technology and acquisition funding has been identified. Technology Transition Agreement (TTA) required
 - **Phase II.5 Continued Development (CD):** PEO / PMA identifies an SBIR project for continued development and provides a Technology Transition Plan (TTP)

Matching Funds / Cost Sharing

- Application of non-SBIR / STTR funds to a Phase II project as an expression of interest and / or commitment from a Program Office
- May be required for:
 - CRP assistance
 - Expansion / Phase II.5
 - Second Option on a Phase II
 - Sequential Phase II
 - Subsequent Phase II

Technology Transition Plan / Agreement (TTP / TTA)

- Documents the fiscal, technical, and transition commitments of participants to develop, deliver, and integrate a technology / product into an acquisition program
- Solidifies plan and / or agreement between interested parties. Includes:
 - Stated Need and Target Acquisition Program
 - Program Manager / Project Officer
 - Required Acquisition Programs Technologies
 - Integration and Transition Strategy
 - Business Analysis, Marketing, and associated Risk Assessments
 - Seminal Transition Event / Exit Criteria
 - Signature: Acquisition Program Manager; PEO Commitment; SBIR Program Manager

DON Transition Support

DON SBIR / STTR Experimentation Cell (DON-SEC)

- Connects SBIR innovators with the DON experimentation community to deliver innovative solutions for the warfighter
- Full spectrum of end-to-end facilitation, mentoring, and training in all aspects of experimentation
 - Data collection and reporting to inform decision-makers
 - Subject matter expertise to ensure solutions are examined in a tactically relevant environment
 - Engineering planning to navigate operational and engineering processes
 - Operational planning from idea to experiment execution

DON SEC at www.navysbir.com/sec

Phase III Guidebook

- Guidance for SBCs, PEO / PMs, Contracting Officers, and Attorneys on the requirements and processes associated with Phase III, including:
 - How to incorporate SBIR / STTR into Acquisition Category and other programs
 - Compliance with DoDI 5000.02
 - Utilization of SBIR / STTR technologies to save funds and introduce innovation within existing programs

Phase III Guidebook at www.navysbir.com

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