



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

---

*DoN SBIR/STTR Programs Overview*  
*July 15, 2024*

*CDCA Strategic Business Industry Outreach Initiative Symposium (SBIOI)*

DoN SBIR/STTR programs provide opportunities for domestic small businesses and start-ups to deliver solutions to meet naval needs through Federal Research/Research and Development (R/R&D). These competitive, three phase, awards-based programs advance innovations with an aim toward transitioning the resulting technologies to the Force/Fleet and commercialization in private markets.

# Welcome

---



## **Brian Shipley**

Acting Director, DoN SBIR/STTR Programs

*brian.r.shipley.civ@us.navy.mil*

# Authorities



## United States Code

15 U.S. Code § 638. Research and development

<https://www.govinfo.gov/content/pkg/USCODE-2011-title15/pdf/USCODE-2011-title15-chap14A-sec638.pdf>

## SBIR/STTR Policy Directive

Provides guidance from SBA to the participating Federal agencies for the general operation of the SBIR and STTR programs.

<https://www.sbir.gov/about/about-sbir>

# Federal SBIR/STTR Goals



## Small Business Innovation Research (SBIR) Program

### Program Goals

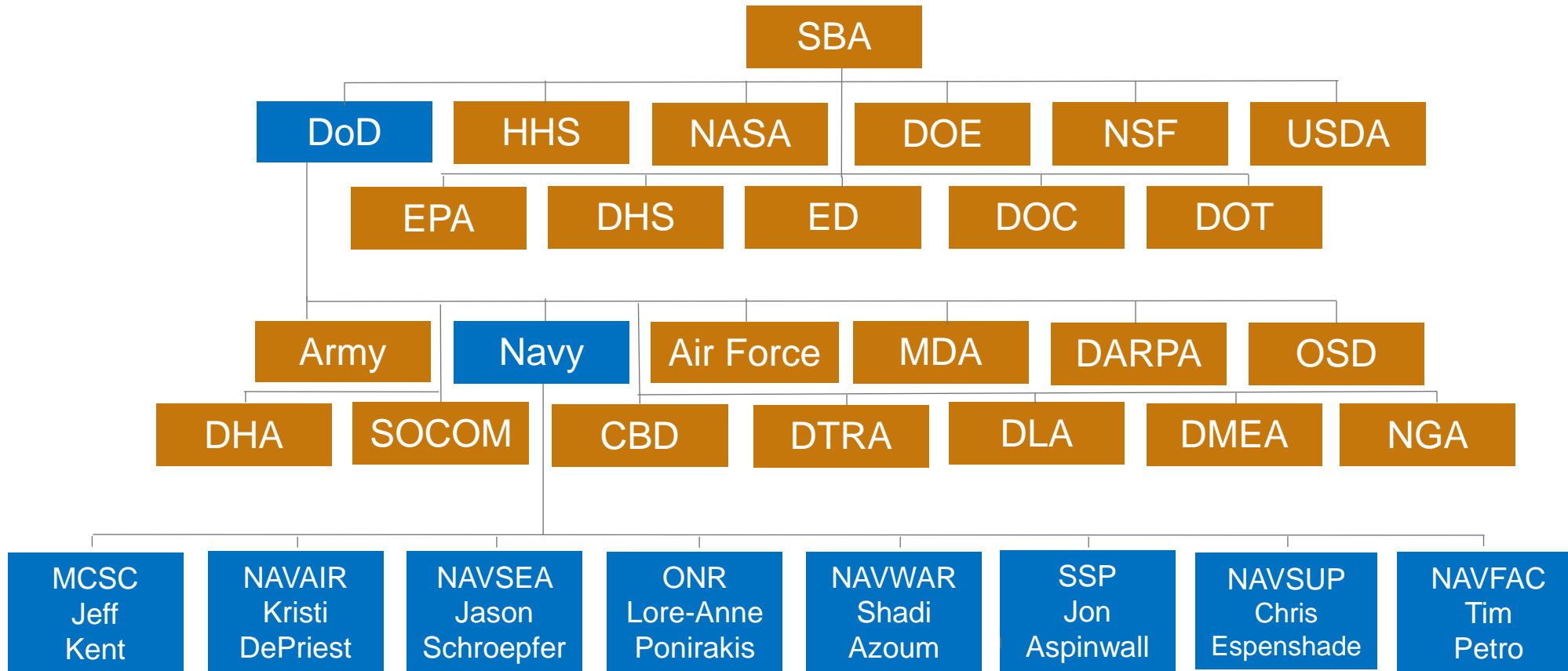
- Stimulate technological innovation
- Increase small business participation in federally funded R&D
- Foster participation by socially and economically disadvantaged firms in technological innovation
- Increase private sector commercialization of federal R&D

## 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

# Federal SBIR/STTR Programs – SBIR.gov



**\$4B in Opportunities Across Granting and Contracting Agencies**

# Eligibility



- Must qualify as a small business concern as defined by 13 CFR 121.702:
  - Organized for profit, with a place of business located in the United States
  - More than 50% owned and controlled by one or more individuals who are citizens or permanent resident aliens of the United States, or by other small business concerns that are each more than 50% owned and controlled by one or more individuals who are citizens or permanent resident aliens of the United States; and
  - No more than 500 employees, including affiliates
- Must meet the commercialization and transition rate benchmark requirements as determined by the SBA.

# Three-Phase Programs



- **Phase I**

- Establish the technical merit, feasibility, and commercial potential of the proposed R/R&D efforts
- Determine the quality of performance of the small business awardee prior to providing further Federal support in Phase II
- \$50-250K; 6 months to one year PoP

- **Phase II**

- Continue the R/R&D efforts initiated in Phase I
- Funding based on the results achieved in Phase I and the scientific and technical merit and commercial potential of the project proposed in Phase II
- Up to \$2M; 18-36 months in PoP



# Three-Phase Programs

- **Phase III:** The process of developing and delivering products, processes, technologies, or services for sale to or use by the Federal Government or commercial markets.
  - Right to sole source contracts;
  - Exemption from SBA size standards for a procurement;
  - No limits on the dollar size of a Phase III procurement;
  - Right to the Phase III mandate, by which the SBIR firm has a right to be awarded a future Phase III award to the greatest extent practicable;
  - Right to receive subcontracts for Phase III work on a sole source basis;
  - Ability to pursue research, research and development, services, products, production, or any combination of those under a Phase III.





# Additional Phase II Authorities

- **Sequential Phase II [PD 4(b)(5)]**
  - Additional Government-requested Phase II contract awarded under the same topic, **and** to the same small business, **and** for the same project; awarded without competition.
  - Continues work on the 1st Phase II project; resulting Phase II work must be within scope of original topic.
- **Subsequent Phase II [PD 4(b)(7)]**
  - Government-requested Phase II contract award to a Phase I awardee, **and** from an Agency 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 scope of original topic but not duplicate any previous Phase II tasking (initial award).



# About DoD



# Program Starts with a Topic

- **Focused**
  - Identifies a specific problem for which a solution is sought
  - Basic and applied research
- **Open**
  - Generalized mission requirements or specific technology areas
  - Adapt commercial products or solutions to close capability gaps, improve performance, or provide technological advancements in existing capabilities
  - May be broad or focus on a specific technology area/mission priority
- **Direct to Phase II**
  - Seeks a solution with a higher technology readiness level
  - Awardee must not have received a Phase I award for research and development for the same project

# DoD Critical Technology Areas



- FutureG
- Trusted AI and Autonomy
- Biotechnology
- Advanced Computing and Software
- Integrated Sensing and Cyber
- Directed Energy (DE)
- Hypersonics
- Microelectronics
- Integrated Network Systems-of-Systems
- Quantum Science
- Space Technology
- Renewable Energy Generation and Storage
- Advanced Materials
- Human-Machine Interfaces

# Getting Started



Determine eligibility

<https://www.sbir.gov/faqs/eligibility-requirements>



Search topics and read and understand the DoD BAA and Component-specific BAA instructions

Use templates as instructed by the BAA and submit a proposal that meets the stated need of the topic

<https://www.dodsbirsttr.mil/submissions/login>

# Getting Started



- Required Registrations
  - Create a Company Registration at <https://www.sbir.gov/registrationSBIR.gov>
  - Register in the Defense SBIR/STTR Innovation Portal (DSIP) <https://www.dodsbirsttr.mil/submissions/login>
  - System for Award Management (SAM) <https://sam.gov>
- Complete Submission Requirements

## **DSIP Training Materials**

<https://www.dodsbirsttr.mil/submissions/learning-support/training-materials>

# Getting Started



## Solicitation Schedule (Dates are subject to change)

FY 2024 DoD SBIR/STTR Solicitation Schedule			
Solicitation Cycle	Announcement Period		
	Pre-Release Date	Open Date	Close Date
STTR 24.A SBIR 24.1	Nov 29, 2023	Jan 3, 2024	Feb 7, 2024
STTR 24.B SBIR 24.2	Apr 17, 2024	May 15, 2024	Jun 12, 2024
SBIR 24.3 STTR 24.C	Aug 21, 2024	Sep 18, 2024	Oct 16, 2024

**DoD Annual BAA**  
Schedule Set DoD Component Programs (e.g., 24.4 BAA)



# About Navy



# About Navy



- Accept proposals from firms owned and controlled by more than one VC, hedge fund, or private equity firm so long as no one such firm owns a majority of the stock [[15 U.S.C. 638\(dd\)\(1\)](#)]
- Centralized management, decentralized execution across seven Systems Commands
- Acquisition Pull
  - Topic alignment to acquisition, sustainment and modernization programs
  - Program Office sponsorship with resources to transition
  - Customer and transition end-state defined at Phase I



# Acquisition Aligned Portfolios

## Phase I

### Feasibility

#### Focused Topics

- Acquisition aligned
- Program Office sponsored
- \$240K FFP, 12-month PoP

#### Open Topics

- Broad technical priorities
- Leverages proven solutions
- \$175K FFP, 10-month PoP

## Phase II

### Development

#### Continued Development

- Competitive awards
- NTE \$1.9M; CPFF
- 18-30-month PoP

#### Direct to Phase II

- Higher TRL solutions
- NTE \$1.9M; CPFF
- 18-30-month PoP

### Catapult

#### Priority investment

- Leverages prior Naval and cross-Agency investment
- Meets Naval priority with high transition potential
- Ongoing customer nominations
- Optimizes cost and schedule to meet transition target
- Utilizes non-SBIR investment as a force-multiplier

## Phase III

### Commercialization

- Derives from, extends, or completes prior SBIR/STTR investment
- Non-SBIR/STTR funding
- DON Program Offices funded 233 projects across 175 unique firms (FY23)



# Catapult

- Naval customer-driven nomination process
- Ongoing nominations
- Nominations reviewed and approved based on:
  - Eligibility of nominee and proposed project
  - Priority of the Naval need and potential for transition
  - Availability of SBIR funding
  - Potential of additional non-SBIR funding
- 30% of FY23 portfolio leveraged cross-Agency SBIR investment

**Catapult**

***[navysbir.com/programs/catapult](https://navysbir.com/programs/catapult)***

# Phase II Transition Support – Unique to Navy



## **SBIR/STTR Transition Program (STP) *25 years strong!***

- Annual 11-month Navy-funded Program for Phase II awardees
- Services to assist with transition of technologies through business mentoring, education, and networking
- Information at [NavySBIR.com/programs/navystp](https://NavySBIR.com/programs/navystp)

## **DON SBIR/STTR Experimentation Cell (DON-SEC)**

- Connects SBIR innovators with the DON experimentation community to test innovative solutions
- Full spectrum of end-to-end facilitation, mentoring, and training in all aspects of experimentation
- Information at [NavySBIR.com/SEC](https://NavySBIR.com/SEC)

**Support to firms to deliver solutions at scale**

# Phase II Transition Support – Unique to Navy



## NAVY Launch

- Annual 10-month program to Educate + Accelerate + Scale beyond traditional defense markets; entrepreneur-first startup strategies
- Prioritize markets, explore private funding, discover customers, and engage for new growth
- Information at [NavySBIR.com/programs/navylaunch](https://NavySBIR.com/programs/navylaunch)

## Private Capital Education **New!**

- Deeper understanding of private capital and the strategies and knowledge needed to leverage private capital effectively
- Bootcamp in a 3-part series, delivered in a hybrid format
- Virtual office hours to answers questions and engage further
- Information at [NavySBIR.com/programs/private\\_capital](https://NavySBIR.com/programs/private_capital)

**Support to firms to deliver solutions at scale**

# Current Opportunity – DoN Open Topics



- Schedule
  - Pre-Release: Thursday, June 13
  - Open: Thursday, August 1
  - Close: Wednesday, September 4
- NAVAIR, NAVSEA, NAVWAR participating
- June 26 Technical Ask Me Anything (AMA) Resources
  - **Presentations**
  - **AMA Recording**
  - **Q&A**

Open Topic Information [navysbir.com/open\\_topics24\\_4.htm](https://navysbir.com/open_topics24_4.htm)

# Current Opportunity – DoN Open Topics



- Seeking commercial solutions to meet specific mission critical Naval needs
- No customer memorandums of understanding required
- A small business concern may only submit one (1) proposal to each open topic.
- Phase I approach to adapting commercial solution
  - to fill a capability gap
  - improve performance, or
  - modernize an existing capability
- Phase II
  - competitive selections based on results of Phase I and initial Phase II proposal
  - tailored awards to transition technology
- Eligibility for DoN transition programs to facilitate technology transition

# Current Opportunity – DoN Open Topics



## **N244-P01 NAVAIR Open Topic for Advanced Robotic Automation for Fleet Readiness**

- Advance the automation of industrial processes within Fleet Readiness Centers (FRCs).
- Enhance efficiency, quality, safety, pollution prevention, and productivity through the integration of advanced robotic technologies.
- Technology areas of interest:
  - Advanced Robotic Systems Integration for Aircraft Maintenance and Repair
  - Human-Robot Collaboration and Safety in Aviation Maintenance, Repair or Overhaul (MRO)
  - Emerging Technologies for Autonomous Aviation Maintenance



# Current Opportunity – DoN Open Topics



## **N244-P02 NAVSEA Open Topic for Sustainment and Obsolescence**

- Commercial technology to address Navy needs regarding sustainment and obsolescence.
- Products that will reliably and safely get Navy assets back in the field as quickly as possible.
- Areas of focus:
  - Material Quality, Readiness, and Availability
  - AI/ML Generated Work Instructions
  - Additive Manufacturing Tools and Processes Advancements (afloat and ashore applications)
  - Cold Spray Technology Advancements
  - Shipyard and Maintenance Operational Logistics Improvements
  - Rapid Manufacturing to address urgent part obsolescence needs
  - Digital Twins for system lifecycle sustainability and design evolution

# Current Opportunity – DoN Open Topics



## **N244-P03 NAVWAR Open Topic for Advanced Data Integrity and Control Methods**

- Develop a method to assure integrity, and control access and distribution for information on any device or network.
- This topic seeks the development of technology that will provide for these critical capabilities independent from controls provided by networks, applications, platforms, or database technologies.
- Required attributes:
  - Data controls are independent of any application, platform, network, or database
  - Ability to integrate external identity sources (NIS)
  - Resiliency to node and/or connectivity failures
  - Resiliency to encryption manipulation techniques
  - Rapid recovery/reconstitution capability
  - Minimal effort to deploy and scale
  - Distributed architecture (resiliency increases with scale)

# Current Opportunity – DoN Open Topics



- Open Topic Proposal Template:  
[https://navysbir.com/links\\_forms.htm](https://navysbir.com/links_forms.htm)
- May submit only one (1) proposal per open topic
- Phase I feasibility
  - Base: 4-month, \$75K
  - Option: 6-month, \$100K
- May not propose Technical and Business Assistance (TABAs)
- May not propose Government Furnished Equipment (GFE)
- Do not recommend proposing use of Human Subjects, Animal Testing, or Recombinant DNA

# Transition Authorities



## **Technical and Business Assistance (TABA) [PD 9(b)]**

- Funding for Phase I/II awardees to enter into agreements for business and/or technical assistance: up to \$6.5K in addition to the Phase I award; up to \$50K per project as part of the Phase II award.
- Requests for TABA must be included in proposals and approved by the Program Office.
- Accepting TABA may restrict awardees from participation in other Agency-sponsored programs.

## **Commercialization Readiness Program (CRP) [PD 12(b)]**

- Authority to identify high priority projects with the potential for rapid transition.
- Administrative support (not direct funding to SBIR/STTR projects) to accelerate transition.

# Transition Authorities



## **Sequential Phase II [PD 4(b)(5)]**

- Additional Government-requested Phase II contract awarded under the same topic, and to the same small business, and for the same project; awarded without competition.
- Continues work on the 1st Phase II project; resulting Phase II work must be within scope of original topic.

## **Subsequent Phase II [PD 4(b)(7)]**

- Government-requested Phase II contract award to a Phase I awardee, and from an Agency 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 scope of original topic but not duplicate any previous Phase II tasking (initial award).

# Transition Authorities



## **Phase II.5/Enhancements [PD 4(b)(6)]**

- Funding added to an existing award to mature technologies and accelerate transition.
- Shared SBIR and Program Office investment and risk mitigation.
- May require Program Office matching funds and a formal Transition Plan/Agreement.

## **Matching Funds/Cost Sharing [PD 4]**

- Non-SBIR/STTR funds on a Phase II project to express interest or commitment from a Program Office.
- May be required for (1) CRP assistance; (2) Expansion/Phase II.5; (3) Second Option on a Phase II; (4) Sequential Phase II; (5) Subsequent Phase II.



# Best Practices

- Research transition potential of the topic before proposing – what is the transition end-point?
- Talk to the Technical Point of Contact (TPOC) during BAA pre-release – understand the requirement and explore transition end-point.
- Request Technical and Business Assistance (TABAs) – can be used for customer discovery.
- Develop a relationship with TPOCs and/or Sponsors.



# Best Practices

- Obtain feedback from public and private sector markets. Is there potential for dual use?
- Engage with different types of buyers (i.e., user and purchaser).
- Understand the VALUE of the technology, not just the features.
- Determine funding necessary to advance & transition. Do not rely on SBIR/STTR funding!
- Assemble the right team (i.e., personnel and partners).



# Resources



- **Federal SBIR/STTR Programs:** <https://www.sbir.gov/applicants>
- **Defense SBIR/STTR Innovation Portal:**  
<https://www.dodsbirsttr.mil/submissions/login>
- **DoN SBIR/STTR:** [NavySBIR.com](http://NavySBIR.com)
- **Federal SBIR/STTR Awards:** <https://www.sbir.gov/sbirsearch/award/all>
- **APEX Accelerators:** <https://www.apexaccelerators.us/#/>
- **DoD SBIR/STTR Listserv:**  
<https://secure.campaigner.com/CSB/Public/Form.aspx?fid=667492&ac=g9gk>

# Stay in Touch



Email

[navy-sbir-sttr@navy.mil](mailto:navy-sbir-sttr@navy.mil)



Website

[www.navysbir.com](http://www.navysbir.com)



X

[@donsbir](https://twitter.com/donsbir)



LinkedIn

[www.linkedin.com/company/donsbir](https://www.linkedin.com/company/donsbir)

## ***SBIR SOUNDINGS***

Quarterly E-Newsletter



Subscribe to ***SBIR SOUNDINGS*** and receive updates delivered to your inbox every quarter! Use the QR code to the left or the link below

<http://eepurl.com/hv0ARX>

## ***SBIR/STTR Transitions***

Quarterly Newsletter



Read ***Transitions*** using the QR code to the left or the link below

<https://navystp.com/transitions-newsletters/>