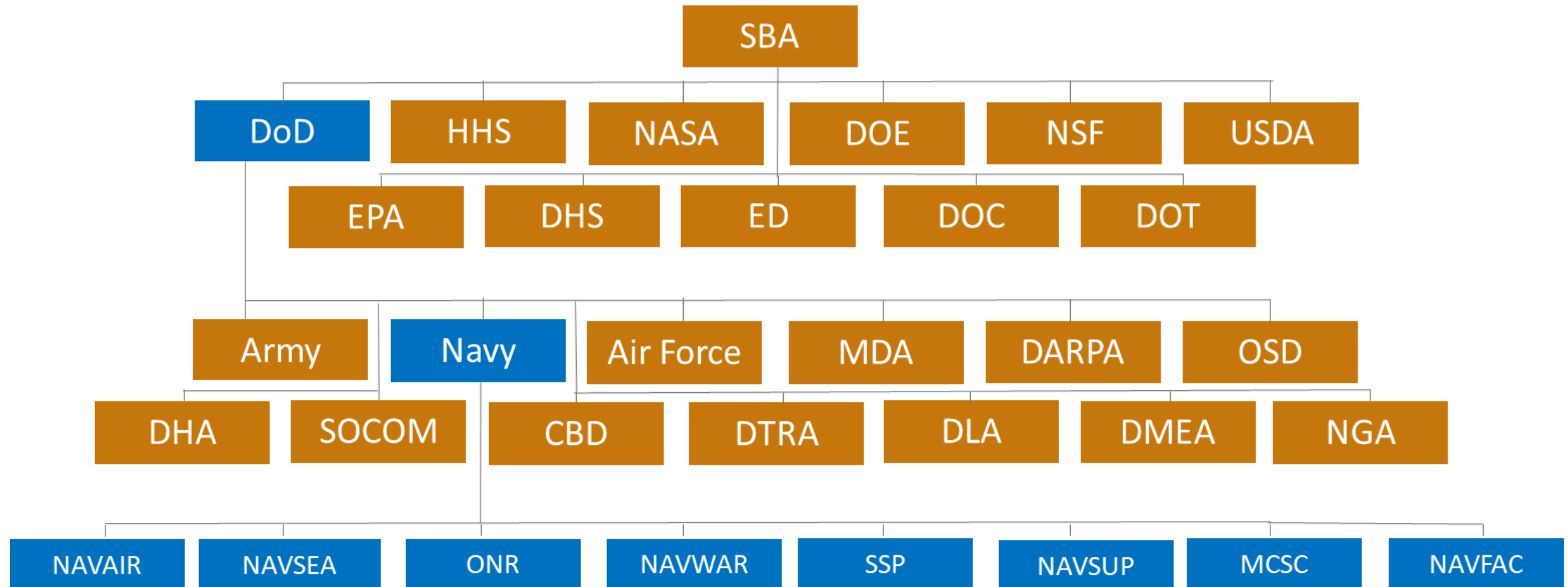# DEPARTMENT OF THE NAVY

Small Business Innovation Research (SBIR)
Small Business Technology Transfer (STTR)

Mr. Robert L. Smith
Director, DON SBIR/STTR & Special Programs
robert.l.smith42.civ@us.navy.mil

The 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.
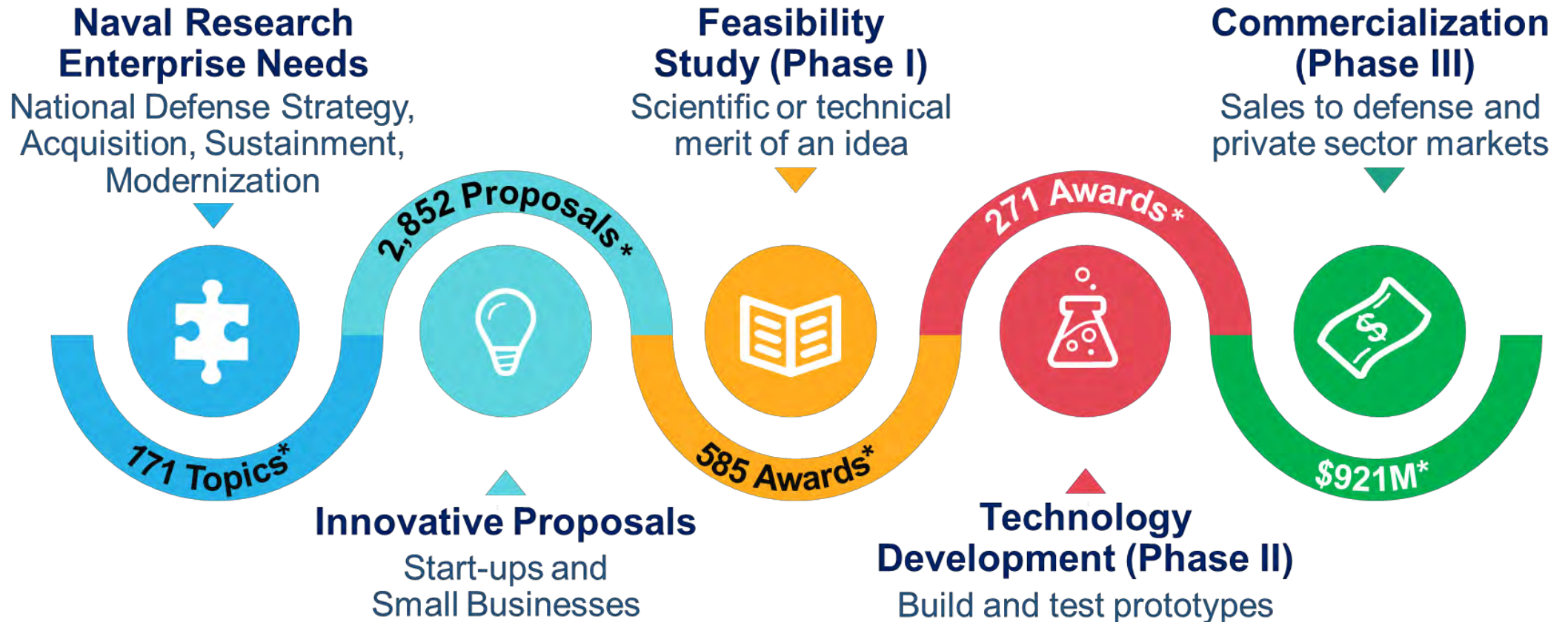
Federal SBIR/STTR Org Chart


```
                              SBA
        ┌──────┬──────┬────────┼────────┬────────┐
       DoD    HHS   NASA      DOE      NSF     USDA
        │  ┌────────┬──────────┼────────┬────────┐
        │ EPA      DHS        ED       DOC      DOT
        │
   ┌────┴───┬────────┬────────┬────────┬────────┐
  Army    Navy   Air Force   MDA     DARPA     OSD
   │  ┌──────┬────────┬────────┬────────┬────────┐
  DHA  SOCOM  CBD     DTRA     DLA     DMEA     NGA
        │
   ┌────┴───┬────────┬────────┬────────┬────────┬────────┐
 NAVAIR  NAVSEA   ONR    NAVWAR    SSP    NAVSUP   MCSC   NAVFAC
```

NAVY points of contact are available at www.navysbir.com/poc.htm

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Delivering Innovation to the Warfighter

Naval Research Enterprise Needs
National Defense Strategy, Acquisition, Sustainment, Modernization

171 Topics*

2,852 Proposals*

Innovative Proposals
Start-ups and Small Businesses

Feasibility Study (Phase I)
Scientific or technical merit of an idea

585 Awards*

271 Awards*

Technology Development (Phase II)
Build and test prototypes

Commercialization (Phase III)
Sales to defense and private sector markets

$921M*

*FY21 Data

More information at www.navysbir.com

Technology Transition Ecosystem
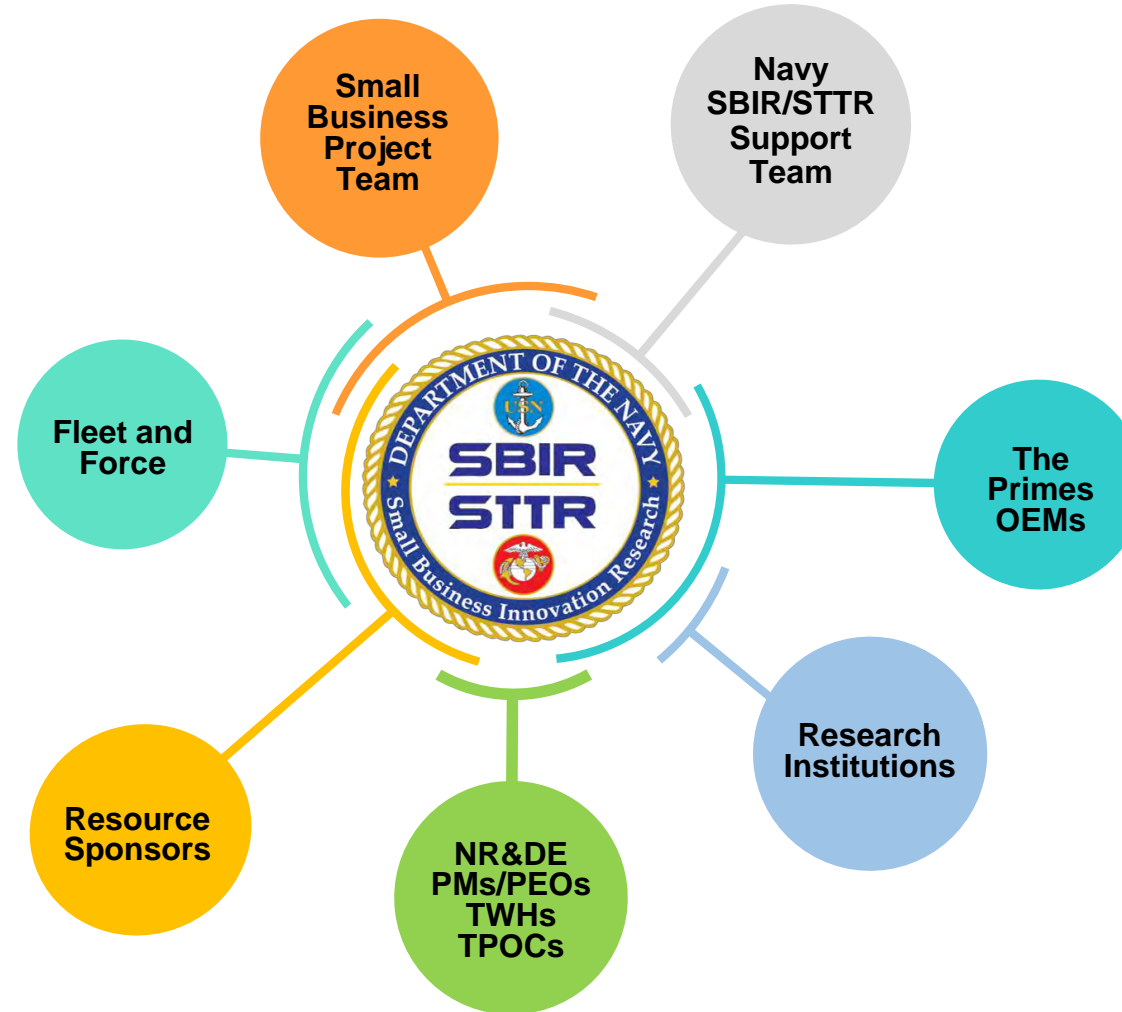
Goal: Agreed Upon and Timely Tech Development, Transition, and Insertion Plans

How Small Businesses Participate

1 Determine eligibility
https://www.sbir.gov/faqs/eligibility-requirements

2 Research topics consistent with their business strategies
https://www.dodsbirsttr.mil/submissions/login
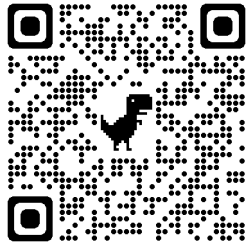
3 Read and understand the DoD Broad Agency
Announcement (BAA) and Component-specific BAA
instructions *https://www.dodsbirsttr.mil/submissions/login*
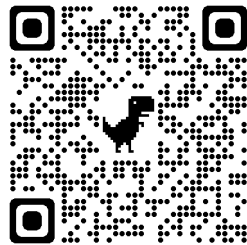
4 Use templates as instructed by BAA and submit a
proposal that meets the stated need of the topic
https://www.dodsbirsttr.mil/submissions/login

When to Participate
*DoD FY22 BAA Schedule**

Program	Pre-Release	Open	Close
DoD SBIR/STTR 22.1/A	12/01/2021	1/12/2022	2/10/2022
DoD SBIR/STTR 22.2/B	4/20/2022	5/18/2022	6/15/2022
DoD SBIR/STTR 22.3/C	8/24/2022	9/21/2022	10/19/2022
DoD SBIR 2022.4	7/12/2022	8/11/2022	9/13/2022

NEXT

More information available at the Defense SBIR/STTR Innovation Portal at:
dodsbirsttr.mil/submissions/login

Scan the QR Code

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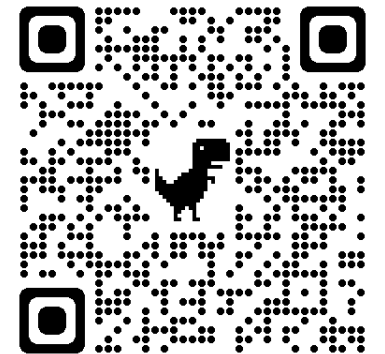
Phase I and II Evaluation and Selection

Evaluation Criteria

- Technical merit [the most important evaluation criteria]
- Followed by personnel qualifications and commercialization potential [of equal importance]

Evaluation Team

- Technical Point of Contact for the topic
- Two to three other technical experts

Selection Percentages

- Phase I – 20% selection rate (average 15 proposals per topic with 1, 2 or 3 selected)
- Phase II – 33-50% selection rate (usually only one firm selected)

Moving from Phase I to Phase II

- Progress toward meeting milestones in the Phase I Statement of Work
- Technical merit, proposed personnel, and commercialization potential of proposed Phase II approach
- Keep lines of communication open with the TPOC to understand your progress toward meeting milestones in the Phase I Statement of Work

Competitive Two-Step Phase II Application Process

UNIQUE TO NAVY

- **Step One - Initial Phase II Proposal**
  - Submitted at end of Phase I Base
  - Due date and submission requirements in Phase I contract
  - Instructions and a template available at DON SBIR/STTR website
  - Same evaluation criteria as Phase I

- **Step Two - Full Phase II Proposal**
  - If selected, notified to submit a full Phase II proposal
  - SYSCOM-specific full Phase II proposal instructions/templates
  - Submission of a full Phase II proposal does not guarantee Phase II award

Phase I instructions and template are available at https://navysbir.com/links_forms.htm

Other Phase II Types

- **Sequential Phase II**
  - Immediately follows the initial Phase II
  - Used to complete research and development of initial Phase II

- **Subsequent Phase II**
  - Allows a firm that received a Phase I/II award from one agency to receive a Phase II award from another agency
  - Must be within scope of original topic
  - No timetable; process is requirements driven

For more information, please visit www.navysbir.com/phaseii

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Phase III

- Non-SBIR/STTR funding from Government or private sector

- Derives from, extends, or completes Phase I or II work

- Any time after Phase I award is issued

- Ultimate goal of all SBIR/STTR projects; transition/deployment is DON goal

- Awarded via a competitive or statutorily authorized non-competitive process

- SBIR/STTR funding <u>cannot</u> be included on a Phase III contract; otherwise the whole contract would be a Phase II award

***Phase III Guidebook* is available at**
https://navysbir.com/docs/DON-SBIR_STTR_Phase-III_Guidebook_V2-2020.pdf

Navy SBIR Differentiators

Transition-Driven Topics

Topic Workshops

Faster Awards

Larger 1st Payment

Tailored Transition Support

Navy Differentiators

Transition-Driven Topics

- Tied to acquisition, modernization, and sustainment programs

- Identify specific Naval needs

- Defined transition targets

Topic Workshops

- Multiple central and satellite event locations providing nationwide coverage

- Direct engagement with topic authors

- Present problem-set context and technical objectives for proposed solutions

- State-based training to increase proposal submissions from first-time proposers

Navy Differentiators

Faster Awards

- Faster awards via dedicated Contracting Commands
- SYSCOM TPOCs evaluate proposals
- Phase I, II, and III awards
  - NAWC AD (Lakehurst)
  - Marine Corps Systems Command (MCSC)
- Award timelines – proposal receipt to award
  - Phase I – 4 months
  - Phase II – 6 months (Phase I Option to firms selected for Phase II)

Larger 1st Payment

- Larger first Phase I payment, 75% faster
- Deliverables at day 15
  - Kick-Off Brief
  - Fraud, Waste, & Abuse training certificate
- Upload to Navy Deliverables site
- Submit invoice once deliverables submitted
- First payment is 50% of value of the Base award

Tailored Transition Support

SBIR/STTR Transition Program (STP)

— Services to facilitate transition of technology; Navy funded

— Business mentoring, education, and networking

— Promote technologies on the Virtual Transition Marketplace (VTM) – an online, searchable showcase

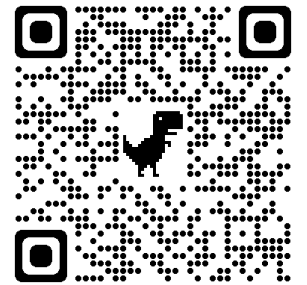— Exhibiting and Tech Talks at Forum for SBIR/STTR Transition (FST) and focused technology events

https://navystp.com/

SBIR Experimentation Cell (DON SEC)

— Connecting SBIR innovators with the DON experimentation community

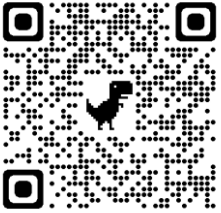— Navy funded service; testing and support paid by Phase II contract

https://navysbir.com/sec

Commercialization Accelerator

— Opportunity and growth outside traditional defense market

NEW

Online Resources
Other Useful Websites

https://www.navysbir.com
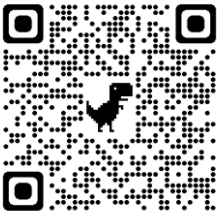
Official website of the DON SBIR/STTR programs that includes information about BAAs, topics, selections, program specifics, success stories, outreach events, points of contact (POCs), and useful links & forms.

https://navysbirsearch.com

Navy SBIR search site for contextual searches of all DoD SBIR/STTR awards to obtain information on topics, success stories, and company summary reports.

https://www.sbir.gov

Official website of the Federal-wide SBIR/STTR programs that includes links to all BAAs, topics, and access to program-wide policy information.

https://www.aptac-us.org

Official website of the Association of Procurement Technical Assistance Centers (PTACs), a nationwide network of professionals working to help local businesses compete successfully in the Federal Government marketplace.

Online Resources
Other Useful Websites

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Read **SBIR/STTR Transitions Newsletter** using the QR code or the link below
https://navystp.com/transitions-newsletters/

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