DEPARTMENT OF THE NAVY
SMALL BUSINESS INNOVATION RESEARCH (SBIR)
SMALL BUSINESS TECHNOLOGY TRANSFER (STTR)

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DISTRIBUTION STATEMENT A. Approved for public release: distribution unlimited.
DoD needs are in the form of topics available publicly through a Broad Agency Announcement (BAA).

**Publicize Needs**

**Receive Proposals**
Small business concerns (SBCs) submit proposals to the agency directly. DoD manages proposal submission through a submission portal.

**Evaluate & Award**
Agencies must evaluate, select, and make competitive awards based on technical merit, personnel, and commercialization potential.
Federal SBIR/STTR Org Chart

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Three Phase Process

**Phase I**
**Feasibility Study**
Determine the scientific or technical merit of an idea or technology.

~170 Topics
2,200+ Proposals
~450 Awards

**Phase II**
**Tech Development & Demonstration**
Build and test prototypes. All Phase I awardees may compete for Phase II funding.

~225 Awards

**Phase III**
**Commercialization/Transition**
Transition technology into commercial products/services.
Non-SBIR/STTR (Government and/or private sector) funding.
Statutorily authorized non-competitive award process.

$500M+

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What is Part of DON SBIR/STTR?

We Need YOUR Solutions
A Little Bit About the Navy

• All U.S. small businesses (as defined by the SBA) are eligible to participate and the Navy is now accepting proposals from firms who are majority-owned by Venture Capital Operating Companies (this is unique to Navy and not standard to DoD Component programs).

• Navy-specific Phase I instructions are provided in each DoD BAA:
  ─ Guidelines for proposal preparation
  ─ Proposal template (10-page limit) (available at navysbir.com)
  ─ Template for Supplemental information (available at navysbir.com)
  ─ Topics
    ─ Technology Area
    ─ Acquisition Program/Program of Record
    ─ Objective and descriptions for Phase I and II; Phase III Dual Use Applications

• Topics range from being to narrow to broad.
• Evaluation, selection, and award in 4 months.
• Phase I Base amount NTE $140,000; the Phase I Option amount NTE $100,000.
• The Base and Option Periods of Performance cannot exceed 6 months each.
Plan, Prepare, Participate

How Do SBCs Participate?

1. Determine eligibility
   [https://www.sbir.gov/faqs/eligibility-requirements](https://www.sbir.gov/faqs/eligibility-requirements)

2. Research topics consistent with their business strategies
   [https://www.dodsbirsttr.mil/submission/login](https://www.dodsbirsttr.mil/submission/login)

3. Read and understand the DoD Broad Agency Announcement (BAA) and Component-specific BAA instructions
   [https://www.dodsbirsttr.mil/submission/login](https://www.dodsbirsttr.mil/submission/login)

4. Use templates as instructed by BAA

5. Submit a proposal that meets the stated need of the topic
   [https://www.dodsbirsttr.mil/submission/login](https://www.dodsbirsttr.mil/submission/login)
Near-Term Department of Navy SBIR/STTR Opportunities

$200M+ in Funding Opportunities – Upcoming Phase I BAAs

<table>
<thead>
<tr>
<th>BAA</th>
<th>Pre-Release</th>
<th>Open</th>
<th>Close</th>
<th>Focus Areas</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY21.1/A</td>
<td>11/24/2020</td>
<td>1/6/2021</td>
<td>2/10/2021</td>
<td>Aligned with NDS priorities and DON needs</td>
</tr>
</tbody>
</table>

Seeking innovative solutions to support our warfighters
What Makes a Successful Phase I Effort?

• Progress toward meeting milestones in the Phase I Statement of Work.
• Proving feasibility and the likelihood of addressing the Navy need as stated in the topic.
Phase I to Phase II Evaluation Process

• Who evaluates, what’s the evaluation criteria, etc.?
  — Technical Points of Contact serve as evaluators
  — The DON TPOCs evaluate and select Phase I proposals using the evaluation criteria in Section 6.0 of the DoD SBIR/STTR Program BAA: (1) Technical merit [the most important evaluation criteria], (2) followed by personnel qualifications and commercialization potential [of equal importance]

• What’s the success rate, what percentage of Phase I winners make it to Phase II?
  — ~30 to 50% of Phase I awardees move on to Phase II – depending on the number of Phase I awards on the topic
Moving from Phase I to Phase II

- Progress toward meeting milestones in the Phase I Statement of Work.
- Likelihood of addressing the Navy need as stated in the topic.
- Frequent dialogue with TPOCs - Open lines of communication with the TPOC.
Phase II Types

• Initial Phase II
  – The award immediately following the Phase I award
  – All Phase I awardees eligible to compete for initial Phase II
  – Proposal submitted at the end of the Phase I award

• 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 time table; process is requirements driven
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 cannot be included on a Phase III contract; otherwise the whole contract would be a Phase II award

*Phase III Guidebook* at www.navysbir.com is desk reference
Phase III – Is the Department of Navy an End Customer?

- The Navy is definitely an end customer and needs small business solutions.
- Wide range of SBIR/STTR topics driven by PEO/PM/FNC specific needs.
- Navy SBIR is an acquisition driven process with strong technology pull.
Transition Assistance
SBIR/STTR Transition Program (STP)

• 11-month Navy-specific program (*NavySTP.com*)
• Provides services to assist with transition of technologies through:
  – Business mentoring
  – Education
  – Networking
• Services provided by Business Consultants and Market Researchers
  – Mentoring on Government/prime contractor relationships
  – Conducting market research appropriate to transition targets
  – Identifying leads for potential transition opportunities
  – Promoting technologies on the Virtual Transition Marketplace (VTM) – an online, searchable showcase accessible to Government and private sector
  – Assisting with exhibiting at Forum for SBIR/STTR Transition (FST) and Focused Technology Events

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DON accounted for 55% of DoD SBIR Phase III Funding between FY14-FY18.
What is Success?

• Transitioning a company's SBIR effort into products, tools, or services that benefit the Navy acquisition community.

• Securing non-SBIR funding to enhance ongoing projects with expanded research, development, test, or evaluation to accelerate transition and commercialization.

www.navysbir.com/success
Official website for the Department of the Navy (DON) SBIR/STTR programs

Includes information about Broad Agency Announcements (BAAs), topics, and selections; program specifics, success stories, outreach events, and points of contact (POCs)

https://www.navysbir.com
FIVE WEBSITES TO HELP YOU GET READY FOR SUCCESS

1. Navy SBIR search site for contextual searches of all Department of Defense (DoD) SBIR/STTR awards
2. Includes information on topics, success stories, and company summary reports

https://navysbirsearch.com
FIVE WEBSITES TO HELP YOU GET READY FOR SUCCESS

- Official website for the DoD SBIR/STTR Innovation Portal (DSIP) for proposal submission
- Also provides information about DoD programs, and links to current/past BAAs and other DoD/Federal SBIR/STTR websites

https://www.dodsbirsttr.mil/submissions/login
**FIVE WEBSITES TO HELP YOU GET READY FOR SUCCESS**

- Official website for the Federal-wide SBIR/STTR programs
- Includes links to all BAAs and topics
- Provides access to program-wide policy information

https://www.sbir.gov
FIVE WEBSITES TO HELP YOU GET READY FOR SUCCESS

- DON-specific SBIR/STTR Transition Program to assist SBIR/STTR awardees with their technology transition
- Provides business mentoring, training, marketing material creation, business development activities/promotion, and access to government/industry events

https://www.navystp.com
Navy SBIR/STTR: Conquering The Challenge

Click below to watch the video:

Leveraging Innovation at the Speed of Small Business

- Making the small business partner experience our priority
  - Easier proposals
  - Accelerated awards
  - Faster payments
- Relying on small business for innovative technology solutions
  - Evolving to match the pace of innovators
  - Broader topics
  - No business is too small
- Rapidly delivering naval and national benefits
  - Benefits business
  - Benefits naval forces
  - Benefits our nation
Keep In Touch with DON SBIR/STTR

Website
www.navysbir.com

Email
navy-sbir-sttr@navy.mil

Twitter
@donsbir

LinkedIn
www.linkedin.com/company/donsbir

Department of Navy SBIR/STTR Programs

Defense & Space • Arlington, VA

2,732 followers

Leveraging small business innovation to adopt technology faster

The official account for the DON SBIR/STTR Programs, mission-oriented initiatives integrating the needs of DON’s Fleet & Force. Retweets are not endorsements.

Arlington, VA
navysbir.com

Joined January 2020

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FIVE WEBSITES TO HELP YOU GET READY FOR SUCCESS (S/S) navystp.com
DON-specific SBIR/STTR Transition Program (STP) to assist awardees with their technology transition. Provides business mentoring, training, marketing material creation, business development activities.