Small Business Innovation Research (SBIR) Program

Tracy Frost, ONR SBIR Program Manager
SBIR Program Description

**Small Business Innovation Research (SBIR)**

- Tracy Frost, ONR SBIR PM

  - 2.5% extramural RDT&E lines
  - Small Business Concerns
  - 2010 SBIR budget
    - DoD $1.2B
    - Navy $342M
    - ONR $45M

**Small Business Technology Transfer (STTR)**

- Steve Sullivan, NAVY STTR PM

  - 0.3% extramural RDT&E lines
  - R&D between small business concerns and U.S. research institutions
  - 2010 STTR budget
    - DoD $138M
    - Navy $41M

Small Business Innovation Development Act of 1982
Major Navy SBIR Program Participants

- Naval Air Systems Command (NAVAIR)
- Naval Sea Systems Command (NAVSEA)
- Office of Naval Research (ONR)
- Space & Warfare Systems Command (SPAWAR)
- Marine Corps Systems Command (MARCORSYSCOM)

Navy SBIR program is administered by the Office of Naval Research
Naval S&T Strategic Plan

<table>
<thead>
<tr>
<th>Focus</th>
<th>Time Frame</th>
<th>Percentage</th>
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</thead>
<tbody>
<tr>
<td>Narrow</td>
<td>Discovery &amp; Invention</td>
<td>≈ 40%</td>
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<tr>
<td></td>
<td>(Basic and Applied Science)</td>
<td></td>
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<tr>
<td></td>
<td>Leap Ahead Innovations</td>
<td>≈ 10%</td>
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<tr>
<td></td>
<td>(Innovative Naval Prototypes)</td>
<td></td>
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<tr>
<td></td>
<td>Acquisition Enablers (FNCs, etc)</td>
<td>≈ 30%</td>
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<tr>
<td></td>
<td>Quick Reaction &amp; Other S&amp;T</td>
<td>≈ 10%</td>
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<tr>
<td>Broad</td>
<td>Near</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Long</td>
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ONR SBIR Award Structure

### Feasibility
- Year 1: $80K
- Option 6 mo.
- $70K

### Technology Development and Prototype Demo.
- Year 2: Phase 1
  - 6 mo.
  - $500K
- Phase 2
  - ~18 mo.

### Prototype Testing & Evaluation
- Year 3: Technology Demonstration & Validation
  - Option 9 mo.
  - $250K
- Prototype Testing & Evaluation

### Phase II.5
- Enhancement*
  - 12 mo.
  - ≤ $500K SBIR
- CD (Cont. Development)
  - ~12 mo.
  - ≤ $500K SBIR
- AT (Accelerated Transition)*
  - 2 yr.
  - ≤ $1.5 M SBIR

### Phase III
- Non-SBIR Funding Commitment

#### TRL
- 0-3
- 2-5
- 4 → 7
- 6-9

#### Funding Options
- FFP Contract
- CPFF Contract
- CPFF Contract
- Any Contract

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*N Requires Non-SBIR Funding Commitment

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SBIR FUNDS

NTE $150K
NTE $750 K
NTE $1.5M
NTE $2.4M

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# Beyond Phase II Award Requirements

<table>
<thead>
<tr>
<th>Phase II.5 Strategy</th>
<th>Phase II.5 Duration</th>
<th>Phase II.5 SBIR Funding Maximum</th>
<th>DoD Non-SBIR Funding Requirements</th>
<th>Total Phase II + II.5 SBIR Maximum</th>
<th>TTA Requirements</th>
<th>Expected TRL (Start : End)</th>
<th>Approval By</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase II Option</td>
<td>~ 9 months</td>
<td>$250K</td>
<td>None</td>
<td>$750K</td>
<td>TTP (Updated and Signed by TPOC)</td>
<td>Any</td>
<td>ONR SBIR PM must approve signed TTP</td>
</tr>
<tr>
<td>Enhancement</td>
<td>~ 12 months</td>
<td>$500K</td>
<td>1 SBIR $ : 1 Non-SBIR $* 1 SBIR $ : 2 Non-SBIR $**</td>
<td>$1.5M</td>
<td>TTP (Updated and Signed by TPOC)</td>
<td>Any : 4</td>
<td>ONR SBIR PM must verify non-SBIR DoD funding source and approve TTP</td>
</tr>
<tr>
<td>CD (Continuing Development)</td>
<td>~ 12 months</td>
<td>$500K</td>
<td>None Required</td>
<td>$1.25M</td>
<td>TTA (Signed by transition sponsor and ONR TPOC; must include a future funding line)</td>
<td>Any : 4</td>
<td>ONR SBIR PM must approve signed TTA</td>
</tr>
<tr>
<td>AT (Accelerated Transition)</td>
<td>≤ 24 months</td>
<td>$1.5M</td>
<td>1 SBIR $ : 1 Non-SBIR $*</td>
<td>$2.25M</td>
<td>TTA (Signed by transition sponsor and ONR TPOC)</td>
<td>Any : 6</td>
<td>ONR SBIR PM must verify non-SBIR DoD funding source and approve TTA</td>
</tr>
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All Phase II.5 SBIR funding goes on a 2nd Phase II award. Matching funds may go on Phase II.5 or Phase III award and must be awarded concurrently with SBIR Phase II.5 funding.

* Matching Funds Accepted for 1 SBIR $ : 1 Non-SBIR $: Navy Program Dollars (excluding D&I or Congressional)

** Matching Funds Accepted (1 SBIR $ : 2 Non-SBIR $): All other funds outside Navy Program Dollars (including D&I and Congressional)
Annual ONR SBIR Solicitations

PRE-SOLICITATION
FY.1
mid NOV – mid DEC
FY.2
MAY
FY.2
mid MAY

OPEN SOLICITATION
FY.1
mid DEC – mid JAN
FY.2
JUN
FY.2
mid-OCT

PHASE I AWARD START DATE

OFFICE OF NAVAL RESEARCH
SBIR-Sponsored Support

• Navy Funded Transition Assistance Program (TAP)
  – SBIR and STTR Phase II award recipients
  – 10-month program
  – Provides firms a free business consultant
  – Assistance to develop marketing tools
    (abstract, narrative briefing, quads)

• Annual Navy Opportunity Forum
  – Venue to display technologies to key decision makers
    (Prime Contractors, PEO’s, Private Industry)
  – Next Forum 6-8 June 2011, Crystal City, VA

NO COST TO YOU
Large Vessel Interface Lift-on/Lift-off (LVI LoLo) Pedestal and Crane

CRAFT ENGINEERING ASSOCIATES, INC

PHASE II SBIR: LVI LoLo Pedestal

- Main Deck Frame
- Spacer Frames
- Modular Column
- Base Units

- Operator Station
- Luffing Rigging
- Luffing Boom
- Wrist Pitch
- Wrist Slew
- Eccentric Boom
- MICRO
- Spreader
- Crane House
- Capacitor Housing
- Stowage Foot
- Pedestal
Why participate as a Small Business?

- Largest source of early stage R&D funds for Small Business
- Company retains data rights for 5 years (DoD)
- Builds credibility of company’s research
- Follow on awards are non-competitive
Government Benefits

SUBMIT NEW TOPICS

• Test drive small business
• Proactive risk reduction
• Early/High-risk S&T with SBIR funding
• Competing approaches open up additional technology alternatives
• Non-Competitive follow-on awards
• High Level of Matching Funds

ABILITY TO SEARCH EXISTING SBIR AWARDS

• Current and previous ONR SBIR awards can be supplemented or revived
• Navy or DoD awards may be transferred or continued at ONR

Small Business are often more cost effective, agile, and innovative than large firms
Navy SBIR Project Database

- Navy SBIR/STTR awards
- DoD SBIR/STTR awards (3 yrs)
- Publically Accessible
- No account required
- Ability to create a briefcase
  - Save query results
  - Automate query updates

www.navysbirsearch.com
Tips for Succeeding

Just getting started?
- Research topics (www.navysbirsearch.com)
- Submit proposals to solicitations (www.dodsbir.net)

Already have a Phase I?
- Listen to your TPOC
- Build strategic partnerships
- Plan commercialization path early

Phase II Awardees
- Understand new Phase II.5 follow-on funding opportunities
- Prepare for transition hard and early
  - Know who wants your technology in Phase III
  - Address risk, funding, partnering, licensing, etc...
  - Consider participation in TAP
  - Start completing TTP/TTA template www.navysbir.com/phaseii.htm
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