



SBIR/STTR Program Overview

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The *Small Business Innovation Research* program:

- **Established in 1982 (P.L. 97-219) & reauthorized 4 times**
- **Requires each federal agency with an extramural R&D budgets over >\$100M to allocate 3.2% for SBIR in FY17 and beyond**
- **Funds R&D at small businesses (500 employees or less)**
- **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**



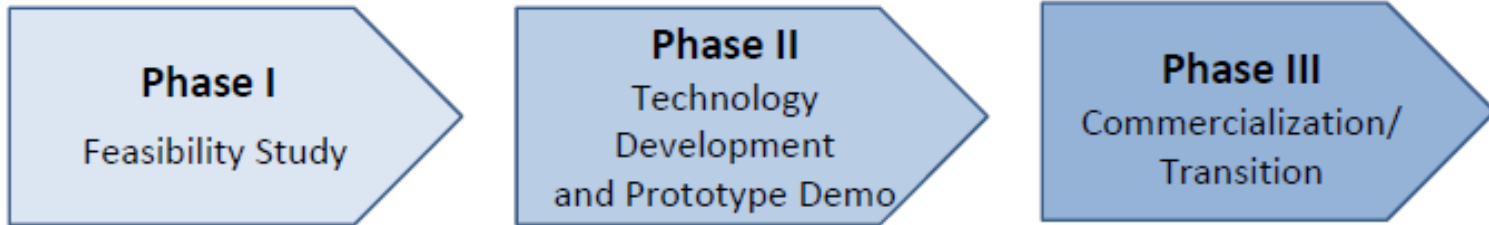
STTR Overview



- **The *Small Business Technology Transfer* program:**
- **Established in 1992 (P.L. 102-564) & reauthorized 3 times**
- **Requires each federal agency with an extramural for R&D over >\$1B to set-aside 0.45% for STTR in FY17 and beyond**
- **Funds cooperative R&D between small businesses and research institutions**
- **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**



3 Phase Structure of Programs



- **Phase I** - feasibility study to determine the scientific or technical merit of an idea or technology.
- **Phase II** - all Phase I awardees may compete for Phase II funding. Phase II is typically a technology development and demonstration phase in which prototypes are built and tested.
- **Phase III** - ultimate goal of SBIR/STTR projects. Phase III is non-SBIR/STTR funding that comes from the government and/or private sector to transition a company's SBIR/STTR effort into products, tools or services. Phase III awards can be awarded via a competitive or statutorily authorized non-competitive process.



NAVFAC SBIR/STTR Award Structure FY20 Award Amounts



Project Feasibility

Technology Development and Prototype Demonstration

Prototype Testing & Evaluation Technology Demo & Validation

Commercialization Transition

Phase I

Phase I Base	Phase I Option
<ul style="list-style-type: none"> • 6 Months • \$140K 	<ul style="list-style-type: none"> • 6 Months • \$100K

FFP Contract

NTE \$240K

Phase II

Phase II Base	Phase II Option
<ul style="list-style-type: none"> • 12 Months • ≤ \$500K 	<ul style="list-style-type: none"> • 12 Months • ≤ \$500K total • ≥ TRL 4 at exit

CPFF Contract

NTE \$1.5M SBIR/STTR Funding

Subsequent Phase II

Goal is to accelerate transition; driven by Acquisition requirements and a clear transition path

- Up to 24 months
- 1:1 cost match
- Signed TTP may be required *
- Minimum TRL 4 at entry

CPFF Contract

NTE \$1.5M SBIR/STTR Funding on Contract; Non-SBIR has unlimited ceiling

Phase III

Transition to Acquisition Program

- Non-SBIR/STTR \$ (Private sector or Non-SBIR Gov. \$)
- Unlimited POP
- SBC Extension of Data Rights

Contract Type Varies
Phase III contracts may be awarded without competition after Phase I/II

No limit on funding (Just Non-SBIR/STTR)

* TTP may be required for Phase II Option

TTP: Technology Transition Plan
TTA: Technology Transition Agreement

NTE \$3,225,000 Total SBIR /STTR Funding

Phase III – can occur anytime after Phase I and is funded with non-SBIR/STTR\$

TRL: 0 - 3

2 - 5

4 - 7

6 - 9



NAVFAC Award Amounts & POP



- **Generally only one award per topic per firm is allowed for Phase I.**
 - We (EXWC) have typically selected three firms per topic for Phase I
- **Phase II awards – EXWC limits to 1-2 awards per topic per firm. SBIR/STTR funding is limited in Phase I and II unless a waiver is obtained in advance from the SBA.**
- **Phase III awards – there is no funding limit or limit on number of awards in Phase III. However, these are ONR funded.**

	Phase I	Phase II	Phase III
Funding			
Base	\$140K	\$500K	Non-SBIR/STR
Option	\$100K	\$500K	Unlimited
Period of Performance			
Base	6 months	12 months	Government – 5 years
Option	6 months	12 months	Industry – No limit



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