SYSCOM-SPECIFIC Award Structures and Requirements

NAVSEA

NAVSEA SBIR Phasing Strategy

Topic Generation & Approval	Concept Development & Feasibility	Technology Development	Technology Demonstration, Validation, Test, Evaluation & Systems Integration	Navy Use

Phase: Ph I → Opt → Ph II → Opt → Ph II.5/Ph III Dev & Cert

- Direct Contract
- Subcontract to Prime

Funding & Duration	$80K 6 mo.	$70K 6mo.	$750K 24 mo.	$250K 6 mo.		Non-SBIR Funds
Requirements	• Successful Ph I proposal to approved topic		• Successful Ph I • Positive Ph II Decision - Exercise Ph I Opt • PM Transition Memo - Program interest - Potential funding - Ph II Requirements • Exercise Ph II Option - Moving to Ph III, CD, AT, or Enhancement			
TRL	1 - 3		2 - 6		Ph II.5 4-7, Ph III 4-8	8 - 9
Contract	FFP Contract		CPFF Contract		CPFF Contract Match on Ph III encouraged for CPP	Any

Phase II.5

Continuing Dev (CD)

- TTA
- ≤ $750K SBIR, no match
- ≤ 24 mo. w/ planned trans funds

AT (formerly CPP)

- Initial Ph III docs (e.g.; RFP, TI)
- ≤ $1.5M SBIR with concurrent 1:1 Navy program match at start
- ≤ 24 mo.

Enhancement

- ≤ $625K SBIR with 1:1 Navy program match
- ≤ 12 mo.

- **SBC may apply for Enhancement via DoD proposal submission site**
- **NAVSEA SBIR Sponsors and TPOC nominate projects for AT and CD**

NAVSEA Phase II.5 Funding & Documentation Requirements

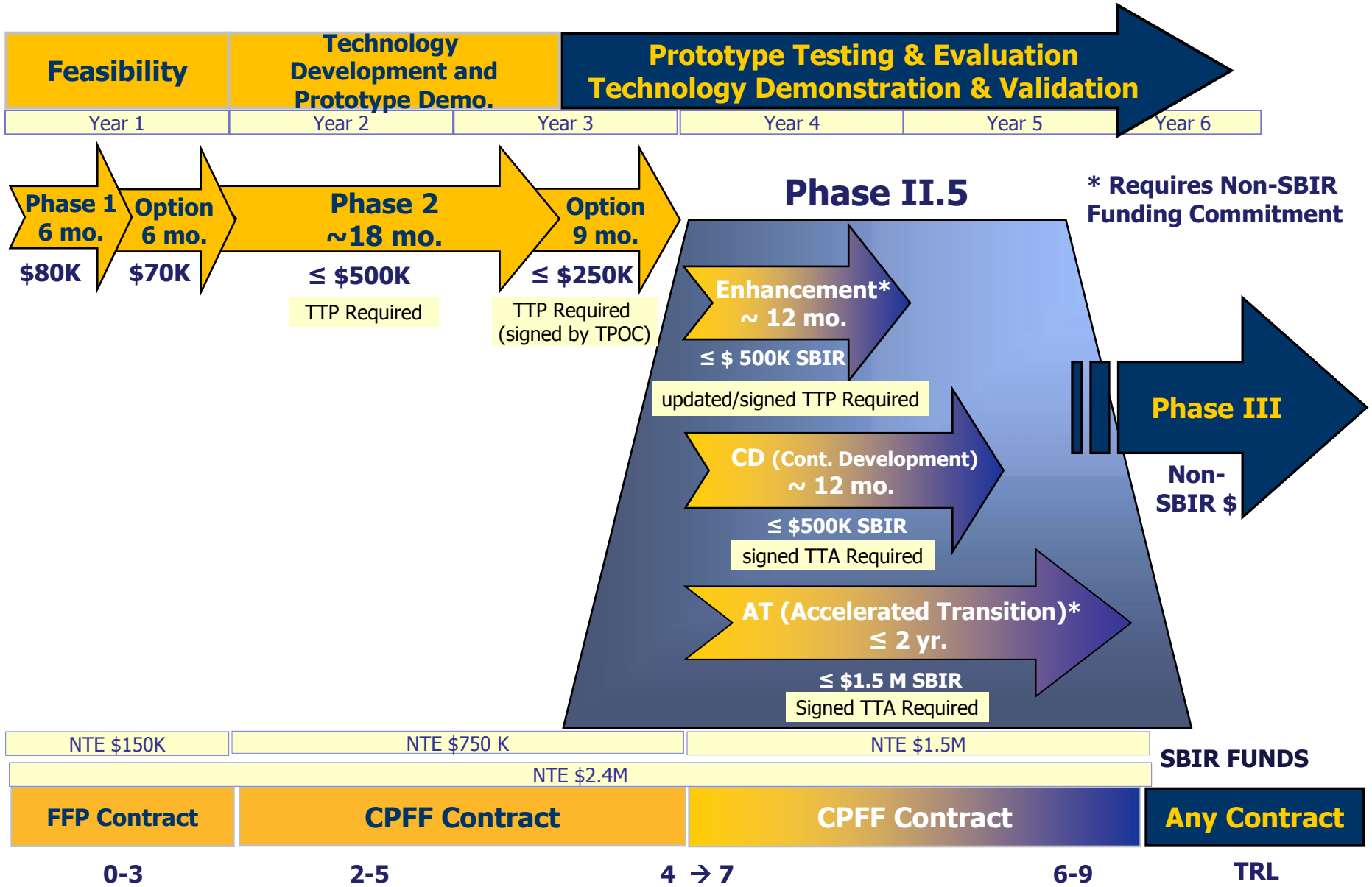
Phase II.5 Strategy	Phase II.5 Duration	Phase II.5 SBIR Max	DoD Non-SBIR Funding Reqmnts	Documentation Reqmnts	Exit TRL	Approval By
Option	≤6 mo.	$250K	None	Unsigned TTA for CD, Ph III Initial Contracting Docs (e.g. RFP, TI) for AT or Ph III, or Enhancement application	Any	NAVSEA SBIR CPM
All SBIR Phase II.5 funds go on original Phase II or on a 2nd Phase II contract						
Enhancement	≤12 mo.	$625K	1:1 Concurrent SBIR & Navy program funds to SBC (matching funds available at contract modification)	Enhancement application	Any	NAVSEA SBIR CPM
Continuing Development (CD)	≤24 mo.	$750K	None	TTA signed by TPOC, target Navy transition program, Navy program providing transition funds, PEO Sponsor, & NAVSEA SBIR CPM before end of option. TTA must show planned transition funds. TTA updated with change in cost, schedule, participants, transition, or insufficient risk retirement.	~5-6	NAVSEA SBIR CPM
Accelerated Transition (AT)	≤24 mo.	$1.5M	Concurrent 1:1 SBIR to Navy program match at time of Ph II contract modification	Initial Ph III contracting documents (e.g.; RFP, TI) at time of Ph II contract modification	> 6	NAVSEA SBIR CPM

For SBIR Investment >$2.5M (Phase II + II.5)

- Navy Director approval and 1:1concurrent funds to SBC required
- NAVSEA's Ph II awards in excess of $2.5M shall be ≤10% of NAVSEA Phase II projects
- Non-SBIR funds should be applied to a Ph III
- TTA Updated & re-signed annually per signature requirements above

ONR

ONR SBIR Award Structure



Beyond Phase II Award Details

Phase II.5 Strategy	Phase II.5 Duration	Phase II.5 SBIR Funding Maximum	DoD Non-SBIR Funding Requirements	Total Phase II + II.5 SBIR Maximum	TTA Requirements	Expected TRL (Start : End)	Approval By
Phase II Option	~ 9 mo.	$250K	None	$750K	TTP (Updated and Signed by TPOC)	Any	ONR SBIR PM must approve signed TTP
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.							
Enhancement	~ 12 mo.	$500K	1 SBIR $:1 Non-SBIR $* 1 SBIR $: 2 Non-SBIR $**	$1.5M	TTP (Updated and Signed by TPOC)	Any : 4	ONR SBIR PM must verify non-SBIR DoD funding source and approve TTP
CD (Continuing Development)	~ 12 mo.	$500K	None Required	$1.25M	TTA (Signed by transition sponsor and ONR TPOC; must include a future funding line)	Any : 4	ONR SBIR PM must approve signed TTA
AT (Accelerated Transition)	≤ 24 mo.	$1.5M	1 SBIR $: 1 Non-SBIR $ *	$2.25M	TTA (Signed by transition sponsor and ONR TPOC)	Any : 6	ONR SBIR PM must verify non-SBIR DoD funding source and approve TTA

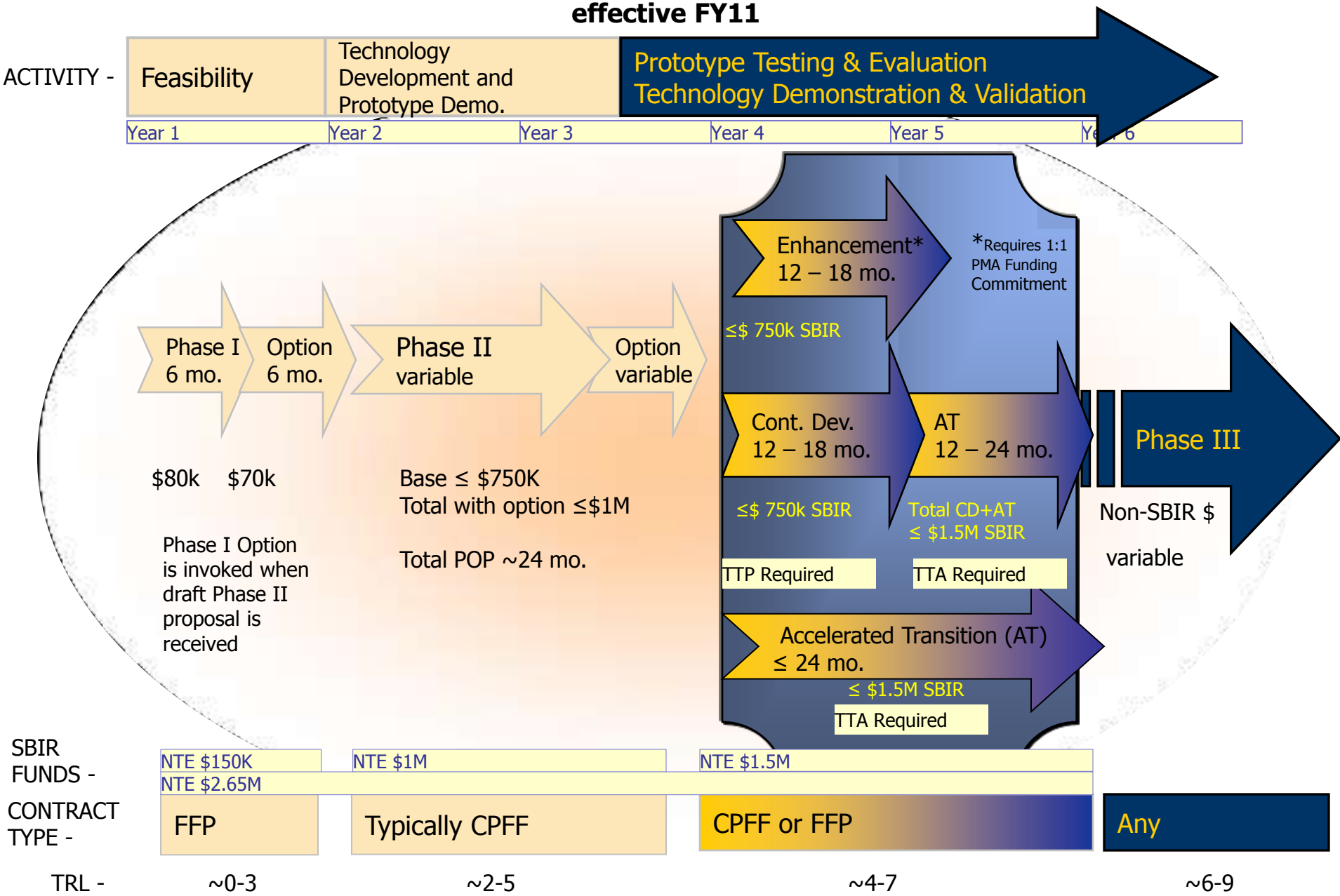
* Matching Funds Accepted for 1 SBIR $: 1 Non-SBIR $: Navy Program Dollars (excluding D&I or Congressional)

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

NAVAIR

NAVAIR SBIR Award Structure

effective FY11



Phase II.5 Strategy	Phase II.5 Duration	Phase II.5 SBIR Funding Maximum	NAVAIR Non-SBIR Funding Requirements	TTA Requirements	Exit TRL	Approval By
All SBIR Phase II.5 funds go on original Phase II or on a 2nd Phase II contract						
Enhancement	Typically 12 to 18 mo.	$750K	1:1 Concurrent SBIR & NAVAIR program funds to SBC (matching funds available at contract modification)	None	Any	NAVAIR SBIR PM must verify & approve non-SBIR DOD match ratio and funding source
Continued Development (CD)	Typically 12 to 18 mo.	$750K	NAVAIR Acquisition Program funds or prime investment desired but not required	• Technology Transition Plan (TTP) developed by TPOC and PMA • TTP endorsed by PMA, PEO SBIR Technology Manager, and CTO	Typically ~5-6	SYSCOM SBIR PM or DPM
Accelerated Transition (AT)	≤24 mo.	$1.5M	Transition funding must be detailed in TTA	• Technology Transition Agreement (TTA) developed by TPOC and PMA • TTA approved by PMA and PEO SBIR Technology Manager • Phase III out year funds identified in TTA	> 6	SYSCOM SBIR PM or DPM

For SBIR Investment >$2.5M (Phase II + II.5):

- Navy Director approval and 1:1 concurrent funds to SBC required
- # NAVAIR SBIR Phase II awards in excess of $2.5M will be ≤10% of NAVAIR SBIR Phase II projects
- Non-SBIR funds should be applied to a Ph III
- TTA reviewed annually

SPAWAR

SPAWAR SBIR Phasing Strategy

Topic Generation & Approval	Concept Development & Feasibility	Technology Development	Technology Demonstration, Validation, Test, Evaluation & Systems Integration	SPAWAR Use

Funding & Duration

	$80K 6 mo .	**$70K 3 mo.**	**$750K 18-24 mo.**	**$250K 6 mo.**	**$250K-$750K ~18-24 mo.**	

Requirements

Ph I proposal nominated for award.

- Successful Ph I
- Invited to submit a Phase II proposal
- Exercise Ph I Option
- Ph II Procurement Requirements satisfied
- Exercise Ph II Option

Post Phase II

- **Continued Development (CD)**
  - ≤18 mo.
  - Max $750K SBIR funding
  - Signed TTP
- **Accelerated Transition (AT)**
  - ≤24 mo.
  - 1:1 Match SBIR to Non-SBIR; 1:2 Match if CD transitioning to AT

Non-SBIR Funds

TRL	1 - 3	2 - 6	Ph II.5 4-7 Ph III 4-8	8 - 9
Contract	FFP Contract	CPFF Contract	Modification to existing Ph II	Any

SPAWAR SBIR Phasing Strategy

Phase II.5 Strategy	Phase II.5 Duration	Phase II.5 SBIR Funding Maximum	Total Phase II + II.5 SBIR Funding Maximum	DoD Non-SBIR Funding Requirements	Documentation Required (in addition to PR Package Requirements)	Approval By
All SBIR Phase II.5 funds go on original Phase II or on a 2nd Phase II contract						
Continued Development (CD)	≤18 mo.	$750K	$1.75M	None	TTP signed by: TPOC, PEO SBIR TD, Navy Program that will be Providing Transition Funds, SPAWAR SBIR PM	PEO SBIR TM/TD, SPAWAR SBIR PM
Accelerated Transition (AT)	≤24 mo.	$1.5M	$2.5M	1:1 Match of SBIR to Non-SBIR Funds; 1:2 Match if CD transitioning to AT	None	TPOC, PEO TM/TD, SPAWAR SBIR PM

- **New Definitions**
  - Phase II.5: Any Phase II in which the total Phase II investment, for a specific topic to an SBC, exceeds $1M
  - Matching Funds: Any concurrent non-SBIR funds from the government put on the Phase II contract

- **Notes**
  - Per solicitation guidelines: Phase II base cannot exceed $750K and option cannot exceed $250K
  - Phase II option requires PEO TM approval and Phase II Option Request Form
  - Any contracting action request sent to SBIR PO prior to 19 JAN 11 is exempt from new documentation requirements and limits
  - Maximum non-SBIR funds on a Phase II.5 is $1.5M

MARCOR

MARCOR SBIR Phasing Strategy

Topic Generation & Approval	Concept Development & Feasibility	Technology Development	Technology Demonstration, Validation, Test, Evaluation & Systems Integration	MARCOR Use

PH → PH I → OPTION → PH II → OPTION → Phase II.5 → PH III - Transition

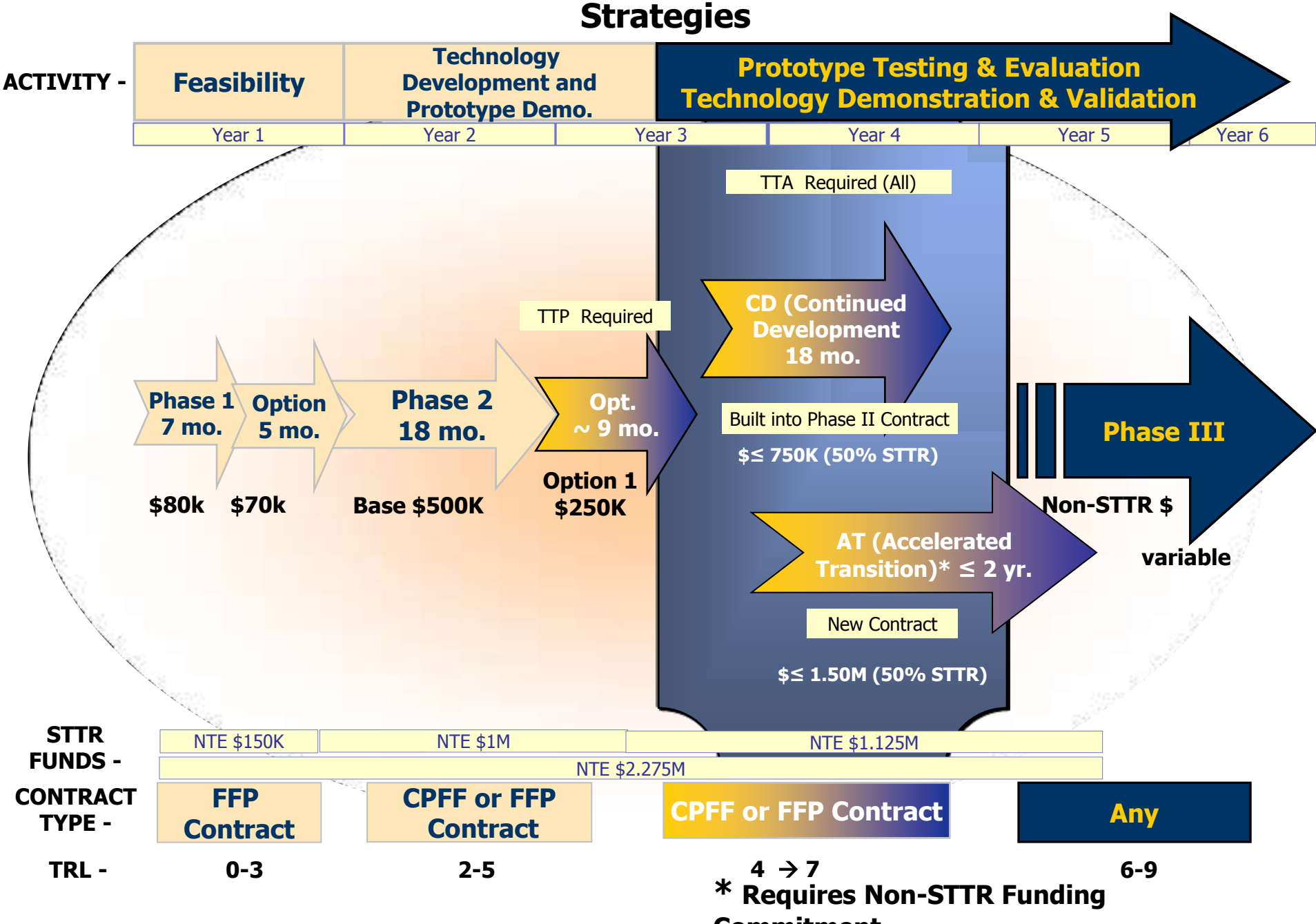
Funding & Duration	**$80K** **6 mo.**	**$70K** **6 mo.**	**$750K** **18-24 mo .**	**$250K** **6 mo.**		• Direct Contract • Subcontract to Prime
Requirement	**Ph I proposal nominated for award.**	• **Successful Ph I** • **Invited to submit a Phase II proposal** • **Exercise Ph II Option**		• **Phase II Enhancement** ▪ Up to $500K available with negotiated matching funding ▪ < 18 mo. • **Continued Development (CD)** ▪ < 2 years ▪ Maximum of $1.5M of SBIR funds with negotiated matching funds		**Non-SBIR Funds**
TRL	1 - 3	2 - 6	Ph II.5 4-7 Ph III 4-8			8 - 9
Contract	FFP Contract	CPFF Contract	Modification to existing Ph II			Any

MARCOR SBIR Post Phase II Funding & Documentation Requirements

Program Option	Duration	SBIR Max	DoD Non-SBIR Funding Requirements	Documentation Requirement	Exit TRL	Approval By
All SBIR Phase II.5 funds go on original Phase II or on a 2nd Phase II contract						
Option	≤6 mo.	$250K	None	TTA	Any	PEO-LS or PGD, IPM, SBIR PM
Enhancement	≤18 mo.	$500K	Up to $500K SBIR funding with negotiated matching funds	TTA	Any	PEO-LS or PGD, IPM, SBIR PM
Continued Development (CD)	≤24 mo.	$1.5M	Up to $1.5M SBIR funding with negotiated matching funds	TTA	~5-6	PEO-LS or PGD, IPM, SBIR PM

STTR

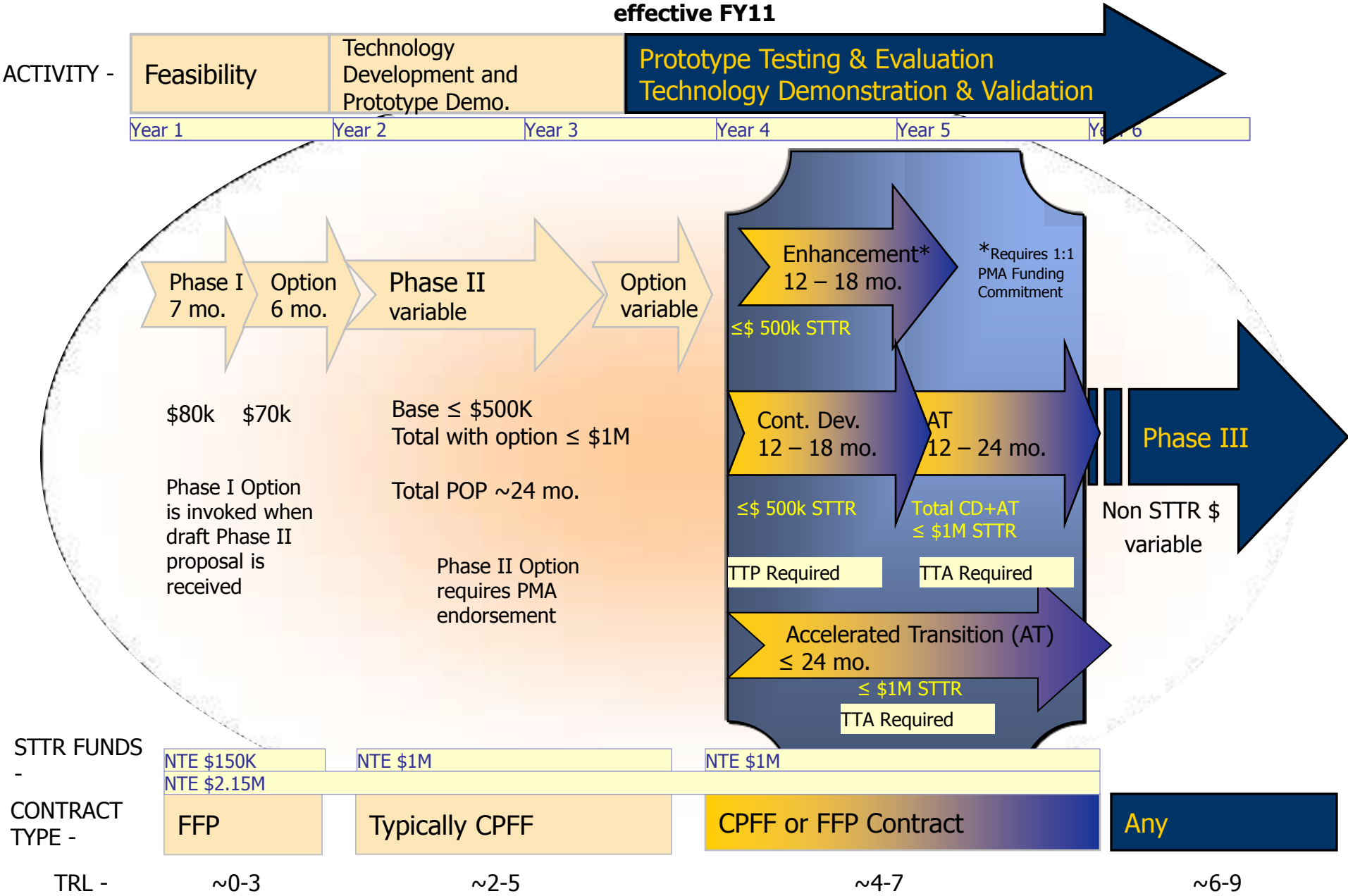
NAVY (non NAVAIR) STTR Award Structure and Phase II.5—Transition Strategies



NAVY (non-NAVAIR) STTR Award Structure and Phase II.5—Transition Strategies

Phase II.5 Strategy	Phase II.5 Duration	Phase II.5 STTR Funding Maximum	DoD Non-STTR Funding Requirements	TTA Requirements	Exit TRL	Approval By
All SBIR Phase II.5 **funds** go on original Phase II or on a 2nd Phase II contract						
Option	~9 mo.	$250K	None	TTP Required	Any	Commitment from PEO, Transition Target, or SYSCOM PM
Continuing Development (CD)	~18 mo.	$750K (50% STTR)	Built into contract. 50% Non-STTR funding share required.	TTA signed by PM or R&D lead and matching funds source. Approved by STTR PM.	~4-6	SYSCOM STTR PM
Accelerated Transition (AT)	≤24 mo.	$1.5M (50% STTR)	New contract. 50% Non-STTR funding share required.	TTA signed by PM or R&D lead and Matching Funds Source . Approved by CTO or PEO and SYSCOM SBIR PM & STTR PM. Phase III out year funds identified in TTA. TTA in PM Database	≥ 6	SYSCOM STTR PM

• Cases where >$2.5M SBIR Investment (Phase II + II.5) require Navy Director approval, and 1:1concurrent funds to SBC. No more than 10% of SYSCOMs Phase II funding can b e used on $2.5M plus awards. Non-SBIR funds should be applied to a phase III. TTA Updated & re-signed annually by non-SBIR funding source and SYSCOM SBIR Office.

NAVAIR STTR Award Structure

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