



TRANSITIONS

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From the Director

News of an exciting sea-change for SBIR/STTR greeted us in January, just as we were ready to release our new Department of the Navy (DON) SBIR/STTR Phase III Guidebook to the acquisition community. In short order, we were given three major new authorities that should transform SBIR/STTR opportunity for entrepreneurs, for industry, and for the government acquisition community. The three authorities, treated in detail elsewhere in this issue of *Transitions*, are:

1. **Better Buying Power 3.0 (BBP 3.0)** – a fundamental DoD acquisition policy statement that creates important new on-ramps for small business in general and SBIR/STTR in particular. Procedures and processes to implement this broad policy statement are forthcoming.
2. **DoD Instruction 5000.02 (DoDI 5000.02)** – a formal prescription, for the first time, of DoD acquisition goals and tracking/reporting requirements for SBIR/STTR – in alignment with BBP 3.0.
3. **Tapping Into Small Business in a Big Way** – a memo from Assistant Secretary of the Navy Sean Stackley that provides SBIR/STTR implementation guidance to the DON's acquisition community, with a focus on increased use of Phase III contracts to improve SBIR/STTR commercialization (i.e., deployment) outcomes and help acquisition management meet cost, schedule and performance goals.

“Please share with me and the community how we can optimally use these tools as we continue to improve the value proposition of the SBIR/STTR program.”

Implementation of these authorities is the challenge before all of us. So to this end, I have initiated a series of meetings with DON acquisition community leads from programs and contracts throughout our System Commands, and a parallel series of meetings with industry prime contractors that take SBIR/STTR partnering seriously. I urge all *Transitions* readers to review these new authorities in their entirety – links to them are found on our website: www.navysbir.com – and think about how to take advantage of these new opportunities. Please share with me and the community how we can optimally use these tools as we continue to improve the value proposition of the SBIR/STTR program.

Meantime, we are gearing up for what looks to be the best annual Navy *Opportunity Forum*[®] in the past 15 years (see the article in this issue about this landmark June 1–3 event in Crystal City VA), for the Spring 2015 SBIR/STTR National Conference in mid-June at Gaylord National Harbor near Washington DC, and for the 2015 SBIR Road Tours spanning March through August.

The national SBIR Road Tours, with their “Seeding America’s Future” theme, are the first government-wide effort in a decade to take the good news about SBIR/STTR opportunity to underserved communities. During 2015, four week-long Road Tours will be conducted in target regions. The outreach effort kicked off with a South East four-state tour March 24–27, followed by a five-state South Central tour from April 27–May 1. With a new stop each day, the Road Tours will give entrepreneurs in underserved states a rare opportunity to engage directly with numerous agency SBIR Program Managers – including myself. Check out the Road Tour dates and itinerary at www.sbirroadtour.com.

I really look forward to meeting you at these events!

Finally, the Dept. of Defense has rolled out “Communities Of Interest” (COI), a new opportunity for small businesses like those in the SBIR/STTR community to participate in leading-edge DoD science and engineering technology work. We’ll look at these COIs in depth in coming issues of *Transitions*.

Bob Smith
Director, DON SBIR/STTR Programs

SBIR/STTR Phase III Guidebook

www.navysbir.com



Implications of *Tapping Into Small Business in a Big Way* for the SBIR Program

It's a widely held belief that national defense goals and strategies that include small business create more affordable outcomes and promote technological innovation. Sean Stackley, Assistant Secretary of the Navy for Research, Development and Acquisition, took that belief one step further on January 12 when he released a highly anticipated memo to kick off the New Year. *Tapping Into Small Business in a Big Way* is garnering rave reviews across the DoD – and the Federal government – and is being called a game-changer for the SBIR/STTR program.

Stackley states in his memo, "Those commands that design Small Business into their contracting strategies and that actively, directly engage small business in the course of addressing their requirements prove to be most successful in meeting not merely their Small Business goals – but their program requirements."

To support his vision, Mr. Stackley formally assigned "... each Deputy Program Manager as the Small Business Advocate responsible for identifying opportunities within the program for Small Business participation, serving as technical Point of Contact for Small Businesses interested in pursuing these opportunities, and for management of SBIR and STTR within their cognizance." As a deliverable, he directs each Head of Contracts Activity (HCA) and Program Executive Office (PEO) to formulate small business strategies for both this year and next, while clearly identifying how they will incorporate and promote small business participation as prime contractors and through sub-contract provisions across the breadth of contracts they oversee.

In the Q&A section below, Bob Smith, Director of the DON SBIR/STTR Program, sheds some light on the major implications of the memo and discusses how 2015 is poised to become the year of small business dominance.

Q: Why is *Tapping Into Small Business in a Big Way* having such a huge effect on the SBIR/STTR community?

Bob Smith: "Here you have the Senior Acquisition Executive pointing out and reminding folks that small business should be a part of their acquisition strategy - not an after-thought. It's easy to get lost in cost/schedule/performance issues. It's easy to defer to large primes to do it all – but the Program Executive Officers have an obligation to look at all of the opportunities when it comes to technology. Not all of the answers reside with the primes. We have a truly innovative nation full of small businesses that produce the solutions that satisfy Navy needs. For a little money, it is worth the gamble to get that game changing solution."

Q: How can readers in the small business community use this memo to their benefit?

Bob Smith: "Have it in your hip pocket, and make sure that your DON Program Manager is aware of it. It is always a good idea to double



The Honorable Sean J. Stackley, Assistant Secretary of the Navy.

check. Also ask of them – how can we help you implement it? How can we be part of the solution?"

Q: Will this memo lead to more changes in defense acquisition practices? How will small business be affected?

Bob Smith: "It better lead to more changes! It comes back to managing what you measure. Mr. Stackley asked to include acquisition strategies. The big programs are going to be asked for it and that will trickle down, and you will see that awareness change over time. I think it comes back to what some of the larger PMs are struggling with and that is, how do we implement this? That is where my office comes in – we are helping them with ways to accomplish

this most effectively and efficiently. We've started conversations with professionals to make it a team effort to achieve Mr. Stackley's imperative along with the goals of Better Buying Power 3.0 and achieving the new SBIR guidance found in the updated DoD Instruction 5000.02."

Q: Why was this memo written?

Bob Smith: "The Navy was already out in front with the realization that others have come to acknowledge regarding the changes to DoD Instruction 5000.02 and Better Buying Power 3.0. We've always been working this through. Using the SBIR/STTR authorities is different than the normal set of business rules that people are used to. Mr. Stackley wants to lift their eyes off the desk and realize that there is more than one way to get the job done. I ran the Navy's RIF program before this job – and the objectives were very similar: small business concerns with mature technologies, addressing acquisition challenges. The Navy wants to bridge this disconnect between science and technology and get into programs of record. We help achieve the CNO's charge, "Taking the technical to the tactical." RIF provided that bridge funding to commercialization. So we took best practices from our SBIR program, and made them both better.

With *Tapping Into Small Business* marking the first time a deliverable such as this was set in stone and sent across the DON, the Department is confident it will not only meet its small business goals, but set the stage for improved SBIR Phase III transitions and a greater return on our research and development investments in SBIR/STTR.

New Authorities Transform the SBIR/STTR Landscape

With the recent issuance of three documents, the SBIR/STTR opportunity landscape has changed dramatically for innovative entrepreneurs.

BETTER BUYING POWER 3.0

Better Buying Power 3.0 (BBP 3.0), authored by 2013 Navy *Opportunity Forum*[®] keynote speaker the Hon. Frank Kendall (Undersecretary of Defense for Acquisition, Technology and Logistics), addresses a concern voiced by Secretary of Defense Ashton Carter that our nation is losing technological superiority. Mr. Kendall's charge focuses on more innovation and more technical excellence – with small business and SBIR/STTR identified as key resources. In a March 2015 address to the American Society of Naval Engineers, Mr. Kendall said that tighter coupling is needed between SBIR/STTR investments and putting products into warfighters' hands. Subcontracts to DoD prime contractors and other vendors, he said, are an important vehicle for delivering SBIR/STTR innovation, as noted in his BBP 3.0 white paper.

Six of BBP 3.0's eight initiatives have relevance for SBIR/STTR, with the initiative "Incentivize Innovation in Industry and Government" frankly demanding "Increase the return on SBIR." (For a summary of all eight initiatives, see *An Index of SBIR-STTR Relevance and Opportunity*, accompanying the BBP 3.0 white paper at www.navysbir.com.) BBP 3.0 initiatives are high level – e.g., "Promote Competition", "Incentivize Productivity" and "Incentivize Innovation". Mr. Kendall is fleshing out all eight initiatives in extensive, detailed implementation plans. To track BBP 3.0 implementation plans, see the Defense One website at bbp.dau.mil.

DOD INSTRUCTION 5000.02

DoD Instruction 5000.02 (DoDI) formally establishes policy and procedures for the management and operation of DoD acquisition, and the work of Milestone Decision Authorities for acquisition programs. An earlier version of the Instruction took notice of SBIR/STTR – but with "should" language instead of the "shall" or "will" language needed to lock SBIR/STTR into DoD acquisition work. An interim Instruction was replaced by the new DoDI, which is a game-changer as evidenced by the direct language in this paragraph:

"Program managers will establish goals for applying SBIR and STTR technologies in programs of record and incentivize primes to meet those goals. For contracts with a value at or above \$100 million, program managers will establish goals for the transition of Phase III technologies in subcontracting plans and require primes to report the number and dollar amount of Phase III SBIR or STTR contracts." (DoDI 5000.02; pg. 48)

Accompanying language also expands the requirement to cover all ACAT I, II, III and IV programs at or above \$100 million; an earlier Instruction limited coverage to ACAT I and II programs. Further, Milestone B is excluded to ensure that the considerable SBIR/STTR work now required pre- and post-Milestone A is accomplished, reported and evaluated by Acquisition Executives.



Despite the strength of DoD Instruction 5000.02 with regard to SBIR/STTR, compliance depends on additional implementation guidance by a military Service such as the DON, or a smaller DoD component like the Missile Defense Agency.

TAPPING INTO SMALL BUSINESS IN A BIG WAY

Tapping Into Small Business in a Big Way, a memorandum signed by 2014 Navy *Opportunity Forum*[®] keynote speaker the Hon. Sean Stackley (Assistant Secretary of the Navy for Research, Development and Acquisition), is the SBIR/STTR implementation guidance needed to help ensure adherence to DoD Instruction 5000.02.

Building on his reputation for using competition among the defense industry's larger partners to achieve affordability, Mr. Stackley in this memorandum creates an acquisition on-ramp for small business. "The evidence is overwhelming," he writes, "that where affordability is paramount, a strategy that includes Small Business creates more affordable outcomes and promotes innovation and technical advancement." The memo tasks each DON Head of Contracts Activity and PEO with formulating a Small Business strategy that enables participation as prime contractors and subcontractors "across the breadth of contracts under their purview", and recommends measurable performance objectives – all to be reviewed in quarterly program updates starting in the second quarter of 2015.

New Authorities... continued

The memo focuses on SBIR/STTR as a program that “requires unique consideration” and “deliberate stewardship” to improve Phase III transition rates and remove transition impediments. SBIR/STTR Phase III awards, the memo underscores, are an “authorized exception to competition” that Contracting Officers are encouraged to employ in alignment with program requirements. (Phase III awards are directed awards from a previously completed effort.) Also, Deputy PMs are identified as Small Business Advocates with responsibility for managing SBIR/STTR inclusion in program opportunities.

Mr. Stackley’s emphasis on the use of SBIR/STTR Phase III authorities as a means of realizing SBIR/STTR’s potential for innovation and affordability gains helped drive publication of the unique Department of the Navy *SBIR/STTR Phase III Guidebook*. Although one such authority is “sole source” – which has a specific meaning within the contracting community – it is not the authority that should be used to make Phase III awards. According to DON SBIR/STTR senior staffer Lee Ann Boyer, a Phase III is typically a “directed award” or “an award directly to the firm without further competition”, which uses the “authorized by statute” authority of FAR 6.302-5 (10 USC 2304(c)(5)) and cites 15 USC (r)(4). Per DON SBIR/STTR Director Bob Smith, using the “sole source” provision is discouraged as it requires many specific procedures detrimental to the Phase III process.

Exploring Phase III Success

Some companies are remarkably successful with commercializing technologies funded with SBIR and/or STTR dollars. These companies grow, they thrive, they bring products to market. What is it about their approaches to transition that enables them to consistently be successful? Did we discern a pattern? Did their approaches change over time? Could we explain their techniques to others?

The result of this line of inquiry is a series of video case studies funded by the DON entitled *Successful Business Models used to Transition Navy SBIR/STTR Technologies*. The series highlights three different companies:

1. **Out of the Fog Research LLC**, founded in 2004 by a Ph.D. physicist
2. **Arkansas Power Electronics International**, started in 1999 by a college professor
3. **Physical Optics Corporation**, established in 1985 by a husband and wife team – both Ph.D. scientists

In each video we look at the company today; explore its past as well as its current structure; examine how each prepares to bring products to market; and finally review the lessons learned.

These videos – each less than 15 minutes in length – are designed to facilitate discussion and generate ideas about how to transition technologies to Phase III and increase the rate of insertion of innovative technologies into the fleet. Please take a look at www.dawnbreaker.com/navy.video.php.

SUMMARY

In summary, BBP 3.0 is a fundamental DoD acquisition policy statement that creates important new on-ramps for small business in general and SBIR/STTR in particular. Procedures and processes to implement this broad policy statement are forthcoming. DoDI prescribes, for the first time, DoD acquisition goals and tracking/reporting requirements for SBIR/STTR – in alignment with BBP 3.0. The ASN (RDA) memo *Tapping Into Small Business in a Big Way* provides SBIR/STTR implementation guidance to the DON’s acquisition community, with a focus on increased use of Phase III contracts to improve SBIR/STTR commercialization (i.e., deployment) outcomes.

Note

All three documents discussed in this article may be found at www.navysbir.com.



Stuart Berkowitz, Out of the Fog Research LLC



Alex Lostetter, Arkansas Power Electronics International



Rick Shie, Physical Optics Corporation

The Prime Corner: Raytheon Integrated Defense Systems

As a small research and development business just starting out, it might be hard to imagine catching the interest of Raytheon Company, one of the nation's largest defense prime contractors. After all, Raytheon is a worldwide technology and innovation leader with over \$22 billion in sales, half of which are U.S Government defense contracts.

One might assume this global powerhouse wouldn't pay attention to a novice firm embarking on a Phase I Small Business Innovation Research (SBIR) proposal. Yet the opposite is true. Through its innovative best practices, Raytheon Integrated Defense Systems (IDS) prides itself on finding that perfect fit for SBIR partners' technologies, and immediately exploring Phase III transition possibilities, beginning with Phase I.

Integrated Defense Systems, one of four business units within Raytheon, has a successful approach that sets small businesses up for success by starting with the end in mind. For these small business technology innovators, it all begins with the IDS Supplier Innovation team, a highly integrated cooperative of Integrated Supply Chain and Engineering that works within the front end of the business to connect innovative technologies to transition opportunities on IDS programs. In Phase I, IDS helps the business by focusing on alignment to ensure the SBIR technologies meet emerging and critical needs. By visualizing the technology needs and gaps in the 3–5 year horizon, IDS specifically aligns with select technologies in Phase I that have the best chance for transition based on alignment to Raytheon's roadmaps. In Phase II, the collaboration focus shifts toward mitigating risk and improving acceptance by the target program. In Phase III, the collaborative team grows as the technology becomes formally integrated and validated against the requirements of the program.

But how does a small business even get on the IDS radar? For small businesses with an interest in SBIR, it's important to know how IDS reaches out to and engages with potential partners.

When a Phase I solicitation is announced, IDS narrows down the list of topics to the ones matching its needs and shares the list with its existing small business partners. Raytheon encourages new small business partners to reach out to them directly (see CONTACTS & RESOURCES tab).

Companies are vetted based on Raytheon's interest in the topic, their core competencies and how their technical abstracts line up with their view of the notional solution space. "If an abstract comes to Integrated Defense Systems from a small business, and the topic is not right for us, I will reach out to my counterparts across Raytheon to determine if the topic would be more relevant for their needs," explains Erin Fopiano, SBIR Coordinator for IDS. "Additionally, if a small business approaches us with a core technology that doesn't match the current solicitation, we will retain them in our active database and reach out when the time is right."

And while SBIR experience is welcomed and preferred, Raytheon regularly builds relationships with and mentors small firms with novel capabilities who are new to the SBIR game. Companies provide the IDS team with abstracts to assess, and if IDS sees a fit for the technology and potential transition pathways, the team will strategize on how to build a successful SBIR

proposal and development program. Assistance with navigating contract intricacies are another advantage of having a large prime to help with the SBIR landscape, which can be tricky especially to newcomers.

Proactive outreach to small business is another way Raytheon expands its Supplier Innovation partner database. Through SBIR events, trade-shows and expos, the Supplier Innovation team makes contacts with small business innovators for subsequent technical exchange directly with engineering Subject Matter Experts and IDS Advanced Technology Program leads. Recently, Raytheon hosted a supplier forum at its Portsmouth, Rhode Island facility for ship integration and test technologies to identify innovative and efficient solutions for shipyard and combat system integrators. Current and potential suppliers came from all over the U.S. to engage in discussions on how new advances could meet customer challenges and fill market gaps.

"We used to take a volume approach and try to collaborate with as many SBIR companies as we could," explains Mike Anderson, Technology Investment and Innovation Manager at Raytheon IDS. "We had a huge amount of companies we were working with, but few would make it past Phase I. Now, we have a better yield of success stories because we are targeting capabilities that align with our roadmaps and figuring out the path to transition from the outset."

While Phase I is focused on the alignment of SBIR technologies and business needs, Phase II has a specific focus on reducing risk and increasing acceptance. "I think a limiting behavior some companies exhibit is their reluctance to communicate throughout Phase I; that is when we want to hear from them!" adds Matt Taylor, Supplier Innovation Manager at Raytheon IDS. "If you win a Phase I we supported, you'll know it before we do. Set up a meeting or telecon with us to meet the Supplier Innovation team and connect with our technical champion for their topic. This opens the communication to shape the research and position the entire team for successful follow-on phases and transition."

The Prime Corner continued

The key to Phase II success is identifying where a pilot project can occur to demonstrate capabilities that match up to the needs in larger programs and to amplify Department of the Navy (DON) SBIR awareness and advocacy. "Since we've focused on a pilot approach, we've seen a surge of interest from our IDS engineers and our program of record key technologists. Also, future adoption of the technology is eased by program key beneficiaries and decision makers who see a technology working on something that approximates their program," says Taylor. This pilot stage is the opportunity to align with programs of record and focus on transition pull. "Think of it as an opportunity," Anderson added. "It's already being invested in by the DoD, so with Phase II collaboration, we can decrease risk and potentially create savings and affordability for the target program."

Alf Carroll, a Supplier Innovation team engineer, is Raytheon's SBIR Black Belt. His first DON SBIR Phase III transition occurred several decades ago, while he was an Engineering Technologist at a small business. Now part of the IDS Supplier Innovation team, he shares and applies those same core principles for transition success. A key to that successful algorithm is how much Raytheon values collaborations, innovative technical approaches, and partnering relationships to reach the "end game" of Phase III transition. "The IDS SBIR transition algorithm has 4 primary elements," says Alf. "1st is the SBIR partner's technology and innovative culture, the 2nd is a core group of 'lean forward' Navy Program engineers, 3rd is warfighter 'pull' or functional emphasis, and 4th is a well engaged team of Raytheon engineers and leaders who all recognize and believe in what SBIR is all about."

As the prime contractor for the DON's Air Missile Defense Radar, Raytheon IDS is collaborating on pilot projects with three DON SBIRs, which, when successful, will provide capabilities that accelerate front-end modeling and simulation, enable emulation of data during system design, and perform targeted test planning that will reduce the time and cost of testing.

Success stories like this make Raytheon Integrated Defense Systems a role model for the kinds of partnerships that the DON SBIR community is looking to foster between programs, primes, and small businesses.

CONTACTS AND RESOURCES

Raytheon invites small businesses to contact them directly. General SBIR inquiries can be sent to SBIR@spmail.onertn.ray.com. Below is a list of key contacts across the four business units.

Raytheon also suggests small businesses to register online as a potential Raytheon supplier at the following address:

<https://app.suppliergateway.com/raytheon>

This will allow potential end users and sourcing teams across Raytheon to search for sources when new requirements arise. Based on a keyword search, your company profile may be accessed and reviewed. Please ensure that your profile includes all of your company's capabilities and you visit the site periodically to keep your company profile current.

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Champions of Transition – The People's Choice

Recognizing outstanding technology has always been a focus of the Navy *Opportunity Forum*[®]. This year, as in 2012 and 2013, we will recognize outstanding individuals and organizations that have helped small businesses progress toward achieving their transition goals. Navy Transition Assistance Program (TAP) participants can nominate a prime contractor that has been especially helpful to them, and also individual DON personnel who have acted as their Phase III champions.



The DON will review the nominations and honor the winners in a ceremony at the Forum. In recognition of its active contribution to assisting a company in learning how to transition its technology, the People's Choice Certificate of Recognition will be presented to the Lead System Integrator (LSI) that receives the most votes. In previous years, both Lockheed Martin and Northrop Grumman were recognized with this award.

Success of Naval Future Force S&T Expo

The Naval Future Force Science & Technology Expo, presented by the Office of Naval Research (ONR) and the American Society of Naval Engineers, drew thousands of eager attendees to Washington, D.C. February 4–5, 2015. The bi-annual event offered to industry, warfighters, and the overall naval research enterprise showcased leading-edge technology, aimed to identify interested parties for R&D collaboration, and expressed ONR’s vision for the future and strategy of S&T.

Over the three-day event, attendees, panelists and speakers participated in dialogues on S&T requirements, challenges, and opportunities across ONR’s major S&T focus areas. For small businesses, it was a coveted opportunity to meet DON S&T decision makers and key DON acquisition personnel.

“We had 26 SBIR awardees at the Expo, elbow to elbow with large primes and senior warfighters – getting the chance to show them the technology they developed but also understanding what the customer needs,” explained Bob Smith, Director of the DON SBIR/STTR Program. “The fact that we had a small business presence was huge; most of the time you only have the big guys at the Expos – but the small businesses are the ones who are part of the solution space.”

Eye-catching displays featuring the latest in technological innovations included the EM Railgun, unmanned underwater vehicles (UUVs), drones and even a full-size fire-fighting robot, plus more than two dozen SBIR/STTR technologies. Speakers discussed the keys to succeeding in business with ONR – including the implications of *Better Buying Power 3.0* – as well as small business opportunities, international collaboration, and workforce development across the science, technology, engineering, and mathematics disciplines. The Expo also introduced DoD’s revitalized Communities of Interest (COI), defined as Subject Matter Experts that “... come together to address a specific information sharing mission or challenge that the COI can solve by exposing and sharing data.”

COIs cover 17 technology areas aligned with DoD’s cross-cutting S&T priorities such as cyber, sensors, C4I and human systems. “If you look at the DON S&T strategic plan, it aligns with both the COIs, and our naval priorities,” explains Bob Smith. “So it is one more way of aggregating and looking at the technological challenges and grouping them to get the right people talking at the right time to address the challenges.” Several of the 17 formal COI structures were rolled out at DoD’s 16th annual Science & Engineering Technology Conference on March 24–25, 2015. For details, see www.defenseinnovationmarketplace.mil.

Mr. Smith acknowledges that many needed solutions present long-term challenges, and without an immediate solution, there can be frustration. “We want a solution yesterday but it is gratifying to know we are working on a plan that will get us there effectively and efficiently. These solutions will keep us in front of our adversaries, and ensure that our Sailors and Marines are never engaged in a fair fight.”



Robotics was a major theme of the S&T Expo

The success of the S&T Expo came on the heels of a major step forward for the SBIR/STTR community. Weeks before the event, Assistant Secretary of the Navy Sean J. Stackley released *Tapping Into Small Business in a Big Way*, a highly acclaimed memo outlining best practices and expectations for implementing small businesses and SBIR/STTR technologies into program of records.

“SBIR truly hit a home run at the Expo. We demonstrated the contributions of the small businesses to Navy technical solutions,” added Bob Smith. “The 2015 Navy *Opportunity Forum*[®] is right around the corner and we’re going from 26 technologies at the Expo to 146 technologies at the Forum. I’m really excited by the support I’m receiving from DON leadership and I see so many people and organizations wanting to participate. When you put that together with the new authority documents that were just released – I’m not sure if it’s the perfect storm, but it’s a hell of a good storm.” (These authorities are described elsewhere in this publication.)

Smith likens the opportunity at both the Expo and the Navy *Opportunity Forum*[®] to the Junior Varsity team playing on the field with the Varsity team – which is quite fitting for Spring. He added, “We’re kicking off Spring training for all of our TAP participants – and I can’t wait for Homecoming!”



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