DEPARTMENT OF THE NAVY

Small Business Innovation Research (SBIR)
Small Business Technology Transfer (STTR)

NAVY SBIR / STTR Open Topic
Ask Me Anything Session | July 18, 2023

NAVY SBIR/STTR programs provide opportunities for domestic small businesses and start-ups to deliver solutions to meet naval needs through Federal Research/Research and Development (R/R&D). These competitive, three phase, awards-based programs advance innovations with an aim toward transitioning the resulting technologies to the Force/Fleet and commercialization in private markets.

Welcome

Brian Shipley
DoN SBIR/STTR Commercialization Program Manager

Megan Stokes
BAA Coordinator, Contractor Support

The DoD Preface and DoN Instructions take precedence over ANYTHING in this brief or that is stated today!

B/M

Rules of Engagement

- Mute microphone
- Put questions in chat
- Responses will be verbal, not in chat
- Programmatic questions only, no technical questions
- Presentation with audio posted to NavySBIR.com

Brian

Introduction

- Overview of the BAA requirements and Q&A

- Information Sessions July 10 and 12 (Technical)
  — Recorded sessions at https://navysbir.com/open_topic.htm

DoN BAA Questions
usn.pentagon.cnr-arlington-va.mbx.navy-sbir-sttr@us.navy.mil

Brian

Answers to Questions

- What TRL/MRL/commercial solutions are appropriate for the open topic?
- How do we submit <u>outside</u> the Open Topic categories?
- How do we better understand the technical requirements?
- Would you consider _____ technology?
- How do we present novel technologies to create awareness?
- How do we engage interested Navy personnel?
- What use cases might the Navy be interested?
- Are there technical sector priorities?

Brian

Answers to Questions

- Budget or number of awards for the Open Topics?
- Can I have more than 50% ownership by a VC?
- Does the location of the primary office of the applicant matter?
- Are letters of support and/or customer memorandums required?
- How are customers assigned to selected solutions?
- Purpose and scope of the Phase I Option?
- Funding and period of performance for Phase II?
- Typical process for Phase III? Percent that advance? Opportunities?

Brian

Locating Instructions and Topics

- DoN participates in the DoD Broad Agency Announcement (BAA)

- DoD 23.4 BAA Preface https://www.dodsbirsttr.mil/submissions/baa-schedule/active-baa-announcements (dodsbirsttr.mil)
  - Overarching Guidance/Requirements
  - Submission Requirements and Process

- DoN 23.4 BAA Instructions https://navysbir.com/open_topic.htm
  - DoN-specific requirements
  - Topics

Read the DoD Preface and DoN Instructions

Megan

Conventional vs. Open Topics

- Conventional Topics
  - —identify a specific Naval problem
  - —a desired technical objective
  - —an output
- Open Topics
  - —identify mission critical needs
  - —soliciting proposals to adapt commercial products or solutions
    - o to close capability gaps
    - o improve performance
    - o or provide technological advancements in existing capabilities

Megan

Participating System Commands

Marine Corps
Ground weapon and information technology programs for the Marines

Naval Air Systems Command (NAVAIR)
Naval aviation aircraft, weapons, and systems operated by Sailors and Marines

Naval Sea System Command (NAVSEA)
Engineers, builds, buys and maintains ships, submarines and combat system

Naval Information Warfare System Command (NAVWAR)
Capable and secure communications and networks that span platforms and facilities

Brian

DoN Open Topics

- Seeking commercial solutions:
  — Manuf. Readiness Level 8/9 (Low Rate Initial Production / Full Rate Production)
  — COTS/NDI that require RDT&E engineering, design or integration

- Mission critical needs:
  — Logistics in a Contested Environment
  — Holistic Common Operational Picture

- Technical focuses:
  — Renewable Energy Generation and Storage
  — Trusted AI and Autonomy
  — Advanced Computing and Software
  — Integrated Sensing and Cyber
  — Sustainment

Review Recordings of Information Sessions at navysbir.com/open_topic.htm

Brian

Eligibility

- Must qualify as a small business concern as defined by 13 CFR 121.702:
  - Organized for profit, with a place of business located in the United States
  - More than 50% owned and controlled by one or more individuals who are citizens or permanent resident aliens of the United States, or by other small business concerns that are each more than 50% owned and controlled by one or more individuals who are citizens or permanent resident aliens of the United States; and
  - No more than 500 employees, including affiliates

- Must meet the commercialization and transition rate benchmark requirements as determined by the SBA.

- For DoN, an awardee may be owned and controlled by more than one VC, hedge fund, or private equity firm so long as no one such firm owns a majority of the stock [15 U.S.C. 638(dd)(1)]

Megan

Get Started

- Read the DoD Preface and Navy Instructions!

- Required Registrations:
  —Create a Company Registration at
    https://www.sbir.gov/registrationSBIR.gov
  —Register in the Defense SBIR/STTR Innovation Portal (DSIP)
    https://www.dodsbirsttr.mil/submissions/login
  —System for Award Management (SAM) https://sam.gov

- Complete Submission Requirements

**DSIP Training Materials at
https://www.dodsbirsttr.mil/submissions/learning-
support/training-materials**

Megan

Performance Requirements

- A minimum of two-thirds of the research and/or analytical work in Phase I must be conducted by the proposing small business concern.

- All work must be performed in the United States.

- Primary employment of the principal investigator must be with the proposing small business concern at the time of the award and during the conduct of the proposed effort.

Megan

Personnel Requirements

Foreign nationals or individuals holding dual citizenship:

- —May be proposed as key personnel
- —Must be identified if a direct employee, subcontractor, or consultant
- —Must have their level of involvement on the project explained
- —May be **restricted** due to the technical data under US Export Control Laws on topics restricted under the International Traffic in Arms Regulations (ITAR)

Megan

DoN-Specific Phase I Requirements

- Open Topic Proposal Template: https://navysbir.com/links_forms.htm
- May submit only one (1) proposal per open topic
- Phase I feasibility
  — Base: 4-month, $75K
  — Option: 6-month, $100K
- May not propose Technical and Business Assistance (TABA)
- May not propose Government Furnished Equipment (GFE)
- Do not recommend proposing use of Human Subjects, Animal Testing, or Recombinant DNA

Brian

Key Dates

DoN Open Topics (N234-P01 through N234-P08):

Pre-Release	15 June to 12 July 2023
Open	13 July to 15 August 2023
Close	15 August 2023 12:00 PM ET
Topic Q&A closes to new questions	1 August 2023

Brian

During Open

- Review topics
- Post technical questions to the public Topic Q&A platform on DSIP https://www.dodsbirsttr.mil/topics-app
(from June 15 through August 1)
- Follow detailed DoD Preface and DoN Instructions for Annual 23.4 BAA
- Complete submission requirements BEFORE 15 Aug 23

Brian

DSIP Structure for Proposal Volumes

Volume	Method
Volume 1: Proposal Cover Sheet	Online Form
Volume 2: Technical Volume	Upload File
Volume 3: Cost Volume	Online Form
Volume 4: CCR	Upload File
Volume 5: Supporting Documents	Upload Files
Volume 6: Fraud, Waste and Abuse	Review Training Material

Megan

Volume 5 Requirements

Required:

- Contractor Certification Regarding Provision of Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment
- **Disclosures of Foreign Affiliations or Relationships to Foreign Countries**
- Disclosure of Funding Sources

Required, as applicable:

- SBIR VC Certification - Majority Ownership in Part
- SBIR/STTR Funding Agreement Certification
- Data Rights Assertion
- Allocation of Rights
- Disclosure of Information
- Additional Cost Information to support the Cost Volume
- Information on Foreign Citizens

Megan

Evaluation Criteria

As specified in DoD Preface, Section 6.0

- Technical Merit (*most important*)
- Qualifications of Key Personnel
- Commercialization Potential

Equal Importance

Brian

Phase II Overview

- Instructions included in Phase I award
- Initial Phase II Proposal due at the end of Phase I Base
- Competitive selection based on Initial Phase II Proposal and Phase I Final Report
- Same evaluation criteria as Phase I
- Phase I Option exercised if selected for award
- Awards are typically a Cost Plus Fixed Fee contract but may consider other types of agreement vehicles

Brian

Reminder

- Information Sessions July 10 and 12 (Technical)
  - Recorded sessions at https://navysbir.com/open_topic.htm
- Programmatic questions may be send to
  usn.pentagon.cnr-arlington-va.mbx.navy-sbir-sttr@us.navy.mil

Brian

Stay in Touch

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