SBIR/STTR RANSITIONS

2016 WINTER



FROM THE DIRECTOR

Friends,

First, I hope that the Holiday season offered all of you and yours blessings in abundance! 2016 is off to a great start - full of challenges and opportunities. In just a few short months, we'll open the doors to our 16th annual Forum for SBIR/STTR Transition - "The Forum" with an exciting difference: we're now partnered with the Navy League and its legendary Sea, Air & Space Expo! (See the Forum article elsewhere in this issue). But that's just part of the story of how we're taking a great SBIR/STTR program and making it even better. In addition to the Forum, here are ten items on the Department of the Navy's (DON's) SBIR/ STTR menu for 2016.

• Primes Initiative

Last December, we invited more than 100 technology decision makers in industry and DON acquisition programs to establish a new collaboration baseline for SBIR/STTR partnering. We've worked well with defense primes over the years; but, all of the new legislation and guidance that surfaced in 2015 convinced me to lead a fresh "Primes Initiative" designed to expand and improve SBIR/STTR commercialization. Expect to see results in the SBIR/STTR Transition Program (STP) curriculum, the 2016 Forum, SYSCOM-level pilot programs to deepen Phase I linkage with industry, and an updated version of our useful Defense Contractors Partnering Manual.

• DCAA Compliance Initiative

Section 873 of the 2016 National Defense Authorization Act (NDAA) is aimed at minimizing proposal and award process delays relating to fiscal system certification, with considerable discussion about how best to achieve this goal. We were integral to that discussion; and further experimented in 2015 through the ONR SBIR with a Focused Contracting Pilot, with great results. Look for a new initiative from the DON SBIR/ STTR in 2016 focused on shortening and simplifying certification of your accounting systems.

• Phase III Guidebook v.1.1

Run, don't walk, to <u>www.navysbir.com</u> and, from its landing page, please



Robert L. Smith, Director, DON SBIR/STTR Programs

download the newest version of our DON SBIR/STTR Phase III Guidebook, with new information about SBIR/STTR's emerging role in acquisition program planning and management. Stay tuned for 2016 Guidebook updates, including a no-holds-barred appendix on data rights and contact information for acquisition Deputy Program Managers (your POCs, going forward, alongside SBIR/STTR PMs, and your technical managers or TPOCs).

• Alliance with the DON Office of Small Business Programs (OSBP)

Ms. Emily Harman, the new Director of the DON OSBP, hit the ground running

last fall with a revitalization agenda of plans to make her Small Business Professionals more accessible and more useful – especially to SBIR/STTR contractors seeking to commercialize their technologies. Emily and I have, together, led a series of DON Command visits carrying the SECNAV's powerful message, "Small Business: the First Option." The ASN(RDA), Mr. Sean Stackley, sees Ms. Harman as his principal ally in expanding the DON's use of small business as the major engine of technology innovation. Stay tuned to

www.secnav.navy.mil/smallbusiness.

• New Government-wide SBIR/STTR Search Engine

Having paid attention to what social media can tell us about relationships – and what industry wants to know about SBIR/STTR firm capabilities – 2016 should bring an entirely new type of search engine that mines the SBIR/STTR inventory across principal Agencies. SBIR/STTR search optimizations will include detecting references to people, topics, and other important artifacts. Results will be rendered in a traditional list format; but, the system will also visualize these results to identify critical relationships among other innovations.

Industry-led SBIR Consortium (ISCo)

From 2010 to 2013, roughly a dozen defense primes combined to plan and operate a unique SBIR/STTR technology sourcing venture to explore together technologies likely to be critical to the emerging Future Force. Felled by the DoD budget sequestration, ISCo is rising again with four primes looking to renew the "technology discovery initiatives" that for many SBIR/STTR firms in years past led to profitable linkages. Watch these pages for information about launch dates, procedures, and technology targets.

• Partnering Pilot with Surface Warfare Centers and Labs

In recent years, many SBIR/STTR firms benefited from semi-official pilots exploring small business partnerships with universities, independent labs, and other entities, hosted by <u>www.zyn.com</u>. 2016 will witness another such pilot in the series. This one will be focused on the Naval Surface Warfare Centers (NSWCs) and their labs. Why does this matter to you? One reason is that some of the most important "last mile" DON transition funding programs – programs detailed in the STP curricula – require a warfare lab partner.

• Targeted Economic Impact Studies

Speaking of taking a good effort and making it better, the DON SBIR/STTR engaged with TechLink, the Montana State University affiliate that performed the Air Force SBIR/STTR Program Economic Impact Study, to execute for us a somewhat similar effort. Most SBIR/STTR awardees have already been notified of this extremely important study, expected to be provided later in 2016, a clear picture of the broader societal impact of this study - it is the government's highest-performing SBIR/STTR program. When TechLink staff call you, please give them your best level of effort! Such studies may be persuasive to Congress as they approach SBIR/STTR reauthorization.

• Rapid Innovation Fund (RIF) Synergy

Students of the RIF may have seen Congress and the President, in the 2016 NDAA, extend the RIF for another year and appropriate \$250 million for it. That's good news for the SBIR/STTR community. More than 70% of FY15 RIF awards were made to projects originating in SBIR or STTR efforts. Look for the RIF BAA in the March-April timeframe.

• SBIR/STTR Reauthorization

The word is commonly out from members of Congress that they'd like to accomplish a simple, clean - and perhaps permanent - reauthorization of SBIR/ STTR in 2016 to avoid collision with post-Presidential Election agendas of a new White House and Congress. We don't detect a Congressional appetite for a transformed SBIR/STTR program; but, they have signaled that reauthorization should "fix" the consensus problems in the 2011 statute and subsequent Policy Directives. Your job: get involved in SBIR/STTR community discussions on reauthorization. Let the SBA know what works and what doesn't and talk to your legislators!

Best wishes for a great 2016!

Sincerely,

Robert L. Smith



Mr. Sean Stackley Assistant Secretary of the Navy, Research, Development & Acquisition



Ms. Emily Harman Director, Department of the Navy, Office of Small Business Programs



Mr. Elliott Branch Deputy Assistant Secretary of the Navy, Acquisition and Procurement

SBIR/STTR PRIME SUMMIT

Primes Summit Opens New Commercialization Paths.

he Dept. of the Navy (DON) SBIR / STTR program helped transform the innovation landscape with its first annual Primes Summit on Dec. 10, 2015. The summit was led by an impressive array of senior DON officials, including the Assistant Secretary of the Navy for Research, Development and Acquisition (RDA), Sean Stackley.

"This Summit drew a baseline for government-small business-large business collaboration," said DON SBIR/STTR Director, Bob Smith, "and marked DON recognition that small business equals big impact through their technologies."

Summit host, RADM Mat Winter, Chief of Naval Research, echoed this recognition. Winter said the purpose of the Primes Summit was to "bring large and small businesses together to examine the technologies we need to invest in, but just as important, how we invest in them."

"We're very good at the science of the science, but it's time to focus on the business of the science," said Winter.



SBIR/STTR Reauthorization Panel during the Department of Navy SBIR/STTR Primes Summit held at the Office of Naval Research (ONR). Kevin Wheeler (left) Senate Small Business Committee Staffer, Jere Glover (right) Director, Small Business Technology Council

A series of Primes Summit panels profiled the best coordination and collaboration practices – and innovation delivery strategies – by especially successful DON acquisition programs, system command SBIR/STTR transition managers, small businesses, and big corporate sectors. "It's important that these panels were knowledgeably led by some of our most senior acquisition professionals, including Deputy Assistant of the Navy for Research, Development, Test and Evaluation, Dr. John Burrow and DASN Allison Stiller — the principal civilian deputy for RDA."

"The representatives of the primes were most appreciative that Navy leadership was there and listening and providing insights on how to improve 'the business of the science'," Smith said.

SBIR/STTR PRIME SUMMIT... continued

The panel discussions focused on the importance of greater interaction between large and small businesses and the DON. The panels featured industry small business engagement directors from large defense companies; government SBIR and transition managers; representatives from small companies that have met with substantial success through their collaboration with primes; and program office representatives who shared best practices in coordination, collaboration, and communication between large and small companies and the government customer.

"The deputy program managers have been given the responsibility to be the small business advocates, which

includes the optimal utilization of the SBIR programs for their respective programs," Smith said. "They have to ensure the business models for their programs include small business."

"We have an appreciation that small businesses have our solutions. But we in the government and the primes haven't done a good job of involving them. They can be the best-value solution to the Navy's technology challenges," said Smith. "We all have to work together to insert that technology at the right place and the right time, and at the right cost. That's what this SBIR/STTR Primes Summit was all about."



RADM Mathias Winter, Chief of Naval Research, introduces keynote speaker, Mr. Sean Stackley, Assistant Secretary of the Navy, Research, Development and Acquisition, during the Department of the Navy SBIR/STTR Primes Summit held at the Office of Naval Research (ONR).

FORUM IS PRIME OPPORTUNITY TO CONNECT LARGE AND SMALL BUSINESS

or the past 15 years, the Department of the Navy's "Forum for SBIR/STTR Transition" (FST) – the nation's premier small business technology venue – takes a major step forward in allying with the Navy League's Sea-Air-Space Exposition (S-A-S) on 16-18 May 2016 at the Gaylord National Harbor near Washington, DC.

"Our collaboration with the Navy League," says Bob Smith, the Department of the Navy (DON) SBIR/STTR Director, "marries the most significant large and small business marketplaces for defense technology, with our respective policy venues that have consistently attracted top Congressional leaders, in the case of the Forum, and the most senior Navy leadership. We expect great commercialization results from this historic alignment, and an increased capacity for delivering innovation to the Fleet and Force."

The FST—"The Forum"—has steadily evolved as the intersection of DON acquisition needs and SBIR/STTR solutions; and its success metric from the first Forum in 2000 has been investment in or purchase of SBIR/STTR technologies averaging \$1.2M within 18 months for more than half of the Forum participants. "I'm satisfied that DON SBIR/ STTR has been a great program," Smith says, "but our goal is to make it even better through a new initiative that closely entwines small and large businesses with the DON acquisition community, to ensure transition of SBIR/STTR solutions to the Fleet and Force."

More than 100 SBIR/STTR companies will be exhibiting rapidly maturing Phase II technologies at The Forum. An improved acquisition-focused curriculum in the technical assistance program for DON SBIR/STTR contractors underpins the Forum; plus an industry outreach initiative designed to help larger defense firms install a strong business model for SBIR/STTR engagement. "With a heightened level of interest in SBIR/ STTR's ability to turn innovation into Fleet and Force capability," Smith notes, "the 2016 Forum will be evidence that we've stepped up our game."



The Forum's Small Business Exhibition will feature focused SBIR/STTR technology presentations and more than 100 small businesses technology exhibits in a hall adjacent to S-A-S, open throughout the S-A-S event. Both large and small businesses, as well as Naval acquisition personnel, will have the opportunity to conduct one-on-one meetings with participating SBIR/STTR contractors. As always, The Forum will host an impressive list of keynote speakers from the policy arena.

According to the Chief of Naval Research, RADM Mat Winter, small businesses play an important role in executing the naval S&T strategy to "discover, develop and deliver decisive naval capabilities, near- to long-term, by investing in a balanced portfolio of breakthrough scientific research, innovative technology and talented people."

"The Navy needs to bring large and small businesses together to examine the technologies we need to invest in, but just as important, how we invest in them," Winter says.

"We hold a number of conferences to talk about the science of the science, but we also have initiatives to discuss the business of the science, to include the policy, regulations, initiatives in contracting, communications, financing, and other elements that take the science of science, and transition it to a warfighter or a program of record," says Winter.

FORUM IS PRIME... continued

S-A-S annually attracts the top layer of the U.S. defense industrial base – companies such as Boeing, Raytheon, BAE Systems, Lockheed Martin, and dozens more – and key military decision makers for an annual innovative, educational, professional, and maritime based event. Sea-Air-Space is now the largest maritime exposition in the U.S. and continues as an invaluable extension of the Navy League's mission of maritime policy education and sea service support.

According to Kevin Traver, who manages S-A-S for the Navy League, the purpose of having the Forum conference concurrent with the Navy League's Sea-Air-Space expo is to bring the system integrators and large contractors together with small business. "We want to introduce the primes to these small businesses and get their technology into the pipeline," says Traver.

"That process will be much easier at S-A-S, because we'll have 12,000 attendees for S-A-S alone, and we expect even more for the Forum. Plus, we'll have 255 exhibitors and 23 Navy, Marine Corps and Coast Guard commands exhibiting on the floor. Every major acquisition command for the sea services will be there," Traver says. "So it opens up the aperture for everybody."

According to Traver, SAS has evolved over the past five years from an exclusively U.S. market show to an international maritime and naval event. "Last year we had 15 international delegations and ten heads of navies."

Registration for the forum is FREE, and includes entrance to the S-A-S exhibit hall and all S-A-S free events. S-A-S attendees also have free access to the forum, including the forum presentations and small business technology exhibits.

"Registering for one of the events means you can attend both for free," says Smith.

For more information on the Forum, or to register for the event, please visit **www.navyfst.com.** Registration for the Forum is **FREE**.

For more information about the Department of Navy (DON) Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Transition Program (STP), visit: <u>www.navysbir.com/Transition.htm</u>



NAVY FY15 PHASE III AWARDS

TOTAL: \$383,552,383

Total Non-SBIR/STTR Dollars Obligated to Department of Navy Phase III Contracts in FY15 as reported in FPDS-NG and the Navy's Program Managers Database. (as of 15 Dec 2015)

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NAVMAR APPLIED SCIENCES CORPORATION N6833514CC	
NAVMAR APPLIED SCIENCES CORPORATION N6833514G0	
	040 N04-266; N08-02/,3; N08-00,9; \$10,419,020 AF083-00,6; N92-170; N94-178
NORTH STAR SCIENTIFIC CORPORATION N6833512G0	058 N06-125 \$699,479
ORGANIZATIONAL STRATEGIES, INC. N6833515C0	
P C KRAUSE AND ASSOCIATES INC N6833512G0	
PHYSICAL OPTICS CORPORATION N0001915C0	
PHYSICAL OPTICS CORPORATION N6833512G0	
PHYSICAL SCIENCES, INC. N6893614C0	
R D A INC N6833514G0	
RDRTEC INCORPORATED N6833514G0	

FIRM	CONTRACT #	TOPIC #	AMOUNT
NAVAIR			
REYNOLDS SYSTEMS, INC.	N6893613D0020	N96-061	\$1,976,797
SCIENTIFIC RESEARCH CORPORATION	N0001912C0062	N01-188	\$1,934,217
SIGNAL SYSTEMS CORPORATION	N6833511G0017	N06-011	\$896,730
STOTTLER HENKE ASSOCIATES, INC.	N6833514G0005	N96-232	\$1,039,985
SURFACE OPTICS CORP.	N6893611D0004	N05-071	\$4,400,000
TECHNICAL DATA ANALYSIS, INC.	N6833511G0033	N08-006	\$4,540,517
TECHNOLOGY AND SUPPLY MANAGEMENT, LLC	N6833515C0370	N07-166	\$85,000
TORCH TECHNOLOGIES INC	N6833514G0041	N07-009	\$1,953,357
TOTAL QUALITY SYSTEMS INC	N6833515C0025	AF01-296	\$3,426,719
TRIDENT SYSTEMS INCORPORATED	N6833514C0216	AF01-106; OSD06-IA4; SOCOM03-004	\$2,270,871
TROUT GREEN TECHNOLOGIES, INCORPORATED	N6833512C0390	N06-068	\$571,400
VISTA RESEARCH, INC.	N6833514C0353	N91-165	\$761,448
ZIVKO AERONAUTICS, INC.	N0042115C0051	N01-139	\$2,121,100
		NAVAIR TOTAL	\$120,765,109

NAVSEA

3 PHOENIX, INC.	N0002412C6249	N04-138	\$270,257
3 PHOENIX, INC.	N6339410C1200	N04-138	\$571,994
3 PHOENIX, INC.	N0002413C6264	N04-138	\$3,510,030
3 PHOENIX, INC.	N0002411C6287	N07-070	\$15,913,551
3E TECHNOLOGIES INTERNATIONAL, INC.	N0017410D0021	N98-114	\$9,896,989
ADAPTIVE METHODS, INC.	N0002410C5229	N01-127	\$229,200
ADAPTIVE METHODS, INC.	N0002415C5220	N06-109; N05-044; N05-043	\$3,189,310
ADAPTIVE METHODS, INC.	N0002415C5252	N01-127; N03-146; N99-224	\$5,597,188
ADVANCED ACOUSTIC CONCEPTS LLC	N0002412C6311	N04-065	\$15,759,132
ADVANCED ACOUSTIC CONCEPTS, INC.	N0002411C5204	N98-106	\$990,306
ADVANCED SYSTEMS/SUPPORTABILITY ENGINEERING	N0002410C6259	N05-149	\$1,286,000
ADVANCED SYSTEMS/SUPPORTABILITY ENGINEERING	N0002413C4543	N05-149	\$109,263
AMERICAN SUPERCONDUCTOR CORPORATION	N6554015D0019	N091-051	\$2,967,655
ARETE ASSOCIATES	N0002413C5205	N093-205	\$325,000
ARETE ASSOCIATES	N0002415C4051	N122-141	\$2,997,431
ARETE ASSOCIATES	N6133111C0007	N96-150	\$17,837,120
CONSULTING NETWORK, INC., THE	N0002413C5207	N01-150	\$2,748,237
DANIEL H. WAGNER ASSOCIATES, INCORPORATED	N0002411C5202	N08-057	\$625,000
GENERAL DYNAMICS ADVANCED INFORMATION SYSTEMS, INC.	N0002409C6206	N93-078	\$7,503,207
GPH CONSULTING, LLC	N0002415C4053	A10-173	\$1,999,368
INNOVATIVE DEFENSE TECHNOLOGIES, LLC	N0002411G4226	N05-163	\$12,806,624
K2 ENERGY SOLUTIONS, INC.	N0002414G4214	N091-053	\$12,045,040
KENT OPTRONICS INC	N0002412C4506	N08-161	\$2,711,451
L-3 CHESAPEAKE SCIENCES CORPORATION	N0002414C6233	N05-125	\$600,000
L-3 CHESAPEAKE SCIENCES CORPORATION	N0002415C6275	N05-125	\$15,126,120
MARINE ACOUSTICS, INC.	N0002414C5216	N08-054	\$201,000
MATERIALS SCIENCES CORPORATION	N6554015D0011	N05-054	\$859,999
MIDE TECHNOLOGY CORPORATION	N6554013C5005	N04-073	\$1,309,980
MIKEL INC.	N0002411C6295	N05-149	\$1,341,000
MIKROS SYSTEMS CORPORATION	N0002413C4545	N02-039	\$1,469,087
MIKROS SYSTEMS CORPORATION	N0016410DGR63	N02-039	\$2,012,275
NEXGEN COMPOSITES, LLC	N6133113C0019	N04-091	\$99,721
PACIFIC ENGINEERING INC.	N0002414C6230	N102-144	\$814,284
PROGENY SYSTEMS CORPORATION	N0025311C0008	N05-065	\$26,929
PROGENY SYSTEMS CORPORATION	N6554014D0010	N96-278	\$384,620
PROGENY SYSTEMS CORPORATION	N6660411D0978	N99-100	\$1,077,345
PROGENY SYSTEMS CORPORATION	N0002415C4050	N98-115	\$2,857,699
PROGENY SYSTEMS CORPORATION	N0002414C5209	N96-278	\$7,206,974
PROGENY SYSTEMS CORPORATION	N0002413C6283	N03-048	\$14,891,242
PROGENY SYSTEMS CORPORATION	N0002414C6220	N00-049; N96-274; N96-278; N98-122	\$15,617,575

FIRM	CONTRACT #	TOPIC #		AMOUN
NAVSEA				
PROGENY SYSTEMS CORPORATION	N0002411C6296	N96-278		\$17,120,64
RITE-SOLUTIONS, INC.	N0002410C6258	N05-149		\$2,358,12
SEDNA DIGITAL SOLUTIONS, LLC	N0002413C6272	N05-059		\$5,026,03
SEEMANN COMPOSITES INCORPORATED	N0016707D0007	SOCOM96-002		\$3,905,79
SIMVENTIONS, INC.	N0017815D3001	N05-053		\$260,00
SIMVENTIONS, INC.	N0017811D3010	N05-099		\$8,209,76
SPADAC INC.	N0017410D0001	H-SB04,1-004		\$821,82
SYSTEMS ENGINEERING ASSOCIATES CORPORATION	N6660411D0558	N95-208		\$507,00
SYSTEMS ENGINEERING ASSOCIATES CORPORATION	N6660410D0205	N03-016		\$662,11
TELEDYNE INSTRUMENTS, INC.	N0025313D0001	N02-082		\$350,50
			NAVSEA TOTAL	\$227,007,00
NAVSUP				
HARMONIA, INC.	N0018914CZ020	N091-064		\$784,85
ST RESEARCH, LLC	N0024414C0009	OSD11-H17		\$27,65
ZIVKO AERONAUTICS, INC.	N0024410C0023	N01-139		\$2,816,48
LINKO ALHONAO HOO, INC.	1002441000025	101-103	NAVSUP TOTAL	\$3,628,98
ONR				
ACUMENTRICS CORPORATION	N0001412C0652	N06-105		\$1,190,36
ARETE ASSOCIATES	N0001413C0131	N07-079		\$2,275,00
AURORA FLIGHT SCIENCES CORPORATION	N0001412C0671	N10A-T039		\$2,714,16
	INUUM DYNAMICS INC N0001414C0014 N07-042 ISIFIED TECHNOLOGIES, INC. N0017315C2024 N98-003		\$80,00	
			\$800,00	
NEXTGEN AERONAUTICS, INC.				\$349,98 \$521,44
PROGENY SYSTEMS CORPORATION	N0001415C0111	N08-077		
PROGENY SYSTEMS CORPORATION	N0001415C0099	N08-077		\$590,00
Referentia Systems Incorporated	N6600115C0020	N07-084		\$603,58
SOAR TECHNOLOGY, INC.	N0001412C0170	OSD06-CR8		\$816,02
	1000141200110		ONR TOTAL	\$9,940,58
SPAWAR				
ADAPTIVE METHODS INCORPORATED	N0003907C0014	N04-210		\$1,318,90
BASIC COMMERCE & INDUSTRIES INC	N6600115D0061	N06-072		\$767,11
FISCHER CUSTOM COMMUNICATIONS, INC.	N6600114D0124	N00-028		\$344,01
IMAGINE ONE TECHNOLOGY & MANAGEMENT LTD	N6523612D3885	N07-146		\$1,611,47
INNOVATIVE DEFENSE TECHNOLOGIES, LLC	N0003912C0090	N05-163		\$1,273,35
L-3 CHESAPEAKE SCIENCES CORPORATION	N0003913C0028	N95-209		\$1,228,85
MAKAI OCEAN ENGINEERING, INC.	N0003909D0134	N99-171		\$89,39
MAYACHITRA INC	N6600113C5216	N12A-T026		\$247,78
MAYFLOWER COMMUNICATIONS COMPANY, INC.	N0003914C0104	N122-115		\$644,06
OUT OF THE FOG RESEARCH LLC	N0003911C0057	N05-074		\$210,00
PROGENY SYSTEMS CORPORATION	N6600111D0030	N96-273		\$2,076,91
SCALABLE NETWORK TECHNOLOGIES, INC.	N0003911D0035	A04-132		\$1,783,61
SCIENTIFIC SOLUTIONS, INC.	N0003914C0024	N02-207/1		\$646,92
	10000001400024	102-2011		ψ0+0,92

UPCOMING EVENTS

April 26-28	Federal Laboratory Consortium (FLC) National Meeting	Chicago, IL
May 16-18	Sea-Air-Space 2016 - International Maritime Exposition	National Harbor, MD
May 16-18	Forum for SBIR/STTR Transition (FST)	National Harbor, MD
May 23-25	Spring National SBIR 2016 Conference	Washington, DC

For more event information, please visit http://www.navysbir.com/events.htm



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