NASA SBIR Program Updates for the 2019 Solicitation

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Jet Propulsion Laboratory
California Institute of Technology

Overview

- **Federal SBIR/STTR Program Reauthorization – All Agencies**
  - What Has Changed, and What Hasn't Changed
  - SBIR/STTR Provisions in the 2019 NDAA
  - Extension of Commercialization Pilot Programs
  - Extension of the 3% Administrative Funds Provision
- **NASA Infusion and Commercialization Initiatives**
  - II-Extended (Program Year 2016+)
  - II-Enhancement and II-eXtended (Program Year 2015)
  - CCRPP
  - I-Corps
- **Solicitation Release Information**
- **Innovation and Opportunity Conference**
- **Program Information Requests**
- **NASA and JPL SBIR/STTR Points of Contact**

2016 SBIR/STTR Reauthorization

- **On 12/23/2016, the Federal SBIR/STTR Program was reauthorized through 9/30/2022,** as part of the National Defense Authorization Act (NDAA) for FY 2017, S.2943; became Public Law 114-328.
  - Full text as passed by the 114th Congress: https://www.congress.gov/bill/114th-congress/senate-bill/2943/text
  - Sec. 1834, Extension of SBIR and STTR Programs - a simple 5-year extension of existing base program. No specs on pilot programs. Such ancillary features could be considered by Congress at a later date for FY'18 and beyond.
- The U. S. Small Business Administration (SBA)'s SBIR and STTR Policy Directives, which all participating federal agencies must follow, were not updated after the 2016 Reauthorization.
  - Latest versions, dated 2/24/2014, are available at:

    https://www.sbir.gov/about/about-sbir#sbir-policy-directive (SBIR)

    https://www.sbir.gov/about/about-sttr#sttr-policy-directive (STTR)

Pilot Programs in the 2014 Policy Directives (1)

In Section 12 – Supporting Programs and Initiatives

- **12(c) Commercialization Readiness Pilot Program for Civilian Agencies**
  - Permits the head of any Federal agency participating in the SBIR Program (except DoD) to allocate not more than 10% of its funds allocated to the SBIR and STTR Program:
    - For follow-on awards to small businesses for technology development, testing, evaluation, and commercialization assistance for SBIR and STTR Phase II technologies; or
    - For awards to small businesses to support the progress of research, research and development, and commercialization conducted under the SBIR or STTR programs to Phase III.
  - The authority to establish a pilot program under this section would expire on September 30, 2017, unless otherwise extended.

Pilot Programs in the 2014 Policy Directives (2)

In Section 9, Responsibilities of SBIR Agencies and Departments

- **9(e)(3) Pilot to Allow for Funding of Administrative, Oversight, and Contract Processing Costs**
  - SBA shall allow an SBIR Federal agency to use no more than 3% of its SBIR budget for one or more specific activities:
    - SBIR and/or STTR program administration.
    - STTR or SBIR program-related outreach and related technical assistance initiatives.
    - Commercialization initiatives not previously in effect.
    - For DOD and the military departments – carrying out the Commercialization Readiness Program, with emphasis on supporting new initiatives that address barriers in bringing SBIR technologies to the marketplace.
- Per the Small Business Technology Council: the House and Senate Small Business Committees were to look at renewing this 3% administrative funds provision of SBIR/STTR, which was set to expire at the end of 2017.
  - http://sbtc.org/?p=2195

Amendments to SBIR/STTR Programs in the FY 2019 NDAA

- H.R. 5515 – National Defense Authorization Act (NDAA) for FY 2019 became Public Law No. 115-232 on 8/13/2018.
- Full text as passed by the 115th Congress:

  https://www.congress.gov/bill/115th-congress/house-bill/5515/text?q=%7B%22search%22%3A%5B%22hr5515%22%5D%7D&r=1
- **Section 854: (a) Extension of Pilot Programs – Amends Section 9 of the Small Business Act (15 U.S.C. § 638) to, among other things:**

Subsection (cc):

Extend direct-to-Phase II for NIH, DoD and DoEd through 2022.

Subsection (gg)(7):

Extend the Commercialization Readiness Pilot Program for Civilian Agencies through 2022.

Subsection (mm):

Extend the 3% administrative funds provision through 2022.

Follow-on: SBIR/STTR Provision in the FY 2019 NDAA

- **Section 860: Commercialization Assistance Pilot Program**

Amends Section 9 of the Small Business Act to require each SBIR federal agency to implement a commercialization assistance pilot program, "under which an eligible entity may receive a subsequent Phase II SBIR award..." unless the agency already has a similar program in effect.

An SBIR agency may allocate up to 5 percent of its SBIR funds for subsequent Phase II SBIR awards under the commercialization assistance pilot program.

A firm's application to such a program requires an updated Phase II commercialization plan, matching funding from an eligible third-party investor, and other information (details per the particular agency).

- **Agencies with pilots approved during the initial pilot program do not need to request the authority again. This includes NASA.**

Post Phase II Initiatives – Phase II-Extended

- **Phase II-Extended is a combination of the older II-Enhancement (II-E) and II-eXpanded (II-X) Initiatives. For eligible Phase II awardees from Program Year 2016 and beyond.**
- Objective: Encourage advancement of innovations developed under Phase II, via an Option for further R&D on active Phase II contracts in good standing with NASA.
- To qualify, eligible firms shall secure a non-SBIR/STTR investor to contribute funding towards further enhancing the research. Investor may be a non-SBIR/STTR NASA program; or an investor external to NASA, from another government agency or the private sector.
- Detailed guidelines: at

  https://sbir.nasa.gov/content/post-phase-ii-initiatives#Phase-II-E-2016-2

Applicable Period / Solicitation	Minimum Non-SBIR/STTR Funding Required	Corresponding SBIR/STTR Program Contribution	Maximum Cumulative Award (Phase II + Phase II-E Match)	Phase II-E Submission Period	Anticipated Period Of Additional Performance
2016 Solicitation - onwards	$25,000.00	1:1 match to a maximum of $375,000	$1,125,000.00 (SBIR and STTR)	Starts after the 12th month of performance and ends 60 days before contract end date	6-12 Months

II-Extended

Phase II-E/X for Program Year 2015 Awardees

- **Remaining eligible Program Year 2015 awardees can apply for the older Phase II Enhancement (II-E) and Phase II eXpanded (II-X) Options.**
  https://sbir.nasa.gov/content/post-phase-ii-initiatives#Phase-II-E
  https://sbir.nasa.gov/content/post-phase-ii-initiatives#Phase-II-x

Applicable Period / Solicitation	Minimum Non-SBIR/STTR Funding Required	Corresponding SBIR/STTR Program Contribution	Maximum Cumulative Award (Phase II + Phase II-E Match)	Phase II-E Submission Period	Anticipated Period Of Additional Performance
2015 Solicitation	$25,000.00	1:1 match to a maximum of $150,000	$900,000.00 (SBIR and STTR) $1,650,000.00 (SBIR Select)	Starts after the 12th month of performance and ends 60 days before contract end date	6-12 Months

II-E (Enhancement)

Applicable Period / Solicitation	Minimum NASA Non-SBIR/STTR Funding Required	Corresponding SBIR/STTR Program Contribution	Maximum Cumulative Award (Phase II + Phase II-X Match)	Phase II-X Submission Period	Anticipated Period Of Additional Performance
2015 Solicitation	$75,000.00	2:1 match to a maximum of $500,000	$1,250,000.00 (SBIR and STTR) $2,000,000.00 (SBIR Select)	Starts after the 12th month of performance and ends 60 days before contract end date	6-12 Months

II-X (eXpanded)

NASA SBIR CCRPP Returns

- Re-authorized under the FY 2019 NDAA.
- Purpose of the Civilian Commercialization Readiness Pilot Program (CCRPP) is to accelerate transition of SBIR and STTR funded technologies to commercialization. Companies with NASA SBIR/STTR Phase II awards from Program Year 2010 through 2014 are eligible to apply. Funding is a combination of additional SBIR/STTR Program investment and NASA or non-NASA entity investment.
- **Primary objective of the NASA CCRPP is an infusion or commercialization, not an incremental improvement in technology maturation alone.**
- Eligible firms have been notified by e-mail from the NASA SBIR/STTR Program Management Office (PMO).
- Detailed program guidelines: at

  https://sbir.nasa.gov/content/post-phase-ii-initiatives#CCRPP

Applicable Period / Solicitation	Minimum Investor Funding Required	Corresponding SBIR/STTR Program Contribution	CCRPP Application Period	Anticipated Period of Additional Performance
Phase II awards resulting from Phase I awards from Program Year 2010 – 2014 Solicitations are eligible to apply for the FY2019 CCRPP application period	$500,000	1:1 match to a maximum of $1,000,000 and a minimum of $500,000	November 5, 2018 through December 14, 2018	24 months as a general guideline

Innovation Corps (I-Corps) – NASA Leveraging

- **NASA worked with NSF to implement pilot I-Corps programs in 2017 as part of the NASA SBIR/STTR Proposal Solicitation.** The NASA I-Corps program should enable small businesses, including start-up firms, to increase the odds of accelerating the process of developing their SBIR/STTR developed technologies into a repeatable and scalable business model.
- The program will accomplish this by putting the firms through a version of the Lean Launchpad – I-Corps process which includes:
  - Developing their business model hypotheses using the Business Model Canvas.
  - Testing those hypotheses through the Customer Development Interview process.
- The intended result is to provide firms with a better understanding of their customers' needs, give firms a better understanding of their company's value proposition as it relates to those customer needs, and provide firms with an outline of a business plan for moving forward.
- **The goals of SBIR/STTR and I-Corps overlap, by encouraging the innovation and entrepreneurship of small businesses and enabling those businesses to commercialize their innovations.**

Innovation Corps (I-Corps) – 2018 Status

- NASA continued to leverage the established NSF I-Corps infrastructure.
- Phase I awardees who were announced on May 25 and had previously opted-in to the I-Corps Training Program during the 2018 Solicitation Period, submitted their I-Corps proposals by June 18.
- **For the NASA I-Corps Program in 2018, NASA funded up to $10,000 for each SBIR team, and up to $25,000 for each STTR team.**
  - **The 17 funded teams included 14 SBIR Bootcamp teams and 3 STTR Cohort teams.** A list of awarded firms, their projects, and team members is available at https://sbir.nasa.gov/content/I-Corps#alumni
- Detailed information on the NASA I-Corps Program, including submission guidelines, selection criteria, FAQs, schedule, awardees, and contact information is available at https://sbir.nasa.gov/content/I-Corps
  - Specifics of NASA's 2019 I-Corps Program will be available on that website and in the 2019 Solicitation.

NASA SBIR/STTR Solicitation Release

- 2018 Solicitation: Released 1/11/2018 – Closed 3/9/2018
  - Award Announcements Issued by NASA HQ:
    - Phase 2 SBIR: 3/7/2018
    - Phase 1 SBIR/STTR: 5/25/2018
    - Phase 2 STTR: 8/7/2018
- **2019 Solicitation:**
  - Anticipate Presolicitation administrative notice posting in FedBizOpps, December.
  - **Anticipate Solicitation release by HQ in January 2019 at** https://sbir.nasa.gov

Until release, we are in the Open Period - but cannot disclose details of the upcoming 2019 Solicitation.

After release, the converse - 2019 Solicitation information will be public but we will be in the Blackout Period.

Reminder: During the Blackout Period we can discuss existing SBIR work as usual, and general NASA needs and interests not connected directly to the open Solicitation. However - we cannot provide companies with any additional details or clarification related to the open Solicitation.

Where to Find the 2019 Solicitation (January)

- Will be posted at https://sbir.nasa.gov/solicitations and also linked to home page at https://sbir.nasa.gov
- 2018 version for reference:

HOME | ABOUT SBIR/STTR | SOLICITATIONS | SCHEDULE & AWARDS | HANDBOOKS | RESOURCES | CONTACT US

Home >> Solicitations

Solicitations

The SBIR and STTR Solicitations are produced annually in partnership with NASA's Mission Directorates and Centers to focus on the Agency's priority mission needs. The new 2018 Solicitation is open from January 11, 2018 through March 9, 2018. Once open, you will be able to find it below. For additional information about the Process, see our Interactive Participation Guide.

Open and previous Solicitations are accessible below.

RECENT

FY 2018 SBIR/STTR Solicitation

Open from January 11, 2018 to March 09, 2018

(Version includes changes from Amendment 1

Dated: 01/31/2018)

Selections announced on May 25, 2018

Previous Solicitations

- 2017 SBIR/STTR
- 2016 SBIR/STTR
- 2015 SBIR/STTR
- 2015 SBIR Select
- 2014 SBIR/STTR
- 2014 SBIR Select
- 2012 SBIR Select
- 2012 SBIR/STTR
- 2011 SBIR/STTR
- 2010 SBIR/STTR
- 2009 SBIR/STTR
- 2008 SBIR/STTR
- 2007 SBIR/STTR
- 2006 SBIR/STTR
- 2005 SBIR/STTR
- 2004 SBIR/STTR

Subscribe to the NASA SBIR/STTR Newsletter, The Concept, to receive information on upcoming Solicitation dates and other NASA SBIR/STTR news.

Innovation and Opportunity Conference – Nov. 7- 8, 2018

- **The first Innovation and Opportunity Conference: Advancing Aerospace and Defense** brings together NASA experts, small businesses, startups, research institutions and large businesses/prime contractors for a technology and commercialization event this week: **Nov. 7- 8, Aurora, CO.**
- Event is hosted by the Colorado Business Development Foundation (CBDF), AIAA, and the Colorado Small Business Development Center (SBDC) Network, in partnership with NASA.
- Opportunities for small businesses will include:
  - Hearing about the NASA SBIR and STTR programs.
  - Interacting directly with NASA experts and learning how to participate.
  - Learning about large businesses' advanced development/research development priorities and projects, and connecting with their teams on possible opportunities for collaboration.
  - Participating in multiple opportunities to connect with federal agencies and primes, including two days of matchmaking and one-on-one meetings. Further information at:

    https://www.innovation-opportunity-conference.com/

Program Information Requests

- Please feel free to sign up, if you haven't already.

https://sbir.nasa.gov/content/program-information-request

Home

Program Information Request

Thank you for your interest in NASA's SBIR/STTR Program. Fill out this form and receive our regular Newsletter, webinars, and SBIR/STTR Program announcements, including announcements about our Solicitation and new opportunities to partner with NASA.

Note: This information will not be shared outside of the SBIR/STTR program. Please see NASA's Privacy policy for more details.

First Name*

Last Name*

Email*

Company*

Phone

Format: xxx-xxx-xxxx

How did you hear about us? --None--

If Other, please provide

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- Veteran-Owned
- Disadvantaged Women-Owned Business
- Hubzone
- Disadvantaged Owned Business
- Service Disabled Veteran Owned Business

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INNOVATIONS ADVANCED BY SBIR/STTR ON THE MARS CURIOSITY ROVER

SPACE-QUALIFIED VACUUM PUMP	CREARE - HANOVER, NH
DUST REMOVAL TOOL	HONEYBEE ROBOTICS - BROOKLYN, NY
GEARBOXES FOR ROBOTIC ARM	STARSYS RESEARCH - LOUISVILLE, CO
LITHIUM ION BATTERIES	YARDNEY TECHNICAL PRODUCTS - EAST GREENWICH, RI
SOFTWARE FOR ROVER OPERATIONS	GRAMMATECH - ITHACA, NY
CHEMISTRY AND MINERALOGY EXPERIMENT INSTRUMENT	INXITU - MOUNTAINVIEW, CA

Establishing NASA SBIR Points of Contact

- We may communicate with companies about NASA/JPL SBIR/STTR needs, technical relevance, applications, technical subtopic details and clarifications, etc.
  - **The one exception is the Blackout Period (from Solicitation Release through Phase I Awards Announcement).**
  - During the Blackout Period we can discuss existing SBIR work as usual, and general NASA needs and interests not connected directly to the Solicitation.
  - **However - we cannot provide companies with any additional details or clarification related to the open Solicitation.**
- You are encouraged to contact us!
  - **If you do not already have NASA technical point(s) of contact, you can contact the SBIR Center Technology Transition Lead (CTTL) or the Mission Directorate Liaisons at the desired Center(s)**.

    http://sbir.nasa.gov/content/nasa-sbirsttr-program-contacts
  - We can provide you with relevant leads and points of contact.

JPL SBIR Points of Contact

- Mark Davidson – Program Administration and Analysis

  Mark.H.Davidson@jpl.nasa.gov
- Richard French – Manager, Technology Partnerships/ SBIR Program Manager

  Richard.T.French@jpl.nasa.gov
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