

# **INNOVATION & OPPORTUNITY CONFERENCE**

**ADVANCING AEROSPACE AND DEFENSE**  
**November 7-8, 2018 | Aurora, Colorado**



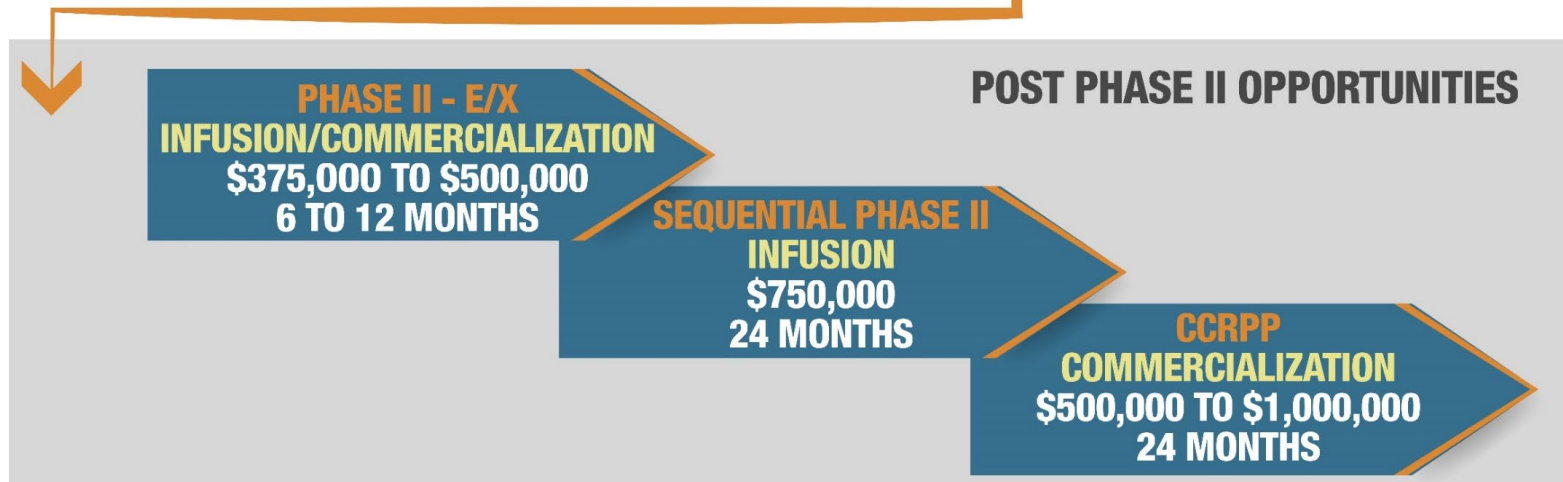
# NASA SBIR/STTR Post Phase II Opportunities

Zachary Burkland

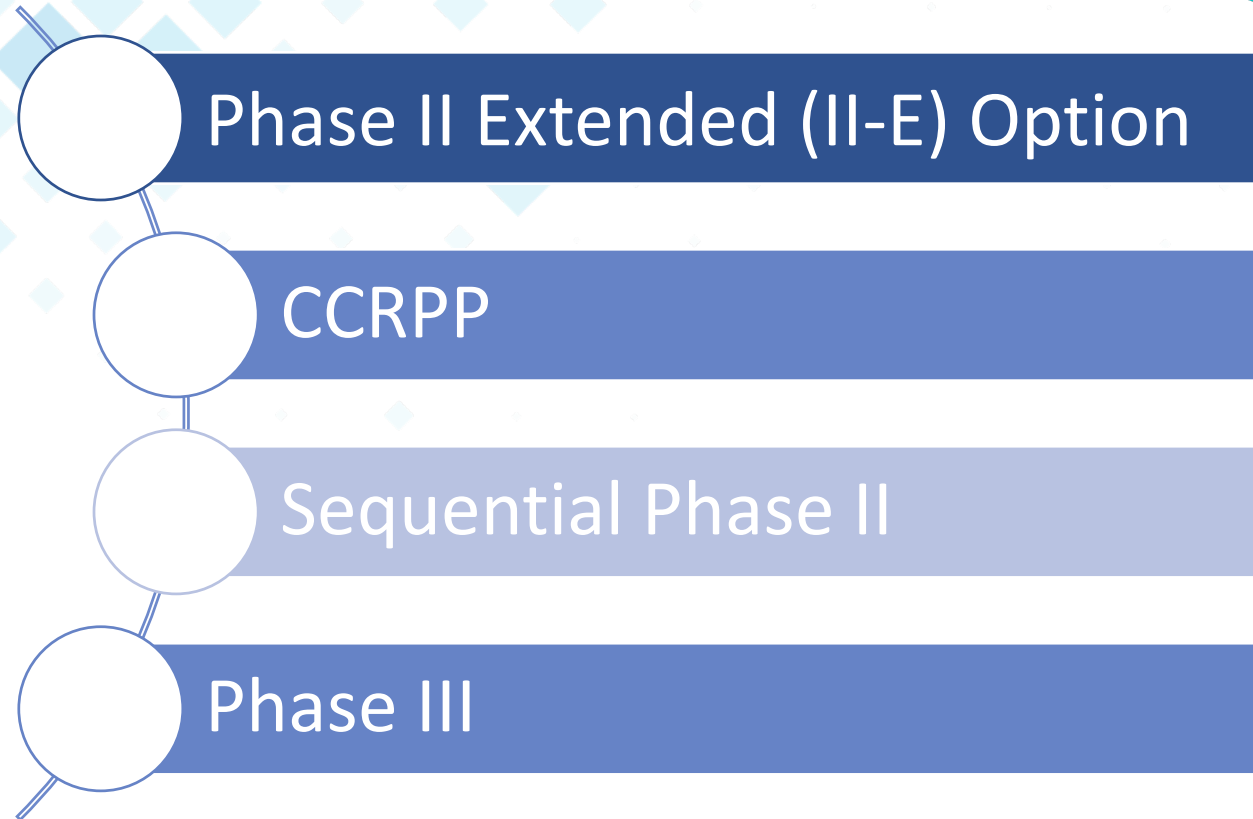
Ben Benvenuti

Bill Toscano

# Program Overview



# Current Post Phase II Initiatives



NOTE -The following Phase II Initiatives are not current, but are listed on the website for previous awardees that may be eligible.

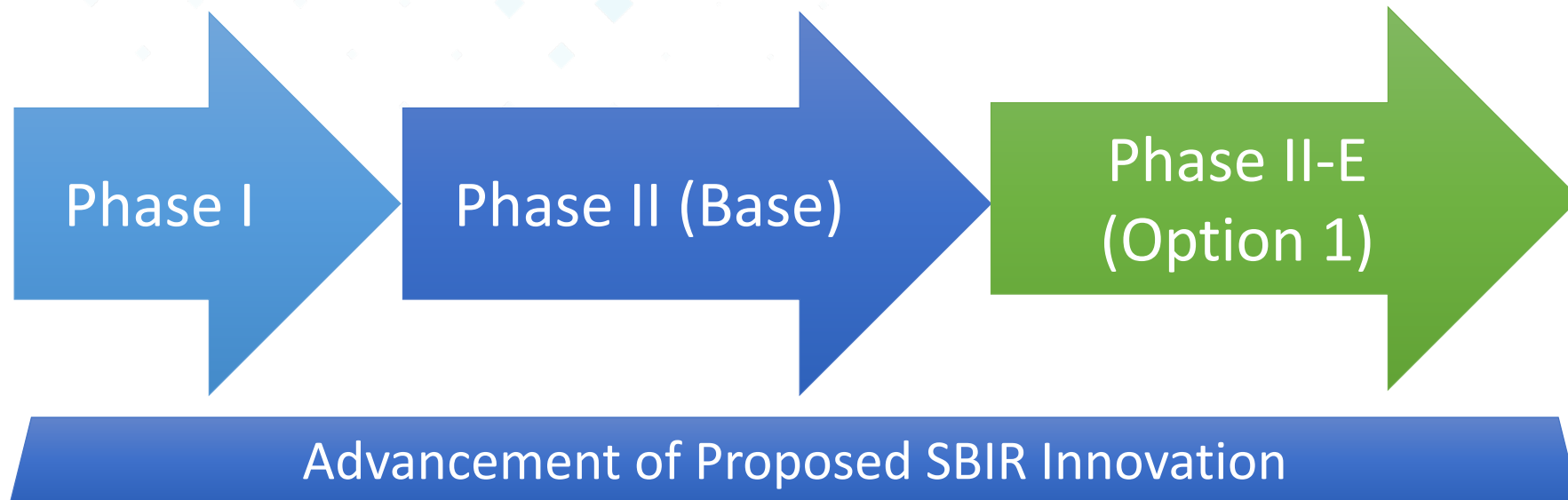
- Phase II Enhancement
- Phase II Expanded



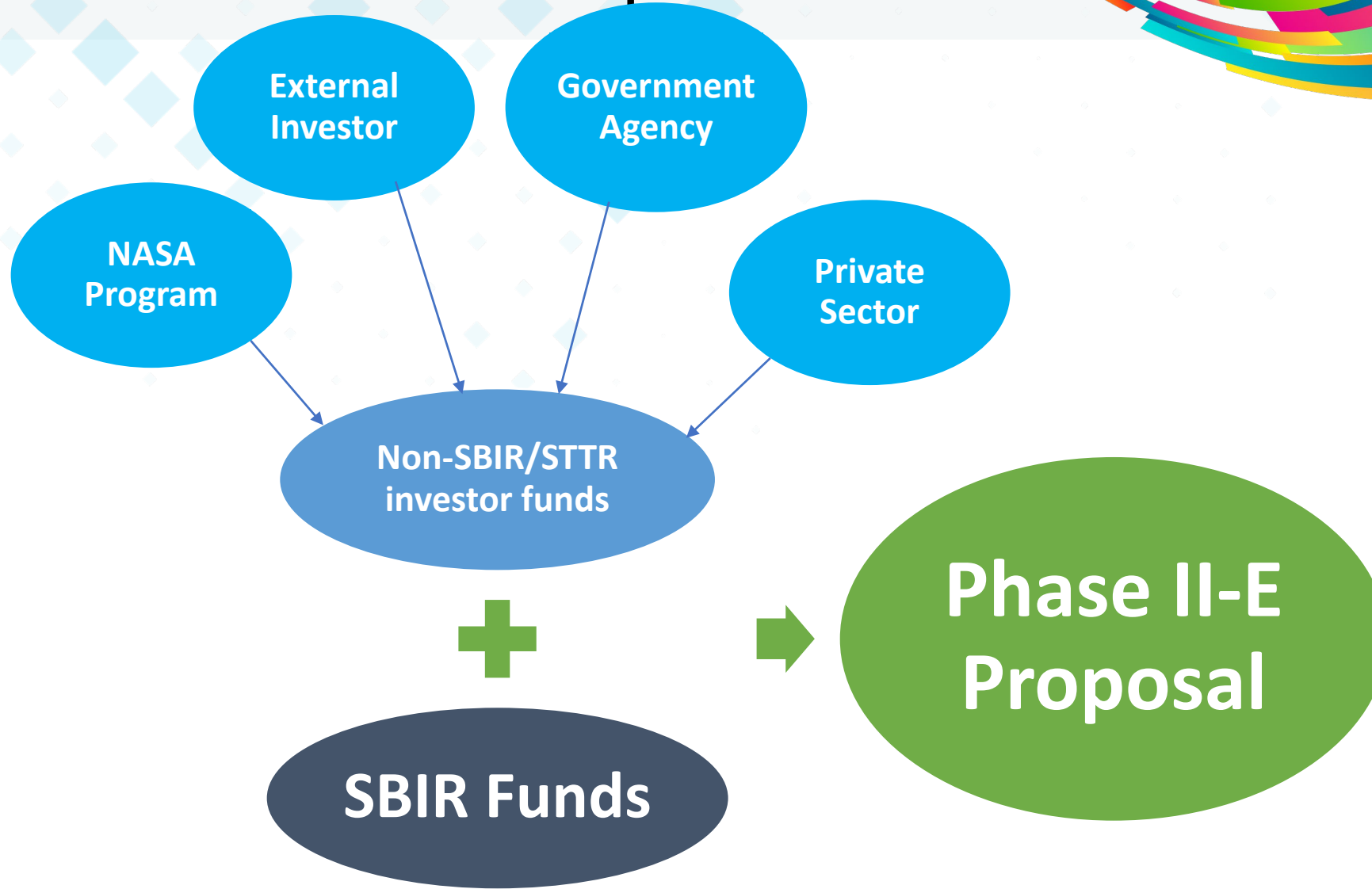
# Phase II Extended (II-E)

# Phase II-E Objective

“(...)encourage the advancement of innovations developed under Phase II via an option to further R/R&D efforts underway on active Phase II(...)”



# Phase II Extended II-E Option



# Funding Specifics of Phase II-E



| <b>Applicable Period / Solicitation</b> | <b>Minimum Non-SBIR/STTR Funding Required</b> | <b>Corresponding SBIR/STTR Program Contribution</b> |
|---|---|---|
| 2016 Solicitation - onwards             | \$25,000.00                                   | 1:1 match to a maximum of \$375,000                 |

| <b>Maximum Cumulative Award ( Phase II + Phase II-E Match )</b> | <b>Phase II-E Submission Period</b>  | <b>Anticipated Period Of Additional Performance</b> |
|---|--|---|
| \$1,125,000.00 (SBIR and STTR)                                  | Starts after the 12 <sup>th</sup> month of performance and ends 60 days before contract end date | 6-12 Months   |

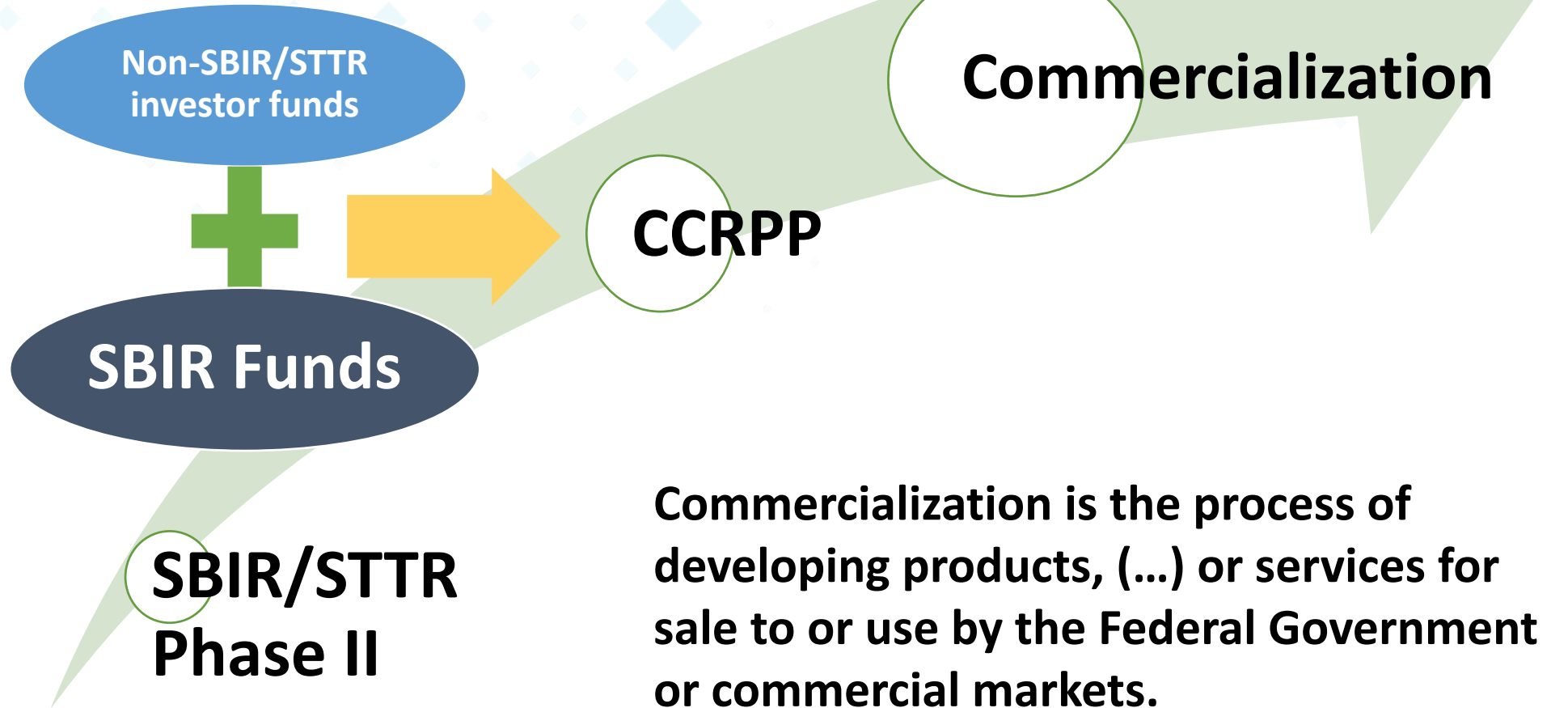




# The Civilian Commercialization Readiness Pilot Program (CCRPP)

# CCRPP Purpose

Accelerate SBIR and STTR funded tech to commercialization.



**Commercialization is the process of developing products, (...) or services for sale to or use by the Federal Government or commercial markets.**

# Who Can Apply to CCRPP?



NASA's CCRPP is available to small business concerns that:

1. **Have a completed SBIR/STTR Phase II award from NASA** selected from solicitations issued from **2010 through 2014**;
2. **Have not yet received a CCRPP or CRP** award from any federal Agency for the Phase II technology associated with the Phase II award in item 1;
3. **Have secured an investor(s)** willing to contribute matching funding to the maturation of the technology detailed in the application of research related to NASA interests. Investor(s) must be **external to the NASA SBIR/STTR Program**, which may include such entities as another company, a venture capital firm, an individual investor, a non-SBIR/non-STTR government program, or any combination of the above. An external investor **cannot include the owners of the small business**, their family members, **and/or "affiliates"** of the small business, as defined in Title 13 of the Code of Federal Regulations (C.F.R.), Section 121.103.

# CCRPP Details



| <b>Applicable Period / Solicitation<br/>(Will be updated upon next release)</b>  | <b>Minimum Investor<br/>Funding Required</b> |
|--|--|
| Phase II awards made from the Program Year 2010 – 2014 Solicitations are eligible to apply for the 2019 CCRPP application period | \$500,000.00                                 |

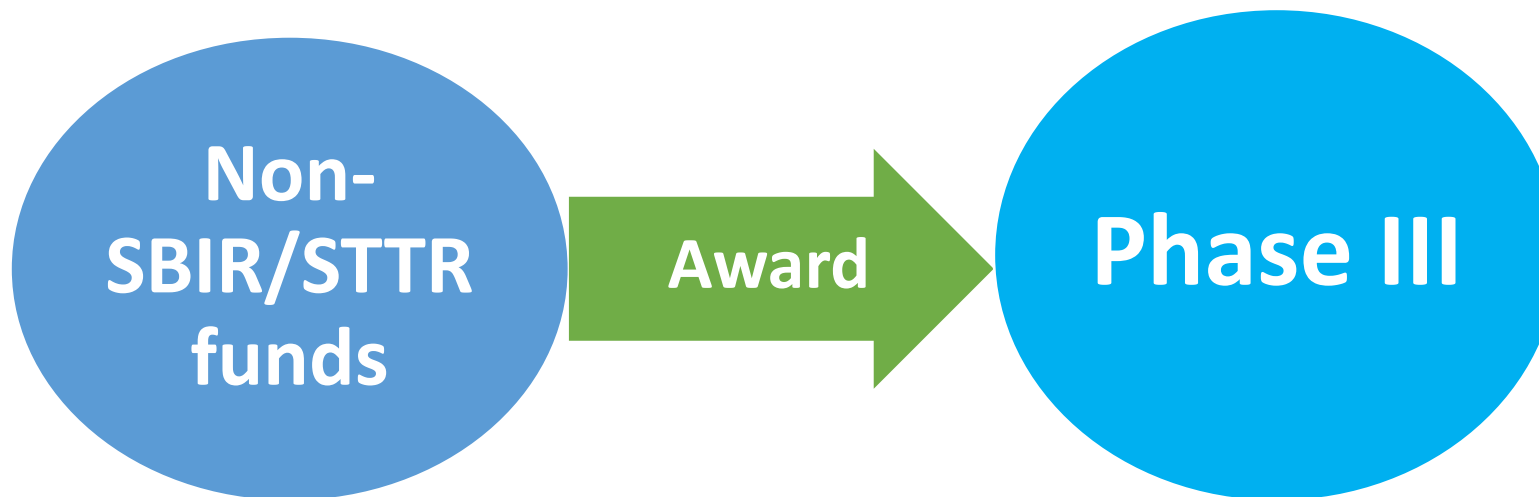
| <b>Corresponding<br/>SBIR/STTR Program<br/>Contribution</b> | <b>CCRPP Application<br/>Period</b>        | <b>Anticipated Period Of<br/>Additional<br/>Performance</b> |
|---|--|---|
| 1:1 match to a maximum of \$1,000,000.00                    | November 5, 2018 through December 14, 2018 | 24 Months as a general guideline                            |



# Phase III

# What is a Phase III?

“SBIR Phase III refers to work that derives from, extends, or completes an effort made under prior SBIR funding agreements, but is **funded by sources other than the SBIR Program**. Phase III work is typically oriented towards commercialization of SBIR research or technology.” – SBIR Policy Directive



# Some Amazing Features of a Phase III!



Accorded all  
**SBIR Data Rights**

**No further competition  
required**  
after Phase I or II

**No limit on the  
number, duration,  
type, or \$ value**

**No limit on the time  
that may elapse  
between a Phase I or  
Phase II and Phase III,  
or more Phase IIIs**

**Any Federal agency  
may enter into a Phase  
III SBIR agreement at  
any time with a Phase I  
or II awardee**

**The small business size  
limits for Phase I and  
Phase II awards do not  
apply to Phase III  
awards**



Thank you!

For more information please visit:

<https://sbir.nasa.gov/content/post-phase-ii-initiatives>

Questions?



Backup



# SBIR/STTR Programs TRL Progression

(this is not a definitive depiction of TRL progression)



| TRL Level     | TRL 1<br>Basic Principles Observed   | TRL 2<br>Concept Formulation  | TRL 3<br>Proof of Concept   | TRL 4<br>Breadboard in Lab  | TRL 5<br>Breadboard in Rep Environment  | TRL 6<br>Prototypes in Rep Environment   | TRL 7<br>Prototypes in Ops Environment                                      | TRL 8<br>System Qual  | TRL 9<br>Mission Proven                           |
|---------------|--|---|---|---|---|--|---|---|---|
| Exit Criteria | Peer reviewed publication of research underlying the proposed concept / application. | Document description of application / concept that addresses feasibility and benefit. | Documented analytics / experimental results validating predictions of key parameters. | Documented test performance demonstrating agreement with analytical predictions. Documented definition of relevant environment. | Documented test performance demonstrating agreement with analytical predictions. Documented definition of scaling requirements. | Documented test performance demonstrating agreement with analytical predictions. | Documented performance demonstrating agreement with analytical predictions. | Document test performance verifying analytical predictions. | Documented mission operating operational results. |

