



## Missile Defense Agency: Phase II Transition Program

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

### Application Instructions

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**August 15<sup>th</sup>, 2011 (09:00 EDT), Deadline to Submit**

**August 22<sup>nd</sup>, 2011 (17:00 EDT) Updated Deadline**

**Introduction:** To encourage transition of Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) projects into Ballistic Missile Defense Systems (BMDS), the Missile Defense Agency's (MDA's) Phase II Transition Program provides matching SBIR and STTR funds to expand an existing Phase II contract that attracts investment funds from a DoD acquisition program, a non-SBIR/non-STTR government program or private sector investments. The Phase II Transition Program allows for an existing Phase II SBIR or STTR contract to be extended for up to one year per Phase II Transition application, to perform additional research and development and further mature the technology. It is important that all technology development programs in MDA map to a BMDS improvement and, after a period of development and maturity, are transitionable to targeted BMDS end users. End user is defined as the Element, Component or Product Manager to which it is intended to transition the technology. Because of this, it is important that your Phase II contract be at or approaching a Technology Readiness Level of either 5 or 6.

- You may view the [Hardware Maturity Checklists](#) for Technology Readiness Levels by clicking [HERE](#).
- You may view the [Software Maturity Checklists](#) for Technology Readiness Levels by clicking [HERE](#).
- You may view the [Manufacturing Maturity Checklists](#) for Technology Readiness Levels by clicking [HERE](#).

Phase II Transition matching funds will be provided on a one-for-one basis up to a maximum amount of \$500,000 of SBIR/STTR funds in accordance with DoD Phase II Enhancement policy. Phase II Transition funding can be applied to an active DoD Phase II SBIR or STTR contract.

The funds provided by the DoD acquisition program or a non-SBIR/non-STTR government program may be obligated on the Phase II contract as a modification prior to or concurrent with the modification adding MDA SBIR or STTR funds, OR may be obligated under a separate contract. Private sector funds must be from an "outside investor" which may include such entities as another company or an investor. It does not include the owners or family members, or affiliates of the small business (13 CFR 121.103).

### Instructions

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To be considered for Phase II Transition funding, please submit a Phase II Transition Application via the DoD [Submission System](#) available at <http://www.dodsbir.net/submission> by or before 9 a.m. (EDT) August 15<sup>th</sup>, 5 p.m. (EDT) August 22<sup>nd</sup>, 2011. Applications received after the closing date and time will not be processed. Applications must include:

1. Completed Phase II Transition Program Cover Sheets (Called "Enhancement Cover Sheets in the DoD System).
2. Technical Proposal (single) file upload that contains the following sections:
  - i. Transition Plan (**YOU MUST FOLLOW THE TEMPLATE FOUND BELOW**).
  - ii. Two (2) statements of work (SOW). One for the SBIR/STTR portion of the work, one for the non-SBIR/STTR portion. Each portion should be clearly identified and should not exceed 5 pages in length.

- iii. An advocacy letter from the relevant MDA acquisition program manager(s) and/or MDA procuring organization(s) articulating their pull for this technology (i.e., what BMDS need this technology supports and why it is important to fund it), and commitment to insert the technology in their acquisition/sustainment program. This letter should be included as the last part of your technical upload or emailed as a PDF to [sbirsttr@mda.mil](mailto:sbirsttr@mda.mil).
  - iv. A letter from the outside investor, stating the amount the investor will provide and that the investment is being made in response to the company's Phase II R&D effort. This letter should be included as the last part of your technical upload or emailed as a PDF to [sbirsttr@mda.mil](mailto:sbirsttr@mda.mil). (Letter should not exceed 2 pages). Please note: commercial investors may only make “cash” investments. Government “investors” must be able to provide a line of accounting if your firm is selected for the Transition Program (see “[What Qualifies as Investment](#)”).
3. A cost proposal for the SBIR or STTR portion of funding. You must use the electronic version of the template available on the DoD submission site.

### Evaluation Criteria

The Phase II Transition Program application will be reviewed for overall merit based upon the following criteria which are listed in descending order of importance, where criteria A is more important than criteria B and C, individually. Criteria B and C are of equal importance. The evaluation criteria are:

A. *Transition Potential:*

- Will the technology fulfill a stated agency capability need?
- Does the technology have the support of the end-state user?
- Has a relationship been established with one of the following: PM/PEO, a Defense Prime, or vendor to the Primes?
- Does the funding profile support an affirmative ability to transition?

B. *Value to the BMDS:*

- Which of the BMDS capability needs does this application address?
- How will the technology product address the stated capability need?
- How widespread is the application of this technology? Is it applicable to more than one BMDS Element (e.g. does it benefit multiple interceptors or sensors, or is it applicable to multiple missions – boost, midcourse, and terminal)?

C. *Probability of Success:*

- What is the current [Technology Readiness Level](#) of this technology?
- What are the steps needed to be accomplished to ensure successful transition? Are exit criteria well defined?
- What are the risks associated with transition? Can the technology be produced in the planned timeframe? What steps are being taken to mitigate risk?

Where applications are assessed as essentially equal in merit, cost to the Government will be considered in making the final selections. Final selections will be on the basis of best value to the government. While funding is limited, MDA reserves the right not to use all available funding for the Transition Program. MDA will select for funding the applications that best meet our needs, regardless of whether we have exhausted all the available funding.

Technical reviewers will base their assessments on the information contained in the application and their personal knowledge. It cannot be assumed that reviewers are acquainted with the firm or key individuals or any referenced experiments. Relevant supporting data such as journal articles, literature, including Government publications, etc., should be contained or referenced in the application and will count toward the 10-page limit.

Firms are HIGHLY encouraged to engage their technical monitors (Contracting Officer Representative) and also review current BMDS literature. Additional information can be found at: <http://www.mda.mil>.

The current Phase II Transition Cycle is open to Phase II Small Businesses that meet the following contractual criteria:

- The Phase II Contract must be with a DoD Agency.
- The contract must be active (open) at time of application. (Contracting officers will NOT honor requests for no-cost extensions for the purpose of application to this program.)

**Please Note:** Only Government personnel will evaluate applications. In some circumstances, non-government, technical personnel from **Federally Funded Research and Development Centers (FFRDCs) or support contractors** may provide advisory and assistance services to MDA, providing technical analysis of applications submitted to the MDA Phase II Transition Program. For additional information regarding the role of support contractors, please refer to the “Introduction” of the latest MDA solicitation available at <https://www.dodsbir.net/solicitation/default.htm>.

### **Funding from Multiple Sources:**

An Applicant may have several sources of non-SBIR/STTR investment on one PH II Transition application. The DoD Cover Sheet only allows you to submit the name of one investor on your cover sheet. Please place another sheet BEFORE “Section A” of the technical upload that says “Additional Investors” and follow the format below (for each additional investor – you may place them on the same sheet). This will not count against the page limit.

**Please note** – on your cover sheet, in the section - “Proposed DoD SBIR/STTR Funds for Phase II Enhancement” - be sure to enter the TOTAL amount of SBIR or STTR funds you are seeking should you be selected for an MDA SBIR or STTR PH II Transition Award. In the section - “Amount of Matching Funds (Cash) the Investor will Provide” - ONLY mark the amount that the outside investor listed on the cover sheet is providing.

#### **Additional Outside Investor**

Name of Outside Investor:

Mail Address:

City:

State:

Zip:

If private sector investor, Taxpayer Identification Number:

Amount of Matching Funds (Cash) the Investor will provide: \$

#### **Outside Investor Official**

Name:

Title:

Phone:                      Ext:

Email:

**Template for Transition Plan Application**  
*(Follow this template for your technical upload)*

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### **Section A) Government Technical Monitor(TM):**

First and Last Name:

Email address:

Phone number:

### **Section B) MDA Acquisition Program (or MDA Procuring Organization) Point of Contact:**

First and Last Name:

Title:

Email address:

Phone number:

**Section C) Transition Plan:**

**In 10 pages or less, address each of the following questions in sequential order (place question with number prior to your answer):**

1. What is the technology/product(s) to be transitioned? Include a description and figure(s)/photo(s) if available.
2. How does your SBIR/STTR Phase II support the Ballistic Missile Defense System (BMDS)? Please describe the following:
  - a) The current problem (i.e., capability need or gap) your research is addressing.
  - b) How, and to what degree, your project addressed this capability need.
  - c) How big an impact is this solution on the overall BMDS, i.e., does it address multiple mission areas? Is it applicable to more than one Element (e.g. suitability for insertion into all interceptors)
3. What are the required exit criteria for the SBIR/STTR Phase II Transition Program such that the acquisition program manager/procuring organization might agree to insert this technology?  
Note: Exit criteria are some level of demonstrated performance outcome (e.g., level of engine thrust), the accomplishment of some process at some level of efficiency (e.g., manufacturing yield), or successful accomplishment of some event (e.g., first flight), or some other criterion that indicates that aspect of the program is progressing satisfactorily.
4. Describe the funding profile required to assure transition of the technology upon completion of the SBIR/STTR Phase II Transition Program. The funding profile shows the incremental funds over time required to complete transition (as projected). The common basis is usually the activities that make up the project. Each activity has a duration and a cost associated with it. When the two are linked together, they produce a profile that indicates the cost over time.
5. What is the MDA Acquisition Program Manager's and/or MDA procuring organization's commitment to transition? (You must include an advocacy letter from the relevant MDA Acquisition Program Manager(s) and/or MDA procuring organization(s) articulating their pull for this technology (i.e., what BMDS need does this technology support and why is it important) and commitment to insert the technology in their acquisition/sustainment program. The letter does not count towards the page count).  
**PLEASE NOTE:** It is advised that you work with your technical monitor and the MDA Program Elements (MDA Organizational Chart) EARLY in your application process to secure your advocacy letter in a timely fashion. **The MDA SBIR/STTR PMO will NOT accept late letters for any reason.**
6. What are the risks (cost, schedule, technical, manufacturability, sustainment) to developing and transitioning the proposed technology? How are you addressing those risks?

**Section D)** SOW for SBIR or STTR portion of funding (maximum 5 Pages)

**Section E)** SOW for Non-SBIR or Non-STTR portion of funding (maximum 5 Pages)

**Section F)** ADVOCACY LETTER(s): Insert here or email PDF to [sbirsttr@mda.mil](mailto:sbirsttr@mda.mil)

**Section G)** OUTSIDE INVESTOR LETTER(s): Insert here or email PDF to [sbirsttr@mda.mil](mailto:sbirsttr@mda.mil)

### Technical Proposal Upload Checklist

Your **total** technical proposal upload **must** include the following:

- ✓ \_\_\_\_\_ Transition Plan (following above template): maximum 10 pages
- ✓ \_\_\_\_\_ SOW for SBIR or STTR portion of funding (This section clearly identified as “SBIR portion” or “STTR portion”: maximum 5 pages)
- ✓ \_\_\_\_\_ SOW for Non-SBIR or Non-STTR portion of funding (This section clearly identified as “Non-SBIR Portion” or “Non-STTR Portion”: maximum 5 pages)
- ✓ \_\_\_\_\_ An advocacy letter from the relevant MDA acquisition program manager(s) and/or MDA procuring organization(s) articulating their pull for this technology (i.e., what BMDS need does this technology support and why is it important to fund it), and commitment to insert the technology in their acquisition/sustainment program. This letter should be included as the last part of your technical upload or emailed as a PDF to sbirsttr@mda.mil.
- ✓ \_\_\_\_\_ Letter from outside investor stating commitment to provide matching funds if selected for an MDA SBIR/STTR PH II Transition Program Award

**Please be advised,** within 45 days of Phase II Transition Program selection notification, the company and third party must certify, that the entire amount of the matching funds from the outside investor has been transferred to the company. Certification consists of a letter, signed by both the company and its outside investor, stating that "\$\_\_\_\_\_ in cash has been transferred to our company from our outside investor in accord with the MDA SBIR/STTR Phase II Transition Program procedures." The letter must be sent to the MDA contracting office along with a copy of the company's bank statement showing the funds have been deposited. If the outside investor is a non-SBIR/non-STTR DoD program, it must provide a line of accounting within the 45 days that can be accessed immediately.

*IMPORTANT: If the DoD contracting office does not receive, within the 45 days, this certification showing the transfer of funds, the company will be ineligible to negotiate for an MDA Phase II Transition Program award unless a specific written exception is granted by the Director of the MDA SBIR/STTR programs.*

**Note:** **Failure to follow the above instructions or** meet these conditions in their entirety, within the time frames indicated, will generally disqualify a company from participation in the current MDA SBIR/STTR Phase II Transition Program process and **may result in automatic rejection of your application.**