



How GSA is Helping to Bridge the “Valley of Death”

Subject: Webinar Extended Q&A

Event Date: 5/4/2023

RIO Questions

1. What is RIO?

RIO is an acronym for Research, Innovation, and Outcomes. It is a potential Multiple-Award IDIQ contract focused on SBIR Phase III awards. It is currently under development by GSA's IDIQ Labs team.

2. With respect to RIO, what factors are GSA considering to select awardees (i.e. size, SBIR success to date, client interest)?

We are still developing our Acquisition Plan and have not made final decisions on evaluation factors.

3. Is this part of the IDIQ Labs team effort to simplify Phase III contracts? Are there any further developments?

By creating a Multiple-Award IDIQ contract, the IDIQ Labs team hopes to streamline and expedite the Phase III ordering experience for both AAS and its customers. As of May 4, 2023, the IDIQ Labs team is working on the Acquisition Plan. Please refer to the timeline in the slides for the most recent estimate of when actions will take place.

4. Would appreciate more info on the difference between utilizing AAS and the forthcoming GWAC (Research Innovation Outcome, RIO).

AAS is full service acquisition support. We are like a moving company that you would hire to move your household goods. You give us the requirements and we do all the contracting. RIO is being developed primarily for direct buy orders. Using RIO is like renting a U-HAUL or other moving vehicle. Your customer's contracting shop is going to do all the contracting work but they are going to use the GSA RIO vehicle.

5. The RIO one-pager mentions potentially competing new technically innovative needs. I am interested to hear more about this.

One idea for RIO is to allow for agencies to complete requirements as Task Order Requests (TORs) using FAR Part 16 procedures if they so choose, in addition to more typical SBIR Phase III direct award authority.



6. Will there be a search engine available for DoD customers looking for SBIR-STTR technologies?

Since GSA is not a Participating Agency it is unlikely that GSA would provide this type of search engine. However, it is possible that GSA could provide some sort of search capability for customers who would like to use the RIO contract and don't yet have a desired awardee in mind. It is our understanding that the DoD SBIR/STTR community is working with the SBA to improve search capability. This would be found at www.sbir.gov if it becomes available.

7. Does SBIR/STTR Data rights period of effectiveness carry forward with the RIO program?

Yes. In fact, to obtain a Delegation of Procurement Authority (DPA), Contracting Officers will be educated on how to appropriately manage data rights.

8. What is the expected go live for first companies on this to be able to receive customer funds?

We hope to award the RIO contract in late 2023 or early 2024. It should be available for orders upon award of the contract. For companies in the initial award pool, that will hopefully be in late 2023 or early 2024. For companies that onboard after the initial contract award orders can be placed shortly after award of the base contract.

9. What is the timeline associated with the Research, Innovation and Outcomes (RIO) contract?

Expect to see RFIs and a draft RFP this summer with final RFP this fall and awards by end of CY, barring unforeseen circumstances.

10. When will the GSA vehicle be available?

Assuming this refers to RIO, we hope by the end of the CY. Assisted acquisition services (AAS) for Phase III contracts are available now. However, the GSA AAS SBIR/STTR support staff is at capacity for new work in FY23 and early FY24.

11. What is the current status of the GSA RIO program?

We have begun to develop our Acquisition Plan.

12. What is the current status of the procurement authority approval for the RIO opportunity?

We have passed our first "gate review" based on our Market Research. The next phase is the development and approval of the Acquisition Plan. We hope to conclude that phase by the end of June.



13. What is the time frame for the release of the RFP?

At this point, likely in the Fall.

14. Does GSA require a funded task at the start to set up a Phase III contract the small business can then market against?

For RIO, we anticipate that “on-ramps” to the contract will require a signed Letter of Intent from a customer organization with funding for the Phase III effort.

For an AAS IDIQ type of contract, yes, funding is required fairly early in the process in order for AAS to establish the contract.

15. Can you provide an example letter of intent (LOI) for SBIR Phase III we can provide to our Government customer?

When RIO is awarded, we will provide a template for the LOI.

16. Look forward to understanding the SBIR application process.

Assuming this comment is geared towards RIO, the solicitation will be announced on SAM.gov. The process will be explained and instructions will be provided. If you are interested in Phases I/II, please go to www.sbir.gov.

17. Would like to understand the formal process required to use RIO, when it is approved.

Once RIO is awarded, a potential customer agency would need to contact GSA and acquire a Delegation of Procurement Authority (DPA). Once they have the DPA, they can execute task orders against the RIO contract at their convenience.

18. Can RIO be used to award Phase II contracts with DOD?

For RIO, no. For assisted acquisition services, GSA's AAS can award Phase I and II contracts on behalf of participating agencies. However, GSA AAS is authorized to award Phase II contracts on behalf of Participating Agencies.

19. Any ideas how the potential RIO solution may impact AAS's traditional excellent Phase III contracting work? I love the RIO concept, but I don't see it replacing what AAS does.

RIO will be a "force multiplier" for AAS. Currently, we often issue single award IDIQs and then task orders for Phase IIIs. With RIO, we will be able to skip that first step, allowing our staff to do more task orders.



20. Any issues with Federal Agencies/Departments using RIO, do they know about it if I bring it up to them?

There is visibility in SBIR program offices but not broadly. You talk to the agency and you could tell them it may be available but nothing is awarded until the calendar year. We will do communication plans with customer agencies as we get closer to award. We will work closely with the working group we develop that is DoD entities and we will do the outreach and share FAQ's and one pagers with you in industry you could use to communicate with your customers that stay tuned. We are early. Don't want to tell them up for it until it is out there on the street. We have a couple gates to get through.

21. Would future Phase I and II SBIRs essentially be rolled into a company's RIO's offerings if additional are awarded to a RIO company post-RIO award? Or more simply stated, would the intent be for a company to have a single RIO contract regardless of how many SBIR awards they have?

Any future Phase I and II that is a company that holds a RIO contract will be added to the catalog of services as they were. You have a single RIO contract with Phase I and II. Both at time of award and moving forward into the future

22. Will RIO enable any program in the Federal government to purchase your Phase III product or service outside of the entity who gave the Phase I? If AFWERX did the Phase I, could the EPA use the RIO IDIQ?

Yes. Any Federal agency may award a Phase III contract or order regardless of which agency funded the Phase I/II work. Phase III work is not limited to Participating Agencies.

23. Can we respond to your RFI that was due on March 10th?

It's just an RFI, so yes, any information is helpful.

24. Who qualifies to submit an RFP for RIO? Is having a SBIR Phase I the basic pre-qualification to get a RIO award? Companies with a Phase II SBIR?

Need to demonstrate you won a Phase I or II to win a RIO contract. Can't get a Phase III otherwise since RIO is focused on Phase III.

GSA FAS AAS-Specific Questions

25. What is the difference between AAS and GSA? Are they two different companies?

GSA is a Federal Agency. AAS is a component office within GSA, specifically under the Federal Acquisition Service (FAS). GSA -> FAS -> AAS. All Government.



26. Who pays AAS fee?

The Federal Government client is responsible for the fee.

27. What is the typical fee %?

For GSA AAS, the fee depends on the level of effort required to manage the contract and the annual contract spend. It is usually in the 3-6% range for the first order on a new IDIQ contract and to date averages about 3.5% across all the active orders we have done. We charge at the order level for IDIQs.

28. What is the award timeline for Phase IIIs through AAS?

For GSA AAS, the time to award varies based on contract size, contract complexity, type of contract and GSA workload. At this time it takes about 6 months or maybe longer to award large, complex IDIQ contracts.

29. Given that 6-month timeline and the need to have MIPR-ready funding in place, that seems a deterrent to customers to try to navigate the process, limiting their ability to quickly obligate funding. Is there a goal to remove that MIPR-ready funding requirement to set up the initial contract and have it in place and ready for customer funding when it is available?

We understand that dilemma and we will do our best to work with customers in these situations. While it is desirable to have the funding before we begin work, that is usually not feasible for our customers. We will at least need some sort of documentation (maybe a draft funding document) or statement from the customer's finance activity reassuring us that funding is enroute before we can invest large amounts of time working on a new contract.

30. What is the best time of year for "getting in line" for an AAS Phase III IDIQ creation (obviously alongside first TO creation)?

We talk to potential clients and contractors all year long so the best time is when you have a requirement and anticipate funding will be received. The earlier we know that a requirement will be coming, the better the chance is that we will be able to accept it.

31. Do we have to have our funding ready in order to even get in the queue with GSA? How do we know we are in the queue?

For GSA AAS, funding must be provided early in the process. AAS is a 100% fee for service activity. While we may engage in some business development and requirement vetting at no charge, we must have adequate funds before our staff can do any heavy lifting on a new contract. GSA AAS will assign a staff member to manage your contract. That individual will reach out to you, set up regular meetings, etc. Please let us know at gsasbir-sttr@gsa.gov if your experience is otherwise.



32. What is GSA's role in awarding and managing SBIR/STTR Phase I and Phase II awards?

Although GSA is not a participating agency, the Office of Assisted Acquisition Services (AAS) can award and administer Phase I and II work through use of an Interagency Agreement with a participating agency. We function as the contracting agent for Phase I/II awards which means that we engage after the solicitation is closed and technical selections have been made.

33. Is there a ceiling for award amounts under the GSA vehicle?

For Phase III contracts, the Indefinite-Delivery, Indefinite-Quantity (IDIQ) contracts have maximum quantity, or ceiling, when established. The ceiling is established based upon an estimate that can be supported by market research. However, there is no limit to the ceiling value. Per the Policy Directive there is no limit to the size of a Phase III contract. At this time it is not expected that there will be a ceiling value on RIO orders.

34. Do you have to hold a GSA contract in order to get a Phase III award from GSA? Does a current GSA Schedule help?

No. Having a GSA schedule does not have any impact with regard to Phase III awards.

35. What are the biggest challenges for this program?

The biggest challenge for the AAS program is resources—people. Government contracting is a resource-intensive activity. We need more sharp, customer-focused people to help us do more. If you know anyone with a background in Government acquisition that you believe would want to work with us please refer them to us.

36. How can a small business benefit from GSA's AAS?

Assuming that GSA AAS has the capacity to support a new award, GSA will award a Phase III contract to the small business as the prime contractor. We will award the contract as an Indefinite Delivery Indefinite Quantity (IDIQ) contract if appropriate. This will provide at least one usable contract the small business can reference while marketing its SBIR solution to future Federal buyers.

37. How can GSA assist us with SBIR efforts?

GSA AAS can award Phase I/II (with some limitations) and Phase III contracts. The Government customer or the SBIR firm needs to reach out to GSA AAS at gsasbir-sttr@gsa.gov and someone will follow up.



38. What contract types are available for AAS?

Our acquisition professionals are familiar with all types of contracts. The Contracting Officer will review the requirement with the customer to determine the most appropriate contract type based upon the factors listed at [FAR 16.104](#).

39. How do we build on Phase I & Phase II SBIR awards to receive a Phase III award from GSA FAS?

You must find a Federal buyer who wants to use non-SBIR/STTR funds to do work that derives from, extends or completes your Phase I and/or II work. That is the foundation of all GSA FAS Phase III awards.

40. Is the program staffed in such a way, that you can respond to phone and/or email inquiries.

Yes. You may reach out to us at gsasbir-sttr@gsa.gov and someone will follow-up with you.

41. What is the procedure to get a GSA award?

For an AAS award, the process consists of submitting an inquiry, providing GSA with the requested information, and collaborating with GSA throughout the acquisition process. Refer to the slides given in the presentation and to the GSA SBIR/STTR website at <https://aas.gsa.gov/sbir/> for more detailed information.

42. What different benefits does the GSA AAS team provide that is more beneficial than opportunities through technical and business assistance (TABAs) funding?

GSA AAS does not provide any funding or technical assistance comparable to that provided by Participating Agencies under TABA funding. If you have a Government buyer and GSA AAS has capacity, we will establish a contract with you for the sales of your SBIR-derived goods and services. We do that on a fee for service basis and the Government customers pay us for our services.

43. Which agencies are forcing the GSA service and which are transitioning to phase III just fine on their own?

No agencies are forcing or requiring GSA service. We serve to meet what our customers need. Our biggest customers to date have been the Air Force, the Navy and other DoD offices. The Navy has been a leader in Phase III awards for many years. The Air Force is growing its numbers due in large part to the AFWERX Open Topic dual use announcements issued in the last few years.



44. How is GSA helping 'market' the value of SBIRs to Contracting Officers?

GSA is not marketing the SBIR program per se. GSA is not a Participating Agency. We award and administer contracts on behalf of external agencies. We certainly embrace the SBIR program objectives and its importance to our industrial base but the Participating Agencies market the program with the aid of the SBA. For events and resources, go to www.sbir.gov.

GSA AAS is exploring the concept of standing up a cell of experienced acquisition experts to assist agency Contracting Officers who would like to award a Phase III contract but need some guidance. This would be provided as a consulting type of service on a fee for service basis.

45. Really interested in learning how SBIR can help facilitate access to GSA schedule.

The GSA schedule program is set up for commercial goods and services. If a company matures its technology via SBIR funding and is ready to sell on the commercial market, then SBIR funding would serve as an enabler in that situation. Another item of concern is that Phase III contracts are almost always direct follow-on awards to prior SBIR-funded contracts. Orders on GSA schedule contracts are governed by FAR Section 8 and there is no exclusion to full and open competition based on the SBIR statute. This makes it challenging to place Phase III direct orders under the schedules program.

46. How do the GSA Phase III contract vehicles work in concert with other agencies.

GSA awards and manages Phase III contracts in support of Federal agencies. The vast majority of orders against those contracts are for external agencies and for the DoD in particular. Our contracts enable other agencies to tap into SBIR solutions to meet their mission needs.

47. What is GSA doing to increase contracting capacity and accelerate time to contract award?

Hiring: We are trying to hire as many sharp, customer focused acquisition professionals as we can. Hiring has proven to be more challenging since the pandemic. If you know anyone with Government acquisition experience who may be interested in helping us do more, please send them to us.

Streamlining: We are working to eliminate non value-added work to the extent possible and we are advocating for consolidation of our SBIR/STTR support teams into a single entity similar to what the Navy, Air Force and Army have done.

Governance: This is more long term but we are advocating for simple updates to regulations and policy documents to make SBIR/STTR contracting easier and faster.

RIO: GSA AAS will use RIO as much as we can. We can order from an existing contract much quicker than writing a new contract. This should reduce the time to award and improve capacity.

48. Is GSA the Gov-wide Champion for SBIR?

We fully support the SBIR program objectives and we provide support to the entire Federal government. SBA is responsible for the program.



49. How can SBIR Entrepreneur Support Organizations (ESOs) assist companies interface with GSA?

Primarily by spreading awareness. ESOs can refer companies to GSA AAS if they have a Government buyer lined up and to the RIO office if interested in getting on the RIO contract.

50. How will the AAS SBIR Program be structured and advertised across DoD?

Stay tuned. We plan to hold outreach webinars several times each year. We will provide updates in those webinars. Please note that, while the DoD is our largest customer, GSA Phase III support is available to all Federal agencies.

51. How long does the AAS process generally take to successfully get a Phase III under contract from start to finish?

That is going to vary based on the size of the contract, the complexity and GSA's workload. For new large IDIQ type contracts we are taking in the queue right now maybe 6 months. Once the IDIQ is placed, orders take much less time.

Other Questions

52. How is the Valley of Death defined?

The Valley of Death occurs after Phase II, where there is a funding gap and some businesses struggle to survive, and Phase III or commercialization.

53. Do you have any recommendations for improving selection of open topic submissions?

This question needs to be directed to the Participating Agency's SBIR/STTR program office. When GSA assists with Phase I/II contracts the selections have already been made by the Participating Agency. Links to those offices are available at www.sbir.gov.

54. I'm interested in learning more about SBIR. What are some good resources?

Please go to www.sbir.gov/applicants. There are resources available to assist you in learning more about the program, including tutorials and where you can find local assistance. The SBA also offers road shows. See www.sbir.gov for more information.

55. How to register and get certified?

Assuming this question is for applicants seeking to submit SBIR/STTR proposals, follow the instructions found at www.sbir.gov and/or in Participating Agency solicitations.

56. Is there interest in self healing infrastructure?

This sounds like a technical focus area question. Those need to be directed to the Participating Agencies. You may access links to their websites via www.sbir.gov.

57. How to educate a client who's not familiar with the SBIR program?

There is a wealth of information available from the SBA and Participating Agencies. You may access links to their websites via www.sbir.gov.

58. How do you think Blockchain or AI will help in bridging the "Valley of Death"?

This is a technical question. GSA AAS is a contracting activity. If you have a SBIR/STTR funded technology in this space and find a Federal buyer who wants to invest in Phase III work, that will provide cash flow to the company to help bridge the valley.

59. What is the easiest way to reach commercialization goals?

Find Federal or private sector buyers who want to buy what you have to offer. The large SBIR/STTR offices have a Commercialization Readiness Program or equivalent that can assist you. You can navigate your way to their websites through www.sbir.gov.

60. How can billing help with commercialization?

It is not clear what is meant by this question. Please follow up to discuss in more detail.

61. What are the most critical aspects in SBIR application? Is sodium-ion cells are of interests to you?

GSA is only a contracting agency. We are interested in awarding and managing contracts for Federal customers regardless of the specific technology focus. Technical focus areas are determined by the Participating Agencies. You can access links to their websites via www.sbir.gov.

62. Can other agencies order off a Ph III by another agency? E.g. USAF creates a Ph III contract and Army wants to place an order within the Scope of Work, can they order off USAF Ph III? I think so.

Yes.

63. How can a small business that is new to government contracting benefit from this? The small business is registered on sam.gov.

For both AAS and RIO Phase III contracts, the resulting contract offers the small business a means by which to sell its goods and services to the Government. One of the top challenges faced by small businesses is that they have a buyer but no contract. A GSA Phase III contract will address that challenge.

64. Does Phase III include advanced R&D contracts?

It can. Phase III work is typically oriented towards the commercialization of SBIR/STTR research or technology, including through further R/R&D work. Each of the following types of activity constitutes SBIR/STTR Phase III work: (i) Commercial application (including R/R&D, testing and evaluation of products, services or technologies for use in technical or weapons systems) of SBIR/STTRfunded R/R&D that is financed by non-Federal sources of capital; (ii) SBIR/STTR derived products or services intended for use by the Federal Government, funded by non-SBIR/STTR sources of Federal funding; and (iii) Continuation of SBIR/STTR work, funded by non-SBIR/STTR sources of Federal funding including R/R&D.

65. What are the benefits or disadvantages of direct-to-Phase II?

This is a question that needs to be directed to the Participating Agency. Reach out to the Participating Agency or use the resources available on www.sbir.gov to get more information.

66. How does a Phase II applicant find a sponsor?

Business development. The large SBIR/STTR offices have a Commercialization Readiness Program or equivalent that may be able to assist you. You can navigate your way to their websites through www.sbir.gov. You can also hire the services of a private consulting firm that may be able to assist. GSA is not endorsing or recommending that option but it does exist.

67. You mentioned that there's no limit to the size or number of Phase III contracts that can be awarded - does this mean that a contractor can be awarded more than one Phase III contract after successfully completing one?

Yes, that is correct. There is no limit.

68. What are some best practices that SBIR Awardees can implement in order to obtain a Phase III contract?

- a. You must find a buyer for your SBIR-derived services and products. This responsibility rests primarily with the SBIR firm. Do your best to identify potential buyers to aid in establishing the ceiling value.

- b. Provide a clear description of how your proposed Phase III work derives from, extends or completes prior SBIR/STTR-funded work. When possible, provide a picture or some sort of illustration that the contracting organization can understand. The technical breadth and complexity of SBIR efforts often make it difficult for non-technical contracting personnel to see the path from Phase I/II work to the Phase III work.
- c. Show how your Phase III work supports the SBIR/STTR program's commercialization objectives including sales in the private sector when possible.

69. What are some strategies for transitioning Phase IIs to Phase III?

Phase III is for any work that derives from, extends or completes prior SBIR/STTR-funded work. The scope is broad and Phase III can be used for services, products, more R&D or any combination of the above. Phase III applies to both Government and private sector sales. For Government transition, you must find a Government agency that wants to buy what you have to offer. Each large SBIR/STTR agency has a program to aid in the transition and commercialization of SBIR/STTR technologies. You can find them by navigating from www.sbir.gov to the agency website. These programs provide resources to assist you in making the transition.

70. How can we use sole source capability from SBIR projects?

If a Federal agency wants to fund work that derives from, extends or complete SBIR/STTR funded work, then by law that agency shall pursue, to the greatest extent possible, direct follow on (i.e. sole source) awards with the firm that developed the technology or is a successor in interest to that technology. All competition requirements for Phase III contracts are satisfied in Phase I/II competitive solicitations. No additional competition is required for Phase III.

71. How do I originate a Phase III once two Phase II's have ended? What can I do to increase Phase III likelihood? Should I do Phase III or POM?

Phase III is for any work that derives from, extends or completes prior SBIR/STTR-funded work. The scope is broad and Phase III can be used for services, products, more R&D or any combination of the above. Phase III applies to both Government and private sector sales. For Government transition, you must find a Government agency that wants to buy what you have to offer. Each large SBIR/STTR agency has a program to aid in the transition and commercialization of SBIR/STTR technologies. You can find them by navigating from www.sbir.gov to the agency website. These programs provide resources to assist you in making the transition.

If you have a subcontract to a DoD prime, and you're doing work that derives from, extends or completes your prior SBIR/STTR-funded work, it is Phase III work and you should be entitled to Phase III status and rights. You should be able to obtain that work without any additional competition. The Phase III rules apply to prime contracts with the SBIR firm and to subcontracts.



72. Who is qualified for Phase III? Can a SBIR Phase I contract go straight to a SBIR Phase III contract?

Any Phase I or Phase II awardee or a successor in interest is entitled to a Phase III award for work that derives from, extends or completes the Phase I and/or II efforts. Yes, a Phase III can be awarded from a Phase I. Please see Section 4 of the most recent version of the SBIR/STTR Policy Directive located at www.sbir.gov/about for additional information.

73. Do you have suggestions on who/where to contact to establish a new Phase III IDIQ contract based on our past SBIR work?

If you already have a Government buyer and that buyer's internal contracting activity is unable to award a Phase III contract, reach out to us at gsasbir-sttr@gsa.gov and someone will follow-up with you.

If you are asking how to find a Government buyer, you will need to do that via business development. The large SBIR/STTR offices have a Commercialization Readiness Program or equivalent that may be able to assist you. You can navigate your way to their websites through www.sbir.gov. You can also hire the services of a private consulting firm that may be able to assist. GSA is not endorsing or recommending that option but it does exist.

74. How does a Phase I become a Phase III and above eventually?

Phase III is for any work that derives from, extends or completes prior SBIR/STTR-funded work. The scope is broad and Phase III can be used for services, products, more R&D or any combination of the above. Phase III applies to both Government and private sector sales. Topic announcements that accompany the Phase I/II solicitations typically include some suggested areas for commercialization.

75. Regarding your recommended Phase III initiatives, which have been the most successful?

Perhaps the most successful streamlining initiative we have achieved is that the requirement for a Justification and Approval (J&A) document for direct awards was lifted from the two most seasoned GSA SBIR/STTR support teams and has made its way into a FAR CASE. Once entrenched in the FAR, there should no longer be any confusion throughout the Government regarding the J&A requirement.

76. What are the key, common elements in SBIR proposals that are awarded?

This question is geared towards Phases I/II. GSA serves only as a contracting agency for Phase I and II awards. You will need to reach out to the Participating Agencies for this type of information. You may access links to their websites via www.sbir.gov.



77. What is your goal for the SBIR Program?

GSA wants to support our Federal customers to the greatest extent possible. Our primary goal in GSA AAS is to improve our capacity to support more SBIR/STTR and other innovation types of awards. We want to be a reliable, efficient source of AAS support to these important programs. Our primary goal with RIO is to improve Government-wide access to innovative business concerns for SBIR/STTR Phase III solutions.

78. Interested in learning more about SBIR contract management

Contract management is pretty much the same for SBIR contracts as for other contracts. The only real difference for SBIR contracts is the governance and some aspects of the pre-award process. If you are looking for more information contact us at gsasbir-sttr@gsa.gov and someone will follow-up with you.

79. Where do you see the SBIR program in 20 years?

Considering that Congress has never made the program permanent, it is difficult to speculate that far out. With recent changes to our national security strategy and concerns about technological superiority, it is reasonable to expect that the SBIR program or something very similar will remain in existence.

80. We were awarded a Phase III contract however the option years are not being exercised however looking for a customer to take it over. We have government customers wanting to fund the options however they are not a PMO and cannot take over the Phase III OY1/2 contract. Is this something AAS could take over?

Potentially. Situations such as this must be addressed on a case by case basis. The inquirer has already reached out to us and we are engaging directly on this topic.

81. Do you always work on East Coast time?

We have offices located in several time zones. We also support work around the world. We are experienced at successfully managing contracts despite time zone differences.

82. Why is HUBZone participation so low?

This is a question better addressed by the Participating Agencies if the concern is why there aren't more HUBZone Phase I/II awardees. For GSA AAS work, we support Federal customers for SBIR/STTR work. While we embrace the importance of participation by socioeconomic categories, we serve a Federal customer. If AAS is awarding Phase I/II contracts we engage after selections are made and we award to the selectees. If we are awarding Phase III contracts, the client has a desired SBIR firm in mind and we award the Phase III to that firm.

83. Can a small business obtain a Phase III contract without going through the Phase I and Phase II?

No. Phase III work must derive from, extend, or complete Phase I and/or Phase II work. There is one exception. A company can become a “successor in interest” by purchasing the developer’s SBIR-developed technology and all associated rights. In this case, the successor in interest did not participate in Phase I or II but is now entitled to Phase III contracts and rights.

84. Do most Phase III’s involve manufacturing or software?

The breadth of SBIR/STTR technology is quite extensive. GSA Phase IIIs have delivered hardware, software, analysis capabilities, decision support tools, virtual reality training aids, and other products and services.

85. If we have a MAJCOM who wants a Phase III capability, but lacks funding, does GSA help match requirements to other funding sources in order to generate a new Phase III that "extends, derives, or completes, prior Phase III scope?

No. The small business is primarily responsible for finding buyers for Phase III work. GSA will award an IDIQ contract to facilitate streamlined ordering in the future but GSA does not match requirements to funding sources. If the MAJCOM or the small business has a different Government source with funding, then AAS can most likely arrive at a workable solution but GSA is focused on awarding and managing contracts for inquirers who have both requirements and funding.

86. What is the name of the tool that can assist small businesses with gathering award info for SBIR/STTR?

Please go to www.sbir.gov/reports for access to Phase I and II data.

87. We have completed a first Phase II and are about to start a second Phase II for a single topic. It feels too early to start the Phase III process now, but when would be the right time to start?

The right time to start a Phase III is as soon as you have a buyer who will spend non-SBIR/STTR funds on work that derives from, extends or completes work funded on one or more Phase I/II efforts. You can have a Phase II and a simultaneous Phase III doing similar work. The difference is in how they are funded.