

## **Department of the Navy SBIR/STTR Program Instructions for Phase I Volume 2: Technical Volume**

These instructions and template apply only to Department of the Navy (DON) Small Business Innovation Research/Small Business Technology Transfer (SBIR/STTR) topics and provide the information required to complete the Phase I Technical Volume. DON participation in the program is through the DoD SBIR/STTR Broad Agency Announcement (BAA).

The template (beginning on the following page) is the format model that shall be used to prepare the Technical Volume. Do not include the instructions on this page or any bracketed [ ] guidance in the template.

**Disclosure.** Offerors that include in their proposals data that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall:

(1) Mark the first page of each Volume of the Submission with the following legend:

"This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed-in whole or in part-for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this offeror as a result of-or in connection with-the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages [insert numbers or other identification of sheets]"; and

(2) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this page is subject to the restriction on the first page of this volume."

**Format.** The following MUST BE MET or the proposal will be deemed noncompliant and will be **REJECTED**.

- **Technical Volume.** Technical Volume shall meet the following requirements:
  - Not exceed **20** pages; files exceeding 20 pages, regardless of page content, will be **REJECTED**
  - Single column format, single-spaced typed lines
  - Standard 8 ½" x 11" paper
  - One-inch margins
  - No type smaller than 10-point
  - No imbedded tables, figures, images or graphics smaller than 10-point
  - No letters smaller than a single page
  - Data Rights Assertions, if required, should be provided in the table format required by DFARS 252.227-7013(e)(3) and be included in the 20-page Technical Volume limit
  - Include, within the **20-page limit**, an Option that furthers the effort and will bridge the funding gap between the end of the Phase I and the start of the Phase II. Tasks for both the Base and the Option shall be clearly identified.

**Section Length Guidance.** Each section in the template includes a suggested length for that section. This guidance is provided only to give an indication of the overall importance of each section – not absolute lengths for each section.

The template for Volume 2 Technical Volume begins on the following page. Delete this instruction page and begin the Technical Volume with the following page.

**[Template]**

**Volume 2: Technical Volume**

[Remove the disclosure statement below if not applicable to your proposal. Refer to Instructions.]

This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed-in whole or in part-for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this offeror as a result of-or in connection with-the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages <insert numbers or other identification of sheets>.

**1. Identification and Significance of the Problem or Opportunity.**

[Define the specific technical problem or opportunity addressed and its importance.

(one page)]

**2. Phase I Technical Objectives.**

[Enumerate the specific objectives of the Phase I work, including the questions the research and development effort will try to answer to determine the feasibility of the proposed approach.]

**3. Phase I Statement of Work (include Subcontractors and/or Research Institutions).**

(a) [Provide an explicit, detailed description of the Phase I approach. For the Phase I Option, describe appropriate research activities that would commence at the end of Phase I should the DON elect to exercise the Option. The Statement of Work should indicate what tasks are planned, how and where the work will be conducted, a schedule of major events, and the final product(s) to be delivered. The Phase I effort should attempt to determine the technical feasibility of the proposed concept. The methods planned to achieve each objective or task should be discussed explicitly and in detail. This section should be a substantial portion of the Technical Volume.

(b) **Due to the short timeframe associated with Phase I, the DON does not recommend the submission of Phase I proposals that require the use of Human Subjects, Animal Testing, or Recombinant DNA.** Some topics may be identified by the Program Manager as research or activities involving Human/Animal Subjects and/or Recombinant DNA. In the event that Phase I performance includes performance of these kinds of research or activities, please identify the applicable protocols and how those protocols will be followed during Phase I. Please note that funds cannot be released or used on any portion of the project involving human/animal subjects or recombinant DNA research or activities until all of the proper approvals have been obtained. (see DoD SBIR/STTR BAA Preface, Sections 4.7 – 4.9).

(Objectives and Statement of Work – sections 2 and 3, 10-12 pages)]

**4. Related Work.**

[Describe significant activities directly related to the proposed effort, including any conducted by the principal investigator, the proposing firm, consultants, or others. Describe how these activities interface with the proposed project and discuss any planned coordination with outside sources. The Technical Volume must persuade evaluators of the proposer's awareness of the state of the art in the topic. Describe any previous work not directly related but similar to the

[Remove this statement if not applicable.] Use or disclosure of data contained on this page is subject to the restriction on the first page of this volume.

proposed effort. Provide the following: (1) a short description, (2) the client for which work was performed (including the individual to be contacted and phone number), and (3) date of completion.

(one page)]

### **5. Relationship with Future Research or Research and Development.**

- (a) [State the anticipated results of the proposed approach if the project is successful.
- (b) Discuss the significance of the Phase I effort in providing a foundation for a Phase II research or research and development effort.
- (c) Identify the applicable clearances, certifications and approvals required to conduct Phase II testing. Outline the plan for ensuring timely completion of stated authorizations in support of a Phase II research or research and development effort.

(half page)]

### **6. Commercialization Strategy.**

[Describe the strategy for commercializing this technology in DoD, other Federal Agencies, and/or private sector markets. Provide specific information on the market need the technology will address and the size of the market. Also include a schedule showing the quantitative commercialization results from this project that your firm expects to achieve.

(one to two pages)]

### **7. Key Personnel.**

[Identify key personnel who will be involved in the Phase I effort including information on directly related education and experience. A concise technical resume of the principal investigator, including a list of relevant publications (if any), must be included. (Please do not include Privacy Act Information.) All resumes will count toward the applicable page limitation.]

**[Investigator Name]**

**[School, Degree, Year]**

#### **Relevant Experience**

[A concise description of the investigator's relevant technical experience and its application to this topic.]

#### **Relevant Awards**

[List any awards received for work related to this topic.]

#### **Relevant Publications**

[List any publications relevant to this topic.]

[Repeat this format as necessary to address the qualifications of all key personnel.]

### **8. Foreign Citizens.**

[Identify any foreign nationals or individuals holding dual citizenship expected to be involved on this project as a direct employee, subcontractor, or consultant. For these individuals, please

specify, in the table below, their countries of origin, type of visa or work permit under which they are performing, and an explanation of their anticipated level of involvement on this project. Note: Offerors often incorrectly assume that all individuals with dual citizenship or a work permit will be permitted to work on SBIR/STTR projects and fail to identify them. As a reminder, firms must report any and all individuals who are considered foreign nationals (including dual citizens) as defined in Section 3.5 of the BAA and are expected to be involved in the project. Additional information may be requested during negotiations in order to verify the foreign national's eligibility to participate on the contract. Supplemental information provided in response to this paragraph will be protected in accordance with the Privacy Act (5 U.S.C. 552a), if applicable, and the Freedom of Information Act (5 U.S.C. 552(b)(6)).]

Name [include direct employees, subcontractors, and consultants]	Foreign National (Yes/No)	Country of Origin	Type of Visa or Work Permit	Level of Involvement (Role)

**9. Facilities/Equipment.**

[Describe available instrumentation and physical facilities necessary to carry out the Phase I effort. Justify equipment purchases in this section and include detailed pricing information in Volume 3 Cost Volume (online at DoD). State whether or not the facilities where the proposed work will be performed meet applicable environmental laws and regulations of federal, state, and local Governments for, but not limited to, the following groupings: airborne emissions, waterborne effluents, external radiation levels, outdoor noise, solid and bulk waste disposal practices, and handling and storage of toxic and hazardous materials.

(half page)]

**10. Subcontractors/Consultants.**

[Propose efforts as applicable to either SBIR or STTR as follows:

**SBIR.** Involvement of a university or other subcontractors or consultants in the project may be appropriate. If such involvement is intended, it should be identified and described according to the Cost Breakdown Guidance offered in the DoD SBIR/STTR Program Broad Agency Announcement (BAA). A minimum of two-thirds of the research and/or analytical work in Phase I, as measured by direct and indirect costs, must be carried out by the proposing firm, unless otherwise approved in writing by the Contracting Officer. SBIR efforts may include subcontracts with Federal Laboratories and Federally Funded Research and Development Centers (FFRDCs). A waiver is no longer required for the use of federal laboratories and FFRDCs; however, proposers must certify their use of such facilities in the Volume 1 Proposal Cover Sheet. Subcontracts with other federal organizations are not permitted. Please note that universities cannot publically release information related to Export Controlled/ITAR restricted topics.

**STTR.** Involvement of a research institution in the project is required and the institution should be identified and described according to the Cost Breakdown Guidance offered in the DoD SBIR/STTR Program BAA. A minimum of 40% of the research and/or analytical work in Phase I, as measured by direct and indirect costs, must be carried out by the proposing firm, and a minimum of 30% of the research and/or analytical work in Phase I, as measured by direct and indirect costs, must be carried out by the research institution. STTR efforts may include subcontracts with Federally Funded Research and Development Centers (FFRDCs). A waiver is no longer required for the use of federal laboratories but they do not qualify as a Research Partner; proposers may only subcontract to federal laboratories within the remaining 30% and must certify their use of such facilities in the Volume 1 Proposal Cover Sheet. Subcontracts with other federal organizations are not permitted. Please note that universities cannot publically release information related to Export Controlled/ITAR restricted topics.

(half page)]

### **11. Prior, Current or Pending Support of Similar Proposals or Awards.**

[If a proposal submitted in response to this BAA is substantially the same as another proposal that was funded, is now being funded, or is pending with another Federal Agency or another or the same DoD Component, you must reveal this on the Volume 1 Proposal Cover Sheet and provide the following information:

- a) Name and address of the Federal Agency(s) or DoD Component to which a proposal was submitted, will be submitted, or from which an award is expected or has been received.
- b) Date of proposal submission or date of award.
- c) Title of proposal.
- d) Name and title of principal investigator for each proposal submitted or award received.
- e) Title, number, and date of BAA(s) or solicitation(s) under which the proposal was submitted, will be submitted, or under which award is expected or has been received.
- f) If award was received, provide contract number.
- g) Specify the applicable topics for each proposal submitted or award received.

*Note: If this does not apply, state in the proposal "No prior, current, or pending support for proposed work."*

(half page)]

### **12. Technical Data Rights.**

[Rights in technical data, including software, developed under the terms of any contract resulting from proposals submitted in response to this BAA generally remain with the contractor, except that the Government obtains a royalty-free license to use such technical data only for Government purposes during the period commencing with contract award and ending five years after completion of the project under which the data were generated. This data should be marked with the restrictive legend specified in DFARS 252.227-7018. Upon expiration of the five-year restrictive license, the Government has unlimited rights in the SBIR/STTR data. During the license period, the Government may not release or disclose SBIR/STTR data to any person other than its support services contractors except: (1) For evaluation purposes; (2) As expressly

permitted by the contractor; or (3) For use, release, or disclosure that is necessary for emergency repair or overhaul of items operated by the Government. See DFARS clause 252.227-7018, "Rights in Noncommercial Technical Data and Computer Software – Small Business Innovation Research (SBIR) Program."

If a proposer plans to submit assertions in accordance with DFARS 252.227-7017, those assertions must be identified and assertion of use, release, or disclosure restriction **MUST** be included with your proposal submission. The contract cannot be awarded until assertions have been approved. All assertions will count toward the applicable page limitation.

The following instructions apply to the fields in the table below (Identification and Assertion of Restrictions on the Government's Use, Release, or Disclosure of Technical Data or Computer Software).

- 1) For technical data (other than computer software documentation) pertaining to items, components, or processes developed at private expense, identify both the deliverable technical data and each such item, component, or process. For computer software or computer software documentation identify the software or documentation.
- 2) Generally, development at private expense, either exclusively or partially, is the only basis for asserting restrictions. For technical data, other than computer software documentation, development refers to development of the item, component, or process to which the data pertain. The Government's rights in computer software documentation generally may not be restricted. For computer software, development refers to the software. Indicate whether development was accomplished exclusively or partially at private expense. If development was not accomplished at private expense, or for computer software documentation, enter the specific basis for asserting restrictions.
- 3) Enter asserted rights category (e.g., government purpose license rights from a prior contract, rights in SBIR data generated under another contract, limited, restricted, or government purpose rights under this or a prior contract, or specially negotiated licenses).
- 4) Corporation, individual, or other person, as appropriate.
- 5) Enter "none" when all data or software will be submitted without restrictions.]

**Identification and Assertion of Restrictions on the Government's Use, Release, or Disclosure of Technical Data or Computer Software**

*The Offeror asserts for itself, or the persons identified below, that the Government's rights to use, release, or disclose the following technical data or computer software should be restricted:*

Technical Data or Computer Software to be Furnished with Restrictions <sup>1</sup>	Basis for Assertion <sup>2</sup>	Asserted Rights Category <sup>3</sup>	Name of Person Asserting Restrictions <sup>4</sup>
[(LIST)] <sup>5</sup>	[(LIST)]	[(LIST)]	[(LIST)]

[Completion of this table and submission of the proposal constitutes signature for the information listed in the table above.]