**Department of the Navy SBIR/STTR Programs**

**Instructions and Template**

**Volume 2: Technical Volume**

These instructions and template apply only to Department of the Navy (DON) Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) topics and provide the information required to complete the Phase I Technical Volume (Volume 2). DON participation in the program is through the DoD SBIR/STTR Broad Agency Announcement (BAA).

The template (beginning in the next section titled Volume 2: Technical Volume) is the format model that must be used to prepare the Technical Volume. Proposal sections not included in this template, as identified in the DoD BAA, are included in the DON Supporting Documents (Volume 5) available at <https://navysbir.com/links_forms.htm>. DON will not be using any of the information in Volume 5 during the evaluation.

**Do not include these instruction pages or any bracketed [ ] guidance in the template**.

**Disclosure**. Proposers 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, must:

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

"This proposal includes data that must not be disclosed outside the Government and must 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 proposer as a result of-or in connection with-the submission of this data, the Government has 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 may be REJECTED.

* **Technical Volume.** Technical Volume (Volume 2) must meet the following requirements:
  + Not to exceed **10** pages, regardless of page content
  + Single column format, single-spaced typed lines
  + Standard 8 ½” x 11” paper
  + Page margins one-inch on all sides. A header and footer may be included in the one-inch margin.
  + No font size smaller than 10-point\*
  + Include, within the **10-page limit of Volume 2**, an Option that furthers the effort in preparation for Phase II and will bridge the funding gap between the end of Phase I and the start of Phase II. Tasks for both the Phase I Base and the Phase I Option must be clearly identified.

\*For headers, footers, listed references, and embedded tables, figures, images, or graphics that include text, a font size smaller than 10-point is allowable; however, proposers are cautioned that the text may be unreadable by evaluators.

Any and all content in the Technical Volume will count toward the **10-page limit**. Any Technical Volume file exceeding 10 pages, regardless of page content, will be deemed noncompliant and the proposal will be REJECTED.

The template for Volume 2: Technical Volume begins on the following page. Delete these instruction pages 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 must not be disclosed outside the Government and must 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 proposer as a result of-or in connection with-the submission of this data, the Government has 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>.

**1.0 Description of Proposed Phase I Technical Effort**

[This section must demonstrate an understanding of the Navy requirement described in the topic and present the technical approach. Describe the innovation to solve the Navy problem.]

**1.1 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.]

**1.2 Phase I (Base and Option) Statement of Work**

[Provide a proposed statement of work (SOW) that succinctly and concisely indicates 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 outline an approach to demonstrate the technical feasibility of the proposed concept. Table provided as optional format.

**Due to the short timeframe associated with Phase I, DON will NOT accept submission of Phase I proposals that require the use of Human Subjects, Animal Testing, or Recombinant DNA. If applicable, approvals can be planned for in the Phase I Option to execute in a Phase II award.** 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 performance of these kinds of research or activities needs to occur, please identify the applicable protocols in the Phase I Option and how those protocols will be followed during the Phase II award. 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).]

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| **SOW** | | | |
| **Task No.** | **Title** | **Description** | **Performer or Subcontractor** |
|  | *[Brief Task Title]* | *[Succinctly and concisely describe the work to be completed in the task.]* | *[Identify company or consultant.]* |
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**1.3 Related Work.**

[Briefly describe significant activities directly related to the proposed effort, including any related work conducted by the principal investigator, the proposing firm, consultants, or others. Describe how this work interfaces with the proposed project and discuss any planned coordination with outside sources.]

**2.0 Key Personnel**

[Identify the Principal Investigator (PI), and any other key personnel, including direct employees, subcontractors or consultants, who will be involved in the Phase I effort. Table provided as optional format. For any Foreign Nationals, complete Foreign Citizens table as specified in Supporting Documents Volume 5. Please do not include Privacy Act Information.) All resumes will count toward the applicable page limitation.]

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **KEY PERSONNEL SUMMARY** | | | | |
| **Name and Title** | **Employer** | **Qualifications** | **\*Foreign National**  **(Y/N)** | **Publications** |
| *[Name*  *Title]* | *[Identify the person’s employer (company or consultant).]* | *[Briefly summarize qualifications directly related to this effort (include education and work experience).]* |  | *[List the individual’s most recent and relevant publications directly related to this effort.]* |
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[\*RESTRICTION ON PERFORMANCE BY FOREIGN NATIONALS (i.e., those holding non-U.S. Passports): If the topic for the Phase I work is “ITAR Restricted”, the information and materials provided pursuant to or resulting from this topic are restricted under the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120 - 130, which controls the export of defense-related material and services, including the export of sensitive technical data. Foreign Nationals may perform work under an award resulting from this topic only if they hold a “Permanent Resident Card”, or are designated as “Protected Individuals” as defined by 8 U.S.C. 1324b(a)(3). If a proposal for an ITAR restricted topic contains participation by a Foreign National who is not in one of the above two categories, the proposal may be rejected. PROVIDE DETAILS ON FOREIGN NATIONALS IN VOLUME 5.]

**3.0 Commercialization/Transition Plan Summary**

[Describe the strategy for commercializing this technology in DoD, other Federal Agencies, and private sector markets. Transition to Phase III, into acquisition, and to Navy use are Navy goals. Provide specific information on the market need the technology will address and the size of the market.]

1. **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.]

**5.0 Letters of Support**

[Letters of support may be included in the technical volume (Volume 2) within the 10-page limit and must be sized so they are legible; letters not legible will not be evaluated.]