

1. Identification and Significance of Phase I Work.

Summarize Phase I efforts and the actual and/or anticipated results.

2. Phase II Technical Objectives.

Enumerate the specific objectives of the Phase II work. Clearly distinguish between the objectives of the basic Phase II and those of the Phase II option.

3. Phase II Work Plan.

This section should comprise the major portion of the technical proposal and should propose an advancement over the Phase I results appropriate for Phase II. This section must include a proposed statement of work to delineate clearly and unambiguously what the offeror proposes to do and deliver for the basic effort and any option(s).

The proposed statement of work should describe, in chronological order, each task to be performed. Each task description should include: an explanation of the work to be performed, the expected product of the task (report, hardware, etc.), the roles (if any) of subcontractors and/or consultants, the use of materials, software, special equipment, special tooling, etc. in the performance of the task, the period of performance in days and the number of hours to be allocated to the task by the principal investigator and other principal personnel (by name), other personnel (by labor category) and subcontractors and/or consultants (by name).

Logical technical "milestone(s)" should be scheduled to allow the government to assess progress and to consider the exercise of any negotiated option(s).

4. Related Work.

This section should demonstrate the offeror's awareness of the state-of-the art and relevant concurrent efforts. Describe significant activities, including any conducted by the principal investigator, the proposing firm, consultants, and others. Describe how these activities relate to the proposed effort, and discuss any planned coordination with outside sources.

5. Relationship with Future Research or Research and Development.

This section should describe the results and opportunities anticipated if the proposed approach is successful. Explain how the Phase II effort will provide a foundation for follow-on R&D.

6. Potential Post Research or Research and Development Applications.

This section should describe potential naval, defense, government and private sector applications of the anticipated results.

7. Key Personnel.

Identify key personnel who will be involved in the Phase II effort, including information about education and experience directly related to the topic. Identify any foreign citizens you expect to be involved on this project as direct employees, subcontractors or consultants. For these individuals, please specify the country of origin, the type of visa or work permit under which they are performing and an explanation of the anticipated level of involvement on this project. Resumes should not exceed one page each.

INVESTIGATOR NAME	FOREIGN CITIZEN (YES/NO)	COUNTRY OF ORIGIN	TYPE OF VISA OR WORK PERMIT	LEVEL OF INVOLVEMENT (ROLE)

8. Facilities/Equipment.

Describe available instrumentation and physical facilities necessary to carry out the Phase II effort. Items of equipment to be leased or purchased (as detailed and priced in the cost proposal for the base award and option(s)) must be justified under this section. Also state whether the facilities where the proposed work will be performed meet environmental laws and regulations.

9. Subcontractors/Consultants.

Involvement of a university or other subcontractors or consultants may be appropriate. Describe here any proposed use of consultants and/or subcontractors priced in the cost proposal. Clearly identify the nature of work and level(s) of effort to be performed by consultants and/or subcontractors for the basic effort and/or option(s). Describe their qualifications and provide resumes for key consultants and/or subcontractor personnel, as required. Resumes should not exceed one page each.

10. Prior, Current or Pending Support of Similar Proposals or Awards.

If a proposal submitted in response to this solicitation is substantially the same as another proposal that has been funded, is now being funded or is pending with another federal agency or DoD component or the same DoD component, the proposer must so indicate on the proposal cover sheet and provide the following information:

- a) Name and address of the federal agency(s) or DoD component to which the proposal was submitted, or will be submitted, or from which an award is expected or has been solicited;
- b) Date of award or date of proposal submission;
- c) Title of proposal;
- d) Name and title of principal investigator;
- e) Issuing agency, title, number and date of solicitation(s) under which the proposal was submitted;
- f) If an award was received, state the contract or grant number;
- g) Identify the topic number and title for each SBIR proposal submitted and award received; and
- h) Attach available documentation of strong third-party interest (including specific funding commitments). These attachments will be treated as proprietary if so marked.

Note: If DoD SBIR Program Solicitation Section 3.5(b)(10) does not apply, state in the proposal "No prior, current or pending support for proposed work."

11. Transition Plan.

This plan should be updated as Phase II work progresses. It will be reviewed by the appropriate TPOCs and SBIR PMs as a factor in continuing base efforts and the exercising of options.

Provide a cover sheet, two to five pages of narrative and attachments as follows:

11.1. Transition Plan Cover Sheet.

- Firm name and address;
- Topic number, proposal title;
- Contact information for principal investigator and corporate official (phone number and e-mail);
- Phase I contract number, name of Government Technical Monitor;
- Phase I SYSCOM Sponsor; and
- Phase I Acquisition Sponsor.

11.2 Narrative.

- Product/Technology Description (one to three pages).

Briefly describe the proposed Phase II project and objectives and the product or service expected to result from a Phase III effort. Include:

- Summary of Phase I work/results;
- Potential benefits of proposed technology;
- Potential issues and risks (cost, schedule, technical, manufacturability, etc.); and
- Summary of proposed Phase II work.
- DoD Customer Identification and Need (half to one page).

Identify the customer and the requirements for this technology. The response should demonstrate an understanding of the intended customer, how this technology would fulfill a specific customer need and how the technology might ultimately be delivered to the customer as a result of commercialization by the Navy, another government entity or the private sector.

- Company History (half to one page).

Provide a brief overview of the company's history, core competencies and experience with commercialization and/or transition of technology to DoD. Indicate the number of employees in the firm, their skill base and your organizational structure. If partnering is not anticipated, indicate why the company would be a credible supplier to the Navy. Describe experience to date with being a supplier of products/services to any market and, as appropriate, indicate the cumulative revenues that have resulted from product sales.

11.3 Attachments.

Attach letters of endorsement from within the DoD or from the private sector that discuss the direct benefit of the technology to the agency(s) and/or their intent of follow-on funding either during Phase II or Phase III. Letters of endorsement are strongly encouraged and provide validation of interest by others.

12. Resumes for Key Personnel

PRINCIPAL INVESTIGATOR:

TEAM MEMBERS: (Please list)

INVESTIGATOR NAME

School, Degree, Year

RELEVANT EXPERIENCE

Please provide a concise description of the investigator's relevant technical experience and its application to this topic.

RELEVANT AWARDS

Please list any awards received for work related to this topic.

RELEVANT PUBLICATIONS

Please list any publications relevant to this topic.

(Repeat this format as necessary to address the qualifications of all key personnel)