

Template for Volume Two: Technical Proposal

Marking Proprietary Proposal Information

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."

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 (including Subcontractors' Efforts).

- (a) Provide an explicit, detailed description of the Phase I approach. If a Phase I option is required or allowed by the Component, describe appropriate research activities which would commence at the end of Phase I should the Component 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 section.
- (b) **Due to the short timeframe associated with Phase I of the SBIR process, the Navy does not recommend the submission of Phase I proposals that require the use of Human Subjects, Animal Testing, or Recombinant DNA.** This solicitation may contain topics that have been 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 2013.1 SBIR Solicitation Sections 4.7 – 4.9).

(Objectives and Statement of Work, 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 reviewers of the proposer's awareness of the state-of-the-art in the specific topic. Describe previous work not directly related to the proposed effort but similar. 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 and outline the plan for ensuring timely completion of said authorizations in support of Phase II research or research and development effort. (half page)

6. Commercialization Strategy.

Describe in approximately one page your company's 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 SBIR project that your company 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.

(format for brief resume)

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)

8. Foreign Citizens.

Identify any foreign citizens or individuals holding dual citizenship expected to be involved on this project as a direct employee, subcontractor, or consultant. For these individuals, please specify their country of origin, the type of visa or work permit under which they are performing and an explanation of their anticipated level of involvement on this project. You may be asked to provide additional information during negotiations in order to verify the foreign citizen's eligibility to participate on a SBIR 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)).

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 the cost volume. State whether or not the facilities where the proposed work will be performed meet environmental laws and regulations of federal, state (name), 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.

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](#). 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 on the Cover Sheet of the proposal. Subcontracts with other federal organizations are not permitted. (half page)

11. 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 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 Proposal Cover Sheet and provide the following information (half page):

- 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 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, state contract number.
- g) Specify the applicable topics for each SBIR proposal submitted or award received.

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