

Title: SBIR/STTR Phase II Initial Proposal Instructions

The Phase II Initial Proposal provides the technical and cost information the contractor is required to submit for consideration for selection as part of the Phase II competitive evaluation process. Submission of the Phase II Initial Proposal is optional.

The purpose of the Phase II Initial Proposal is to provide a concise summary of the firm's objectives, work plan, related research, key personnel, transition plan, and estimated costs for Phase II sufficient to allow selection for Phase II participation.

Requirements:

1. **Title page.** The title page shall contain the following:
 - 1.1 **Title.** The Project Title of the work being performed.
 - 1.2 **SBIR/STTR Topic Number.** The topic number under which the proposal was submitted.
 - 1.2 **Phase I Contract Number.** The contract number of the Phase I award.
 - 1.3 **Name of Contractor.** The name and address of the contractor submitting the proposal.
 - 1.4 **Proposal Number.** The contractor's assigned proposal number.
 - 1.5 **Contract Period.** The proposed beginning and end dates of the base contract and option.
 - 1.6 **Estimated Contract Amounts.** The rough cost estimate totals for the base contract and each option proposed.
 - 1.7 **Subcontracts/Consultants.** The name of any subcontractors/consultants included in the proposal.
 - 1.8 **Key Person.** The Principal Investigator and his/her contact information.
 - 1.9 **Corporate Official.** The business official to be contacted responsible for the proposal and his/her contact information.
 - 1.10 **Proposal Date.** The date the proposal was prepared.
 - 1.11 **Preparer.** The name and contact information for the person who prepared the report.
 - 1.12 **TPOC.** Technical point of contact to whom proposal is submitted.

1.2 Paper/Font size. The proposal shall be on 8 ½ x 11 inch paper with 1 inch margins (including header and footer) and be written in Times New Roman 12 point font.

1.3 File Format. The proposal shall be uploaded as a single Adobe .pdf file.

1.4 Non-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 the proposal 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 proposal."

The DoN assumes no liability for disclosure or use of unmarked data and may use or disclose such data for any purpose.

Restrictive notices notwithstanding, proposals and final reports submitted through the DoN electronic submission website may be handled, for administrative purposes only, by support contractors. All support contractors are bound by appropriate non-disclosure agreements.

2. Contents. When appropriate, specific references may be made to the Phase I Final Report. References to documents other than the Phase I Final Report will be ignored. The total page limit for sections 2.2 through 2.6 is 10 pages. The only information not included in the 10 page limit is the title page listed in section 1, the Table of Contents required in section 2.1, and the rough cost estimate listed in section 2.7. Additionally, the contractor may attach letters of endorsement from Prime Contractors and/or Government Acquisition Program Managers indicating an interest your technology. Any letters of endorsement will not count against the 10 page limit. Any other attachments or information outside the 10 page limit will not be considered in evaluation of the proposal. The proposal shall contain the following:

2.1 Table of Contents.

2.2 Phase II Technical Objectives. Identify specific research objectives for this project. Explain how these objectives are designed to solve the research problem addressed by the topic and represent an advancement over the work completed in Phase I. Clearly distinguish between the objectives of the base Phase II and those of any Phase II option(s). This section is generally expected to require about ½ page.

2.3 Work Plan. This section 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, major tasks 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.), an explanation of the challenges and risks involved, 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 option(s). This section should conclude with a Project

Summary Chart that lists each major task by task number in chronologic order by start date with start and end dates, and total estimated CPFF amounts projected across the proposed period of performance in increments of not less than quarters of years. This section is generally expected to require about 4 pages.

2.4 Related Research. Describe significant activities directly related to the proposed effort, including any conducted by the principal investigator, the proposing firm, consultants, or others. Provide the following: (1) short description, (2) client for which work was performed (including individual to be contacted and phone number), and (3) date of completion.

Describe previous work not directly related to the proposed effort but similar. Describe how these activities interface with the proposed project and discuss any planned coordination with outside sources.

The proposal must persuade reviewers of the proposer's awareness of the state-of-the-art in the specific topic. This section is generally expected to require about ½ page.

2.5 Key Personnel. Identify Principal Investigator (PIs) and key personnel who will be involved in the Phase II effort, including information about education and experience directly related to the research to be performed. Resumes for the PI and up to three (3) key personnel shall be submitted. These resumes are limited to 1 page each.

Identify any foreign nationals 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. Section 3.5 shall not exceed 1 page (excluding resumes).

2.6 Commercialization/Transition Plan. Describe your company's strategy for commercializing this technology. This section is generally expected to require about 1 page.

2.6.1 Identify the customer and the requirements for this technology. Address the following questions:

- Who is the Navy customer(s) for this project? Provide specific Navy/DoD platforms or programs and include points of contact if you have them.
- What are the Navy-defined needs being addressed and the quantified operational gaps?
- What approach does the Navy currently use to address this need and what benefit does your technology have over other approaches?
- What types of tests and demonstrations will be required before the technology will be approved for use on these platforms or programs?

2.6.2 Describe the resources required for transitioning the technology into the DoD and where you think the resources will come from. Include the financial, personnel, and facility requirements to manufacture and test the product/technology prototype and the requirements to achieve full-scale production. Describe the approach that you will take to obtain (non SBIR/STTR) funding to move your technology through subsequent Technology Readiness

Levels and to achieve technology insertion. Indicate the role you would ideally like to play in the transition of this technology to the fleet/forces.

3.6.3 Identify potential sales to the private sector in terms of sales revenue from new products and non-R&D services resulting from Phase II technology and additional investment from sources other than the federal SBIR/STTR Program in activities that further the development and/or commercialization of the Phase II technology.

2.7 Estimated Costs. Provide a rough cost estimate for the Phase II work plan broken down as follows:

(This section has no page limits)

1. *Direct Labor.* Provide the total estimated amount proposed for the base period and each option (if any).
2. *Consultants/Subcontractors.* List consultants/subcontractors by name and provide the total estimated amount proposed for the base period and each option (if any).
3. *Special tooling, testing, test equipment, and material.* Provide the total estimated amount proposed for the base period and each option (if any).
4. *Travel and Other Direct costs.* Travel (i.e. airfares, car rental and per diem) should specify how many people will travel to what places for how many days if not specified in the work plan. Please note that all Phase II award winners must attend a one-day Transition Assistance Program (TAP) meeting in the Washington D.C. area during the second year of the Phase II effort. Provide the total estimated amount proposed for the base period and each option (if any).
5. *General & Administrative (G&A).* Provide your G&A rate(s) and its application base along with the total estimated amount proposed for the base period and each option (if any).
6. *Facility Capital Cost of Money (FCCM).* If applicable, provide your FCCM rate(s) and its application base along with the total estimated amount proposed for the base period and each option (if any).
7. *Fixed Fee/Profit.* If applicable, include the proposed fixed fee/profit rate along with the total estimated amount proposed for the base period and each option (if any).

The following table should be used to complete the cost proposal with additional lines and option columns added as needed and items not included in the proposal marked as N/A. Refer to <http://www.navysbir.com/phaseii.htm> for the appropriate SYSCOM phase II award structure."

Item- Details	Est. Base Amount	Est. Option Amount	Total Est. Amount Base + Option
Direct Labor			
Subcontracts/Consultants			
Special Tooling/Test Equipment/Material			
Travel & ODCs			
Subtotal			
G&A			
FCCM			
Total Est. Costs			
Fee/Profit			
Total Est. Costs Plus Fee/Profit			

