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

**Instructions for Direct to Phase II - Phase I Feasibility Submission**

**Volume 2: Technical Volume**

These instructions and template apply only to Department of the Navy (DON) Small Business Innovation Research (SBIR) Direct to Phase II (DP2) topics and provide the information required to complete the Phase I Feasibility Proposal. DON participation in the program is through the DoD SBIR/STTR Broad Agency Announcement (BAA).

The template is the format model that should be used to prepare the Phase I Feasibility Proposal (Technical Volume, Volume 2). Do not include the instructions on this page 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."

**The DON SBIR DP2 is a two-step process.**

STEP ONE: Prepare and Submit a Phase I Feasibility Proposal. The purpose of thePhase I Feasibility Proposal is for the firm to provide documentation to substantiate that both Phase I feasibility and the scientific and technical merit described in the topic have been met. The Phase I Feasibility Proposal must: demonstrate that the firm performed Phase I-type research and development (R&D) and provide a concise summary of Phase II objectives, work plan, related research, key personnel, transition/commercialization plan, and estimated costs. Feasibility documentation MUST NOT be solely based on work performed under prior or ongoing federally funded SBIR/STTR work. The government will evaluate Phase I Feasibility Proposals and select firm to submit a Full DP2 Proposal. Demonstrating proof of feasibility is a requirement for a DP2 award. The firm must submit a Phase I Feasibility Proposal to be considered for selection to submit a Full DP2 Proposal.

STEP TWO: If selected, the cognizant SYSCOM Program Office will contact the firm directly to provide instructions on how to submit a Full DP2 Proposal.

**Eligibility.** Each proposing firm must:

* + Have demonstrated feasibility of Phase I-type R&D work
  + Have submitted a Phase I Feasibility Proposal for evaluation
  + Meet Offeror Eligibility and Performance Requirements as defined in section 4.2 of the DoD SBIR/STTR Program BAA
  + During the Phase II award, primary employment of the principal investigator (PI) must be with the firm at the time of award and during the conduct of the proposed project. Primary employment means that more than one-half of the PI’s time is spent in the employ of the firm
  + Register in the System for Award Management (SAM) as defined in section 4.14 of the DoD SBIR/STTR Program BAA. To register, visit <https://beta.sam.gov>.

**Format.** Technical Volume (Volume 2) must meet the following requirements:

* + Content is responsive to evaluation criteria as specified in DoD SBIR/STTR Program BAA section 6.0
  + Not to exceed **30** 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\*

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

**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 (Phase I Feasibility) 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 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>.

**PHASE I PROOF OF FEASIBILITY [NTE 20 pages]**

1. **Introductory Statement.**

[A declaration that the prior work submitted proving Feasibility WAS NOT solely based on work performed under prior or ongoing federally funded SBIR/STTR work; identify sources of funding.]

1. **Phase I Proof of Feasibility.**

[Proposers must describe work performed that substantiates Phase I feasibility as described in the Phase I topic. Proposers must also provide documentation to substantiate that the Phase I feasibility WAS NOT solely based on work performed under prior or ongoing federally funded SBIR/STTR work.

Documentation should include all relevant information including, but not limited to: technical reports, test data, prototype designs/models, and performance goals/results. Prior work to demonstrate feasibility must meet the minimum technical and scientific merit specified in the Phase I description of the topic.

Work submitted within the feasibility documentation must have been substantially performed by the proposer and/or the principal investigator (PI).]

1. **Commercialization Potential/Transition Plan Summary**

[Briefly describe the proposed business strategy for transitioning from Phase II through final development and into acquisition, as well as the product or service expected to result from a Phase III effort. Identify the customer and the requirements for this technology. Questions to consider in your transition plan are:

* + Who is the DON customer(s) for this project? Provide specific DON/DoD platforms or programs and include points of contact if available.
  + What are the DON-defined requirements being addressed and the quantified operational gaps?
  + What approach does the DON currently use to address this requirement 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?
  + Other than DON or DoD, what potential commercial uses of the product or underlying technologies exist?

The transition plan should be updated as Phase II work progresses and will be reviewed by the appropriate Subject Matter Experts and SBIR Program Managers as a factor in continuing Base efforts and exercising Option(s).]

**SNAPSHOT OF PROPOSED PHASE II EFFORT [NTE 10 pages]**

1. **Description of Proposed DP2 Technical Effort and Objectives**

[Provide the evaluator with an understanding of how the firm plans to execute the proposed Phase II technical effort. Enumerate the specific objectives of the proposed Phase II work. Explain how these objectives are designed to solve the research problem addressed in the topic and represent advancement over the work completed in the Phase I-type/feasibility effort. Clearly distinguish between the objectives of the Phase II Base period and those of the Phase II Option.]

1. **Direct to Phase II Work Plan**

[Include a proposed statement of work (SOW) that clearly describes proposed tasks and deliverables for the Phase II Base period and the Phase II Option. This section should comprise the major portion of the technical proposal.

The proposed SOW should describe, in chronological order, major tasks to be performed. Each task description should include an explanation of: 1) the work to be performed; 2) the expected product of the task (report, hardware, etc.); 3) the roles (if any) of subcontractors and/or consultants; and 4) the use of materials, software, special equipment, special tooling, etc. in the performance of the task.

Technical "milestones" should be scheduled to provide the government insight into expected progress and to consider for the exercise of any negotiated options.]

1. **Key Personnel**

[Resumes should be submitted for the Principal Investigator and up to 4 additional individuals. Resumes are limited to one page per person, and should be limited to only information relevant to the work to be performed under the project.

Use the table below to identify the Principal Investigator (PI), co-Principal Investigators (Co-PI), and any other key personnel, including direct employees, subcontractors or consultants, who will be involved in the Phase II effort. 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)).]

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Key Personnel Summary** | | | | |
| **Name** | **Role/Title** | **Foreign National**  **(Y/N)** | **Prime, Subcontractor or Consultant** | **Level of Involvement for Phase II**  **(% of Time)** |
| [Example: John Smith] | [Example: Principal Investigator] | [Example: N] | [Example: Prime] | [Example: 60%] |
|  |  |  |  |  |
|  |  |  |  |  |

[For all personnel marked as “Yes” in Foreign National column above, please also complete the following chart, Foreign National Details. During contract negotiations, additional information may be requested in order to verify Foreign National’s eligibility to participate on an SBIR contract. This information, if required, can instead be uploaded to the Supporting Documents Volume, Volume 5. Please see the Navy Direct to Phase II BAA instruction for further information.]

|  |  |  |
| --- | --- | --- |
| **Foreign National Details\*** | | |
| **Name** | **Country of Origin** | **Type of Visa or Work Permit** |
| [Example: Jane Smith] | [Example: Spain] | [Example: Permanent Resident] |
|  |  |  |
|  |  |  |

[\*RESTRICTION ON PERFORMANCE BY FOREIGN NATIONALS (i.e., those holding non-U.S. Passports): If the topic for the Phase II 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.]

1. **Subcontractors/Consultants**

[List all subcontractors and consultants, the task(s) they will be performing, and their qualifications to perform the task(s).]

|  |  |  |
| --- | --- | --- |
| **Subcontractors/Consultants** | | |
| **Subcontractor/Consultant Name** | **Task** | **Qualifications** |
|  |  |  |
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1. **Order of Magnitude Cost Estimate Table**

[Proposers are to include a cost estimate in the Order of Magnitude Cost Estimate Table (example below) within the Technical Volume (Volume 2). Please refer to Table 2 of the Navy DP2 Instruction document for this BAA for guidance on cost and period of performance. Costs for the Base and Option are to be separate and identified on the Proposal Cover Sheet and in the Order of Magnitude Cost Estimate Table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Order of Magnitude Cost Estimate Table** | | | |
| **Line Item - Details** | **Estimated Base Amount** | **Estimated Option Amount** | **Total Estimated Amount**  **Base + Option** |
| Direct Labor (fully burdened) – Prime |  |  |  |
| Subcontractors/Consultants |  |  |  |
| Material |  |  |  |
| Travel & ODC |  |  |  |
| G&A |  |  |  |
| FCCM |  |  |  |
| Fee/Profit |  |  |  |
| TABA (NTE $25K, included in total amount) |  |  |  |
| Total Estimated Costs |  |  |  |