**NAVAIR SBIR/STTR PHASE II FULL PROPOSAL**

**Instructions and Proposal Template**

(Effective November 15, 2021)

This document provides information required for a firm to complete the Technical Volume of an SBIR/STTR Phase II Full Proposal for NAVAIR. The purpose of the SBIR/STTR Phase II Full Proposal is to provide the firm’s objectives, work plan, related research, key personnel, commercialization strategy, and transition plan, to complete the Phase II Evaluation process, which ensures alignment of Phase II expectations between the Government Technical Point of Contact (TPOC) and the firm.

This document contains both Instructions and a Proposal Template. The **Instructions** provide information required to prepare and submit the Phase II Full Proposal while the **Proposal Template** is the template the firm shall use to prepare their proposal. Do not include the **Instructions** or the bracketed [ ] guidance in the **Proposal Template** with the proposal.

**Instructions**

A. During the development of the firm’s Phase II Full Proposal, communication between the TPOC and the firm is not limited so long as the SBIR/STTR Phase II Full Proposal is not being used to compete for Phase II source selections. NAVAIR expects that the use of Phase II Full Proposals for final competition for Phase II source selection will be infrequent.

B. The SBIR/STTR Phase II Full Proposal shall include all sections identified in the template and is limited by the page lengths indicated below:

|  |  |
| --- | --- |
| **Section Name** | **Not to Exceed (NTE) Page Length** |
| Proposal Volumes: |  |
| Volume 1: Proposal Cover Sheet | As required by the DoD proposal submittal website |
| Volume 2: Technical Volume | NTE 40 pages |
| Resumes for Key Personnel | NTE 1 page per person and the resumes are included in the Technical Volume page count |
| Volume 4: Company Commercialization Report | As required by the DoD proposal submittal website |
| Volume 5: Supporting Documents | No page limit |
| 1. Prior, Current, or Pending Support of Similar Proposals or Awards 2. Appropriate Letters of Endorsement 3. Additional Cost Information 4. Technical and Business Assistance (TABA) Justification | See Supporting Documents (Volume 5) Template on Navy SBIR/STTR website: https://www.navysbir.com/links\_forms.htm |
| Navy Phase II Cost Proposal | Per Template on Navy SBIR website |

C. 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.

D. Header. Each page of the proposal and each attachment must have a header that includes the following information:

Phase I Contract Number: <Contract Number of the Phase I Award>

Topic Number: <topic number of the Phase I project>

Firm Name: <Firm’s Name>

E. File Format. The proposal and attachments shall be uploaded to the DoD proposal submittal website as Adobe pdf file(s). The Navy cost volume shall be uploaded as an Excel workbook. **Do not embed the Excel workbook within the Adobe pdf file as this will not be readable once transmitted**.

1. Nondisclosure. Offerors that include data in their proposals 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 restricted data 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."

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

G. Controlled Unclassified Information (CUI). CUI is information that requires safeguarding or dissemination controls pursuant to and consistent with applicable laws, regulations, or government-wide policies. Refer to the **CUI Marking Guidance** (located at [https://navysbir.com/links\_forms.htm#cui](https://no-click.mil/?https://navysbir.com/links_forms.htm#cui)) to determine applicability. CUI markings have been included in this template for ease of use; delete CUI markings if not applicable.

1. Restrictive notices notwithstanding, proposals and final reports submitted through the DoD and DON respectively, electronic submission website may be handled, for administrative purposes only, by support contractors. All support contractors are bound by appropriate non-disclosure agreements.
2. The SBIR/STTR Phase II Full Proposal is required to have at least a base period but may also include separately priced option periods as identified by the Technical Point of Contact (TPOC).
3. Promotional and non-project related discussion is discouraged and additional information provided via Universal Resource Locator (URL) links or on computer disks, CDs, DVDs, or any other medium will not be accepted or considered in the proposal submission. Technical reviewers will base their conclusions only on information contained in the proposal.,
4. Submission.

(1) The NAVAIR SBIR/STTR Phase II Full Proposal documents must be submitted in accordance with the requirements and timelines/deadlines listed in the Invitation email.

(2) Once you have finalized the proposal with the TPOC, you will need to submit your final proposal to the DoD Proposal Submission website at <https://www.dodsbirsttr.mil/submissions/>. If you have questions/concerns with the website, PLEASE contact the help desk listed on the site. Once you submit, please inform NAVAIR per instructions in the Invitation email.

**Note:**

Do not include these **Instructions** with the proposal. Use the **Proposal Template** following this page to complete the NAVAIR SBIR/STTR Phase II Full Proposal but do not include the bracketed [ ] guidance provided in each section.

**[Title Page]**

[The Phase II Full Proposal shall have a Title Page that includes the following information in the format shown:]

**<Firm Name>**

<Address 1>

<Address 2>

<City, State, and Zip>

<Phone>, <Email>

**Corporate Official:**

<Name>

<Title>

<Phone>, <Email>

**Prepared Date:** <Proposal Preparation Date>

**Topic Title:** <SBIR/STTR Topic Title>

**Contract Information:**

Topic No.: <SBIR/STTR Topic No.>

Proposed Period of Performance: <Base plus Options (if proposed)>

Estimated Base Value: <$Base>

Option 1 Value (if proposed): <$Option 1>

Option 2 Value (if proposed): <$Option 2>

**Principal Investigator (PI):**

<Name>

<Phone>, <Email>

**Proposed Subcontractors/Consultants:** <Name of Proposed Subcontractors/Consultants**>**

**SYSCOM:** <Name ofSYSCOM for this proposal>

**NAVAIR Phase I Technical Point of Contact:**

<Name>

<Phone>, <Email>

**Nondisclosure Statement:** <if the firm intends to use a nondisclosure statement (see Instructions, F), add it here>

Controlled by: DON

Controlled by: <SYSCOM> SBIR PMO

CUI Category: <List CUI Category(ies)>

Distribution/Disemination: DISTRO B

POC: <TPOC Name or COR, Phone or email>

# Description of Proposed Phase II Technical Effort

[Address the following sections in this proposal, paying particular attention to the description of the proposed Phase II work plan. This section may include a 1-page summary of topic history (Phase I background, cooperative arrangement, gated proposal efforts, etc.]

## Phase II Technical Objectives

[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 Phase I. Clearly distinguish between the objectives of the Phase II base period and those of any Phase II option(s).]

## Phase II Work Plan

[This section should comprise the major portion of the technical proposal. Include a proposed statement of work (SOW) that clearly describes proposed tasks and deliverables for the base period and any option(s).

1.2.1 Statement of Work (SOW): The proposed SOW 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, software, drawings, etc.); the roles (if any) of subcontractors and consultants; and the use of materials, software, special equipment, special tooling, etc. in the performance of the task.

1.2.2 Deliverables: All SBIR proposals will include periodic progress reports (CDRL A001), and a final report for each period-of-performance (CDRL A002). If the project will include Classified work, then an Operations Security (OPSEC) Plan is required. This section should also include any Hardware/Software (HW/SW) product deliverables along with any specific Design Package documentation, such as design specifications and/or drawings, interface specifications, and user manuals. Product deliverables should be identified for the base period-of-performance and optional period-of-performance(s).

1.2.3 Government Participation: Any assumed government participation necessary to complete the project must be identified. The following sections should be included at a minimum:

1.2.3.1 Government Furnished Property (GFP): GFP includes any physical item that will transfer from a government agency to the vendor for use during the project. Include the government agency that owns the property, specific nomenclature, and justification as to why the property is needed.

1.2.3.2: Government Furnished Information (GFI): GFI includes data items requested from the government such as technical drawings, software, or test data. Include the government agency that owns the information and justification as to why the information is needed.

1.2.3.3: Government Personnel and/or Facilities: This section should include any additional government participation expected by the vendor to accomplish the proposed tasks. Justify why government personnel and/or facilities are necessary.

1.2.4 Security: Will the work effort be unclassified or are some components of the work effort classified? If classified, then work closely with the TPOC to ensure mutual understanding of any classified work efforts. This section should clearly describe and justify classified work efforts so as to support form DD254 contractual requirements.

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

1.2.6 Data Rights: The following Data Rights will be in effect during and after this Phase II or II.5 SBIR program execution.

<SBIR / STTR Firm Name> Proprietary Information <Topic Title> Proposal <#XX-XXXX>

**<SBIR/STTR Firm Name>.**

<SBIR / STTR Firm Name> reserves all data rights granted under Defense Federal Acquisition Regulation Supplement (DFARS) 252.227-7018 – Rights in Noncommercial Technical Data and Computer Software – Small Business Innovation Research (SBIR) Program. These rights apply to RDA’s tasks, efforts, and all applicable works and results described in this proposal.

1.2.7 Assertions

[Enter “none” when all data or software will be submitted without restrictions. Otherwise, complete the following table of Assertions. Data associated with this SBIR topic automatically receive SBIR data rights, per paragraph 1.2.3 above; Assertions are needed for data generated under another contract, or via Company funds.]

The Offeror asserts for itself, or the persons identified below, that the Government’s rights to use, release, or disclose the following technical data or computer software should be restricted:

|  |  |  |  |
| --- | --- | --- | --- |
| Technical Data or Computer Software to be Furnished with Restrictions \* | Basis for Assertion \*\* | Asserted Rights  Category \*\*\* | Name of Person  Asserting Restrictions \*\*\*\* |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

\*For technical data (other than computer software documentation) pertaining to items, component, or processes developed at private expense, identify both the deliverable technical data and each such items, component, or process. For computer software or computer software documentation identify the software or documentation.

\*\*Generally, development at private expense, either exclusively or partially, is the only basis for asserting restrictions. For technical data, other than computer software documentation, development refers to development of the item, component, or process to which the data pertain. The Government’s rights in computer software documentation generally may not be restricted. For computer software, development refers to the software. Indicate whether development was accomplished exclusively or partially at private expense. If development was not accomplished at private expense, or for computer software documentation, enter the specific basis for asserting restrictions.

\*\*\*Enter asserted rights category (e.g., government purpose license rights from a prior contract, rights in SBIR data generated under another contract, limited, restricted, or government purpose rights under this or a prior contract, or specially negotiated licenses).

\*\*\*\*Corporation, individual, or other person, as appropriate.

## Related Work

[This section should demonstrate the offeror's awareness of state-of-the art and relevant concurrent efforts. Describe significant activities; including any conducted by the Principal Investigator (PI), the proposing firm, consultants, and others that demonstrate the firm's awareness of state-of-the-art and relevant concurrent efforts. Describe how these activities relate to the proposed effort.]

## Facilities and Equipment

[Describe available instrumentation and physical facilities necessary to carry out the Phase II 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.]

## Discretionary Technical and Business Assistance

[*Discretionary Technical and Business Assistance (TABA)*. Proposers have the option to request TABA funding in an amount NTE $25,000 per Phase II award to a maximum of $50,000 per project (initial, sequential, II.5, and/or CRP combined) to contract external services to assist in minimizing technical risks associated with SBIR/STTR projects and commercializing the resulting products and/or processes. The amount requested for TABA is included as part of the total allowable award amount (e.g. $1.6M=$1.575M project + $25K TABA). Approval of TABA funding excludes firms from participating in any part of the STP/FST.

TABA requests must be explained in detail. Add a footnote to the cost estimate and provide purpose and objective (clear identification of need for assistance), provider’s contact information (name of provider; point of contact; details on its unique skills/experience in providing this assistance), and cost of assistance (clearly identified dollars and hours proposed or other arrangement details). The cost cannot be subject to any profit or fee by the SBIR/STTR firm but may include G&A.

The TABA provider may **NOT** be the requesting firm itself, an affiliate or investor of the requesting firm, or a subcontractor or consultant of the requesting firm otherwise required as part of the paid portion of the research effort (e.g., research partner). Failure to include required TABA-related information with the cost estimate will result in disapproval of the request for TABA.]

# Personnel

## Key Personnel

[Use the table below to identify the Principal Investigator (PI), co-Principal Investigators (Co-PI), and any key personnel, including direct employees, subcontractors or consultants, who will be involved in the Phase II effort. Please indicate whether proposed personnel are foreign nationals or not. Show the role/title; level of involvement; and the prime, subcontractor, or consultant status of proposed personnel.]

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **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%* |
|  |  |  |  |  |
|  |  |  |  |  |

## Foreign Nationals

[For all personnel marked as “Yes” in Foreign National column above, please complete the table below.]

|  |  |  |
| --- | --- | --- |
| **FOREIGN CITIZEN DETAILS** | | |
| **Name** | **Country of Origin** | **Type of Visa or Work Permit** |
| *Example: Jane Smith* | *Example: Spain* | *Example: Permanent Resident* |
|  |  |  |
|  |  |  |

[Identify any foreign national expected to be involved on the Phase II work 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. Firms should report any and all individuals expected to be involved on this project that are considered a foreign national as defined in the DoD SBIR/STTR Broad Agency Announcement (BAA). Firms 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)).]

[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). NAVAIR will reject Phase II Full Proposals proposing the use of foreign citizens who are not in one of the two categories and will terminate Phase II contracts if foreign citizens who are not in one of the two categories are used.]

## Subcontractors and Consultants

[List all subcontractors and consultants, the task(s) they will be performing. 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 included in the cost proposal. For SBIR proposals, a minimum of fifty-one percent of the research and analytical work in Phase II, as measured by direct and indirect costs, must be carried out by the proposing firm. For STTR proposals, a minimum of 40% of the work must be carried out by the small business concern and a minimum of 30% of the effort performed by the research institution, as defined in the DoD STTR BAA. SBIR efforts may include subcontracts with Federal Laboratories and Federally Funded Research and Development Centers (FFRDCs), however, proposers must certify their use of such facilities on the Cover Sheet of the proposal.]

|  |  |
| --- | --- |
| **Subcontractor/Consultant Name** | **Task** |
|  |  |
|  |  |
|  |  |

[Describe the subcontractor and consultant qualifications to perform the identified tasks in this section.]

## Resumes for Key Personnel

[Provide a resume containing the following information for each PI and key personnel on the project. Resumes are limited to one page per person in the following format.]

Name: <First and Last Name>

Role/Title: <Role/Title for the Phase II Effort>

Education:

<School, Degree, Year>

Relevant Experience:

<A concise description of the investigator’s relevant technical experience and its application to this topic>

Relevant Awards:

<List any awards received for work related to this topic>

Relevant Publications:

<List any publications relevant to this topic>

Repeat this format as necessary to address the qualifications of up to a total of five key personnel]

# Commercialization

## Commercialization Strategy

[At a minimum, your commercialization strategy must address the following five questions:

(1) What is the first product that this technology will go into?

(2) Who will be the customers, and what is the estimated market size?

(3) How much money will be needed to bring the technology to market, and how will that money be raised?

(4) Does the company contain marketing expertise and, if not, how will that expertise be brought into the company?

(5) Who are the proposing firm’s competitors, and what is the price and/or quality advantage over those competitors?

The commercialization strategy must also include a schedule showing the anticipated quantitative commercialization results from the Phase II project at one year after the start of Phase II, at the completion of Phase II, and after the completion of Phase II (i.e., amount of additional investment, sales revenue, etc.). After Phase II award, the company is required to report actual sales and investment data in its Company Commercialization Report at least annually.]

## Transition Plan Summary

[Briefly describe the proposed business strategy for transitioning from Phase II through final development to Phase III and into acquisition process and the expected Phase II technology, product, or service to be transitioned. The transition plan should be updated as Phase II work progresses and will be reviewed by the appropriate Subject Matter Experts and SBIR/STTR Program Managers as a factor in continuing base efforts and exercising option(s).

Identify the customer and the requirements for this technology. Questions to consider in your transition plan are:

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

# 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:

(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 BAA(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."]

**Attachments - Letters of Endorsement (Optional)**

[NAVAIR will accept only letters of endorsement as an attachment to proposals. Letters of endorsement provide validation of interest by others. If available, attach letters of endorsement from the transitioning Program Office within the DoD or from the private sector that discuss the direct benefit of the technology to the government and/or their intent of follow-on funding either during Phase II or Phase III. These attachments will NOT be included in the page count.]