

DEPARTMENT OF THE NAVY (DON)
25.4 Small Business Innovation Research (SBIR)
Release 5
Direct to Phase II (DP2) Announcement and Proposal Submission Instructions

IMPORTANT

- **The following dates apply to Direct to Phase II (DP2) topic N254-D08 only:**
 - **5 February 2025: Topic issued for pre-release**
 - **26 February 2025: DON begins accepting Phase I Feasibility Proposals**
 - **12 March 2025: Topic Q&A closes to new questions**
 - **26 March 2025: Phase I Feasibility Proposals due no later than 12:00 p.m. ET**

- Submitting small business concerns are encouraged to thoroughly review the DoD SBIR/STTR Program Broad Agency Announcement (BAA) and register for the DSIP Listserv to remain apprised of important programmatic changes.
 - The DoD Program BAA is located at: <https://www.defensesbirsttr.mil/SBIR-STTR/Opportunities/#announcements>. Select the tab for the appropriate BAA cycle.
 - Register for the DSIP Listserv at: <https://www.dodsbirsttr.mil/submissions/login>.

- The information provided in the DON Proposal Submission Instructions takes precedence over the DoD Instructions posted for this BAA.

- A submitting small business concern **MUST** use the DP2 Phase I Feasibility proposal template for Volume 2. This template is specific to DON DP2 topics and meets DP2 submission requirements. The DP2 Phase I Feasibility proposal template can be found at https://navysbir.com/links_forms.htm.

- Proposing small business concerns that are more than 50% owned by multiple venture capital operating companies (VCOC), hedge funds (HF), private equity firms (PEF) or any combination of these are eligible to submit proposals in response to DON topics advertised in this BAA. Information on Majority Ownership in Part and certification requirements at time of submission for these proposing small business concerns are detailed in the section titled **ADDITIONAL SUBMISSION CONSIDERATIONS**.

- DON provides notice that Basic Ordering Agreements (BOAs) or Other Transaction Agreements (OTAs) may be used for Phase II awards.

- This BAA is issued under regulations set forth in Federal Acquisition Regulation (FAR) 35.016 and awards will be made under “other competitive procedures”. The policies and procedures of FAR Subpart 15.3 shall not apply to this BAA, except as specifically referenced in it. All procedures are at the sole discretion of the Government as set forth in this BAA. Submission of a proposal in response to this BAA constitutes the express acknowledgement to that effect by the proposing small business concern.

INTRODUCTION

The DON SBIR/STTR Programs are mission-oriented programs that integrate the needs and requirements of the DON’s Fleet through research and development (R&D) topics that have dual-use potential, but primarily address the needs of the DON. More information on the programs can be found on the DON SBIR/STTR website at www.navy.sbir.com. Additional information on DON’s mission can be found on the DON website at www.navy.mil.

The Department of Defense (DoD), including the Department of the Navy (DON), may issue an SBIR award to a small business concern under Phase II, without regard to whether the small business concern received a Phase I award for such project. Prior to such an award, the head of the agency, or their designee, must issue a written determination that the small business concern has demonstrated the scientific and technical merit and feasibility of the technology solution that appears to have commercial potential (for use by the government or in the public sector). The determination must be submitted to the Small Business Administration (SBA) prior to issuing the Phase II award. As such, DON issues this portion of the BAA in accordance with the requirements of the Direct to Phase II (DP2) authority. Only those proposing small business concerns that are capable of meeting the DP2 proposal requirements may participate in this DP2 BAA. No Phase I awards will be issued to the designated DP2 topic.

For questions regarding this BAA, use the information in Table 1 to determine who to contact for what types of questions.

TABLE 1: POINTS OF CONTACT FOR QUESTIONS REGARDING THIS BAA

Type of Question	When	Contact Information
Program and administrative	Always	DON SBIR/STTR Program Management Office usn.pentagon.cnr-arlington-va.mbx.navy-sbir-str@us.navy.mil or appropriate Program Manager listed in Table 2 (below)
Topic-specific technical questions	BAA Pre-release	Technical Point of Contact (TPOC) listed in each topic on the DoD SBIR/STTR Innovation Portal (DSIP). Refer to the Proposal Submission section of the DoD SBIR/STTR Program BAA for details.
	BAA Open	DoD SBIR/STTR Topic Q&A platform (https://www.dodsbirsttr.mil/submissions) Refer to the Proposal Submission section of the DoD SBIR/STTR Program BAA for details.
Electronic submission to the DoD SBIR/STTR Innovation Portal (DSIP)	Always	DSIP Support via email at dodsbirsupport@reisystems.com
Navy-specific BAA instructions and forms	Always	DON SBIR/STTR Program Management Office usn.pentagon.cnr-arlington-va.mbx.navy-sbir-str@us.navy.mil

TABLE 2: DON SYSTEMS COMMAND (SYSCOM) SBIR PROGRAM MANAGERS

<u>Topic Numbers</u>	<u>Point of Contact</u>	<u>SYSCOM</u>	<u>Email</u>
N254-D08	Mr. Shadi Azoum	Naval Information Warfare Systems Command (NAVWAR)	info@navwarsbir.com

Each DON SBIR DP2 topic requires documentation to determine that Phase I feasibility, described in the Phase I section of the topic, has been met.

The DON SBIR DP2 is a two-step process:

STEP ONE: Prepare and Submit a Phase I Feasibility Proposal (instructions and link to template provided below). The purpose of the Phase I Feasibility Proposal is for the proposing small business concern 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 proposing small business concern 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 small business concerns to submit a Full DP2 Proposal. Demonstrating proof of feasibility is a requirement for a DP2 award. The small business concern 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 small business concern directly to provide instructions on how to submit a Full DP2 Proposal.

DON SBIR reserves the right to make no awards under this DP2 BAA. All awards are subject to availability of funds and successful negotiations. Proposing small business concerns must read the topic requirements carefully. The Government is not responsible for expenditures by the proposing small business concern prior to award of a contract. For 25.4 Release 5 topics designated as DP2, DON will accept only Phase I Feasibility Proposals (described below).

DP2 PROPOSAL SUBMISSION REQUIREMENTS

The following section details requirements for submitting a compliant DON SBIR DP2 Proposal to the DoD SBIR/STTR Programs.

(NOTE: Proposing small business concerns are advised that support contract personnel will be used to carry out administrative functions and may have access to proposals, contract award documents, contract deliverables, and reports. All support contract personnel are bound by appropriate non-disclosure agreements.)

DoD SBIR/STTR Innovation Portal (DSIP). Proposing small business concerns are required to submit proposals via the DoD SBIR/STTR Innovation Portal (DSIP); and follow proposal submission instructions in the DoD SBIR/STTR Program BAA on the DSIP at <https://www.dodsbirsttr.mil/submissions>. Proposals submitted by any other means will be disregarded. Proposing small business concerns submitting through DSIP for the first time will be asked to register. It is recommended that proposing small business concerns

register as soon as possible upon identification of a proposal opportunity to avoid delays in the proposal submission process. Proposals that are not successfully certified electronically in DSIP by the Corporate Official prior to BAA Close will NOT be considered submitted and will not be evaluated by DON. Proposals that are encrypted, password protected, or otherwise locked in any portion of the submission will be REJECTED unless specifically directed within the text of the topic to which you are submitting. Please refer to the DoD SBIR/STTR Program BAA for further information.

Eligibility. Each proposing small business concern 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 the Proposal Fundamentals section of the DoD SBIR/STTR Program BAA
- Comply with primary employment requirements of the principal investigator (PI) during the Phase II award including, employment with the small business concern 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 small business concern
- Register in the System for Award Management (SAM) as defined in the Certifications and Registrations section of the DoD SBIR/STTR Program BAA. To register, visit <https://sam.gov/>

Proposal Volumes. The following seven volumes are required.

- **Proposal Cover Sheet (Volume 1).** As specified in DoD SBIR/STTR Program BAA.
- **Technical Volume (Volume 2).**
 - Technical Proposal (Volume 2) must meet the following requirements or the proposal will be REJECTED:
 - A submitting small business concern MUST use the DP2 Phase I Feasibility proposal template for Volume 2. The DP2 Phase I Feasibility proposal template can be found at https://navysbir.com/links_forms.htm.
 - This template is specific to DON DP2 topics and meets DP2 submission requirements:
 - Not to exceed 30 pages, regardless of page content; Phase I Proof of Feasibility portion not to exceed 20 pages, Snapshot of Proposed Phase II Effort portion not to exceed 10 pages
 - 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
 - Additional information:
 - A font size smaller than 10-point is allowable for headers, footers, imbedded tables, figures, images, or graphics that include text. However, proposing small business concerns are cautioned that if the text is too small to be legible it will not be evaluated.
- **Cost Volume (Volume 3).** The text fields related to costs for the proposed effort must be answered in the Cost Volume of the DoD Submission system (at <https://www.dodsbirsttr.mil/submissions/>), however, proposing small business concerns DO NOT need to download and complete the separate cost volume template when submitting the DON SBIR Phase I Feasibility Proposal. Proposing small business concerns are to include a cost estimate in the Order of Magnitude Cost Estimate Table (example below) within the Snapshot of Proposed Phase II Effort portion of the Technical Volume (Volume 2). Please refer to Table 3 below 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 in the Technical Volume (Volume 2).

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			

TABLE 3: COST & PERIOD OF PERFORMANCE

Topic Number	Base		Option		Total (NTE)
	Cost (NTE)	POP (NTE)	Cost (NTE)	POP (NTE)	
N254-D08	\$750,000	18 mos.	\$1,000,000	24 mos.	\$1,750,000*

* Step Two: for the Full Phase II submission, if selected, N254-D08 will require the Phase II Option 1 and Phase II Option 2 to be detailed separately:

- Phase II Option 1: Cost \$500,000, Period of Performance 12 months
- Phase II Option 2: Cost \$500,000, Period of Performance 12 months

- o Additional information:
 - For Phase II a minimum of 50% of the work is performed by the proposing small business concern. The percentage of work requirement must be met in the Base costs as well as in the Option costs. The percentage of work is measured by both direct and indirect costs. To calculate the minimum percentage of work for the proposing small business concern the sum of all direct and indirect costs attributable to the proposing small business concern represent the numerator and the total cost of the proposal (i.e., Total Cost before Profit Rate is applied) is the denominator. The subcontractor percentage is calculated by taking the sum of all costs attributable to the subcontractor as the numerator and the total cost of the proposal (i.e., Total Cost before Profit Rate is applied) as the denominator. **NOTE:** G&A, if proposed, will only be attributed to the proposing small business concern.
 - Provide sufficient detail for subcontractor, material, and travel costs. Subcontractor costs must be detailed to the same level as the prime contractor. Material costs must include a listing of items and cost per item. Travel costs must include the purpose of the trip, number of trips, location, length of trip, and number of personnel.
 - Inclusion of cost estimates for travel to the sponsoring SYSCOM’s facility for one day of meetings is recommended for all proposals.

- The “Additional Cost Information” of Supporting Documents (Volume 5) may be used to provide supporting cost details for Volume 3.
- **Company Commercialization Report (Volume 4).** DoD collects and uses Volume 4 and DSIP requires Volume 4 for proposal submission. Please refer to the Proposal Preparation Instructions and Requirements section of the DoD SBIR/STTR Program BAA for details to ensure compliance with DSIP Volume 4 requirements.
- **Supporting Documents (Volume 5).** Volume 5 is for the submission of administrative material that DON may or will require to process a proposal, if selected, for contract award.

All proposing small business concerns must review and submit the following items, as applicable:

- **Majority Ownership in Part.** Proposing small business concerns which are more than 50% owned by multiple venture capital operating companies (VCOC), hedge funds (HF), private equity firms (PEF), or any combination of these as set forth in 13 C.F.R. § 121.702, are eligible to submit proposals in response to DON topics advertised within this BAA. Complete the certification as detailed under ADDITIONAL SUBMISSION CONSIDERATIONS.
- Additional information:
 - Proposing small business concerns may include the following administrative materials in Supporting Documents (Volume 5); a template is available at https://navysbir.com/links_forms.htm to provide guidance on optional material the proposing small business concern may want to include in Volume 5:
 - Additional Cost Information to support the Cost Volume (Volume 3)
 - SBIR/STTR Funding Agreement Certification
 - Data Rights Assertion
 - Allocation of Rights between Prime and Subcontractor
 - Disclosure of Information (DFARS 252.204-7000)
 - Prior, Current, or Pending Support of Similar Proposals or Awards
 - Foreign Citizens
 - Details of Request for Discretionary Technical and Business Assistance (TABAs), if proposed, is to be included under the Additional Cost Information section if using the DON Supporting Documents template.
 - Do not include documents or information to substantiate the Technical Volume (Volume 2) (e.g., resumes, test data, technical reports, or publications). Such documents or information will not be considered.
 - A font size smaller than 10-point is allowable for documents in Volume 5; however, proposing small business concerns are cautioned that the text may be unreadable.
- **Fraud, Waste and Abuse Training Certification (Volume 6).** DoD requires Volume 6 for submission. Please refer to the Proposal Preparation Instructions and Requirements section of the DoD SBIR/STTR Program BAA for details.
- **Disclosures of Foreign Affiliations or Relationships to Foreign Countries (Volume 7).** In accordance with Section 4 of the SBIR and STTR Extension Act of 2022 and the SBA SBIR/STTR Policy Directive, the DoD will review all proposals submitted in response to this BAA to assess security risks presented by small business concerns seeking a Federally funded award. Small business concerns must complete the Disclosures of Foreign Affiliations or Relationships to Foreign Countries webform in Volume 7 of the DSIP proposal submission. Please refer to the Proposal Preparation Instructions and Requirements section of the DoD SBIR/STTR Program BAA for details.

DP2 EVALUATION AND SELECTION

The following section details how the DON SBIR/STTR Programs will evaluate Phase I Feasibility proposals.

Proposals meeting DSIP submission requirements will be forwarded to the DON SBIR/STTR Programs. Prior to evaluation, all proposals will undergo a compliance review to verify compliance with DoD and DON SBIR/STTR proposal eligibility requirements. Proposals not meeting submission requirements will be REJECTED and not evaluated.

- **Proposal Cover Sheet (Volume 1).** The Proposal Cover Sheet (Volume 1) will undergo a compliance review to verify the proposing small business concern has met eligibility requirements and followed the instructions for Proposal Cover Sheet as specified in the DoD SBIR/STTR Program BAA.
- **Technical Volume (Volume 2).** The DON will evaluate and select Phase I Feasibility proposals using the evaluation criteria specified in the Method of Selection and Evaluation Criteria section of the DoD SBIR/STTR Program BAA, with technical merit being most important, followed by qualifications of key personnel and commercialization potential of equal importance. The information considered for this decision will come from Volume 2. This is not a FAR Part 15 evaluation and proposals will not be compared to one another. Cost is not an evaluation criterion and will not be considered during the evaluation process; the DON will only do a compliance review of Volume 3. Due to limited funding, the DON reserves the right to limit the number of awards under any topic.

The Technical Volume (Volume 2) will undergo a compliance review (prior to evaluation) to verify the proposing small business concern has met the following requirements or the proposal will be REJECTED:

- A submitting small business concern MUST use the DP2 Phase I Feasibility proposal template for Volume 2. The DP2 Phase I Feasibility proposal template can be found at https://navysbir.com/links_forms.htm.

This template is specific to DON DP2 topics and meets DP2 submission requirements:

- Not to exceed 30 pages, regardless of page content; Phase I Proof of Feasibility portion not to exceed 20 pages, Snapshot of Proposed Phase II Effort portion not to exceed 10 pages
 - 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, except as permitted in the instructions above.
- **Cost Volume (Volume 3).** The Cost Volume (Volume 3) will not be considered in the selection process and will undergo a compliance review to verify the proposing small business concern has met the following requirements or the proposal will be REJECTED:
 - Must not exceed values for the Base and Option (refer to Table 3).
 - Must meet minimum percentage of work; a minimum of 50% of the work is performed by the proposing small business concern. The percentage of work requirement must be met in the Base costs as well as in the Option costs.
 - **Company Commercialization Report (Volume 4).** The CCR (Volume 4) will not be evaluated by the DON nor will it be considered in the award decision. However, all proposing small business concerns must refer to the DoD SBIR/STTR Program BAA to ensure compliance with DSIP Volume 4 requirements.

- **Supporting Documents (Volume 5).** Supporting Documents (Volume 5) will not be considered in the selection process and will only undergo a compliance review to ensure the proposing small business concern has included items in accordance with the DP2 SUBMISSION INSTRUCTIONS section above.
- **Fraud, Waste, and Abuse Training Certificate (Volume 6).** Not evaluated.
- **Disclosures of Foreign Affiliations or Relationships to Foreign Countries (Volume 7).** Disclosures of Foreign Affiliations or Relationships to Foreign Countries (Volume 7) will be assessed as part of the Due Diligence Program to Assess Security Risks. Refer to the DoD SBIR/STTR Program BAA to ensure compliance with Volume 7 requirements.

ADDITIONAL SUBMISSION CONSIDERATIONS

This section details additional items for proposing small business concerns to consider during proposal preparation and submission process.

Due Diligence Program to Assess Security Risks. The SBIR and STTR Extension Act of 2022 (Pub. L. 117-183) requires the Department of Defense, in coordination with the Small Business Administration, to establish and implement a due diligence program to assess security risks presented by small business concerns seeking a Federally funded award. Please review the Certifications and Registrations section of the DoD SBIR/STTR Program BAA for details on how DoD will assess security risks presented by small business concerns. The Due Diligence Program to Assess Security Risks will be implemented for all Phases.

Discretionary Technical and Business Assistance (TABA). The SBIR and STTR Policy Directive section 9(b) allows the DON to provide TABA (formerly referred to as DTA) to its awardees. The purpose of TABA is to assist awardees in making better technical decisions on SBIR/STTR projects; solving technical problems that arise during SBIR/STTR projects; minimizing technical risks associated with SBIR/STTR projects; and commercializing the SBIR/STTR product or process, including intellectual property protections. Proposing small business concerns may request, in their Cost Volume (Volume 3), to contract these services themselves through one or more TABA providers in an amount not to exceed the values specified below. The Phase II TABA amount is up to \$25,000 per award, is to be included as part of the award amount and is limited by the established award values for Phase II by the SYSCOM (i.e., within the \$2,000,000 or lower limit specified by the SYSCOM). The amount proposed for TABA cannot include any profit/fee by the proposing small business concern and must be inclusive of all applicable indirect costs. TABA cannot be used in the calculation of general and administrative expenses (G&A) for the SBIR proposing small business concern. A Phase II project may receive up to an additional \$25,000 for TABA as part of one additional (sequential) Phase II award under the project for a total TABA award of up to \$50,000 per project. A TABA Report, detailing the results and benefits of the service received, will be required annually by October 30.

Request for TABA funding will be reviewed by the DON SBIR/STTR Program Management Office.

If the TABA request does not include the following items the TABA request will be denied.

- TABA provider(s) (firm name)
- TABA provider(s) point of contact, email address, and phone number
- An explanation of why the TABA provider(s) is uniquely qualified to provide the service
- Tasks the TABA provider(s) will perform (to include the purpose and objective of the assistance)
- Total TABA provider(s) cost, number of hours, and labor rates (average/blended rate is acceptable)

TABA must **NOT**:

- Be subject to any indirect costs, profit, or fee by the SBIR proposing small business concern
- Propose a TABA provider that is the SBIR proposing small business concern
- Propose a TABA provider that is an affiliate of the SBIR proposing small business concern
- Propose a TABA provider that is an investor of the SBIR proposing small business concern
- Propose a TABA provider that is a subcontractor or consultant of the requesting small business concern otherwise required as part of the paid portion of the research effort (e.g., research partner, consultant, tester, or administrative service provider)

TABA requests must be included in the proposal as follows:

- Phase II:
 - DON Phase II Cost Volume (provided by the DON SYSCOM) - the value of the TABA request.
 - Supporting Documents (Volume 5) – a detailed request for TABA (as specified above) specifically identified as “TABA” in the section titled Additional Cost Information when using the DON Supporting Documents template.

Proposed values for TABA must **NOT** exceed:

- Phase II: A total of \$25,000 per award, not to exceed \$50,000 per Phase II project

If a proposing small business concern requests and is awarded TABA in a Phase II contract, the proposing small business concern will be eliminated from participating in the Navy SBIR Transition Program (STP), the DON Forum for SBIR/STTR Transition (FST), and any other Phase II assistance the DON provides directly to awardees.

All Phase II awardees not receiving funds for TABA in their awards must participate in the virtual Navy STP Kickoff during the first or second year of the Phase II contract. While there are no travel costs associated with this virtual event, Phase II awardees should budget time of up to a full day to participate. STP information can be obtained at: <https://navystp.com>. Phase II awardees will be contacted separately regarding this program.

Disclosure of Information (DFARS 252.204-7000). In order to eliminate the requirements for prior approval of public disclosure of information (in accordance with DFARS 252.204-7000) under this award, the proposing small business concern shall identify and describe all fundamental research to be performed under its proposal, including subcontracted work, with sufficient specificity to demonstrate that the work qualifies as fundamental research. Fundamental research means basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons (defined by National Security Decision Directive 189). A small business concern whose proposed work will include fundamental research and requests to eliminate the requirement for prior approval of public disclosure of information must complete the DON Fundamental Research Disclosure and upload as a separate PDF file to the Supporting Documents (Volume 5) in DSIP as part of their proposal submission. The DON Fundamental Research Disclosure is available on https://navysbir.com/links_forms.htm and includes instructions on how to complete and upload the completed Disclosure. Simply identifying fundamental research in the Disclosure does **NOT** constitute acceptance of the exclusion. All exclusions will be reviewed and, if approved by the Government Contracting Officer, noted in the contract.

Majority Ownership in Part. Proposing small business concerns that are more than 50% owned by multiple venture capital operating companies (VCOC), hedge funds (HF), private equity firms (PEF), or

any combination of these as set forth in 13 C.F.R. § 121.702, **are eligible** to submit proposals in response to DON topics advertised within this BAA.

For proposing small business concerns that are a member of this ownership class the following must be satisfied for proposals to be accepted and evaluated:

- a. Prior to submitting a proposal, proposing small business concerns must register with the SBA Company Registry Database.
- b. The proposing small business concern within its submission must submit the Majority-Owned VCOC, HF, and PEF Certification. A copy of the SBIR VC Certification can be found on https://navysbir.com/links_forms.htm. Include the SBIR VC Certification in the Supporting Documents (Volume 5).
- c. Should a proposing small business concern become a member of this ownership class after submitting its proposal and prior to any receipt of a funding agreement, the proposing small business concern must immediately notify the Contracting Officer, register in the appropriate SBA database, and submit the required certification, which can be found on https://navysbir.com/links_forms.htm.

System for Award Management (SAM). It is strongly encouraged that proposing small business concerns register in SAM, <https://sam.gov>, by the Close date of this BAA, or verify their registrations are still active and will not expire within 60 days of BAA Close. Additionally, proposing small business concerns should confirm that they are registered to receive contracts (not just grants) and the address in SAM matches the address on the proposal. A small business concern selected for an award **MUST** have an active SAM registration at the time of award or they will be considered ineligible.

Notice of NIST SP 800-171 Assessment Database Requirement. The purpose of the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171 is to protect Controlled Unclassified Information (CUI) in Nonfederal Systems and Organizations. As prescribed by DFARS 252.204-7019, in order to be considered for award, a small business concern is required to implement NIST SP 800-171 and shall have a current assessment uploaded to the Supplier Performance Risk System (SPRS) which provides storage and retrieval capabilities for this assessment. The platform Procurement Integrated Enterprise Environment (PIEE) will be used for secure login and verification to access SPRS. For brief instructions on NIST SP 800-171 assessment, SPRS, and PIEE, please visit <https://www.sprs.csd.disa.mil/nistsp.htm>. For in-depth tutorials on these items please visit <https://www.sprs.csd.disa.mil/webtrain.htm>.

Human Subjects, Animal Testing, and Recombinant DNA. If the use of human, animal, and recombinant DNA is included under a DP2 proposal, please carefully review the requirements at: <https://www.nre.navy.mil/work-with-us/how-to-apply/compliance-and-protections/research-protections>.

This webpage provides guidance and lists approvals that may be required before contract/work can begin.

International Traffic in Arms Regulation (ITAR). For topics indicating ITAR restrictions or the potential for classified work, limitations are generally placed on disclosure of information involving topics of a classified nature or those involving export control restrictions, which may curtail or preclude the involvement of universities and certain non-profit institutions beyond the basic research level. Small businesses must structure their proposals to clearly identify the work that will be performed that is of a basic research nature and how it can be segregated from work that falls under the classification and export control restrictions. As a result, information must also be provided on how efforts can be performed in later phases if the university/research institution is the source of critical knowledge, effort, or infrastructure (facilities and equipment).

SELECTION, AWARD, AND POST-AWARD INFORMATION

Notifications. Email notifications for proposal receipt (approximately one week after the Phase I BAA Close) and selection are sent based on the information received on the proposal Cover Sheet (Volume 1). Consequently, the e-mail address on the proposal Cover Sheet must be correct.

Debriefs. Requests for a debrief must be made within 15 calendar days of select/non-select notification via email as specified in the select/non-select notification. Please note debriefs are typically provided in writing via email to the Corporate Official identified in the proposal of the proposing small business concerns within 60 days of receipt of the request. Requests for oral debriefs may not be accommodated. If contact information for the Corporate Official has changed since proposal submission, a notice of the change on company letterhead signed by the Corporate Official must accompany the debrief request.

Protests. Interested parties have the right to protest in accordance with the procedures in FAR Subpart 33.1.

Pre-award agency protests related to the terms of the BAA must be served to: osd.ncr.ousd-r-e.mbx.SBIR-STTR-Protest@mail.mil. A copy of a pre-award Government Accountability Office (GAO) protest must also be filed with the aforementioned email address within one day of filing with the GAO.

Protests related to a selection or award decision should be filed with the appropriate Contracting Officer for an Agency Level Protest or with the GAO. Contracting Officer contact information for specific DON Topics may be obtained from the DON SYSCOM Program Managers listed in Table 2 above. For protests filed with the GAO, a copy of the protest must be submitted to the appropriate DON SYSCOM Program Manager and the appropriate Contracting Officer within one day of filing with the GAO.

Awards. Due to limited funding, the DON reserves the right to limit the number of awards under any topic. Any notification received from the DON that indicates the proposal has been selected does not ultimately guarantee an award will be made. This notification indicates that the proposal has been selected in accordance with the evaluation criteria and has been sent to the Contracting Officer to conduct cost analysis, confirm eligibility of the proposing small business concern, and to take other relevant steps necessary prior to making an award.

Contract Types. In addition to the negotiated contract award types listed in the section of the DoD SBIR/STTR Program BAA titled Additional Considerations, for Phase II awards the DON may (under appropriate circumstances) propose the use of an Other Transaction Agreement (OTA) as specified in 10 U.S.C. 4021/10 U.S.C. 4022 and related implementing policies and regulations. The DON may choose to use a Basic Ordering Agreement (BOA) for Phase I and Phase II awards.

Contract Deliverables. Contract deliverables are typically progress reports and final reports. Required contract deliverables must be uploaded to <https://www.navybirprogram.com/navydeliverables/>.

Transfer Between SBIR and STTR Programs. Section 4(b)(1)(i) of the SBIR and STTR Policy Directive provides that, at the agency's discretion, projects awarded a Phase I under a BAA for SBIR may transition in Phase II to STTR and vice versa.

PHASE III GUIDELINES

A Phase III SBIR/STTR award is any work that derives from, extends, or completes effort(s) performed under prior SBIR/STTR funding agreements, but is funded by sources other than the SBIR/STTR programs. This covers any contract, grant, or agreement issued as a follow-on Phase III award or any contract, grant, or agreement award issued as a result of a competitive process where the awardee was an SBIR/STTR firm

that developed the technology as a result of a Phase I or Phase II award. The DON will give Phase III status to any award that falls within the above-mentioned description. Consequently, DON will assign SBIR/STTR Data Rights to any noncommercial technical data and noncommercial computer software delivered in Phase III that were developed under SBIR/STTR Phase I/II effort(s). Government prime contractors and their subcontractors must follow the same guidelines as above and ensure that companies operating on behalf of the DON protect the rights of the SBIR/STTR firm.

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Release 5

N254-D08 DIRECT TO PHASE II: Enhanced Language-oriented Data for Track Management and Data Analytics

N254-D08 DIRECT TO PHASE II: Enhanced Language-oriented Data for Track Management and Data Analytics

OUSD (R&E) CRITICAL TECHNOLOGY AREA(S): Advanced Computing and Software

The technology within this topic is restricted under the International Traffic in Arms Regulation (ITAR), 22 CFR Parts 120-130, which controls the export and import of defense-related material and services, including export of sensitive technical data, or the Export Administration Regulation (EAR), 15 CFR Parts 730-774, which controls dual use items. Offerors must disclose any proposed use of foreign nationals (FNs), their country(ies) of origin, the type of visa or work permit possessed, and the statement of work (SOW) tasks intended for accomplishment by the FN(s) in accordance with the Announcement. Offerors are advised foreign nationals proposed to perform on this topic may be restricted due to the technical data under US Export Control Laws.

OBJECTIVE: Develop non-traditional capabilities where data can be represented in a structured natural language rather than extraneous languages like SQL, XML, JSON, RDF, and the like to democratize data such that custody is maintained by operators.

DESCRIPTION: The Maritime Tactical Command and Control (MTC2) system is the Navy's next generation command and control platform providing modernized, robust, secure, integrated, and interoperable network-centric capabilities. MTC2 will replace the legacy planning, introduce new decision aid systems, and provide a Common Operational Picture (COP) in a geospatial display to visualize an operational environment to maintain Command and Control (C2) Situational Awareness (SA) and understanding in realtime. The Command and Control Acquisition Program Office, PMW 150, currently fields MTC2 supporting planning and decision analytics for developing a Joint Integrated Command and Control (JIC2) in support of Fires.

Data is a warfighting asset. Converting data into information that informs warfighters is a critical enabler in the ability to fight and win. Achieving data dominance requires new thinking and methods to process and represent data in a way that quickly creates understanding. Data needs to evolve from standards-based schemas, which are Information Technology (IT) assets, to a dynamic representation expressed in a universal, human, and machine-readable schema-less form for all types of data, including Over-The-Horizon Targeting GOLD (OTH-Gold), AIS, Modernized Integrated Database (MIDB), Military Equipment and Parametrics Engineering Database (MEPED), Optimized Organizational Maintenance Activity/Naval Research & Development (OOMA/NARD), AEGIS Combat System, United States Marine Corps (USMC) and United States Army (USA) ground systems, and United States Navy (USN), USMC, USA, and United States Air Force (USAF) aircraft. Data must be a collection of facts, able to be individually disseminated across networks, and immutable when stored in repositories.

MTC2 requires the development of a robust technology supporting both geospatial and non-geospatial data for not only display of the COP, but to also inform analytics. The current technology is extremely dated and only provides tracks on a map for viewing with some overlays. Modern, state-of-the-art technologies are providing greater depth, analysis, interpretation, and understanding for the warfighter. MTC2 also requires greater speed of analysis in support of Kill Chain requirements for greater assessment of the environment, positive Identification of threats, and predictive capability to meet growing threat challenges in theater. To meet these growing demands, the development of robust technologies for smart geospatial analytics and the use of modern and non-traditional low code/no code data analytics is needed.

Key capabilities and use cases must include:

- Ability to represent any kind of data, associations, and structures in a restricted natural language
- A client application to be used by warfighting operators, with low and no-code customization

- Realtime fact routing and processing capability for applications including:
 - o Near-realtime platform and weapons suitability determination
 - o Track management and analysis including geo-fencing, routing and association between applications and services
 - o Artificial Intelligence/Machine Learning (AI/ML) and graph-based analytics

These analytics will feed into an Optimization stack supporting realtime decision aids and COP representation for the warfighter, headed by the Maritime Tactical Command and Control (MTC2) system.

Work produced in Phase II may become classified. Note: The prospective contractor(s) must be U.S. owned and operated with no foreign influence as defined by 32 U.S.C. § 2004.20 et seq., National Industrial Security Program Executive Agent and Operating Manual, unless acceptable mitigating procedures can and have been implemented and approved by the Defense Counterintelligence and Security Agency (DCSA) formerly Defense Security Service (DSS). The selected contractor must be able to acquire and maintain a secret level facility and Personnel Security Clearances. This will allow contractor personnel to perform on advanced phases of this project as set forth by DCSA and NAVWAR in order to gain access to classified information pertaining to the national defense of the United States and its allies; this will be an inherent requirement. The selected company will be required to safeguard classified material during the advanced phases of this contract IAW the National Industrial Security Program Operating Manual (NISPOM), which can be found at Title 32, Part 2004.20 of the Code of Federal Regulations.

PHASE I: For a Direct to Phase II topic, the Government expects that the small business would have accomplished the following in a Phase I-type feasibility effort: developed a concept for a workable prototype or design to address, at a minimum, the basic requirements for enhanced language-oriented data for track management and data analytics.

FEASIBILITY DOCUMENTATION: Offerors interested in proposing to this Direct to Phase II topic must include in their response Phase I feasibility documentation that substantiates the scientific and technical merit; proof that Phase I feasibility (described in Phase I above) has been met (i.e., the small business must have performed Phase I-type research and development related to the topic, but feasibility documentation must not be solely based on work performed under prior or ongoing federally funded SBIR/STTR work.); and describe the potential commercialization applications. The documentation provided must validate that the proposer has completed Phase I-type development of technology as stated above. Documentation should include all relevant information including, but not limited to: technical reports, test data, prototype designs/models, and performance goals/results. Work submitted within the feasibility documentation must have been substantially performed by the offeror and/or the principal investigator (PI).

PHASE II: Develop a software prototype that is capable of ingesting various data sources and types, including textual and abstract such as Joint Message Handling System (JMHS) for textual and map representations for abstract data types; to include geospatial and non-geospatial; and evaluate the data with algorithms identified in Phase I or equivalent efforts. Ensure that the software prototype is deployable and used for concept validation, allowing users to interact under operational condition. Ensure that the prototype runs in a DEVSECOPS environment, gathering data from the users to feed into requirements for the Program of Record to validate concepts.

Implement source data representations that can assess renderings, formulate understanding, and provide the information directly to the user. Investigate themes like fact-oriented formatting for incorporating

attribute and computed values within filter criteria. Provide dynamic filtering and linkback to external data sources, and automated drill down and queries based on user history.

This fact-oriented data format will be agnostic to the type of DB technologies used to repose the data (e.g., flat files, relational DBs, big data, noSQL, and graph datastores). Facts must include descriptive phrases that can be browsed as indexes (e.g., in a book), and as graphical views like trees or word clouds, to enable operators to discover and directly interact with the data. In other words, data itself should be a user-interface, allowing operators to dynamically enrich data by adding tags to facts or writing new facts, e.g., annotations descriptive of status, provenance, pedigree, validity, ontological references, or references back to the origination schema it was extracted from.

It is probable that the work under this effort will be classified under Phase II (see Description section for details).

PHASE III DUAL USE APPLICATIONS: Conduct further testing of the prototype on experimentation venues, such as Trident Warrior. Integration will be conducted by NIWC Pacific/Atlantic engineers. Initially, the technology will reside in the C2X environment being developed and fielded for test and evaluation. Once testing is completed, integrate the technology into the existing MTC2 Configuration Management (CM) environment for inclusion in the MTC2 normal release update schedule to provide the warfighter the capability to have information analyzed continuously as the representation changes in the COP.

The Enhanced Language Oriented Data for Track Management and Data analytics will provide significant increase in speed of understanding and will allow decisions to be more informed and analyzed to support the Kill Chain process. Commercially, these capabilities can be applied to current Geospatial Information Systems (GIS) and decision analytics to increase capability for industry use.

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KEYWORDS: Geospatial; analytics; Artificial Intelligence; AI; Machine Learning; ML; Enhanced situational awareness; SA; comparative analysis; Common Operational Picture; COP; Maritime Operations