



### INTRODUCTION

SPARTN SBIR proposals have six volumes, with an optional 10-slide deck.

Volume 1, the proposal cover sheet, is where you put your company's basic information, answer questions that demonstrate your [eligibility to apply to SBIR](#) and give an overview of your proposal. Your technical abstract and a section on the anticipated benefits/potential commercial applications of your proposal. **The cover sheet should NOT include any proprietary information**, as it could be released to the public. The [Defense SBIR/STTR Innovation Portal \(DSIP\)](#), where you apply, will help you format this section.

Volume 2, the Technical Volume, is a 10-page white paper. It contains three parts and is the main portion of the proposal that reviewers evaluate. The goal of this white paper is to describe your technological vision and a potential path for development, your team, and your commercialization plan. This document contains guidance on the information to include in your proposal --and can serve as an optional template. This document is specifically designed for SPARTN SBIR and is not intended for other Department of Defense components, phases, or topics.

Volume 3, the Cost Volume, is where you outline your cost breakdown. Like Volume 1, the DSIP site will help you format this section. Be sure to follow the instructions listed on the website.

Volume 4 is a company commercialization report, which captures the results of past Phase II SBIR projects. As with Volume 1 and 3, the DSIP portal will help you format this. If you've never participated in the SBIR program before you'll only have to answer a couple of questions.

Volume 5 is the supporting documents section. In addition to the Foreign Ownership and Control disclosure and Video Surveillance certification, Companies applying to SPARTN SBIR have the option of adding a 10-slide deck in this section if desired. There is no specified format for the slide deck, however there is an optional guide which can be found attached to the solicitation.

Volume 6 contains the training to combat fraud, waste and abuse for all Phase I and Phase II proposals. You'll be able to access this training through the DSIP site and it is required to submit a proposal.

Be sure to check the BAA (the solicitation outlining the opportunity) for your topic to make sure your proposal meets all the requirements.

## TECHNICAL VOLUME FORMATTING INSTRUCTIONS

The total length of the white paper should not exceed 10 pages. Please number all pages of your proposal sequentially and use a font no smaller than 10-point on a standard 8 ½" x 11" piece of paper with 1" margins.

The header of each page of the white paper should contain your company name, topic number, and the proposal number assigned by the Defense SBIR/STTR Innovation portal site. This proposal number is created when you create Volume 1, the cover sheet. The header may be included in the 1" margin.

If you want to include data in your proposal that you don't want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, put the following statement verbatim on the first page of your whitepaper:

*"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 page numbers (e.g., 1-10)]".*

Also be sure to mark each page you wish to restrict with, the *"Use or disclosure of data contained on this page is subject to the restriction on the first page of this volume."*

Save your proposal as a PDF file, including graphics. **Perform a virus check before uploading it to the DSIP site, or it may be rejected. Do not lock or encrypt the file.**

## TECHNICAL VOLUME SECTIONS

Now that we've covered the general overview and formatting, it's time to talk about the white paper itself. You should include each of these sections in your 10-page white paper. How much emphasis you put on a given section is up to you.

TECHNICAL APPROACH

TEAM QUALIFICATIONS

COMMERCIALIZATION STRATEGY

## TECHNICAL APPROACH

Here the Army is requesting details on how you are going to solve the problem. This section should detail the key elements of your approach, any risks, relevant past work; and how you will measure success.

- **Problem or Need Statement.** Briefly describe the problem, need, or requirement, and its significance relevant to a Department of Defense application that the SBIR project results would address. If you are successful in this project, how will your technology make a difference? Articulate your objectives without jargon.
- **State of Technology.** How is this problem tackled today and what are the limits of current practice?
- **Proposed Approach.** List the technical objectives you want to achieve during this project. Describe how you will solve the problem you identified, and what makes your approach superior. Include a statement of work that provides an explicit description of your proposed work including proposed methods, timelines, contributions of any subcontractors, and delivery date of final products. This section should represent a substantial portion of your technical volume.
- **Risks.** What are the risks of your proposed technical objectives and methods? How will these risks be mitigated?
- **Prior Work.** Describe any previous work your business or key personnel have conducted in this field. If applicable, include the final results of these projects; and how the proposed work relates to these efforts.
- **Success.** What metrics will be used to judge the success of this project?

Companies may include links to short videos demonstrating relevant existing technology. However, the government will not evaluate marketing materials or other non-related information.

## TEAM QUALIFICATIONS

Here the Army is requesting details about the individuals and facilities that will conduct the work. This section should highlight the key personnel (both technical and business) who will work on the project, as well as the resources that will be brought to bear on solving the problem.

- **Scientific Qualifications.** Describe the expertise of the principal investigators and other key members of the technical team working on this project. Include their educational background, relevant experience, and a concise resume with relevant publications. Companies have the option to also include a link to their linked-in pages, however, this does not eliminate the need to include these qualifications in the proposal.
- **Commercial Qualifications.** Describe the expertise and qualifications of your management, marketing/business development team that will support the transition of the technology from the prototype to the commercial market and into government operational environments. Has this team previously taken similar products/services to market? Has the CEO served in a C-level role prior to this endeavor? If the present team does not have this needed expertise, how do you plan to obtain it?
- **Facilities and Equipment.** Describe the property plant and equipment that will be used to carry out this proposal. If proposing to purchase equipment, please justify it here and include the purchase price in the cost volume. Also include if the facilities where the work will be performed meet environmental regulations of the local, state, and federal governments.

## COMMERCIALIZATION STRATEGY

Here, the Army is requesting details about your plans to commercialize the results of your proposed SBIR/STTR project. This section should detail the key elements of your commercialization strategy within the military, private sector, or both. The Army expects you to have an idea of how your solution will be commercialized or “transitioned” at the time that you apply so that you can fine tune that strategy during Phase I and/or begin implementing it during Phase II.

- **Description of Product(s) and/or System Application(s).** Describe the ideal use case(s) suited for your solution, either as a complete system or subsystem, within the DoD and/or commercial sector. Identify the potential end-users, and/or potential DoD, Federal, and/or private sector customers who would likely use the technology.
- **Business Model(s)/Procurement Mechanism(s).** Discuss your current business model hypothesis for bringing the technology to market. Questions that should be addressed include but are not limited to: How do you plan to generate revenue? How will your solution be manufactured or developed? How will your solution reach its desired customers and/or end-users? What is your pricing model? Who are the key decision-makers that control purchase decisions for this solution (if known)?
- **Target Market.** Describe your beachhead market and/or the profile of your lighthouse customers. Describe their size, their growth rate, your reason for targeting them, and the key reason(s) they would consider purchasing your solution. What is changing in this market that makes this such a great opportunity for your proposed solution? Also discuss future markets you plan to address, and what milestones you would need to hit or miss in order to start focusing on those additional markets.
- **Competition.** Describe competing solutions to this problem including the status quo, direct and indirect solutions on the market, and potential solutions that may still be under development. Explain your solution’s competitive differentiation, and why the market and/or key customers will choose your solution.
- **Anticipated Commercialization Results.** If you are applying for a Phase II project, provide a schedule showing the anticipated quantitative commercialization results of the proposed work (i.e., amount of additional investment, sales revenue, etc.). Include the following three key milestones in this schedule:
  1. One year after the start of Phase II,
  2. The time of completion of Phase II, and
  3. After the completion of Phase II.

After the Phase II award is granted, recipients are required to report actual company sales and investment data in their Company Commercialization Report at least annually.

- **Previous SBIR/STTR Results.** If applicable, include a summary of transition and commercialization activities conducted during prior SBIR/STTR efforts, and the Technology Readiness Level (TRL) achieved.
- **Commercialization Risks.** Describe the major technology, market and team risks associated with commercializing your solution within the Army at scale (i.e. “transitioning” the solution). If there is any threat of a lawsuit against your company and/or its key team members, explain those circumstances. If you have engaged in any material discussions with potential acquirers, provide relevant, disclosable details.
- **Financial Position.** What is the financial history and health of your company (e.g., cash on hand, current and anticipated burn rates, profitability status or timeline, current and historical revenue, CAC to LTV ratio, etc.)?
- **Funding Requirements. Describe your company’s funding history.** How much external financing have you raised and over how many rounds, if any? Describe your plans for future funding, including approximate timeline, expected amount(s), and source(s) (i.e. Internal, loan, angel, venture capital, grants, crowdsourcing, etc.). Do you consider anyone on your Cap Table to be a bad actor, as defined by the U.S. Securities and Exchange Commission (SEC)?

While you can format this section however you like, tables can be helpful, especially for the schedule of major events.