**Instructions**

The Fundamental Research Disclosure applies to firms proposing to the Department of the Navy (DON) Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs, and:

1) Whose proposed work under SBIR/STTR Phase I or Phase II will include fundamental research, **and**

2) Are seeking a waiver to eliminate the requirement for prior approval of public disclosure of information (in accordance with DFARS 252.204-7000).

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, NATIONAL POLICY ON THE TRANSFER OF SCIENTIFIC, TECHNICAL AND ENGINEERING INFORMATION).

A waiver for prior approval of public disclosure of information will only be considered for information:

1. identified on the Disclosure below, **and**
2. resulting from or arising during the performance of the proposed work listed, **and**
3. involving no covered defense information (as defined in the clause at DFARS 252.204-7012), **and**
4. scoped and negotiated by the Contracting Activity with the proposing firm and research performer, **and**
5. determined in writing by the Contracting Officer to be fundamental research (which by definition cannot involve any covered defense information), in accordance with National Security Decision Directive 189 (cited above).

How to Complete the Disclosure

1. Complete the information as described between the arrows < > for blocks 1-5 in the Disclosure and delete the description.
2. Delete this instruction page and save the completed Disclosure as a PDF; name the file using the following format: *Firm Name Fundamental Research Phase I or II Disclosure*.
3. Submit the completed Disclosure (in PDF) as a Supporting Document (Volume 5 of the proposal package).

**The proposing firm must complete the Disclosure** on the following page and **delete this instruction page** before saving the completed form!

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| **FUNDAMENTAL RESEARCH DISCLOSURE** | |
| In order to eliminate the requirement for prior approval of public disclosure of information (in accordance with DFARS 252.204-7000) under this award, the proposing firm shall identify and describe all fundamental research to be performed, 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.  Any proposed fundamental research shall be listed in separate task(s) in order to clearly delineate these efforts from other proposed efforts which are not proposed as fundamental research.  Simply identifying fundamental research in this 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. | |
| **1. Topic Number**  <Nxxx-xxx> | **2. Proposal Number**  <Nxxx-xxx-xxxx> |
| **3. Proposing Firm**  <Proposing Firm>  <Address>  <Address> | **4. Point of Contact**  <Firm POC Name>  <Title>  <Email>  <Phone Number> |
| **5(a). Research Performer 1**  <Name of party performing the fundamental research (usually a research institution)> | |
| **5(b). Fundamental Research and Justification 1**  <Identify fundamental research in the statement of work and describe the research with sufficient specificity to demonstrate that the work qualifies as fundamental research. Identify proposed technical volume task number(s) as appropriate.> | |

*Note: Duplicate 5(a) and (b) for each additional Research Performer. Renumber additional entries (e.g., Research Performer 2 / Fundamental Research and Justification 2).*