**Solicitation Name:** DHS SBIR Phase l

**Solicitation Number:** 70RSAT22R00000005

**Proposal Manager:** [Fill in]

**Submission Date:** 1:00 PM ET on January 19, 2022

**Last Updated:** [Fill in]

**Legend:** Forms, Formatting

| Field # | RFP Requirement (Text Extract) | RFP Page, Section, Paragraph | Proposal Volume/Section, Page, Paragraph | Writing Assigned To | Notes Regarding Compliance | Due Date | Status |
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| 1. Cover Sheet

It is a requirement for the Offeror to provide basic details about the proposed effort on the proposal Cover Sheet. Additionally, the Cover Sheet includes the following fillable sections: Technical Abstract, Project Aims, and Summary of Results. To complete this form, Offeror will need to navigate through the tabs at the top of the web-based input, and complete all required sections. |
| Company | Most information for this section should already be system-completed through records identification when offeror completes their registration. Offeror will need to mark whether the submission contains proprietary data, input a project start date and duration **(estimated Period of Performance for this solicitation is May 2018 - Oct 2018)**, and complete the Transition Rate/Commercialization Benchmarks Questionnaire. |  |  |  |  |  |  |
| POC | The information for this section will already be system-completed through records identification when offeror completes their registration. If there is a different POC for the project, input the corrected values. |  |  |  |  |  |  |
| Certification | This section will ask questions about the status of the company and the proposal that is being submitted. Offeror will need to complete all sections of this tab.  |  |  |  |  |  |  |
| PI | This section will ask for data on the Principal Investigator of the project. Offeror will need to complete all sections of this tab. |   |  |   |   |  |   |
| Key Individuals | This section will require information for all team members that have been identified as a Key Individual for the project. To add additional Key Individuals, offeror will need to click the appropriate button at the bottom of the tab. Offeror will need to complete all sections of this tab. |  |  |  |  |  |  |
| Participants | This section will require information for all team members that are a Subcontractor, Research Institution, for the project. To add additional Key Individuals, offeror will need to click the appropriate button at the bottom of the tab. Offeror will need to complete all sections of this tab. |  |  |  |  |  |  |
| Other | **Technical Abstract**The Technical Abstract is limited to 250 words. The abstract must identify the purpose of the work and briefly describe the work to be carried out, the finding or results, and the potential commercial applications of the effort. If the Offeror’s proposal is selected for award, the Technical Abstract section will be publicly posted on the DHS SBIR website and on the Small Business Administration’s website; therefore, do not include proprietary or classified information in the Technical Abstract section of the Cover Sheet. |   |  |   |   |  |   |
| **Project Aims**The Project Aims section is limited to 500 words and is for Government use only. **For Phase I proposals only**, the Offeror should state the specific objectives of the Phase I R/R&D effort, including the technical questions the Offeror will answer to determine the Phase I feasibility of the proposed approach and the impact that the results of the proposed research will exert on the research field(s) involved. The Offeror should state concisely and realistically what the proposed research is intended to accomplish in terms of its potential for technological innovation and commercial application. The proposed product, process or service that will ultimately be developed must be defined. Milestones for each of the aims should be included, as these will be used in the evaluation process. |  |  |  |  |  |  |
| **Summary of Results**The Summary of Results section is limited to 500 words, must not contain proprietary information, and is for Government use only. The Offeror should provide the anticipated results and implications of the approach (both Phases I and II) and the potential commercial applications of the research. |  |  |  |  |  |  |
| **Keywords**Enter a list of keywords here that will help reviewers identify your proposal and the intended solution. |  |  |  |  |  |  |
| 1. Technical Proposal Format and Content

Prepare the Technical Proposal in single column format, 12‐point Times New Roman, with 1” margins on 8 ½” x 11” paper. Company name, topic number, and proposal number must be included in the header of each page. (The header may be included in the 1” margin.) The use of 10‐point font is permissible for imbedded tables, figures and graphics. The Phase I Technical Proposal is limited to 20 pages.The Technical Proposal must be a single file, including tables, figures, graphics and table of contents (if included). Do not lock, password protect, or encrypt the file to be uploaded.Perform a virus check before uploading the Technical Proposal file. If a virus is detected, it may cause rejection of the proposal.The Technical Proposal must include the following sections in the order provided:  |
| I. Identification and Significance of the Problem or Opportunity | Succinctly define the specific technical problem or opportunity addressed; the proposed innovation; the relevance and significance of the proposed innovation to a need(s) within the topic description; the proposed innovation relative to the state of the art; and the importance of the work proposed. |   |  |   |   |  |   |
| II. Phase I Technical Objectives | **(Phase I proposals only)** – State the specific objectives of the Phase I R/R&D effort, including the technical questions that must be answered to determine the feasibility of the proposed innovation/approach |   |  |   |   |  |   |
| III. Phase I Work Plan | **(Phase I proposals only)** (including the efforts of the subcontractor(s)/consultant(s), if applicable) – Provide an explicit, detailed description of the Phase I approach. The Plan should indicate what tasks are planned, how, when, and where the work will be conducted, a schedule of major events, and the final product(s) to be delivered. The Phase I effort should determine the technical feasibility of the proposed concept, and address the questions cited in the Technical Objectives immediately above. The methods planned to achieve each objective or task should be discussed explicitly and in detail. Task descriptions, schedules, resource allocations, estimated task hours for each key personnel and planned accomplishments, including project milestones, should be included. This section will be a substantial portion of the total Technical Proposal. |   |  |   |   |  |   |
| IV. Related R/R&D | Describe significant (current and/or previous) R/R&D activities that are directly related to the proposed effort, including any conducted by the principal investigator, the Offeror, consultants, or others. Discuss any planned coordination with outside sources. Describe how these activities relate to the proposed project. Describe previous efforts similar but directly related to the proposed effort. For each effort, provide the following: (a) short description, (b) client for which work was performed (including individual to be contacted and phone number), and (c) date of completion. The Offeror should persuade reviewers of his or her awareness of key, recent R/R&D conducted by others in the specific topic area. |   |  |   |   |  |   |
| V. Key Individuals and Bibliography of Directly | Identify key personnel who will be involved in the effort including information on directly related education, experience, and bibliographic information. A concise resume for the Principal Investigator and all key personnel, including a list of relevant publications (if any), should be included. All resumes will count toward the appropriate page limitation, see **Section 3.1** of the solicitation. **Offerors must identify any non‐U.S. citizen(s) expected to be involved on proposed project** [including direct employees, subcontractors and consultants], their country of origin, type of visa or work permit under which they are performing, and an explanation of their anticipated level of involvement on this project. **Do not include Privacy Act Information.** SBC foreign national(s) must first be cleared by S&T’s Foreign Disclosure Office prior to working and accessing data or information on awarded SBIR efforts. Foreign nationals must receive separate clearances for each award including awards from multiple topics and multiple awards on the same topic. All foreign nationals requiring SBIR access must complete DHS foreign access management screening. Foreign Nationals must complete the DHS Form, 11000-55 upon request during award negotiation. |   |  |   |   |  |   |
| VI. Relationship with Future R/R&D | **(Phase I proposals only)** – State the anticipated results of the proposed approach if the project is successful through Phase I and Phase II. Discuss the significance of the Phase I effort in providing a foundation for Phase II research or research and development effort, application and commercialization efforts (Phase III). |   |  |   |   |  |   |
| VII. Commercialization Strategy | **(Phase I proposals only)** – (1) Explicitly describe the company's strategy (vision) for commercializing the proposed technology and how it will transition to the specific operational component in DHS, other Federal Agencies, and/or private sector markets. (2) Provide specific information on what related technologies, if any, already exist in the market and why the technology being proposed will be superior and how this information was ascertained. (3) Include a discussion on the Offeror’s current capability to commercialize previously developed technologies, as well as how the Offeror intends to develop the proposed technology all the way to the market. Responses to (1), (2), and (3) should be specific to the technology being proposed. Failure to respond to any of the items listed will result in a lower valuation for criterion c (See Section 4.1 of the solicitation for Phase I evaluation criteria). If the Offeror has no commercial experience (item (3)) this should clearly be stated and Offeror should describe how Offeror intends to bring the necessary experience to the company |   |  |   |   |  |   |
| VIII. Facilities/Equipment | Provide information to allow the evaluators to assess the ability of the Offeror to carry out the activities of the proposed phase as well as all subsequent phases. Describe available instrumentation and physical facilities necessary to carry out the proposed effort. Equipment to be purchased, as detailed in the Cost Proposal, should be justified under this section. Also state whether or not the facilities where the proposed work will be performed meet environmental laws and regulations of federal, state, 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. |   |  |   |   |  |   |
| IX. Subcontractors/Consultants | Involvement of any subcontractor(s) or consultant(s) (including Federal Laboratories, FFRDCs, universities, and technical assistance providers) is permitted. If such involvement is proposed, it should be described in detail in this section and also in the Cost Proposal. Subcontractors’ or consultants’ involvement under Discretionary Technical Assistance (see Section 5.11 of the solicitation) should be clearly delineated from involvement by other subcontractors and consultants. A minimum of two‐thirds (66%) of the research and/or analytical work in Phase I, as measured by total contract value, should be carried out by the proposing small business concern. A minimum of one‐half (50%) of the research and/or analytical work in Phase II, as measured by total contract value, should be carried out by the proposing small business concern.If the small business concern determines that it needs to acquire services from a non‐U.S. source, it must fully explain in its proposal why a non‐U.S. source must be used, and why no qualified U.S. source exists to perform the same services. |   |  |   |   |  |   |
| X. Potential Post Applications | Briefly describe the following: (1) whether and by what means the proposed project appears to have potential commercial application; and (2) whether and by what means the proposed project appears to have potential use by the Federal Government. |   |  |   |   |  |   |
| XI. Prior, Current, or Pending Support of Similar Proposals or Awards | WARNING – While it is permissible, with proposal notification, to submit identical proposals or proposals containing a significant amount of essentially equivalent work (see **Appendix B** of the solicitation) for consideration under numerous Federal program solicitations, it is unlawful to enter into funding agreements (contracts or grants) requiring essentially equivalent effort. If there is any question concerning this, it must be disclosed to the soliciting agency or agencies before award.If an Offeror elects to submit identical proposals or proposals containing a significant amount of essentially equivalent work in response to this Solicitation, or other Federal program solicitations, or is substantially the same as another proposal that has been funded, is now being funded, will be submitted to other agencies for funding consideration, or is pending with DHS or another Federal Agency, the Offeror must indicate so on the Proposal Cover Sheet and provide the following information in the Technical Proposal:1. Name and address of the Federal Agency(s) to which a proposal was submitted, will be submitted, or from which an award is expected or has been received.
2. Date of proposal submission or date of award
3. Title of proposal
4. Name and title of principal investigator or project manager for each proposal submitted or award received
5. Title, number, and date of solicitation(s) under which the proposal was submitted, will be submitted, or under which award is expected or has been received
6. If award was received, state contract number
7. Specify the applicable topics for each SBIR Proposal submitted or award received

**Note**: If this section does not apply, the following statement should be included in the Technical Proposal: "No prior, current, or pending support for proposed work." |  |  |  |  |  |  |
| 1. Cost Proposal

All Offerors must complete the cost proposal information in the SBIR Portal at <https://oip.dhs.gov/sbir/public>. Proposed costs must not exceed the maximum thresholds outlined below.

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| **Phase I****$150,000****5 months** | **Phase II** **$1,000,000****24 months** |
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| Section A: Direct Labor Cost | 1. In the Labor Category field, enter the proposed labor categories, (e.g., Principal Investigator/Project Manager, Research Assistant/Laboratory Assistant, Analyst, Administrative Staff).
2. In the Hours field, enter the proposed hours required for the specific labor category.
3. In the Rate ($) field, enter the proposed hourly rate for the specific labor category.
4. When you enter numbers into the Hours and the Rate ($) fields, the Cost ($) (hours x rate) field automatically populates with the calculation.

[You may remove a labor category by clicking the Delete button.]1. Add subsequent labor costs in the remaining rows. If you need to add more than three labor categories, click the Add More Lines button to add an additional row.
2. When you are finished with Section A, click Save and Continue to proceed to the Section B tab.
* Please do not use commas (,) in hours, rate, and cost.
* Hours must be whole numbers.
* Rate and cost will only accept up to two (2) decimal places.
 |  |  |  |  |  |  |
| Section B: Overhead Cost | Specify current rate and base. Use current rate(s) negotiated with the cognizant federal negotiating agency, if available, OR provide a number for total estimated overhead costs to execute the project.1. You may choose to enter the rate of the overhead cost as the percentage of the Total Direct Labor. Use the current rate(s) negotiated with the cognizant federal negotiating agency, if available.
2. You may choose to enter the total cost for the total estimated overhead costs to execute the project. If you enter the total cost, also enter the explanation for the total cost in the Explanation field. This field is limited to 1000 characters.
3. When you are finished with Section B, click Save and Continue to proceed to the Section C tab.
 |  |  |  |  |  |  |
| Section C: Other Direct Costs (ODCs) | You must provide an explanation for each ODC specified in the text box displayed at the end of the form. Explanation is limited to 4000 characters total.* Please do not use commas (,) in cost.
* Cost will only accept up to two (2) decimal places.
1. In the Category field, enter the category of the ODC as it pertains to the section (e.g., in the Subcontracts section, you might enter a Consultant category).
2. In the Cost ($) field, enter the projected cost for that category. Do not use commas (,) in the Cost ($) field. The field will only accept up to two (2) decimal places.
3. You may remove a labor category by clicking the Delete button.
4. At the bottom of the page, enter your explanation of the ODC(s) in the Explanation field. Include the basis used for estimating costs (e.g., vendor quote, catalog price, if any travel is proposed, include an explanation of the purpose of each trip, number of travelers, and cost of each trip. For materials, include a description of the materials, quantity required, and basis for the proposed cost. )
5. When you are finished with Section C, click Save and Continue to proceed to the Section D tab.
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| For Phase I planning purposes, Offerors should budget for two mandatory trips to Washington, DC – a post‐award kick‐off meeting and a one‐day meeting to present the results in the final report. The structure of the kick‐off meeting is different for S&T and DNDO topics. Refer to the table below for details:PHASE I TRAVEL DETAILS **S&T Topics** Day 1 (Mandatory) Session includes:* Program background and contracting overview
* One‐on‐One sessions with Topic Managers

Day 2(Mandatory) Commercialization workshopDay 3(Optional) Showcasing and Presentation Workshop ‐ venue where small business concerns can enhance their presentation skills in front of Government, Industry and representatives from the investment community**DNDO Topics** Day 1 (Mandatory) Session includes:* Program background and contracting overview
* One‐on‐One sessions with Topic Managers
 |  |  |  |  |  |  |
| Section D: General & Administrative (G&A) Cost | On the Section D tab, enter General & Administrative (G&A) Cost information. Specify current rate and base. Use current rate(s) negotiated with the cognizant federal negotiating agency, if available, OR provide a number for total estimated general & administrative costs to execute the project.1. You may choose to enter the rate of the G&A cost as the percentage of the Subtotal. Use the current rate(s) negotiated with the cognizant federal negotiating agency, if available.
2. You may choose to enter the total cost for the total estimated G&A costs to execute the project. If you enter the total cost, also enter the explanation for the cost in the Explanation field. Explanation field is limited to 1000 characters.
3. When you are finished with Section D, click Save and Continue to proceed to the Section E tab.
 |  |  |  |  |  |  |
| Section E: Profit/Fee Rate/Cost  | This includes the profit to be added to total budget, shared costs to be subtracted from total budget, as applicable. For Cost Sharing, enter rate or cost as a negative number.1. On the Section E tab, enter Profit/Fee Rate/Cost information. You may choose to enter the rate as the percentage of the Total Cost.
2. You may choose to enter the total cost. If you enter the total cost, also enter the explanation for the cost in the Explanation field. The explanation field is limited to 1000 characters.
3. When you are finished with Section E, click Save and Continue to proceed to the Section F tab.
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| Section F: Deliverables and Audit Info | On the Section F tab, enter Deliverables and Audit information.1. Upon selection, you will be required to submit mandatory deliverables such as progress reports, final report, and New Technology report per the contract. If your company is proposing any additional deliverables, list them in the Additional Deliverables field.
2. In the Quantity field, include the unit of measurement, (e.g., 2 models or 1.5 lbs. of material.)
3. In the Project Delivery Milestone field, identify the milestone at which you will submit the specified deliverable.
4. To remove a deliverable, click the Delete button.
5. If you require the use of government facilities or equipment, identify them in the available text box.
6. In the Audit Agency Contact information section, if a federal agency has ever audited your accounting system, specify the agency, office location, and contact information.
7. When you are finished with Section F, click Save and Continue to proceed to the Summary tab
 |  |  |  |  |  |  |
| 1. Briefing Chart

The mandatory one‐page Briefing Chart should provide a very concise summary of the overall effort. The Briefing Chart is uploaded during proposal submission and may be used in the evaluation process. The briefing chart MUST NOT contain proprietary or classified data. Offerors must use the Briefing Chart template provided in Attachment 3 of the solicitation. |