**Solicitation Name:** DoD STTR Phase l

**Solicitation Number:** DoD 2019.B

**Proposal Manager:** [Fill in]

**Submission Date:** 8 PM ET on July 1, 2019

**Last Updated:** [Fill in]

**Legend:** Forms, Formatting

| Volume # | BAA Requirement (Text Extract) | BAA Page, Section, Paragraph | Proposal Volume/  Section, Page, Paragraph | Writing Assigned To | Notes Regarding Compliance | Due Date | Status |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 1. Cover Sheet   On the DoD Submission Web site at https://sbir.defensebusiness.org/, prepare the Proposal Cover Sheet. Do not include proprietary or classified information in the Proposal Cover Sheet. If your proposal is selected for award, the technical abstract and discussion of anticipated benefits may be publicly released on the Internet. Once the Cover Sheet is saved, the system will assign a proposal number. You may modify the cover sheet as often as necessary until the BAA closes. | | | | | | | |
| Basic Information | Certify Firm Information is accurate and choose whether you want to allow for the release of contact information to Economic Development Organizations. Provide Institution Information name of organization, type of organization, Tax ID (to verify RI status) and Percentage of Work. | Page 20. 5.4 a. |  |  |  |  |  |
| Certification | 13 Yes/No questions certifying firm eligibility to submit under the SBIR/STTR programs. |  |  |  |  |  |  |
| Business Information | Basic questions on business. |  |  |  |  |  |  |
| Proposal Information | Essential information about the proposed project, including budget and duration for base plus option[[1]](#endnote-1), Technical Abstract limited to 200 words with no classified or proprietary information, Anticipated Benefits/Potential Commercial Applications of the Research or Development, and List of maximum 8 Key Words or phrases, separated by commas, that describe the Project. |  |  |  |  |  |  |
| Contact Information | Essential information on project team, including teaming partners or subcontractors proposed, proposed PI effort, business and technical contact information (Name,Title,Phone Number,Fax,Email), and Institution Official |  |  |  |  |  |  |
| 1. Technical Volume   The Technical Volume must be a single Portable Document Format (PDF) file, including graphics. The Technical Volume is limited to 20 pages with no type smaller than 10-point on standard 8-1/2" x 11" paper with one-inch margins. Number all pages of your proposal consecutively. The header on each page of the Technical Volume should contain your company name, topic number, and proposal number assigned by the DoD SBIR/STTR Submission Web site when the Cover Sheet was created. The header may be included in the one-inch margin. Ensure all required sections are in the order given below and titled in the same manner. | | | | | | | |
| (1) Identification and Significance of the Problem or Opportunity | Define the specific technical problem or opportunity addressed and its importance. |  |  |  |  |  |  |
| (2) Phase I Technical Objectives. | Enumerate the specific objectives of the Phase I work, including the questions the research and development effort will try to answer to determine the feasibility of the proposed approach. |  |  |  |  |  |  |
| (3) Phase I Statement of Work (including Subcontractors’ Efforts) | a) Provide an explicit, detailed description of the Phase I approach. If a Phase I option is required or allowed by the Component, describe appropriate research activities which would commence at the end of Phase I base period should the Component elect to exercise the option. The Statement of Work should indicate what tasks are planned, how 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 attempt to determine the technical feasibility of the proposed concept. The methods planned to achieve each objective or task should be discussed explicitly and in detail. This section should be a substantial portion of the Technical Volume section. |  |  |  |  |  |  |
|  | b) This BAA may contain topics that have been identified by the Program Manager as research or activities involving Human/Animal Subjects and/or Recombinant DNA. In the event that Phase I performance includes performance of these kinds of research or activities, please identify the applicable protocols and how those protocols will be followed during Phase I. Please note that funds cannot be released or used on any portion of the project involving human/animal subjects or recombinant DNA research or activities until all of the proper approvals have been obtained (see Sections 4.7 - 4.9). |  |  |  |  |  |  |
| (4) Related Work. | Describe significant activities directly related to the proposed effort, including any conducted by the principal investigator, the proposing firm, consultants, or others. Describe how these activities interface with the proposed project and discuss any planned coordination with outside sources. The technical volume must persuade reviewers of the proposer's awareness of the state-of-the-art in the specific topic. Describe previous work not directly related to the proposed effort but similar. Provide the following: (1) short description, (2) client for which work was performed (including individual to be contacted and phone number), and (3) date of completion. |  |  |  |  |  |  |
| (5) Relationship with Future Research or Research and Development | a) State the anticipated results of the proposed approach if the project is successful.  b) Discuss the significance of the Phase I effort in providing a foundation for Phase II research or research and development effort.  c) Identify the applicable clearances, certifications and approvals required to conduct Phase II testing and outline the plan for ensuring timely completion of said authorizations in support of Phase II research or research and development effort. |  |  |  |  |  |  |
| (6) Commercialization Strategy | Describe in approximately one page your company's strategy for commercializing this technology in DoD, other Federal Agencies, and/or private sector markets. Provide specific information on the market need the technology will address and the size of the market. Also include a schedule showing the quantitative commercialization results from this STTR project that your company expects to achieve. The Commercialization Readiness Program has been extended to STTR. |  |  |  |  |  |  |
| (7) Key Personnel | Identify key personnel who will be involved in the Phase I effort including information on directly related education and experience. A concise technical resume of the principal investigator, including a list of relevant publications (if any), must be included (Please do not include Privacy Act Information). All resumes will count toward the applicable page limitation. |  |  |  |  |  |  |
| (8) Foreign Citizens | Identify any foreign citizens or individuals holding dual citizenship expected to be involved on this project 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. Offerors frequently assume that individuals with dual citizenship or a work permit will be permitted to work on an STTR project and do not report them. This is not necessarily the case and a proposal will be rejected if the requested information is not provided. Therefore, firms should report any and all individuals expected to be involved on this project that are considered a foreign national as defined in Section 3.5 of the BAA. You may be asked to provide additional information during negotiations in order to verify the foreign citizen’s eligibility to participate on a STTR 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)). |  |  |  |  |  |  |
| (9) Facilities/Equipment | Describe available instrumentation and physical facilities necessary to carry out the Phase I 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. |  |  |  |  |  |  |
| (10) Subcontractors/Consultants | Involvement of a research institution in the project is required and the institution should be identified and described according to the [Cost Breakdown Guidance](http://www.acq.osd.mil/osbp/sbir/docs/costbreakdown.pdf). A minimum of 40% of the research and/or analytical work in Phase I, as measured by direct and indirect costs, must be conducted by the proposing firm, unless otherwise approved in writing by the Contracting Officer. STTR efforts may include subcontracts with Federal Laboratories and Federally Funded Research and Development Centers (FFRDCs). A waiver is no longer required for the use of federal laboratories and FFRDCs; however, proposers must certify their use of such facilities on the Cover Sheet of the proposal. |  |  |  |  |  |  |
| (11) Prior, Current, or Pending Support of Similar Proposals or Awards | If a proposal submitted in response to this BAA 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 wxas 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) or solicitation(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 STTR proposal submitted or award received.  *Note: If this does not apply, state in the proposal "No prior, current, or pending support for proposed work."* |  |  |  |  |  |  |
| 1. Cost Volume   Complete the Cost Volume in the format shown in the Cost Breakdown Guidance by using the on-line cost volume form on the DoD Submission Web site. Some items in the Cost Breakdown Guidance may not apply to the proposed project. If that is the case, there is no need to provide information on each and every item. What matters is that enough information be provided to allow us to understand how you plan to use the requested funds if a contract is awarded. | | | | | | | |
| Direct Labor Costs | List all key personnel by name as well as by number of hours dedicated to the project as direct labor |  |  |  |  |  |  |
| Direct Material Costs | While special tooling and test equipment and material cost may be included under Phases I, the inclusion of equipment and material will be carefully reviewed relative to need and appropriateness for the work proposed. The purchase of special tooling and test equipment must, in the opinion of the Component Contracting Officer, be advantageous to the Government and should be related directly to the specific topic. These may include such items as innovative instrumentation or automatic test equipment. Title to property furnished by the Government or acquired with Government funds will be vested with the DoD Component, unless it is determined that transfer of title to the contractor would be more cost effective than recovery of the equipment by the DoD Component. |  |  |  |  |  |  |
| Travel | Cost for travel funds must be justified and related to the needs of the project. |  |  |  |  |  |  |
| Cost Sharing | Cost sharing is permitted for proposals under this BAA; however, cost sharing is not required nor will it be an evaluation factor in the consideration of a Phase I proposal. |  |  |  |  |  |  |
| Option Period | A Phase I Option (if applicable) should be fully costed separately from the Phase I (base) approach. |  |  |  |  |  |  |
| Subcontracts/Consultants | All subcontractor costs and consultant costs must be detailed at the same level as prime contractor costs in regard to labor, travel, equipment, etc. Provide detailed substantiation of subcontractor costs in your cost proposal. Enter this information in the Explanatory Material section of the on-line cost proposal form. The Supporting Documents Volume (Volume 5) may be used if additional space is needed. |  |  |  |  |  |  |
| 1. Company Commercialization Report (CCR)   The Company Commercialization Report is the fourth section of a complete proposal package. The Company Commercialization Report is prepared through the DoD Submission Web site (<https://sbir.defensebusiness.org/>). A Company Commercialization Report is required even if the proposing firm has not previously received SBIR or STTR awards. Follow the instructions on the SBIR/STTR Submission Web site and enter the quantitative commercialization results of your firm's prior Phase II projects. Include the items listed below as well as other information relative to your firm’s commercialization track record. | | | | | | | |
|  | 1. Sales revenue from new products and non-R&D services resulting from Phase II technology; 2. Additional investment from sources other than the federal SBIR/STTR Program in activities that further the development and/or commercialization of Phase II technology; 3. Whether the Phase II technology has been used in a fielded DoD system or acquisition program and, if so, which system or program; 4. The number of patents resulting from the contractor's participation in the SBIR/STTR Program; 5. Growth in number of firm employees; and 6. Whether the firm has completed an initial public offering of stock (IPO) resulting, in part, from a Phase II project. |  |  |  |  |  |  |
|  | All prior DoD and non-DoD Phase II projects must be reported, regardless of whether the project has any commercialization to date.  The Web site will compare these results to the historical averages for the DoD STTR Program to calculate a Commercialization Achievement Index (CAI) value. Only firms with four or more Phase II projects that were awarded at least two years prior to this BAA will receive a CAI score; otherwise the CAI is not applicable (see the Company Commercialization Report section of the DoD Submission Web site for more details). Firms with a CAI at the 20th percentile or below will be rated no higher than “Marginal” for this factor. This report shall only be prepared once and submitted with all your proposals for this BAA. A report showing that a firm has received no prior Phase II awards will not affect the firm's ability to obtain an SBIR award.  Additional explanatory material relating to the firm's record of commercializing its prior SBIR or STTR projects may be included in the Commercialization Track Record Narrative section of the Company Commercialization Report. Examples of the additional information include: commercialization successes in government or private sector markets that are not fully captured in the quantitative results (e.g. commercialization resulting from your firm's prior Phase I projects); any mitigating factors that could account for low commercialization; and recent changes in the firm's organization or personnel designed to increase the firm's commercialization success. |  |  |  |  |  |  |
| 1. Supporting Documents   The Supporting Documents Volume was implemented beginning with the SBIR 18.2 BAA. Volume 5 is provided for small businesses to submit additional documentation to support the Technical Volume (Volume 2) which is limited to 20 pages, and the Cost Volume (Volume 5). The Supporting Documents Volume is available for use for submitting Phase I and Phase II proposals for both the DoD SBIR and STTR Programs. | | | | | | | |
|  | Documents that are acceptable and may be included in Volume 5 are:   1. Letters of Support 2. Additional Cost Information 3. Funding Agreement Certification 4. Technical Data Rights (Assertions) 5. Lifecycle Certification 6. Allocation of Rights 7. Other   Please refer to the Component-specific instructions for your topics of interest to learn how each program office will be handling the Volume 5 information.   * Please note: DHA will not accept submission of Volume 5. The Navy, Air Force and USSOCOM will accept submission of Volume 5; however, no information included in Volume 5 will be used in the evaluation of proposals |  |  |  |  |  |  |
| 1. Fraud, Waste, and Abuse Training   The Fraud, Waste and Abuse Training Certification has been implemented for the SBIR 18.3 BAA cycle. | | | | | | | |
|  | The Fraud, Waste and Abuse Training Certification was implemented beginning with the SBIR 18.C BAA cycle. Please refer to the Component-specific instructions for your topics of interest to see how each program office will be handling the Fraud, Waste and Abuse Training (Volume 6) information.  • Note: Only the Air Force and DLA SBIR Programs require the completion of the Fraud, Waste and Abuse Training (Volume 6) at time of proposal submission. |  |  |  |  |  |  |

1. See Section 5.2 Summary of Component Programs for price and duration limits for base and option. [↑](#endnote-ref-1)