**Solicitation Name:** DoD SBIR Phase l

**Solicitation Number:** DoD 2020.3

**Proposal Manager:** [Fill in]

**Submission Date:** 12 PM ET on October 22, 2020

**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 Defense SBIR/STTR Innovation Portal (DSIP) at <https://www.dodsbirsttr.mil/submissions/>, prepare the Proposal Cover Sheet. The Cover Sheet must include a brief technical abstract of no more than 200 words that describes the proposed R&D project with a discussion of anticipated benefits and potential commercial applications. 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. |
| Certification | 16 Yes/No questions certifying firm eligibility to submit under the SBIR/STTR programs and one percentage of effort question |   |  |   |   |  |   |
| Business Information | Basic questions on business. |   |  |   |   |  |   |
| Proposal Information | Essential information about the proposed project, including duration, Technical Abstract limited to 3000 characters with no classified or proprietary information, Anticipated Benefits/Potential Commercial Applications of the Research or Development limited to 3000 characters[[1]](#endnote-1), 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, and business and technical contact information (Name, Title, Phone Number, Fax, Email) |  |  |  |  |  |  |
| 1. Technical Volume
2. Type of file: The Technical Volume must be a single Portable Document Format (PDF) file, including graphics. Perform a virus check before uploading the Technical Volume file. If a virus is detected, it may cause rejection of the proposal. Do not lock or encrypt the uploaded file. Do not include or embed active graphics such as videos, moving pictures, or other similar media in the document.
3. Length: It is the proposing firm’s responsibility to verify that the Technical Volume does not exceed the page limit after upload to DSIP. Please refer to Component-specific instructions for how a technical volume is handled if the stated page count is exceeded. Some Components will reject the entire technical proposal if the proposal exceeds the stated page count.
4. Layout: Number all pages of your proposal consecutively. Those who wish to respond must submit a direct, concise, and informative research or research and development proposal (no type smaller than 10-point on standard 8-1/2" x 11" paper with one-inch margins). The header on each page of the Technical Volume should contain your company name, topic number, and proposal number assigned by the Defense SBIR/STTR Innovation Portal (DSIP) site when the Cover Sheet was created. The header may be included in the one-inch margin.

The Technical Volume should cover the following items in the order given below: |
| (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) | 1. 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.
 |  |  |  |  |  |  |
|  | 1. 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). **Submitters proposing research involving human and/or animal use are encouraged to separate these tasks in the technical proposal and cost proposal in order to avoid potential delay of contract award.**
 |  |  |  |  |  |  |
| (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. c. Date of completion.
 |  |  |  |  |  |  |
| (5) Relationship with Future Research or Research and Development | 1. State the anticipated results of the proposed approach if the project is successful.
2. Discuss the significance of the Phase I effort in providing a foundation for Phase II research or research and development effort.
3. 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 SBIR project that your company expects to achieve. |  |  |  |  |  |  |
| (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 limitations for Volume 2. |  |  |  |  |  |  |
| (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 SBIR 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 SBIR 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 university or other subcontractors or consultants in the project may be appropriate. If such involvement is intended, it should be identified and described according to the [Cost Breakdown Guidance](https://www.dodsbirsttr.mil/submissions/learning-support/firm-templates). A minimum of two-thirds of the research and/or analytical work in Phase I, as measured by direct and indirect costs, must be carried out by the proposing firm, unless otherwise approved in writing by the Contracting Officer. SBIR 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 | 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:* 1. Name and address of the Federal Agency(s) or DoD Component 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 for each proposal submitted or award received.
	5. 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.
	6. If award was received, state contract number.
	7. Specify the applicable topics for each SBIR 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 by using the on-line cost volume form on the Defense SBIR/STTR Innovation Portal (DSIP). 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. |
| 1. Direct Labor Costs
 | List all key personnel by name as well as by number of hours dedicated to the project as direct labor. |  |  |  |  |  |  |
| 1. Direct Material Costs
 | While special tooling and test equipment and material cost may be included under Phases I, 24 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. |  |  |  |  |  |  |
| 1. Travel
 | Cost for travel funds must be justified and related to the needs of the project.  |  |  |  |  |  |  |
| 1. 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.  |  |  |  |  |  |  |
| 1. Option Period
 | A Phase I Option (if applicable) should be fully costed separately from the Phase I (base) approach. |  |  |  |  |  |  |
| 1. 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 (CCR) will NOT be available during the 20.3 BAA cycle for Phase I or Direct to Phase II proposals. No Commercialization Achievement Index (CAI) will be generated. The CCR will be available for future DoD BAA cycles. If the CCR is available at the time of the Phase II submission for any awarded Phase I efforts resulting from this BAA, the proposing firm is required to submit the CCR for its Phase II proposal. |
| 1. Supporting Documents

Volume 5 is provided for small businesses to submit additional documentation to support the Technical Volume (Volume 2), and the Cost Volume (Volume 5). |
|  | 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

**Refer to the Component-specific instructions for Volume 5 requirements.** |  |  |  |  |  |  |
| 1. Fraud, Waste, and Abuse Training

Refer to the Component-specific instructions for the Fraud, Waste and Abuse Training (Volume 6) requirements. |

1. In this section recommend splitting it out into two sections: DEFENSE BENEFITS: Describe how your solution will help a \*specific\* Defense End-User. Do not simply say “My invention will help ‘The Defense’”; instead say something like “My invention will help SSgt Nichols, who is a maintenance operator on the F-16 reduce his inspection paperwork time by 30 minutes per day.”; NON-DEFENSE BENEFITS: Describe how your solution will help non-defense end-users and customers. Point out specific potential customers (i.e. Google’s Classroom product vs ‘the education industry’). [↑](#endnote-ref-1)