

Proposal Compliance Matrix - DOD Phase I

Solicitation Name: DoD SBIR Phase I

Submission Date: 12 PM ET on March 8, 2023

Solicitation Number: DoD 2023.1

Last Updated: [Fill in]

Proposal Manager: [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
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Proposal requirements may vary. Refer to the Component-specific instructions.

I. **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.

Effective January 2023, the amounts listed in the Percentage of Work (POW) certification question on the Proposal Cover Sheet are derived from information entered by the proposing small business concern in the Cost Volume (Volume 3). Details on the calculation can be viewed in DSIP during proposal submission.

II. **Technical Volume**

- 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.**
- 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.**
- 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.

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The Technical Volume should cover the following items <u>in the order given below</u> :							
(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)	<p>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.</p>						
	<p>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</p>						

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	<p>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.</p>						
(4) Related Work	<p>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:</p> <ol style="list-style-type: none"> a. Short description, b. Client for which work was performed (including individual to be contacted and phone number), and c. Date of completion. 						
(5) Relationship with Future Research or Research and Development	<ol style="list-style-type: none"> 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. 						

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(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). <u>All resumes will count toward the applicable page limitations for Volume 2.</u>						
(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						

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	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 . A minimum of <u>two-thirds</u> 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	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						

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Proposals or Awards	<p>another or the same DoD Component, you must reveal this on the Proposal Cover Sheet and provide the following information:</p> <ol style="list-style-type: none"> a. 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. 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 SBIR proposal submitted or award received. <p><i>Note: If this does not apply, state in the proposal "No prior, current, or pending support for proposed work."</i></p>						

III. **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.

When a proposal is selected for award, you must be prepared to submit further documentation to the Component Contracting Officer to substantiate costs (e.g., an explanation of cost estimates for equipment, materials, and consultants or subcontractors). For more information about cost proposals and accounting standards, see <https://www.dcaa.mil/Guidance/Audit-Process-Overview/>.

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1. Direct Labor Costs	List all key personnel by name as well as by number of hours dedicated to the project as direct labor.						
2. 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.						
3. Travel	Cost for travel funds must be justified and related to the needs of the project.						

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4. 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.						
5. Option Period	A Phase I Option (if applicable) should be fully costed separately from the Phase I (base) approach.						
6. Subcontractors/Consultants	All subcontractor costs and consultant costs, such as labor, travel, equipment, materials, must be detailed at the same level as prime contractor costs. Provide detailed substantiation of subcontractor costs in your cost proposal. Volume 5, Supporting Documents, may be used if additional space is needed. For more information about cost proposals and accounting standards, see https://www.dcaa.mil/Guidance/Audit-Process-Overview/ .						

IV. Company Commercialization Report (CCR)

The Company Commercialization Report (CCR) allows companies to report funding outcomes resulting from prior SBIR and STTR awards. SBIR and STTR awardees are required by SBA to update and maintain their organization’s CCR on SBIR.gov. Commercialization information is required upon completion of the last deliverable under the funding agreement. Thereafter, SBIR and STTR awardees are requested to voluntarily update the information in the database annually for a minimum period of 5 years.

If the proposing firm has prior DoD and/or non-DoD Phase I and/or Phase II SBIR/STTR awards, regardless of whether the project has any commercialization to date, a PDF of the CCR must be downloaded from SBIR.gov and uploaded to the Firm Forms section of DSIP by the Firm Admin. Firm Forms are completed by the DSIP Firm Admin and are applied across all proposals the firm submits. The DSIP CCR requirement is fulfilled by completing the following:

1. Log into the firm account at <https://www.sbir.gov/>.
2. Navigate to My Dashboard > My Documents to view or print the information currently contained in the Company Registry Commercialization Report.

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3. 4. 5.	<p>Create or update the commercialization record, from the company dashboard, by scrolling to the “My Commercialization” section, and clicking the create/update Commercialization tab under “Current Report Version”. Please refer to the “Instructions” and “Guide” documents contained in this section of the Dashboard for more detail on completing and updating the CCR. Ensure the report is certified and submitted.</p> <p>Click the “Company Commercialization Report” PDF under the My Documents section of the dashboard to download a PDF of the CCR.</p> <p>Upload the PDF of the CCR (downloaded from SBIR.gov in previous step) to the Company Commercialization Report in the Firm Forms section of DSIP. This upload action must be completed by the Firm Admin.</p> <p>This version of the CCR, uploaded to DSIP from SBIR.gov, is inserted into all proposal submissions as Volume 4.</p> <p>While all proposing firms with prior DoD and/or non-DoD Phase I and/or Phase II SBIR/STTR awards must report funding outcomes resulting from these awards through the CCR from SBIR.gov and upload a copy of this report to their Firm Forms in DSIP, please refer to the Component-specific instructions for details on how this information will be considered during proposal evaluations.</p> <p>During proposal submission, the proposer will be prompted with the question: “Do you have a new or revised Company Commercialization Report to upload?”. There are three possible courses of action:</p>						
	<p>a. If the proposing firm has prior DoD and/or non-DoD Phase I and/or Phase II SBIR/STTR awards, and DOES have a new or revised CCR from SBIR.gov to upload to DSIP, select YES.</p> <ul style="list-style-type: none"> If the user is the Firm Admin, they can upload the PDF of the CCR from SBIR.gov directly on this page. It will also be updated in the Firm Forms and be associated with all new or in-progress proposals submitted by the firm. If the user is not the Firm Admin, they will receive a message that they do not have access and must contact the Firm Admin to complete this action. <u>WARNING:</u> Uploading a new CCR under the Firm Forms section of DSIP or clicking “Save” or “Submit” in Volume 4 of one proposal submission is considered a change for ALL proposals under 						

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	<p>any open BAAs or CSOs. If a proposing firm has previously certified and submitted any Phase I or Direct to Phase II proposals under any BAA or CSO <i>that is still open</i>, those proposals will be automatically reopened. Proposing firms will have to recertify and resubmit such proposals. If a proposing firm does not recertify or resubmit such proposals, they will not be considered fully submitted and will not be evaluated.</p>						
	<p>b. If the proposing firm has prior DoD and/or non-DoD Phase I and/or Phase II SBIR/STTR awards, and DOES NOT have a new or revised CCR from SBIR.gov to upload to DSIP, select NO.</p> <ul style="list-style-type: none"> • If a prior CCR was uploaded to the Firm Forms, the proposer will see a file dialog box at the bottom of the page and can view the previously uploaded CCR. This read-only access allows the proposer to confirm that the CCR has been uploaded by the Firm Admin. • If no file dialog box is present at the bottom of the page that is an indication that there is no previously uploaded CCR in the DSIP Firm Forms. To fulfill the DSIP CCR requirement the Firm Admin must follow steps 1-5 listed above to download a PDF of the CCR from SBIR.gov and upload it to the DSIP Firm Forms to be included with all proposal submissions. 						
	<p>c. If the proposing firm has NO prior DoD and/or non-DoD Phase I and/or Phase II SBIR/STTR awards, the upload of the CCR from SBIR.gov is not required and firm will</p>						

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	select NO. The CCR section of the proposal will be marked complete.						
V. Supporting Documents Volume 5 is provided for proposers to submit additional documentation to support the Coversheet (Volume 1), Technical Volume (Volume 2), and the Cost Volume (Volume 3).							
	All proposers are REQUIRED to submit the following documents to Volume 5: <ol style="list-style-type: none"> 1. Contractor Certification Regarding Provision of Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment (Attachment 1) (REQUIRED) 2. Foreign Ownership or Control Disclosure (BAA Attachment 2) (Proposers must review Attachment 2: Foreign Ownership or Control Disclosure to determine applicability) Any of the following documents may be included in Volume 5 if applicable to the proposal. <ol style="list-style-type: none"> 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 <p>Refer to the Component-specific instructions for Volume 5 requirements.</p>						
Contractor Certification	The DoD must comply with Section 889(a)(1)(B) of the National Defense Authorization Act (NDAA) for Fiscal Year 2019, and is						

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Regarding Provision of Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment	<p>working to reduce or eliminate contracts with entities that use any equipment, system, or service that uses covered telecommunications equipment or services (as defined in BAA Attachment 1) as a substantial or essential component of any system, or as critical technology as part of any system.</p> <p>All proposals must include certifications in Defense Federal Acquisition Regulation Supplement (DFARS) provisions 252.204-7016, 252.204-7017, and clause 252.204-7018, executed by the proposer’s authorized company representative. The DFARS provisions and clause may be found in BAA Attachment 1. These certifications must be signed by the authorized company representative and uploaded as a separate PDF file in the supporting documents sections of Volume 5 for all proposal submissions.</p> <p>The effort to complete the required certification clauses includes due diligence on the part of the proposer and for any contractors that may be proposed as a part of the submission including research partners and suppliers. Therefore, proposers are strongly encouraged to review the requirements of these certifications early in the proposal development process. Failure to submit or complete the required certifications as a part of the proposal submission process may be cause for rejection of the proposal submission without evaluation.</p>						
Foreign Ownership or Control Disclosure	<p>Proposers must review Attachment 2: Foreign Ownership or Control Disclosure to determine applicability. If applicable, an authorized firm representative must complete the Foreign Ownership or Control Disclosure (BAA Attachment 2). The</p>						

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	completed and signed disclosure must be uploaded to Volume 5 of the proposal submission.						

VI. Fraud, Waste, and Abuse Training

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

The Fraud, Waste and Abuse (FWA) training is required for Phase I and Direct to Phase II proposals. FWA training provides information on what represents FWA in the SBIR/STTR program, the most common mistakes that lead to FWA, as well as the penalties and ways to prevent FWA in your small business concern. This training material can be found in the Volume 6 section of the proposal submission module in DSIP and must be thoroughly reviewed once per year. Plan ahead and leave ample time to complete this training based on the proposal submission deadline. FWA training must be completed by one DSIP firm user with read/write access (Proposal Owner, Corporate Official or Firm Admin) on behalf of the proposing small business concern.