

Proposal Compliance Matrix – DAF CSO Direct-to-Phase II X23.4

Solicitation Name: DAF CSO Direct-to-Phase II

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Solicitation Number: X23.8

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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
I. Cover Sheet							
On the Defense SBIR/STTR Innovation Portal (DSIP) at https://www.dodsbirsttr.mil/submissions/ , prepare the Proposal Cover Sheet. Do not include proprietary or classified information in the Proposal Cover Sheet. Once the cover sheet is saved, the system will assign a proposal number. The cover sheet may be modified as often as necessary until the CSO closes.							
Technical Abstract	The technical abstract should include a brief program objective/effort description. Technical abstracts are submitted to the Office of the Secretary of Defense (OSD) for public release. Therefore, they shall not contain proprietary or classified information. The term “Component” on the Cover Sheet refers to the soliciting AF organization, AFWERX or AFRL.						
Anticipated Benefits/Potential Commercial Applications of R/R&D	The first line of the ‘Anticipated Benefits’ section should follow this format: We solved [DAF problem] by providing [advantage], to help [DAF end-user organization] accomplish [DAF end-user’s] goal. We will recognize profit by charging [non-Defense commercial customer organizations] to get [non-Defense commercial benefit]. Be very explicit regarding the proposed DAF end user and customer, if different, which is likely, and potential non-SBIR funding sources after successful Phase II completion. This list should also include non-proprietary, non-Defense commercial customers. Do not include specific DAF names or non- Defense customers, as this section will be publicly released.						

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List of maximum 8 Key Words or Phrases, separated by commas, describing the project	This section will be used to categorize the application. These keywords may also be used to identify Phase III transition partners within the Government. Therefore, consider more than technical key words. A potentially useful analogy is Search Engine Optimization (SEO) Keywords.						
<p>II. Technical Volume</p> <p>(1) 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 <u>not</u> 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.</p> <p>(2) Length: The White Paper is limited to 15 pages; any pages in excess of the 15 will not be reviewed.</p> <p>(3) Layout: Number all pages consecutively. Each page should contain the company name, topic number, and proposal number assigned by DSIP when the Cover Sheet was created. Use no smaller than 10-point font.</p> <p>The white paper should cover the following items in the order given below:</p> <p>1) Table of Contents Include a table of contents immediately following the Proposal Cover Sheet. Does not count against the 15-page limit.</p> <p>2) Glossary Include a glossary of acronyms and abbreviations used in the proposal. Does not count against the 15-page limit.</p> <p>3) Technical Summary Below:</p>							
(a) Identification and Significance of the Problem or Opportunity	Briefly describe the specific problem/opportunity addressed in the feasibility study and its relationship to the Direct-to-Phase II.						

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(b) Area of Emphasis	Upfront Coordination Processes; Logistics; Space Payload Sensors; Space Vehicles; Launch Vehicles & Platforms; Ground Systems; Area of Emphasis Otherwise not Defined						
(c) Non-Defense Commercial Solution	<p>Describe the non-Defense commercial solution, including its use by non-Defense commercial customers. Describe its technical specifications as well as the qualitative and quantitative value it brings to the solution’s users. Relevant supporting data such as journal articles, literature, Government publications, etc., should be contained or referenced in the proposal and will count toward the page limit. Additionally, answer the following questions:</p> <p>Does the proposed solution represent an entirely novel standalone solution or does it modify/build upon an existing product or service?</p> <p>Has the proposed solution been (i) sold, leased, or licensed to the public; OR (ii) offered for sale, lease, or license to the public? Provide quantifiable data evidencing this sale, lease, or licensing.</p> <p>What is the non-defense market opportunity of your proposed solution? Can this be quantified or described?</p> <p>Is the proposed item “of a type”, i.e., similar to a commercial item, customarily used by the public or by non-Governmental entities for non- Governmental purposes?</p> <p>What are the end-user use cases for the proposed solution and how does the proposed solution fulfill these use cases?</p> <p>How is the proposed solution different from similar competitor solutions?</p> <p>What are the proposed solution’s technical risks and how are they mitigated?</p>						

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	<p>What is the proposed solution’s technical readiness level, and have any previous results shown the technology’s viability?</p> <p>Include, where applicable pre-sales, pilots, sales, revenue, active users, subscriptions, downloads, and/or other forms of traction/adoption. Broad adoption and commercial success can be indicators of commercial potential and reduced technical risk, but are not mandated. This is an RDT&E solicitation, not a Commercial-Off-the-Shelf resale solicitation. See FAR 2.101 for a full definition of commercial items.</p>						
(d) Proposed Adaptation of Non-Defense Commercial Solution	Describe the proposed R/R&D adaptation of or the T&E (strictly for use in technical or weapons systems) to be performed on the non-Defense commercial solution to meet a US Government end-user need. In this section, answer the following questions:						
	i. How similar is the modified item to others sold in the commercial marketplace to non-US Government customers?						
	ii. Does the supplier perform similar modifications for non-US Government customers?						
	iii. Do DAF unique modifications change the product’s essential use and purpose?						
	iv. Are there differences in the production/manufacturing/delivery processes used to perform the modification for the Federal Government versus non-Government customers?						

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	v. What are the quantitative benefits expected for identified DAF end-users?						
	vi. When adapting the commercial solution, what is the intended Commercial- Off-the-Shelf (COTs) or commercial product/process modification? Explain.						
	vii. If applicable, what Test & Evaluation will be performed on the solution, and what Technical or Weapons System will the solution be integrated into? What is the desired outcome of that T&E?						
(e) Phase I-Type “Feasibility Study” Results	The proposal shall detail the solution’s ability to meet DAF end-users’ and customers’ needs. These results shall be framed in the context of DAF End-User and Customer Exploration previously performed for the effort.						
	<ul style="list-style-type: none"> ○ Scientific or Technical R/R&D effort, including research questions, methods, results, and relevant literature. 						
	<ul style="list-style-type: none"> ○ DAF End-User and Customer Exploration Methods: Describe methods, both successful and unsuccessful, used to perform technical and scientific feasibility analysis, as well as DAF Customer and End-User Exploration, for adapting the non-Defense commercial solution to a specific DAF end-user’s need. This should include detailed reports of at least one in-depth interview with an DAF End-User and one in-depth interview with an DAF Customer. 						
	<ul style="list-style-type: none"> ○ Empowered and Committed DAF End-Users: List and describe specific DAF end- users, e.g., operators willing to support further R&D, testing, evaluation, or trial for the proposed Phase II solution. Specifically explain 						

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	how the proposed solution meets the end-user(s) needs. Describe in as much detail as possible the firm’s understanding of the AF end-user’s problem or benefit area.						
	<ul style="list-style-type: none"> ○ Empowered and Committed DAF Customers: List and describe the specific DAF customer, e.g., a Program Manager at a System Program Office willing to assist with transitioning the proposed Phase II solution into a Phase III. 						
	<ul style="list-style-type: none"> ○ Joint organizations may be the End-User or Customer, but the Customer Memorandum must clearly articulate how the Joint End-User/Customer represents a validated Department of the Air Force need. In these cases, the Primary TPOC must be from the Department of the Air Force. 						
	<ul style="list-style-type: none"> ○ Empowered and Committed US Non-DAF Government End-Users: Commitments from US non-DAF Government end-users will also be considered. However, there MUST be at least one DAF/Joint end-user and customer as described above. 						
	<ul style="list-style-type: none"> ○ NOTE: Inclusion of a Customer Memorandum in the prescribed format is mandatory for proposals submitted against Topic AF234-ODCSO20. The Customer Memorandum formally captures interest from the empowered and committed DAF end-users and customers described above. Proposals without a signed Customer Memorandum or proposals that do not follow the mandatory template will not be considered. Customer Memoranda must be uploaded to the ‘Letters of Support’ Section in Volume 5, Supporting Documents. 						

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(f) Compliance and Regulatory Activities	<ul style="list-style-type: none"> i. Will there be flight testing? (indicate indoor/outdoor and manned/unmanned) ii. If yes to flight testing please provide (if known) the test facility range name and/or location of where the flight test will be conducted. iii. Will any hardware or software be delivered to the Government as part of the contract? Note, the contractor must submit a preliminary hazard list (per Mils Std-882e requirements) with the delivered item. iv. Will any Government personnel, facilities, or Government-owned equipment be used during testing? Note: the contractor must complete a Government safety review and provide the documentation to AFWERX via email (send to: p2@afwerx.af.mil) before the GFE is used in testing. After AFWERX receives the safety documentation, a safety review process will be initiated (for project planning purposes the review will take approximately 4 weeks to complete). v. Will there be any weapons or munitions testing? vi. Does this activity use explosives, propellants, deflagrating materials, or ammunition? vii. Does this activity use a direct energy device (including lasers) or radio frequency radiation? viii. Does this activity involve hazardous materials? ix. Will there be any animal testing? x. Does any testing meet the definition of human subject research per 32 CFR 219? xi. Will testing include use of toxins, human-derived material, or recombinant DNA? xii. Does this project involve interaction or intervention with humans? 						

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	xiii. Does this project involve the access to, collection, use analysis, or sharing of human data or human biological specimens?						
(g) Phase II Technical Objectives and Key Results	Clearly describe three to five objectives of the Phase II RDT&E effort. These objectives should be tied to specific proposed Phase II trial tasks. These objectives shall be qualitative and specific to the participating DAF end-user(s). The objectives shall be tied to specific time periods, tangible and unambiguous regarding anticipated results. These objectives shall describe end-state outcomes (i.e. what will be done), rather than processes or activities (i.e., how it will be done). Each objective shall be accompanied by three to five specific 'key results', measurable throughout Phase II performance. These key results will likely be quantitative in nature, e.g., deliver X widgets to DAF end- user. Non-quantitative key results shall be clearly measurable.						
	Required Stakeholders Needed to Accomplish Phase II: List anticipated interactions with stakeholders necessary to accomplish the Phase II trial. Such stakeholders may include lawyers, test range officials, information assurance officials, system program office engineers, etc. Clearly describe Phase II trial completion requirements not within the applicant's immediate control and plans to work within those constraints.						
(h) Phase II Work Plan (Non-Proprietary)	Proposals including private investment cost match should include the tasks to be supported with those funds in the Work Plan. Tasks to be executed with private investment should be discernable from SBIR-funded tasks. If awarded, the SBIR-funded and private investment-funded tasks are included in different parts of the award document. The Work Plan should be structured around the effort's purpose and requirements set forth in clear, specific, and objective terms with measurable						

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	<p>outcomes. The work plan has two mandatory features; (1) Work stated in terms of outcomes or results, rather than performance methods, and (2) measurable performance standards, including assessment methods for these standards. The plan should include the location and mechanics for accomplishing the proposed approach. Phase II projects shall attempt to demonstrate the Phase I-like effort’s technical feasibility, including transition results to the private sector or Government customer.</p> <p>The DAF uses the work plan outline as the initial draft of the Direct to Phase II Statement of Work (SOW). Therefore, do not include proprietary information in the work plan outline.</p>						
	<p>i. Scope List the effort’s major requirements and specifications.</p>						
	<p>ii. Task Outline Provide an outline of work to be accomplished throughout the effort. For proposals with government funding commitments (where the funds will be sent to AFRL/RGF to be included in the Phase II effort), clearly identify the tasks that will be funded by the SBIR program and the tasks that will be funded by the government organization that is committing funds.</p>						
	<p>iii. Milestone Schedule Include the mutually agreed upon milestone schedule from your signed Customer Memorandum (if applicable). Each milestone marks the completion of a required deliverable (e.g., prototype component, test plan, prototype production, final report submission, etc.). Status reports cannot be milestones but are deliverables as described</p>						

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	<p>below. Describe how the milestones will be identified as completed. Milestone payments shall reflect justifiable costs to achieve completion. Supporting rationale, e.g., invoices from non-Defense commercial customers, will be included in Volume 5, Supporting Documents.</p> <p>NOTE: Pricing information from non-Defense commercial customers is likely proprietary and should be marked as such.</p>						
	<p>iv. Deliverables Include a section clearly describing the specific sample/prototype hardware/software to be delivered, as well as data deliverables, schedules, and quantities.</p>						
	<p>v. Unique Item Identification IAW DFARS 252.211- 7003, Item Identification and Valuation, may be required. For hardware, more information may be found at https://www.acq.osd.mil/dpap/dars/dfars/html/current/252_21.htm#252.211-7003</p>						
	<p>vi. Required Reports At a minimum, the following reports are required for ALL Phase II awards and must be included in the Work Plan. All are considered scientific and technical reports.</p> <p>1. Final Report The draft is due 30 calendar days after completion of the Phase II technical effort. The first page of the final report will include a single-page project summary, identifying the purpose of the work, providing a brief description of the effort accomplished, and listing potential results applications. The summary may be published by DoD. Therefore, it shall not contain proprietary information. It shall also contain project</p>						

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	<p>objectives met, work completed, results obtained, and technical feasibility estimates.</p> <p>2. Status Reports Status reports are due quarterly, at a minimum. These shall be concise documents describing progress in meeting the selected DAF end- user’s needs. Each status report shall be no longer than 15 slides. The status reports shall include progress toward Phase II objectives and key results, as well as a quantitative measure between zero (0) and one (1) of progress toward each.</p> <p>3. Phase II Summary Report The Phase II summary report is due at technical effort completion. It shall be submitted via email to the cognizant AF CO/AO. Reports shall not exceed 700 words, including a description of the technology and anticipated applications/benefits for Government and/or private sector use.</p> <p>4. Safety-Related Deliverables Safety requirements shall be followed in the proposed project’s design and performance. The Work Plan must contain separate sections specifically addressing the following:</p> <ul style="list-style-type: none"> • Preliminary Hazard Analysis (Report, if applicable): If hardware is to be developed, the contract shall include at least a preliminary hazard analysis included in the deliverables. • Hazardous Material Report: If use of hazardous material is anticipated, the following are required: 						

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	<ul style="list-style-type: none"> ○ Materials identification; Materials purpose; and possible alternative/procedures/safeguards to minimize risk. 						
	<p>vii. Additional Reporting The DAF end-user or customer may require additional reporting or documentation including:</p> <ul style="list-style-type: none"> • Software documentation and user manuals; • Engineering drawings; • Operation and Maintenance documentation; • Safety hazard analysis when the project will result in partial or total development/ delivery of hardware; and updated commercialization results. 						
	<p>viii. Funding Commitments Guidance The final Phase II status report must include a brief accounting, in company format, regarding investor funds' expenditures to support the project.</p>						
(i) Commercialization Strategy	<p>Commercialization Plan The SBA and DoD require Phase II proposals include a commercialization plan. The plan should briefly describe the commercialization potential for the proposed project's anticipated results, as well as plans for exploitation in both the Defense and non-Defense markets. The plan must include the following:</p>						
	<p>1. Company Information Focused objectives/core competencies; specialization area(s); products with significant sales; and history of previous Federal and non-Federal funding, regulatory experience, and subsequent commercialization.</p>						

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	<p>2. Customer and Competition Clear description of key technology objectives, current competition, and advantages compared to competing products or services; description of hurdles to innovation acceptance.</p>						
	<p>3. Market Milestones, target dates, market size analysis, and estimated market share after first year and fifth year sales; plan to obtain market share.</p>						
	<p>4. Intellectual Property Patent status, technology lead, trade secrets, or other demonstration of a plan to achieve sufficient protection to realize the commercialization stage and attain at least a temporal competitive advantage.</p>						
	<p>5. Financing Plans for securing further necessary funding.</p>						
	<p>6. Assistance and Mentoring Plans for securing needed technical or business assistance through mentoring, partnering, or through arrangements with State assistance programs, Small Business Development Centers, FFRDCs, Manufacturing Extension Partnership centers, the DAF Mentor-Protégé Program, or other assistance providers. Specifically address the following questions: 1) What is the first product into which the technology will be incorporated? 2) Who are the customers and what is the estimated market size? How much money is needed to bring the technology to market? How will the funding be raised? 3) Does the company possess marketing expertise? If not, how will it be obtained?</p>						

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	<p>4) What companies are the proposing firm’s competitors, and what is the firm’s price and/or quality advantage over them?</p> <p>5) Are there private sector or non-SBIR/STTR funding sources demonstrating commitment to Phase II results? This includes both outside private investment such as venture capital, angel investors, state or local government programs, etc., and internal funding sources, such as funding from affiliates. Please delineate past and potential future investments, e.g., currently raising a round or have signed term sheets. Also note if commitments are conditional on receiving a Phase II award.</p> <p>6) Has your company received or will it receive any foreign investment? If so, what is the source and the received or anticipated amount?</p> <p>7) Are there Phase III (Government or commercial) follow-on commitments for the proposed technology?</p> <p>8) Are there any other commercial potential indicators? Consider pre-sales, pilots, sales, revenue, active users, subscriptions, downloads, and/or other forms of traction/adoption and commercial signals of interest, demand, and faith in your team/solution.</p> <p>9) What is the last 12 months’ total revenue from non-Defense commercial solution sales?</p> <p>10) State the proposed Phase II’s anticipated end results, specifically plans to transition to a Phase III with a potential Government customer.</p>						
(j) Military Applications /DoD Customers	<p>Briefly describe the proposed solution’s existing potential military requirement. Identify the DoD agency/organization most likely to become the solution’s customer. In many cases the potential DoD customer will be different from the end user. For example, the user may be in an operational flying unit and</p>						

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	<p>the customer in a System Program Office for the related aircraft. State whether a DoD agency has expressed interest in, or commitment to, a non-SBIR, Federally-funded Phase III effort or a Phase II enhancement with matching SBIR funds. If so, please include relevant details regarding funding availability, e.g., fiscal year, for solution transition, and other relevant funding details, such as funding type, e.g., RDT&E, Operations and Maintenance, etc. Include agency points of contact names, email addresses, and telephone numbers.</p>						
(k) Non-US Citizens	<p>Identify all non-U.S. citizens and dual citizens proposed as direct employees, subcontractors, or consultants. For these individuals, in addition to technical resumes, please provide countries of origin, type of visas or work permits held, and explanation of their anticipated involvement level in the project, i.e., tasks to be assigned. When the topic area is subject to export control, these individuals, if permitted to participate, are limited to work in the public domain. Further, tasks assigned must not be capable of assimilation into an understanding of the project’s overall objectives. This precludes foreign citizens from acting in key positions such as Principal Investigator, Senior Engineer, etc. Additional information may be requested during negotiations to verify foreign citizens’ eligibility.</p>						
(l) Key Personnel	<p>Identify key personnel involved in the project, including subcontractors and consultants. The applicant shall address qualifications for conducting RDT&E in addition to qualifications for commercialization. Include information regarding education, experience, and citizenship. A technical resume for the PI, including publications, if any, shall be included.</p>						

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(m) Non-Defense Commercial Customers	<p>Past revenue from commercial customers of the proposed non-Defense commercial solution. Clearly list non- Defense commercial customers, including revenue received as a result of the proposed solution’s sales. Delineate between the proposed solution and related solutions revenue (listed below in “Related Work”).</p> <p>Potential revenue-generating projects directly related to the proposed non-Defense commercial solution or adaptation thereof. Separately list potential revenue-generating projects with Defense or non-Defense customers directly related to the proposed solution(s). NOTE: On-going or completed projects/sales, such as those in section 2.5.1, are strongly preferred to potential projects.</p>						
(n) Investors and Partners	<p>Identify company investors, shareholders, or strategic advisors making significant contributions to support the Phase II effort. Explain how their past experiences or track record will support the technical or commercialization efforts. This could include leveraging other entities in company investors’ portfolios or accessing other capital sources.</p>						
(o) Related Work	<p>Describe significant activities directly related to the proposed effort, including previous programs conducted by the Principal Investigator, proposing firm, consultants, or others, and their application to the proposed project. List reviewers providing comments regarding the applicant’s knowledge of the state-of-the-art in the specific approach proposed. Specify related Government efforts, SBIR or otherwise, awarded, previously proposed, or intended for proposal.</p>						
III. Cost Volume							

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<p>Complete the Cost Volume as shown in the Cost Breakdown Guidance. This is accomplished by using the online cost volume form in DSIP. Some items may not apply to the proposed project. If not, do not provide information for those items. Enough information shall be provided for DAF to understand the company’s plan to utilize the requested funds, i.e., the purpose, necessity, and reasonableness of each expenditure.</p> <p>Proposals submitted that exceed the maximum specified SBIR funding amount will not be considered for award.</p> <p>Fixed price payments shall be tied to measurable milestones, as agreed to with the Government. For Phase II efforts including Government second phase funding commitments wherein RGK receives non-SBIR, Governmental funding for a Phase II effort, the cost proposal should clearly identify SBIR- funded tasks and non-SBIR-funded tasks. Government second phase funding commitments awarded as Phase IIIs and private investment should not be included in the Cost Volume.</p> <p>For direct costs, include substantiating information such as vendor quotes, previous orders, historical data, etc. Costs without substantiating justification should be detailed through the cost estimating process. All substantiating evidence should be included in the ‘Additional Cost Information’ section of the Volume 5, Supporting Documents. If selected for award, the Government may require further documentation to substantiate costs.</p> <p>Provide sufficient detail, as found in 1-4 below, regarding funds’ use if the contract is awarded. The itemized listing may be placed in the “Explanatory Material” section of the on-line Cost Volume (if there is enough room) or submitted in Volume 5, Supporting Documents, under the “Other” dropdown option. Note: Only one file can be uploaded to DSIP.</p> <p>Information in the online Cost Volume form includes but is not limited to:</p>							
1. Direct Labor Costs	Identify key personnel by name, if possible, or by labor category if specific names are not available. The number of hours, labor overhead and/or fringe benefits, and actual hourly rates for each individual are required.						
2. Direct Material Costs	Provide an itemized list including types, quantities, price, and, when appropriate purpose, for materials, parts, and supplies. <u>If proposing direct material, justification information, including vendor quotes, historical costs, etc., can be included as “Supplemental Cost Information” in Volume 5, Other Supporting Documents.</u>						

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3. Other Direct Costs	<p>This category of costs includes specialized services such as machining or milling, special testing or analysis, and/or cost incurred in obtaining temporary use of specialized equipment. Proposals, which include leased hardware, must provide an adequate lease vs. purchase justification or rationale. If proposing other direct costs, additional information can be included as “Supplemental Cost Information” in Volume 5, Other Supporting Documents.</p>						
	<p><u>Travel:</u> Include travel costs in “Other Direct Costs.” Travel costs must relate to the needs of the project. Break out travel cost by trip, number of travelers, airfare, per diem, lodging, etc. The number of trips required, as well as the destination and purpose of each should be included. Recommend budgeting at least one (1) trip to the Air Force location managing the contract. Greater travel expectations will be required as noted in some topic statements and corresponding SBIR/STTR Interactive Topic Information System (SITIS) Q&A. Estimation of travel costs need not be an overly onerous exercise, and actual travel cost may differ from your proposed travel. This information allows the Government CO to ensure travel costs are not excessive.</p>						
	<p><u>Subcontracts:</u> Include subcontractor/consultant costs in “Other Direct Costs.” Involvement of university or other consultants in the planning and/or research stages of the project may be appropriate. If so, describe in detail and include information in the Cost Volume. The proposed total of all consultant fees, facility leases or usage fees, and other subcontract or purchase agreements may not exceed one-third of the total contract price or cost, unless otherwise approved in writing by the Contracting Officer. Support subcontract costs with copies of the subcontract agreements. The</p>						

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	supporting agreement documents must adequately describe the work to be performed. At a minimum, an applicant must include a Statement of Work (SOW) with a corresponding detailed Cost Volume for each planned subcontract.						
	<u>Consultants:</u> Provide a separate agreement letter for each consultant. The letter should briefly state what service or assistance will be provided, the number of hours required and hourly rate						
	<u>Special Tooling/Test Equipment/Material:</u> The inclusion of equipment and materials will be carefully reviewed relative to need and appropriateness of the work proposed. The purchase of special tooling and test equipment must, in the opinion of the CO, be advantageous to the Government and relate directly to the specific effort. Such items may include such items as innovative instrumentation and/or automatic test equipment. Title to property furnished or funded by the Government will be vested with the AF, unless determined that title transfer to the contractor is more cost effective than equipment recovery by the Government.						
	ROUND ALL COSTS TO THE NEAREST DOLLAR! NOTE: If no exceptions are taken to an applicant's proposal, the Government may award a contract with only clarifications. Therefore, the initial proposal should contain an applicant's best terms from a cost/ price and technical standpoint. For questions regarding the award document, contact the AF SBIR/STTR CO, Daniel Brewer, Daniel.Brewer.13@us.af.mil.						

IV. Company Commercialization Report (CCR)

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Volume #	BAA Requirement (Text Extract)	BAA Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
<p>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 five years.</p> <p>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:</p> <ol style="list-style-type: none"> 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. 3. 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. 4. Click the “Company Commercialization Report” PDF under the My Documents section of the dashboard to download a PDF of the CCR. 5. Upload the PDF of the CCR (downloaded from SBIR.gov in the previous step) to the Company Commercialization Report in the Firm Forms section of DSIP. <p>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. 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>							
	<ol style="list-style-type: none"> 1. 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. <ol style="list-style-type: none"> a. 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 						

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	<p>Admin, they will receive a message that they do not have access and must contact the Firm Admin to complete this action.</p> <p>b. WARNING: 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 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 that is still open, 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>2. 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 select NO. The CCR section of the proposal will be marked complete.</p>						
	<p>3. 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> <p>a. 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.</p>						

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	<p>b. 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> <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. The Air Force will not consider the CCR during proposal evaluations.</p>						
<p>V. Supporting Documents This volume is used to submit additional documentation supporting the Technical Volume (Volume 2) and the Cost Volume (Volume 3).</p> <p>NOTE – when combining .pdf documents, ensure digital signatures are not stripped.</p> <p>Beginning with the X21.1 SBIR CSO, all applicants are REQUIRED to submit the following documents to Volume 5:</p>							
	<ul style="list-style-type: none"> • Contractor Certification Regarding Provision of Prohibited Video Surveillance and Telecommunications Services and Equipment (REQUIRED) • Foreign Ownership or Control Disclosure (REQUIRED) 						
	<ul style="list-style-type: none"> • Coversheet Supplement: The online coversheet asks many questions, depending on the answers more information may be needed. The list of questions, and additional information required based on responses to those questions, are provided in Appendix B. Failure to provide supplemental information, when required, may result in company ineligibility. 						

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Volume #	BAA Requirement (Text Extract)	BAA Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
	<ul style="list-style-type: none"> • Supplemental Cost Information: This document is used to provide additional cost information to augment the Cost Volume (Volume 3) provided in the online form. The Supplemental Cost Information detail must be adequate to enable Department of the Air Force personnel to determine the purpose, necessity, and reasonableness of each cost element provided in the Cost Volume. Information in this section should include the following where applicable: <ul style="list-style-type: none"> ○ For significant costs, e.g., large number of hours, very high hourly wages, substantial labor overhead/fringe rates, etc., provide justification. Helpful resources for determining average rates are https://www.bls.gov/oes/current/oes_nat.htm. • Direct Material Costs: Provide an itemized list of types, quantities, price, and purpose for proposed materials, parts, and supplies. For the materials, provide the cost basis, e.g., historical information, vendor quotes, catalogs, etc. • Travel included in Other Direct Costs: If travel was proposed as an Other Direct Cost, funding requested must be related to the project’s needs. Provide the number of trips, travelers per trip, specific locations, and purpose. Also include the sources of estimated costs for flights, lodging, meals, and ground transportation. A useful resource for this section is https://www.gsa.gov/travel-resources. • Special Tooling/Test Equipment/ Material Costs: While special tooling/ test equipment/material costs may be included, they will be carefully reviewed to determine 						

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	<p>need and appropriateness for the proposed work. Special tooling and test equipment purchases must, in the Government CO's opinion, be advantageous to the Government and directly related to the effort. This can include innovative instrumentation or automatic test equipment. Typically title to property furnished by the Government or acquired with Government funds will be vested with the DoD Component. Only if it is determined title transfer to the contractor would be more cost effective than equipment recovery will it be otherwise dispositioned.</p> <ul style="list-style-type: none"> • Copies of Subcontract Agreements: If the applicant intends to utilize consultants, subcontractors, academia, etc., describe the relationship in detail, including information in the Cost Volume. The proposed total of all consultant fees, facility leases/usage fees, and/or other subcontract or purchase agreements, may not exceed one-half of the total contract price/cost, unless otherwise approved in writing by the Government CO. Provide copies of subcontract agreements. The supporting agreement documents must adequately describe the work to be performed. At a minimum, an applicant must include a Statement of Work (SOW) with a corresponding, detailed Cost Volume for each planned subcontract. • Copies of Consultant Agreements: Provide a separate agreement letter for each consultant. The letter should briefly state the tasks to be provided, hours required, and hourly rate. Some firms seek assistance from subcontractors or consultants to determine their solution's feasibility for a specific DoD customer. If working with a 						

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	<p>customer discovery firm like this, the associated agreement is required to be included in the proposal.</p> <ul style="list-style-type: none"> • Facilities/Equipment: Describe instrumentation and/or physical/digital facilities necessary and available to carry out the proposed effort. Justify equipment to be purchased, including in 'Additional Cost Information,' as necessary. State whether proposed performance locations meet Federal, state, and local government environmental laws and regulations for airborne emissions, waterborne effluents, external radiation levels, outdoor noise, solid/bulk waste disposal practices, toxic/hazardous material handling/storage, and others as identified. • Indirect Costs: The proposal should identify the specific rates used and allocation bases to which they are applied. Provide proposed rates and applications per FY throughout the anticipated performance period. Do not propose composite rates. <p>NOTE: If selected, applicants may be requested to provide additional documentation to the Government to substantiate costs, e.g., explain cost estimates for equipment, materials, and consultants or subcontractors.</p> <ul style="list-style-type: none"> • Resumes of Key Personnel: Full resumes, including a publications list, for the Primary Investigator and other key technical personnel shall be included. • Non-Proprietary Work Plan: Provide a complete, non-proprietary work plan, free of proprietary markings. Attach as a stand-alone document, if possible, for inclusion in the contact document, if selected. Failure to provide this 						

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	<p>document will necessitate a request for revision and may delay contract award.</p> <ul style="list-style-type: none"> • DoD Funding Agreement Certification (Signed): Funding Agreement Certifications must be completed and signed at time of proposal submission and included in Volume 5. This certification can be found at: https://www.afsbirsttr.af.mil/Program/Phase-I-and-II/ under “Phase I and II Certification – Funding Agreement.” • DD Form 2345 - ITAR/EAR Certification: For proposals whose solutions fall under export- controlled regulations (either International Traffic in Arms (ITAR) or Export Administration Regulations (EAR)), a copy of the certified DD Form 2345, Militarily Critical Technical Data Agreement, or evidence of application submission must be included. The form, instructions, and FAQs may be found at the United States/Canada Joint Certification Program website, http://www.dla.mil/HQ/InformationOperations/Offers/Products/LogisticsApplications/JCP/DD2345Instructions.aspx. Approval of the DD Form 2345 will be verified if proposal is chosen for award. • Allocation of Rights: If subcontracting to a research institution or other organization, the firm may wish to complete an allocation of rights agreement. This is not required for SBIR awards but may be used at the company’s discretion. Example: https://www.afsbirsttr.af.mil/Portals/60/Pages/Phase%20I-II/Model%20agreement%20for%20the%20allocation%20of%20rights.pdf 						

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	<ul style="list-style-type: none"> • Lifecycle Certification: All SBIR/STTR Phase II awardees must complete a certification document at award (Phase I and II and D2P2), prior to receipt of more than half the total contract award amount (Phase II and D2P2), and before final payment receipt (Phase I and II and D2P2). All questions must be answered and an authorized officer of the company must sign and date prior to submission. The document is found at https://www.afsbirsttr.af.mil/Portals/60/Pages/Phase%20I-II/SBIR-STTR-Phase- I-II-Life%20Cycle%20Certifications.pdf. • SBIR/STTR Environment, Safety and Occupational Health (ESOH) Questionnaire: Include a completed SBIR/STTR Environment, Safety, and Occupational Health (ESOH) Questionnaire in Volume 5, Supporting Documents, “Other” section. Form can be found at https://www.afsbirsttr.af.mil/Portals/60/Pages/Phase%20I-II/SBIR_Ph_II_ESOH_Questionnaire.pdf. • Additional Letters of Support: Letters of support demonstrate that the proposed innovation, if developed, would solve a valid market need. More generally, letters of support can validate commercial impact claims made in the proposal. Therefore, letters from potential technology end users (e.g., customers and corporate partners/collaborators) are appropriate, as well as letters from actual or potential investors. All letters should be uploaded in a single .pdf file organized logically. NOTE: When combining .pdf documents, ensure digital signatures are not stripped. 						

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	<ul style="list-style-type: none"> • Contractor Certification Regarding Provision of Prohibited Video Surveillance and Telecommunications Services and Equipment <p>The DoD must comply with Section 889(a)(1)(B) of the National Defense Authorization Act (NDAA) for Fiscal Year 2019, and is 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 the attachment) as a substantial or essential component of any system, or as critical technology as part of any system.</p> <p>All proposals must include the certifications found in Federal Acquisition Regulation clauses 52.204-24, 52-204-25, and 52-204-26, executed by the proposer’s authorized company representative. These Federal Acquisition Regulation clauses may be found attached. These certifications must be signed by the authorized company representative and uploaded as a separate PDF file in Volume 5 for all proposal submissions.</p> <p>Completion of the required certification clauses requires due diligence for contractors proposed as a part of the submission, including research partners and suppliers. Therefore, applicants are strongly encouraged to review certification requirements early in the proposal development process. Failure to complete and/or submit the required certifications with the proposal may be cause for rejection without evaluation.</p> <ul style="list-style-type: none"> • Foreign Ownership or Control Disclosure 						

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	<p>Applicants 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 (Attachment 4). The completed and signed disclosure must be uploaded to Volume 5 of the proposal submission.</p> <ul style="list-style-type: none"> Data Rights Assertions If an applicant plans to submit assertions IAW DFARS 252.227-7017 Class Deviation 2020-O0007 Revision 1 or similar award term, those assertions must be identified and restrictions MUST be included in the proposal submission in Volume 5. Award cannot be executed until assertions are approved or mutually agreed-upon during negotiations. Any SBIR/STTR Data delivered by the Awardee, and in which the Awardee intends to limit the Federal Government’s rights to SBIR/STTR Data Rights, must be delivered with restrictive markings. The Federal Government assumes no liability for the access, use, modification, reproduction, release, performance, display, disclosure, or distribution of SBIR/STTR Data without markings. The Awardee or its subcontractors shall conspicuously and legibly mark all such SBIR/STTR Data with the appropriate legend, placed on each page of the SBIR/STTR Data. 						

VI. Fraud, Waste, and Abuse Training

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 firm. 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 firm

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