

## Proposal Compliance Matrix – DAF CSO Phase I – SBIR/STTR

**Solicitation Name:** DAF CSO Phase II

**Submission Date:** 28 September, 2023 at 12:00pm (noon) ET

**Solicitation Number:** STTR X23.E PHASE I | SBIR X23.7 PHASE I

**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
<b>I. Cover Sheet</b> On the Defense SBIR/STTR Innovation Portal (DSIP) at <a href="https://www.dodsbirsttr.mil/submissions/">https://www.dodsbirsttr.mil/submissions/</a> , 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 <b>proposal number</b> . The cover sheet may be modified as often as necessary until the CSO closes.							
<b>Technical Abstract</b>	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. <b>This section should not exceed 200 words.</b>						
<b>Anticipated Benefits/Potential Commercial Applications of R/R&amp;D</b>	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. <b>This section should not exceed 200 words.</b>						

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<b>Percentage of Work (POW) Certification</b>	<p>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.</p> <p>If the POW calculations fall below eligibility requirements, the small business concern will not be able to proceed with proposal submission. Deviations from the POW minimum requirements for STTR proposals are not allowed.</p>						
<b>List of maximum 8 Key Words or Phrases, separated by commas, describing the project</b>	<p>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>						
<b>Proprietary Data Legend</b>	<p>Applicants including data in proposals not to be disclosed to the public, or used by the Government except for evaluation purposes, shall:</p> <p>Mark the first page of each Volume of the proposal submission with the following legend: "This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed-in whole or in part-for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this applicant as a result of-or in connection with-the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in</p>						

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	<p>this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages [insert numbers or other identification of sheets]"; and</p> <p>Mark each sheet of data it wishes to restrict with the following legend: "Use or disclosure of data contained on this page is subject to the restriction on the first page of this volume."</p>						
<p><b>II. Technical Volume</b></p> <p>(1) <b>Type of file:</b> 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. <b>Do not</b> 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) <b>Length:</b> The Slide Deck is limited <b>to twenty-five (25) slides</b>; slides in excess of the 25-slide limitation will not be considered for review or award.</p> <p>(3) <b>Layout:</b> Number all pages consecutively. Each slide should contain the company name, topic number, and proposal number assigned by DSIP when the Cover Sheet was created.</p> <p><b>Required Sections/Slides are underlined below.</b></p>							
<b><u>(a) Overall Summary Slide</u></b>	Including Company Name and Overview of Proposal						
<b><u>(b) Technical Merit Summary</u></b>	Clearly communicate the scientific merit of the solution’s central and/or enabling technological concepts, including the most effective points that demonstrate the technical merit of the solution. Identify the current scientific and/or technical baseline, referencing relevant scientific and technical literature, and describe the RDT&E effort’s advancement of this baseline.						
<b><u>(c) Concept and Significance of Problem/Opportunity</u></b>	Define the specific technical problem and/or opportunity addressed and its importance to your prospective customers. Describe how your solution is better than the customers’ current alternative. Communicate if and how the private sector variant of the proposed solutions is different from the DoD-variant. Work proposed to the SBIR/STTR program MUST be R/R&D. Non-RDT&E procurement of commercially available						

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	solutions is not appropriate for the SBIR/STTR program.						
<b><u>(d) Summary of the Solution’s Commercialization Potential</u></b>	Effectively demonstrate the firm’s ability to commercialize the solutions in both DoD and commercial markets. Include any applicable pilots, revenue, users, and/or other types of interest or resource investment to date that demonstrates the presence of viable customer markets and Government/commercial investment for the solution. Describe the solution’s competitive landscape and potential to scale the proposed solution.						
<b><u>(e) Team’s Ability to Perform Research and Commercialization on the Solution</u></b>	Identify the team and highlight relevant education, experience, and/or capabilities demonstrating the ability to develop the solution and adapt it to prospective DAF customer needs. Full resumes, including a publications list, for the PI and other key technical personnel shall be included in Volume 5: Supplemental Documents.						
<b><u>(f) Defense Need</u></b>	Demonstrate knowledge of prospective End User(s)/Customer(s) and their most reasonable use-case for your solution. Explore differentiation from current customer alternatives, and incremental progress toward fulfilling the identified Defense need. Highlight previous DoD funding for the solution or underlying technology. Include a description of the proposed solution and how it compares to the user’s current alternative. If applicable, reference a Strategic Capability area.						
<b><u>(g) Objectives</u></b>	Describe how success will be measured in helping the prospective users and the plan to identify stakeholders other than end-users, e.g. safety, test or certification authorities, cybersecurity, acquisition specialists supporting prospective end-users, etc.						
<b><u>(h) Plan Outline (including</u></b>	Provide a clear description of the approach. 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						

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<b><u>Subcontractors' Efforts)</u></b>	<p>delivered. The Phase I effort should attempt to determine the technical feasibility of the proposed concept. Include an outline of the work plan in the following format:</p> <p>(a.) Scope: List the major requirements and specifications of the effort.</p> <p>(b.) Task Outline: Provide a brief outline of the work to be accomplished over the span of the effort.</p> <p>(c.) Deliverables (preliminary and final report)</p> <p>(d.) Kickoff meeting within 30 calendar days of contract start</p> <p>(e.) Preliminary report</p> <p>(f.) Final report with SF 298 and DD Form 882.</p> <p>If STTR, outline work subcontractor will complete</p>						
<b><u>(i) Transition Plan</u></b>	<p>Describe your plan to transition your solution into the DAF. Briefly describe how your proposed solution could integrate with the existing efforts of your proposed DAF customer.</p>						
<b><u>(j) Related Work (Dual-Use)</u></b>	<p>Describe significant activities directly related to the proposed effort, including any conducted by the PI, proposing firm, consultants, or others. Describe how these activities interface with the proposed project and discuss 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 similar previous and parallel work not directly related to the proposed effort. Provide the following:</p> <p>(1) short description,</p> <p>(2) client POC name/phone number), and</p> <p>(3) completion date. Describe Defense customers and interviews with them, if any.</p> <p>As RDT&amp;E programs, SBIR/STTR efforts are subject to scientific and technical literature searches in order to establish</p>						

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	technical baseline, avoid duplication, and justify funding IAW AFI 61-201, Management of Scientific and Technical Information (STINFO) (29 January 2019) and AFRL/CA guidance, Streamlined and Waivered SBIR/STTR Specified Requirements (05 Aug 2019).						
<b><u>(k) Clearances/Certifications/Approvals/Registrations</u></b>	Include the UEI, CAGE code, and SBA SBIR/STTR ID number. If the firm does not have these numbers, include the date on which the application was submitted. Note: A valid CAGE code is required at the time of proposal submission or the proposal may be disqualified.						
<b>Slides to Include if Applicable</b>	Include the following slides if they apply to the proposed effort. If not, do not include them in the slide deck.						
<b>a. Foreign Citizens</b>	<p>Identify any foreign citizens or individuals holding dual citizenship expected to be involved on this project as a direct employee, subcontractor, or consultant.</p> <p>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. Proposing small business concerns 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, proposing small business concerns should report any and all individuals expected to be involved on this project that are considered to be foreign nationals.</p>						

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<b>b. Facilities/Equipment</b>	<p>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.</p>						
<b>c. Prior, Current, or Pending Support of Similar Proposals or Awards</b>	<p>If a proposal submitted in response to this CSO is substantially the same as another proposal previously, currently, or pending award by another Federal Government entity, the applicant must state so on the Proposal Cover Sheet and then provide a slide with the following information.</p> <ul style="list-style-type: none"> <li>i. 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.</li> <li>ii. Date of proposal submission or date of award.</li> <li>iii. Title of proposal.</li> <li>iv. Name and title of principal investigator for each proposal submitted or award received.</li> <li>v. Title. Number, and date of CSO(s) or solicitation(s) under with the proposal was submitted, will be submitted, or under which award is expected or has been received.</li> <li>vi. If award was received, state contract number.</li> <li>vii. Specify the applicable topics for each STTR proposal submitted or award received.</li> </ul>						

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<b>d. Technical Data Rights Assertions</b>	<p>See Attachment 10 for a robust discussion of the SBIR/STTR Technical Data Rights regime. If an applicant plans to submit assertions IAW DFARS 252.227-7017, identification and assertion of use, release, or disclosure restrictions MUST be included with the proposal submission. If selected, the contract will not be awarded until assertions are negotiated and/or approved. Applicants wishing to assert data rights shall include the following table on this slide.</p> <p>Table can be found in Phase I solicitation</p>						
<b>e. Facilities/Equipment</b>	<p>Describe available instrumentation and physical facilities necessary to carry out the effort. Justify equipment purchases, including detailed pricing information in the Cost Volume. Verify facilities where the proposed work will be performed meet environmental laws and regulations of Federal, state (name), and local governments. This includes, but not limited to, airborne emissions, waterborne effluents, external radiation levels, outdoor noise, solid and bulk waste disposal practices, and handling and storage of toxic and hazardous materials.</p>						
<b>f. Supplemental Information on Direct Labor Costs</b>	<p>For any notable instances, e.g., a significant number of hours, very high hourly wages, or significant labor overhead/fringe rates, please justify them in this section. Helpful resources for rate comparisons are located at <a href="https://www.bls.gov/oes/current/oes_nat.htm">https://www.bls.gov/oes/current/oes_nat.htm</a></p>						
<b>g. Supplemental Information for Direct Material Costs</b>	<p>Justify costs for materials, parts, and supplies with an itemized list containing types, quantities, and price and where appropriate, purposes. For the materials included in the cost volume, please provide the bases\ for the listed costs. This can be historical information, vendor quotes, catalogs, etc.</p>						
<b>h. Detailed Travel Costs</b>	<p>If travel was proposed as an Other Direct Cost, justify those expenses here. Cost for travel funds must be justified and related to the needs of the project. Provide the number of trips,</p>						



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	travelers per trip, specific locations and purpose. Also include, to the extent practicable, the basis for the proposed flight, lodging, per diem (meals), and ground transportation costs. A useful resource for this section is <a href="https://www.gsa.gov/travel/plan-book/per-diem-rates">https://www.gsa.gov/travel/plan-book/per-diem-rates</a> .						
<b>i. Supplemental Information for Special Tooling and Test Equipment</b>	While special tooling/test equipment and material cost may be included under Phase I, these items are carefully reviewed relative to need and appropriateness for the project. Special tooling/test equipment purchases must be determined by the contracting officer to be advantageous to the Government and directly. Special tooling and special test equipment 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 Air Force unless it is determined title transfer to the contractor is more cost effective than equipment recovery by the Air Force.						

### III. Cost Volume

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.

Provide sufficient detail, as found 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.

#### **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.

**Proposals submitted that exceed the maximum specified SBIR funding amount will not be considered for award.**

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Information in the online Cost Volume form includes but is not limited to:							
<b>1. Direct Labor Costs</b>	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.						
<b>2. Direct Material Costs</b>	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>						
<b>3. Other Direct Costs</b>	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.						
	<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						

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	travel. This information allows the Government CO to ensure travel costs are not excessive.						
	<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 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.						

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<p><b>IV. Company Commercialization Report (CCR)</b></p> <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"> <li>1. Log into the firm account at <a href="https://www.sbir.gov/">https://www.sbir.gov/</a>.</li> <li>2. Navigate to My Dashboard &gt; My Documents to view or print the information currently contained in the Company Registry Commercialization Report.</li> <li>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.</li> <li>4. Click the “Company Commercialization Report” PDF under the My Documents section of the dashboard to download a PDF of the CCR.</li> <li>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. This upload action must be completed by the Firm Admin.</li> </ol>							
<p><b>V. Supporting Documents</b></p> <p>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>All applicants are <b>REQUIRED</b> to submit the following documents to Volume 5:</p>							
	<ul style="list-style-type: none"> <li>i. Attachment 1- SBIR/STTR Lifecycle Certification (required)</li> <li>ii. Attachment 2- SBIR/STTR Environment, Safety, and Occupational Health (ESOH) Questionnaire (required)</li> <li>iii. Attachment 3: SBIR/STTR Program Contractor Certification Regarding Provision of Prohibited Video Surveillance and Telecommunications Services and Equipment (required)</li> <li>iv. Attachment 4: Disclosures of Foreign Affiliations or Relationships to Foreign Countries (required)</li> </ul>						

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	v. Attachment 5: Disclosure of Funding Sources (required) vi. Attachment 6: AF Security Program Questionnaire (required) vii. Attachment 7: Research & Related Key/Senior Person Profile (required) viii. Attachment 8: Verification of Eligibility of Small Business Joint Ventures (required if applicable) ix. Attachment 9: SBIR/STTR Funding Agreement Certification (encouraged at proposal submission, required prior to award) x. Attachment 10: Coversheet Supplement (required) xi. Attachment 12: Allocation of Rights Agreement (attachment provided for sample purposes) <ul style="list-style-type: none"> <li>• xii. Supplemental Cost Information</li> </ul>						
<b>Documents Acceptable for Inclusion in Volume 5 – if applicable</b>							
	<b>Online Coversheet Clarification</b> – The online cover sheet asks many questions, and the applicant may want to provide more information in its answers. The list of questions, and additional information required based on responses to those questions, are provided in Attachment 10. Failure to provide supplemental information, when required, may result in company ineligibility.						
	<b>Supplemental Cost Information</b> – 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.  For significant costs, e.g. large number of hours, very high hourly wages, substantial labor overhead/fringe rates, etc.,						

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	provide justification. A helpful resource for determining average rates is <a href="https://www.bls.gov/oes/current/oes_nat.htm">https://www.bls.gov/oes/current/oes_nat.htm</a>						
	<p><b>Direct Material Costs</b> - Provide an itemized list including types, quantities, price, and, when appropriate purpose, for materials, parts, and supplies.</p> <p>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.</p>						
	<p><b>Travel Included in Other Direct Costs</b> - Include the sources of estimated costs for flights, lodging, meals, and ground transportation. A useful resource for this section is <a href="https://www.gsa.gov/travel-resources">https://www.gsa.gov/travel-resources</a></p>						
	<p><b>Special Tooling/ Test Equipment/ Material Costs</b> - Provide an itemized list including types, quantities, price, and, when appropriate purpose, for materials, parts, and supplies.</p> <p>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.</p>						
	<p><b>Subcontractor Agreements</b> - 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.</p>						

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	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.						
	<b>Copies of Consultant Agreements</b> - 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 customer discovery firm like this, the associated agreement is required to be included in the proposal.						
	<b>Facilities/Equipment</b> - 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.						
	<b>Indirect Costs</b> - 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.						
	<b>Resumes of Key Personnel</b> - Resumes of Key Personnel: Full resumes, including a publications list, for the Primary Investigator and other key technical personnel shall be included.						
	<b>Non- Proprietary Work Plan</b> - Provide a complete, non-proprietary work plan, free of proprietary markings. Attach as a stand-alone document, if possible, for inclusion in the contact						

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	document, if selected. Failure to provide this document will necessitate a request for revision and may delay contract award.						
	<p><b>DD Form 2345</b> - 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, <a href="http://www.dla.mil/HQ/InformationOperations/Offers/Products/LogisticsApplications/JCP/DD2345Instructions.aspx">http://www.dla.mil/HQ/InformationOperations/Offers/Products/LogisticsApplications/JCP/DD2345Instructions.aspx</a></p> <p>Approval of the DD Form 2345 will be verified if the proposal is chosen for award.</p>						
	<p><b>Allocation of Rights</b> - 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.</p> <p>Example: <a href="https://rt.cto.mil/wp-content/uploads/STTR-Model-Agreement-for-the-Allocation-of-Rights.pdf">https://rt.cto.mil/wp-content/uploads/STTR-Model-Agreement-for-the-Allocation-of-Rights.pdf</a></p>						
	<p><b>Additional Letters of Support</b> - 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.</p>						



## Proposal Compliance Matrix – DAF CSO Phase I – SBIR/STTR

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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**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