

Proposal Compliance Matrix - DOT Phase I

Solicitation Name: FY2024 SBIR Phase I Program Solicitation

Submission Date: 3 PM ET May 10, 2024

Solicitation Number: 6913G624QSBIR2

Last Updated: [Fill in]

Proposal Manager: [Fill in]

Legend: Forms, Formatting

Field #	RFP Requirement (Text Extract)	RFP Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
<p>General Requirements</p> <p>Offers must be submitted as four separate files, Technical, Appendices A and B, Contract Pricing Worksheet (Appendix C), and Contract Pricing Worksheet Supporting Documentation. Offer file names for each of the four separate files shall include the following:</p> <ul style="list-style-type: none"> a. The first three characters shall be the topic number that the offer is associated with (e.g., FH2). b. The remaining characters must include an abbreviation of the company’s name and a distinct character to designate each file (e.g., 1, 2, 3, and 4). <p>Offers must be received no later than 3:00 p.m. (ET) on May 10, 2024, through U.S. DOT’s automated proposal website at https://usg.valideval.com/teams/usdot_2024_2/signup. Offers received after that time will be automatically rejected; no exceptions will be permitted. Please be aware that the submittal process requires answering several questions; be sure to allow ample time to complete the multi-step submittal process. Offers shall not be considered received by the Government until this multi-step process is complete. Offerors are encouraged to submit their offers as early as possible.</p> <p>1. Technical Section (PDF)</p> <p>The technical section must be submitted in PDF format in accordance with the following requirements:</p> <ul style="list-style-type: none"> i. It shall not exceed 15 pages; the Prior Phase II Awards and SBA Company Registry Confirmation do not count towards the 15 pages. ii. Font size shall be no smaller than 10 point. iii. Offers shall be on standard letter size pages (8.5" by 11"). iv. All pages shall be numbered consecutively. <p><i>Includes SBA Registry Confirmation, Technical Section, and Prior Phase II Awards.</i></p> <p>Submitted offers are encouraged to have a Table of Contents (which does not count towards the page limit). Offers must include the following headings in bold (in cases where a section does not apply, please state “Not Applicable”).</p>							

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<p>SBA Company Registry Confirmation (does not count toward the 15-page limit)</p> <p><i>Page 1 of PDF</i></p>	<p>All SBIR applicants are required to be registered in SBA’s company registry database. The confirmation page from registering in the database should be included as the first page of the Technical Section. It does not count towards the 15-page limit. See https://www.sbir.gov/registration to register or print your registration confirmation.</p>					
<p>Technical Section (not to exceed 15 pages)</p>	<p>1. Identification and Significance of the Problem or Opportunity State the specific technical problem or innovative research opportunity addressed and its potential benefit to the national transportation system.</p>					
	<p>2. Phase I Technical Objectives State the specific objectives of the Phase I R/R&D effort; including the technical question(s) the research seeks to answer to determine the feasibility of the proposed approach.</p>					
	<p>3. Phase I Work Plan Describe the Phase I R/R&D plan. The plan shall indicate what will be done, where it will be done, when it will be done, and how the R/R&D will be managed or directed and carried out. Phase I R/R&D shall address the objectives and the question(s) cited above in No. 2. Discuss in detail the methods planned to achieve each objective or task, including the level of effort associated with each task.</p>					
	<p>4. Related Research or R&D Describe significant R/R&D that is directly related to the offer including any R/R&D conducted by the project manager/principal investigator or by the proposing firm. Describe how related research affects the proposed effort, and any planned coordination with outside sources. The SBC must</p>					

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	persuade reviewers of its awareness of recent, key R/R&D conducted by others in the specific topic area.						
5. Key Personnel and Bibliography of Directly Related Work	Identify key personnel involved in Phase I including related education, experience, and bibliographic information. Where vitae are extensive, summaries that focus on the most relevant experience or publications are desired and may be necessary to meet page limitation.						
6. Relationship with Future Research and Development	State the anticipated results of the proposed approach if the project is successful (Phase I and Phase II). Discuss the significance of the Phase I effort in providing a foundation for a Phase II R/R&D effort.						
7. Facilities	Provide a detailed description of the availability and location of instrumentation and physical facilities proposed for Phase I.						
8. Subcontractor/Consultants	Involvement of consultants in the planning and research stages of the project is permitted. Describe any intended involvement in detail. For Phase I, a maximum of one-third of the research or analytical effort, measured in total contract dollars using simple math, may be performed by subcontractors/consultants.						
9. Potential Post Applications	Briefly describe whether and how the proposed project appears to have (1) potential commercial application; and (2) potential use by the Federal Government.						
10. Similar Offers and/or Awards	While it is allowed, with notification, to submit identical offers or offers containing a significant amount of essentially equivalent work for consideration under numerous federal program solicitations, it is unlawful to enter into funding agreements requiring essentially equivalent effort. If there is any question concerning this, it must be disclosed to the soliciting agency or agencies before award. If an SBC elects to submit similar or identical offers containing equivalent work under other Federal program solicitations, a statement must be included in each offer indicating:						

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	<ul style="list-style-type: none"> • The name and address of the agencies to which offers were submitted or from which awards were received; • Date of offer submission or date of award; • Title, number, and date of SBIR Program solicitations under which offers were submitted or awards received; • The applicable research topics for each SBIR offer submitted or award received; • Titles of research projects; • Name and Title of Principal Investigator or Program Manager for each offer submitted or award received. 					
	<p>11. Human Factors Research that involves human subjects may be subject to additional regulations found in 49 C.F.R. Part 11 (Part 11) as well as other applicable federal and state laws and regulations. Research will be considered to involve human subjects under Part 11 if the research obtains (1) data through intervention or interaction with an individual(s), and/or (2) identifiable private information. Unless exempt under 49 C.F.R. §11.104, human subject research must adhere to the regulations of Part 11, which includes review and approval of the research by a federally approved Institutional Review Board (IRB). Due to the short timeframe associated with Phase I of the SBIR process, the DOT does not recommend the submission of Phase I offers that require the use of Human Subjects Testing. For more information, visit the FAQ at https://www.volpe.dot.gov/work-with-us/small-business-innovation-research/faqs.</p>					
<p>Prior SBIR Phase II Awards (does not count toward the 15-page limit for technical)</p>	<p>If the SBC has received more than a total of 15 Phase II awards in the prior five fiscal years, submit the name of the awarding agency, date of award, funding agreement number, dollar amount, topic or subtopic title, follow-on agreement dollar amount, source and date of commitment, and current commercialization status for each Phase II. Provide the name and title of the project manager or principal investigator for each offer submitted or award received.</p>					

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2. Signature Page and Project Summary (Appendices A and B) (PDF)

Appendices A and B must be saved as one single PDF file, which does not count toward the 15-page limit for the technical section.

<p>Signature Page (Appendix A)</p> <p><i>Page 1 of PDF</i></p>	<p>Complete the signature page in Appendix A.</p>					
<p>Project Summary (Appendix B)</p> <p><i>Page 2 of PDF</i></p>	<p>Complete the Project Summary Sheet in Appendix B. The Project Summary of successful offers may be published by the U.S. DOT and, therefore, <u>shall not contain classified or proprietary information.</u></p> <p>The Project Summary must include at a minimum:</p> <ol style="list-style-type: none"> 1. A technical abstract with a brief statement of the problem or opportunity, project objectives, and description of the effort. <ol style="list-style-type: none"> a. <u>The technical abstract shall be prepared in accordance with the instructions on the Appendix B Project Summary sheet, e.g., word limit using space on form, no proprietary/classified information.</u> 2. Anticipated results and potential applications of the proposed research. 					

3. Appendix C

The Contract Pricing Worksheet must be submitted as an Excel file. This section does not count towards the 15-page limit for the technical section. SBCs must use the template provided by the U.S. DOT SBIR Program Office in order to be considered responsive.

The required [Appendix C](#) template is available on our website in Microsoft Excel 2016 format.

<p>Contracting Price Worksheet (Excel)</p>	<p>A Phase I Contract Pricing Worksheet must be submitted using the template provided. SBCs must use the template provided by DOT. Some cost breakdown items of Appendix C may not apply to the proposed project. If such is the case, there is no need to provide information for each and every item. When completing your cost offer, please consider the following:</p>					
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	<ul style="list-style-type: none"> • It is important to provide enough information to allow the U.S. DOT to understand how the SBC plans to use the requested funds if an award is made. • Phase I contract awards may include profit. Note: FFP purchase orders are the type used for Phase I SBIR awards. • Travel is allowable, however, unusual, for Phase I projects. • The SBC must note its EIN and UEI numbers in Appendix C, in the Contract Pricing Worksheet Coversheet. The UEI is assigned through SAM.gov (See III (D) below). If you are not able to receive a UEI number before the solicitation deadline, please indicate “Pending” in the UEI field of Appendix C. An offeror must have a UEI number before a funding agreement can be awarded. • If you have any trouble accessing the Appendix C spreadsheet please contact the U.S. DOT SBIR Program Office via email at dotsbir@dot.gov no later than March 1, 2023. • Offers that exceed the Phase I Estimated Award Amount listed in Section VIII will not be considered for award. <p>Other Resources:</p> <ul style="list-style-type: none"> - Federal Acquisition Regulation (FAR): https://www.acquisition.gov/browse/index/far - Transportation Acquisition Regulation (TAR): https://www.acquisition.gov/tar - In addition to the Federal Acquisition Regulation and Transportation Acquisition Regulation, the Defense Contract Audit Agency (DCAA) website (https://www.dcaa.mil/) has useful information. There are a number of useful topical areas under the Guidance and Checklists & Tools tabs including the Contract Audit Manual, audit programs for various audit types, audit office locator instructions, and FAQs. The DCAA website is a valuable resource for prospective contractors. 					
	<p>Schedule A- Cost Summary Schedule A summarizes the direct costs from Schedules B through I. All direct costs from Schedules B-I automatically populate in Schedule A. Schedule A utilizes the most common methods of</p>					

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<p>indirect costs and calculations; however, the Contractor should enter fringe benefit, overhead, General & Administrative expense (G&A), and profit rates in the business format it uses. If the current Schedule A does not afford the Contractor to do this, please contact the SBIR Program Office (dotsbir@dot.gov) for an unlocked version of Appendix C so it can be manipulated as needed.</p> <p><u>Indirect Rates - Lines 10 - 12</u> The indirect rate structure embedded in the formulas under Schedule A is:</p> <ul style="list-style-type: none"> - Fringe benefits - allocated on labor; - Overhead - allocated on direct labor and fringe benefits; and - General and administrative expense (G&A) - allocated on total cost input (TCI). <p>An Offeror using a different indirect rate structure may edit the grayed cells as needed to align with its standard business practice.</p> <p>As part of the supporting documentation for Appendix C, please include the following when applicable:</p> <ul style="list-style-type: none"> - If your indirect rates have been approved by a Government agency such as the Defense Contract Audit Agency (DCAA) within the past 30 months, include the approved rate documentation with your offer, however, if your rates have changed since that approval, please use your most current rates. If the current rates are proposed provisional rates or approved provisional rates, include the materials submitted to DCAA. - If you have a Government approved accounting system determined by an agency such as DCAA, include a copy of the audit report and/or approval letter. Even if DCAA has not reviewed your indirect rates recently, if your company has an approved accounting system, it will provide additional support to your proposed rates. 					
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<ul style="list-style-type: none"> - Provide your provisional and any available actual indirect rate history for the last three years. This will provide support for the rates you submit. - Provide your company’s financial statement showing the direct and indirect costs and indirect rate calculations, if available. <p>If your company does not have approved indirect rates nor an approved accounting system, you must provide detailed costs showing your companies direct and indirect costs. Include the calculations showing how you came to the indirect rates you used.</p> <p>In addition, please consider the following guidelines and include this information as supporting documentation when appropriate:</p> <ul style="list-style-type: none"> - The rates should be based on a full accounting year. I - If this is the company’s first year of doing business, the rate should be based on projected costs that include all of the company’s other work. - If the company has previously performed other Government contracts, please provide the last year’s historical indirect rates. - An Excel spreadsheet (saved as a PDF) may be submitted to show the detailed indirect rate calculation. - Include what the base is for the indirect costs. (In other words, describe what the rate will be consistently applied to.) - All direct and indirect costs must comply with Federal Acquisition Regulation (FAR) Subpart 31.205. The offeror must ensure that all unallowable costs* as listed in the FAR are not included in any calculations. <p>*Examples of Unallowable Costs are advertising, alcohol, bad debts, charitable gifts/donations, entertainment, fines and penalties, interest, lobbying, federal taxes, and travel costs over government per diem rates. See FAR Subpart 31.205 for the complete list at https://www.acquisition.gov/browse/index/far.</p>						
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<p><u>Research and Analytical Effort - Line 13</u> For Phase I, a minimum of two-thirds of the research or analytical effort, measured in total contract dollars using simple math, must be performed by the awardee (i.e., 66.7% of total contract cost must be for other than subcontractor/consultant costs)</p> <p>Other Direct Costs The Offeror shall submit documentation to support the proposed cost for each item description proposed under Schedules C - I. Supporting documentation consists of vendor quotes, invoices for recent purchases, internet quotes, etc. The Offeror is responsible for estimating the quantities required. Supporting documentation for the costs and pricing proposed in Appendix C must be submitted as a separate file in PDF format.</p> <p>For most schedules, the Offeror enters the description, unit price, and quantity, and the worksheet calculates the total. The total is then automatically populated to the correct line on Schedule A. Any additional supporting documentation for the costs and pricing proposed in Schedules B-I must be submitted as a separate file in PDF format.</p>					
<p>Schedule C- Materials The Offeror shall submit documentation for each item proposed to support the proposed cost. Examples of supporting documentation include, a quote, screen shot of a webpage, and receipts from previous purchases.</p>					
<p>Schedule D- Equipment and Schedule and E- Special Test Equipment The offer shall include documentation supporting the quantities and amounts proposed. See Materials above for examples of documentation.</p>					
<p>Schedule F- Subcontracts The Offeror shall submit documentation for each subcontract proposed to support the proposed cost. Supporting documentation consists of subcontractor quote(s) or proposal(s). The quote(s) or</p>					

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	proposal(s) shall support all the cost elements proposed by the subcontractor to the same level of detail as the offeror's proposal.						
	<p>Schedule G- Consultants</p> <p>The Offeror shall submit documentation for each item proposed to support the proposed cost. Supporting documentation consists of consultant quote(s) or proposal(s). The quote(s) or proposal(s) shall include a description of the services to be provided, the number of hours to be provided, and evidence that the rate(s) proposed is the same as the rate(s) charged to other customers.</p>						
	<p>Schedule H- Travel</p> <p>The Offeror enters the number of people and unit airfare cost, and the worksheet calculates the total airfare. The Offeror then enters the per diem and number of days*, and the worksheet calculates the total per diem costs (the worksheet calculates the total per diem using 75% per diem rates for travel days and 100% per diem rates for non-travel days). If travel is a single day (less than 12 hours) then do not enter per diem rates.</p> <p>There is another travel expense section where the Offeror provides a description and amount of other types of the travel costs, if needed. The worksheet then calculates the total trip cost. When all trips are entered, the worksheet calculates the total travel cost, and that automatically populates the travel cost on Schedule A.</p>						
Contract Pricing Worksheet Supporting Documentation (PDF)	Supporting documentation for the costs and pricing proposed in Appendix C must be submitted as a separate file in PDF format. Supporting documentation must be provided for all costs proposed (e.g., materials quotes, subcontractor proposals, indirect rate calculations, etc.).						
Foreign Disclosure Notice	The SBIR and STTR Extension Act of 2022 (P.L. 117-183), Section 4(c), requires each SBC submitting a proposal or application for a federally funded award to disclose information in the proposal or application regarding ties to the People’s Republic of China and other foreign countries. As such, all offerors submitting in response to this solicitation are required to complete a disclosure form at the						

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	U.S. DOT's online page at: https://forms.office.com/g/BmmrYKqhpz						
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