

**DEPARTMENT OF THE AIR FORCE (DAF)
SMALL BUSINESS INNOVATION RESEARCH (SBIR)
COMMERCIAL SOLUTIONS OPENING (CSO)
SBIR AFX24.7 PHASE I
AMENDMENT 2**

The purpose of this Amendment is to modify the solicitation to clarify the applicant's responsibilities in regard to NIST SP 800-171 Assessments. **All modifications previously implemented by Amendment 1 are rescinded and replaced by Amendment 2.**

1. The following language (as added by Amendment 1) is deleted from Section 3(j):

Failure to ensure your firm's NIST SP 800-171 score is published in PIEE's SPRS module as well as failure to provide any additional requested information as specified in DFARS 252.204-7019 may result in proposal disqualification.

2. All references to NIST Assessment Documentation are deleted from Section 9 "Volume 5: Supporting Documents". The Air Force intends this to clarify that the applicant's NIST SP 800-171 Assessments responsibilities do not include submission of any documentation under Volume 5.
3. This Amendment creates Section 4(p) to discuss NIST SP 800-171 Assessments. Assessments must be completed and uploaded to SPRS no later than **January 6th, 2025**.

All other terms and provisions remain applicable to this solicitation.

**DEPARTMENT OF THE AIR FORCE (DAF)
SMALL BUSINESS INNOVATION RESEARCH (SBIR)
COMMERCIAL SOLUTIONS OPENING (CSO)
SBIR AFX24.7 PHASE I**

Proposal Submission Timelines

- **11 September 2024:** DAF begins accepting proposals
- **10 October 2024:** Full proposals due **no later than 12:00:00 p.m. ET**
- **Maximum SBIR Funding Amount:** \$75,000.00; proposals that exceed this amount will not be considered for award.
- **Maximum Period of Performance:** Ninety (90) Calendar Days; proposals that exceed this duration will not be considered for award.
- **Deadline for Receipt:** No exceptions will be made to the above submission deadline. DAF recommends early submission, as computer traffic intensifies near announcement closing. **Do not wait until the end of the submission period to submit proposal materials. DAF is not responsible for missed proposal submission due to system lag or inaccessibility.**

Proposal Submission Overview

- All proposals must be prepared and submitted through the Department of Defense (DOD) SBIR/STTR Innovation Portal (DSIP), <https://www.dodsbirsttr.mil/>.
- Ensure applicant email address is accurate. DAF is not responsible for missed notifications due to applicants changing mailing addresses/email addresses/company points of contact after submission without notifying the DAF.
- DSIP is the official portal for DoD SBIR/STTR proposal submission. Applicants are required to submit proposals via DSIP; proposals submitted by any other means will be disregarded. Applicants submitting through this site for the first time will be asked to register. Applicants are required to register for a Login.gov account and link it to their DSIP account.
- **Classified proposals are NOT accepted.**

SBIR/STTR Help Desk: For AF SBIR/STTR Program questions, contact the USAF SBIR/STTR One Help Desk at 1-855-855-5360 or usaf.team@afsbirsttr.us.

DSIP Support Desk:

- Refer to the DSIP Customer Support Document for general information regarding the DoD SBIR/STTR process in DSIP. For additional assistance with the DSIP application, please visit the Learning & Support section of the DSIP at <https://www.dodsbirsttr.mil/submissions/learning-support/>.
- Email DSIP Support at DoDSBIRSupport@reisystems.com only for further assistance with issues pertaining directly to the DSIP application. Questions submitted to DSIP Support will be addressed in the order received during normal operating hours (Monday through Friday, 9:00 a.m. to 5:00 p.m. ET).
- Applicants are responsible for following ALL troubleshooting guidance provided by DSIP Support. Applicants are responsible for following up with DSIP Support in case provided troubleshooting tips do not resolve applicant proposal submission issues. Applicant proposal submission failure is virtually never attributable to DSIP performance issues.

1. SOLICITATION TOPIC	5
a. DAF Topic Number: AFX247-PCSO1	5
b. Topic Title: Phase I Open Call for Innovative Defense Related Dual-Purpose Technologies/Solutions with a Clear Air Force Stakeholder Need	5
c. OUSD (R&E) Critical Technology Areas	5
d. International Trafficking in Arms (ITAR) Notice	5
e. Topic Objective	5
f. Topic Description	6
g. Phase I	7
h. Phase II	7
i. Phase III Dual-Use Applications	7
j. Topic Notes	8
k. References	8
l. Keywords	8
2. SELECTION METHODOLOGY AND EVALUATION CRITERIA	8
a. Commercialization	9
b. Defense Need	9
c. Technical Approach	9
3. COMMON DISQUALIFIERS	10
4. APPLICANT AND PROPOSAL ELIGIBILITY	11
a. What Size and Eligibility Standards are Applicable to the SBIR Program?	11
b. SBIR Ownership Requirements	11
c. Majority Ownership by Multiple VCOCs, Hedge Funds, or Private Equity Funds	11
d. Ownership by Single VCOC, Hedge Fund, or Private Equity Fund	11
e. Denial of Awards	11
f. Location of the Work	12
g. SAM.gov Registration	12
i. Performance of Work Requirement	13
j. Primary Employment of Principal Investigator Must Be With Applicant	13
k. Performance Benchmark Requirements for Phase I	14
l. Limitations on the Number of Proposal Submissions and Program on Innovation Open Topics	14
m. Research or Research & Development (R/R&D)	15
n. Essentially Equivalent Work	15
o. Export Control Compliance	15
5. PROPOSAL REQUIREMENTS	16

a.	Administrative Proposal Requirements	16
b.	Applicants Must Submit Seven (7) Proposal Volumes	17
c.	Proprietary Information	17
d.	VOLUME 1: PROPOSAL COVER SHEET	17
e.	VOLUME 2: TECHNICAL VOLUME	18
f.	Volume 3: Cost Volume	22
g.	Volume 4: Company Commercialization Report (CCR)	24
h.	Volume 5: Supporting Documents	25
6.	CONTRACTING INFORMATION	31
a.	Number of Awards	31
b.	Type of Funding Agreement	31
c.	Examples of Miscellaneous Award Provisions/Clauses.....	32
7.	MISCELLANEOUS NOTICES TO PROSPECTIVE APPLICANTS.....	36
a.	Proposal Status and Feedback.....	36
b.	Questions About This CSO and Contract Terms.....	37
c.	Topic Q&A.....	37
d.	DSIP Support	37
e.	CSO, Selection, and Award Protests	38
f.	Proposal Review Information	38
g.	DAF SBIR/STTR Open Topic Updates and Notices	38
h.	Identifying RDT&E in SBIR/STTR Proposals.....	38
i.	SBIR/STTR Policy Directive.....	38
j.	Phase I Conditions	38
k.	Treatment of Commercial-Off-The-Shelf (COTS) and Non-Developmental Items (NDIs).....	38
l.	Technical Baseline	39
m.	Fraud and False Statements	39
n.	State and Other Assistance Available.....	39
o.	Use of Support Contractors for the DAF SBIR/STTR Program.....	40
p.	Agency Recovery and Ongoing Reporting	40
q.	Online Course in Understanding Foreign Ownership, Control, or Influence	40
r.	Definitions	41
8.	ATTACHMENTS	41

1. SOLICITATION TOPIC

- a. DAF Topic Number:** AFX247-PCSO1
b. Topic Title: Phase I Open Call for Innovative Defense Related Dual-Purpose Technologies/Solutions with a Clear Air Force Stakeholder Need

c. OUSD (R&E) Critical Technology Areas

FutureG; Trusted AI and Autonomy; Biotechnology; Advanced Computing and Software; Integrated Sensing and Cyber; Directed Energy (DE); Hypersonics; Microelectronics; Integrated Network Systems-of-Systems; Quantum Science; Space Technology; Renewable Energy Generation and Storage; Advanced Materials; Human-Machine Interfaces; Advanced Infrastructure & Advanced Manufacturing; Combat Casualty Care; Emerging Threat Reduction; Military Infectious Diseases; Military Operational Medicine; Mission Readiness & Disaster Preparedness; Nuclear; Sustainment & Logistics

d. International Trafficking in Arms (ITAR) Notice

Proposed technologies may be restricted under the International Traffic in Arms Regulations (ITAR) which control Defense-related materials/services import/export, or the Export Administration Regulations (EAR), controlling dual-use items. Applicants must review the U.S. munitions List, <https://www.ecfr.gov/current/title-22/chapter-I/subchapter-M/part-121>, and provide a tentative determination regarding applicability to their proposed efforts.

If determined applicable, a certified DD Form 2345, Military Critical Technology Agreement, must be submitted with the proposal. Information regarding the application process and instructions for form completion are found at <https://www.dla.mil/HQ/LogisticsOperations/Services/JCP/DD2345Instructions/>. Export control compliance statements are not all-inclusive and do not remove applicants' liability to comply with applicable ITAR/EAR export control restrictions or 2) inform the Government of potential export restrictions as efforts proceed.

e. Topic Objective

This is a Department of the Air Force (DAF) Open Topic in partnership with AFWERX. This topic is seeking technologies for transition into the United States Air Force. Primary objectives of this topic include exploring innovative technologies applicable to both defense and non-defense markets, scaling capability, and growing the industrial base for defense. This topic is intended to reach companies capable of completing a feasibility study and prototype-validated concepts under accelerated Phase I and II schedules. This topic is aimed at applied research and development efforts rather than "front-end" or basic R/R&D.

This CSO seeks innovative, commercial technologies proposed to create new Air Force solutions or potential new capabilities fulfilling requirements, closing capability gaps, or providing potential technological advancements. The CSO is seeking varying technical/scientific approaches and/or varying and new technologies for transition into the United States Air Force. This CSO may result in the award of prototype projects, which include not only commercially available technologies fueled by commercial or strategic investment, but also concept demonstrations, pilots, and agile development activities improving commercial technologies, existing Government-owned capabilities, or concepts for broad Defense application(s). The Government reserves the right to award a contract or an Other Transaction for any purpose, to include a prototype, under this CSO. This program solicitation is intended for informational purposes and reflects current planning. If there is any inconsistency between the information contained herein and the terms of any resulting SBIR/STTR Funding Agreement, the terms of the Funding Agreement are controlling.

The United States Department of the Air Force has identified 7 Operational Imperatives: Space Order of Battle; Operationally Focused Air Battle Management Systems (ABMS); Moving Target Engagement; Tactical Air Dominance; Resilient Basing; Global Strike; Readiness to Deploy and Fight. These Operational Imperatives are the critical operational capabilities and functions the Department of the Air Force must invest in to protect the United States' ability to deter conflict and project power against pacing challenges.

NOTE: The possibility exists for a solution to provide a strategic capability in an area other than the above-referenced Operational Imperatives. Therefore, if the applicant believes the proposed solution does not fit within one of the listed Operational Imperatives, reference "BLUE SKY", including an explanation of the solution's ability to provide increased strategic capability within the context of AF, national, and global constraints.

As applicable, the applicant should address the category(ies) to which the solution aligns in the Technical Volume.

Department of the Air Force Operational Imperatives:

https://www.af.mil/Portals/1/documents/2023SAF/OPERATIONAL_IMPARITIVES_INFOGRAPHIC.pdf

Multiple procurements are planned and anticipated to be awarded as a result of the topic, each proposal is considered a separate procurement and will be evaluated on its own merit, and the Government may award all, some, or none of the proposals. Any per-award or per-topic funding caps are budgetary estimates only, and more or less funding may become available. Funding decisions are made with complete disregard to the other awards under the same topic. The DAF reserves the right to award to all proposals it receives, some of the proposals it receives, or none of the proposals it receives. The Federal Government is not responsible for any monies expended by the applicant before award. The SBIR/STTR Programs are not substitutes for existing unsolicited proposal mechanisms. Unsolicited proposals are not accepted under the AF SBIR/STTR Programs for Phases I or II. This solicitation is not an offer by the federal Government and does not obligate the Government to make any specific number of awards. Awards under the SBIR/STTR program are contingent upon the availability of funds.

f. Topic Description

The DAF is a large and complex organization consisting of many functions, a vast majority of which have similar counterparts in the commercial sector. It is important that potential solutions have a high probability of keeping pace with technological change. Thus, they should be closely tied to commercial technologies and solutions supporting the proposed development. This topic is meant for non-defense commercial solutions to be adapted to meet Air Force stakeholders' needs.

Submissions should focus on the following characteristics:

1. The potential for Government or private sector commercialization and benefits expected to accrue from commercialization.
 - The SBC's record of commercializing SBIR/STTR or other research, as indicated by pre-sales, pilots, sales, revenue, active users, subscriptions, downloads, and/or other forms of traction/adoption.
 - The size of the market and potential for revenue.
 - The clarity of the SBC's business plan.
 - The Existence of Phase II follow-on commitments for the subject research, and funding commitments related to the subject effort, whether from Government sources, as documented in a DAF

Customer Memorandum, or private sources, as documented through a letter of commitment, are evidence of commercialization potential.

2. The Defense Need being fulfilled and ability of the proposal to impact that Defense Need.
 - The appropriateness, relevance, and specificity of an identified Defense Need. While not required, signed letters of support from other Government personnel may be indicators of the appropriateness, relevance, and specificity of an identified Defense Need.
 - Adequacy of the proposed effort and its relationship to fulfilling the identified Defense Need.
 - The level of defense mission impact and urgency of the Defense Need.
 - The breadth of applicability of the solution.
3. The clarity of the problem statement, technical approach, soundness, technical merit, and innovation of the proposed technical approach, its differentiation from current customer alternatives. Includes the proposed Principal Investigator's/Project Managers', supporting staff, and consultants' qualifications to execute the proposed approach.

This topic is truly 'open' (agnostic of industry, technology, and problem area), but proposals for the topic should demonstrate a high probability of identifying a product-market fit between an Air Force stakeholder and the proposed adaptation of the non-defense commercial solution.

g. Phase I

Determine, insofar as possible, the scientific and technical merit and feasibility of ideas thought to have potential to transition to Air Force applications. Additionally, validate the product-market fit between the proposed solution and a potential Air Force stakeholder. Define a clear, immediately actionable plan with the proposed solution and the Air Force customer and end-user.

This feasibility study should:

1. Clearly identify the potential stakeholders of the adapted solution for solving the Air Force need(s).
2. Describe the pathway to integrating the Air Force operations, to include how the applicant plans to accomplish core technology development, navigate applicable regulatory processes, and integrate with other relevant Air Force systems and/or processes.

Describe if and how the solution can be used by other DoD or Government customers.

h. Phase II

Proposals should include development, installation, integration, demonstration and/or test and evaluation of the proposed solution prototype system. These activities should focus specifically on:

1. Evaluating the adapted solution against the proposed objectives and measurable key results.
2. Describing in detail how the installed solution differs from the non-defense commercial offering to solve the Air Force need(s), as well as how it can be scaled for wide adoption, i.e., modified for scale.
3. Identifying the proposed solution's clear transition path, taking into account input from affected stakeholders, including but not limited to, end users, engineering, sustainment, contracting, finance, legal, and cyber security.
4. Specifying the solution's integration with other current and potential future solutions.
5. Describing the solution's sustainability, i.e., supportability. Identifying other specific DoD or Governmental customers for the solution

i. Phase III Dual-Use Applications

Some solutions may go straight from Phase I to Phase III as soon as the product-market fit is verified. The contractor will transition the adapted non-Defense commercial solution to provide expanded mission

capability for a broad range of potential Governmental and civilian users and alternate mission applications.

j. Topic Notes

To answer questions about this topic, AFWERX will host webinars discussing this opportunity. Details about these events will be published on <https://afwerx.com/events/>. DAF SBIR/STTR Phase I awards are FAR-based firm-fixed-price purchase orders.

k. References

1. FitzGerald, B., Sander, A., & Parziale, J. (2016). Future Foundry: A New Strategic Approach to Military- Technical Advantage. Retrieved 16 January 2024, <https://www.cnas.org/publications/reports/future-foundry> . ;
2. Blank, S. (2016). The Mission Model Canvas: An Adapted Business Model Canvas for Mission-Driven Organizations. Retrieved 12 June 2018, <https://steveblank.com/2016/02/23/the-mission-model-canvas-an-adapted-business-model-canvas-for-mission-driven> ;
3. DoD 2024 National Defense Strategy of the United States Summary, 11. Retrieved from https://www.armed-services.senate.gov/imo/media/doc/fy24_ndaa_conference_executive_summary1.pdf ;
4. Chaplain, C. T. (2016). Space Acquisitions: Challenges Facing DOD as it Changes Approaches to Space Acquisitions. US Government Accountability Office Washington United States. Space Capstone Publication, Spacepower (SCP). (2020).

l. Keywords

Open; Other; Disruptive; Radical; Dual-Use; Commercial

2. SELECTION METHODOLOGY AND EVALUATION CRITERIA

Varying Technical/Scientific Approaches Sought

DAF is seeking varying technical/scientific approaches and/or varying and new technologies for transition into the United States Air Force. Proposals will be peer reviewed based on the criteria below. Selections will represent best value to the Government considering the following factors which are of equal importance: Commercialization Potential, Defense Need, and Technical Merit. Each proposal will be judged on its own merits.

Multiple Procurements Planned

Multiple procurements are planned and anticipated to be awarded as a result of the topic, and each proposal is considered a separate procurement and will be evaluated on its own merit. The DAF may award all, some, or none of the proposals received in response to this solicitation. Each proposal will be judged on its own merits. The DAF is under no obligation to fund a specific number of proposals and may elect to award none. Any per-award or per-topic or per-solicitation funding caps are budgetary estimates only, and more or less funding may become available. Funding decisions are made with complete disregard to the other awards made under the same topic.

Funding Methodology

All selections will be made in accordance with the specified evaluation criteria and the decision to combine topics does not decrease the anticipated number of awards. Any per-award or per-topic funding

caps are budgetary estimates only, and more or less funding may become available. Due to limited funding, the DAF reserves the right to limit the number of awards under any topic.

Evaluation Criteria

Proposals will initially be screened to determine responsiveness. Proposals passing this initial screening will be peer reviewed by engineers or scientists to determine the most promising technical and scientific approaches. Each proposal will be judged on its own merits.

Proposals will be peer reviewed based on the criteria below. Selections will represent best value to the Government considering the following factors of equal importance.

a. Commercialization

The potential for Government or private sector commercialization and benefits expected to accrue from commercialization.

- The SBC's record of commercializing SBIR or other research, as indicated by pre-sales, pilots, sales, revenue, active users, subscriptions, downloads, and/or other forms of traction/adoption.
- The size of the market and potential for revenue.
- The clarity of the SBC's business plan.
- The Existence of Phase II follow-on commitments for the subject research, and funding commitments related to the subject effort, whether from Government sources, as documented in a DAF Customer Memorandum, or private sources, as documented through a letter of commitment, are evidence of commercialization potential.

b. Defense Need

The Defense Need being fulfilled and ability of the proposal to impact that Defense Need.

- The appropriateness, relevance, and specificity of an identified Defense Need. While not required, signed letters of support from other Government personnel may be indicators of the appropriateness, relevance, and specificity of an identified Defense Need.
- Adequacy of the proposed effort and its relationship to fulfilling the identified Defense Need.
- The level of defense mission impact and urgency of the Defense Need.
- The breadth of applicability of the solution.

c. Technical Approach

The clarity of the problem statement, technical approach, soundness, technical merit, and innovation of the proposed technical approach, its differentiation from current customer alternatives. Includes the proposed Principal Investigator's/Project Managers', supporting staff, and consultants' qualifications to execute the proposed approach.

All evaluation criteria other than cost or price, when combined, are significantly more important than cost or price. Where technical evaluations are essentially equal in merit, cost and/or price will be considered in determining the successful offeror(s). Price reasonableness and realism will be considered to the extent appropriate. IAW 15 USC 638(dd)(7), investment by venture capital, private equity firms, or hedge funds will not be used as an award criterion.

Peer reviewers will base their conclusions only on information contained in the proposals. It cannot be presumed reviewers are acquainted with the firm, key individuals, or referenced experiments. The SBIR and STTR Extension Act of 2022 (Pub. L. 117-183) requires the Department of Defense, in coordination with the Small Business Administration, to establish and implement a due diligence program to assess security risks presented by small business concerns seeking a Federally funded award. The full text of the SBIR and STTR Extension Act of 2022 is available at:

Other Factors Considered During the Selection Process:

- o National security concerns.
- O Pursuant to EO 13329, high priority is accorded to proposals advancing innovation in U.S. small business manufacturing.
- O The Energy Independence and Security Act of 2007 (Act), 19 December 2007, P.L. 110-140, requires SBIR/STTR agencies to give high priority to energy efficiency or renewable energy system R&D projects. The Act encourages eligible US-owned SBCs accomplishing biomedical research in the areas of energy efficiency or renewable energy systems to submit proposals.

In accordance with Section 4 of the SBIR and STTR Extension Act of 2022, and the Deputy Secretary of Defense Memorandum; Subject: Defense Small Business Innovation Research and Small Business Technology Transfer Due Diligence Program dated May 12th, 2024, the Department of Defense will review all proposals submitted in response to this CSO to assess security risks presented by small business concerns seeking a Federally funded award. The Department will use information provided by the small business concern in response to the Disclosures of Foreign Affiliations or Relationships to Foreign Countries and the proposal to conduct a risk-based due diligence review on the cybersecurity practices, patent analysis, employee analysis, and foreign ownership of a small business concern, including the financial ties and obligations (which shall include surety, equity, and debt obligations) of the small business concern and employees of the small business concern to a foreign country, foreign person, or foreign entity. The Department will also assess proposals utilizing open-source analysis and analytical tools, for the nondisclosures of the information set forth in 15 U.S.C. 638(g)(13). If DoD assesses that a small business concern has security risk(s), DoD will review the proposal, the evaluation, and the security risks and may choose to either 1) create a plan to mitigate the risk(s) or 2) DoD may decide to not select the proposal for award based upon a totality of the review.

3. COMMON DISQUALIFIERS

The following are common reasons for which proposals are disqualified. It is not a comprehensive list of potential reasons for disqualification, but is meant to be instructive. Applicants shall read ALL solicitation instructions to ensure compliance.

- a. System for Award Management is not properly updated at time of submission and/or proposal selection, or is not updated to include eligibility for ALL AWARDS.
- b. Minimum Performance Percentage of Work is not allocated properly.
- c. Work as proposed does not meet the definition of Research/Research & Development (R/R&D) required for funding.
- d. Proposal submitted after deadline for proposal submissions has passed.
- e. Proposal exceeds the maximum SBIR funding amount.
- f. Proposal exceeds the maximum specified duration.
- g. Applicant does not meet SBIR eligibility requirements for ownership and/size.
- h. Applicant previously received an award for Essentially Equivalent Work.
- ~~i. Applicant does not submit NIST Assessment Documentation as required.~~
- ~~j. Failure to ensure your firm's NIST SP 800-171 score is published in PIII's SPRS module as well as failure to provide any additional information as specified in DFARS 252.204-7019 may result in proposal disqualification.~~

4. APPLICANT AND PROPOSAL ELIGIBILITY

a. What Size and Eligibility Standards are Applicable to the SBIR Program?

An SBIR awardee, together with its affiliates*, must not have more than 500 employees. Concerns and entities are affiliates of each other when one controls or has the power to control the other, or a third party (or parties) controls or has the power to control both. It does not matter whether control is exercised, so long as the power to control exists. *For a more robust discussion about bases of affiliation, see 13 CFR (c) § 121.702.

b. SBIR Ownership Requirements

An SBIR awardee must:

(i) Be a concern which is more than 50% directly owned and controlled by one or more individuals (who are citizens or permanent resident aliens of the United States), other small business concerns (each of which is more than 50% directly owned and controlled by individuals who are citizens or permanent resident aliens of the United States), an Indian tribe, ANC or NHO (or a wholly owned business entity of such tribe, ANC or NHO), or any combination of these;

(ii) Be a concern which is more than 50% owned by multiple venture capital operating companies, hedge funds, private equity firms, or any combination of these (for agencies electing to use the authority in 15 U.S.C. 638(dd)(1)); or

(iii) Be a joint venture in which each entity to the joint venture must meet the requirements set forth in 13 CFR (c) § 121.702(a)(1)(i) or (a)(1)(ii) of this section. A joint venture that includes one or more concerns that meet the requirements of paragraph 13 CFR (c) § 121.702(a)(1)(ii) of this section must comply with § 121.705(b) concerning registration and proposal requirements.

c. Majority Ownership by Multiple VCOCs, Hedge Funds, or Private Equity Funds

Small businesses owned in majority part by multiple venture capital operating companies (VCOCs), hedge funds, or private equity funds are eligible to submit proposals under this CSO. See evaluation criteria for additional information regarding SBCs owned in majority part by multiple VCOCs, hedge funds, or private equity firms. The Department of the Air Force will accept proposals from Small Business Concerns (SBCs) that are owned in majority by multiple venture capital operating companies, hedge funds, or private equity firms in response to this solicitation. In accordance with 15 U.S.C. 638(dd), the Air Force is prohibited from awarding more than 15% of its SBIR budget to SBCs with the previously-mentioned ownership structures. In addition to the Evaluation Criteria included in this CSO, once the value of Selected proposals from such SBCs reaches 15% of the Government's SBIR budget, proposals from such SBCs will no longer be considered for award.

d. Ownership by Single VCOC, Hedge Fund, or Private Equity Fund

No single venture capital operating company, hedge fund, or private equity firm may own more than 50% of the concern unless that single venture capital operating company, hedge fund, or private equity firm qualifies as a small business concern that is more than 50% directly owned and controlled by individuals who are citizens or permanent resident aliens of the United States.

e. Denial of Awards

The DAF will not make an award under the SBIR program if it determines that:

A) The small business concern submitting the proposal has an owner or covered individual that is party to a malign foreign talent recruitment program;

- B) The small business concern submitting the proposal has a business entity, parent company, or subsidiary located in the People's Republic of China or another foreign country of concern.
- C) The small business concern submitting the proposal has an owner or covered individual that has a foreign affiliation with a foreign entity located in the People's Republic of China or another foreign country of concern; and

The relationships and commitments described above

- D) Interfere with the capacity of activities supported by the DoD to be carried out;
- E) Create duplication with activities supported by the DoD;
- F) Present concerns about conflicts of interest;
- G) Were not appropriately disclosed to the DoD;
- H) Violate Federal law or terms and conditions of contracts or other agreements awarded by the DoD; or
- I) Pose a risk to national security.

The DAF will also utilize a due diligence process as outlined in 15 U.S.C. 638(vv) to assess proposals utilizing open-source analysis and analytical tools. If DAF assesses that a small business concern has security risk(s), DoD will review the proposal, the evaluation, and the security risks and may choose not to select the proposal for award based upon a review of the totality of the circumstances.

f. Location of the Work

For both Phase I and Phase II, the R/R&D work must be performed in the United States. However, based on a rare and unique circumstance, agencies may approve a particular portion of the R/R&D work to be performed or obtained in a country outside of the United States, for example, if a supply or material or other item or project requirement is not available in the United States. The DAF will consider such requests submitted with an applicant's initial proposal submission. **The DAF is unable to consider such requests prior to proposal submission.**

The "United States" means the fifty states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the Republic of the Marshall Islands, the Federated States of Micronesia, the Republic of Palau, and the District of Columbia.

g. SAM.gov Registration

Before the DAF can award a contract, applicants must be registered in the System for Award Management (SAM). SAM allows firms interested in conducting business with the federal government to provide basic information on business structure and capabilities as well as financial and payment information. To register, visit www.sam.gov. Applicants should login to SAM and ensure the firm's registration is active and representations and certifications are up-to-date to avoid delay in award.

On April 4, 2022, the DUNS Number was replaced by the Unique Entity ID (UEI). The Federal Government will use the UEI (UEI) to identify organizations doing business with the Government. The DUNS number will no longer be a valid identifier. If the firm has an entity registration in SAM.gov (even if the registration has expired), a UEI has already been assigned. This can be found by signing into SAM.gov and selecting the Entity Management widget in the Workspace or by signing in and searching entity information. For firms with established Defense SBIR/STTR Innovation Portal (DSIP) accounts, update the firm profile with the UEI as soon as possible.

For new firm registrations, follow instructions during SAM registration on how to obtain a Commercial and Government Entry (CAGE) code and be assigned the UEI (SAM). Once a CAGE code and UEI are obtained, update the firm's profile on the DSIP at <https://www.dodsbirsttr.mil/submissions/>.

h. Defense SBIR/STTR Innovation Portal (DSIP)

Individuals from proposing firms must be registered in the Defense SBIR/STTR Innovation Portal (DSIP) in order to prepare and submit proposals. The DSIP application is only accessible from within the United States, which is defined as the fifty states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the Republic of the Marshall Islands, the Federated States of Micronesia, the Republic of Palau, and the District of Columbia. All users are required to have an individual user account to access DSIP. As DSIP user accounts are authenticated by Login.gov, all users, who do not already have a Login.gov account, will be required to create one. If you already have a Login.gov account, you can link your existing Login.gov account with your DSIP account. Job Aids and Help Videos to walk you through the process are in the Learning & Support section of DSIP, can be accessed here: <https://www.dodsbirsttr.mil/submissions/learning-support/training-materials>.

Be advised that the sharing of accounts and passwords is a violation of the Terms of Use for Login.gov and DoD policy. The practice of sharing accounts and passwords is also likely to cause technical issues associated with proposal submission, and many difficulties applicants encounter are directly attributable to these practices.

Please note that the email address you use for Login.gov should match the email address associated with your existing DSIP account. If you do not recall the email address associated with your DSIP account, or if you already have an existing Login.gov account using a different email address, you will need your Firm's DUNS number and your Firm PIN in order to link your Login.gov account with your DSIP account. If the email address associated with your existing DSIP account has been used for multiple DSIP accounts within your Firm, you will also need your Firm's DUNS number and your Firm PIN in order to link your Login.gov account with your DSIP account. The Firm PIN can be obtained from your Firm Admin. You can view the Firm Admin's contact information by entering your Firm's DUNS number when prompted. If you are the Firm Admin, please ensure that you contact all DSIP users in your Firm and provide them with the Firm PIN.

Users should complete their account registrations as soon as possible to avoid any delays in proposal submissions.

i. Performance of Work Requirement

For Phase I, a minimum of two-thirds of the research and/or analytical work must be performed by the proposing firm. The percentage of work is measured by both direct and indirect costs, not including profit. Occasionally, deviations from these requirements may occur. In order to request a deviation, the applicant must:

- a. During the solicitation Open period but prior to proposal submission, seek DAF approval to submit a proposal that does not conform to the Performance of Work requirements. DAF approval can be requested from the DAF SBIR/STTR Contracting Officer, Daniel J. Brewer (Daniel.Brewer.13@us.af.mil).
- b. Submit a separate request for a deviation from the Performance of Work requirements in the resultant award. The DAF is unable to consider such requests prior to proposal submission.

j. Primary Employment of Principal Investigator Must Be With Applicant

The principal investigator/project manager is the one individual designated by the applicant to provide the scientific and technical direction to a project supported by the funding agreement. Only one principal investigator/project manager can be designated to a proposal at any given time.

The primary employment of the principal investigator must be with the small business firm at the time of the award and during the conduct of the proposed effort. Primary employment means that more than one-half of the principal investigator's time is spent with the small business. Primary employment with a small business concern precludes full-time employment at another organization.

Occasionally, deviations from this requirement **may** occur, and must be approved in writing by the contracting officer after consultation with the agency SBIR/STTR Program Manager/Coordinator prior to award. Further, a small business firm may replace the principal investigator on a Phase I award, subject to approval in writing by the contracting officer.

k. Performance Benchmark Requirements for Phase I

Companies with multiple SBIR/STTR awards must meet minimum performance requirements to be eligible to apply for a new Phase I or Direct-to-Phase II award. The purpose of these requirements is to ensure that Phase I applicants that have won multiple prior SBIR/STTR awards are making progress towards commercializing the work done under those awards. The Phase I to Phase II Transition Rate addresses the extent to which an awardee progresses a project from Phase I to Phase II. The Commercialization Benchmark addresses the extent to which an awardee has moved past Phase II work towards commercialization. The SBIR and STTR Extension Act of 2022 (Pub. L. 117-183) amended the application of these benchmarks for more experienced firms. Detailed information on benchmark calculations and increased performance standards for more experienced firms can be found at <https://www.sbir.gov/performance-benchmarks>.

As defined by the SBIR/STTR Policy Directive, Department of the Army, Department of the Navy, and Department of the Air Force each constitute its own Federal agency, and the remaining DoD Components fall under the executive agency of the Department of Defense. Companies that fail to meet either of the benchmarks under the Increased Performance Standards for more Experienced Firms may not receive more than an overall total of 80 awards from DoD, as detailed in the breakdown below:

- Army – 20 total Phase I and Direct to Phase II awards
- Navy – 20 total Phase I and Direct to Phase II awards
- Air Force – 20 total Phase I and Direct to Phase II awards
- All other DoD Components - 20 Phase I and Direct to Phase II awards, combined

NOTE: applicants will be required to self-attest in DSIP as to their eligibility under the Performance Benchmark Requirements. The DAF will not consider proposals from applicants that indicate that their firm is not eligible for award under the Performance Benchmark Requirements.

l. Limitations on the Number of Proposal Submissions and Program on Innovation Open Topics

Section 7 of the SBIR and STTR Reauthorization Act of 2022 requires the DoD to establish innovation open topics activities in order to

- (A) Increase the transition of commercial technology to the DoD;
- (B) Expand the small business nontraditional industrial base;
- (C) Increase commercialization derived from investments of the DoD; and
- (D) Expand the ability for qualifying small business concerns to propose technology solutions to meet the needs of the DoD.

Unlike conventional topics, which specify the desired technical objective and output, open topics can use generalized mission requirements or specific technology areas to adapt commercial products or solutions to close capability gaps, improve performance, or provide technological advancements in existing capabilities. **A small business concern may only submit one (1) proposal under this solicitation. If**

more than one proposal from a small business concern is received in response to this solicitation, only the most recent proposal to be certified and submitted prior to the submission deadline will receive an evaluation. All prior proposals submitted by the small business concern for this solicitation will be marked as noncompliant and will not receive an evaluation.

m. Research or Research & Development (R/R&D)

All work proposed for funding under the DAF SBIR program must meet the definition R/R&D in order to be eligible to receive a SBIR award. R/R&D consists of any activity that is:

- A systematic, intensive study directed toward greater knowledge or understanding of the subject studied.
- A systematic study directed specifically toward applying new knowledge to meet a recognized need; or
- A systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

n. Essentially Equivalent Work

Applicants are permitted, with proper notification, to submit identical proposals or proposals containing a significant amount of essentially equivalent work for consideration under multiple Federal program solicitations. However, it is unlawful to enter into contracts, grants, cooperative agreements, Other Transactions, or other award types, requiring essentially equivalent effort.

Questions concerning prior, current, or pending support of similar proposals or awards shall be disclosed to the DAF as early as possible.

o. Export Control Compliance

If the proposed work is ITAR Restricted or otherwise export-controlled, the information and materials provided pursuant to or resulting from that proposal are restricted under the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120 - 130, which controls the export of defense-related material and services, including the export of sensitive technical data. Non-U.S. citizens may perform work under an award resulting from this topic only if they are "Lawfully Admitted for Permanent Residence", as defined in 8 U.S.C. 1101(20), or are designated as "Protected Individuals" as defined by 8 U.S.C. 1324b(a)(3). If a proposal for an ITAR-restricted technology involves participation of a non-U.S. citizen who is not in one of the above two categories, the proposal may be rejected.

A foreign person is any natural person who is not a "lawful permanent resident" as defined by 8 U.S.C. 1101(a)(20) or who is not a "protected individual" as defined by 8 U.S.C. 1324b(a)(3). It also means any foreign corporation, business association, partnership, trust, society, or any other entity or group that is not incorporated or organized to do business in the United States, as well as international organizations, foreign governments, and any agency or subdivision of foreign governments (e.g., diplomatic missions).

"Lawfully admitted for permanent residence" (or someone who is a "lawful permanent resident") means the status of having been lawfully accorded the privilege of residing permanently in the United States as an immigrant in accordance with the immigration laws, such status not having changed.

"Protected individual" means an individual who (A) is a citizen or national of the United States, or (B) is an alien who is lawfully admitted for permanent residence, is granted the status of an alien lawfully

admitted for temporary residence under 8 U.S.C. § 1160(a) or 8 U.S.C. § 1255a(a)(1), is admitted as a refugee under 8 U.S.C. § 1157, or is granted asylum under Section 8 U.S.C. § 1158; but does not include

- (i) an alien who fails to apply for naturalization within six months of the date the alien first becomes eligible (by virtue of period of lawful permanent residence) to apply for naturalization or, if later, within six months after November 6, 1986, and
- (ii) an alien who has applied on a timely basis, but has not been naturalized as a citizen within 2 years after the date of the application, unless the alien can establish that the alien is actively pursuing naturalization, except that time consumed in the Service's processing the application shall not be counted toward the 2-year period.

p. NIST SP 800-171 Assessments

NIST Assessment Documentation

As prescribed by DFARS 252.204-7019, in order to be considered for award, the applicant is required to implement NIST SP 800-171. The SBC shall have a current assessment (see 252.204-7020) for each covered contractor information system that is relevant to the offer, contract, task order, or delivery order. The Basic, Medium, and High NIST SP 800-171 DoD Assessments are described in the NIST SP 800-171 DoD Assessment Methodology located at <https://www.acq.osd.mil/asda/dpc/cp/cyber/docs/safeguarding/NIST-SP-800-171-Assessment-Methodology-Version-1.2.1-6.24.2020.pdf>.

In accordance with DFARS 252.204-7020, the SBC shall provide access to its facilities, systems, and personnel necessary for the Government to conduct a Medium or High NIST SP 800-171 DoD Assessment, as described in NIST SP 800-171 DoD Assessment Methodology, linked above.

Instructions for Completing NIST SP 800-171 Basic Assessment

- To Complete and obtain Score for Self-Assessment go to <https://www.projectspectrum.io/#/cyberreadiness-Check>
- Login or register to begin the assessment.
- Once logged in, scroll to the bottom and click on “NIST 800-171”.
- Upon completion save the document as you will need your self-assessment score and date submitted.
- Submit NIST SP 800-171 Assessment in one of two ways:
 - o (preferred) an email to WEBPTSMH.fct@navy.mil and include the required information specified in DFARS 252.204-7019(d)(1). Confirm with the email address above that your firm’s NIST SP 800-171 Self-Assessment score has been posted to the Supplier Performance Risk System (SPRS) module in the Procurement Integrated Enterprise Environment (PIEE); or
 - o Submit applicant’s assessment directly to the SPRS module in PIEE.

Failure to ensure your firm’s score is published in PIEE’s SPRS module by **January 6th, 2025** as well as failure to provide any additional requested information as specified in DFARS 252.204-7019 may result in proposal disqualification. DAF recommends early completion and submission of this information.

5. PROPOSAL REQUIREMENTS

a. Administrative Proposal Requirements

The DAF is committed to reducing proposal-to-award lead times. To this end, processes and tools have been developed allowing for rapid, streamlined contracting via periodic expedited contracting events,

sometimes known as “contracting sprints”. Such speed dictates stringent administrative practices in the proposal submission process. The DAF reserves the right to disqualify proposals for failing to meet the requirements below.

b. Applicants Must Submit Seven (7) Proposal Volumes

The DSIP system contains seven (7) proposal volumes that the applicant must complete in order to certify its proposal submission:

- Volume 1:** Proposal Cover Sheet
- Volume 2:** Technical Volume
- Volume 3:** Cost Volume
- Volume 4:** Company Commercialization Report
- Volume 5:** Supporting Documents
- Volume 6:** Fraud, Waste, and Abuse Training
- Volume 7:** Disclosures of Foreign Affiliations or Relationships to Foreign Countries

c. Proprietary Information

Information constituting a trade secret, commercial or financial information, confidential personal information, or data affecting national security must be clearly marked. It shall be treated in confidence to the extent permitted by law. Awards for selected proposals will incorporate the Work Plan, in whole or part, by reference or as an attachment. Therefore, the Work Plan shall be Non- Proprietary and marked accordingly. Proprietary and/or classified information shall not be included in the Proposal Cover Sheet.

Applicants including data in proposals not to be disclosed to the public, or used by the Government except for evaluation purposes, shall:

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 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

Mark each sheet of data applicant 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."*

The DAF assumes no liability for disclosure or use of unmarked data and may use or disclose such data for any purpose. Restrictive notices notwithstanding, proposals and final reports submitted through DSIP may be handled, for administrative purposes only, by support contractors. All support contractors are bound by appropriate non-disclosure agreements. Applicants should limit proprietary information to only that information that is absolutely essential to the proposal.

d. VOLUME 1: PROPOSAL COVER SHEET

On the Defense SBIR/STTR Innovation Portal (DSIP) at <https://www.dodsbirsttr.mil/submissions/>, prepare Volume 1: Proposal Cover Sheet.

The Cover Sheet must include a brief technical abstract that describes the proposed R&D project and a discussion of anticipated benefits and potential commercial applications.

Each section should be no more than 200 words. Do not include proprietary or classified information in the Proposal Cover Sheet. If your proposal is selected for award, the technical abstract and discussion of anticipated benefits may be publicly released on the Internet. Once the Cover Sheet is saved, the system will assign a proposal number. You may modify the cover sheet as often as necessary until the solicitation closes.

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

e. VOLUME 2: TECHNICAL VOLUME

The proposal must provide sufficient information to demonstrate to the reviewers that the proposed work represents an innovative approach to investigation of important scientific or engineering problems and is worthy of support under the stated criteria. The proposed R/R&D must be responsive to the chosen topic.

i. Format

Type of File: The Technical Volume must be a single Portable Document Format (.pdf) file, including graphics. Perform a virus check before uploading the Technical Volume file. If a virus is detected, it may cause rejection of the proposal. Do not lock or encrypt the uploaded file.

Do not include or embed active graphics such as videos, moving pictures, or other similar media in the document.

Length Limitation: The Slide Deck is limited to twenty-five (25) slides; slides in excess will not be considered during evaluation.

Layout: 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. Use no smaller than 10-pt. font.

ii. Content

1. The Technical Volume should contain a MAXIMUM of 25 slides, although fewer is permissible.
2. There are 11 required slides and 6 additional slides that are required only if applicable to the proposal. The remaining slides are not required and may be used at the applicant's discretion.
3. Proposals without the required slides will not be considered.
4. The Slide Deck should cover the following items in the order given below. The items described below are required.

a. Overall Summary Slide

Including Company Name and Overview of Proposal

b. Technical Merit Summary

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.

c. Concept and Significance of Problem/Opportunity

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 program MUST be R/R&D. Non-RDT&E procurement of commercially-available solutions is not appropriate for the SBIR program.

d. Summary of the Proposed Solution's Commercialization Potential

Effectively demonstrate the firm's ability to commercialize the proposed 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.

e. Team's Ability to Perform Research and Commercialize the Solution

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.

f. Defense Need

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.

g. Objectives

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.

h. Plan Outline (including Subcontractors' Efforts)

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 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:

- (a.) Scope: List the major requirements and specifications of the effort.
- (b.) Task Outline: Provide a brief outline of the work to be accomplished over the span of the effort.
- (c.) Deliverables (preliminary and final report)
- (d.) Kickoff meeting within 30 calendar days of contract start
- (e.) Preliminary report

(f.) Final report with SF 298 and DD Form 882.

i. Transition Plan

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.

j. Related Work (Dual-Use)

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:

- (1) short description,
- (2) client POC name/phone number), and
- (3) completion date. Describe Defense customers and interviews with them, if any.

As RDT&E programs, SBIR/STTR efforts are subject to scientific and technical literature searches in order to establish 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).

k. Clearances/Certifications/Approvals/Registrations

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.

5. Slides to Include if Applicable

Include the following slides if they apply to the proposed effort. If not, do not include them in the slide deck.

a. Foreign Citizens

Identify any foreign citizens or individuals holding dual citizenship expected to be involved on this project as a direct employee, subcontractor, or consultant.

For these individuals, please specify their country of origin, the type of visa or work permit under which they are performing and an explanation of their anticipated level of involvement on this project. Proposing small business concerns frequently assume that individuals with dual citizenship or a work permit will be permitted to work on an SBIR project and do not report them. This is not necessarily the case, and a proposal will be rejected if the requested information is not provided. Therefore, proposing small business concerns should report all individuals expected to be involved on this project that are considered to be foreign nationals.

You may be asked to provide additional information during negotiations in order to verify the foreign citizen's eligibility to participate on a SBIR award. Supplemental information provided in response to this paragraph will be protected in accordance with the Privacy Act (5 U.S.C. 552a), if applicable, and the Freedom of Information Act (5 U.S.C. 552(b)(6)).

b. Facilities/Equipment

Describe available instrumentation and physical facilities necessary to carry out the Phase I effort. Justify equipment purchases in this section and include detailed pricing information in the Cost Volume. State whether or not the facilities where the proposed work will be performed meet environmental laws and

regulations of federal, state (name), and local Governments for, but not limited to, the following groupings: airborne emissions, waterborne effluents, external radiation levels, outdoor noise, solid and bulk waste disposal practices, and handling and storage of toxic and hazardous materials.

c. Prior, Current, or Pending Support of Similar Proposals or Awards

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.

- 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.
- ii. Date of proposal submission or date of award.
- iii. Title of proposal.
- iv. Name and title of principal investigator for each proposal submitted or award received.
- 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.
- vi. If award was received, state contract number.
- vii. Specify the applicable topics for each SBIR proposal submitted or award received.

d. Technical Data Rights Assertions

If an applicant plans to submit assertions IAW DFARS 252.227-7018 or similar provision, 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:

Technical Data/Computer Software Furnished with Restrictions	Basis for Assertion <ul style="list-style-type: none"> • None • Developed exclusively at private expense • Developed partially at private expense 	Asserted Rights Category <ul style="list-style-type: none"> • None • Government Purpose Rights • Limited Rights (Technical Data) • Restricted Rights (Software) • Specifically Negotiated License • Rights in SBIR Data 	Name of Person Asserting Restriction
List	List	List	List

e. Facilities/Equipment

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 is 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.

f. Supplemental Information on Direct Labor Costs

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 https://www.bls.gov/oes/current/oes_nat.htm

g. Supplemental Information for Direct Material Costs

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.

h. Detailed Travel Costs

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, 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 <https://www.gsa.gov/travel/plan-book/per-diem-rates>.

i. Supplemental Information for Special Tooling and Test Equipment

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.

f. Volume 3: 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.

For direct costs, include appropriate 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.

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 sufficient room) or submitted in Volume 5, Supporting Documents, under the "Other" dropdown option. Note: Only one file can be uploaded to DSIP.

Information in the online Cost Volume form includes but is not limited to:

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. 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.

3. Other Direct Costs:

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.

Travel: 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.

Subcontracts: 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.

Consultants: 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

Special Tooling/Test Equipment/Material: 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.

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.

g. Volume 4: Company Commercialization Report (CCR)

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

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

1. Log into the firm account at <https://www.sbir.gov/>.
2. Navigate to My Dashboard > My Documents to view or print the information currently contained in the Company Registry Commercialization Report.
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. This upload action must be completed by the Firm Admin.

This version of the CCR, uploaded to DSIP from SBIR.gov, is inserted into all proposal submissions as Volume 4.

During proposal submission, the applicant 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:

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.
 - 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 Admin, they will receive a message that they do not have access and must contact the Firm Admin to complete this action.
 - 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 CSOs or CSOs. If a proposing firm has previously certified and submitted any Phase I or Direct to Phase II proposals under any CSO 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.

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.
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.
 - 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.
 - 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.

All applicants 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.**

h. Volume 5: Supporting Documents

This volume is used to submit additional documentation supporting the Technical Volume (Volume 2) and the Cost Volume (Volume 3). NOTE – when combining .pdf documents, ensure digital signatures are not stripped.

i. Required Documents for All Applicants

Attachment 1:	Certification Questions and Coversheet Supplement (Required)
Attachment 2:	SBIR/STTR Funding Agreement Certification (Required)
Attachment 3:	SBIR/STTR Funding Agreement Certification—Life Cycle Certification (Required)
Attachment 4:	DoD SBIR/STTR Contractor Certification Regarding Provision of Prohibited Video Surveillance and Telecommunications Services and Equipment (Required)

NIST Assessment Documentation

~~As prescribed by DFARS 252.204-7019, in order to be considered for award, the applicant is required to implement NIST SP 800-171. The SBC shall have a current assessment (see 252.204-7020) for each covered contractor information system that is relevant to the offer, contract, task order, or delivery order. The Basic, Medium, and High NIST SP 800-171 DoD Assessments are described in the NIST SP 800-171 DoD Assessment Methodology located at [https://www.acq.osd.mil/asda/dpc/cyber/docs/safeguarding/NIST SP 800-171 Assessment Methodology Version 1.2.1-6.24.2020.pdf](https://www.acq.osd.mil/asda/dpc/cyber/docs/safeguarding/NIST%20SP%20800-171%20Assessment%20Methodology%20Version%201.2.1-6.24.2020.pdf).~~

~~In accordance with DFARS 252.204-7020, the SBC shall provide access to its facilities, systems, and personnel necessary for the Government to conduct a Medium or High NIST SP 800-171 DoD Assessment, as described in NIST SP 800-171 DoD Assessment Methodology, linked above.~~

Instructions for Completing SPRS Basic Assessment

- ~~— To Complete and obtain Score for Self Assessment go to <https://www.projectspectrum.io///cyberreadiness-Check>~~
- ~~— Login or register to begin the assessment.~~
- ~~— Once logged in, scroll to the bottom and click on “NIST 800-171”.~~
- ~~— Upon completion save the document as you will need your self assessment score and date submitted.~~
- ~~— Submit an email to WEBPTSMH.fet@navy.mil and include the required information specified in DFARS 252.204-7019(d)(1).~~
- ~~— Confirm with the email address above that your firm’s NIST 800-171 Self Assessment score has been posted to the Supplier Performance Risk System (SPRS) module in the Procurement Integrated Enterprise Environment (PIEE).~~
- ~~— Failure to ensure your firm’s score is published in PIEE’s SPRS module as well as failure to provide any additional requested information as specified in DFARS 252.204-7019 may result in proposal disqualification.~~

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 contract document, if selected. Failure to provide this document will necessitate a request for revision and may delay contract award.

ii. Required Documents if Applicable

- Attachment 5:** Verification of Eligibility of Small Business Joint Ventures **(Required if Applicable)**
- Attachment 6:** Certification for SBIR Applicants that are Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Funds, or Private Equity Firms **(Required if Applicable)**
- Attachment 7:** Identification and Assertion of Use, Release, or Disclosure Restrictions **(required if applicable)**

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, <https://www.dla.mil/Logistics-Operations/Services/JCP/>. Approval of the DD Form 2345 will be verified if proposal is chosen for award.

iii. Documents Acceptable For Inclusion

Supplemental Cost Information

This documentation is used to provide additional cost information to augment the Cost Volume (Volume 3) provided in the online form. The Supplemental Cost Information detail should be adequate to enable

DAF 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:

- 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 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 DAF. Only if it is determined title transfer to the contractor would be more cost effective than equipment recovery will it be otherwise dispositioned.
- **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-third 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 customer discovery firm like this, the associated agreement is required to be included in the proposal.
- **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.

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.

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.

Resumes of Key Personnel

Full resumes, including a publications list, for the Primary Investigator and other key technical personnel shall be included.

Allocation of Rights (ARA)

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://rt.cto.mil/wp-content/uploads/STTR-Model-Agreement-for-the-Allocation-of-Rights.pdf>

Facility and Personnel Clearance Information for Efforts that Require Classified Work

Classified proposals will not be accepted in response to this CSO. If efforts will require classified work during performance, the proposing firm must have or obtain a facility clearance.

Additional information on facility and personnel clearance procedures and requirements can be found at the Defense Counterintelligence and Security Agency site, <https://www.dcsa.mil/>.

Documentation for Research Involving Human Subjects/Human Subject Research (RIHS/HSR) (if applicable, see Attachment 1: Coversheet Supplement)

All research involving human subjects, to include use of human biological specimens and human data, shall comply with the applicable Federal and state laws and agency policy/guidelines for human subject protection. All research involving human subjects shall be conducted in accordance with 32 C.F.R. § 219 "The Common Rule," 10 U.S.C. § 980 "Limitation on Use of Humans as Experimental Subjects," and DoDI 3216.02 "Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research," as well as other applicable federal and state law and regulations, and DoD component guidance. Proposers must be cognizant of and abide by the additional restrictions and limitations imposed on the DoD regarding research involving human subjects, specifically as they regard vulnerable populations (DoDI 3216.02), recruitment of military research subjects (DoDI 3216.02), and informed consent and surrogate consent (10 U.S.C. § 980) and chemical and biological agent research (DoDI 3216.02). Food and Drug Administration regulation and policies may also apply.

Institutions to be awarded funding for research involving human subjects must provide documentation of a current Federal Assurance of Compliance with Federal regulations for human subject protection, for example a Department of Health and Human Services, Office for Human Research Protections Federalwide Assurance (<http://www.hhs.gov/ohrp>).

Additional Federal Assurance documentation may also be requested by the DAF. All institutions engaged in human subject research, to include subcontractors, must also have a valid Assurance. In addition, personnel involved in human subject research must provide documentation of completing appropriate training for the protection of human subjects. Institutions proposing to conduct human subject research that meets one of the exemption criteria in 32 CFR 219.101 are not required to have a Federal Assurance of Compliance. If selected, institutions must also provide documentation of Institutional Review Board (IRB) approval or a determination from an appropriate official in the institution that the work meets one of the exemption criteria with 32 CFR 219. As part of the IRB review process, evidence of appropriate training for all investigators should accompany the protocol. The protocol, separate from the proposal, must include a detailed description of the research plan, study population, risks and benefits of study participation, recruitment and consent process, data collection and data analysis.

The amount of time required for the IRB to review and approve the protocol will vary depending on such things as the IRB's procedures, the complexity of the research, the level of risk to study participants and the responsiveness of the Investigator. The average IRB approval process can last between one and three months.

Once the IRB has approved the research, the AF will review the protocol and the IRB's determination to ensure that the research will be conducted in compliance with DoD and DoD Component policies. The DoD review process can last between three to six months. Ample time should be allotted to complete both the IRB and DAF approval processes prior to recruiting subjects. No funding can be used towards human subject research until ALL approvals are granted.

Proposals for Research Involving Animal Subjects (if applicable, see Attachment 1: Coversheet Supplement)

All research, development, testing, experimentation, education or training involving the use of animals shall comply with the applicable Federal and agency rules on animal acquisition, transport, care, handling, and use.

For submissions containing animal use, proposals should briefly describe plans for their Institutional Animal Care and Use Committee (IACUC) review and approval.

All Recipients must receive their IACUC's approval as well as secondary or headquarters-level approval by a DoD veterinarian who is trained or experienced in laboratory animal medicine and science. **No animal research may be conducted using DoD funding until all the appropriate DoD office(s) grant approval.**

Proposals for Research Involving Recombinant DNA Molecules (if applicable, see Attachment 1: Coversheet Supplement)

Any recipient performing research involving recombinant DNA molecules and/or organisms and viruses containing recombinant DNA molecules shall comply with the National Institutes of Health Guidelines for Research Involving Recombinant DNA Molecules, dated January 2011, as amended. The guidelines can be found at: https://osp.od.nih.gov/wp-content/uploads/NIH_Guidelines.pdf.

Recombinant DNA is defined as:

- (i) molecules that are constructed outside living cells by joining natural or synthetic DNA segments to DNA molecules that can replicate in living cells or
- (ii) molecules that result from the replication of those described in (i) above.

Proposals for Unmanned Aircraft Systems (UAS)

All activities involving the operation of Unmanned Aerial Systems shall be conducted IAW Department of Defense Memo entitled “Guidance for the Domestic Use of Unmanned Aircraft Systems in the U.S. National Airspace, dated 18 August 2018 and DOD memo entitled, “Delegation Authority to Approve Exemptions for Using Commercial-Off-The-Shelf Unmanned Aerial Systems in Support of Urgent Needs, dated 16 November 2018. Contractor personnel operating DoD or DoD- contracted UAS in U.S. National Airspace, whether or not the domestic use is related to an intelligence activity, will comply with all laws, regulations, and guidance relating to the operation of UAS in U.S. National Airspace. Specific programs utilizing UAS are required to obtain an exemption for operational use of a UAS; therefore, additional documentation may be requested by the AF to support an exemption request. The DOD exemption approval process can require as long as two months. **No funding can be used for contracted-UAS operations until ALL approvals are granted.**

i. Volume 6: Fraud, Waste, and Abuse Training

The Fraud, Waste and Abuse (FWA) training is required for Phase I 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.

j. Volume 7: Disclosures of Foreign Affiliations or Relationships to Foreign Countries

This CSO incorporates **mandatory** foreign disclosure requirements and other important programmatic changes as required by the SBIR and STTR Extension Act of 2022 (Pub. L. 117-183).

In accordance with 15 USC 638(vv) (Section 4 of the SBIR and STTR Extension Act of 2022) the SBA SBIR/STTR Policy Directive, and the Deputy Secretary of Defense Memorandum; Subject: Defense Small Business Innovation Research and Small Business Technology Transfer Due Diligence Program dated May 13, 2024, the DoD will review all proposals submitted in response to this BAA to assess security risks presented by small business concerns seeking a Federally funded award. Small business concerns must complete the Disclosures of Foreign Affiliations or Relationships to Foreign Countries webform in Volume 7 of the DSIP proposal submission (NOTE: PDF uploads will no longer be accepted). Full proposal submissions cannot be certified and submitted by the Corporate Official until Volume 7 is fully completed and the webform is submitted. Please be aware that the Disclosures of Foreign Affiliations or Relationships to Foreign Countries WILL NOT be accepted as a Supporting Document in Volume 5 of the DSIP proposal submission. Do not upload any previous versions of this form to Volume 5.

The Disclosure Questions are included below for applicant reference:

1. Is any owner or covered individual of the applicant or awardee party to any malign foreign talent recruitment program? If yes, disclose the first and last name of each owner or covered individual, identify their role (i.e., owner or covered individual), and the malign foreign talent recruitment program.
2. Is there a parent company, joint venture, or subsidiary, of the applicant or awardee that is based in or receives funding from, any foreign country of concern? If yes, disclose the name, full address, applicant or awardee relationships (i.e., parent company, joint venture, or subsidiary) of each entity based in, or funded by, any foreign country of concern.

3. Does the applicant or awardee have any current or pending contractual or financial obligation or other agreement specific to a business arrangement, or joint venture-like arrangement with an enterprise owned by a foreign state or any foreign entity? If yes, disclose the name of each enterprise or foreign entity, type of obligation, agreement, or arrangement (i.e., contractual, financial, or other), description of obligation, agreement, or arrangement, and the foreign state(s) and/or the country of the foreign entity (or entities).
4. Is the applicant or awardee wholly owned in a foreign country? If yes, disclose the foreign country.
5. Does the applicant or awardee have any venture capital or institutional investment? If yes, proceed to question 5a. If no, proceed to question 6. 5a. Does the investing entity have a general partner or any other individual holding a leadership role who has a foreign affiliation with any foreign country of concern? If yes or unable to determine, disclose the venture capital or institutional investing entity's name, the percentage of ownership obtained by the investing entity, and the type of investment (i.e., equity, debt, or combination of equity and debt).
6. During the previous 5-year period, did the applicant or awardee have any technology licensing or intellectual property sales or transfers, to a foreign country of concern? If yes, disclose the name, address, and country, of the institution or entity that licensed, purchased, or received the technology or intellectual property.
7. Is there any foreign business entity, offshore entity, or entity outside the United States related to the applicant or awardee? If yes, disclose the entity name, relationship type (i.e., foreign business entity, offshore entity, entity outside the United States), description of the relationship to the applicant or awardee, and entity address and country.
8. Does the applicant or awardee have an owner, officer, or covered individual that has a foreign affiliation with a research institution located in a foreign country of concern? If yes, disclose the first and last name of each owner, officer, or covered individual that has a foreign affiliation with a foreign country of concern, identify their role (i.e., owner, officer, or covered individual), and the name of the foreign research institution and the foreign country of concern where it is located.

6. CONTRACTING INFORMATION

a. Number of Awards

The DAF currently anticipates approximately 212 awards will be made as a result of this solicitation. The number of awards will depend upon funds availability. Multiple procurements are planned and anticipated to be awarded as a result of this solicitation, each proposal is considered a separate procurement and will be evaluated on its own merit, and the Government may award all, some, or none of the proposals. Any per-award or per-topic funding caps are budgetary estimates only, and more or less funding may become available. The DAF is not responsible for costs incurred before award receipt.

b. Type of Funding Agreement

Awards are executed as firm-fixed-price contracts or Other Transactions for Prototype. The Small Business Administration SBIR/STTR Policy Directive states, "Except as expressly excluded or limited by statute, awarding agencies must provide for a reasonable fee or profit on SBIR/STTR Funding Agreements." As such, the Government reserves the right to reject any proposals that fail to account for reasonable profit or fee.

c. Examples of Miscellaneous Award Provisions/Clauses

Awardees will be required to make certain legal commitments through acceptance of Government contract clauses or OT articles. The following outline is **illustrative** of provisions required by the FAR or statute for inclusion in Phase I awards. This is not a complete list, nor does it contain specific clause/article wording. For questions regarding the award document, contact the AF SBIR/STTR CO, Daniel Brewer, Daniel.Brewer.13@us.af.mil.

i. Standards of Work

Work performed under the award must conform to professional standards.

ii. Inspection

Work performed under the award is subject to Government inspection and evaluation at all reasonable times.

iii. Examination of Records

The Comptroller General (or a fully authorized representative) shall have the right to examine any directly pertinent awardee records involving award transactions.

iv. Default

The Government may terminate the award for failure to perform the negotiated effort.

v. Termination for Convenience

The Government may terminate the award at any time if it deems termination in its best interest. The awardee will be compensated for work performed and reasonable termination costs.

vi. Disputes

Any award dispute not resolved by agreement shall be decided by the Contracting or Agreements Officer with right of appeal.

vii. Contract/OT Work Hours

The awardee may not require an employee to work more than eight hours a day or forty hours a week unless compensated accordingly through overtime pay.

viii. Equal Opportunity

The awardee will not discriminate against any employee or employee applicant because of race, color, religion, sex, or national origin.

ix. Affirmative Action for Veterans

The awardee will not discriminate against any employee or applicant for employment because he or she is physically or mentally handicapped.

x. Affirmative Action for Handicapped Individuals

The awardee will not discriminate against any employee or applicant for employment because he or she is physically or mentally handicapped.

xi. Officials Not to Benefit

No Federal Government official may benefit personally from the SBIR/STTR funding agreement.

xii. Covenant Against Contingent Fees

The Government may terminate the contract if gratuities have been offered to any Government representative to secure the award.

xiii. Gratuities

The Government may terminate the contract if gratuities have been offered to any Government representative to secure the award.

xiv. Patent Infringement

The awardee shall report each notice or patent infringement claim based on contract performance.

xv. Military Security Requirements

The awardee shall safeguard classified information associated with the contracted work IAW applicable regulations.

xvi. American-Made Equipment and Products

The awardee will purchase equipment and/or products in support of the SBIR award from U.S.-based sources whenever possible.

xvii. Unique Item Identification (UID)

If hardware will be delivered to the Government under the award, unique item identification may be required IAW DFARS 252.211-7003.

xviii. Publication Approval

Government review and approval will be required prior to dissemination or publication, except within and between the awardee and its subcontractors (if any), of classified and non- fundamental information developed under this award or contained in reports to be furnished pursuant to this award.

xix. Animal Welfare

Awards involving research, development, test, evaluation, or training on vertebrate animals will incorporate DFARS clause 252.235-7002 or similar verbiage. All activities involving animal subjects shall be conducted in accordance with DoDI 3216.01 "Use of Animals in DoD Programs," 9 C.F.R. parts 1-4 "Animal Welfare Regulations," National Academy of Sciences Publication "Guide for the Care & Use of Laboratory Animals," as amended, and the Department of Agriculture rules implementing the Animal Welfare Act (7 U.S.C. §§ 2131-2159), as well as other applicable federal and state law and regulation and DoD instructions.

xx. Protection of Human Subjects

Effective 29 July 2009, contracts including or potentially including research involving human subjects IAW 32 CFR Part 219 "The Common Rule", DoD Directive 3216.02 "Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research", and 10 U.S.C. 980 "Limitation on Use of Humans as Experimental Subjects", including research meeting exemption criteria under 32 CFR 219.101(b), will incorporate DFARS clause 252.235-7004 or similar verbiage.

xxi. E-Verify

Contracts exceeding the simplified acquisition threshold may include the FAR clause 52.222- 54 "Employment Eligibility Verification" unless exempted by the conditions listed at FAR 22.1803. Similar verbiage will be included in OT awards unless determined exempt through comparable determination.

xxii. ITAR

IAW DFARS 225.7901-4, Export Control Contract Clauses, the clause found at DFARS 252.225-7048, Export-Controlled Items (June 2013), must be included in all solicitations and contracts; therefore, all awards resulting from this CSO will include DFARS 252.225-7048 or similar verbiage. Full text: <https://www.acquisition.gov/dfars/252.225-7048-export-controlled-items>.

xxiii. Cybersecurity

Awardees are required to provide adequate security on all covered business information systems. Specific security requirements are listed in DFARS 252.204.7012, and compliance is mandatory. Note, DFARS clauses 252.204-7019 and 252.204-7020 also apply to this solicitation.

xxiv. Safeguarding Covered Defense Information Controls

As prescribed in DFARS 252.204- 7008, for covered contractor information systems that are not part of an information technology service or system operated on behalf of the Government, the SBC represents that it will implement the security requirements specified by National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171, "Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations".

xxv. Contractor Certification Regarding Provision of Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment

In accordance with DFARS Subpart 204.21, DFARS provisions 252.204-7016, 252.204-7017, and clause 252.204-7018 are incorporated into this solicitation. This subpart implements section 1656 of the National Defense Authorization Act for Fiscal Year 2018 (Pub. L. 115-91) and section 889(a)(1)(A) of the National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115-232).

xxvi. Limitations on the use or Disclosure of Third-Party Contractor-Reported Cyber Incident Information

As required in DFARS 252.204-7009, the Contractor must agree that certain conditions apply to any information it receives or creates in the performance of a resulting contract that is information obtained from a third-party's reporting of a cyber incident pursuant to DFARS clause 252.204-7012, Safeguarding Covered Defense Information and Cyber Incident Reporting (or derived from such information obtained under that clause).

xxvii. Basic Safeguarding of Covered Contractor Information Systems

In accordance with FAR 52.204-21 or similar term, the awardee shall apply basic safeguarding requirements and procedures when the contractor or a subcontractor at any tier may have Federal contract information residing in or transiting through its information system.

xxviii. Prohibition on Contracting with Persons that Have Business Operations with the Maduro Regime

DFARS 252.225-7055, Representation Regarding Business Operations with the Maduro Regime, or similar term, will be incorporated into the award. In accordance with section 890 of the National Defense Authorization Act for Fiscal Year 2020 (Pub. L. 116-92), DoD is prohibited from entering into a contract for the procurement of products or services with any person that has business operations with an authority of the government of Venezuela that is not recognized as the legitimate government of Venezuela by the United States Government, unless the person has a valid license to operate in Venezuela issued by the Office of Foreign Assets Control of the Department of the Treasury.

xxix. Copyrights

With the CO/AO's prior written permission, the awardee may copyright (consistent with appropriate national security considerations, if any) material developed with DoD support. DoD receives a royalty-free license for the Federal Government and requires each publication to contain an appropriate acknowledgment and disclaimer statement.

xxx. Patents

Awardees normally retain the principal worldwide patent rights to Government-funded inventions. The Government receives a royalty-free license, reserves the right to require the patent holder to license others in certain limited circumstances, and requires anyone exclusively licensed to sell the invention in the United States to manufacture it domestically. As authorized by 35 USC 205, the Government will not publicly disclose a Government-supported invention for a period of five years to allow the awardee to pursue a patent.

xxxi. Technical Data Rights

Rights in technical data, including software, developed under the award terms resulting from proposals submitted under this CSO, generally remain with the awardee. As detailed in DFARS 252.227-7018(b)(1), the Government shall have unlimited rights in specific technical data or computer software generated under SBIR/STTR contracts, to include form, fit, and function data and data necessary for installation, operation, maintenance, and training purposes. Aside from the unlimited rights afforded under DFARS 252.227-7018(b)(1), the Government shall have SBIR data rights in all other technical data or computer software generated under this contract for a period of 20 years, commencing upon contract award. This data should be marked with the restrictive legend specified in DFARS 252.227-7018 or similar. Upon expiration of the 20-year restrictive license, the Government has Government Purpose Rights in the SBIR data.

During the license period, the Government may not release or disclose SBIR data to any entity other than its support services contractors except (1) for evaluation purposes; (2) as expressly permitted by the contractor; or (3) use, release, or disclosure is necessary for emergency repair or overhaul of Government-operated items. See DFARS clause 252.227-7018 Class Deviation 2020-O0007 Revision 1, "Rights in Noncommercial Technical Data and Computer Software – Small Business Innovation Research (SBIR) Program" at <https://www.acq.osd.mil/dpap/policy/policyvault/USA000244-20-DPC.pdf>.

xxxii. Invention Reporting

SBIR awardees must report inventions to the DAF within two months of the inventor's report to the awardee. The inventions report may be accomplished by submitting paper documentation.

xxxiii. Prohibition on a ByteDance Covered Application

FAR 52.204-27 or similar term will be incorporated into the award. Section 102 of Division R of the Consolidated Appropriations Act, 2023 (Pub. L. 117-328), the No TikTok on Government Devices Act, and its implementing guidance under Office of Management and Budget (OMB) Memorandum M-23-13, dated February 27, 2023, "No TikTok on Government Devices" Implementation Guidance, collectively prohibit the presence or use of a covered application on executive agency information technology, including certain equipment used by Federal contractors. The Contractor is prohibited from having or using a covered application on any information technology owned or managed by the Government, or on any information technology used or provided by the Contractor under this contract, including equipment provided by the Contractor's employees; however, this prohibition does not apply if the Contracting Officer provides written notification to the Contractor that an exception has been granted in accordance with OMB Memorandum M-23-13.

xxxiv. Final Technical Reports

Content: A final report is required for each award. The report shall be submitted prior to the end of the PoP of the award. The reports must contain detail regarding the project objectives, work performed, results obtained, and estimates of technical feasibility. A completed SF 298, "Report Documentation Page," will be used as the report's first page. The Report Documentation Page may be prepared and printed from Defense Technical Information Center's (DTIC's) site at <https://discover.dtic.mil/submit-documents/>. Additionally, the final technical report shall contain a completed DD Form 882, "Report of Inventions and Subcontracts."

SF 298 Form "Report Documentation Page" Preparation:

For unclassified reports, the submitting company should fill in Block 12 (Distribution/Availability Statement) of the SF 298, "Report Documentation Page," with the following statement: "Distribution authorized to U.S. Government only; Proprietary Information, (Date of Determination). Other requests for this document shall be referred to the DAF SBIR Program Office." Note: Data developed under SBIR/STTR awards is subject to DFARS 252.227-7018 Class Deviation 2020-O0007 Revision 1 or similar protection. AF will review the awardee's Block 12 information and assign the final distribution statement.

For additional distribution statement guidance, visit the DTIC site: https://discover.dtic.mil/wp-content/uploads/2018/09/distribution_statements_and_reasonsSept2018.pdf.

Block 14 (Abstract), "Report Documentation Page" must include as the first sentence, "Report developed under SBIR/STTR contract (or OT) for topic [insert topic number]. [Follow with the topic title, if possible.]" The abstract must identify the work's purpose and briefly describe that conducted, the findings/results, and potential applications. The abstract will be published by the DoD. Therefore, it shall not contain proprietary or classified data.

Type "UU" in Block 17.

Block 15 (Subject Terms) 298 must include the term "SBIRReport".

Submission: All final reports are submitted to the awarding AF organization IAW the award document. Companies shall not submit Final Reports directly to DTIC. Delivery is normally required within 30 calendar days after technical program completion. Requirements regarding other deliverables' submission will be defined in Sections Band C of contract. Special submission instructions for CLASSIFIED reports will be defined in the award's delivery schedule. DO NOT E-MAIL classified or controlled unclassified reports, or reports containing SBIR/STTR Data Rights protected under DFARS 252.227-7018 Class Deviation 2020-O0007 Revision 1.

7. MISCELLANEOUS NOTICES TO PROSPECTIVE APPLICANTS

a. Proposal Status and Feedback

The PI and Corporate Official indicated on the Proposal Cover Sheet will be notified by email regarding proposal selection or non-selection. The small business will receive one notification for each proposal submitted. Please note the referenced proposal number and read each notification carefully. If changes occur to the company mail or email addresses or points of contact after proposal submission, the information must be provided to the DAF via AF SBIR/STTR One Help Desk.

Feedback requests will be provided to applicants with proposals determined “Not Selected”. The notification letter will include instructions for submitting an automated feedback request. The automated feedback process will provide applicants with their adjectival ratings for each Evaluation Criteria, along with a general description of each respective adjectival rating received. This general description is not tailored to any individual proposal, and is provided to applicants to provide insight into how the rating can be assigned by evaluators for each Evaluation Criteria. The feedback document provided does not constitute a selection decision document, nor does the document represent a separate evaluation standard distinct from the peer review. The adjectival ratings in order from the highest possible rating to the lowest are as follows: **Excellent, Good, Acceptable, Marginal, Poor.**

All proposals will be designated as either “Selected” or “Not Selected”.

Applicants are entitled to no more than one feedback per proposal, and applicants are instructed not to contact the DAF for additional feedback. Such requests will not be considered and will not receive a response. NOTE: Feedback is not the same as a FAR Part 15 debriefing. Acquisitions under this solicitation are awarded via “other competitive procedures” IAW DFARS 206-102.70. Therefore, applicants are neither entitled to nor will they be provided FAR Part 15 debriefs.

b. Questions About This CSO and Contract Terms

For general information related to the DAF SBIR/STTR Program and proposal preparation instructions, contact the AF SBIR/STTR One Help Desk at usaf.team@afsbirsttr.us. All applicants have ample opportunity to request clarifying information. **The DAF encourages applicants to request clarifying information as early as possible, as delays in such requests constrain the DAF’s ability to provide satisfactory resolution to applicant concerns.**

c. Topic Q&A

Once the Air Force begins accepting proposals on 11 September 2024, applicants may submit written questions through Topic Q&A at <https://www.dodsbirsttr.mil/submissions/login>. In Topic Q&A, all questions and answers are posted electronically for general viewing. Identifying information for the questioner and respondent is not posted.

Questions submitted through the Topic Q&A are limited to technical information related to improving the understanding of a topic’s requirements. Any other questions, such as those asking for advice or guidance on solution approach, or administrative questions, such as SBIR or STTR program eligibility, technical proposal/cost proposal structure and page count, budget and duration limitations, or proposal due date WILL NOT receive a response.

Proposing firms may use the Topic Search feature on DSIP to locate a topic of interest. Then, using the form at the bottom of the topic description, enter and submit the question. Answers are generally posted within seven (7) business days of question submission (answers will also be e- mailed directly to the inquirer).

The Topic Q&A for this CSO opens on 11 September 2024 and closes to new questions on 25 September 2024 at 12:00 PM ET. Once the CSO closes to proposal submission, no communication of any kind through Topic Q&A regarding your submitted proposal is allowed.

d. DSIP Support

Email DSIP Support at DoDSBIRSupport@reisystems.com only for assistance with using the DSIP application. Questions regarding DSIP can be emailed to DSIP Support and will be addressed in the order received, during normal operating hours (Monday through Friday, 9:00 a.m. to 5:00 p.m. ET). Please

include information on your firm, a proposal number (if applicable), and screenshots of any pertinent errors or issues encountered.

DSIP Support cannot provide updates to proposal status after submission, such as proposal selection/non-selection status or contract award status. **Do not attempt to directly submit proposal documents to the above email address.** Such transmissions do not constitute proposal submission and such materials will be discarded.

e. CSO, Selection, and Award Protests

Interested parties may have the right to protest this CSO by serving the Contracting Officer, Mr. Daniel Brewer, Daniel.Brewer.13@us.af.mil with the protest, by filing with the Government Accountability Office (GAO), or by filing U.S. Court of Federal Claims. Protest of selections or awards should also be directed to Mr. Brewer and filed with GAO or with the U.S. Court of Federal Claims. If the protest is filed with GAO, a copy of the protest shall be received by the DAF Legal Operations Agency within one day of filing. Protests of a selected firm's small business status should be directed to the SBA.

f. Proposal Review Information

The Air Force anticipates all proposal reviews will be complete, selection decisions made, and notification letters sent within approximately 90 calendar days of solicitation close. **Please refrain from contacting the DAF for proposal status before that time.**

g. DAF SBIR/STTR Open Topic Updates and Notices

To receive notifications about AF Ventures and other DAF innovation opportunities, please visit <https://afwerx.com/divisions/afventures/sbir-sttr-program-overview/>.

h. Identifying RDT&E in SBIR/STTR Proposals

Subject to programmatic phase conditions, SBIR/STTR awards are made for research, development, test and evaluation (RDT&E) efforts. The definitions and criteria below govern SBIR/STTR as Research, Development, Test, and Evaluation (RDT&E) programs. These definitions and criteria implement 15 USC 638, the SBA SBIR/STTR Policy Directive (3 May 2023), and DoD Financial Management Regulation (FMR), Vol. 2A, Chapter 1, Section 0102, Funding Policies (June 2004, as amended).

i. SBIR/STTR Policy Directive

The AF SBIR Program follows the policies and practices of the Small Business Administration (SBA) SBIR/STTR Policy Directive (3 May 2023), https://www.sbir.gov/sites/default/files/SBA%20SBIR_STTR_POLICY_DIRECTIVE_May2023.pdf.

This CSO incorporates and makes use of Policy Directive flexibilities to encourage proposals based on scientific and technical approaches most likely to yield important results for the DAF and private sector.

j. Phase I Conditions

Consistent with 15 U.S.C. 638 and the SBA SBIR/STTR Policy Directive (2023), the object of Phase I is to determine the scientific and technical merit and feasibility of the proposed effort and the quality of performance of the awardee with a relatively small agency investment before consideration of further Federal support in Phase II.

k. Treatment of Commercial-Off-The-Shelf (COTS) and Non-Developmental Items (NDIs)

COTS/NDIs: Items purchased directly from a commercial source that can be utilized without alteration through design and development, or without modification, are classified as COTS or NDI. This includes,

for example, ready-to-use products, training services, and software licenses for ready-to-use software to satisfy service needs (including Software as a Service (SaaS)).

Purchases of COTS and NDIs for use, including the first article and associated first article acceptance testing and related minor adjustments are not suitable for SBIR/STTR funding. The acquisition of commercial items or NDIs for testing and operational evaluation that do not require R/R&D engineering, design or integration effort will not be funded by SBIR/STTR funds. However, if an end item requires design and development in order to accept the COTS or NDI, funding for design and development effort could be funded by SBIR/STTR funds. If a COTS or NDI is required for R/R&D test purposes, the cost could be funded by SBIR/STTR funds.

Modified COTS/Modified NDIs: Commercially available items that must be modified to satisfy user requirements are classified as "modified COTS" or "modified NDI" articles. In this instance, the first article, modification of the first article, and first article testing could be funded by SBIR/STTR funds. Follow-on purchases will not be funded by SBIR/STTR funds. The number of "modified" first articles bought with SBIR/STTR funds will not exceed the quantity needed to conduct the RDT&E acceptance tests. Modification is technology refreshment significantly changing the end item's performance envelope. If the commercially available item is modified and requires testing prior to approval for service use or inventory, it may be funded by SBIR/STTR funds, as all developmental items. In contrast to modification, continuous technology refreshment is the intentional insertion of newer technology to improve reliability, improve maintainability, reduce cost, and/or add minor performance enhancement, typically in conjunction with depot or field level maintenance. The insertion of such technology into end items as part of maintenance is not funded by SBIR/STTR funds.

I. Technical Baseline

As RDT&E programs, SBIR/STTR efforts are subject to scientific and technical literature searches in order to establish 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).

m. Fraud and False Statements

Knowingly and willfully making false, fictitious, or fraudulent statements or representations may be a felony under the Federal Criminal False Statement Act (18 USC Sec 1001), punishable by a fine of up to \$10,000, imprisonment up to five years, or both.

The DoD Office of Inspector General (IG) Hotline is an important avenue for reporting fraud, waste, abuse, and mismanagement within the DoD. The DoD IG operates this hotline to receive and investigate complaints or information from contractor employees, DoD civilians, military service members, and public citizens. Individuals who wish to report fraud, waste or abuse may contact the Hotline at (800) 424-9098 between 8:00 a.m. and 5:00 p.m. Eastern Time or visit <https://www.dodig.mil/Components/Administrative-Investigations/DoD-Hotline/>. Written correspondence should be addressed to the Defense Hotline, The Pentagon, Washington DC, 20301-1900. Email reporting is available at hotline@dodig.mil.

n. State and Other Assistance Available

Many states have established programs to provide services to small business firms wishing to participate in the Federal SBIR Program. These services vary from state to state, but may include:

- o Information and technical assistance;
- o Matching funds to SBIR award recipients;

- o Assistance in obtaining Phase III funding.

SBA has produced a tutorial entitled “State and Local Assistance” and is available here:

<https://www.sbir.gov/sites/all/themes/sbir/dawnbreaker/img/documents/Course15-Tutorial1.pdf>

o. Use of Support Contractors for the DAF SBIR/STTR Program

Proposals may be handled for administrative purposes only by support contractors, including APEX, Oasis Systems, Riverside Research, Peerless Technologies, HPC- COM, Mile Two, MTSI, Reef Systems, Earnst & Young, Wright Brothers Institute, Parallax, TEC Solutions, Inc. and MacB (an Alion Company). In addition, only Government employees and technical personnel from Federally Funded Research and Development Centers (FFRDCs) MITRE and Aerospace Corporations working under contract to provide technical support to AF Life Cycle Management Center and Space and Missiles Centers may evaluate proposals. All support contractors are bound by appropriate non-disclosure agreements. Contact the DAF SBIR/STTR Contracting Officer (Daniel.Brewer.13@us.af.mil) with concerns regarding the listed contractors.

p. Agency Recovery and Ongoing Reporting

In accordance with Section 5 of the SBIR and STTR Extension Act of 2022, the DoD will –

1) require a small business concern receiving an award under its SBIR program to repay all amounts received from the Federal agency under the award if

- (A) the small business concern makes a material misstatement that the Federal agency determines poses a risk to national security; or
- (B) there is a change in ownership, change to entity structure, or other substantial change in circumstances of the small business concern that the Federal agency determines poses a risk to national security; and

2) require a small business concern receiving an award under its SBIR program to regularly report to the Federal agency and the Administration throughout the duration of the award on—

- (A) any change to a disclosure required under subparagraphs above;
- (B) any material misstatement made under paragraph (A) above; and
- (C) any change described in paragraph (B) above.

q. Online Course in Understanding Foreign Ownership, Control, or Influence

DoD has partnered with Project Spectrum to provide an online course on Understanding Foreign Ownership, Control, or Influence (FOCI). This course defines FOCI, explains what it means to be under FOCI, and details FOCI's effect on a company seeking initial or continued eligibility for access to a federally funded award. Small business concerns can register and access this course by following the instructions below:

1. Go to projectspectrum.io
2. Click “Profile/Dashboard” in the top right and then click “Sign Up” from the dropdown menu.
3. Follow the instructions to sign up for an account. Descriptions of the account types are provided below each option.
4. Verify your email by entering the code sent to the email address you provided when signing up.
5. Log in to Project Spectrum by clicking “Profile/Dashboard > Login” in the top right.
6. Find the Training Course on “Understanding Foreign Ownership, Control, or Influence (FOCI)” by clicking “Courses > Training Courses”
7. Copy the provided password.
8. Click on the course and log in to Encite.io using your email address and the copied password.
9. Enroll in the course and click “Enter” to begin.

For assistance with registration or access to the Project Spectrum website, please contact support@projectspectrum.io.

r. Definitions

A full list of definitions applicable to the SBIR/STTR program are available in the SBIR/STTR Policy Directive Section 3, located at https://www.sbir.gov/sites/default/files/SBA%20SBIR_STTR_POLICY_DIRECTIVE_May2023.pdf.

8. ATTACHMENTS

- | | |
|----------------------|---|
| Attachment 1: | Certification Questions and Coversheet Supplement (Required) |
| Attachment 2: | SBIR/STTR Funding Agreement Certification (Required) |
| Attachment 3: | SBIR/STTR Funding Agreement Certification—Life Cycle Certification (Required) |
| Attachment 4: | DoD SBIR/STTR Contractor Certification Regarding Provision of Prohibited Video Surveillance and Telecommunications Services and Equipment (Required) |
| Attachment 5: | Verification of Eligibility of Small Business Joint Ventures (Required if Applicable) |
| Attachment 6: | Certification for SBIR Applicants that are Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Funds, or Private Equity Firms (Required if Applicable) |
| Attachment 7: | Identification and Assertion of Use, Release, or Disclosure Restrictions (required if applicable) |

ATTACHMENT 1 (Required)
CERTIFICATION QUESTIONS AND COVERSHEET SUPPLEMENT

The online coversheet asks many questions, and, depending on the answers, more information may be needed. The list of the questions is reflected below along with any additional information needed. Required additional documentation should be provided in Volume 5, Supporting Documents. Consolidate all required items below (including the question that triggered the requirements) into a single .pdf file with the title "Coversheet Supplement".

- (1) Do you allow for the release of contact information to Economic Development Organizations?
Either answer is awardable.
- ☐ Yes
- ☐ No
- (2) Are you a small business as described in 13 CFR § 121.702(c)?
- If your firm is NOT an eligible small business, your proposal will be disqualified.
- ☐ Yes
- ☐ No
- (3) Does your business concern meet the ownership and control requirements in 13 CFR § 121.702(b)?
- If your firm does NOT meet the ownership and control requirements, your proposal will be disqualified.
- ☐ Yes
- ☐ No
- (4) Is 50% or more of your firm owned or managed by a corporate entity?
- (If YES, additional information is required in Volume 5).
 - If YES, and the corporate entity is also a small business, please include in this section a description of the corporate relationship, including other affiliates of the owning entity.
- ☐ Yes
- ☐ No
- (5) **SBIR** Only, mark "N/A" for STTR submission: Will not less than two-thirds (66 2/3%) of the research be performed by the applicant?
- ☐ Yes
- ☐ No
- ☐ N/A

STTR Only, mark “N/A” for SBIR submission: Will not less than 40% of the R/R&D work be performed by the SBC, and not less than 30% of the R?R&D work performed by the partnering Research Institution?

☐ Yes

☐ No

(6) **SBIR** Only, mark “N/A” for STTR submission: Is the primary employment of the principal investigator with your firm?

- If the primary employment of the principal investigator is not with the firm, the proposal will be disqualified.

☐ Yes

☐ No

☐ N/A

STTR Only, mark “N/A” for SBIR submission: Is the primary employment of the principal investigator with your firm OR with the single partnering Research Institution?

- If the primary employment of the principal investigator is not with the firm or the single partnering Research Institution, the proposal will be disqualified.

☐ Yes

☐ No

☐ N/A

(7) Has your firm been convicted of a fraud-related crime involving SBIR and/or STTR funds or found civilly liable for a fraud-related violation involving Federal funds?

- If your firm has been convicted of a fraud-related crime involving SBIR and/or STTR funds, your proposal will be disqualified.

☐ Yes

☐ No

(8) Has your firm’s Principal Investigator (PI) or Corporate Official (CO), or owner been convicted of a fraud-related crime involving SBIR and/or STTR funds or found civilly liable for a fraud-related violation involving Federal funds?

- If the PI or the CO has been convicted of a fraud-related crime involving SBIR and/or STTR funds, your proposal will be disqualified.

☐ Yes

☐ No

(9) Has your firm met the performance benchmarks listed by the SBA on its website (<https://www.sbir.gov/performance-benchmarks>) as eligible to participate?

- If your firm has not met the performance benchmarks listed by the SBA on its website, your proposal will be disqualified.

☐ Yes

☐ No

(10) Is your firm registered in the SBA's Venture Capital Database as majority-owned by **multiple** venture capital operating companies, hedge funds, or private equity firms?

- If YES, additional information is required in Volume 5.
- If YES, please state whether the VCOCs, hedge funds, or private equity firms are also small businesses as defined by the SBA. If so, then the VCOCs, hedge funds, or private equity firms may count as an 'affiliate' and their employee numbers will need to be added to your employee total.

☐ Yes

☐ No

(11) Is your firm majority-owned by a **single** venture Capital Operating Company (VCOC), hedge fund, or private equity firm?

- If YES, additional information required in Volume 5.
- If YES, state whether the VCOC, hedge fund, or private equity firm is also a small business as defined by the SBA. If so, then the VCOC, hedge fund, or private equity firm may count as an 'affiliate' and their employee numbers will need to be added to your employee total.

☐ Yes

☐ No

(12) Number of employees including all affiliates (average for the previous 12 months):

- If your firm and affiliates have employed, on average over the last 12 months, more than 500 employees, your proposal will be disqualified.

☐ Yes

☐ No

- (13) Is your firm affiliated as set forth in 13 CFR 121.103?
- If YES, additional information is required in Volume 5.
 - If yes, then detail your affiliations as described in 13 CFR 121.103.
 - Note, this may include investors, i.e. VCs, VCOCs, hedge funds, or private equity firms, and other controlled entities, if they own a controlling share of the company.

NOTE: A business that is wholly or substantially owned by investment companies or development companies licensed or qualified under the Small Business Act of 1958 (SBIA), or by investment companies to which a Reinvestor SBIC has provided a meaningful percentage of Equity Capital are not considered affiliates of such investment companies or development companies.

☐ Yes

☐ No

- (14) All answers may be “yes” or “no” without impacting eligibility. As defined by SBA:

☐ Are you a socially or economically disadvantaged small business? (Check if yes)

☐ Are you a Woman-Owned small business (WOSB)? (Check if yes)

☐ Are you a certified HUBZone small business concern? (Check if yes)

☐ Are you a Service-Disabled Veteran-Owned small business (SDVOSB)? (Check if yes)

- (15) Has the Defense Contracting Audit Agency (DCAA), or other agreed-upon agency, performed a review of the firm’s accounts or records in connection with Government contracts or subcontracts within the past 12 months? Either answer is awardable.

☐ Yes

☐ No

- (16) Does the proposed cost include Technical and Business Assistance? (The DAF does **not** allow for TABA.)

☐ Yes

☐ No

- (17) Has a proposal for Essentially Equivalent Work been submitted to the DAF, other US government agencies, or other DoD SBIR/STTR components?

- If YES, additional information required in volume 5.
- If a proposal submitted in response to this CSO is substantially the same as another proposal that was funded, is now being funded, or is pending with either the DAF or another federal agency or DoD SBIR/STTR component, you must

AFX24.7--45

reveal this on the Proposal Cover Sheet (Volume 1) and provide the following information below:

Name of Federal Agency to which the Proposal was submitted, or from which an award is expected or has been received	Date of proposal submission or date of award	Title of Proposal (if SBIR/STTR, include Proposal Number and SBIR/STTR topic number)	Name and Title of Principal Investigator for each proposal submitted or award received	Was awarded? If so, include contract number
(LIST)	(LIST)	(LIST)	(LIST)	(LIST)

- (18) Has a contract, agreement, or grant been awarded for any of the proposals listed above?
- If the firm has been awarded a contract, agreement, or grant for any of the proposals listed above, your proposal will be disqualified.

☐ Yes☐ No

- (19) Are you submitting data rights assertions in accordance with DFARS 252.227-7017 “Identification and Assertion of Use, Release, or Disclosure Restrictions” or 252.227-7018?
- If YES, complete Attachment 7.
 - The award cannot be made until assertions have been approved.
 - If claiming data rights assertions without including a Data Rights Assertions table found in DFARS 252.227-7017, the proposal will be disqualified.

☐ Yes☐ No

- (20) Are you proposing Research Involving Human Subjects (RIHS), Human Subject Research (HSR), Research Involving Animal Subjects (RIAS), or Research Involving Recombinant DNA Molecules (RIRDm)?

- If proposing RIHS/HSR, provide a current Federal Assurance of Compliance with Federal regulations for human-subject protection and evidence of completed appropriate training in human subject protection for involved personnel from your firm,
- If proposing RIAS, provide documentation verifying review and approval for the research from the Institutional Animal Care and Use Committee.
- If proposing Research Involving Recombinant DNA Molecules, provide documentation of approval from Institutional Biosafety Committee.
- Until such documents are provided, the firm cannot perform any work involving the associated activities. This could lead to disqualification, depending on the effort's schedule.

☐ RIHS/HSR

☐ RIAS

☐ RIRDM

(21) Are teaming partners or subcontractors proposed?

- If yes, be sure to include this information in the Proposal Coversheet (Volume 1), Cost Volume (Volume 3), and Supplemental Cost Information (Volume 5).

☐ Yes

☐ No

(22) Are you proposing to use "foreign persons" for work under the proposed effort?

- If YES, identify any foreign citizens or individuals holding dual citizenship expected to be involved on this project as a direct employee, subcontractor, or consultant. For these individuals, specify their countries of origin, the type of visas or work permits under which they are performing, and the tasks they are anticipated to perform for this project if awarded. The firm may be asked to provide additional information during negotiations to verify the foreign citizen's eligibility to participate in the SBIR/STTR effort. Supplement information provided in response to this paragraph will be protected in accordance with the Privacy Act (5 U.S.C 552a), if applicable, and the Freedom of Information Act (5 U.S.C. 552(b)(6)). Proposals including the involvement of foreign persons should include this table:

Full Name	Foreign National (Yes or No)	Country of Origin	Type of Visa or Work Permit Held	Description of Involvement (specific task(s) in the work plan)

(LIST)	(LIST)	(LIST)	(LIST)	(LIST)

- If the cognizant Government Program Manager does not concur with the individuals' involvement or the information is not received by the date/time specified by the Government, the proposal may be disqualified.

(23) What percentage of the PI's total time will be spent on the project?

- Any non-zero answer is awardable.
- If the answer is less than 25% of the PI's total time, please describe the PI's other duties and roles.

(24) Is the PI a woman?

- Either answer is awardable.
- This information is required for the SBA's Award Information Database.

☐ Yes

☐ No

(25) Is the PI socially/economically disadvantaged as defined by 13 CFR 124.103 and 124.104?

- Either answer is awardable.
- This information is required for the SBA's Award Information Database.

☐ Yes

☐ No

ATTACHMENT 2 (required)

SBIR/STTR FUNDING AGREEMENT CERTIFICATION

All small businesses that are selected for award of an SBIR/STTR Funding Agreement must complete this certification at the time of award and any other time set forth in the Funding Agreement that is prior to performance of work under this award. This includes checking all of the boxes and having an authorized officer of the Awardee sign and date the certification each time it is requested.

Please read carefully the following certification statements. The Federal Government relies on the information to determine whether the business is eligible for a Small Business Innovation Research (SBIR) program or Small Business Technology Transfer (STTR) program award. A similar certification will be used to ensure continued compliance with specific program requirements during the life of the Funding Agreement. The definitions for the terms used in this certification are set forth in the Small Business Act, SBA regulations (13 CFR part 121), the SBIR/STTR Policy Directive and also any statutory and regulatory provisions referenced in those authorities.

If the Funding Agreement officer believes that the business may not meet certain eligibility requirements at the time of award, they are required to file a size protest with the U.S. Small Business Administration (SBA), which will determine eligibility. At that time, SBA will request further clarification and supporting documentation in order to assist in the verification of any of the information provided as part of a protest. If the Funding Agreement officer believes, after award, that the business is not meeting certain Funding Agreement requirements, the agency may request further clarification and supporting documentation in order to assist in the verification of any of the information provided.

Even if correct information has been included in other materials submitted to the Federal Government, any action taken with respect to this certification does not affect the Government's right to pursue criminal, civil or administrative remedies for incorrect or incomplete information given in the certification. Each person signing this certification may be prosecuted if they have provided false information.

The undersigned has reviewed, verified and certifies that (all boxes must be checked unless otherwise directed):

- ☐ (1) The Awardee business concern meets the ownership and control requirements set forth in 13 CFR 121.702.

(2) If a corporation – all corporate documents (namely: articles of incorporation and any amendments, articles of conversion, by-laws and amendments, shareholder meeting minutes showing director elections, shareholder meeting minutes showing officer elections, organizational meeting minutes, all issued stock certificates, stock ledger, buy-sell agreements, stock transfer agreements, voting agreements, and documents relating to stock options, including the right to convert non-voting stock or debentures into voting stock) must evidence that the corporation meets the ownership and control requirements set forth in 13 CFR 121.702. (Check one box).

- ☐ Yes

- ☐ N/A (Explain why N/A)

(3) If a partnership -- the partnership agreement evidences that it meets the ownership and control requirements set forth in 13 CFR 121.702. (Check one box).

☐ Yes

☐ N/A (Explain why N/A)

(4) If a limited liability company – the articles of organization and any amendments, and operating agreement and amendments, evidence that it meets the ownership and control requirements set forth in 13 CFR 121.702. (Check one box).

☐ Yes

☐ N/A (Explain why N/A)

(5) The birth certificates, naturalization papers, or passports show that any individuals it relies upon to meet the eligibility requirements are U.S. citizens or permanent resident aliens in the United States. (Check one box).

☐ Yes

☐ N/A (Explain why N/A)

☐ (6) The Awardee business concern has no more than 500 employees, including the employees of its Affiliates.

☐ (7) SBA has not issued a size determination currently in effect finding that this business concern exceeds the 500 employee size standard.

(8) During the performance of the award, the Principal Investigator/Project Manager will spend more than one half of his/her time (based on a 40 hour workweek) as an employee of the Awardee (or Research Institution – STTR only) or has requested and received a written deviation from this requirement from the Funding Agreement officer. (Check one box).

☐ Yes

☐ Deviation requested in writing to the Funding Agreement officer: _____%

(9) All Essentially Equivalent Work, or a portion of the work, proposed under this project (check applicable line):

☐ **Has not** been submitted for funding to this Agency or another Federal agency.

- ☐ **Has** been submitted for funding to this Agency or another Federal agency but has not been funded under any other grant, contract, subcontract or other transaction.
- ☐ A portion has been funded by another grant, contract, or subcontract as described in detail in the proposal and approved in writing by the Funding Agreement officer.

(10) During performance of award, the Awardee will perform the applicable percentage of work unless a deviation from this requirement is approved in writing by the Funding Agreement officer (check applicable line and fill in if needed):

- ☐ SBIR Phase I: at least two-thirds (66 2/3%) of the research.
- ☐ SBIR Phase II: at least half (50%) of the research.
- ☐ STTR Phase I or Phase II: at least forty percent (40%) of the research. Deviation approved in writing by the Funding Agreement officer (SBIR only): __%

(11) During performance of award, the R/R&D will be performed in the United States unless a deviation is approved in writing by the Funding Agreement officer (check one box).

- ☐ Yes
- ☐ Waiver has been requested

- ☐ (12) During performance of award, the R/R&D will be performed at the Awardee's facilities by the Awardee's employees, except as otherwise indicated in the SBIR/STTR application and approved in the Funding Agreement.

(13) The SBIR Awardee has registered itself on SBA's database as majority-owned by venture capital operating companies, hedge funds or private equity firms (check one)

- ☐ Yes
- ☐ No
- ☐ N/A Explain why N/A: _____

(14) The SBIR Awardee is a Covered Small Business Concern (a Small Business Concern that: (a) was not majority-owned by multiple venture capital operating companies (VCOs), hedge funds, or private equity firms on the date on which it submitted an application in response to an SBIR solicitation; and (b) on the date of the SBIR award, which is made more than 9 months after the closing date of the solicitation, is majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms). (Check one box).

- ☐ Yes

☐ No

(15) I will notify this Agency immediately if all or a portion of the work authorized and funded under this award is subsequently funded by another Federal Agency.

(16) [For STTR only] The Small Business Concern, and not a partnering Research Institution, is exercising management direction and control of the performance of the STTR Funding Agreement.

☐ Yes

☐ No

☐ (17) I understand that the information submitted may be given to Federal, State, and local agencies for determining violations of law and other purposes.

(18) I am an officer of the business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the business concern that the information provided in this certification, the application, and all other information submitted in connection with this application, is true and correct as of the date of submission. I acknowledge that any intentional or negligent misrepresentation of the information contained in this certification may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. 1001; (2) treble damages and civil penalties under the False Claims Act (31 U.S.C. 3729 et seq.); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. 3801 et seq.); (4) civil recovery of award funds, (5) suspension and/or debarment from all Federal procurement and nonprocurement transactions (FAR subpart 9.4 or 2 CFR part 180); and (6) other administrative penalties including termination of SBIR/STTR awards.

Signature	
Print Name	
Title	
Business Name	

ATTACHMENT 3

SBIR/STTR FUNDING AGREEMENT CERTIFICATION – LIFE CYCLE CERTIFICATION

All SBIR/STTR Phase I and Phase II Awardees must complete this certification at all times set forth in the Funding Agreement (see § 8(j) of the SBIR/STTR Policy Directive). This includes checking all of the boxes (unless otherwise directed) and having an authorized officer of the Awardee sign and date the certification each time it is requested.

If the Funding Agreement officer believes that the business is not meeting certain Funding Agreement requirements, the agency may request further clarification and supporting documentation in order to assist in the verification of any of the information provided.

Even if correct information has been included in other materials submitted to the Federal Government, any action taken with respect to this certification does not affect the Government's right to pursue criminal, civil or administrative remedies for incorrect or incomplete information given in the certification. Each person signing this certification may be prosecuted if they have provided false information.

The undersigned has reviewed, verified and certifies that (all boxes must be checked except where otherwise directed):

(1) The Principal Investigator/Project Manager spent more than one half of his/her time (based on a 40 hour workweek) as an employee of the Awardee (or Research Institution – STTR only) or the Awardee has requested and received a written deviation from this requirement from the Funding Agreement officer.

☐ Yes

☐ No

☐ Deviation approved in writing by Funding Agreement officer: _____ %

(2) All Essentially Equivalent Work, or a portion of the work, performed under this project (check the applicable line):

☐ Has not been submitted for funding to this Agency or another Federal Agency.

☐ Has been submitted for funding to this Agency or another Federal agency but has not been funded under any other grant, contract, subcontract or other transaction.

☐ A portion has been funded by another grant, contract, or subcontract as described in detail in the proposal and approved in writing by the Funding Agreement officer.

(3) Upon completion of the award, the Awardee will have performed the applicable percentage of work, unless a deviation from this requirement is approved in writing by the Funding Agreement officer (check the applicable line and fill in if needed):

☐ SBIR Phase I: at least two-thirds (66 2/3%) of the research.

- ☐ SBIR Phase II: at least half (50%) of the research.
- ☐ STTR Phase I or Phase II: at least forty percent (40%) of the research. Deviation approved in writing by the Funding Agreement officer (SBIR only): _____%

- ☐ (4) The work is completed and the small business Awardee has performed the applicable percentage of work, unless a deviation from this requirement is approved in writing by the Funding Agreement officer (check the applicable line and fill in if needed):

- ☐ SBIR Phase I: at least two-thirds (66 2/3%) of the research.

- ☐ SBIR Phase II: at least half (50%) of the research.

- ☐ STTR Phase I or Phase II: at least forty percent (40%) of the research. Deviation approved in writing by the Funding Agreement officer: N/A because work is not completed.

(5) [For STTR only] The Small Business Concern, and not a partnering Research Institution, is exercising management direction and control of the performance of the STTR Funding Agreement.

- ☐ Yes

- ☐ No

(6) The R/R&D is performed in the United States unless a deviation is approved in writing by the Funding Agreement officer.

- ☐ Yes

- ☐ No

- ☐ Waiver has been granted

(7) The R/R&D is performed at the Awardee's facilities by the Awardee's employees, except as otherwise indicated in the SBIR/STTR application and approved in the Funding Agreement.

- ☐ Yes

- ☐ No

- ☐ (8) I will notify this Agency immediately if all or a portion of the work authorized and funded under this award is subsequently funded by another Federal Agency.

- ☐ (9) I understand that the information submitted may be given to Federal, State, and local agencies for determining violations of law and other purposes.

- ☐ (10) I am an officer of the Awardee business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the business concern, that the information provided in this certification, the application, and all other information submitted in connection with the award, is true and correct as of the date of submission. I acknowledge that any intentional or negligent misrepresentation of the information contained in this certification may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. 1001; (2) 124 damages and civil penalties under the False Claims Act (31 U.S.C. 3729 et seq.); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. 3801 et seq.); (4) civil recovery of award funds, (5) suspension and/or debarment from all Federal procurement and nonprocurement transactions (FAR subpart 9.4 or 2 CFR part 180); and (6) other administrative penalties including termination of SBIR/STTR awards.

Signature	
Print Name	
Title	
Business Name	

ATTACHMENT 4 (Required)

CONTRACTOR CERTIFICATION REGARDING PROVISION OF PROHIBITION ON CONTRACTING FOR CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT

Contractor's Name	
Small Business Concern Name	
Office Telephone Number	
Mobile Telephone Number	
Email Address	

Name of Person Authorized to sign: _____

Signature of person authorized to sign: _____

Date: _____

The penalty for making false statement is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

DFARS PROVISIONS INCORPORATED IN FULL TEXT:

252.204-7016 Covered Defense Telecommunications Equipment or Services—Representation.

As prescribed in [204.2105](#) (a), use the following provision:

COVERED DEFENSE TELECOMMUNICATIONS EQUIPMENT OR SERVICES—

REPRESENTATION (DEC 2019)

(a) *Definitions.* As used in this provision, “covered defense telecommunications equipment or services” has the meaning provided in the clause [252.204-7018](#) , Prohibition on the Acquisition of Covered Defense Telecommunications Equipment or Services.

(b) *Procedures.* The Offeror shall review the list of excluded parties in the System for Award Management (SAM) (<https://www.sam.gov/>) for entities excluded from receiving federal awards for “covered defense telecommunications equipment or services”.

(c) *Representation.* The Offeror represents that it does, does not provide covered defense telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument.

(End of provision)

252.204-7017 Prohibition on the Acquisition of Covered Defense Telecommunications Equipment or Services—Representation.

As prescribed in [204.2105](#) (b), use the following provision:

PROHIBITION ON THE ACQUISITION OF COVERED DEFENSE TELECOMMUNICATIONS EQUIPMENT OR SERVICES—REPRESENTATION (MAY 2021)

The Offeror is not required to complete the representation in this provision if the Offeror has represented in the provision at [252.204-7016](#) , Covered Defense Telecommunications Equipment or Services—Representation, that it “does not provide covered defense telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument.”

(a) *Definitions.* “Covered defense telecommunications equipment or services,” “covered mission,” “critical technology,” and “substantial or essential component,” as used in this provision, have the meanings given in the [252.204-7018](#) clause, Prohibition on the Acquisition of Covered Defense Telecommunications Equipment or Services, of this solicitation.

(b) *Prohibition.* Section 1656 of the National Defense Authorization Act for Fiscal Year 2018 (Pub. L. 115-91) prohibits agencies from procuring or obtaining, or extending or renewing a contract to procure or obtain, any equipment, system, or service to carry out covered missions that uses covered defense telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system.

(c) *Procedures.* The Offeror shall review the list of excluded parties in the System for Award Management (SAM) at <https://www.sam.gov> for entities that are excluded when providing any equipment, system, or service to carry out covered missions that uses covered defense telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system, unless a waiver is granted.

Representation. If in its annual representations and certifications in SAM the Offeror has represented in paragraph (c) of the provision at [252.204-7016](#) , Covered Defense Telecommunications Equipment or Services—Representation, that it “does” provide covered defense telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument, then the Offeror shall complete the following additional representation:

The Offeror represents that it will will not provide covered defense telecommunications equipment or services as a part of its offered products or services to DoD in the performance of any award resulting from this solicitation.

(e) *Disclosures.* If the Offeror has represented in paragraph (d) of this provision that it “will provide covered defense telecommunications equipment or services,” the Offeror shall provide the following information as part of the offer:

- (1) A description of all covered defense telecommunications equipment and services offered (include brand or manufacturer; product, such as model number, original equipment manufacturer (OEM) number, manufacturer part number, or wholesaler number; and item description, as applicable).
- (2) An explanation of the proposed use of covered defense telecommunications equipment and services and any factors relevant to determining if such use would be permissible under the prohibition referenced in paragraph (b) of this provision.
- (3) For services, the entity providing the covered defense telecommunications services (include entity name, unique entity identifier, and Commercial and Government Entity (CAGE) code, if known).
- (4) For equipment, the entity that produced or provided the covered defense telecommunications equipment (include entity name, unique entity identifier, CAGE code, and whether the entity was the OEM or a distributor, if known).

(End of provision)

252.204-7018 Prohibition on the Acquisition of Covered Defense Telecommunications Equipment or Services.

As prescribed in [204.2105](#) (c), use the following clause:

PROHIBITION ON THE ACQUISITION OF COVERED DEFENSE TELECOMMUNICATIONS EQUIPMENT OR SERVICES (JAN 2023)

(a) *Definitions.* As used in this clause—

“Covered defense telecommunications equipment or services” means—

- (1) Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation, or any subsidiary or affiliate of such entities;
- (2) Telecommunications services provided by such entities or using such equipment; or
- (3) Telecommunications equipment or services produced or provided by an entity that the Secretary of Defense reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

“Covered foreign country” means—

- (1) The People’s Republic of China; or
- (2) The Russian Federation.

“Covered missions” means—

- (1) The nuclear deterrence mission of DoD, including with respect to nuclear command, control, and communications, integrated tactical warning and attack assessment, and continuity of Government; or
- (2) The homeland defense mission of DoD, including with respect to ballistic missile defense.

“Critical technology” means—

- (1) Defense articles or defense services included on the United States Munitions List set forth in the International Traffic in Arms Regulations under subchapter M of chapter I of title 22, Code of Federal Regulations;
- (2) Items included on the Commerce Control List set forth in Supplement No. 1 to part 774 of the Export Administration Regulations under subchapter C of chapter VII of title 15, Code of Federal Regulations, and controlled—
 - (i) Pursuant to multilateral regimes, including for reasons relating to national security, chemical and biological weapons proliferation, nuclear nonproliferation, or missile technology; or
 - (ii) For reasons relating to regional stability or surreptitious listening;
- (3) Specially designed and prepared nuclear equipment, parts and components, materials, software, and technology covered by part 810 of title 10, Code of Federal Regulations (relating to assistance to foreign atomic energy activities);
- (4) Nuclear facilities, equipment, and material covered by part 110 of title 10, Code of Federal Regulations (relating to export and import of nuclear equipment and material);
- (5) Select agents and toxins covered by part 331 of title 7, Code of Federal Regulations, part 121 of title 9 of such Code, or part 73 of title 42 of such Code; or
- (6) Emerging and foundational technologies controlled pursuant to section 1758 of the Export Control Reform Act of 2018 (50 U.S.C. 4817).

“Substantial or essential component” means any component necessary for the proper function or performance of a piece of equipment, system, or service.

(b) *Prohibition.* In accordance with section 1656 of the National Defense Authorization Act for Fiscal Year 2018 (Pub. L. 115-91), the contractor shall not provide to the Government any equipment, system, or service to carry out covered missions that uses covered defense telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system, unless the covered defense telecommunication equipment or services are covered by a waiver described in Defense Federal Acquisition Regulation Supplement [204.2104](#).

(c) *Procedures.* The Contractor shall review the list of excluded parties in the System for Award Management (SAM) at <https://www.sam.gov> for entities that are excluded when providing any equipment, system, or service, to carry out covered missions, that uses covered defense

telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system, unless a waiver is granted.

(d) Reporting.

(1) In the event the Contractor identifies covered defense telecommunications equipment or services used as a substantial or essential component of any system, or as critical technology as part of any system, during contract performance, the Contractor shall report at <https://dibnet.dod.mil> the information in paragraph (d)(2) of this clause.

(2) The Contractor shall report the following information pursuant to paragraph (d)(1) of this clause:

(i) Within 3 business days from the date of such identification or notification: the contract number; the order number(s), if applicable; supplier name; brand; model number (original equipment manufacturer number, manufacturer part number, or wholesaler number); item description; and any readily available information about mitigation actions undertaken or recommended.

(ii) Within 30 business days of submitting the information in paragraph (d)(2)(i) of this clause: any further available information about mitigation actions undertaken or recommended. In addition, the Contractor shall describe the efforts it undertook to prevent use or submission of a covered defense telecommunications equipment or services, and any additional efforts that will be incorporated to prevent future use or submission of covered telecommunications equipment or services.

(e) Subcontracts. The Contractor shall insert the substance of this clause, including this paragraph (e), in all subcontracts and other contractual instruments, including subcontracts for the acquisition of commercial products or commercial services.

ATTACHMENT 5 (Required if Applicant is a Joint Venture)**VERIFICATION OF ELIGIBILITY OF SMALL BUSINESS JOINT VENTURES**

Joint ventures and limited partnerships are permitted to submit proposals against this solicitation, provided the entity created qualifies as a small business in accordance with the Small Business Act, 13 U.S.C. § 121.701. Applicants must disclose joint ventures with existing (or planned) relationships/partnerships with any foreign entity or any foreign government- controlled companies.

A small business joint venture offeror must submit, with its offer, the representation required in paragraph (c) of FAR solicitation provision 52.212-3, Offeror Representations and Certifications-Commercial Products and Commercial Services, and paragraph (c) of FAR solicitation provision 52.219-1, Small Business Program Representations, in accordance with FAR 52.204-8(d) and 52.212-3(b) for the following categories:

- (A) Small business;
- (B) Service-disabled veteran-owned small business
- (C) Women-owned small business (WOSB) under the WOSB Program;
- (D) Economically disadvantaged women-owned small business under the WOSB Program; or
- (E) Historically underutilized business zone small business

Contractor's Name	
Small Business Concern Name	
Office Telephone #	
Mobile #	
Email Address	

Name of person authorized to sign _____

Signature of person authorized _____

Date _____

FAR Provisions Incorporated in Full Text**52.219-1 Small Business Program Representations (Feb 2024) Alternate I**

(a) Definitions. As used in this provision-

Economically disadvantaged women-owned small business (EDWOSB) concern means a small business concern that is at least 51 percent directly and unconditionally owned by, and the management and daily business operations of which are controlled by, one or more women who are citizens of the United States and who are economically disadvantaged in accordance with 13 CFR part 127, and the concern is

certified by SBA or an approved third-party certifier in accordance with 13 CFR 127.300. It automatically qualifies as a women-owned small business concern eligible under the WOSB Program.

Service-disabled veteran-owned small business (SDVOSB) concern means a small business concern-

(1) (i) Not less than 51 percent of which is owned and controlled by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and
(ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran or;

(2) A small business concern eligible under the SDVOSB Program in accordance with 13 CFR part 128 (see subpart 19.14).

(3) Service-disabled veteran, as used in this definition, means a veteran as defined in 38 U.S.C.101(2), with a disability that is service-connected, as defined in 38 U.S.C.101(16), with a disability that is service-connected, as defined in 38 U.S.C. 101(16), and who is registered in the Beneficiary Identification and Records Locator Subsystem, or successor system that is maintained by the Department of Veterans Affairs' Veterans Benefits Administration, as a service-disabled veteran.

Service-disabled veteran-owned small business (SDVOSB) concern eligible under the SDVOSB Program means an SDVOSB concern that—

(1) Effective January 1, 2024, is designated in the System for Award Management (SAM) as certified by the Small Business Administration (SBA) in accordance with 13 CFR 128.300; or

(2) Has represented that it is an SDVOSB concern in SAM and submitted a complete application for certification to SBA on or before December 31, 2023.

Service-disabled veteran-owned small business (SDVOSB) Program means a program that authorizes contracting officers to limit competition, including award on a sole-source basis, to SDVOSB concerns eligible under the SDVOSB Program.

Small business concern—

(1) Means a concern, including its affiliates, that is independently owned and operated, not dominant in its field of operation, and qualified as a small business under the criteria in 13 CFR part 121 and the size standard in paragraph (b) of this provision.

(2) Affiliates, as used in this definition, means business concerns, one of whom directly or indirectly controls or has the power to control the others, or a third party or parties control or have the power to control the others. In determining whether affiliation exists, consideration is given to all appropriate factors including common ownership, common management, and contractual relationships. SBA determines affiliation based on the factors set forth at 13 CFR 121.103.

Small disadvantaged business concern, consistent with 13 CFR 124.1001, means a small business concern under the size standard applicable to the acquisition, that-

(1) Is at least 51 percent unconditionally and directly owned (as defined at 13 CFR 124.105) by-

AFX24.7--61

(i) One or more socially disadvantaged (as defined at 13 CFR 124.103) and economically disadvantaged (as defined at 13 CFR 124.104) individuals who are citizens of the United States, and

(ii) Each individual claiming economic disadvantage has a net worth not exceeding the threshold at 13 CFR 124.104(c)(2) after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and

(2) The management and daily business operations of which are controlled (as defined at 13 CFR 124.106) by individuals who meet the criteria in paragraphs (1)(i) and (ii) of this definition.

Veteran-owned small business concern means a small business concern-

(1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C.101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and

(2) The management and daily business operations of which are controlled by one or more veterans.

Women-owned small business concern means a small business concern-

(1) That is at least 51 percent owned by one or more women; or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and

(2) Whose management and daily business operations are controlled by one or more women.

Women-owned small business (WOSB) concern eligible under the WOSB Program (in accordance with 13 CFR part 127) means a small business concern that is at least 51 percent directly and unconditionally owned by, and the management and daily business operations of which are controlled by, one or more women who are citizens of the United States, and the concern is certified by SBA or an approved third-party certifier in accordance with 13 CFR 127.300.

(c) Representations. (1) The offeror represents as part of its offer that—

(i) it ☐ is, ☐ is not a small business concern; or

(ii) It ☐ is, ☐ is not a small business joint venture that complies with the requirements of 13 CFR 121.103(h) and 13 CFR 125.8(a) and (b). [The offeror shall enter the name and unique entity identifier of each party to the joint venture: __.]

(2) [Complete only if the offeror represented itself as a small business concern in paragraph (c)(1) of this provision.] The offeror represents that it ☐ is, ☐ is not, a small disadvantaged business concern as defined in 13 CFR 124.1001.

(3) [Complete only if the offeror represented itself as a small business concern in paragraph (c)(1) of this provision.] The offeror represents as part of its offer that it ☐ is, ☐ is not a women-owned small business concern.

(4) Women-owned small business (WOSB) joint venture eligible under the WOSB Program. The offeror represents as part of its offer that it ☐ is, ☐ is not a joint venture that complies with the requirements of 13

CFR 127.506(a) through (c). [The offeror shall enter the name and unique entity identifier of each party to the joint venture: .]

(5) Economically disadvantaged women-owned small business (EDWOSB) joint venture. The offeror represents as part of its offer that it ☐ is, ☐ is not a joint venture that complies with the requirements of 13 CFR 127.506(a) through (c). [The offeror shall enter the name and unique entity identifier of each party to the joint venture: .]

(6) Veteran-owned small business concern. [Complete only if the offeror represented itself as a small business concern in paragraph (c)(1) of this provision.] The offeror represents as part of its offer that it ☐ is, ☐ is not a veteran-owned small business concern.

(7) SDVOSB concern. [Complete only if the offeror represented itself as a veteran-owned small business concern in paragraph (c)(6) of this provision.] The offeror represents as part of its offer that it ☐ is, ☐ is not an SDVOSB concern.

(8) SDVOSB joint venture eligible under the SDVOSB Program. [Complete only if the offeror represented itself as a SDVOSB concern in paragraph (c)(7) of this provision]. The offeror represents as part of its offer that it ☐ is, ☐ is not a SDVOSB joint venture eligible under the SDVOSB Program that complies with the requirements of 13 CFR 128.402. [The offeror shall enter the name and unique entity identifier of each party to the joint venture: .]

(9) HUBZone small business concern. [Complete only if the offeror represented itself as a small business concern in paragraph (c)(1) of this provision.] The offeror represents, as part of its offer, that—

(i) It ☐ is, ☐ is not a HUBZone small business concern listed, on the date of this representation, as having been certified by SBA as a HUBZone small business concern in the Dynamic Small Business Search and SAM, and will attempt to maintain an employment rate of HUBZone residents of 35 percent of its employees during performance of a HUBZone contract (see 13 CFR 126.200(e)(1)); and

(ii) It ☐ is, ☐ is not a HUBZone joint venture that complies with the requirements of 13 CFR 126.616(a) through (c). [The offeror shall enter the name and unique entity identifier of each party to the joint venture: .] Each HUBZone small business concern participating in the HUBZone joint venture shall provide representation of its HUBZone status.

(d) Notice. Under 15 U.S.C.645(d), any person who misrepresents a firm's status as a business concern that is small, HUBZone small, small disadvantaged, service-disabled veteran-owned small, economically disadvantaged women-owned small, or women-owned small eligible under the WOSB Program in order to obtain a contract to be awarded under the preference programs established pursuant to section 8, 9, 15, 31, and 36 of the Small Business Act or any other provision of Federal law that specifically references section 8(d) for a definition of program eligibility, shall-

(1) Be punished by imposition of fine, imprisonment, or both;

(2) Be subject to administrative remedies, including suspension and debarment; and

(3) Be ineligible for participation in programs conducted under the authority of the Act.

(10) [Complete if offeror represented itself as disadvantaged in paragraph (c)(2) of this provision.] The offeror shall check the category in which its ownership falls:

- ☐ Black American.
- ☐ Hispanic American.
- ☐ Native American (American Indians, Eskimos, Aleuts, or Native Hawaiians).
- ☐ Asian-Pacific American (persons with origins from Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China, Taiwan, Laos, Cambodia (Kampuchea), Vietnam, Korea, The Philippines, Republic of Palau, Republic of the Marshall Islands, Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, Guam, Samoa, Macao, Hong Kong, Fiji, Tonga, Kiribati, Tuvalu, or Nauru).
- ☐ Subcontinent Asian (Asian-Indian) American (persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands, or Nepal).
- ☐ Individual/concern, other than one of the preceding.

(end of provision)

ATTACHMENT 6

CERTIFICATION FOR SBIR APPLICANTS THAT ARE MAJORITY-OWNED BY MULTIPLE VENTURE CAPITAL OPERATING COMPANIES, HEDGE FUNDS, OR PRIVATE EQUITY FIRMS (Required if applicable)

Any small business that is majority-owned by multiple venture operating companies (VCOCs), hedge funds, or private equity firms and is submitting an application for an SBIR Funding Agreement must complete this certification prior to submitting an application. This includes checking all of the boxes and having an authorized officer of the Applicant sign and date the certification each time it is requested.

Please read carefully the following certification statements. The Federal Government relies on the information to determine whether the business is eligible for a Small Business Innovation Research (SBIR) program award and meets the specific program requirements during the life of the Funding Agreement. The definitions for the terms used in this certification are set forth in the Small Business Act, SBA regulations (13 CFR part 121), the SBIR/STTR Policy Directive and also any statutory and regulatory provisions referenced in those authorities.

If the Funding Agreement officer believes that the business may not meet certain eligibility requirements at the time of award, he/she is required to file a size protest with the U.S. Small Business Administration (SBA), which will determine eligibility. At that time, SBA will request further clarification and supporting documentation in order to assist in the verification of any of the information provided as part of a protest. If the Funding Agreement officer believes, after award, that the business is not meeting certain Funding Agreement requirements, the agency may request further clarification and supporting documentation in order to assist in the verification of any of the information provided.

Even if correct information has been included in other materials submitted to the Federal Government, any action taken with respect to this certification does not affect the Government's right to pursue criminal, civil or administrative remedies for incorrect or incomplete information given in the certification. Each person signing this certification may be prosecuted if they have provided false information.

The undersigned has reviewed, verified and certifies that (all boxes must be checked):

- (1) The Applicant is NOT more than 50% owned by a single VCOC, hedge fund, or private equity firm.
- (2) The Applicant is more than 50% owned by multiple domestic business concerns that are VCOCs, hedge funds, or private equity firms.
- (3) I have registered with SBA at www.SBIR.gov as a business that is majority-owned by multiple VCOCs, hedge funds or private equity firms.
- (4) I understand that the information submitted may be given to Federal, State, and local agencies for determining violations of law and other purposes.
- (5) All the statements and information provided in this form and any documents submitted are true, accurate, and complete. If assistance was obtained in completing this form and the supporting documentation, I have personally reviewed the information and it is true and accurate. I understand that, in general, these statements are made for the purpose of determining eligibility for an SBIR Funding Agreement and continuing eligibility.

(6) I understand that the certifications in this document are continuing in nature. Each SBIR Funding Agreement for which the small business submits an offer or application or receives an award constitutes a restatement and reaffirmation of these certifications.

(7) I understand that I may not misrepresent status as small business obtain a contract under the Act; or 2) obtain any benefit under a provision of Federal law that references the SBIR program.

(8) I am an officer of the business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the SBIR Applicant or Awardee, that the information provided in this certification, the application, and all other information submitted in connection with this application, is true and correct as of the date of submission. I acknowledge that any intentional or negligent misrepresentation of the information contained in this certification may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. 1001; (2) treble damages and civil penalties under the False Claims Act (31 U.S.C. 3729 et seq.); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. 3801 et seq.); (4) civil recovery of award funds, (5) suspension and/or debarment from all Federal procurement and nonprocurement transactions (FAR subpart 9.4 or 2 CFR part 180); and (6) other administrative penalties including termination of SBIR/STTR awards

Signature	
Print Name	
Title	
Business Name	

ATTACHMENT 7**IDENTIFICATION AND ASSERTION OF USE, RELEASE, OR DISCLOSURE RESTRICTIONS
(required if applicable)**

Technical Data or Computer Software to be Furnished with Restrictions*	Basis for Assertion**	Asserted Rights Category***	Name of Person Asserting Restrictions

*For technical data (other than computer software documentation) pertaining to items, components, or processes developed at private expense, identify both the deliverable technical data and each such item, component, or process. For computer software or computer software documentation identify the software or documentation.

** Generally, development at private expense, either exclusively or partially, is the only basis for asserting restrictions. For technical data, other than computer software documentation, development refers to development of the item, component, or process to which the data pertain. The Government's rights in computer software documentation generally may not be restricted. For computer software, development refers to the software. Indicate whether development was accomplished exclusively or partially at private expense. If development was not accomplished at private expense, or for computer software documentation, enter the specific basis for asserting restrictions.

*** Enter asserted rights category (e.g., government purpose license rights from a prior contract, rights in SBIR data generated under another contract, limited, restricted, or government purpose rights under this or a prior contract, or specially negotiated licenses).

**** Corporation, individual, or other person, as appropriate.

Signature	
Print Name	
Title	