



AFWERX  
AFVENTURES

**Open Topic Overview & AMA**  
**SBIR: X22.4 Phase I, X22.4 D2P2**  
**STTR: X22.D Phase I**

**14 July 2022**

# Rules of Engagement

1. Call is recorded
2. No Classified/Proprietary Information
3. Post Questions in Q&A portion
4. PMs raise hand so I can promote to panelist

# Points of Contact

- **X22.4/D Phase I:** Ms. Jenna Roueche
- **X22.4 D2P2:** Lt Col Ray Khan
- **Contracting Officer:** Mr. Daniel Brewer

# Additional resources can be found at

[www.AFWERX.com](http://www.AFWERX.com)

AFWERX

## TALENT, TECHNOLOGY AND TRANSITION

AFWERX IS AN INNOVATION ARM OF THE DEPARTMENT OF THE AIR FORCE

AFWERX accelerates agile and affordable capability transitions by training innovative technology developers with German and Canadian talent.

f t y i n

### CURRENT ACTIVITIES

#### AFWERX FELLOWSHIP

Applications for the 22-2 cohort are due by 9 May 2022

Visit the [Join Us](#) page for more information.

**APPLY NOW!**

The AFWERX Fellowship was created to contribute to the development of innovative Airmen and Guardians by embedding them into AFEDC. Selected fellows will support a range of projects and will be virtually based to one of our teams: AFPrograms, Cyber, Space, or Ignite/SEDS. Applications for the 22-2 cohort are due by 9 May 2022.

#### SIGN UP FOR THE STRATFI/TACFI AMA!

30 May 2022, Thursday at 2PM ET

**REGISTER NOW!**

The STRATFI/TACFI AMA Series will run biweekly on Thursday's at 2 PM EST beginning on March 25th - May 5th. This event is open to Small Business and Government. Please join us to get a better understanding of the STRATFI/TACFI program and ask your questions!

#### REGISTER TO ATTEND AFWERX Weekly Webinars Series

**REGISTER NOW!**

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# Reach

There are thousands of **commercially viable companies** that have not yet fully explored the Air Force as a potential customer and whose technology could be useful to us.

# Engage

**To attract the best**, we need to continue to make it easier to work with us; we need to operate at the speed and intensity of a startup.

# Transition

**Transitioning technology to the warfighter/operator/user** is the hardest part. We have a strong focus on transition.

Flipping the traditional process on its head:

Whereas traditional SBIR/STTR programs start with a callout for a specific technology and companies deliver a primarily technology-focused feasibility study and report for Phase I, we widened the aperture to any commercially available technology not represented by other topics. The goal of Phase I is to perform customer discovery with the DoD and find someone who is willing to buy your product or service with the outcome of a business and technology-focused feasibility study and report for Phase I.

# The Support Ecosystem is Growing!

- **New Partners = New Opportunities**
  - SpaceWERX & Orbital Prime
  - DigitalWERX
  - Growing Spark Cell network
  - New Mission Area Program
- **Updated Curriculum**
- **All-of-DAF Evaluations give both lab & operational communities a sneak peak of the cohorts**
  - Transparent to companies
- **“Potential” in-person colliders & events (cross your fingers!)**



# Three Offerings Every Cycle



## STTR Phase I

Up to \$75,000 per award

100-200 awards per year

**Feasibility &  
Customer Discovery**



## SBIR Phase I

Up to \$75,000 per award

600-700 awards per year

**Feasibility &  
Customer Discovery**



## SBIR D2P2

Up to \$1.25M per award

100-150 awards per year

**Prototyping**

**The number of awards will depend upon availability of funds.**



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**AFX22.4-OCS01 (SBIR)**

# Small Business Innovation (SBIR) (AFX22.4-OCS01)

Technical Feasibility

90 days and up to \$75K to...

find the fit between your validated non-defense  
commercial product and the Defense Market

# SBIR Proposal Structure

- **Vol 1: Basic Information (SAM, UEID, CAGE, Abstract, FDA, Contact Info. etc)**
- **Vol 2: Technical**
  - Maximum of 25 slides (**11 required**, 9 required as applicable, the rest are elective)
- **Vol 3: Cost**
  - System formatted inputs
- **Vol 4: Commercialization Program**
  - Go to the website listed and simply follow the directions
- **Vol 5: Supporting Documentation**
  - Additional Cost Info (your preferred format)
  - Work Plan (Non-proprietary)
  - Resumes for key personnel
  - DoD Funding Agreement Certification
  - Letters of Support
- **Vol 6: Fraud, Waste, and Abuse Training**

**Signed MOUs (with DAF TPOC) will be required to proceed to Phase II.**

# SBIR Proposal Non-Negotiables

- All eligible offerors must be qualifying, registered small businesses
- This solicitation is for Phase I only: maximum contract terms of \$75K, 3 months
- Complete proposals must be submitted via the Defense SBIR/STTR Innovation Portal (DSIP) system
  - We cannot pre-read or recommend proposals
  - No email or other non-DSIP submissions will be received
- Must be Research, Development, Test, and Evaluation (RDT&E) activities
  - Not services, not procurement
- Fraud, Waste, and Abuse training
- Proposals not meeting the above simply won't be evaluated.

# What's Next?

## Phase I Proposals due **Tuesday, 9 Aug @ Noon Eastern**

- Meet baseline eligibility requirements (incorporate, register)
- [25-Slide Tech Volume](#)

### Evaluation Criteria:

1. 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.
  - Phase II follow-on commitments for the subject research are also evidence of commercialization potential.
2. The appropriateness, relevance, and specificity of an identified Defense Need. While not required, signed letters of support from AF customers and/or end-users may be indicators of the appropriateness, relevance, and specificity of an identified Defense Need (Content discussed in 5.3(b)(7)). The adequacy of the proposed effort and its relationship to fulfilling the identified Defense Need. The presence of previous investment (basic research grants, etc) directly supporting the proposed effort may also be indicative of the relevance and depth of an AF need.
3. The soundness, technical merit, and innovation of the proposed approach as well as its differentiation from current customer alternatives, and incremental progress toward fulfilling the identified Defense need. Includes the proposed Principal Investigators/Project Managers, supporting staff, and consultants qualifications to execute the proposed approach.

# Amendments

AFX22.4-OCSO1

## Amendment 1 - 28 April 2022

1. Section 5.3.2 is renamed **Applicant Technical Volume**
2. Section 5.1.2 is revised to indicate that the Sample Slide Deck is located at **Attachment 5**.
3. Section 14.1 is renamed **Phase I Technical Volume Slide Deck Instructions**.
4. **Appendix B Direct-to-Phase-II White Paper Instructions** is inserted at Section 14.2.
5. Appendix C Certification Questions and Coversheet Supplement is moved to **Section 14.3**.

## Amendment 2 - 5 May 2022

1. The proposal submission deadline associated with this solicitation on page 1 is changed to **9 August 2022**.
2. The Q&A period associated with this solicitation in Section 4.4.14.4 is changed to **25 July 2022**.
3. The Performance of Work requirements associated with Section 5.3.3.3.b is changed to **one-half** of the total contract value.
4. All references to slide decks in regard to Direct-to-Phase II proposals are extirpated. Slide decks are required for the Phase I submissions, White Papers are required for the Direct-to-Phase-II submissions.

## Amendment 3 - 13 May 2022

1. Section 4.4.4; eligibility requirements are revised to allow for submission of proposals by SBCs that are owned in majority part by multiple VCOCs, hedge funds, or private equity firms.
2. Section 6: additional language regarding evaluation criteria inserted.
3. Section 10: additional language regarding evaluation criteria inserted.
4. Attachment 6: attachment internal numbering scheme is updated.
5. Attachment 6a: the total SBIR funding amount is changed to **\$1,250,000.00**.
6. Appendix C: all portions relating to the disqualification of SBCs that are owned in majority part by multiple VCOCs, hedge funds, or private equity firms are deleted.



# Amendments Cont.

AFX22.4-OCSO1

## Amendment 4 - 20 May 2022

1. Section 4.4.19 is revised to add TEC Solutions, Inc. and Parallax as support contractors.
2. Section 9.1.2 is revised to specify a 15-page White Paper.

## Amendment 5 - 27 May 2022

1. Section 14.2.1.1.2. The following language is added to this section: Identify if the solution to the problem or the opportunity benefits the Air Force or the Space Force or if the solution or opportunity could benefit either or both of the DAF services.

2. Section 14.2.1.1.6. The following language is added to this section:

Compliance and Regulatory Activities: Please indicate whether or not the proposed effort includes any of the following activities (please do not remove/delete these questions): (1) Will there be flight testing? (indicate Indoor/outdoor and manned/unmanned) (2) If yes to flight testing please provide (if known) the test facility/range name and/or location of where the flight test will be conducted? (3) Will any hardware or software be delivered to the government as part of the contract? Note: The contractor must submit a preliminary hazard list (per Mil Std-882E requirements) with the delivered item. (4) Will any government personnel, facilities, or government owned equipment be used during testing? Note: The contractor must complete a government safety review and provide the documentation to AFWERX via email (send to: p2@afwerx.af.mil) before the GFE is used in testing. After AFWERX receives the safety documentation a safety review process will be initiated (for project planning purposes the review will take approximately 4 weeks to complete). (5) Will there be any weapons or munitions testing? (6) Does this activity use explosives, propellants, deflagrating materials, or ammunition? (7) Does this activity use a directed energy device (including lasers) or radio frequency radiation? (8) Does this activity involve hazardous materials? (9) Will there be any animal testing? (10) Does any testing meet the definition of human subject research per 32 CFR 219? (11) Will testing include use of toxins, human derived materials, or recombinant DNA? (12) Does this project involve interaction or intervention w/ humans? (13) Does this project involve the access to, collection, use, analysis or sharing of human data or human bio specimens?



# Amendments Cont.

AFX22.4-OCSO1

## Amendment 6 - 2 Jun 2022

1. The formatting associated with Section 14.2 (Appendix B) has been reconfigured. No substantive changes have been made to this section. Specifically Sections 14.4.2, 14.2.15, and 14.24 have been reconfigured.

## Amendment 7 - 30 Jun 2022

1. The Performance of Work requirements associated with Section 5.3.3.3.b are changed to one-third of the total contract price or cost.
2. The Performance of Work requirements associated with Section 9.4.3.b are changed to one-half of the total contract price or cost.
3. The URL hyperlink associated with Attachment 5 is changed to <https://afwerx.com/sbir-sttr-programoverview/>.

## Amendment 8 - 7 Jul 2022

1. Section 4.4.21 is added to read as follows: Requirement for Standard Form 424 (SF 424), Research and Related Senior/Key Person Profile (Expanded) Form If selected for award, applicants shall submit a completed Standard Form (SF 424), Research and Related Senior/Key Person Profile (Expanded) Form for all Senior/Key Personnel proposed in support of the requirement. Additionally, the applicant shall submit a completed Security Program Questionnaire found at Attachment 9. Applicants may also be asked to provide a mitigation plan for any identified S&T Protection risks. The Government reserves the right not to award if the submitted SF 424 and Security Program Questionnaire are not acceptable to the Government.
2. Attachment 9, Security Program Questionnaire, is added.



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**AFX22.D-TCS01 (STTR)**

# Small Business Technology Transfer (STTR)

(AFX22.D-TCSO1)

Three-phase development program tailored specifically to commercialize compelling dual-use technology from across the U.S. research community.

## Intent:

- Facilitate expansive and meaningful engagement with users and applications throughout the federal marketplace
- Leverage DoD funding to buy-down technology risk and foster commercial success

Note: We award government contracts, not research grants.

# SBIR vs. STTR

## Similar to SBIR

- Three phase commercialization program codified in statute
  - Discover (P1) – Prototype (P2) – Transition (P3)
- Results in sole-source justification for use by \*all US federal agencies\*

**BUT,**

## has unique qualities based on its research focus:

- Requires **one** qualifying research institute to perform **30% - 60%** of work (e.g. university, non-profit, or FFRDC)
- PI may be primarily employed by research entity (e.g. professor) or the small business
- Leverages close ties with both Federal R&D and operational communities

# STTR Proposal Structure

- **Vol 1: Basic Information (SAM, UEID, CAGE, Abstract, etc)**
- **Vol 2: Technical**
  - Maximum of 25 slides (**11 required**, 9 required as applicable, the rest are elective)
- **Vol 3: Cost**
  - System formatted inputs
- **Vol 4: Commercialization Program**
  - Go to the website listed and simply follow the directions
- **Vol 5: Supporting Documentation**
  - Additional Cost Info (your preferred format)
  - **\*Teaming arrangement with eligible RI**
  - **\*IP Agreement with RI (SBA template available)**
  - Resumes for key personnel
  - DoD Funding Agreement Certification
  - Work Plan (Non-proprietary)
- **Vol 6: Fraud, Waste, and Abuse Training**

**Signed MOUs (with DAF TPOC) will be required to proceed to Phase 2**

# STTR Proposal Non-Negotiables

- **All eligible offerors must be qualifying, registered small businesses and propose Phase I efforts with a qualifying Research Institution subcontractor**
  - $\geq 40\%$  to the Small Business
  - $\geq 30\%$  to one Research Institution
  - 30% trade space (Small Business, RI, large company, secondary RI, etc)
- **This solicitation is for Phase I only: maximum contract terms of \$75K, 3 months**
- **Complete proposals must be submitted via the Defense SBIR/STTR Innovation Portal (DSIP) system**
  - We cannot pre-read or recommend proposals
  - No email or other non-DSIP submissions will be received
- **Must be Research, Development, Test, and Evaluation (RDT&E) activities**
  - Not services, not procurement
- **Fraud, Waste, and Abuse training**
- **Proposals not meeting the above simply won't be evaluated.**

# What's Next?

## Phase I Proposals due **Tuesday, 9 Aug @ Noon Eastern**

- Meet baseline eligibility requirements (incorporate, register, have RI partner)
- 25-Slide Tech Volume

### Evaluation Criteria:

1. 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.
  - Phase II follow-on commitments for the subject research are also evidence of commercialization potential.
2. The appropriateness, relevance, and specificity of an identified Defense Need. While not required, signed letters of support from AF customers and/or end-users may be indicators of the appropriateness, relevance, and specificity of an identified Defense Need (Content discussed in 5.3(b)(7)). The adequacy of the proposed effort and its relationship to fulfilling the identified Defense Need. The presence of previous investment (basic research grants, etc) directly supporting the proposed effort may also be indicative of the relevance and depth of an AF need.
3. The soundness, technical merit, and innovation of the proposed approach as well as its differentiation from current customer alternatives, and incremental progress toward fulfilling the identified Defense need. Includes the proposed Principal Investigators/Project Managers, supporting staff, and consultants qualifications to execute the proposed approach.



# Amendments

AFX22.D-OCSO1

## Amendment 1 - 5 May 2022

1. The submission deadline is changed to **9 August 2022**.
2. The Q&A deadline in Section 4.4.13.4 is changed to **25 July 2022**.

## Amendment 2 - 20 May 2022

1. Section 4.4.4: eligibility requirements are revised to allow for submission of proposals by SBC that are owned in majority part by multiple VCOCs, hedge funds, or private equity firms.
2. Section 6: additional language regarding evaluation criteria inserted.
3. Attachment B: all portions relating to the disqualification of SBCs that are owned in majority part by multiple VCOCs, hedge funds, or private equity firms are deleted.

## Amendment 3 - 30 Jun 2022

1. The URL associated with Attachment 4 is changed to: <https://afwerx.com/sbir-sttr-programoverview/>.
2. The list of attachments on Page 5 is updated to reflect the five (5) attachments to this solicitation.

## Amendment 4 - 7 Jul 2022

1. Section 4.4.4 is revised to read as follows: 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.
2. Section 4.4.21 is established to read as follows: Requirement for Standard Form 424 (SF 424), Research and Related Senior/Key Person Profile (Expanded) Form If selected for award, applicants shall submit a completed Standard Form (SF 424), Research and Related Senior/Key Person Profile (Expanded) Form for all Senior/Key Personnel proposed in support of the requirement. Additionally, the applicant shall submit a completed Security Program Questionnaire found at Attachment 6. Applicants may also be asked to provide a mitigation plan for any identified S&T Protection risks. The Government reserves the right not to award if the submitted SF 424 and Security Program Questionnaire are not acceptable to the Government.
3. Attachment 6, Security Program Questionnaire, is added to this document.





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**AFX22.4-ODCSO1 and  
AFX224-ODCSO2 (SBIR D2P2)**

# Separate AF and SF D2P2s

AFX224-ODCSO1 - Air Force Open Topic

AFX224-ODCSO2 - Space Force Open Topic

What does this mean for you?

**If you have a cross cutting technology, you may submit to both.**

# Small Business Innovation (SBIR D2P2) (AFX22.4-ODCS01)

Trial and Validation

21 months and up to \$1.25M to...

Conduct further RDT&E for non-Defense commercial solutions to meet specific Air Force end-users' and customers' needs.

# SBIR D2P2 Proposal Structure

- **Vol 1: Basic Information (SAM, UEID, CAGE, Abstract, FDA, Contact Info. etc)**
- **Vol 2: Technical**
  - Up to 15 page White Paper **(Required)**
- **Vol 3: Cost**
  - System formatted inputs
- **Vol 4: Commercialization Program**
  - Go to the website listed and simply follow the directions
- **Vol 5: Supporting Documentation**
  - **Signed MOU** (New template mandatory)
  - Additional Cost Info (your preferred format)
  - Work Plan (Non-proprietary)
  - Resumes for key personnel
  - DoD Funding Agreement Certification
  - **Phase II Funding Commitment Documentation** (optional)
  - Letters of Support
- **Vol 6: Fraud, Waste, and Abuse Training**

\*Note: Cost share or match serves as evidence of commercial potential in accordance with 15 USC 638(e)(4)(B)(ii)

# Customer Memorandum

- Formally captures interest from the empowered and committed AF end-users and customers
- Must include at least one signed memorandum from a specific empowered AF end-user and customer, likely not the same entity
- Proposals without a Customer Memorandum **signed by a DAF organization** and/or for which the Memorandum is not completed IAW the **mandatory template** at Attachment 6 **will not be considered** for award.

NOTE: If proposing to work with more than one AF end-user, all Customer Memoranda must be consolidated into a single, coherent Customer Memorandum reflecting consolidated Work Plan milestones, signed by the lead AF Phase II point of contact.

# SBIR D2P2 Evaluation Criteria

1. 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 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 the Air Force Customer Memorandum, or private sources, as documented through a letter of commitment, are evidence of commercialization potential.
- A sound transition strategy in the Air Force Customer Memorandum is also evidence of commercialization potential.

2. The appropriateness, relevance, and specificity of an identified Defense Need. A complete and compelling Air Force Customer Memorandum (using the mandatory template provided at Attachment 2), signed by an appropriate end-user and customer, indicates the appropriateness, relevance, and specificity of an identified Defense Need. While not required, signed letters of interest from other government personnel (content defined in section 10) 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 presence of previous investment (basic research grants, etc) directly supporting the proposed effort may also be indicative of the relevance and depth of an AF need.

3. The soundness, technical merit, and innovation of the proposed approach, as well as its differentiation from current customer alternatives, and incremental progress toward fulfilling the identified Defense need. Includes the proposed Principal Investigators/Project Managers, supporting staff, and consultants' qualifications to execute the proposed approach.

# Additional Funds (non-SBIR)

- For *Governmental second phase commitments*, if the funds are to be applied directly to the D2P2 contract, the funds must be received by AFRL/SBRF within **30 days** of CSO closing

For *private investment*, a letter as detailed in Section 9.4.e.11 must be submitted with the proposal. Additionally, the awardee must provide evidence of funds receipt within **90 days** of award and provide it to the Government Agreements Officer.

- 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 shall not be used as an award criterion.
- Note - Cost share or match serves as evidence of commercial potential in accordance with 15 USC 638(e)(4)(B)(ii)



# Foreign Disclosure Addendum

Beginning January 2021, proposers will be required to disclose foreign involvement:

1. Does the company currently employ foreign nationals?
2. Does/did the company or employees have relationships with foreign academic institutions, research centers, or affiliated academic organizations over the past seven years?
3. Has the company received investment or financing from one or more foreign-based entities?
4. Has the company received investment or financing from one or more foreign-owned entities domiciled in the US?
5. Has the company received investment or financing from a US entity managing or receiving foreign sources of capital?
6. Does the company have substantial business operations in other countries?



# Amendments

AFX22.4-ODCSO1

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2. Section 5.1.2 is revised to indicate that the Sample Slide Deck is located at **Attachment 5**.
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2. Section 6: additional language regarding evaluation criteria inserted. **(VCOC language)**
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**Identifying a  
Defense Need**

# AFWERX Focus Areas

- Think Air Force 'markets of interest'
- Narrow down the open topic for both SBIR and STTR
- Will give you a start to know where your solution could fit
- Found on the AFWERX website  
<https://afwerx.com/focus-areas>
- If possible, include the Focus Area title and reference number in your abstract and application slide deck

Already have an interested DoD member? Encourage them to provide a Letter of Support (LOS) to add to your proposal!

# Other Avenues

- Air Force Tech Connect - <https://airforcetechconnect.org>
- Small Business Specialist - <https://www.airforcesmallbiz.af.mil/Small-Business/Locate-Specialist/>
- Procurement Technical Assistance Centers (PTACs) - <https://www.sba.gov/local-assistance/find/?type=Procurement%20Technical%20Assistance%20Center>
- AFWERX Challenges - <https://afwerxchallenge.com>
- Defense Innovation Marketplace - <https://defenseinnovationmarketplace.dtic.mil/>





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# Questions?

**Please type your questions in the Q&A section.**

**Let us know how we are doing. Please complete the survey as you leave today's meeting.**