



AFWERX  
AFVENTURES

**Open Topic Overview & AMA**  
**AFX234-DCSO2 (SBIR D2P2)**

**17 November 2022**

# Rules of Engagement

1. Call is recorded and will be available on AFWERX.com
2. No Classified/Proprietary Information
3. Post Questions in Q&A section, not via chat
4. AFWERX PMs raise hand so I can promote to panelist

**All information is subject to change. The final, authoritative source of info & requirements is the solicitation instructions found on DSIP.**

# DAF Open Topic Solicitation

This topic is truly “open” and agnostic of industry, technology, or problem area.

We are seeking...

- Innovative, dual-use tech solutions (i.e. applicable to defense and non-defense)
- Clear potential to solve a DAF mission need (USAF, USSF, or both)
- Capability to prototype under an accelerated schedule
- Ability to scale and grow the industrial base for defense
- Commitment from an empowered DAF end-user and customer
- Applied R&D efforts rather than “front-end” or basic research

# One Solicitation, Two Topics!

## Open Topic D2P2

AFX234-DCSO2

Period of performance: 21 months

Max Award: \$1.25M

Customer Memo Required

(Customer and End User must be identified)

## Orbital Prime ISAM D2P2

AFX234-DCSO1

Period of performance: 15 months

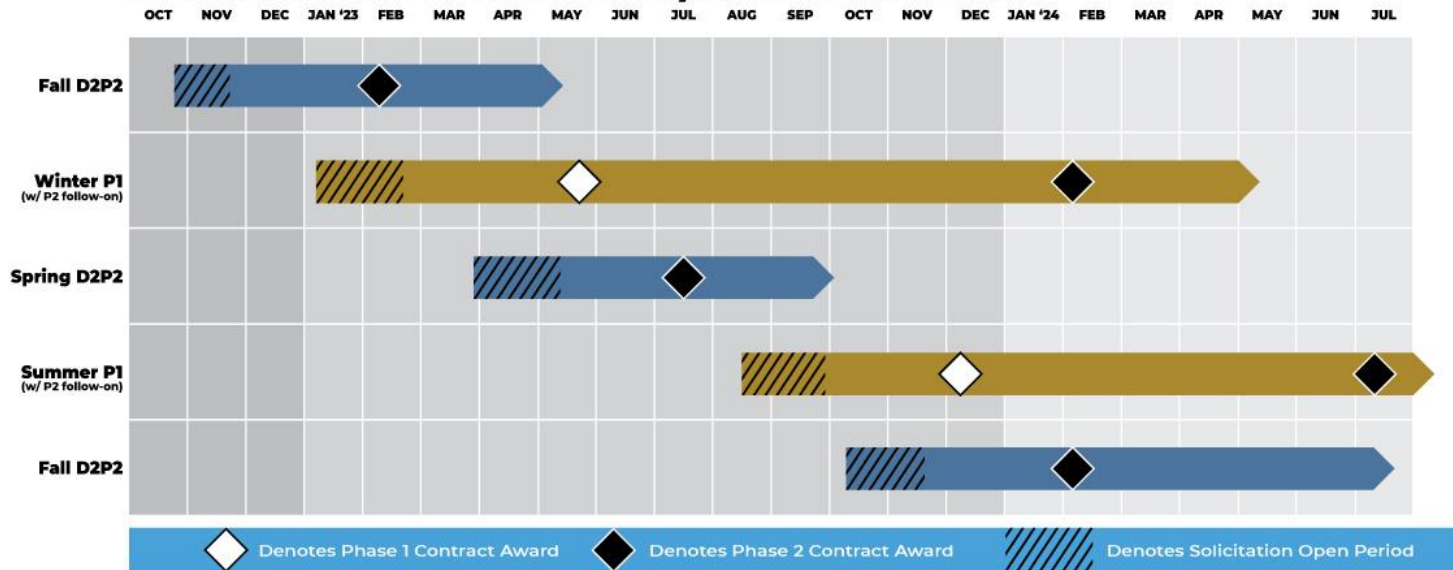
Max Award: \$1.7M

NO Customer Memo Required

(Customer already known: Orbital Prime & SAML PEO)

# Open Topic Annual Cycle

## ANNUAL CYCLE FOR DAF SBIR/STTR OPEN TOPIC



**NOTE:** Dates are subject to change.

## Open Topic Limits

### Phase I Feasibility Study

- Up to \$75K per award
- 3 month period of performance
- ~700 awards per year

### Phase II Prototyping

- Up to \$1.25M per award
- Up to 21 month period of performance
- ~300 awards per year

**Phase I releases include SBIR and STTR.**

**D2P2 releases are SBIR only.**

# Identifying a Defense Need

## Open Topic Focus Areas

- Think DAF 'markets of interest' submitted by Airmen and Guardians!
- Will give you a start to know where your solution could fit
- Found on the AFWERX website - <https://afwerx.com/focus-areas>

## Other Resources

- 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/>
- S&T Strategy - <https://www.af.mil/Portals/1/documents/2019%20SAF%20story%20attachments/Air%20Force%20Science%20and%20Technology%20Strategy.pdf>

# What is R/R&D?

In meeting the requirements put forward in the SBIR/STTR Policy Directive, these programs utilize 3600 funds (RDT&E), so funding appropriability decisions are thus based in financial law.

- A **systematic study** directed specifically toward **applying knowledge and innovation to meet a recognized but unmet need**
- A **systematic application of knowledge and innovation** 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.

## Suggestions:

- Demonstrate completion of R/R&D through means not solely based on previous efforts under the SBIR/STTR Programs to establish Phase II proposal feasibility based on criteria provided in the D2P2 topic descriptions
- Ensure your proposal is explicit in explaining the RDT&E work you will be accomplishing
- Ensure your proposal does not lump R&D costs under licensing to provide clarity to the actual costs

# R/R&D concerning COTS & NDIs

Items purchased directly from a commercial source that can be utilized without alteration through design and development, or without modification, are Commercial Off-the-Shelf (COTS) or Non-Developmental Items (NDI). This includes ready-to-use software, training services, and ready-to-use products.

COTS and NDIs by themselves are not suitable for SBIR/STTR funding.

**\*\*HOWEVER\*\***

If (A) an end item requires design and development in order to accept the COTS or NDI  
OR  
(B) a COTS or NDI is required for RDT&E test purposes, funding for design and development, then they are classified as Modified COTS or Modified NDI and could be funded by SBIR/STTR funds.



# Phase I-like feasibility study

- Direct-to-Phase II awards are granted to continue the R&D from prior non-SBIR research and feasibility studies, aka “Phase I-like effort”.
- Proposals should demonstrate sufficient technical progress or problem-solving results to warrant more extensive RDT&E via a comprehensive, detailed description of previous efforts.
- **Feasibility documentation MUST NOT be solely based on work performed under prior or ongoing Federally-funded SBIR or STTR work.**

# Submission Requirements

- All eligible offerors must be qualifying, registered small businesses in SAM.gov at time of submission
- This solicitation is for Direct-to-Phase II only
  - Max contract terms of \$1.25M, 21 mos (18 mos technical performance, 3 mos reporting)
- Complete proposals must be submitted via the Defense SBIR/STTR Innovation Portal (DSIP)
  - 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
  - See modified-COTS description in solicitation, section 4(b)(xv)
- Fraud, Waste, and Abuse training - completed by applicant
  - Must be completed by one DSIP firm user with read/write access (Proposal Owner, Corporate Official, or Firm admin) on behalf of the firm
- Proposals not meeting the above simply won't be considered.

# Proposal Structure

- **Vol 1: Proposal Cover Sheet (SAM, UEID, CAGE, Certification Questions, Abstract, FDA, Contact Info, etc.)**
- **Vol 2: Technical**
  - Up to 15 White Paper **(Required)**
- **Vol 3: Cost Volume**
  - System formatted inputs
  - Second Phase Commitment and/or Cost Share
- **Vol 4: Commercialization Program**
  - Go to the website listed and simply follow the directions
- **Vol 5: Supporting Documentation**
  - **Signed Customer Memorandum** (New template mandatory)
  - Regulatory Activities
  - Coversheet Supplement
  - Additional Cost Info (your preferred format)
  - Non-proprietary Work Plan
  - Signed DoD Funding Agreement Certification
  - SBIR/STTR Environment, Safety and Occupational Health (ESOH)
  - Resumes for key personnel
  - Phase II Funding Commitment Documentation (as applicable)
  - Contractor Certification Regarding Provision of Prohibited Video Surveillance and Telecommunications Services and Equipment (REQUIRED)
  - Foreign Ownership or Control Disclosure
  - Letters of Support (optional)
- **Vol 6: Fraud, Waste, and Abuse Training**

# Combined USAF and USSF Topic

Two Services, One Open Topic

## What does this mean for you?

**You must specify whether your solution potentially meets a need for USAF, USSF, or both.**

- See solicitation Sec 5(f)(ii)(3)(b&c) for inclusion in the Technical Volume content
- Also specified via Customer Memorandum

**The combined topic does not decrease the anticipated number of awards.**

**DAF subject matter experts will make final categorization determinations.**

# Customer Memorandum

- **Must include one signed memorandum** to formally capture interest from the empowered and committed DAF End-User and Customer
- Proposals without a Customer Memorandum with **two valid signatures** and IAW the [mandatory template](#) will not be considered.
- Joint organizations may be the End-User or Customer
  - The Customer Memorandum must clearly articulate how the Joint End-User/Customer represents a validated Department of the Air Force need
  - The Primary TPOC must be from the DAF
- Commitments from US non-DAF Government end-users will also be considered
  - There **MUST be at least one DAF/Joint end-user and customer**

# Additional Funds (non-SBIR)

- For Government second phase commitments, if the funds are to be applied directly to the D2P2 contract, the draft funding document (e.g. MIPR or Form 9) must be received by AFRL/RGF within **45 days** of CSO closing. To start the process, the Gov org must email AFRL.SBIR.STTR@us.af.mil.
- For private investment, a letter as detailed in Attachment 6 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. However, cost share or match serves as evidence of commercial potential in accordance with 15 USC 638(e)(4)(B)(ii).

# Common Causes for Non-selection

- Invalid or missing Customer Memo - must have TWO valid signatures and use the required template (see attachment 5)
- Exceeding Cost or Duration Limits - \$1.25M and 21 months max
- SAM.gov Registration - firms must have an active registration at time of submission
- Missing Documentation - be sure to include all required Volumes and attachments
- Not clearly addressing evaluation criteria (see section 6)

# Amendments

## Amendment 1 - 27 OCT 2022

1. Elimination of redundancy (deletion and re-absorption of Appendix A)
2. Consolidation of solicitation requirements (deletion & re-absorption of Proposal Checklist)
3. Implementation of applicant feedback and questions regarding solicitation requirements
4. Clarifies Compliance and Regulatory Questions in Technical Volume
5. Clarifies Fraud, Waste, and Abuse training requirement
6. Updated data rights information
7. Corrections to references and links
8. And more! See newest version on DSIP



# What's Next?

- **Proposals due Tuesday, 22 November @ Noon Eastern**
  - Do not wait until the end of the submission period to submit proposal materials
  - All proposals must be submitted via DSIP (<https://www.dodsbirsttr.mil/>)
- **Be familiar with Evaluation Criteria (Solicitation Section 6)**
  - Commercialization Potential
  - Defense Need
  - Technical Merit
- **Questions must be answered via DSIP Q&A or AMA webinars**
  - The solicitation instructions is the best source of information

# Solicitation Resources

Contracting Officer: Mr. Daniel Brewer

Program Manager: Maj Justin R. Carl

For questions, utilize DSIP Q&A section

<https://www.dodsbirsttr.mil/submissions/baa-schedule/active-baa-announcements>

Customer memorandum template is located at <https://afwerx.com/open-topic/>

Additional resources can be found at [AFWERX.com](https://afwerx.com)



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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.**