



AFWERX  
AFVENTURES

**Open Topic Phase I Overview & AMA**  
**SBIR: AFX235-CSO1 &**  
**STTR: AFX23D-TCSO1**

**16 February 2023**

# Rules of Engagement

1. Call is recorded
2. No Classified/Proprietary Information
3. Post Questions in Q&A portion
4. Open Topic PMs raise hand to be panelist

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

## Branch Org Inboxes

- Open Topic Phase I: [p1@afwerx.af.mil](mailto:p1@afwerx.af.mil)
- Open Topic Phase II: [p2@afwerx.af.mil](mailto:p2@afwerx.af.mil)
- Specific Topic: [af.sbir.sttr.workflow@us.af.mil](mailto:af.sbir.sttr.workflow@us.af.mil)
- STRATFI/TACFI: [stratfi.tacfi@afwerx.af.mil](mailto:stratfi.tacfi@afwerx.af.mil)



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# DAF Open Topic Solicitation

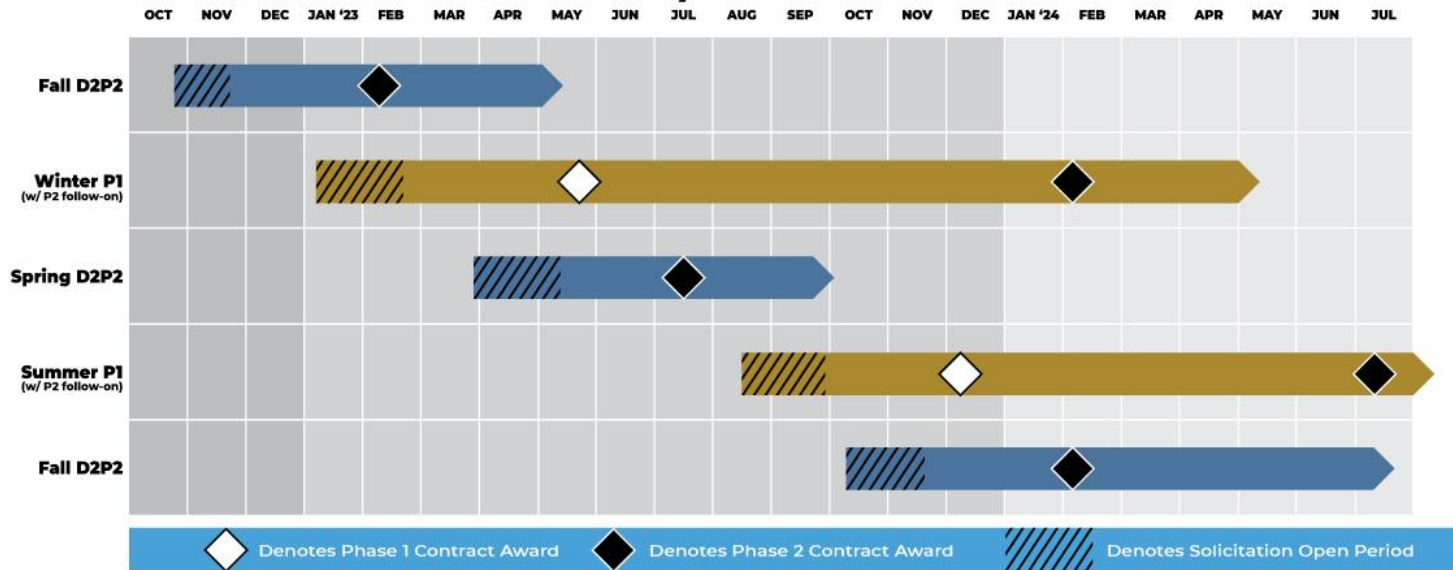
This topic is truly “open” and agnostic of industry, technology, or problem area.

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
- Applied R&D efforts rather than “front-end” or basic research

# 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.**

# Open Topic SBIR/STTR Phase I

Feasibility Study

90 days and up to \$75K to:

Find the fit between your validated non-defense commercial product and the defense market

# 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

# 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:

- 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.

# SBIR/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)
  - **\*IP Agreement with RI (SBA template available) (STTR ONLY)**
  - Resumes for key personnel
  - DoD Funding Agreement Certification
  - Work Plan (Non-proprietary)
  - Additional Required Attachments (Ie: Lifecycle Certification, ESOH Questionnaire)
- **Vol 6: Fraud, Waste, and Abuse Training**

# Submission Requirements

- All eligible offerors must be qualifying, registered small businesses in SAM.gov at the time of submission
- Complete proposals must be submitted via the Defense SBIR/STTR Innovation Portal (DSIP)
  - We cannot pre-read or recommend proposals, or receive non-DSIP submissions
- **Must be Research, Development, Test, and Evaluation (RDT&E) activities**
  - Not services, not procurement
  - See modified-COTS description in solicitation
- **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
- **STTR ONLY - Must propose effort with a qualifying RI subcontractor**
  - ≥ 40% to the Small Business
  - ≥ 30% to one Research Institution
  - 30% trade space (Small Business, RI, subcontractor, secondary RI, etc)
- **Proposals not meeting the above will not be considered**

# Common Causes for Non-selection

- Exceeding Cost or Duration Limits - \$75k and 3 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)

# What's Next?

- **Proposals due Thursday, 23 February @ 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: Ms. Jenna Roueche

For questions, utilize DSIP Q&A section

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

Additional resources can be found at [AFWERX.com](https://www.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.**