



AFWERX
AFVENTURES

Open Topic Phase I Overview & AMA
SBIR: AFX237-PCSO1 &
STTR: AFX23E-TPCSO1

31 August 2023

Rules of Engagement

1. Call is recorded
2. No Classified/Proprietary Information
3. Post Questions in Q&A portion

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
- Open Topic Phase II: p2@afwerx.af.mil
- Specific Topic: usaf.team@afsbirsttr.us
- STRATFI/TACFI: stratfi.tacfi@afwerx.af.mil



Visit our website at [AFWERX.com](https://afwerx.com)
and social media channels:



DAF Open Topic Solicitation

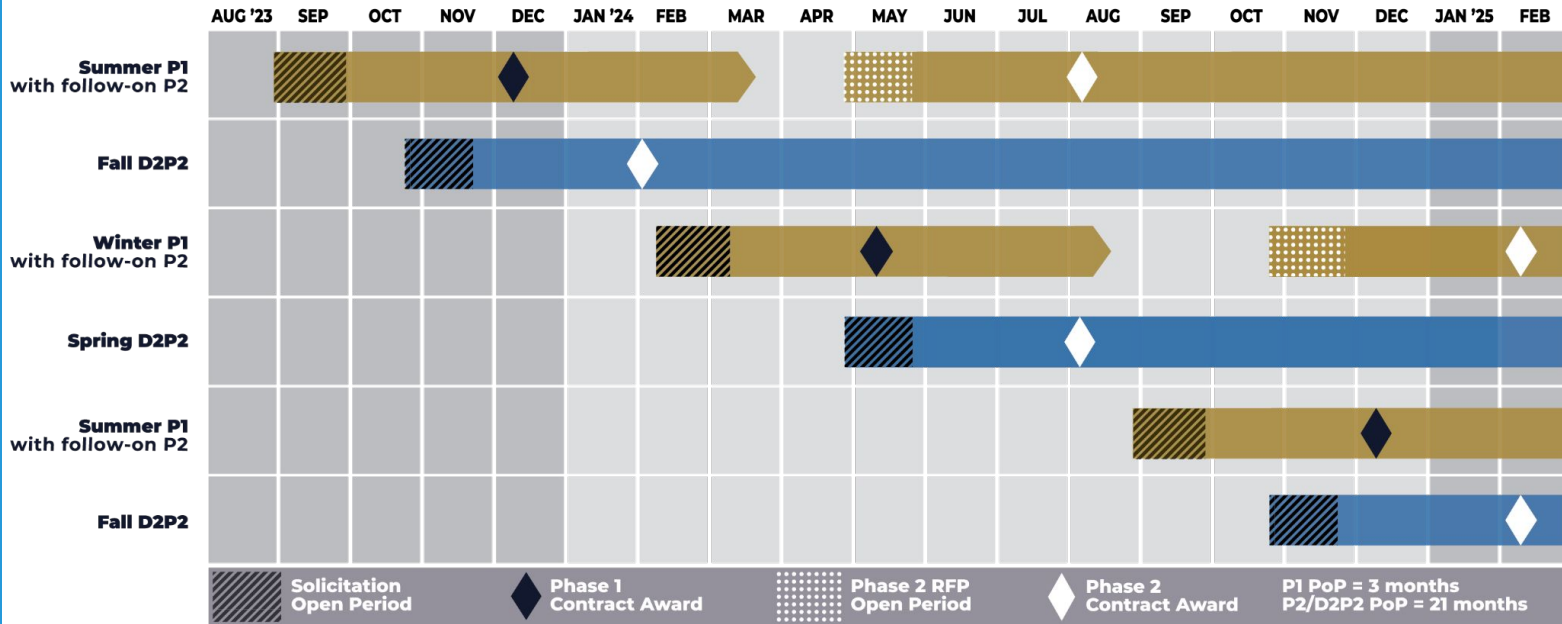
This topic is truly “open” and agnostic of industry, technology, or problem area.

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 (SBIR)
- Up to \$110K per award (STTR)
- 3 month period of performance
- ~700 awards per year

Phase II Prototyping

- Up to \$1.25M per award (SBIR)
- Up to \$1.8M per award (STTR)
- Up to 21 month period of performance
- ~350 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 (SBIR) and \$110K (STTR) to:

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

SBIR vs STTR Requirements

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)
- Principal Investigator (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)
 - Attachment 4: Disclosure of Foreign Affiliations or Relationships to Foreign Countries
(Proposals that do not include Attachment 4 will be deemed noncompliant and will not receive an evaluation)
- **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 (SBIR) and \$110K (STTR); 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
- Multiple Submissions - A small business concern may only submit one proposal to each open topic
 - If more than one proposal from a small business concern is received for a single open topic, **only the most recent proposal to be certified and submitted prior to the submission deadline** will receive an evaluation.
- Not clearly addressing evaluation criteria (see section 6)

What's Next?

- **Proposals due Thursday, 28 September @ 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. Rachel Braun

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.



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Still have questions?

Specific Topic: usaf.team@afsbirsttr.us

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