

# Appendix

## DoD SBIR Proposal Guidance

<b>Background Research Guidance</b> (and the “Blackout Period”)	F-2
<b>Sample RDT&amp;E Budget Item Justification</b> (Navy PE 0604274N)	F-7
<b>DoD (Air Force) Phase I Proposal Format Guidelines - Annotated</b>	F-15
<b>DoD SBIR Cost Proposal Breakdown Items Guidance</b>	F-21
<b>Understanding Cost Proposal Terms</b>	F-22
<b>Navy SBIR Proposal Cover Sheet</b> (copy of online form)	F-25
<b>Navy Cost Proposal Form</b> (copy of online form)	F-29
<b>Air Force SBIR Proposal Cover Sheet</b> (copy of online form)	F-31
<b>Air Force Cost Proposal Form</b> (copy of online form)	F-35
<b>Army SBIR Proposal Cover Sheet</b> (copy of online form)	F-37
<b>Army Cost Proposal Form</b> (copy of online form)	F-41
<b>CCR (Company Commercialization Report)</b> (copy of online form)	F-43



PO Box 170530  
Bozeman, MT 59717  
Ph: (406) 994-7700  
techlink@montana.edu  
www.techlinkcenter.org

## Background Research and the “Blackout Period”

or

## “Who You Gonna Call?”

Ray Friesenhahn

*For everyone currently working on a DoD SBIR proposal for the upcoming deadline, or planning to develop a proposal for a future DoD SBIR/STTR topic:*

One of the most important things to keep in mind when developing an SBIR proposal for the Department of Defense is that DoD is NOT a “**peer review**” agency. Peer review agencies such as NSF send your proposal out to be reviewed by (hopefully) unbiased subject matter experts in universities or elsewhere, who will rate your proposal solely on its scientific and technical merits and/or business potential. DoD is a “**line review**” agency, where the person(s) who wrote the topic (Topic Authors or Technical Points of Contact – TPOCs) will be the primary reviewer(s), and generally decide who gets funded or not. The TPOCs are effectively your customer, who will be buying your product - that is, funding your project to develop that product for their team. More importantly, if they select your proposal for funding, they will be judged by their superiors on your performance, so they want to take every step possible to ensure that you can do the job well and have their (the customer’s) interests foremost in your mind, and fully understand their needs.

You should also be aware that DoD is a contracting agency (not a granting agency), so their SBIR process is subject to Federal Acquisition Regulations (FARs). As a result, once the solicitation is officially “open for submissions” – the beginning of the so-called “Blackout Period” - you are prohibited from direct contact with the TPOCs “in the interests of fairness.” DoD has been very helpful to small firms by actually posting contact information for the individual Topic Authors and TPOCs, so that you can talk to them or email them prior to the Blackout. This is an opportunity every proposing firm should take advantage of, and can make all the difference between winning and losing in an increasingly tight competition.

To create a winning DoD SBIR proposal, it’s essential that you demonstrate to the DoD reviewers that you understand their needs and applications, and are familiar with whatever technologies they may already be using. While discussions with the TPOC can provide some of that information, you need to find out as much relevant information as you can before you contact them, so you can ask the right questions, without wasting their time or giving a poor first impression. You don’t want to come across in this initial discussion as totally naïve about the program or system being supported by this topic, its applications, or the military in general. Get started on that initial background research ASAP – as soon as you find a relevant topic, and preferably long before the Blackout Date looms near. See the “**Initial Search Strategies and Internet Resources**” later in this document.

After you’ve done that research and are ready to contact the TPOC, always keep in mind the perspective that you are trying to build a comfortable working relationship with your customer – the people in DoD who would be using your technology. You want to bring value and service to them, NOT try to “sell them something.” Keeping that perspective is difficult, but important, since as technologists and inventors, we tend to be really proud of our creations, and forget that others may not see it in the same light. After a confident but brief introduction, try to listen a lot more than you talk, and you may discover that their needs are something different than you initially expected, but that you would be able to meet with some minor changes to your concept.

While you never want to give the impression that you’re trying to “sell something” to the TPOCs in your phone call, you must consider that calling the TPOC, your potential Defense customer, really is a form of marketing. In marketing, as in other personal interactions, you make a much more favorable impression if



PO Box 170530  
 Bozeman, MT 59717  
 Ph: (406) 994-7700  
 techlink@montana.edu  
 www.techlinkcenter.org

you show interest in and pay attention to the person you're talking to, rather than talking a lot about yourself and all the great things you (or your technology) can do. As astute observers of human nature have observed, when you have a conversation with someone, and focus on showing considerable interest in what they have to say, drawing them out to say even more about their particular interests (in this case, the Defense program or system that the topic supports, and the needs it would solve), they'll be more impressed with you and think favorably of the discussion. Even if you end up saying little at all about yourself, they're more likely to come away thinking "What an obviously intelligent and informed person he/she is! I'll need to watch for their proposal!"

After you've gotten someone's attention in a positive manner like this, and they're reviewing your proposal, they're more likely to read it carefully, looking for the positive aspects – and reasons to fund it. If instead it's a proposal they receive "out of the blue," or if they had a memorable negative impression of you (e.g. "too pushy and kept trying to sell me on their wild idea, and never really seemed to get a firm grasp of what we actually need this for"), then they're more likely to skim your proposal looking for faults, and reasons NOT to fund it, which they're sure to find in almost any proposal!

You should also be aware of your attitude and the motivation behind your interest in a particular topic – these can have subtle effects on your discussion, but can be easily noticed by observant listeners. An analogy would be going to a bank loan officer seeking a business loan. Imagine if you went in with an attitude of "I really need the money! I don't really have a clear and defined business plan, but believe me, I know I'll be successful, and I'm good for the money!" That loan officer would immediately recognize that you're a high risk, and should not loan you the bank's money. Imagine instead a different approach: "We're doing quite well as a business, and everything's going great. Now we've uncovered this new opportunity with big growth potential, which fits quite nicely with our overall business direction and capabilities, and we'd like to be able to address it. Our plan shows that with \$150K in new capital over 24 months...."

Get the point? If you're just looking for government money, chasing after any opportunity you think you might be able to handle, regardless of whether it fits into your strategic long-term business objectives, that attitude will show itself in your discussions with the TPOC, and in your proposal, hurting your chances of winning. If instead you talk to the TPOC with the perspective and attitude of a successful company that wants to help their customer, and provide them with the best possible solution for their needs at a reasonable cost, then you'll have already put yourself well ahead of most of your competitors in the whole process.

Even if the DoD SBIR "Blackout Period" has begun, and you've (hopefully) spoken with the DoD SBIR Topic Authors or TPOCs to find out all the background information you could before the Blackout date, there are still plenty of options you can and should follow to gather critical information for your proposal. While you are developing your outline and work plan, and writing your first draft of your proposal, here are a few other things you might want to consider, to help increase your chances of winning.

A couple of key questions to keep in mind whenever talking to Defense personnel (and Defense Prime Contractors) are "Who do you know in the Defense Department that is using this technology (or would be if it were available)?" and "Who else in DoD is working on development of related technology?" If you can get some names and contact information, you may be able to find out some excellent background information, which could help you develop a much more "user-focused" and more effective proposal.

Even after entering the Blackout Period, during which "direct communication between proposers and topic authors is not allowed," that does not prohibit some other very effective and valuable communications:

- If you obtained names of other people to talk to from the TPOC, or from other sources (see below), there is (usually) no restriction on discussing technical issues with other DoD personnel during the Blackout Period. Even though they may not be covered by the restrictions, it's still a good idea just to talk about



PO Box 170530  
 Bozeman, MT 59717  
 Ph: (406) 994-7700  
[techlink@montana.edu](mailto:techlink@montana.edu)  
[www.techlinkcenter.org](http://www.techlinkcenter.org)

technology and applications, without bringing up the fact that you are working on an SBIR proposal (they may not be familiar with the rules, and/or might not be comfortable talking to you in the context of SBIR). In any case, always respect their wishes if they don't want to discuss anything (they might even be a topic author for a different SBIR topic currently out).

- If you are working with university researchers, they are usually not considered "proposers" or PI's in SBIR, and thus are seldom held to the same restriction as you might be. If your university research collaborator does call a TPOC, they should immediately identify themselves as university researchers. Similar caveats as above still hold for these discussions.

## Initial Search Strategies and Internet Resources

### Finding out who to talk to:

Here are a few ways to find more background information, and get contact information for DoD personnel and contractors who might be able to provide you with valuable insight:

- Past SBIR Topic Authors: Go to [www.zyn.com/sbir](http://www.zyn.com/sbir) and then click on "**Closed SBIR/STTR Solicitation Topics**" under "Search Services." Type in a few keywords, and look for past topics that appear relevant to your current proposal. Contact information for the Topic Author on DoD SBIR/STTR topics is usually included at this source.
- After you get some relevant past topics, go to the DoD SBIR/STTR web site (<http://www.acq.osd.mil/osbp/sbir/>) and click on "Awards" on the pull-down menu. Use the "Awards Search" to find who won for the topics you found earlier. The award data usually includes PI names and contact info. You might want to call these companies, and talk to them about their project, and/or ask the TPOC about the end results of awarded projects, especially if there was a Phase II completed (i.e., were they satisfied, or did a good technology come out of it).
- Find out about the military customers or end-users of the technology to be developed – the topic often notes what systems the technology is to be used for.
- Note the source of the topic, which is often noted at the beginning of the list of topics for that DoD Component – e.g. several topics may be listed under the [Armaments RD&E Center \(ARDEC\)](#) in the Army SBIR list of topics, and you can follow that link to learn more about that organization. If the organization is not listed, that can often be determined from the TPOC's e-mail address, if provided: [wpafb.mil](mailto:wpafb.mil) is Wright Patterson AFB; [navair.navy.mil](mailto:navair.navy.mil) is Naval Air Systems Command, etc. You can then find out more about the organization by going to their website, which is often just a simple matter of adding "www" to the domain (e.g. [www.navair.navy.mil](http://www.navair.navy.mil)).
- Standard Web searches can also help, especially for finding relevant DoD projects or research activities. One good method of searching, using Google, for example, is to put in several keywords and phrases, and restrict your search to ".mil" domain sites. If you don't get enough "hits" this way, just reduce the number of search terms, or change some, until you find what you're looking for. A typical search of this type might be: [spectrometer FTIR CBW "anthrax spores" site:mil]. The "**site:mil**" (or an even more restrictive "**site:army.mil**") is what limits the search to those specific domain names, instead of getting hits from thousands of commercial (.com), university (.edu) or foreign (e.g. .nl) websites.



PO Box 170530  
Bozeman, MT 59717  
Ph: (406) 994-7700  
techlink@montana.edu  
www.techlinkcenter.org

**Getting copies of reference documents:**

Many DoD SBIR topics cite key references or documents you should review. To get these, and other possibly valuable references, if a link is not provided, you should go to the DTIC information site:

The Defense Technical Information Center (DTIC) provides background technical information services at no cost, which can assist SBIR/STTR participants in proposal preparation, product development, marketing and networking. The DTIC web site provides many **free services** at <http://www.dtic.mil/dtic/>.

**SITIS:** Interactive question and answer forum for specific technical questions concerning DoD topics, changes, and topic reference information at <http://www.dodsbir.net/sitis/>. Be sure to check this site for your topic(s) regularly!

**DoD Budget Materials and justifications:** Assuming you're serious about becoming a Defense contractor, and plan to get involved in some specific program or technology area, it's important that you understand a bit about the planned Defense budgets for that program or technology area. The best place to start is with the President's Budget request for the Department of Defense, usually issued in February for the following Fiscal Year (FY2014 begins Oct. 1, 2013). You can download copies of these massive documents at <http://comptroller.defense.gov/budget2013.html>

The top-level documents provide a broad overview, but you should dig down to the individual DoD Components from here:

[US Army Budget Documentation](#)

[US Navy Budget Documentation](#)

[US Air Force Budget Documentation](#)

[Defense Wide Budget Documentation](#) (includes OSD, DARPA, MDA, SOCOM, DLA, etc.)

Within these Component sections, given that you are looking at new technology development, you should focus on the R&D documents, such as these for the Navy:

[Research & Development, Navy \(BA 1 - 3\)](#)

[Research & Development, Navy \(BA 4\)](#)

[Research & Development, Navy \(BA 5\)](#)

[Research & Development, Navy \(BA 6\)](#)

[Research & Development, Navy \(BA 7\)](#)

These PDF documents are searchable, so you can search for instances of specific keywords, program names, or Program Elements (PEs). Each PE will have detailed budget justifications, describing past activities, results, future plans, and past and future budget plans (which may change as a result of Congressional actions). Prime Contractors involved may sometimes be mentioned, but in any case, such detailed information and knowledge of future budgets can be invaluable when talking to a TPOC (who may not even have seen this information). See the example at the end of this document for the budget justification for PE 0604274N: Next Generation Jammer (NGJ)

While downloading the full R&D budget justifications for each of the four is preferable for thoroughness (so that you can be aware of other Services or Components working on similar technology applications), you can often find budget justifications for relevant programs just by including "RDT&E" with your search terms on a Google search (e.g. [SIGINT RDT&E] to search for program involving Signals Intelligence), although that may result in too many less relevant hits, especially from prior years.

**Planning for Long-term Success**

If you really want to succeed with DoD SBIR/STTR, then you are really making the commitment to become a Defense Contractor, rather than just a company winning money for technology development. To do so, you will need to make an extended effort to get to know your customers (Defense Program Managers and





PO Box 170530  
Bozeman, MT 59717  
Ph: (406) 994-7700  
techlink@montana.edu  
www.techlinkcenter.org

Prime Contractors) and build relationships with those customers through extensive business and personal contacts. Among the best ways to get started in doing that is through Defense trade shows and meetings, many sponsored by Defense industry associations, such as NDIA (National Defense Industry Association – [www.ndia.org](http://www.ndia.org)), which sponsors numerous focused Defense trade shows and conferences.

You should also look into specific DoD laboratories which may be working on related technology areas or applications – building a formal relationship with the right DoD laboratory can help you in your long-term technology development and business success. For example, a Cooperative R&D Agreement (CRADA) is an investment of your time, and cannot directly provide you with any money from the lab or agency, but the research resources you leverage, and the relationships you build, can result in major opportunities down the line. To find a DoD laboratory, or any federal agency laboratory in your area, or working on specific technology of interest, the Federal Laboratory Consortium (FLC) has a searchable database of federal labs at <http://www.federallabs.org/labs/>. You can learn about specific methods of collaborating with federal labs, including CRADAs, at <http://www.federallabs.org/education/t2-mechanisms/matrix-mechanism/>. Most federal labs have a Technology Transfer (T2) manager or specialist, often referred to as an ORTA (Office of Research and Technology Applications) who can help you in establishing any kind of collaboration with that lab (but not contracting – that would be handled typically by their Small Business Office).

**Note:** Current SBIR rules allow companies to fund a CRADA or other federal laboratory R&D using SBIR or STTR funding, subject to the percentage subcontracting limits, and guidance regarding perceived conflicts of interest as described in the current SBA SBIR and STTR Program Policy Directives (August 6, 2012). Some labs (especially DOE labs) are defined as FFRDCs (Federally Funded R&D Centers), if listed at <http://www.nsf.gov/statistics/ffrdclist/>, the Master Government List of Federally Funded R&D Centers, and so can qualify as the Research Institution for an STTR.

If you are interested in collaborating with a DoD laboratory (leveraging unique R&D capabilities, while building strategic Defense organizational relationships), or if you are seeking technology available from a DoD laboratory for possible licensing and future commercial use, please contact TechLink for free assistance.

**UNCLASSIFIED**

**Exhibit R-2, RDT&E Budget Item Justification: PB 2013 Navy** **DATE:** February 2012

<b>APPROPRIATION/BUDGET ACTIVITY</b>			<b>R-1 ITEM NOMENCLATURE</b>								
1319: <i>Research, Development, Test &amp; Evaluation, Navy</i> BA 5: <i>Development &amp; Demonstration (SDD)</i>			PE 0604274N: <i>Next Generation Jammer (NGJ)</i>								
<b>COST (\$ in Millions)</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013 Base</b>	<b>FY 2013 OCO</b>	<b>FY 2013 Total</b>	<b>FY 2014</b>	<b>FY 2015</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>Cost To Complete</b>	<b>Total Cost</b>
Total Program Element	83.948	170.910	187.024	-	187.024	269.916	321.817	429.390	528.777	1.954	1,993.736
0557: <i>Next Generation Jammer</i>	83.948	170.910	187.024	-	187.024	269.916	321.817	429.390	528.777	1.954	1,993.736

**A. Mission Description and Budget Item Justification**

This project develops new technology in a Next Generation Jammer (NGJ) capability system, with increased electronic radiation power generation to replace the existing ALQ-99 Tactical Jamming System. NGJ is required to keep pace with threat weapons systems advances and continuous expansion of the Airborne Electronic Attack (AEA) mission area. NGJ capabilities will address AEA capability gaps, AEA sufficiency gaps, and address ALQ-99 shortfalls in scalability, flexibility, supportability, interoperability, availability, and capability. NGJ will utilize an adaptable, modular, and open architecture philosophy to combat the increasing capability gap and enable future growth at a reduced operational and sustainment cost.

<b>B. Program Change Summary (\$ in Millions)</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013 Base</b>	<b>FY 2013 OCO</b>	<b>FY 2013 Total</b>
Previous President's Budget	120.602	189.919	337.712	-	337.712
Current President's Budget	83.948	170.910	187.024	-	187.024
Total Adjustments	-36.654	-19.009	-150.688	-	-150.688
• Congressional General Reductions	-	-0.009			
• Congressional Directed Reductions	-	-19.000			
• Congressional Rescissions	-	-			
• Congressional Adds	-	-			
• Congressional Directed Transfers	-	-			
• Reprogrammings	-3.527	-			
• SBIR/STTR Transfer	-2.659	-			
• Program Adjustments	-	-	-150.733	-	-150.733
• Rate/Misc Adjustments	-	-	0.045	-	0.045
• Congressional General Reductions Adjustments	-0.468	-	-	-	-
• Congressional Directed Reductions Adjustments	-30.000	-	-	-	-

**Change Summary Explanation**

Technical: Not applicable.

Schedule: Since the previous President's Budget, Next Generation Jammer transitioned to a Block approach for development, changed their Acquisition Strategy, and OPNAV rephased program funding in POM 13, resulting in the following schedule changes: Milestone A moved from 2nd QTR 2012 to 3rd QTR 2013.

**UNCLASSIFIED**

<b>Exhibit R-2, RDT&amp;E Budget Item Justification:</b> PB 2013 Navy	<b>DATE:</b> February 2012
---	----------------------------

<b>APPROPRIATION/BUDGET ACTIVITY</b>	<b>R-1 ITEM NOMENCLATURE</b>
1319: <i>Research, Development, Test &amp; Evaluation, Navy</i> BA 5: <i>Development &amp; Demonstration (SDD)</i>	PE 0604274N: <i>Next Generation Jammer (NGJ)</i>

Technology Development (Block 1) contract award moved from 3rd QTR 2012 to 3rd QTR 2013. Test and Evaluation Master Plan moved from 1st QTR 2014 to 3rd QTR 2014. Technology Development (Block 2) was added in 2nd QTR 2015. Milestone B (Block 1) moved from 1st QTR 2015 to 3rd QTR 2015. EMD (Block 1) Award moved from 1st QTR 2015 to 3rd QTR 2015. Integrated Testing start moved from 1st QTR 2016 to 3rd QTR 2016. Milestone B (Block 2) added in 1st QTR 2017. EMD (Block 2) added in 2nd QTR 2017. First EDM Delivery moved from 4th QTR 2016 to 4th QTR 2017. Technology Development (Block 3) was added in 4th QTR 2017. Milestone C moved from 4th QTR 2017 to 2nd QTR 2018.



**UNCLASSIFIED**

**Exhibit R-2A, RDT&E Project Justification:** PB 2013 Navy **DATE:** February 2012

<b>APPROPRIATION/BUDGET ACTIVITY</b> 1319: <i>Research, Development, Test &amp; Evaluation, Navy</i> BA 5: <i>Development &amp; Demonstration (SDD)</i>	<b>R-1 ITEM NOMENCLATURE</b> PE 0604274N: <i>Next Generation Jammer (NGJ)</i>	<b>PROJECT</b> 0557: <i>Next Generation Jammer</i>
---	--	---

COST (\$ in Millions)	FY 2011	FY 2012	FY 2013 Base	FY 2013 OCO	FY 2013 Total	FY 2014	FY 2015	FY 2016	FY 2017	Cost To Complete	Total Cost
0557: <i>Next Generation Jammer</i>	83.948	170.910	187.024	-	187.024	269.916	321.817	429.390	528.777	1.954	1,993.736
Quantity of RDT&E Articles	0	0	0	0	0	0	0	0	0		

**A. Mission Description and Budget Item Justification**

This project develops new technology in a Next Generation Jammer (NGJ) capability required to replace the existing ALQ-99 Tactical Jamming System. NGJ is required to keep pace with threat weapons systems advances and continuous expansion of the Airborne Electronic Attack (AEA) mission area. NGJ capabilities will address AEA capability gaps, AEA sufficiency gaps and address ALQ-99 shortfalls in scalability, flexibility, supportability, interoperability, availability, and capability. NGJ will utilize an adaptable, modular, and open architecture philosophy to combat the increasing capability gap and enable future growth at a reduced operational sustainment cost.

**B. Accomplishments/Planned Programs (\$ in Millions, Article Quantities in Each)**

	FY 2011	FY 2012	FY 2013
<p><b>Title:</b> Next Generation Jammer</p> <p align="right"><b>Articles:</b></p> <p><b>FY 2011 Accomplishments:</b> Continue technology maturation analysis/studies and initiate NGJ technology development activities to reduce technological risk and determine appropriate set of technologies for use in NGJ.</p> <p><b>FY 2012 Plans:</b> Continue technology maturation efforts, release Technology Development Request for Proposal, and develop products in support of Milestone A decision.</p> <p><b>FY 2013 Plans:</b> Complete Technology Maturation efforts and Milestone A decision. Award Technology Development contracts.</p>	81.948 0	169.810 0	186.374 0
<p><b>Title:</b> Capability Development Document (CDD)</p> <p align="right"><b>Articles:</b></p> <p><b>FY 2011 Accomplishments:</b> Finalization of CDD and initial routing through Joint Capabilities Integration Development System process for Milestone A.</p> <p><b>FY 2012 Plans:</b> Update CDD and continue routing through Joint Capabilities Integration Development System process.</p> <p><b>FY 2013 Plans:</b></p>	2.000 0	1.100 0	0.650 0

**UNCLASSIFIED**

<b>Exhibit R-2A, RDT&amp;E Project Justification:</b> PB 2013 Navy		<b>DATE:</b> February 2012
<b>APPROPRIATION/BUDGET ACTIVITY</b> 1319: <i>Research, Development, Test &amp; Evaluation, Navy</i> BA 5: <i>Development &amp; Demonstration (SDD)</i>	<b>R-1 ITEM NOMENCLATURE</b> PE 0604274N: <i>Next Generation Jammer (NGJ)</i>	<b>PROJECT</b> 0557: <i>Next Generation Jammer</i>

<b>B. Accomplishments/Planned Programs (\$ in Millions, Article Quantities in Each)</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Obtain CDD approval.			
<b>Accomplishments/Planned Programs Subtotals</b>	83.948	170.910	187.024

**C. Other Program Funding Summary (\$ in Millions)**

N/A

**D. Acquisition Strategy**

Next Generation Jammer is designated a Pre-Major Defense Acquisition Program (MDAP), with Pre-MDAP Program Number 445, and activity will focus on technology maturation to include technology development strategies in preparation for Milestone A in FY13 and Milestone B in FY15.

**E. Performance Metrics**

To obtain sufficient technology maturation and technology demonstration to obtain favorable Milestone A and Milestone B decisions for continued program development.

**UNCLASSIFIED**

**Exhibit R-3, RDT&E Project Cost Analysis: PB 2013 Navy** **DATE:** February 2012

<b>APPROPRIATION/BUDGET ACTIVITY</b> 1319: <i>Research, Development, Test &amp; Evaluation, Navy</i> BA 5: <i>Development &amp; Demonstration (SDD)</i>	<b>R-1 ITEM NOMENCLATURE</b> PE 0604274N: <i>Next Generation Jammer (NGJ)</i>	<b>PROJECT</b> 0557: <i>Next Generation Jammer</i>
---	--	---

<b>Product Development (\$ in Millions)</b>				<b>FY 2012</b>		<b>FY 2013 Base</b>		<b>FY 2013 OCO</b>		<b>FY 2013 Total</b>			
<b>Cost Category Item</b>	<b>Contract Method &amp; Type</b>	<b>Performing Activity &amp; Location</b>	<b>Total Prior Years Cost</b>	<b>Cost</b>	<b>Award Date</b>	<b>Cost</b>	<b>Award Date</b>	<b>Cost</b>	<b>Award Date</b>	<b>Cost</b>	<b>Cost To Complete</b>	<b>Total Cost</b>	<b>Target Value of Contract</b>
Primary Hardware Development	TBD	Various:Various	-	-		123.895	Apr 2013	-		123.895	Continuing	Continuing	Continuing
Primary Hardware Development	C/CPFF	ITT:Clifton, NJ	40.522	30.750	Apr 2012	3.375	Nov 2012	-		3.375	0.000	74.647	74.647
Primary Hardware Development	C/CPFF	BAE:Nashua, NH	40.128	30.750	Apr 2012	3.375	Nov 2012	-		3.375	0.000	74.253	74.253
Primary Hardware Development	C/CPFF	Raytheon:Goleta, CA	40.253	30.750	Apr 2012	3.375	Nov 2012	-		3.375	0.000	74.378	74.378
Primary Hardware Development	C/CPFF	Northrop Grumman:Baltimore, MD	40.247	30.750	Apr 2012	3.375	Nov 2012	-		3.375	0.000	74.372	74.372
Primary Hardware Development	SS/CPFF	Sparta, Inc.:Lake Forest, CA	1.245	-		-		-		-	0.000	1.245	1.245
Primary Hardware Development	SS/CPFF	Northrop Grumman Space & Mission Systems Corp.:Herndon, VA	1.765	-		-		-		-	0.000	1.765	1.765
Studies & Analysis (Non-FFRDC)	SS/CPFF	Mantech Systems Engineering Corp.:Fairfax, VA	1.571	-		0.750	Dec 2012	-		0.750	0.000	2.321	2.321
Studies & Analysis (Non-FFRDC)	Various	Various:Various	1.541	1.612	Dec 2011	2.070	Nov 2012	-		2.070	Continuing	Continuing	Continuing
Systems Engineering	WR	NAWCAD:Patuxent River, MD	9.050	15.702	Nov 2011	20.137	Nov 2012	-		20.137	Continuing	Continuing	Continuing
Systems Engineering	WR	NAWCWD:Pt. Mugu, CA	3.472	10.374	Nov 2011	8.609	Nov 2012	-		8.609	Continuing	Continuing	Continuing
Systems Engineering	WR	NSWC Crane:Crane, IN	3.023	4.754	Dec 2011	4.157	Nov 2012	-		4.157	Continuing	Continuing	Continuing
Systems Engineering	SS/CPFF	Johns Hopkins University Applied Physics Lab:Laurel, MD	2.760	4.652	Dec 2011	3.653	Dec 2012	-		3.653	Continuing	Continuing	Continuing
Systems Engineering	Various	Various:Various	2.708	7.172	Dec 2011	7.388	Dec 2012	-		7.388	Continuing	Continuing	Continuing
<b>Subtotal</b>			188.285	167.266		184.159		-		184.159			



**UNCLASSIFIED**

**Exhibit R-4, RDT&E Schedule Profile: PB 2013 Navy** **DATE:** February 2012

<b>APPROPRIATION/BUDGET ACTIVITY</b> 1319: <i>Research, Development, Test &amp; Evaluation, Navy</i> BA 5: <i>Development &amp; Demonstration (SDD)</i>	<b>R-1 ITEM NOMENCLATURE</b> PE 0604274N: <i>Next Generation Jammer (NGJ)</i>	<b>PROJECT</b> 0557: <i>Next Generation Jammer</i>
---	--	---

Next Generation Jammer	FY 2011				FY 2012				FY 2013				FY 2014				FY 2015				FY 2016				FY 2017											
	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q								
<b>Acquisition Milestones</b>																																				
Milestones									MS A ▲								MS B (BLK 1) ▲								MS B (BLK 2) ▲											
<b>Systems Development</b>																																				
Hardware Development									Prototype Demonstrations																EDM (Qty 9) ▼											
Reviews	R3B ■																																			
Software Development																																				
<b>Test &amp; Evaluation</b>																																				
Technical Evaluation									TEMP ▼												Integrated Testing															
Operational Evaluation																																				
<b>Production Milestones</b>																																				
Contract Awards									TD Award (BLK 1) ●								TD Award (BLK 2) ●				EMD Award (BLK 1) ●								EMD Award (BLK 2) ●				TD Award (BLK 3) ●			

2013PB - 0604274N - 0557

**UNCLASSIFIED**

<b>Exhibit R-4A, RDT&amp;E Schedule Details:</b> PB 2013 Navy		<b>DATE:</b> February 2012
<b>APPROPRIATION/BUDGET ACTIVITY</b> 1319: <i>Research, Development, Test &amp; Evaluation, Navy</i> BA 5: <i>Development &amp; Demonstration (SDD)</i>	<b>R-1 ITEM NOMENCLATURE</b> PE 0604274N: <i>Next Generation Jammer (NGJ)</i>	<b>PROJECT</b> 0557: <i>Next Generation Jammer</i>

Schedule Details

Events by Sub Project	Start		End	
	Quarter	Year	Quarter	Year
<b>Next Generation Jammer</b>				
Acquisition Milestones: Milestones: Milestone A	3	2013	3	2013
Acquisition Milestones: Milestones: Milestone B (Block 1)	3	2015	3	2015
Acquisition Milestones: Milestones: Milestone B (Block 2)	1	2017	1	2017
Systems Development: Hardware Development: Prototype Demonstration	3	2014	1	2015
Systems Development: Hardware Development: Engineering Development Model (EDM) Deliveries	4	2017	4	2017
Systems Development: Reviews: Resource Requirements Review Board (R3B)	1	2011	1	2011
Test & Evaluation: Technical Evaluation: NGJ Test & Evaluation Master Plan (TEMP)	3	2014	3	2014
Test & Evaluation: Technical Evaluation: Integrated Testing	3	2016	4	2017
Production Milestones: Contract Awards: Technology Development (TD) Contract Award (Block 1)	3	2013	3	2013
Production Milestones: Contract Awards: Technology Development (TD) Contract Award (Block 2)	2	2015	2	2015
Production Milestones: Contract Awards: Technology Development (TD) Contract Award (Block 3)	4	2017	4	2017
Production Milestones: Contract Awards: Engineering & Manufacturing Development (EMD) Contract Award (Block 2)	2	2017	2	2017
Production Milestones: Contract Awards: Engineering & Manufacturing Development (EMD) Contract Award (Block 1)	3	2015	3	2015

## **Annotated Air Force SBIR Phase I Proposal Instructions** (from the 2013.1 solicitation)

**Notes:** Black is general DoD instructions for all DoD Components (for 2013.1);

Blue is Air Force-specific instructions; Red is added comments usually applicable to all DoD Components.

For the AF, the contract period of performance for Phase I is 9 months, and the award shall not exceed \$150,000.

The Phase I award winners must accomplish the majority of their primary research during the first six months of the 9-month contract. The last three months of the nine-month Phase I contract will provide project continuity for all Phase II award winners so no modification to the Phase I contract should be necessary. *[Note: You should plan to have some of your most important results, which verify that the project is really feasible, done within the first four (4) months, and reported in your four-month report. Typically, the PM will use the results in that four-month report (along with relationship and optimism you have generated up until that point) to decide if you should submit a Phase II proposal. The invitation to submit Phase II usually comes at month five, and would be due 30 days after that. Technically, you no longer need to receive an invitation to submit a Phase II proposal, but if your TPOC does not provide some significant interest in receiving a Phase II proposal, it would mean your chances of getting a Phase II are slim.]*

**Phase I technical proposals have a 20-page-limit (excluding the Cost Proposal, Cost Proposal Itemized Listing (a–j), and Company Commercialization Report)** (no type smaller than 10-point on standard 8-1/2" x 11" paper with one (1) inch margins).

**Proposal Cover Sheets:** The first two (2) pages of the proposal will count as the Cover Sheets no matter how they print out. This will count toward the 20 page total limit. *[Note: The Abstract is critical, as it sets the stage for whether the busy reviewer wants to spend time reviewing the proposal carefully, with an optimistic eye for good aspects, or gets a less-than-inspiring sense and then just scans the proposal for reasons NOT to fund it. There have been lots of cases where the reviewer doesn't even read the proposal based on the reaction to the Abstract. You have just 200 words to make a strong impact, convincing the reviewer that you really understand their issues, their perspective of the problem, have a competent team to tackle the issues effectively, and have a great idea for a solution that will meet all their needs, as well as having other value for other markets. First and foremost are meeting the Air Force's needs.*

The "Anticipated Benefits/Potential Commercial Applications" technically does not have any length limit, and I have even seen one that went on for over 5 pages. You should try to be brief (roughly two paragraphs) and succinct, emphasizing first of all benefits to the Air Force, along with other military applications, then talk about other markets (e.g. civilian applications) in such a way that they will be convinced that you are looking out for the warfighters' needs first of all, but that you will be a successful company not dependent on government contracts, so you'll be around a long time to be able to supply the product when they need it, and be able to keep improving it and reducing cost, due to broad applications and dual use.

Don't leave these for the end, as an afterthought, but draft these up as a means of focusing your thoughts and approach, then go back to them again later and keep refining these sections as the proposal itself develops, as they are critically important items]

**Technical Proposal:** The Technical Proposal should include all graphics and attachments but should not include the Cover Sheet or Company Commercialization Report (as these items are completed separately). Most proposals will be printed out on black and white printers so make sure all graphics are distinguishable in black and white.

### **c. Content of the Technical Volume (Volume Two)**

The Technical Volume should cover the following items in the order given below.

- (1) Identification and Significance of the Problem or Opportunity.** Define the specific technical problem or opportunity addressed and its importance. *[Note: This is typically about 2 pages. Don't start off talking about your technology, but describe the Air Force's problem in a way that indicates you understand the issue, especially their perspective on the issue. Describe the overall opportunity that results from having a real solution, then briefly describe how your technology solves that problem and addresses those opportunities.]*



(2) **Phase I Technical Objectives.** Enumerate the specific objectives of the Phase I work, including the questions the research and development effort will try to answer to determine the feasibility of the proposed approach. *[Note: Don't try to include too many Objectives – about 5 – 8 is reasonable. Don't forget to include questions for each Objective that you expect your research efforts to answer which would result in proving the feasibility of your concept. Note, for example, “What is Your Phase I Feasibility Question?” This section should typically be about 1 ½ - 2 pages]*

(3) **Phase I Statement of Work (including Subcontractors' Efforts).**

(a) Provide an explicit, detailed description of the Phase I approach. If a Phase I option is required or allowed by the Component, describe appropriate research activities which would commence at the end of Phase I should the Component elect to exercise the option. The Statement of Work should 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. The methods planned to achieve each objective or task should be discussed explicitly and in detail. This section should be a substantial portion of the Technical Volume section.

(b) This solicitation may contain topics that have been identified by the Program Manager as research or activities involving Human /Animal Subjects and/or Recombinant DNA. In the event that Phase I performance includes performance of these kinds of research or activities, please identify the applicable protocols and how those protocols will be followed during Phase I. Please note that funds cannot be released or used on any portion of the project involving human/animal subjects or recombinant DNA research or activities until all of the proper approvals have been obtained. (see Sections 4.7 – 4.9).

*[Note: This SOW is to be “a substantial portion of the Technical Volume,” so plan on it being about 6 - 8 pages total. You should include a Gantt Chart showing what Tasks will be done when, and include labels showing who (key person) will be doing it. Tasks should relate to the Technical Objectives, and should be described in enough detail that a skilled person could essentially follow along and replicate your work. Such detail should NOT be included in the Work Plan Outline.]*

**Air Force Instructions - Phase I Work Plan Outline** *[Note: This Work Plan Outline should be roughly one page long, and will serve as your contractual Statement of Work (SOW) – i.e. the Contracting Officer will cut and paste this into your contract, should you win. Since you are required to do what is in your contract, don't go into a lot of details on this.]*

At the beginning of your proposal work plan section, include an outline of the work plan in the following format:

- 1) Scope - List the major requirements and specifications of the effort.
- 2) Task Outline  
Provide a brief outline of the work to be accomplished over the span of the Phase I effort.
- 3) Milestone Schedule
- 4) Deliverables
  - a. Kickoff meeting within 30 days of contract start *[Note: budget for travel]*
  - b. Progress reports
  - c. Technical review within 6 months *[Note: budget for travel]*
  - d. Final report with SF 298

(4) **Related Work.** Describe significant activities directly related to the proposed effort, including any conducted by the principal investigator, the proposing firm, consultants, or others. Describe how these activities interface with the proposed project and discuss any 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 previous work not directly related to the proposed effort but similar. Provide the following: (1) short description, (2) client for which work was performed (including individual to be contacted and phone number), and (3) date of completion. *[Note: This is both to apprise the reviewers of your teams' past relevant work, as well as to show you know the state-of-the-art (SOA). If you have past work in this area, mention it briefly, perhaps in more descriptive detail if it directly relates to this effort. If you have a well-recognized published scientist on your team, mention a couple of the more relevant works, then refer to their bio in the Key Personnel section for more detail. You should search DTIC, try to find Air Force publications, especially any by the TPOC, in describing the current SOA. Try to keep this section between ½ and 1 page long.]*

- (5) **Relationship with Future Research or Research and Development.**
- (a) State the anticipated results of the proposed approach if the project is successful.
  - (b) Discuss the significance of the Phase I effort in providing a foundation for Phase II research or research and development effort. *[Note: This is a brief, but relatively important part, as you need to clearly indicate you know what the Phase I and Phase II project will lead to, and how you're going to get there in Phase II]*
  - (c) Identify the applicable clearances, certifications and approvals required to conduct Phase II testing and outline the plan for ensuring timely completion of said authorizations in support of Phase II research or research and development effort.
- (6) **Commercialization Strategy.** Describe in approximately one page your company's strategy for commercializing this technology in DoD, other Federal Agencies, and/or private sector markets. Provide specific information on the market need the technology will address and the size of the market. Also include a schedule showing the quantitative commercialization results from this SBIR project that your company expects to achieve. *[Note: "Commercialization" first and foremost in a DoD SBIR means how you get a final product into use by the warfighter. In many cases, this will mean in use by a Prime Contractor, such as Boeing, Lockheed, etc. You need to be convincing that you have at least the beginnings of such relationships set up, that you know the appropriate path to take to get your technology there, and you have all the various resources lined up to make the technological journey smooth and direct (even if you haven't convinced yourself yet). They also like to see clear estimates of market sizes and value, and perhaps brief descriptions of key players in the market. If you have potential relationships with other commercial (non-military) firms, play those up!]*
- (7) **Key Personnel.** Identify key personnel who will be involved in the Phase I effort including information on directly related education and experience. A concise technical resume of the principal investigator, including a list of relevant publications (if any), must be included (Please do not include Privacy Act Information). All resumes will count toward the applicable page limitation.

**Air Force Instructions - Key Personnel:** Identify in the Technical Proposal all key personnel who will be involved in this project; include information on directly related education, experience, and citizenship. A technical resume of the principle investigator, including a list of publications, if any, must be part of that information. Concise technical resumes for subcontractors and consultants, if any, are also useful. You must identify all U.S. permanent residents to be involved in the project as direct employees, subcontractors, or consultants. You must also identify all non-U.S. citizens expected to be involved in the project as direct employees, subcontractors, or consultants. For these individuals, in addition to technical resumes, please provide countries 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. You may be asked to provide additional information during negotiations in order to verify the foreign citizen's eligibility to participate on a contract issued as a result of this solicitation. *[Note: It helps to have an intro paragraph summarizing the key team strengths and what they bring together that makes this a strong team for the specific project. For PI and other very key personnel (e.g. university consultant), try to keep total to about 1/2-page or less for each. For a key scientific consultant with lots of publications and patents, abbreviate the list by stating some to the effect: Dr. Smith has 6 patents and 72 published papers, including the following five recent publications most relevant to this project:..." Other key individuals should get about a paragraph each. Try to keep this section total to about two pages, 3 pages max.]*

- (8) **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. You may be asked to provide additional information during negotiations in order to verify the foreign citizen's eligibility to participate on a SBIR contract. 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)).
- (9) **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.

(10) **Subcontractors/Consultants.** Involvement of a university or other subcontractors or consultants in the project may be appropriate. If such involvement is intended, it should be identified and described according to the [Cost Breakdown Guidance](#). A minimum of two-thirds of the research and/or analytical work in Phase I, as measured by direct and indirect costs, must be carried out by the proposing firm, unless otherwise approved in writing by the Contracting Officer. SBIR efforts may include subcontracts with Federal Laboratories and Federally Funded Research and Development Centers (FFRDCs). A waiver is no longer required for the use of federal laboratories and FFRDCs; however, proposers must certify their use of such facilities on the Cover Sheet of the proposal. Subcontracts with other federal organizations are not permitted.

(11) **Prior, Current, or Pending Support of Similar Proposals or Awards.**

If a proposal submitted in response to this solicitation is substantially the same as another proposal that was funded, is now being funded, or is pending with another Federal Agency, or another or the same DoD Component, you must reveal this on the Proposal Cover Sheet and provide the following information:

- (a) 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.
- (b) Date of proposal submission or date of award.
- (c) Title of proposal.
- (d) Name and title of principal investigator for each proposal submitted or award received.
- (e) Title, number, and date of solicitation(s) under which the proposal was submitted, will be submitted, or under which award is expected or has been received.
- (f) If award was received, state contract number.
- (g) Specify the applicable topics for each SBIR proposal submitted or award received.

*Note: If this does not apply, state in the proposal "No prior, current, or pending support for proposed work."*

d. **Content of the Cost Volume (Volume Three).** Complete the Cost Volume in the format shown in the [Cost Breakdown Guidance](#) by using the on-line cost volume form on the DoD Electronic Submission Web site. Some items in the [Cost Breakdown Guidance](#) may not apply to the proposed project. If that is the case, there is no need to provide information on each and every item. What matters is that enough information be provided to allow us to understand how you plan to use the requested funds if a contract is awarded.

- (1) List all key personnel by name as well as by number of hours dedicated to the project as direct labor.
- (2) While special tooling and test equipment and material cost may be included under Phases I, the inclusion of equipment and material will be carefully reviewed relative to need and appropriateness for the work proposed. The purchase of special tooling and test equipment must, in the opinion of the Contracting Officer, be advantageous to the Government and should be related directly to the specific topic. These 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 DoD Component, unless it is determined that transfer of title to the contractor would be more cost effective than recovery of the equipment by the DoD Component.
- (3) Cost for travel funds must be justified and related to the needs of the project.
- (4) Cost sharing is permitted for proposals under this solicitation; however, cost sharing is not required nor will it be an evaluation factor in the consideration of a Phase I proposal.
- (5) A Phase I Option (if applicable) should be fully costed separately from the Phase I (base) approach. Additional cost volume information may be required at the end of your technical volume (see Component Instructions, Section 12.0).
- (6) All subcontractor costs and consultant costs must be detailed at the same level as prime contractor costs in regards to labor, travel, equipment, etc. Provide detailed substantiation of subcontractor costs in your cost proposal. Enter this information in the Explanatory Material section of the on-line cost proposal form.

When a proposal is selected for award, you must be prepared to submit further documentation to the DoD Contracting Officer to substantiate costs (e.g., an explanation of cost estimates for equipment, materials, and consultants or subcontractors). For more information about cost proposals and accounting standards, see the DCAA publication called “Information for Contractors” available at [www.dcaa.mil](http://www.dcaa.mil).

## **Air Force Instructions – Cost Proposal**

### **Cost Proposal**

Cost proposal information should be provided by completing the on-line Cost Proposal form and including the Cost Proposal Itemized Listing (a-j) specified below. The Cost Proposal detail must be adequate to enable Air Force personnel to determine the purpose, necessity and reasonability of each cost element. Provide sufficient information (a-j below) on how funds will be used if the contract is awarded. The on-line Cost Proposal, and Itemized Cost Proposal Information (a-j) will not count against the 20-page limit. The itemized listing may be placed in the “Explanatory Material” section of the on-line Cost Proposal form (if enough room), or as the last page(s) of the Technical Proposal Upload. (Note: Only one file can be uploaded to the DoD Submission Site). Ensure that this file includes your complete Technical Proposal and the Cost Proposal Itemized Listing (a-j) information.

a. Special Tooling and Test Equipment and 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 Contracting Officer, be advantageous to the Government and relate directly to the specific effort. They may include such items as innovative instrumentation and/or automatic test equipment.

b. Direct Cost Materials: Justify costs for materials, parts, and supplies with an itemized list containing types, quantities, and price and where appropriate, purposes.

c. Other Direct Costs: This category of costs includes specialized services such as machining or milling, special testing or analysis, costs incurred in obtaining temporary use of specialized equipment. Proposals, which include leased hardware, must provide an adequate lease vs. purchase justification or rationale.

d. Direct Labor: 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 also necessary.

e. Travel: Travel costs must relate to the needs of the project. Break out travel cost by trip, with the number of travelers, airfare, per diem, lodging, etc. The number of trips required, as well as the destination and purpose of each trip should be reflected. Recommend budgeting at least one (1) trip to the Air Force location managing the contract.

f. Cost Sharing: Cost sharing is permitted. However, cost sharing is not required nor will it be an evaluation factor in the consideration of a proposal. Please note that cost share contracts do not allow fees. NOTE: Subcontract arrangements involving provision of Independent Research and Development (IRAD) support are prohibited in accordance with Under Secretary of Defense (USD) memorandum “Contractor Cost Share”, dated 16 May 2001, as implemented by SAF/AQ memorandum, same title, dated 11 Jul 2001.

g. Subcontracts: Involvement of university or other consultants in the planning and/or research stages of the project may be appropriate. If the offeror intends such involvement, describe in detail and include information in the cost proposal. 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 (i.e. Cost Proposal). At a minimum, an offeror must include a Statement of Work (SOW) with a corresponding detailed cost proposal for each planned subcontract.

h. 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.



i. Any exceptions to the model Phase I purchase order (P.O.) found at <https://www.afsbirsttr.com/Proposals/Default.aspx> (see “NOTE” within “Phase I Proposal Submission Checklist” section, p. AF-5).

j. DD Form 2345: For proposals submitted under ITAR-restricted Topics, a copy of the certified DD Form 2345, Militarily Critical Technical Data Agreement, must be included. The form, instructions, and FAQs may be found at the United States/Canada Joint Certification Program website, <http://www.dlis.dla.mil/jcp/>.

- e. **Company Commercialization Report (Volume Four).** The Company Commercialization Report is the fourth section of a complete proposal package. The Company Commercialization Report is prepared through the DoD Electronic Submission Web site ([www.dodsbir.net/submission](http://www.dodsbir.net/submission)). A Company Commercialization Report is required even if the proposing firm has not previously received SBIR or STTR awards. Follow the instructions on the web site and enter the quantitative commercialization results of your firm's prior Phase II projects. Include the items listed below as well as other information relative to your firm's commercialization track record.
- Sales revenue from new products and non-R&D services resulting from Phase II technology;
  - Additional investment from sources other than the federal SBIR/STTR Program in activities that further the development and/or commercialization of Phase II technology;
  - Whether the Phase II technology has been used in a fielded DoD system or acquisition program and, if so, which system or program;
  - The number of patents resulting from the contractor's participation in the SBIR/STTR Program;
  - Growth in number of firm employees; and
  - Whether the firm has completed a stock IPO resulting, in part, from a Phase II project.

All prior DoD and non-DoD Phase II projects must be reported, regardless of whether the project has any commercialization to date.

The Web site will compare these results to the historical averages for the DoD SBIR Program to calculate a Commercialization Achievement Index (CAI) value. Only firms with four or more Phase II projects that were awarded at least two years prior to this solicitation will receive a CAI score; otherwise the CAI is not applicable (see the Company Commercialization Report section of the DoD Submission Web site for more details). Firms with a CAI at the 20th percentile or below will be rated no higher than “Marginal” for this factor. This report shall only be prepared once and submitted with all your proposals for this solicitation. A report showing that a firm has received no prior Phase II awards will not affect the firm's ability to obtain an SBIR award.

Additional explanatory material relating to the firm's record of commercializing its prior SBIR or STTR projects may be included in the Commercialization Track Record Narrative section of the Company Commercialization Report. Examples of the additional information include: commercialization successes in government or private sector markets that are not fully captured in the quantitative results (e.g. commercialization resulting from your firm's prior Phase I projects); any mitigating factors that could account for low commercialization; and recent changes in the firm's organization or personnel designed to increase the firm's commercialization success.

[Note: For companies without prior Phase II awards, you are only required to fill out basic company information. However, you will want to add information that will help convince reviewers that you can be successful in commercializing the results. On the CCR web page, there is a button labeled “Add a Brief Narrative,” where you can add up to 5 pages of text describing any past relevant experience, even for the individuals involved in the company, if the company itself does not have much of a track record. This can be a good supplement to the Commercialization Strategy, and help convince reviewers you have the experience, resources, and/or connections to be successful in commercialization. The CCR page does not lock down when the submission site locks down, so your brief narrative can be updated any time. In practice, the CCR is typically printed out and bundled with the proposal to be distributed to reviewers, perhaps a few days after submission deadline, so even if you did not have time to write up a good narrative before deadline, you may still have some time afterwards to get this piece polished up. However, don't count on that, and try to include a brief narrative section in the CCR long before the proposal due date. This really should be reviewed by an outside reviewer, just as with the proposal itself.]

## DOD SBIR COST PROPOSAL BREAKDOWN ITEMS GUIDANCE

Offerors should indicate the following terms, as appropriate, in their proposal, following the instructions in Section 3.5(c) of this solicitation.

### Cost Breakdown Items (in this order, as appropriate):

1. Name of offeror
2. Home office address
3. Location where work will be performed
4. Title of proposed effort
5. Company's taxpayer identification number and CAGE code. *(Note: Offerors that do not yet have these items -- e.g., because the company does not yet exist at the time of proposal submission -- should so indicate in the cost proposal. Such offerors, if selected for award, should talk with their DoD contracting officer about obtaining these items, both of which are required before a contract can be awarded.)*
6. Topic number and topic title from DoD Solicitation Brochure
7. Total dollar amount of the proposal
8. Direct material costs
  - a. Purchased parts (dollars)
  - b. Subcontracted items (dollars)
  - c. Other
    - (1) Raw material (dollars)
    - (2) Your standard commercial items (dollars)
    - (3) Interdivisional transfers (at other than cost dollars)
  - d. Total direct material (dollars)
9. Material overhead (rate \_\_\_\_\_%) x total direct material = dollars
10. Direct labor (specify)
  - a. Type of labor, estimated hours, rate per hour and dollar cost for each type (e.g., "computer programmer, 40 hours, \$26 per hour, \$1040 cost") Include the name as well as hours, etc. of all key personnel.
  - b. Total estimated direct labor (dollars)
11. Labor overhead
  - a. Identify overhead rate, the hour base and dollar cost
  - b. Total estimated labor overhead (dollars)
12. Special testing (include field work at government installations)
  - a. Provide dollar cost for each item of special testing
  - b. Estimated total special testing (dollars)
13. Special equipment
  - a. If direct charge, specify each item and cost of each
  - b. Estimated total special equipment (dollars)
14. Travel (if direct charge)
  - a. Transportation (detailed breakdown and dollars)
  - b. Per diem or subsistence (details and dollars)
  - c. Estimated total travel (dollars)
15. Subcontracts (e.g., consultants)
  - a. Identify each, with purpose, and dollar rates
  - b. Total estimated subcontracts costs (dollars)
16. Other direct costs (specify)
  - a. Total estimated direct cost and overhead (dollars)
17. General and administrative expense
  - a. Percentage rate applied
  - b. Total estimated cost of G&A expense (dollars)
18. Royalties (specify)
  - a. Estimated cost (dollars)
19. Fee or profit (dollars)
20. Total estimate cost and fee or profit (dollars)
21. The cost breakdown portion of a proposal must be signed by a responsible official, and the person signing must have typed name and title and date of signature must be indicated.
22. On the following items offeror must provide a yes or no answer to each question.
  - a. Has any executive agency of the United States Government performed any review of your accounts or records in connection with any other government prime contract or subcontract within the past twelve months? If yes, provide the name and address of the reviewing office, name of the individual and telephone extension.
  - b. Will you require the use of any government property in the performance of this proposal? If yes, identify.
  - c. Do you require government contract financing to perform this proposed contract? If yes, then specify type as advanced payments or progress payments.
23. Type of contract proposed, either cost-plus-fixed-fee or firm-fixed price.

# Understanding Cost Volume Terms

Proposers should follow the instructions in the solicitation and comply with Cost Principles and Procedures at FAR Part 31 (see [www.acquisition.gov/far/current/html/FARTOCP31.html#wp253693](http://www.acquisition.gov/far/current/html/FARTOCP31.html#wp253693)) and Chapter 3 of the DCAA Publication entitled "Information to Contractors" (see [www.dcaa.mil](http://www.dcaa.mil)). Below is a brief description of cost volume terms to get you started and examples of how to calculate indirect rates. A sample cost volume using the figures from the indirect rate example is also available on this site.

**Direct Cost** - Any cost that is associated specifically to the project (i.e. labor, travel, material, etc.) being proposed. A direct cost is an expense (cost) that is incurred to support a specific contract, job, or project. Without that specific contract, the expense would not normally be incurred. These costs are billed directly to the contract and are generally increased by application of a multiplier intended to recover a firm's operating costs (Indirect Costs).

**Indirect Cost** - All other expenses or costs incurred during the course of doing business, which are not directly related to a project or contract (i.e. office rent, employee benefits, utilities, insurance, furniture and equipment, accounting and legal expenses etc.). These costs may be referred to as Operating Costs, Fringe Benefits Costs, Overhead Costs and/or General and Administrative Costs. A Firm recovers its Indirect Costs under contract by "loading" or "burdening" the Direct Costs with a share of the Indirect Costs. This is normally handled by applying pre-determined multiplier(s) to the Direct Costs, which are created by the firm to recover its Indirect Costs by fair distribution over all projects. An indirect cost shall not be allocated to a contract if other cost incurred for the same purpose in like circumstances have been included as a direct cost of that or any other contract. The intent is to have every contract recover its "share" of the cost to run a business.

EXAMPLE - Direct or Indirect?: Office rent - normally considered an Indirect Cost. An exception might be if the office space was only utilized during contract performance or was a specific requirement of the project.

**Direct Labor** - All labor hours directly associated with the performance of the project being proposed.

**Indirect Labor** - Any labor hours not directly related to the project. This would be personnel assigned to tasks not directly related to a specific project or contract.

**Direct Materials/Other Direct Costs** - Materials and other purchases (including travel) required specifically for performance of a project. These costs can be traced directly to the project.

**Indirect Materials/Costs** - Materials, purchases, and supplies (including travel) required for the operation of a business. These costs are not directly associated with a specific contract or project.

**Cost Pools** - A company may choose to apportion its Indirect Cost dollars (or "pool") by the amount utilized to support specific business functions. Splitting up the total Indirect Cost pool may be considered a better way to fairly distribute costs over individual contracts. For instance, it may be determined that X% of all Indirect Costs are related to the administration of the company's business functions. In order to recover the associated dollars, the company may decide that X% for G&A recovery must be applied to all Direct Costs OR only Direct Materials Costs, or etc., on all/some/certain contracts. *[Sorry, there's no simple guidance on how a company might choose to apply its Indirect Costs to its contracts!]* The following outlines some standard cost pools. Not all companies will utilize multiple cost pools:

**G&A Cost Pool** - A portion of a company's Indirect Costs identified with the administration of the business. This is generally a percentage of all Indirect Cost dollars, but can also be calculated by using specific cost items if deemed appropriate. G&A may also be referred to as Handling.



**Overhead Cost Pool** - "Overhead" (O/H) can identify ALL Indirect Costs of a company or only a portion of that cost, depending on corporate structure. Some companies have several Overhead pools. This pool may be the balance of all Indirect Cost dollars not identified in other pools.

**Fringe/Employee Benefits Cost Pool** - A portion of a company's Indirect Costs identified specifically as employee-related costs for Direct Labor staff (indirect labor benefits would be included within the associated indirect pool). This pool generally contains specific cost items in the total Indirect Cost pool, since they are easily identifiable. Items included in the Fringe Pool might be health care insurance, disability insurance, employer FICA, unemployment insurance, retirement funds, etc.

**"Other" Cost Pool(s)** - The above titles of cost pools are common in the Defense Contracting industry. Since all companies are not alike, a firm should set up its Indirect Rate structure based on their own business type and philosophies. HOWEVER, since many DoD procurements are set around this standard format, it is probably advisable to stick within these titles whenever possible, even if it doesn't exactly fit the pool (what the firm considers to be the appropriate pool title might be identified as a subtitle for internal identification).

**Indirect Rate Calculations/Determinations** - After individual Indirect Cost Pools are identified, the Indirect Rates can be calculated. The Indirect Rates are the multipliers applied to a Direct Cost to recover Indirect Costs. One way to project or predict Indirect Rates is by working from a Budget for the upcoming year. Another would be to base the rates on prior experience (year-end or quarterly financials).

## Examples of how Indirect Rates may be created.

THIS IS ONLY AN EXAMPLE. THIS MAY NOT REFLECT YOUR BUSINESS STRUCTURE. THE DOLLARS AND RATES USED IN THE EXAMPLE ARE RANDOM AND DO NOT REFLECT ANY SORT OF INDUSTRY STANDARD. THIS IS INTENDED FOR GUIDANCE PURPOSES ONLY.

### *Example 1:*

#### **Company A Budget for 2003**

Total Direct Cost = \$60K

Direct Labor = \$50K

Direct Materials = \$10K

Total Indirect Cost = \$75K

Fringe Pool = \$25K

Overhead Pool = ♦\$35K

G&A Pool = \$15K

**Fringe Rate** - Generally calculated by dividing total Fringe Pool by Total Direct Labor.

Example:

$$\$25K / \$50K = 50\% \text{ Fringe Rate}$$

**Labor Overhead Rate** - Generally calculated by taking the total Overhead pool dollars, divided by total Direct Labor dollars (if a Fringe Pool is being used, as in our Sample, then Fringe and Direct Labor might be added together). Example:

$$\$35K / (\$50K + \$25K) = 46.7\% \text{ overhead rate}$$

**G&A Rate** - [this example assumes costs within this pool are applicable to all company costs] Generally calculated by taking total G&A pool dollars, divided by all other costs.

Example:

$$\$15K / (\$50K + \$10K + \$25K + \$35K) = 12.5\% \text{ G\&A rate}$$

Using the above Rates, bid Labor might look like this:

$$\$50K \text{ direct labor} * 1.50 \text{ fringe} * 1.467 \text{ O/H} * 1.125 \text{ G\&A} = \text{◆} \$123,778 \text{ (before profit)}$$

And bid ODCs might look like this:

$$\$10K \text{ ODCs} * 1.125 \text{ G\&A} = \$11,250 \text{ (before profit)}$$

**Example 2:**

**Material Overhead Rate** - A separate pool may be identified for Material Handling. In that case, X% of the Overhead Pool may be called Material Overhead and applied only to ODCs. If \$5K of the Sample Overhead Pool were moved to Material Overhead pool, then the numbers might work like this:

**Company A Budget for 2003**

Total Direct Cost = \$60K

Direct Labor = \$50K

Direct Materials = \$10K

Total Indirect Cost = \$75K

Fringe Pool = \$25K

Overhead Pool = \$30K

Material Overhead Pool = \$5K

G&A Pool = \$15K

**Fringe:**  $\$25K / \$50K = 50\%$

**Labor Overhead:**  $\$30K / (\$50K + \$25K) = 40\%$

**Material Overhead:**  $\$5K / \$10K = 50\%$

**G&A:**  $\$15K / (50+10+25+30+5) = 12.5\%$

Using this example, bid Labor might look like this:

$$\$50K \text{ direct labor} * 1.50 \text{ fringe} * 1.40 \text{ O/H} * 1.125 \text{ G\&A} = \$118,125 \text{ (before profit)}$$

And bid ODCs might look like this:

$$\$10K \text{ ODCs} * 1.50 \text{ Material O/H} * 1.125 \text{ G\&A} = \$16,875 \text{ (before profit)}$$

**Fee or Profit** - Amount applied to all proposed costs (if allowable on all costs) which will (hopefully) be realized as a profit for the firm. For DoD contracts, the profit/fee calculation is usually based on the record of weighted guidelines method focused on four profit factors: performance risk, contract type risk, facilities capital employed, and cost efficiency. See Paragraph E of Part VII of the SBIR Desk Reference at [www.acq.osd.mil/osbp/sbir/sb/resources/deskreference/07\\_nego.shtml](http://www.acq.osd.mil/osbp/sbir/sb/resources/deskreference/07_nego.shtml) for more details.

TechLink, Bozeman, MT  
SBIR PROPOSAL COVER SHEET - Navy (2013.1)

Knowingly and willfully making any 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, up to five years in prison, or both.

**Proposal Number: N131-013-0847**

Agency Information

Agency Name: **NAVY** Command: NAVSEA

Topic Number: **N131-013**

Proposal Title:

(Use the default title or edit the title field to create your own)

Firm Information

Firm Name: TechLink Website Address: www.montana.edu/techlink

Mail Address:

City:  State: Zip:

DUNS: 08-385-28 CAGE:

Does your firm allow for the release of its contact information to [Economic Development Organizations](#)?  Yes  No

Business Information

1. Are you a small business as described in [paragraph 3.12](#)?  Yes  
 No

2. Number of employees including all affiliates (average for preceding 12 months):

3. Is your firm affiliated as set forth in 13 CFR 121.103?  Yes  No  
If yes, please provide information below:

Affiliate Firm:

Affiliate Mail Address:

Affiliate City:

Affiliate State: *or* Province:

Zip:

Affiliate Country:

Number of Employees of Affiliate:

4. Are you a [socially or economically disadvantaged](#) small business?  Yes  No

5. Are you a [woman-owned](#) small business?  Yes  No

6. Are you a [certified HUBZone](#) small business concern?  Yes  No

7. Are you a [service-disabled veteran-owned](#) small business?  Yes

No

8. Are you a veteran-owned small business?  Yes  No

9. Is 50% or more of your firm owned or managed by a corporate entity?

Yes  No

10. Are you more than 50% owned by a single VCOC, hedge fund, or private equity firm?  Yes  No

11. Are you more than 50% owned by multiple business concerns that are VCOCs, hedge funds, or private equity firms?  Yes  No

12. 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?  Yes  No

If yes, provide the name of the associated company:

13. Has the Defense Contracting Audit Agency (DCAA) or other agreed upon agency, performed a review of your accounts or records in connection with

government contracts or subcontracts within the past 12 months?  Yes

No

If yes, please provide the following information:

Agency Name:

Address:

City:

State:

Zip Code:  -

Auditor:

Phone: ()  -  Ext:

Email:

Agency for which the review was performed:

If no, please provide the date for when such a review was last performed:

(mm/dd/yyyy)

or if never reviewed, check here

### Proposal Information

Proposed Cost:  Must not exceed 80,000

Phase: 1

Duration:  Must not exceed 6 Months

Option Cost:  Must not exceed 70,000

Option Duration:  Must not exceed 6 Months

*For any purpose other than to evaluate the proposal, this data except proposal cover sheets shall not be disclosed outside the Government and shall not be duplicated, used or disclosed in whole or in part, provided that if a contract is awarded to this proposer 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 funding agreement. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction is contained on the pages of the proposal listed on the line below.*

Proprietary Information (list page numbers):

1. Has a proposal for [essentially equivalent work](#) been submitted to other US government agencies or DoD components?

Yes  No

If yes, list the name(s) of the agency or DoD component and if SBIR or STTR, list Topic Number in the space below.

2. Is your company (either directly or as a subcontractor) performing work for a Navy activity outside of SBIR or STTR funded work?  Yes  No

If yes, please indicate the organization and the specific code in which this work is performed in the space below. [Click here for a definition of Conflict of Interest.](#)

3. Has a contract been awarded for any of the proposals listed above?  Yes  No

If yes, please provide the contract number:

4. Are you submitting assertions in accordance with DFARS 252.227-7017 "Identification and assertions use, release, or disclosure restriction"?  Yes  No

**Technical Abstract** (Limit your abstract to 200 words with no classified or proprietary information)

This is a test. This only a test. Had this been an actual proposal, it could possibly be as good as yours!

**Anticipated Benefits/Potential Commercial Applications of the Research or Development.** (No classified or proprietary information)

Shifts the paradigm of contingency applications to intrinsic value propositions.

**List a maximum of 8 Key Words or phrases, separated by commas, that describe the Project.**

Experiments, transition, applications

Project Team Information

1. Are teaming partners or subcontractors proposed?  Yes  No

Check all that apply:

Institution	<input type="checkbox"/> University	Name: <input type="text"/>	POC: <input type="text"/>
	<input type="checkbox"/> HBCU/MI	Name: <input type="text"/>	POC: <input type="text"/>
	<input type="checkbox"/> FFRDC	Name: <input type="text"/>	POC: <input type="text"/>
	<input type="checkbox"/> Nonprofit	Name: <input type="text"/>	POC: <input type="text"/>
	<input type="checkbox"/> Federal	Name: <input type="text"/>	POC: <input type="text"/>

Laboratory

Other Federal Name: [ ] POC: [ ]

Facility

Small Name: [ ] POC: [ ]

Business

Large Name: [ ] POC: [ ]

Business

Other Name: [ ] POC: [ ]

2. Are you proposing to use foreign nationals as defined in [paragraph 3.4](#) for work under the proposed effort?  Yes  No

3. Are you proposing research that utilizes human/animal subjects or recombinant DNA as described in [paragraph 3.9](#), [paragraph 3.10](#), and [paragraph 3.11](#)?  Yes  No

4. At a minimum, will two-thirds of the research and/or analytical work in Phase I be carried out by your small business as described in [paragraph 4.2](#)?  Yes  No

Principal Investigator (PI)/Corporate Official (CO) Information

1. Is primary employment of the principal investigator (identified below) with your firm as described in [paragraph 4.2](#)?  Yes  No

2. What is the percentage of effort of the principal investigator on the project? [ 21 ] %

3. Is the principal investigator with your firm (identified below) a woman?  Yes  No

4. Is the principal investigator with your firm (identified below) socially/economically disadvantaged?  Yes  No

5. Is your firm's PI, CO, or owner, a faculty member or student of an institution of higher education?  Yes  No

6. Has your firm's PI, 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?  Yes  No

If yes, provide the individual's name (First, Middle, Last):

First: [ ] Middle: [ ] Last: [ ]

**Project Manager/Principal Investigator**

**Corporate Official (Business)**

Name: [ Ray Friesenhahn ]

Name: [ Gordon Stroh ]

Title: [ Technical Manager ]

Title: [ Contracts Manager ]

Phone: ( [ 406 ] ) [ 994 ] - [ 7726 ] Ext: [ ]

Phone: ( [ 406 ] ) [ 994 ] - [ 7700 ] Ext: [ ]

Fax: ( [ 406 ] ) [ 994 ] - [ 7701 ]

Fax: ( [ 406 ] ) [ 994 ] - [ 7701 ]

E-Mail: [ rayf@montana.edu ]

E-Mail: [ gstroh@montana.com ]







Air Force SBIR PROPOSAL COVER SHEET (2013.1)

Knowingly and willfully making any 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, up to five years in prison, or both.

Agency Information

Agency Name: **Air Force**

Topic Number: AF131-118

Proposal Title:

(Use the default title or edit the title field to create your own)

---

Firm Information

Firm Name: TechLink Website Address: www.montana.edu/techlink

Mail Address:

City:

State: Zip:

DUNS: 08-385-28

CAGE:

Does your firm allow for the release of its contact information to [Economic Development Organizations](#)?  Yes  No

---

Business Information

1. Are you a small business as described in [paragraph 3.12](#)?  Yes  No

2. Number of employees including all affiliates (average for preceding 12 months):

3. Is your firm affiliated as set forth in 13 CFR 121.103?  Yes  No  
If yes, please provide information below:

Affiliate Firm:

Affiliate Mail Address:

Affiliate City:  State: Zip:

Number of Employees of Affiliate:

4. Are you a [socially or economically disadvantaged](#) small business?  Yes  No

5. Are you a [woman-owned](#) small business?  Yes  No

6. Are you a [certified HUBZone](#) small business concern?  Yes  No

7. Are you a [service-disabled veteran-owned](#) small business?  Yes

No

8. Are you a [veteran-owned](#) small business?  Yes  No

9. Is 50% or more of your firm owned or managed by a [corporate entity](#)?

Yes  No

10. Are you more than 50% owned by a single VCOC, hedge fund, or private equity firm?  Yes  No

11. Are you more than 50% owned by multiple business concerns that are VCOCs, hedge funds, or private equity firms?  Yes  No

12. 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?  Yes  No

If yes, provide the name of the associated company:

13. Has the Defense Contracting Audit Agency (DCAA) or other agreed upon agency, performed a review of your accounts or records in connection with

government contracts or subcontracts within the past 12 months?  Yes

No

If yes, please provide the following information:

Agency Name:

Address:

City:

State:

Zip Code:  -

Auditor:

Phone: ()  -  Ext:

Email:

Agency for which the review was performed:

If no, please provide the date for when such a review was last performed:

(mm/dd/yyyy)

or if never reviewed, check here

---

### Proposal Information

Proposed Cost:  Must not exceed 150,000 Phase: I Duration:  Must not exceed 9 Months

For any purpose other than to evaluate the proposal, this data except proposal cover sheets shall not be disclosed outside the Government and shall not be duplicated, used or disclosed in whole or in part, provided that if a contract is awarded to this proposer 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 funding agreement. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction is contained on the pages of the proposal listed on the line below.

Proprietary Information (list page numbers):

1. Has a proposal for [essentially equivalent work](#) been submitted to other US government agencies or DoD components?

Yes  No

If yes, list the name(s) of the agency or DoD component and if SBIR or STTR, list Topic Number in the space below.

2. Has a contract been awarded for any of the proposals listed above?  Yes  No

If yes, please provide the contract number:

3. Are you submitting assertions in accordance with DFARS 252.227-7017

"Identification and assertions use, release, or disclosure restriction"?

Yes  No

**Technical Abstract** (Limit your abstract to 200 words with no classified or proprietary information)

**Anticipated Benefits/Potential Commercial Applications of the Research or Development.** (No classified or proprietary information)

**List a maximum of 8 Key Words or phrases, separated by commas, that describe the Project.**

#### Project Team Information

1. Are teaming partners or subcontractors proposed?  Yes  No

Check all that apply:

<input type="checkbox"/>	University	Name:	<input type="text"/>	POC:	<input type="text"/>
<input type="checkbox"/>	HBCU/MI	Name:	<input type="text"/>	POC:	<input type="text"/>
<input type="checkbox"/>	FFRDC	Name:	<input type="text"/>	POC:	<input type="text"/>
<input type="checkbox"/>	Nonprofit	Name:	<input type="text"/>	POC:	<input type="text"/>
Institution					
<input type="checkbox"/>	Federal	Name:	<input type="text"/>	POC:	<input type="text"/>
Laboratory					
<input type="checkbox"/>	Other Federal	Name:	<input type="text"/>	POC:	<input type="text"/>
Facility					
<input type="checkbox"/>	Small Business	Name:	<input type="text"/>	POC:	<input type="text"/>

<input type="checkbox"/>	Large Business Name:	<input type="text"/>	POC:	<input type="text"/>
<input type="checkbox"/>	Other Name:	<input type="text"/>	POC:	<input type="text"/>

2. Are you proposing to use foreign nationals as defined in [paragraph 3.4](#) for work under the proposed effort?  Yes  
 No

3. Are you proposing research that utilizes human/animal subjects or recombinant DNA as described in [paragraph 3.9](#), [paragraph 3.10](#), and [paragraph 3.11](#)?  Yes  No

4. At a minimum, will two-thirds of the research and/or analytical work in Phase I be carried out by your small business as described in [paragraph 4.2](#)?  Yes  No

**Principal Investigator (PI)/Corporate Official (CO) Information**

1. Is primary employment of the principal investigator (identified below) with your firm as described in [paragraph 4.2](#)?  Yes  No

2. What is the percentage of effort of the principal investigator on the project?  %

3. Is the principal investigator with your firm (identified below) a woman?  Yes  
 No

4. Is the principal investigator with your firm (identified below) socially/economically disadvantaged?  Yes  No

5. Is your firm's PI, CO, or owner, a faculty member or student of an institution of higher education?  Yes  No

6. Has your firm's PI, 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?  Yes  No

If yes, provide the individual's name (First, Middle, Last):

First:  Middle:  Last:

**Project Manager/Principal Investigator**

**Corporate Official (Business)**

Name:

Name:

Title:

Title:

Phone: (  )  -  Ext:

Phone: (  )  -  Ext:

Fax: (  )  -

Fax: (  )  -

E-Mail:

E-Mail:







Army SBIR PROPOSAL COVER SHEET (2013.1)

Knowingly and willfully making any 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, up to five years in prison, or both.

**Proposal Number: A131-011-0964**

Agency Information

Agency Name: **Army** Command: ARDEC

Topic Number: **A13-011**

Proposal Title:

(Use the default title or edit the title field to create your own)

Firm Information

Firm Name: TechLink Website Address: www.montana.edu/techlink

Mail Address:

City:  State: Zip:

DUNS: 08-385-28 CAGE:

Does your firm allow for the release of its contact information to [Economic Development Organizations](#)?  Yes  No

Business Information

1. Are you a small business as described in [paragraph 3.12](#)?  Yes  No

2. Number of employees including all affiliates (average for preceding 12 months):

3. Is your firm affiliated as set forth in 13 CFR 121.103?  Yes  No

If yes, please provide information below:

Affiliate Firm:

Affiliate Mail Address:

Affiliate City:

Affiliate State:  *or* Province:

Zip:

Affiliate Country:

Number of Employees of Affiliate:

4. Are you a [socially or economically disadvantaged](#) small business?  Yes

No

5. Are you a [woman-owned](#) small business?  Yes  No

6. Are you a [certified HUBZone](#) small business concern?  Yes  No

7. Are you a [service-disabled veteran-owned](#) small business?  Yes  No
8. Are you a [veteran-owned](#) small business?  Yes  No
9. Is 50% or more of your firm owned or managed by a [corporate entity](#)?  Yes  No
10. Are you more than 50% owned by a single VCOC, hedge fund, or private equity firm?  Yes  No
11. Are you more than 50% owned by multiple business concerns that are VCOCs, hedge funds, or private equity firms?  Yes  No
12. 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?  Yes  No

If yes, provide the name of the associated company:

13. Has the Defense Contracting Audit Agency (DCAA) or other agreed upon agency, performed a review of your accounts or records in connection with government contracts or subcontracts within the past 12 months?  Yes  No

If yes, please provide the following information:

Agency Name:

Address:

City:

State:

Zip Code:  -

Auditor:

Phone: (  )  -  Ext:

Email:

Agency for which the review was performed:

If no, please provide the date for when such a review was last performed:

 (mm/dd/yyyy)

or if never reviewed, check here

Proposal Information

Proposed Cost: <input type="text" value="100000"/> <small>Must not exceed 100,000</small>	Phase: 1	Duration: <input type="text" value="6"/> <small>Must not exceed 6 Months</small>
Option Cost: <input type="text" value="50000"/> <small>Must not exceed 50,000</small>		Option Duration: <input type="text" value="4"/> <small>Must not exceed 4 Months</small>

For any purpose other than to evaluate the proposal, this data except proposal cover sheets shall not be disclosed outside the Government and shall not be duplicated, used or disclosed in whole or in part, provided that if a contract is awarded to this proposer 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 funding agreement. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction is contained on the pages of the proposal listed on the line below.

Proprietary Information (list page numbers):

1. Has a proposal for [essentially equivalent work](#) been submitted to other US government agencies or DoD components?  Yes  No

If yes, list the name(s) of the agency or DoD component and if SBIR or STTR, list Topic Number in the space below.

2. Has a contract been awarded for any of the proposals listed above?  Yes  No

If yes, please provide the contract number:

3. Are you submitting assertions in accordance with DFARS 252.227-7017

"Identification and assertions use, release, or disclosure restriction"?  Yes

No

**Technical Abstract** (Limit your abstract to 200 words with no classified or proprietary information)

This is a test. This is only a test. Had this been an actual proposal, we certainly would have spent a lot more time on it.

**Anticipated Benefits/Potential Commercial Applications of the Research or Development.** (No classified or proprietary information)

This gives us typing experience and familiarity with the process.

**List a maximum of 8 Key Words or phrases, separated by commas, that describe the Project.**

Processes, stuff, experience

**Project Team Information**

1. Are teaming partners or subcontractors proposed?  Yes  No

Check all that apply:

<input type="checkbox"/>	University	Name: <input type="text"/>	POC: <input type="text"/>
<input type="checkbox"/>	HBCU/MI	Name: <input type="text"/>	POC: <input type="text"/>
<input type="checkbox"/>	FFRDC	Name: <input type="text"/>	POC: <input type="text"/>
<input type="checkbox"/>	Nonprofit	Name: <input type="text"/>	POC: <input type="text"/>
Institution			
<input type="checkbox"/>	Federal	Name: <input type="text"/>	POC: <input type="text"/>
Laboratory			
<input type="checkbox"/>	Other Federal	Name: <input type="text"/>	POC: <input type="text"/>
Facility			
<input type="checkbox"/>	Small Business	Name: <input type="text"/>	POC: <input type="text"/>
<input type="checkbox"/>	Large Business	Name: <input type="text"/>	POC: <input type="text"/>
<input type="checkbox"/>	Other	Name: <input type="text"/>	POC: <input type="text"/>

2. Are you proposing to use foreign nationals as defined in [paragraph 3.4](#) for work under the proposed effort?  Yes  No
3. Are you proposing research that utilizes human/animal subjects or recombinant DNA as described in [paragraph 3.9](#), [paragraph 3.10](#), and [paragraph 3.11](#)?  Yes  No
4. At a minimum, will two-thirds of the research and/or analytical work in Phase I be carried out by your small business as described in [paragraph 4.2](#)?  Yes  No
- 

Principal Investigator (PI)/Corporate Official (CO) Information

1. Is primary employment of the principal investigator (identified below) with your firm as described in [paragraph 4.2](#)?  Yes  No
2. What is the percentage of effort of the principal investigator on the project?  %
3. Is the principal investigator with your firm (identified below) a woman?  Yes  No
4. Is the principal investigator with your firm (identified below) socially/economically disadvantaged?  Yes  No
5. Is your firm's PI, CO, or owner, a faculty member or student of an institution of higher education?  Yes  No
6. Has your firm's PI, 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?  Yes  No
- If yes, provide the individual's name (First, Middle, Last):
- First:  Middle:  Last:
- 

**Project Manager/Principal Investigator**

Name:

Title:

Phone: (  )  -  Ext:

Fax: (  )  -

E-Mail:

**Corporate Official (Business)**

Name:

Title:

Phone: (  )  -  Ext:

Fax: (  )  -

E-Mail:

Army SBIR COST VOLUME (2013.1)

Offerors should indicate the following terms, as appropriate, in their proposal, following the instructions in [Section 5.4\(d\)](#) of this solicitation.

Please click here for further explanation regarding [Cost Volume Definition](#) and [Understanding Cost Volume Terms](#).

**Firm:** TechLink  
**Address:** 900 Technology Blvd., Ste. A  
 Bozeman, MT 59718

**Location Where Work Will Be Performed:**

**Proposal #:** A131-011-0964 **Title of Proposed Effort:** Advanced hybrid graphitic materials for enhanced energetic applications

**Firm's Taxpayer ID\*:** 81-6010045 **CAGE Code\*** **DUNS\*** 08-385-28

*\*NOTE: Offerors that do not yet have these items -- e.g., because the company does not yet exist at the time of the proposal submission -- should so indicate in "explanatory material" (below). Such offerors, if selected for award, should obtain these items, all of which are required before a contract can be awarded.*

**Topic Number:** A13-011 **Topic Title:** Advanced hybrid graphitic materials for enhanced energetic applications

**DIRECT LABOR:**

Category and/or Individual:	Phase I			Option		
	Rate/Hour:	Est. Hours:	Cost:	Rate/Hour:	Est. Hours:	Cost:
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Subtotal Direct Labor (DL):</b>			<input type="text"/>			<input type="text"/>
Fringe Benefits, if not included in Overhead,			<input type="text"/>			<input type="text"/>
(rate <input type="text"/> %) x DL =			<input type="text"/>			<input type="text"/>
Labor Overhead (rate <input type="text"/> %) x (DL + Fringe) =			<input type="text"/>			<input type="text"/>
<b>Total Direct Labor (TDL):</b>			<input type="text"/>			<input type="text"/>

**DIRECT MATERIAL COSTS:**

	Phase I	Option
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Subtotal Direct Materials Costs (DM):</b>	<input type="text"/>	<input type="text"/>
Material Overhead (rate <input type="text"/> %) x DM:	<input type="text"/>	<input type="text"/>
<b>Total Direct Materials Costs (TDM):</b>	<input type="text"/>	<input type="text"/>

**OTHER DIRECT COSTS:**

Phase I Option



### Company Commercialization Report:

• On 1/14/2013 5:33:25 PM, your firm acknowledged that in accordance with subsections (k)(2)(B) and (k)(2)(F) of the Small Business Act (15 U.S.C. 638), all commercialization information that is collected via the DoD SBIR/STTR Company Commercialization Report will be provided to the Small Business Administration (SBA) to be used solely for program evaluation purposes by the Federal government.

- A Company Commercialization Report is required for Phase I and Phase II submissions.
- Regardless of the number of proposals submitted, only one report needs to be prepared per solicitation.
- Please read [Guidance](#) for completing the Company Commercialization Report.

#### Directions:

STEP 1. If you have never had a Phase II award, skip to step 3 of the instructions below.

If you have Phase II awards, update each project listed above by clicking on the blue

contract number or **Add New Project Entry** for each Phase II award your firm has to date (from any Federal agency), not already listed above.

STEP 2. Update **Firm Information** for any changes in your firm's number of awards, employees or revenues.

STEP 3. **Enter Firm Point of Contact** who will be accountable for the upkeep and validity of your commercialization information.

STEP 4. **Optional:** **Add a Brief Narrative** on your firm's commercialization track record.

STEP 5. **View** the Company Commercialization Report and print a copy off of your web browser for your own records. If submitting to an agency that requires a hardcopy, then attach a copy to your proposal. The Company Commercialization Report does not count toward the proposal page count.

### To submit an annual Phase II Project Update:

1. Click on the Contract Number of the particular Phase II project requiring the annual commercialization update. (If the Phase II project is not listed,

**Add New Project Entry** now.)

2. **Update Firm Information**

3. **Verify These Items** for the update.

Questions? Call 866-SBIRHLP (724-7457) or [email](#)

Note: The DoD updates historical data on the SBIR/STTR programs used to calculate the [Commercialization Achievement Index](#) annually. It was last updated December 17, 2012. Your firm's Index may now differ from the Index calculated in previous reports. The CAI is only calculated for proposers that have received at least 4 phase II awards in years up to and including 2010.