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Missile Defense Agency 21.3 Small Business Innovation Research Direct to Phase II Proposal Instructions

I. INTRODUCTION

The Missile Defense Agency's (MDA) mission is to develop and deploy a layered Missile Defense System to defend the United States, its deployed forces, allies, and friends from missile attacks in all phases of flight.

The MDA Small Business Innovation Research (SBIR) Program is implemented, administered, and managed by the MDA SBIR/STTR Program Management Office (PMO), located within the Innovation, Science, & Technology directorate. Specific questions pertaining to the administration of the MDA SBIR/STTR Programs should be submitted to:

**Missile Defense Agency
SBIR/STTR Program Management Office
MDA/DVR
Bldg. 5224, Martin Road
Redstone Arsenal, AL 35898
Email: sbirsttr@mda.mil | Phone: 256-955-2020**

Proposals not conforming to the terms of this Direct to Phase II (DP2) announcement will not be considered. MDA reserves the right to limit awards under any topic, and only those proposals of superior scientific and technical quality as determined by MDA will be funded. Due to limited funding, MDA reserves the right to withdraw from negotiations at any time prior to contract award. The Government may withdraw from negotiations at any time for any reason to include matters of national security (foreign persons, foreign influence or ownership, inability to clear the firm or personnel for security clearances, or other related issues).

Please read the following MDA DP2 proposal instructions carefully prior to submitting your proposal.

Federally Funded Research and Development Centers (FFRDCs) and Support Contractors

Only Government personnel with active non-disclosure agreements will evaluate proposals. Non-Government technical consultants (consultants) to the Government may review and provide support in proposal evaluations during source selection. Consultants may have access to the offeror's proposals, may be utilized to review proposals, and may provide comments and recommendations to the Government's decision makers. Consultants will not establish final assessments of risk and will not rate or rank offerors' proposals. They are also expressly prohibited from competing for MDA SBIR/STTR awards in the SBIR/STTR topics they review and/or on which they provide comments to the Government.

All consultants are required to comply with procurement integrity laws. Consultants will not have access to proposals that are labeled by the offerors as "Government Only." Pursuant to FAR 9.505-4, the MDA contracts with these organizations include a clause which requires them to (1) protect the offerors' information from unauthorized use or disclosure for as long as it remains proprietary and (2) refrain from using the information for any purpose other than that for which it was furnished. In addition, MDA requires the employees of those support contractors that provide technical analysis to

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the SBIR/STTR Program to execute non-disclosure agreements. These agreements will remain on file with the MDA SBIR/STTR PMO.

Non-Government consultants will be authorized access to only those portions of the proposal data and discussions that are necessary to enable them to perform their respective duties. In accomplishing their duties related to the source selection process, employees of the aforementioned organizations may require access to proprietary information contained in the offerors' proposals.

II. OFFEROR SMALL BUSINESS ELIGIBILITY REQUIREMENTS

Each offeror must qualify as a small business at time of award per the Small Business Administration's (SBA) regulations at [13 CFR 121.701-121.705](#) and certify to this in the Cover Sheet section of the proposal. Small businesses that are selected for award will also be required to submit a Funding Agreement Certification document prior to award.

SBA Company Registry

Per the SBIR/STTR Policy Directive, all applicants are required to register their firm at SBA's Company Registry prior to submitting an application. Upon registering, each firm will receive a unique control ID to be used for submissions at any of the participating agencies in the SBIR/STTR programs. For more information, please visit the SBA's Firm Registration Page: <http://www.sbir.gov/registration>.

III. ORGANIZATIONAL CONFLICTS OF INTEREST (OCI)

The basic OCI rules for Contractors which support development and oversight of SBIR topics are covered in [FAR Section 9.5](#) as follows (the Offeror is responsible for compliance):

- (1) the Contractor's objectivity and judgment are not biased because of its present or planned interests which relate to work under this contract;
- (2) the Contractor does not obtain unfair competitive advantage by virtue of its access to non-public information regarding the Government's program plans and actual or anticipated resources; and
- (3) the Contractor does not obtain unfair competitive advantage by virtue of its access to proprietary information belonging to others.

All applicable rules under the [FAR Section 9.5](#) apply.

If you, or another employee in your company, developed or assisted in the development of any SBIR/STTR requirement or topic, please be advised that your company may have an OCI. Your company could be precluded from an award under this announcement if your proposal contains anything directly relating to the development of the requirement or topic. Before submitting your proposal, please examine any potential OCI issues that may exist with your company to include subcontractors and understand that if any exist, your company may be required to submit an acceptable OCI mitigation plan prior to award.

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IV. USE OF FOREIGN NATIONALS (also known as foreign persons)

See the “Foreign Nationals” section of the DoD SBIR Program Announcement for the definition of a Foreign National (also known as Foreign Persons).

ALL offerors proposing to use foreign nationals, green-card holders, or dual citizens, MUST disclose this information regardless of whether the topic is subject to export control restrictions. Identify any foreign nationals 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 an SBIR/STTR 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)).

Proposals submitted to export control-restricted topics and/or those with foreign nationals, dual citizens, or green card holders listed will be subject to security review during the contract negotiation process (if selected for award). MDA reserves the right to vet all un-cleared individuals involved in the project, regardless of citizenship, who will have access to Controlled Unclassified Information (CUI) such as export controlled information. If the security review disqualifies a person from participating in the proposed work, the contractor may propose a suitable replacement. In the event a proposed person is found ineligible by the government to perform proposed work, the contracting officer will advise the offeror of any disqualifications but may not disclose the underlying rationale. In the event a firm is found ineligible to perform proposed work, the contracting officer will advise the offeror of any disqualifications but may not disclose the underlying rationale.

V. EXPORT CONTROL RESTRICTIONS

The technology within most MDA topics is restricted under export control regulations including the International Traffic in Arms Regulations (ITAR) and the Export Administration Regulations (EAR). ITAR controls the export and import of listed defense-related material, technical data and services that provide the United States with a critical military advantage. EAR controls military, dual-use and commercial items not listed on the United States Munitions List or any other export control lists. EAR regulates export controlled items based on user, country, and purpose. The offeror must ensure that their firm complies with all applicable export control regulations. Please refer to the following URLs for additional information: <https://www.pmdotc.state.gov> and <http://www.bis.doc.gov/index.php/regulations/export-administration-regulations-ear>.

If the topic write-up indicates that the topic is subject to ITAR and/or EAR, your company may be required to submit a Technology Control Plan (TCP) during the contracting negotiation process.

VI. CLAUSE H-08 PUBLIC RELEASE OF INFORMATION (Publication Approval)

Clause H-08 pertaining to the public release of information is incorporated into all MDA SBIR/STTR contracts and subcontracts without exception. Any information relative to the work performed by the contractor under MDA SBIR/STTR contracts must be submitted to MDA for review and approval prior to

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its release to the public. This mandatory clause also includes the subcontractor who shall provide their submission through the prime contractor for MDA's review for approval.

VII. FLOW-DOWN OF CLAUSES TO SUBCONTRACTORS

The clauses to which the prime contractor and subcontractors are required to comply include, but are not limited to the following clauses: [MDA clause H-08](#) (Public Release of Information), [DFARS 252.204-7000](#) (Disclosure of Information), and [DFARS 252.204-7012](#) (Safeguarding Covered Defense Information and Cyber Incident Reporting). Your proposal submission confirms that any proposed subcontract is in accordance to the clauses cited above and any other clauses identified by MDA in any resulting contract.

VIII. OWNERSHIP ELIGIBILITY

If selected for award, MDA may request business/corporate documentation to assess ownership eligibility as related to the requirements of the [Guide to SBIR Program Eligibility](#). These documents include, but may not be limited to, the Business License; Articles of Incorporation or Organization; By-Laws/Operating Agreement; Stock Certificates (Voting Stock); Board Meeting Minutes for the previous year; and a list of all board members and officers. If requested by MDA, the contractor shall provide all necessary documentation for evaluation prior to award. Failure to submit the requested documentation in a timely manner as indicated by MDA may result in the offeror's ineligibility for further consideration for award.

IX. FRAUD, WASTE, AND ABUSE

All offerors must complete the fraud, waste, and abuse training (Volume 6) that is located on the Defense SBIR/STTR Innovation Portal (DSIP) (<https://www.dodsbirsttr.mil>). Please follow guidance provided on DSIP to complete the required training.

To report fraud, waste, or abuse, please contact:

MDA Fraud, Waste & Abuse
Hotline: (256) 313-9699
MDAHotline@mda.mil

DoD Inspector General (IG) Fraud, Waste & Abuse
Hotline: (800) 424-9098
hotline@dodig.mil

X. DP2 PROPOSAL SUBMISSION GUIDELINES AND REQUIREMENTS

Proposal Submission

The MDA SBIR 21.3 DP2 proposal submission instructions are intended to clarify the Department of Defense (DoD) instructions (<https://www.dodsbirsttr.mil>) as they apply to MDA requirements. This announcement is for MDA SBIR 21.3 DP2 topics only. The offeror is responsible for ensuring that DP2 proposals comply with all requirements. Prior to submitting your proposal, please review the latest version of these instructions as they are subject to change before the submission deadline.

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All proposals MUST be submitted online using DSIP (<https://www.dodsbirsttr.mil>). Any questions or technical issues pertaining to DSIP should be directed to the DoD SBIR/STTR Help Desk at DoDSBIRSupport@reisystems.com. It is recommended that potential offerors email the topic author(s) to schedule a time for topic discussion during the pre-release period.

Classified Proposals

Classified proposals ARE NOT accepted under the MDA SBIR/STTR Program. The inclusion of classified data in an unclassified proposal MAY BE grounds for the Agency to determine the proposal as non-responsive and the proposal not to be evaluated. Contractors currently working under a classified MDA SBIR/STTR contract must use the security classification guidance provided under that contract to verify new SBIR/STTR proposals are unclassified prior to submission. In some instances work being performed on Phase II contracts will require security clearances. If a Phase II contract will require classified work, the offeror must have a facility clearance and appropriate personnel clearances in order to perform the classified work. For more information on facility and personnel clearance procedures and requirements, please visit the Defense Counterintelligence and Security Agency Web site at: <https://www.dcsa.mil>.

Use of Acronyms

Acronyms should be spelled out the first time they are used within the technical volume (Volume 2), the technical abstract, the anticipated benefits/potential commercial applications, and the keywords section of the proposal. This will help avoid confusion when proposals are evaluated by technical reviewers.

Communication

All communication from the MDA SBIR/STTR PMO will originate from the "sbirsttr@mda.mil" email address. Please white-list this address in your company's spam filters to ensure timely receipt of communications from our office. In some instances, the MDA SBIR/STTR PMO may utilize the DoD Secure Access File Exchange (SAFE) website (<https://safe.apps.mil>) to provide information and/or documentation to offerors.

Proposal Status

The MDA SBIR/STTR PMO will distribute selection or non-selection email notices to all firms who submit a proposal. The email will be distributed to the "Corporate Official" and "Principal Investigator" listed on the proposal coversheet. MDA cannot be responsible for notification to a company that provides incorrect information or changes such information after proposal submission.

Proposal Layout

For MDA DP2 proposals, MDA has provided a template that may be used to create the technical volume, Volume 2, of the DP2 proposal. The Volume 2 template can be found here: <https://www.mda.mil/global/documents/pdf/MDA%20SBIR%20phase%20II.pdf>

All pages within the technical volume (Volume 2) must be numbered consecutively. Proposals may not exceed 25 pages, may not have a font size smaller than 10-point, must use a font type of Times New Roman, and must be submitted on standard 8-1/2" x 11" paper with one-inch margins. The header on each page of the Technical Volume should contain your company name, topic number, and proposal number assigned by DSIP. The header must be included in the one-inch margin.

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Proposal Feedback

MDA will provide written feedback to unsuccessful offerors regarding their proposals upon request. Requests for feedback must be submitted in writing to the MDA SBIR/STTR PMO within 30 calendar days of non-selection notification. Non-selection notifications will provide guidance for requesting proposal feedback.

Technical and Business Assistance (TABA)

The SBIR/STTR Policy Directive allows agencies to enter into agreements with suppliers to provide technical assistance to SBIR/STTR awardees, which may include access to a network of scientists and engineers engaged in a wide range of technologies or access to technical and business literature available through on-line databases.

All requests for TABA must be completed using the MDA SBIR/STTR Phase II TABA Form (https://www.mda.mil/global/documents/pdf/SBIR_STTR_PHII_TABA_Form.pdf) and must be included as a part of Volume 5 of the proposal package using the “Other” category. MDA WILL NOT accept requests for TABA that do not utilize the MDA SBIR/STTR Phase II TABA Form or are not uploaded using the DSIP “Other” category as part of Volume 5 of the Phase II proposal package.

An SBIR/STTR firm may acquire the technical assistance services described above on its own. Firms must request this authority from MDA and demonstrate in its SBIR/STTR proposal that the individual or entity selected can provide the specific technical services needed. In addition, costs must be included in the cost volume of the offeror’s proposal. The TABA provider may not be the requesting firm, an affiliate of the requesting firm, an investor of the requesting firm, or a subcontractor or consultant of the requesting firm otherwise required as part of the paid portion of the research effort (e.g. research partner or research institution).

If the awardee supports the need for this requirement sufficiently as determined by the Government, MDA will permit the awardee to acquire such technical assistance, in an amount up to \$10,000. This will be an allowable cost on the SBIR/STTR award. The amount will be in addition to the award and is not subject to any burden, profit or fee by the offeror. The amount is based on the original contract period of performance and does not apply to period of performance extensions and/or enhancements. Requests for TABA funding outside of the base Phase II period of performance (24 months) will not be considered.

The purpose of this technical assistance is to assist SBIR/STTR awardees in:

1. Making better technical decisions on SBIR/STTR projects;
2. Solving technical problems that arise during SBIR/STTR projects;
3. Minimizing technical risks associated with SBIR/STTR projects; and
4. Developing and commercializing new commercial products and processes resulting from such projects including intellectual property protections.

SBIR/STTR Proposal Funding

All MDA SBIR/STTR contracts are funded with 6.2/6.3 funding which is defined as:

1. Applied Research (6.2), Systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met.

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2. Advanced Technology Development (6.3), Includes all efforts that have moved into the development and integration of hardware for field experiments and tests.

As stated in Section VI “CLAUSE H-08 PUBLIC RELEASE OF INFORMATION”, MDA requires prior review and approval before public release of any information arising from STTR-sponsored research. As such, MDA does not consider STTR-sponsored research as fundamental research.

Protests Procedures

Refer to the DoD Program Announcement for procedures to protest the Announcement.

As further prescribed in FAR 33.106(b), FAR 52.233-3, Protests after Award should be submitted to:
Tina Barnhill | 256-450-2817 | sbristtr@mda.mil

Proposal Submission Requirements and Proposal Format

Proposals submitted to an MDA SBIR DP2 topic must provide documentation to substantiate that the scientific and technical merit and feasibility described in the Phase I section of the topic has been met and describes the potential commercial applications. Documentation should include all relevant information including, but not limited to: technical reports, test data, prototype designs/models, and performance goals/results. Work submitted within the proposal must have been substantially performed by the offeror and/or the principal investigator (PI).

A complete DP2 proposal consists of five volumes (six if including letters of support and/or Technical and Business Assistance (TABAs) funding):

- Volume 1: Proposal Cover Sheet
- Volume 2: Technical Volume (**25 page maximum**)
- Volume 3: Cost Volume
- Volume 4: Company Commercialization Report
- Volume 5: Contractor Certification Regarding Provision of Prohibited Video Surveillance and Telecommunications Services and Equipment (required), Foreign Ownership or Control Disclosure (Proposers must review Attachment 2 in the DoD SBIR 21.3 BAA: Foreign Ownership or Control Disclosure to determine applicability), Letters of Supports (optional), and/or Technical and Business Assistance (optional).
- Volume 6: Fraud, Waste, and Abuse Certification

Volume 1 – Proposal Coversheet (Required)

- A coversheet will be automatically generated by DSIP and placed at the beginning of your PDF proposal package document.

Volume 2 – Technical Volume (Required – 25 page maximum)

- Use of the MDA provided DP2 template is recommended. The template can be obtained at the following URL:
<https://www.mda.mil/global/documents/pdf/MDA%20SBIR%20phase%20II.pdf>. The technical volume should include the following 11 sections:

(1) Executive Summary.

Provide a summary of the key objectives that will be accomplished in the DP2 effort.

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(2) **Phase I Proof of Feasibility.**

The offeror must describe work performed that substantiates Phase I feasibility as described in the topic. Feasibility documentation cannot be based upon any ongoing federally funded SBIR or STTR work and DP2 proposals MUST NOT extend from any ongoing federally funded Phase I SBIR or STTR work.

Proposers interested in participating in DP2 must include Phase I feasibility documentation that substantiates the scientific and technical merit and ensure that the Phase I feasibility described in the topic has been met (i.e., the small business must have performed a proof of concept “Phase I”-type research and development related to the topic, but feasibility documentation MUST NOT be solely based on work performed under prior or ongoing federally funded SBIR/STTR Phase I work) and describe the potential commercialization applications. The documentation provided must validate that the proposer has completed development of technology as stated in Phase I above in previous work or research completed. Documentation should include all relevant information including, but not limited to: technical reports, test data, prototype designs/models, and performance goals/results. Work submitted within the feasibility documentation must have been substantially performed by the proposer and/or the principal investigator (PI).

Provide documentation to substantiate that the scientific and technical merit and feasibility described in the Phase I section of the topic has been met and describes the potential commercial applications. Documentation should include all relevant information including, but not limited to: technical reports, test data, prototype designs/models, and performance goals/results.

Work submitted within the feasibility documentation must have been substantially performed by the proposer and/or the principal investigator (PI).

(3) **Description of Proposed DP2 Technical Effort and Objectives.**

Define the specific technical problem or opportunity addressed and its importance.

(4) **Phase II Technical Objective and Statement of Work.**

Enumerate the specific objectives of the Phase II work, and describe the technical approach and methods to be used in meeting these objectives. The statement of work should provide an explicit, detailed description of the Phase II approach, indicate what is planned, how and where the work will be carried out, a schedule of major events and the final product to be delivered. 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 total proposal.

(5) **Related Work.**

Describe significant activities directly related or similar to the proposed effort, including any conducted by the principal investigator, the proposing firm, consultants, or stakeholders. Describe how these activities interface with the proposed project and discuss any planned coordination with outside sources. The proposal must accentuate its state-of-the-art technology and how it relates to the topic to capture the Government’s interest for further development. In addition, please indicate whether

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your firm has performed on a classified government contract in the past as either a prime or subcontractor.

(6) Relationship with Future Research or Research and Development.

State the anticipated results if the project is successful. Discuss the significance of the Phase II effort in providing a foundation for Phase III research and development or commercialization.

(7) Key Personnel.

Identify at least two key personnel who will be involved in the Phase II effort including information on directly related education and experience. A concise resume of the Principal Investigator (PI) that includes a list of relevant publications (if any) authored by the PI, must be submitted. All resumes count toward the page limitation in the technical volume.

- a) **Foreign Persons:** ALL offerors proposing to use foreign persons, green-card holders, or dual citizens, MUST disclose this information regardless of whether the topic is subject to export control restrictions. Identify any foreign nationals 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 an SBIR/STTR 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)).

Proposals submitted to export control-restricted topics and/or those with foreign nationals, dual citizens, or green-card holders listed will be subject to security review during the contract negotiation process (if selected for award). MDA reserves the right to vet all un-cleared individuals involved in the project, regardless of citizenship, who will have access to Controlled Unclassified Information (CUI) such as export controlled information. If the security review disqualifies a person from participating in the proposed work, the contractor may propose a suitable replacement. In the event a proposed person is found ineligible by the government to perform proposed work, the contracting officer will advise the offeror of any disqualifications but may not disclose the underlying rationale. In the event a firm is found ineligible to perform proposed work, the contracting officer will advise the offeror of any disqualifications but may not disclose the underlying rationale.

(8) Facilities/Equipment

Describe the equipment and physical facilities necessary to carry out the Phase II effort. Items of equipment to be purchased (as detailed in the cost proposal) shall be justified under this section. Also, certify that the facilities where the proposed work that will be performed meet environmental laws and regulations of federal, state (name), and local governments (name) for, but not limited to, the following groupings: airborne

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emissions, waterborne effluents, external radiation levels, outdoor noise, solid and bulk waste disposal practices, and handling and storage of toxic and hazardous materials.

(9) 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 described in detail and identified in the Cost Volume. A minimum of one-half of the research and/or analytical work in Phase II, as measured by direct and indirect costs, must be carried out by the offeror, unless otherwise approved in writing by the Contracting Officer.

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

While it is permissible to submit identical proposals or proposals containing a significant amount of essentially equivalent work for consideration under numerous federal program solicitations or Broad Agency Announcements (BAA), it is unlawful to enter into contracts or grants requiring essentially equivalent effort. If there is any question concerning prior, current, or pending support of similar proposals or awards, it must be disclosed to the soliciting agency or agencies as early as possible.

(11) Commercialization Strategy.

The Commercialization Strategy must address the following questions:

- a) What is the first product that this technology will go into (identify the components of the Missile defense System (MDS) and areas within the commercial marketplace where you can transition this technology)?
- b) Who will be your customers, and what is your estimate of the market size?
- c) How much funding will you need to bring the technology to market, how will you acquire the necessary funds, and how do you expect to integrate this technology into the MDS?
- d) Does your company have marketing expertise? If yes, please elaborate. If not, how do you intend to bring that expertise into the company?
- e) Who are your competitors, and what makes you more competitive with your technology?

The commercialization strategy must also include a schedule showing the quantitative commercialization results from the Phase II project at one year after the start of Phase II, at the completion of Phase II, and after the completion of Phase II (i.e., amount of additional investment, sales revenue, etc.). After Phase II award, the company is required to report actual sales and investment data in its Company Commercialization Report at least annually.

Volume 3 – Cost Volume (Required)

Complete the on-line cost proposal in DSIP. Your cost volume may not exceed \$1,700,000 (or \$1,710,000 if TABA is included – use of the [MDA Phase II TABA form](#) is required if applying for TABA). Proposals whose cost volumes exceed \$1,700,000 (or \$1,710,000 if TABA is included) will not be evaluated or considered for award.

Volume 4 – Company Commercialization Report (CCR) (Required)

. Information contained in the CCR will not be considered during proposal evaluations.

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The Company Commercialization Report (CCR) allows companies to report funding outcomes resulting from prior SBIR and STTR awards. SBIR and STTR awardees are required by SBA to update and maintain their organization's CCR on SBIR.gov. Commercialization information is required upon completion of the last deliverable under the funding agreement. Thereafter, SBIR and STTR awardees are requested to voluntarily update the information in the database annually for a minimum period of 5 years.

If the proposing firm has prior DoD and/or non-DoD Phase I and/or Phase II SBIR/STTR awards, regardless of whether the project has any commercialization to date, a PDF of the SBA CCR must be downloaded from SBIR.gov and uploaded to the Firm Forms section of DSIP by the Firm Admin. Firm Forms are completed by the DSIP Firm Admin and are applied across all proposals the firm submits. The DSIP CCR requirement is fulfilled by completing the following:

1. Log into the firm account at <https://www.sbir.gov/>.
2. Navigate to My Dashboard > My Documents to view or print the information currently contained in the Company Registry Commercialization Report.
3. Create or update the commercialization record, from the company dashboard, by scrolling to the "My Commercialization" section, and clicking the create/update Commercialization tab under "Current Report Version". Please refer to the "Instructions" and "Guide" documents contained in this section of the Dashboard for more detail on completing and updating the CCR.
Ensure the report is certified and submitted.
4. Click the "Company Commercialization Report" PDF under the My Documents section of the dashboard to download a PDF of the CCR.
5. Upload the PDF of the CCR (downloaded from SBIR.gov in previous step) to the Company Commercialization Report in the Firm Forms section of DSIP. This upload action must be completed by the Firm Admin.

This version of the CCR, uploaded to DSIP from SBIR.gov, is inserted into all proposal submissions as Volume 4.

During proposal submission, the proposer will be prompted with the question: "Do you have a new or revised Company Commercialization Report to upload?". There are three possible courses of action:

- a. If the proposing firm has prior DoD and/or non-DoD Phase I and/or Phase II SBIR/STTR awards, and **DOES have a new or revised CCR from SBIR.gov to upload to DSIP**, select YES.
 - If the user is the Firm Admin, they can upload the PDF of the CCR from SBIR.gov directly on this page. It will also be updated in the Firm Forms and be associated with all new or in-progress proposals submitted by the firm. If the user is not the Firm Admin, they will receive a message that they do not have access and must contact the Firm Admin to complete this action.
 - **WARNING:** Uploading a new CCR under the Firm Forms section of DSIP or clicking "Save" or "Submit" in Volume 4 of one proposal submission is considered a change for ALL proposals under any open BAAs or CSOs. If a proposing firm has previously certified and submitted any Phase I or Direct to Phase II proposals under **any** BAA or CSO **that is still open**, those proposals will be automatically reopened. Proposing firms will have to recertify and resubmit such proposals. If a proposing firm does not recertify or resubmit such proposals, they will not be considered fully submitted and will not be evaluated.

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- b. If the proposing firm has prior DoD and/or non-DoD Phase I and/or Phase II SBIR/STTR awards, and **DOES NOT have a new or revised CCR from SBIR.gov to upload to DSIP**, select NO.
- If a prior CCR was uploaded to the Firm Forms, the proposer will see a file dialog box at the bottom of the page and can view the previously uploaded CCR. This read-only access allows the proposer to confirm that the CCR has been uploaded by the Firm Admin.
 - If no file dialog box is present at the bottom of the page that is indication that **there is no previously uploaded CCR in the DSIP Firm Forms**. To fulfill the DSIP CCR requirement the Firm Admin must follow steps 1-5 listed above to download a PDF of the CCR from SBIR.gov and upload it to the DSIP Firm Forms to be included with all proposal submissions.
- c. If the proposing firm has **NO** prior DoD and/or non-DoD Phase I and/or Phase II SBIR/STTR awards, the upload of the CCR from SBIR.gov is not required and firm will select NO. The CCR section of the proposal will be marked complete.

Volume 5 – Supporting Documents

MDA will only accept the following four documents as part of Volume 5:

1. Contractor Certification Regarding Provision of Prohibited Video Surveillance and Telecommunications Services and Equipment (Required).
2. Foreign Ownership or Control Disclosure (Proposers must review Attachment 2 in the DoD SBIR 21.3 BAA: Foreign Ownership or Control Disclosure to determine applicability)
3. Request for TABA using the MDA [Phase II TABA form](#) (optional).
4. Letters of support (optional).

If including a request for TABA, the [Phase II TABA Form](#) MUST be completed and uploaded using the “Other” category within Volume 5 of DSIP.

If including letters of support, they MUST be uploaded using the “Letters of Support” category within Volume 5 of DSIP. A qualified letter of support is from a relevant commercial or Government Agency procuring organization(s) working with MDA, articulating their pull for the technology (i.e., what MDS need(s) the technology supports and why it is important to fund it), and possible commitment to provide additional funding and/or insert the technology in their acquisition/sustainment program. Letters of support shall not be contingent upon award of a subcontract.

Any documentation other than the prohibited Video Surveillance and Telecommunications Services and Equipment form, Foreign Ownership or Control Disclosure, letter(s) of support, or requests for TABA included as part of Volume 5 WILL NOT be considered.

Volume 6 – Fraud, Waste, and Abuse Certification (Required)

All offerors must complete the fraud, waste, and abuse training that is located on DSIP.

XI. REFERENCES TO HARDWARE, COMPUTER SOFTWARE, OR TECHNICAL DATA

In accordance with the SBIR/STTR Policy Directive, SBIR contracts are to conduct feasibility-related experimental or theoretical Research/Research & Development (R/R&D). Phase II is not for formal end-item contract delivery or ownership by the Government of the contractor’s hardware, computer software, or technical data.

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The SBIR/STTR Policy Directive states that Agencies may issue Phase II awards for testing and evaluation of products, services, or technologies for use in technical or weapons systems.

As a result, the technical proposal should not use the term "Deliverables" when referring to your hardware, computer software, or technical data. Instead use the term: "Products for Testing, Evaluation, and/or Demonstration (possibly destruction)."

The standard formal deliverables for a Phase II are the:

- (a) Report of Invention and Disclosure
- (b) Contract Summary Report: Final Report
- (c) Certificate of Compliance: SBIR_STTR Life-Cycle Certification
- (d) Status Report: Quarterly Status Reports
- (e) Computer Software Product: Product Description (if applicable, for Government Testing, Evaluation, and/or Demonstration ONLY)
- (f) Technical Report - Study Services: Prototype Design and Operation Document
- (g) Contract Summary Report: Phase III Plan
- (h) Final Summary Chart: SBIR/STTR Transition Summary Chart
- (i) Government Property Inventory Report: Government Furnished Property (GFP) and Contractor Acquired Property (CAP) Listing

XII. 52.203-5 COVENANT AGAINST CONTINGENT FEES

As prescribed in FAR 3.404, the following FAR 52.203-5 clause shall be included in all contracts awarded under this BAA:

(a) The Contractor warrants that no person or agency has been employed or retained to solicit or obtain this contract upon an agreement or understanding for a contingent fee, except a bona fide employee or agency. For breach or violation of this warranty, the Government shall have the right to annul this contract without liability or to deduct from the contract price or consideration, or otherwise recover, the full amount of the contingent fee.

(b) Bona fide agency, as used in this clause, means an established commercial or selling agency, maintained by a contractor for the purpose of securing business, that neither exerts nor proposes to exert improper influence to solicit or obtain Government contracts nor holds itself out as being able to obtain any Government contract or contracts through improper influence.

"Bona fide employee," as used in this clause, means a person, employed by a contractor and subject to the contractor's supervision and control as to time, place, and manner of performance, who neither exerts nor proposes to exert improper influence to solicit or obtain Government contracts nor holds out as being able to obtain any Government contract or contracts through improper influence.

"Contingent fee," as used in this clause, means any commission, percentage, brokerage, or other fee that is contingent upon the success that a person or concern has in securing a Government contract.

"Improper influence," as used in this clause, means any influence that induces or tends to induce a Government employee or officer to give consideration or to act regarding a Government contract on any basis other than the merits of the matter.

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XIII. MDA PROPOSAL EVALUATIONS

MDA will evaluate DP2 proposals using scientific review criteria based upon technical merit and other criteria as discussed in this document. MDA reserves the right to award none, one, or more than one contract under any topic. MDA is not responsible for any money expended by the offeror before award of any contract.

DP2 proposals will be evaluated based on the criteria outlined below, including potential benefit to the MDS. Selections will be based on best value to the Government considering the following factors:

- a) The soundness, technical merit, and innovation of the proposed approach and its incremental progress toward topic or subtopic solution.
- b) The qualifications of the proposed principal/key investigators, supporting staff, and consultants. Qualifications include not only the ability to perform the research and development but also the ability to commercialize the results.
- c) The potential for commercial (Government or private sector) application and the benefits expected to accrue from its commercialization.

Please note that potential benefit to the MDS will be considered throughout all the evaluation criteria and in the best value trade-off analysis. When combined, the stated evaluation criteria are significantly more important than cost or price.

It cannot be assumed that reviewers are acquainted with the firm or key individuals or any referenced experiments. Technical reviewers will base their conclusions on information contained in the proposal. Relevant supporting data such as journal articles, literature, including Government publications, etc., should be contained in Volume 2 and will count toward the applicable page limit. Qualified letters of support and/or requests for TABA, if included, MUST be uploaded as part of Volume 5 and will not count towards the Volume 2 page limit. Letters of support shall not be contingent upon award of a subcontract.

All Phase II awardees must have a Defense Contract Audit Agency (DCAA) approved accounting system. It is strongly urged that an approved accounting system be in place prior to the MDA Phase II award timeframe. If you do not have a DCAA approved accounting system, this will delay/prevent Phase II contract award. Please reference www.dcaa.mil/small_business/Accounting_System.pdf for more information on obtaining a DCAA approved accounting system.

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MDA SBIR 21.3 Direct to Phase II Topic Index

MDA21-D001	Secure Collaboration Environment
MDA21-D002	Algorithms for Radar Clutter Mitigation

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MDA21-D001 TITLE: Secure Collaboration Environment

OUSD (R&E) MODERNIZATION PRIORITY: Artificial Intelligence/ Machine Learning, Cybersecurity

TECHNOLOGY AREA(S): Information Systems

The technology within this topic is restricted under the International Traffic in Arms Regulation (ITAR), 22 CFR Parts 120-130, which controls the export and import of defense-related material and services, including export of sensitive technical data, or the Export Administration Regulation (EAR), 15 CFR Parts 730-774, which controls dual use items. Offerors must disclose any proposed use of foreign nationals (FNs), their country(ies) of origin, the type of visa or work permit possessed, and the statement of work (SOW) tasks intended for accomplishment by the FN(s) in accordance with section 3.5 of the Announcement. Offerors are advised foreign nationals proposed to perform on this topic may be restricted due to the technical data under US Export Control Laws.

OBJECTIVE: Create a secure environment for collaboration between small businesses and government personnel and provide a central location for Small Business Innovation Research (SBIR) / Small Business Technology Transfer (STTR) knowledge management.

DESCRIPTION: Industry and government organizations require access to collaborative data repositories that are tightly controlled with cyber secure protocols, Risk Management Framework (RMF) compliance, and role-based access controls, resulting in the implementation of DFARS Clause 252.204-7012, Safeguarding Covered Defense Information and Cyber Incident Reporting. This regulation can be costly to small businesses with limited resources, hindering their ability to exchange innovative ideas and research with government entities. Another challenge facing most small business employees is the inability to send encrypted emails due to the lack of a Common Access Card (CAC) or the required certificates, making secure collaboration difficult. Current processes for collaboration are not only an issue for small businesses lacking the necessary tools for security, but create an environment for the unnecessary duplication of data and a cumbersome data management environment. For example, MDA has various requirements for multiple organizational entities to manage and store data, resulting in the accumulation of storage costs and version tracking issues. There are also a number of deadlines for each group or organization that must be tracked independently by both the companies and multiple government staff. This topic seeks a mature concept for the development of a collaborative repository that:

- [1] Leverages advanced techniques (i.e., Artificial Intelligence/Machine Learning (AI/ML)) techniques to ensure the security of transferring data
- [2] Leverages advanced techniques (i.e., AI/ML) to organically address the data management issue to appropriately distribute and track data, including deliverables, to all relevant project participants and archival repositories
- [3] Provides architectural flexibility to seamlessly integrate future plug-ins and supplemental tools (e.g., advance search engines, source code repositories, etc.)
- [4] Employs two-factor authentication methods that do not restrict small businesses to the use of a CAC and/or a username/complex password combination
- [5] Encrypts communication while also preserving the integrity and non-repudiation of the message
- [6] Implements the Least Privilege principle
- [7] Monitors and audits user activity and data movement
- [8] Provides authorized users with reminders of upcoming deadlines as established in the CDRLs

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[9] Contains intrinsic virus scanning as part of the transfer process

[10] Capable of being deployed on a DoD unclassified network

PHASE I: This is a Direct to Phase 2 (D2P2) topic. “Phase I”-like proposals will not be evaluated and will be rejected as nonresponsive. For this topic, the Government expects that the small business would have accomplished the following in a Phase I-like effort via some other means, e.g., independent research and development (IRAD) or other source, a concept for a workable prototype or design to address, at a minimum, the basic capabilities of the stated objective above. **Proposals must show, as appropriate, a demonstrated technical feasibility or nascent capability of virtual reality and/or telepresence and techniques compatible with low latency communications and/or data transfer.**

Proposal may provide example cases of this new capability on a specific application. The documentation provided must substantiate the proposer’s development of a preliminary understanding of the technology to be applied in their Phase II proposal in meeting topic objectives. Documentation should comprise all relevant information including, but not limited to, technical reports, test data, prototype designs/models, and performance goals/results.

Feasibility documentation: Proposers interested in participating in Direct to Phase II must include in their responses to this topic Phase I feasibility documentation that substantiates the scientific and technical merit and Phase I feasibility described in Phase I above has been met (i.e., the small business must have performed a proof of concept “Phase I”-type research and development related to the topic, but feasibility documentation MUST NOT be solely based on work performed under prior or ongoing federally funded SBIR/STTR Phase I work) and describe the potential commercialization applications. The documentation provided must validate that the proposer has completed development of the technology as stated in Phase I above in previous work or research completed. Documentation should include all relevant information including, but not limited to: technical reports, test data, prototype designs/models, and performance goals/results. Work submitted within the feasibility documentation must have been substantially performed by the proposer and/or the principal investigator (PI).

PHASE II: Develop and demonstrate an innovative solution satisfying, or being capable of satisfying, requirements (1) through (10) outlined in this topic’s “Description” section. Conduct software scans and develop detailed documentation sufficient for the software Cybersecurity Maturity Model Certification (CMMC) process (per requirement (10)) to enable the software to be placed into a government provided test environment. Demonstrate the solution’s capabilities in the government test environment and with either external or simulated external users.

PHASE III DUAL USE APPLICATIONS: Deploy the collaborative environment within the government unclassified network and relevant external non-CAC using organizations. Upgrade the solution’s capabilities to fully satisfy requirements (1) through (10) and improvements based upon feedback from Phase II demonstration and initial users emphasizing security, usability, accessibility, and reliability.

REFERENCES:

1. https://www.nist.gov/system/files/documents/2018/10/18/cui18oct2018-104501145-dod_dfars-michetti-thomas.pdf
2. <https://www.acq.osd.mil/dpap/policy/policyvault/USA002829-17-DPAP.pdf>
3. <https://csrc.nist.gov/publications/detail/sp/800-171/rev-2/final>

KEYWORDS: Cybersecurity, Collaboration, Information Management, Task Management, Machine Learning, Artificial Intelligence

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MDA21-D002 TITLE: Algorithms for Radar Clutter Mitigation

OUUSD (R&E) MODERNIZATION PRIORITY: Autonomy; Artificial Intelligence/ Machine Learning

TECHNOLOGY AREA(S): Ground Sea, Sensors

The technology within this topic is restricted under the International Traffic in Arms Regulation (ITAR), 22 CFR Parts 120-130, which controls the export and import of defense-related material and services, including export of sensitive technical data, or the Export Administration Regulation (EAR), 15 CFR Parts 730-774, which controls dual use items. Offerors must disclose any proposed use of foreign nationals (FNs), their country(ies) of origin, the type of visa or work permit possessed, and the statement of work (SOW) tasks intended for accomplishment by the FN(s) in accordance with section 3.5 of the Announcement. Offerors are advised foreign nationals proposed to perform on this topic may be restricted due to the technical data under US Export Control Laws.

OBJECTIVE: Develop and demonstrate Artificial Intelligence/Machine Learning enhanced clutter mitigation algorithms for radars to identify targets in cluttered backgrounds.

DESCRIPTION: Viewing targets in complex radar scenes with many clutter objects, such as thrust termination or separation debris, chuff, chaff, and post intercept debris presents a challenging discrimination scene to the radar. Proposed algorithms should mitigate these issues. Desire ability to maximize lethal object discrimination in complex radar scenes using training data sets spanning a range of threats, objects, energies, and aspect angles. Proposed efforts should focus on ship based radars.

PHASE I: This is a Direct to Phase 2 (D2P2) topic. "Phase I"-like proposals will not be evaluated and will be rejected as nonresponsive. For this topic, the Government expects the small business would have accomplished the following in a Phase I-like effort via some other means, e.g., independent research and development (IRAD) or other source, a concept for a workable prototype or design to address, at a minimum, the basic capabilities of the stated objective above. Proposals must show, as appropriate, a demonstrated technical feasibility or nascent capability of virtual reality and/or telepresence and techniques compatible with low latency communications and/or data transfer. Proposals may provide example cases of this new capability on a specific application. The documentation provided must substantiate the proposer's development of a preliminary understanding of the technology to be applied in their Phase II proposal in meeting topic objectives. Documentation should comprise all relevant information including, but not limited to, technical reports, test data, prototype designs/models, and performance goals/results.

Feasibility documentation: Proposers interested in participating in Direct to Phase II must include in their responses to this topic Phase I feasibility documentation that substantiates the scientific and technical merit and Phase I feasibility described in Phase I above has been met (i.e., the small business must have performed proof of concept "Phase I"-type research and development related to the topic, but feasibility documentation **MUST NOT** be solely based on work performed under prior or ongoing federally funded SBIR/STTR Phase I work) and describe the potential commercialization applications. The documentation provided must validate that the proposer has completed development of the technology as stated in Phase I above in previous work or research completed. Documentation should include all relevant information including, but not limited to: technical reports, test data, prototype designs/models, and performance goals/results. Work submitted within the feasibility documentation must have been substantially performed by the proposer and/or the principal investigator (PI).

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PHASE II: Develop and demonstrate an innovative solution satisfying, or being capable of satisfying, project goals. Demonstrate the solution's capabilities in the government test environment and with test and validation data sets. Delivered software must be sufficiently cyber resilient and accompanied with cyber documentation to get approvals for loading on government networks that will be used for its testing.

PHASE III DUAL USE APPLICATIONS: Dual use applications might include radars for weather, navigation, air traffic control, and similar civil uses.

REFERENCES:

1. M. Liu, R. Wang and C. Hu, "Identification and suppression of clutter using machine learning method," 2019 IEEE International Conference on Signal, Information and Data Processing (ICSIDP), 2019, pp. 1-4, doi: 10.1109/ICSIDP47821.2019.9173283.
2. D. Callaghan, J. Burger and A. K. Mishra, "A machine learning approach to radar sea clutter suppression," 2017 IEEE Radar Conference (RadarConf), 2017, pp. 1222-1227, doi: 10.1109/RADAR.2017.7944391.

KEYWORDS: Artificial Intelligence, Machine Learning, radar, signal processing

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