

Proposal Number:

(Company Name/Logo)

Topic Number:

TITLE

Phase II Volume 2: Technical Volume

Black: Recommended Verbiage

Red: Evaluation Criteria – to be deleted after initial draft.

Blue: Solicitation Instructions – to be deleted after initial draft.

The Technical Volume is limited to 15 pages. No type smaller than 10-point on standard 8-1/2" x 11" paper with one-inch margins.

SELECTION METHODOLOGY AND EVALUATION CRITERIA	
All Phase II proposals will be evaluated on a competitive basis. Proposals will be peer reviewed based on the criteria below. Each proposal will be evaluated on its own merits. Selections will represent the best value to the Government. The following three (3) non-cost/price factors will be considered in descending order of importance:	
CRITERIA I: Technical Approach a. The clarity of the problem statement, technical approach, soundness, technical merit, and innovation of the proposed technical approach. b. The differentiation from current customer alternatives. c. Includes the proposed Principal Investigators'/Project Managers', supporting staff, and consultants' qualifications to execute the proposed approach.	
CRITERIA II: Defense Need The Defense Need being fulfilled and ability of the proposal to impact that Defense Need a. The appropriateness, relevance, and specificity of an identified Defense Need. A complete and compelling CM using the mandatory template, signed by an appropriate end-user, customer, and TPOC indicates the appropriateness, relevance, and specificity of an identified Defense Need. While not required, signed letters of support from other government personnel may be indicators of the appropriateness, relevance, and specificity of an identified Defense Need. b. Adequacy of the proposed effort and its relationship to fulfilling the identified Defense Need. c. The level of defense mission impact and urgency of the Defense Need. d. The breadth of applicability of the solution.	

This proposal contains information that shall not be disclosed outside the Federal Government and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of this proposal, unless authorized by law. The Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract if award is made as a result of the submission of this proposal. The information subject to these restrictions are contained on all pages of the proposal.

CRITERIA III: Commercialization

- a. The potential for government or private sector commercialization and benefits expected to accrue from commercialization. Department of the Air Force (DAF) – 5
- a. The Small Business Concern's (SBC) record of commercializing SBIR or other research, as indicated by pre-sales, pilots, sales, revenue, active users, subscriptions, downloads, and/or other forms of traction/adoption.
- b. The size of the market and potential for revenue.
- c. The clarity of the SBC's business plan.
- e. The existence of Phase II follow-on commitments for the subject research, and funding commitments related to the subject effort, whether from government sources, as documented in the DAF Customer Memorandum (CM), or private sources, as documented through a letter of commitment, are evidence of commercialization potential.
- f. A sound transition strategy in the DAF CM is also evidence of commercialization potential.

All evaluation criteria, other than cost or price, when combined, are significantly more important than cost or price. Where technical evaluations are essentially equal in merit, cost and/or price will be considered in determining successful applicants.

The DAF will accept proposals from Small Business Concerns (SBCs) that are owned in majority by multiple venture capital operating companies, hedge funds, or private equity firms in response to this solicitation. In accordance with 15 United States Code (U.S.C). 638(dd), the Air Force is prohibited from awarding more than 15% of its SBIR budget to SBCs with the previously mentioned ownership structures. In addition to the criteria above, once the value of selected proposals from such SBCs reaches 15% of the DAF's SBIR budget, proposals from such SBCs will no longer be considered for award.

Price reasonableness and realism will be considered to the extent appropriate. IAW 15 USC 638(dd)(7), investment by venture capital, private equity firms, or hedge funds shall not be used as an award criterion.

Peer reviewers will base their conclusions only on information contained in the proposals. It cannot be assumed reviewers are acquainted with the SBC, key individuals, or referenced experiments.

Other Factors Considered During the Selection Process:

- National security concerns.
- Pursuant to EO 13329, high priority is accorded to proposals advancing innovation in U.S. small business manufacturing.
- The Energy Independence and Security Act of 2007 (Act), 19 December 2007, P.L. 110-140, requires SBIR/STTR agencies to give high priority to energy efficiency or renewable energy system R&D projects. The Act encourages eligible US-owned SBCs accomplishing biomedical research in the areas of energy efficiency or renewable energy systems to submit proposals.

In accordance with Section 4 of the SBIR and STTR Extension Act of 2022, the DAF will review all proposals submitted in response to this CSO to assess security risks presented by small business concerns

seeking a Federally funded award. The DOD will use information provided by the small business concern

in response to the Disclosure of Foreign Affiliations or Relationships to Foreign Countries and the proposal to conduct a risk-based due diligence review on the cybersecurity practices, patent analysis,

employee analysis, and foreign ownership of a small business concern, including the small business concern and employees of the small business concern to a foreign country, foreign person, or foreign entity. The DAF will also assess proposals utilizing open-source analysis and analytical tools, for the nondisclosures of the information set forth in 15 U.S.C. 638(g)(13). If the DOD assesses that a small business concern has security risk(s), the DOD will review the proposal, the evaluation, and the security risks and may choose to either 1) create a plan to mitigate the risk(s) or 2) the DOD may decide not to select the proposal for award based upon a totality of the review.

Denial of Awards

The DAF will not make an award under the SBIR program if it determines that—

(A) the small business concern submitting the proposal –

(i) has an owner or covered individual that is party to a malign foreign talent recruitment program;

(ii) has a business entity, parent company, or subsidiary located in the People’s Republic of China or another foreign country of concern; or

(iii) has an owner or covered individual that has a foreign affiliation with a foreign entity located in the People’s Republic of China or another foreign country of concern; and

(B) the relationships and commitments described in clauses (i) through (iii) of subparagraph (A)—

(i) interfere with the capacity for activities supported by the DoD to be carried out;

(ii) create duplication with activities supported by the DoD;

(iii) present concerns about conflicts of interest;

(iv) were not appropriately disclosed to the DoD;

(v) violate Federal law or terms and conditions of contracts or other agreements awarded by the DoD;

or

(vi) pose a risk to national security.

The DAF will also assess proposals utilizing open-source analysis and analytical tools, for the nondisclosures of the information set forth in 15 U.S.C. 638(g)(13). If DoD assesses that a small business concern has security risk(s), DoD will review the proposal, the evaluation, and the security risks and may choose either to:

1) Create a plan to mitigate the risk(s) or

2) Decide not to select the proposal for award based upon a totality of the review of the circumstances described in B(i) through B(vi) and the relationships or commitments outlined in A(i) through A(iii).

Proposal Number:

(Company Name/Logo)

Topic Number:

TABLE OF CONTENTS

1. Technical Summary	Error! Bookmark not defined.
2. Phase II Work Plan	Error! Bookmark not defined.
3. Commercialization Strategy	Error! Bookmark not defined.
4. Key Personnel	Error! Bookmark not defined.
5. Related Work	Error! Bookmark not defined.

GLOSSARY

Include a glossary of acronyms and abbreviations used in the proposal. Does NOT count against the 15 page limit.

DAF	Department of the Air Force
DHS	Department of Homeland Security
DoD	Department of Defense
FEMA	Federal Emergency Management Agency
FOC	Full Operating Capability
GSA	General Services Administration
IOC	Initial Operating Capability

1. TECHNICAL SUMMARY

1.1 Identification and Significance of the Problem or Opportunity

Briefly describe the specific problem/opportunity addressed in the feasibility study and its relationship to the Phase II effort.

1.2 Department of the Air Force Operational Imperatives

Identify which of the 7 DAF Operational Imperatives the proposed solution addresses or otherwise reference "BLUE SKY", and include an explanation of the solution's ability to provide increased strategic capability within the context of AF, national, and global constraints.

Additional information on DAF Operational Imperatives can be found at

https://www.af.mil/Portals/1/documents/2023SAF/OPERATIONAL_IMPARITIVES_INFOGRAPHIC.pdf

1.3 Non-Defense Commercial Solution

Describe the non-Defense commercial solution, including its use by non-Defense commercial customers. Describe its technical specifications as well as the qualitative and quantitative value it brings to the solution's users. Relevant supporting data such as journal articles, literature, Government publications, etc., should be contained or referenced in the proposal and will count toward the page limit.

Additionally, answer the following questions:

Does the proposed solution represent an entirely novel standalone solution, or does it modify/build upon an existing product or service?

Has the proposed solution been (i) sold, leased, or licensed to the public; OR (ii) offered for sale, lease, or license to the public? Provide quantifiable data evidencing this sale, lease, or licensing.

What is the non-defense market opportunity of your proposed solution? Can this be quantified or described?

Is the proposed item "of a type", i.e., similar to a commercial item, customarily used by the public or by non-Governmental entities for non-Governmental purposes?

What are the end-user use cases for the proposed solution and how does the proposed solution fulfill these use cases?

How is the proposed solution different from similar competitor solutions?

What are the proposed solution's technical risks and how are they mitigated?

What is the proposed solution's technical readiness level, and have any previous results shown the technology's viability?

Include, where applicable pre-sales, pilots, sales, revenue, active users, subscriptions, downloads, and/or other forms of traction/adoption for the **proposed** solution.

Broad adoption and commercial success can be indicators of commercial potential and reduced technical risk, but are not mandated. **Clearly delineate between the proposed solution's commercial success and the overall company's success.**

This is an RDT&E solicitation, not a Commercial-Off-the-Shelf resale solicitation. See FAR 2.101 for a full definition of commercial items.

1.4 Proposed Adaptation of Non-Defense Commercial Solution

Describe the proposed R/R&D adaptation of, or the T&E (strictly for use in technical or weapons systems), to be performed on the non-Defense commercial solution to meet a US Government end-user need. In this section, answer the following questions:

- How similar is the modified item to others sold in the commercial marketplace to non-US Government customers?
- Does the supplier perform similar modifications for non-US Government customers?
- Do DAF unique modifications change the product's essential use and purpose?
- Are there differences in the production/manufacturing/delivery processes used to perform the modification for the Federal Government versus non-Government customers?
- What are the quantitative benefits expected for identified DAF end-users?
- When adapting the commercial solution, what is the intended Commercial-Off-the-Shelf (COTs) or commercial product/process modification? Explain.
- If applicable, what Test & Evaluation will be performed on the solution, and what Technical or Weapons System will the solution be integrated into? What is the desired outcome of that T&E?

1.5 Phase I-Type 'Feasibility Study' Results

The proposal shall detail the **proposed** solution's ability to meet DAF end-users' and customers' needs. These results shall be framed in the context of DAF End-User and Customer Exploration previously performed for the effort.

Scientific and Technical R/R&D Effort: including research questions, methods, results, and relevant literature.

DAF End-User and Customer Exploration Methods: Describe methods, both successful and unsuccessful, used to perform technical and scientific feasibility analysis, as well as DAF Customer and End-User Exploration, for adapting the non-Defense commercial solution to a specific DAF end-user's needs. This should include detailed reports of at least one in- depth interview with an DAF End-User and one in-depth interview with an DAF Customer.

Empowered and Committed DAF End-Users: List and describe specific DAF end-users (e.g., operators) willing to support further R&D, testing, evaluation, or trial for the proposed Phase II solution. Specifically explain how the **proposed** solution meets the end-user(s) needs. Describe in as much detail as possible the firm's understanding of the DAF end- user's problem or benefit area.

Empowered and Committed DAF Customers: List and describe the specific DAF customer, e.g., a Program Manager at a system program office, willing to assist with transitioning the proposed Phase II solution into a Phase III.

Joint organizations may be the End-User or Customer, but the Customer Memorandum must clearly articulate how the Joint End-User/Customer represents a validated DAF need. In these cases, the Primary TPOC must be from the DAF.

Empowered and Committed US Non-DAF Government End-Users: commitments from US non-DAF Government end-users will also be considered. However, there **MUST** be at least one DAF/Joint End-User and Customer as described above.

Inclusion of a Customer Memorandum is **mandatory** for all proposals. **Proposals without a signed Customer Memorandum or proposals that do not follow the mandatory template will not be considered for award.** Customer Memoranda must be uploaded to the "Letters of Support" Section in Volume 5, Supporting Documents.

1.6 Compliance and Regulatory Activities

Attachment 3, *Regulatory Compliance Initial Safety Assessment* form, is completed in its entirety, and included in Volume 5.

1.7 Phase II Technical Objectives and Key Results

Clearly describe three to five objectives of the Phase II RDT&E effort. These objectives should be tied to specific proposed Phase II trial tasks. These objectives shall be qualitative and specific to the participating DAF end-user(s). The objectives shall be tied to specific time periods, tangible and unambiguous regarding anticipated results. These objectives shall describe end-state outcomes (i.e. what will be done), rather than processes or activities (i.e., how it will be done). Each objective shall be accompanied by three to five specific 'key results', measurable throughout Phase II performance. These key results will likely be quantitative in nature, e.g., deliver X widgets to DAF end- user. Non-quantitative key results shall be clearly measurable.

Objective #1:**Key Result:****Key Result:****Key Result:****Objective #2:****Key Result:****Key Result:****Key Result:****Objective #3:****Key Result:****Key Result:****Key Result:****Required Stakeholders Needed to Accomplish Phase II**

List anticipated interactions with stakeholders necessary to accomplish the Phase II trial. Such stakeholders may include lawyers, test range officials, information assurance officials, system program office engineers, etc. Clearly describe Phase II trial completion requirements not within the applicant's immediate control and plans to work within those constraints.

2. PHASE II WORK PLAN

Proposals including private investment cost match should include the tasks to be supported with those funds in the Work Plan. Tasks to be executed with private investment should be discernible from SBIR-funded tasks. If awarded, the SBIR-funded and private investment-funded tasks are included in different parts of the award document. The Work Plan should be structured around the effort's purpose and requirements set forth in clear, specific, and objective terms with measurable outcomes. The work plan has two mandatory features; (1) Work stated in terms of outcomes or results, rather than performance methods, and (2) measurable performance standards, including assessment methods for these standards. The plan should include the location and mechanics for accomplishing the proposed approach. Phase II projects shall attempt to demonstrate the Phase I-like effort's technical feasibility, including transition results to the private sector or Government customer.

The DAF uses the work plan outline as the initial draft of the Phase II Statement of Work (SOW). Therefore, **do not include proprietary information in the work plan outline.**

2.1 Scope

List the effort's major requirements and specifications.

2.2 Task Outline

Provide an outline of work to be accomplished throughout the effort. For proposals with government funding commitments (where the funds will be sent to AFRL/RGF to be included in the Phase II effort), clearly identify the tasks that will be funded by the SBIR program and the

tasks that will be funded by the government organization that is committing funds. For those proposals that implicate **Research Involving Human Subjects (RIHS)**, specifically indicate which tasks fit the definition of RIHS.

The amount of time required for the IRB to review and approve the protocol will vary depending on such factors as the IRB's procedures, the complexity of the research, the level of risk to study participants, and the responsiveness of the investigator. The average IRB approval process can last between one (1) and three (3) months. Once the IRB has approved the research, the DAF will review the protocol and the IRB's determination to ensure that the research will be conducted in compliance with DAF policies. The DAF review process can last between three (3) to six (6) months. Ample time should be allotted in the schedule to complete both the IRB and DoD approval processes prior to recruiting subjects. **No funding can be used towards human subject research until ALL approvals are granted. Applicants proposing research involving human and/or animal use are encouraged to separate those tasks in the technical proposal and cost proposal in order to avoid potential delay of contract award.**

2.3 Deliverables

Include a section clearly describing the specific sample/prototype hardware/software to be delivered, as well as data deliverables, schedules, and quantities.

<u>Deliverable</u>	<u>Title</u>	<u>Qty</u>	<u>Expected Delivery</u>
1		1	Award + x months
2		1	Award + x months
3		1	Award + x months
4		1	Award + x months
5		1	Award + x months

2.4 Unique Item Identification

IAW DFARS 252.211- 7003, Item Identification and Valuation, may be required. Applicants should provide a unique item identifier (UID) for all items for which the Government's unit acquisition cost is \$5,000.00 or more.

2.5 Required Reports

At a minimum, the following reports are required for ALL Phase II awards and must be included in the Work Plan. All are considered scientific and technical reports.

- **Final Report:** A completed SF 298, *Report Documentation Page*, will be used as the report's first page. This will include identifying the purpose of the work, providing a brief description of the effort accomplished, and listing potential results applications. The summary may be published by DoD. Therefore, it shall not contain proprietary information. It shall also contain project objectives met, work completed, results obtained, and technical feasibility estimates. This report shall be no more than 25 pages.
- **Status Reports:** Status reports are due quarterly, at a minimum. These shall be concise documents describing progress in meeting the selected DAF end-user's needs. Each status

report shall be no longer than 15 slides. The status reports shall include progress toward Phase II objectives and key results, as well as a quantitative measure between zero (0) and one (1) of progress toward each.

- **Phase II Summary Report:** The Phase II summary report is due at technical effort completion. It shall be submitted via email to the cognizant AF Contracting Officer/Agreement Officer (CO/AO). Reports shall not exceed 700 words, including a description of the technology and anticipated applications/benefits for government and/or private sector use.
- **Safety-Related Deliverables:** Safety requirements will be followed in the proposed project's design and performance. The Work Plan must contain separate sections specifically addressing the following:
 - **Preliminary Hazard Analysis** (Report, if applicable): If hardware is to be developed, the contract shall include at least a preliminary hazard analysis included in the deliverables.
 - **Hazardous Material Report:** If use of is anticipated, the following will be provided:
 - Materials identification
 - Materials purpose; and possible alternative/procedures/safeguards to minimize risk.
- **Additional Reporting:** The AF end-user or customer may require additional reporting or documentation. Reports will be provided as required.
- **Additional Reporting Requirement for Efforts with Private Funding Commitments:** The final Phase II status report will include a brief accounting, in company format, regarding investor funds' expenditures to support the project.

2.6 Milestone Schedule

Include the mutually agreed upon milestone schedule from your signed Customer Memorandum. This schedule will be used to validate adherence to the Period of Performance.

Each milestone marks the completion of a required deliverable (e.g., prototype component, test plan, prototype production, final report submission, etc.). Status reports cannot be milestones but are deliverables as described below. Describe how the milestones will be identified as completed. Milestone payments shall reflect justifiable costs to achieve completion. Supporting rationale, e.g., invoices from non-Defense commercial customers, will be included in Volume 5, Supporting Documents. NOTE: Pricing information from non-Defense commercial customers is likely proprietary and should be marked as such.

Instructions:

The milestone schedule must indicate the following fields, Contract Line Item Number (CLIN), delivery date, CLIN description (listed in terms of separate tasks, deliverables, and acceptance criteria), and payment amount (listed in whole dollars).

Data Field Instructions:

CLIN: Entered as a four-digit entry, such as 0009 or 0010. **There should be a minimum of eight (8) and a maximum of twelve (12) CLINs that correspond with the applicant's**

Proposal Number:

(Company Name/Logo)

Topic Number:

proposed milestones. Deviations for proposals with less than eight (8) or more than twelve (12) CLINs are negotiable if selected for award.

Delivery Date (listed as months after contract award): Entries should be represented as “Award + X months”. **Ensure the final delivery date does not exceed the maximum period of performance identified in these Topic Release Instructions.**

CLIN Description (must include the following elements):

- **Task:** This shall be the title of the CLIN and should represent the types of work being conducted during this portion of the effort.
- **Deliverables:** Enter the specific deliverables that will be delivered by the delivery date previously listed for this CLIN. You may list as many deliverables as necessary to accurately convey what will be provided to the Government for acceptance during this portion of the effort. **You may not list quarterly status reports (defined below) as a standalone CLIN. Status reports may be listed as a deliverable but must be accompanied by another deliverable eligible for separate payment under the CLIN.**
- **Acceptance Criteria:** Acceptable verbiage for all CLINs may be, “The TPOC confirms that the delivered data, reports, hardware, prototypes and/or presentations are accurate, complete and in accordance with the contract”. Applicants may add to or modify the recommended verbiage, if necessary, to better align with the proposed deliverable.

Payment: Insert the whole dollar amount proposed for the work completed/delivered under the applicable CLIN. Non-SBIR federal funds must be identified. Do not include Phase III/private funds.

Note: Consistent with the below language, all proposals shall include the delivery of a kick-off meeting presentation for CLIN 0001. Deviations from the below verbiage are negotiable if selected for award.

<u>CONTRACT LINE ITEM NUMBER (CLIN)</u>	<u>DELIVERY DATE</u>	<u>CLIN DESCRIPTION</u>	<u>PAYMENT</u>
0001	Award + 1 month	Task: Hold kick-off meeting with TPOC Deliverables: Kick-off meeting presentation Acceptance Criteria: TPOC confirmation that the delivered kick-off presentation is complete, accurate, and in accordance with the contract.	\$50,000 (The payment amount for the first CLIN should not exceed 5% of the total contract value)
0002	Award + XX months	Task: Deliverables: Acceptance Criteria: The TPOC confirms that the delivered data, reports, hardware, prototypes and/or presentations are accurate,	\$X

		complete and in accordance with the contract.	

3. COMMERCIALIZATION STRATEGY

3.1 Commercialization Plan Outline

The SBA and DoD require Phase II proposals include a commercialization plan. The plan should briefly describe the commercialization potential for the proposed project's anticipated results, as well as plans for exploitation in both the Defense and non-Defense markets. The plan must include the items below:

Company Information: Focused objectives/core competencies; specialization area(s); products with significant sales; and history of previous Federal and non-Federal funding, regulatory experience, and subsequent commercialization.

Customer and Competition: Clear description of key technology objectives, current competition, and advantages compared to competing products or services; description of hurdles to innovation acceptance.

Market: Milestones, target dates, market size analysis, and estimated market share after first year and fifth year sales; plan to obtain market share.

Intellectual Property: Patent status, technology lead, trade secrets, or other demonstration of a plan to achieve sufficient protection to realize the commercialization stage and attain at least a temporal competitive advantage.

Financing: Plans for securing necessary funding.

Assistance and Mentoring: Plans for securing needed technical or business assistance through mentoring, partnering, or through arrangements with State assistance programs, Small Business Development Centers, FFRDCs, Manufacturing Extension Partnership centers, the AF Mentor-Protégé Program, or other assistance providers.

Specifically address these questions:

- **What is the first product into which the technology will be incorporated?**
- **Who are the customers and what is the estimated market size? How much money is needed to bring the technology to market? How will the funding be raised?**
- **Does the company possess marketing expertise? If not, how will it be obtained?**
- **What companies are your competitors, and what is the firm's price and/or quality advantage over them?**
- **Are there private sector or non-SBIR/STTR funding sources demonstrating commitment to Phase II results? This includes both outside private investment such as venture capital, angel investors, state or local government programs, etc., and internal funding sources, such as funding from affiliates. Please delineate past and potential future investments, e.g., currently raising a round or have signed term sheets. Also note if commitments are conditional on receiving a Phase II award.**
- **Has your company received or will it receive any foreign investment? If so, what is the source and the received or anticipated amount?**
- **Are there Phase III (Government or commercial) follow-on commitments for the proposed technology?**

- **Are there any other commercial potential indicators?** Consider pre-sales, pilots, sales, revenue, active users, subscriptions, downloads, and/or other forms of traction/adoption and commercial signals of interest, demand, and faith in your team/solution.
- **What is the last 12 months' total revenue from non-Defense commercial solution sales?**
- **State the proposed Phase II's anticipated end results, specifically plans to transition to a Phase III with a potential Government customer.**

3.2 Military Applications/DoD Customers

Briefly describe the proposed solution's existing potential military requirement. Identify the DoD agency/organization most likely to become the solution's customer. In many cases the potential DoD customer will be different from the end user. For example, the user may be in an operational flying unit and the customer in a System Program Office for the related aircraft. State whether a DoD agency has expressed interest in, or commitment to, a non-SBIR, Federally funded Phase III effort or a Phase II enhancement with matching SBIR funds. If so, please include relevant details regarding funding availability, e.g., fiscal year, for solution transition, and other relevant funding details, such as funding type, e.g., RDT&E, Operations and Maintenance, etc. Include agency points of contact names, email addresses, and telephone numbers.

3.3 Foreign Personnel

Identify all foreign persons and non-U.S. citizens and dual citizens proposed as direct employees, subcontractors, or consultants. For these individuals, in addition to technical resumes, please provide countries of origin, type of visas or work permits held, and explanation of their anticipated involvement level in the project, i.e., tasks to be assigned. When the proposed technology is subject to export control, these individuals, if permitted to participate, are limited to work in the public domain. Further, tasks assigned must not be capable of assimilation into an understanding of the project's overall objectives. This precludes foreign nationals from acting in key positions such as Principal Investigator, Senior Engineer, etc. Additional information may be requested during negotiations to verify foreign persons' eligibility.

If the proposed work is ITAR Restricted or otherwise export-controlled, the information and materials provided pursuant to or resulting from that proposal are restricted under the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120 - 130, which controls the export of defense-related material and services, including the export of sensitive technical data. Non-U.S. citizens may perform work under an award resulting from these topics only if they are "Lawfully Admitted for Permanent Residence", as defined in 8 U.S.C. 1101(20) or are designated as "Protected Individuals" as defined by 8 U.S.C. 1324b(a)(3). If a proposal for an ITAR-restricted technology involves participation of a non-U.S. citizen who is not in one of the above two categories, the proposal may be rejected. See Topic Release Attachment 2, *Certification Questions and Coversheet Supplement*, for additional information.

4. KEY PERSONNEL

Identify key personnel involved in the project, including subcontractors and consultants. The applicant shall address qualifications for conducting RDT&E in addition to qualifications for commercialization. Include information regarding education, experience, and citizenship. A technical resume for the PI, including publications, if any, shall be included.

4.1 Non-Defense Commercial Customers

Past revenue from commercial customers of the proposed non-Defense commercial solution. Clearly list non-Defense commercial customers, including revenue received as a result of the **proposed** solution's sales. Do not include other solutions the company may offer.

Potential revenue-generating projects directly related to the proposed non-Defense commercial solution or adaptation thereof. Separately list potential revenue-generating projects with Defense or non-Defense customers directly related to the proposed solution(s).

NOTE: On-going or completed projects/sales, such as those in section 2.5.1, are strongly preferred to potential projects.

4.2 Investors and Partners

Identify company investors, shareholders, or strategic advisors making significant contributions to support the Phase II effort. Explain how their past experiences or track record will support the technical or commercialization efforts. This could include leveraging other entities in company investors' portfolios or accessing other capital sources.

5. RELATED WORK

Describe significant activities directly related to the proposed effort, including previous programs conducted by the Principal Investigator, proposing firm, consultants, or others, and their application to the proposed project. List reviewers providing comments regarding the applicant's knowledge of the state-of-the-art in the specific approach proposed. Specify related Government efforts, SBIR or otherwise, awarded, previously proposed, or intended for proposal.