



# Important Forms to Submit with your DHS Phase I SBIR proposal



PRESENTED BY

**Jenny C. Servo, Ph.D.**  
**Jolie Stepnowski**



# Agenda

- **System Generated forms**
  - Cover Sheet
  - Cost Proposal
  - Project Plan
  - Foreign Assess Management Screening, Form 11055
- **SBA Company Registration**
- **Briefing Chart**
- **Disclosure of Foreign Relationships**
- **Commercialization Report**
- **Non-Disclosure Agreement**





# Important Dates

EVENT	DATE
Pre-Solicitation Issued	November 13, 2024
Direct questions to Topic POC permitted	November 13, 2024 – December 11, 2024
Solicitation Open	December 17, 2024
Solicitation Question Deadline	January 6, 2025
Q&A Posted on SAM.gov	January 10, 2025
Deadline for receipt of Proposals	January 21, 2025, 1:00 pm ET
Phase I begins	~ Early May, 2025

# What are the Key Elements of the Phase I Proposal?

Mandatory Proposal Requirements	
System Generated	Cover Sheet
	Briefing Chart
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**The full proposal is due on January 21st, 2025 1:00PM ET**

**Proposals are submitted to DHS** via the DHS SBIR Portal at <https://sbir.dhs.gov/sbir/public>

# Cautionary Note!

- **Failure to submit all required forms will result in your proposal NOT being reviewed**
- **Exceeding the budget; exceeding the page limits on your Technical Proposal will result in your proposal NOT being reviewed**
  - Only information included in the proposal submission will be considered for evaluation purposes; no referenced materials will be considered



# System Generated Forms?

- These forms are generated by the proposal submission portal
- The submission portal opens the day the Solicitation is released
- <https://sbir.dhs.gov/sbir/public>



# Cover Sheet

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- The cover sheet includes the following fillable sections: (1) **Technical Abstract**, (2) **Project Aims**, and (3) **Summary of Results**
- **TECHNICAL ABSTRACT:** “limited to 250 words. The technical abstract must identify the purpose of the work and briefly describe the work to be carried out, the finding or results and the potential commercial applications of the effort.
- **If the Offeror’s proposal is selected for award, the Technical Abstract section will be publicly posted on the DHS SBIR website and on SBA’s website. Therefore, do NOT include proprietary or sensitive information in the Technical Abstract section of the Cover Sheet.”**

See page 7 of Pre-Solicitation

# Recommendation



- **Prepare the Technical Abstract, Project Aims and Summary of Results thoughtfully. Secure feedback on your drafts and then upload onto the Cover Sheet in the designated areas.**
- **Do not exceed the word count for each of these sections**
  - **Technical Abstract: 250 words**
  - **Project Aims: 500 words**
  - **Summary of Results: 500 words**





# Proposal Cover - continued

- **PROJECT AIMS** “is limited to 500 words. The Offeror should state the specific objectives of the research and development effort, define the proposed product, process or service to ultimately be developed. This section is intended for internal Government use and it will NOT be released.
- **See more details for Phase I proposals only on Page 7 of the Pre-Solicitation**
- **The Summary of Results section is limited to 500 words, must NOT contain proprietary information, and is for Government use only. The Offeror should provide the anticipated results and implications of the approach (both Phase I and II) and the potential commercial applications of the results.**

# Briefing Chart

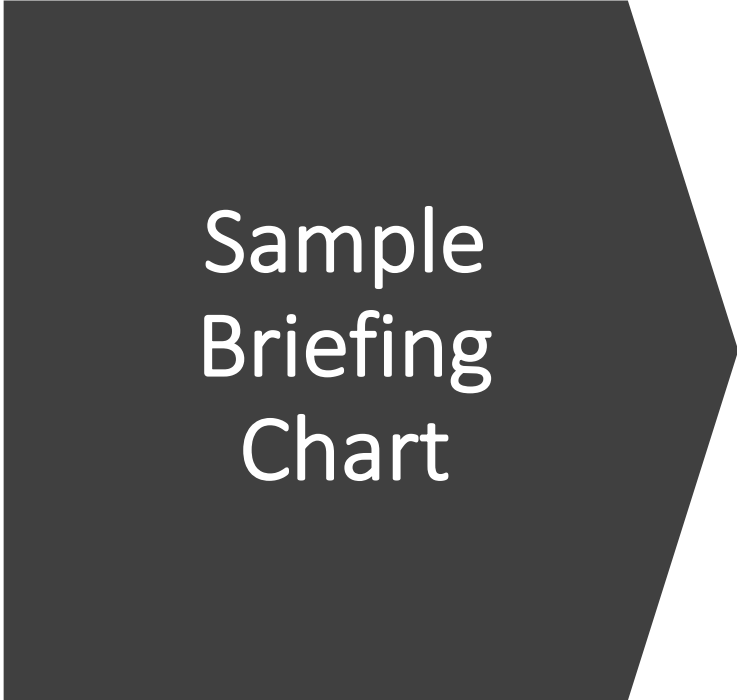
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- **The Briefing chart is a fillable form in the Cover sheet section of the proposal submission and may be used in the evaluation process. The Briefing chart must not contain any proprietary or classified data**

**See page 7 of Pre-Solicitation**

# Briefing Chart Template

<u>Proposal Title Company City, State</u> <u>Proposal Number:</u>	
<p>Place a clear photograph, drawing, graphic or diagram of the concept related to innovation here</p> <p><i>Provide a simple, legible, but sufficiently detailed graphic to convey the main concept or idea of the research effort and/or development prototype.</i></p>	<p><u>Relevance and Goals and Commercialization</u></p> <p>Relevance and Goals:            Research goals and desired end state including performance targets            Advantages over other state-of-the-art solutions            Key technical challenges</p> <p>Commercialization Strategy:            Describe the current market potential for product/service development and estimated unit cost of the product            Identify end user interests or agreements</p>
<p><u>Technical Objectives and Work Plan Address:</u>            Technological innovations supporting the approach, as appropriate            How the problem will be addressed            The current status of the proposed effort            The key technical challenges and/or risks            The planned technical accomplishments/key milestones</p> <p><u>Estimate the Technology Readiness Level (TRL 1 – 9) at beginning and end of contract</u></p>	<p><u>Milestones, Deliverables, Schedule and Team</u></p> <p>Milestones, Deliverables and Schedule:            Provide milestones, primary deliverables, and task durations for Phase I and Phase II, as appropriate</p> <p>Team:            List the proposing organization and principal investigator            List subcontractors</p>
<b>NON-PROPRIETARY, UNCLASSIFIED DATA</b>	



Sample  
Briefing  
Chart

### Briefing Chart



### Relevance, Goals, and Commercialization

Relevance and Goals:

- (1) Define system prototype goals with government
- (2) Define initial system capabilities and gap analysis
- (3) Optimization of the system design
- (4) Optimization of key DL and computer vision algorithms to identify activities of interest and anomalous activities through human-machine teaming
- (5) Integration of prototype system
- (6) Testing and demonstration
- (7) Definition of the commercial market for the technology

Commercialization Strategy:

Our primary focus will be the video surveillance market to explore for introducing the technology. With the module developer through multiple maturation cycles demonstrations to larger tech companies will be possible as a proof of concept for use on larger scale commercial audience.

### Technical Objectives and Work Plan

The Phase II goal is to advance the development of a prototype of the AI/ML Solution build during Phase I. Based on a new microservice-based video analytics framework and natural language prompting. Company.Inc will work closely with government counterparts to train the model to identify and returns results useful to the government.

Company Inc. will address the problem through an agile process of algorithm maturation through deep thinking analysis and human center design with the government team.

The current state of the proposed effort is a Phase I prototype built with 1 maturation cycle and with details requirement improvement plans from the government stakeholders.

The key technical challenge will be to identify and remove false positives from that maturation model. Identification of false positives can only be done by Government Subject Matter experts, who have busy schedules and may not be able to provide assistance.

The final product for this effort will be a prototype that incorporates human-machine teaming and automates video analysis of events and and activities of interest for operational testing.

Estimated Technology Readiness Level:

Beginning of contract: TRL-4

End of contract: TRL-6/7

### Milestones, Deliverables, Schedule and Team

Project Milestones:

Task1: System Architecture

Milestone 1: Phase II System Design Completed (Month 3)

Task 2: Benchmarking

Task 3: Updates to Algorithm

Milestone 2: Enhanced Benchmark Video Dataset Assembled (Month 6)

Milestone 3: Automated Video Analysis Development Completed (Month 12)

Task 4: Initial Prototype testing

Milestone 4: Phase II Software Prototype Integrated (Month 18)

Task 5: Update to Algorithms

Task 6: Final Prototype Testing

Task 8: Commercialization Report and Cleanup

Milestone 5: Testing and Demonstration Completed (Month 24)

Deliverables: Reports in accordance with contractual requirements and Phase II software prototype.

Team:

Company Inc.

Title: Principle Investigator

Name: John Doe

Company Inc.

Title: Project Manage

Name Jane Doe

# Don't Include Proprietary Information in Briefing Chart

- You will need to include a Briefing chart as part of the application package
- Do NOT include any Proprietary information in the Briefing Chart



# Cost Proposal

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- You can download the **Portal Registration and Submission Guide** from the following DHS site
- <https://sbir.dhs.gov/sbir/public/resources#>
- **REMEMBER: Do not exceed the Phase I budget or period of performance**
  - **\$175,000 for 5 months**
  - **Discretionary Technical and Business Assistance (\$6,500) is in addition to the \$175,000**

See page 13 of Pre-Solicitation

Pages 41 – 51 relate to the budget



**Homeland Security**

Science and Technology

**Department of Homeland Security (DHS)  
 Science & Technology (S&T)  
 Office of the Chief Information Officer (OCIO)  
 Applications Branch (Apps Branch)**

**Small Business Innovation and Research (SBIR)**

**Public Portal  
 Registration and Submissions  
 Training Guide  
 August 2021**

**4.3.2 Cost Proposal Submission Form**

The Cost Proposal allows the user to create a cost proposal, the form is made up of 8 pages for each year of the proposal and 1 page for additional details.

Below is a list of buttons and actions expected throughout the different form pages:

Button Name	Description
Add Category	Will allow the user to add a row in the section
Remove	Will allow the user to remove a row entry
Year 1 / Year 2	Will allow the user to enter cost proposals for multiple years (Not Applicable to Phase I)
Back to Dashboard	Will navigate the user back to the User Dashboard
Save	Will save the current work
Save and Continue	Will save the current work and continue to the next section
Save and Complete	Will save current entered work, validate that all required information is entered, and will flag the Cost Proposal as being completed and enabling the "Submit Proposal" icon to display if the Proposal submission is also flagged as complete

1. Section A is provided so the user may detail Direct Labor Cost or indicate that there are "No Cost". For each Category add you will be required to enter hours and rate in dollars. The system will calculate and each category and the total cost and hours.

Labor Category	Hours	Rate in Hours	Cost (Calculated)
LCAT 1	1920	32.30	62016.00
LCAT 2	800	20.25	16200.00
Total Hours			Total Cost
2720.00			78216.00

Figure 39 - Section A: Direct Labor



# Elements of Cost Proposal

- “The following are required elements of the cost proposal:
- **DIRECT LABOR** – List the name, labor category, labor hours and labor rate for each employee working on the project
- **OVERHEAD RATE** – specify the current overhead rate
- **OTHER DIRECT COST** – include direct material, special testing, equipment, travel, subcontracts, etc.
  - For Phase I planning purposes, Offerors should budget a mandatory post-award meeting trip to Washington DC”





# Check GSA rates for hotels & per diem

PHASE I POST AWARD DETAILS	
Duration	Event
1-3 Hours	Contract Kickoff sessions with Topic Managers (Virtual)
	Post Award Conference
1 Day	Session includes: Several presentations including a program background and contracting overview
1 Day	Commercialization workshop

From Page 13 of Pre-Solicitation  
GSA Per diem rates: [District of Columbia](#)

# Project Plan

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**Project Plan:** Summarize the Phase I approach indicating the proposed tasks and a brief description of each task. Tasks are activities required to produce the project's deliverables (including data) and reach the milestones

Very little is said about this in the Pre-Solicitation. No word count is provided

[See page 8 of Pre-Solicitation](#)

# Foreign Access Management Screening

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- All foreign nationals who will perform work under the proposed SBIR effort must complete the DHS Foreign Access Management Screening, Form 11055 as part of the proposal submission process. Failure to include this information for each foreign national will impact the ability for them to participate in the event of an award.

See page 10 of Pre-Solicitation

# Disclosure of Foreign Affiliations

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Information regarding Disclosure of Foreign Affiliations can be previewed in the DHS Public Portal Registration and Submission Training Guide

- **You can download the Portal Registration and Submission Guide from the following DHS site**
- <https://sbir.dhs.gov/sbir/public/resources#>

See page 49/50 of Portal Registration

**Let's look at the pdfs!**



# Technical Proposal

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- **15 pages – Do NOT exceed**
- “The Technical Proposal must be a single file, including tables, figures, graphics, and table of contents (if included). Do not lock, password protect, or encrypt the file to be uploaded.
- Perform a virus check before uploading the Technical Proposal file. If a virus is detected, it may cause rejection of the proposal ”

**See page 8 of Pre-Solicitation**

# SBA Company Registration

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- After you complete your SBA Company Registration, be sure to download the form that you will need to upload here to verify that you have completed this registration
- “Upload a copy of the SBA Company Registration, updated within the previous 6 months, as part of the proposal submission. Failure to include this form will result in your proposal being deemed **NON-RESPONSIVE** and not evaluated (see Section 3.1). ”

See Page 4/5 of Pre-Solicitation

<https://app.www.sbir.gov/company-registration/overview>



AMERICA'S  
SEED FUND  
SBIR · STTR

## SBIR.gov - Company Registration

### Company Registration

Company registration is meant for small businesses to register and gain access to the SBIR.gov system. Completed registrations will receive a unique SBC Control ID to be used for submissions at any of the 11 participating agencies in the SBIR or STTR programs.

#### **i** Registration is a four step process:

**Step 1** (*Optional*) - Check to see if you are eligible for SBIR and STTR

**Step 2** - Sign-in or create an account with Login.gov

**Step 3** - Enter company info, including, UEI, email address, and/or DUNS/EIN



# SBA Company Registry

- This is also a required registration
- This is required for all companies applying for an SBIR or STTR award for all participating agencies
- You have to have a UEI before you can complete
- Download the registration guide
- This is a straight forward process
- Once registration is complete you will be sent an email
- You will need to keep your user name and password so that you can receive an SBC Certificate to affirm registration - See page 4 of DHS Pre-solicitation



# Commercialization Report

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- A requirement for **Phase II** submissions
- “All Phase II Offerors with previous Phase II awards from any federal agency must submit Commercialization Report. It is important to note that this is a separate document from the Commercialization Plan required as part of the Phase II Technical Proposal. ”

# Thanks for joining us today

Jenny C. Servo, Ph.D.  
[jcservo@dawnbreaker.com](mailto:jcservo@dawnbreaker.com)

Please take a moment to provide your feedback on today's webinar  
<https://forms.office.com/r/uvHuZWS5x4>

See the website for [Phase 0 SBIR program for DHS!](#)