CTC
Center For Technology Commercialization

DEPARTMENT OF DEFENSE

MODULE 1

TABLE OF CONTENTS

If you see this button

If you see OR **yellow text**

Click it to open the link

REGISTRATION

Follow the links below to perform registrations in this order

SYSTEM OF AWARD MANAGEMENT (SAM)
Create account submit notarized letter to apply for UEI and receive CAGE code to make a DSIP account.

SBIR/STTR COMPANY REGISTRATION
Create company ID and gain access to SBIR.gov system and receive an Small Business Concern (SBC) Control ID

DEFENSE SBIR/STTR INNOVATION PORTAL (DSIP)
Completion of the Company Commercialization Report in Volume 4 of the proposal submission in DSIP is required every three years. Search and apply here for topics.

TIPS

- Begin SAM registration at least two months before submission because it can be time consuming.
- If you have an inactive registration, your UEI is in your SAM.gov entity record.

Review the UEI checklist on the following page to prepare for applying

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UEI CHECKLIST

Unique Entity ID is the unique 12-character ID assigned and required by the federal government via SAM to all entities receiving federal funds via contracts, grants, etc.

REQUIRED TO REGISTER
- Legal business name according to the Secretary of State website.
- Trade name or "doing business as" name from the Department of Revenue website.
- Physical address of the business.
- Documentation providing legal entity name and physical address in the same form, must be less than five years old. Private information may redacted.

Documentation examples include

- Certified copies of Share certificates, Articles of organization/incorporation, Tax return fillings, Certificate of formation, Articles of formation, Certificate of organization
- Utility bills
- Banks statements
- "Doing business as" documentation
- Stock ownership
- Employer Identification number documentation from IRS
- Tax ID conformation documents from IRS
- Company bylaws
- Operating agreements
- Non-expired driver's license of sole proprietors and individuals doing-business-as only

Registration
Tutorial

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CAGE CODE

Commercial and Government Entity Code is the unique 5-digit ID assigned by the Department of Defense required for all federal contractors working with the DoD.

- Commercial and Government Entity (CAGE) code will be assigned to your SAM account after your UEI is issued.

- SAM.gov will issue CAGE codes once entities are approved as a registered contractor and once the contractor is active.

- Enter your UEI or legal name into your SAM.gov account to view your CAGE code.

WHAT IS THE CAGE CODE USED FOR?

- It is required on first page of solicitations.

- It is used by the DoD to identify a contractor and is used to access stored information for a contractor or company.

- It is used by contractors to bid on DoD contracts.

HOMEWORK

FILL IN YOUR INFORMATION BELOW

UEI	
CAGE Code	
Company ID	

Move on to prepare for your DSIP award submission

COMPLIANCE

To receive money, companies must comply with certain requirements.

⊕ Principal Investigator (at time of sub)

For Phase I and II, the primary employment of the PI must be with the small business firm at the time of award and during the conduct of the proposed project. More than one-half of the PI's time is spent in the employ of the small business. This precludes full-time employment with another organization.

⊕ Venture Capital Operating Company (at time of sub)

If your company is majority owned by Venture Capital, Private Equity, or hedge funds, talk to CTC ASAP.

⊕ Security Program (at time of award)

Does your company comply with the National Institute of Standards and Technology requirements for NIST SP-800 171?
Start thinking about the security program questionnaire on page 73 now.

COMPLIANCE

To receive money, companies must comply with certain requirements.

Data Rights

Applications must assert in detail the restrictions on the government's use of technology. Consider the government's rights to use, release, or disclose your technical data or computer software.

Foreign Countries

Be aware that working with foreign nationals, governments, universities, entities, services and materials may be a barrier. It is a requirement to assert foreign nationals in your application.

Foreign Countries of serious concern:

- The People's Republic of China
- The Democratic People's Republic of Korea
- The Russian Federation
- The Islamic Republic of Iran
- Any other country determined to be a country of concern by the Secretary of State.

HOMEWORK

FORIEGN COUNTRIES ELIGIBILITY

FILL IN THE INFORMATION FOR ANY PARTICIPATING FORIEGN NATIONAL BELOW

Full Name	Foreign National (Yes or No)	Country of Origin	Type of Visa or work permit held	Description of Involvement (specific task(s) in the work plan)

This table will be required in your application

HOMEWORK

DATA RIGHTS ELIGIBILITY

FILL IN YOUR INFORMATION BELOW

Technical Data or Computer Software to be Furnished With Restrictions	Basis for Assertion	Asserted Rights Category	Name of Person Asserting Restrictaions

This table will be required in your application

DSIP SUBMISSION REQUIREMENTS

Gather materials before you begin

CTC Center For Technology Commercialization
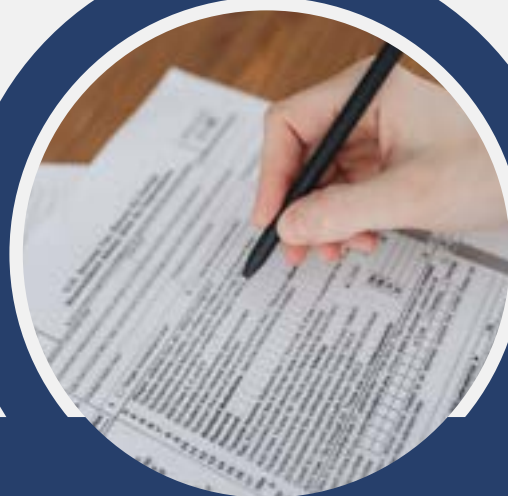
Submission Tutorial

Firm registration

- UEI
- Tax ID
- CAGE code
- Address, zip+4
- Phone number

Cover Sheet

- Proposal title, summary, base duration, certificates
- Technical Abstract
- Anticipated Benefits
- Potential Commercial applications of research
  - What is your product going to look like? Who's your customer and why do they care about your product?
- 8 key words or phrases that describe your product - think searchable hashtags
- Employee and facilities information
- PI's contact information

Cost Volume

- Direct Labor, Overhead, G&A, Cost Sharing
- Employees: job title, level of education, years of experience, estimated hours and hourly rate
- Estimated travel

Technical Volume

- PDF of Technical Volume 15 MB max

Training Certifications

- Required DSIP online training certifications

Supporting Documents

- SBC control ID and SBIR proof of registration

Move on to learn about the technical volume

TECHNICAL VOLUME

PowerPoint Submisison

- The technical volume is submitted in a PowerPoint format based on the federal contract goals and rules of the CSO.

- Prepare your PowerPoint to speak to the CSO requirements for defense need, technical merit, and commercialization.

- This workbook will assist in building a CSO technical volume step by step.

- Now that the tasks of registration and understanding the regulations have been completed, it is time to begin brainstorming strategy for your product.

Move on to learn about eligibility for DOD CSOs

ELIGIBLITY: DOD CSO

DOD SBIRs are contracts defining technology readiness DOD can fund. Use of CSO help DoD's SBIR program expedite acquisition and adaptation of technology necessary for mission need. Research is for adaptation not new IP.

SBIR Applications for CSOs will:

- Have a known commercial use. DoD should not be your only customer.
- Requires research to adapt product for DoD specifications. Applicant's will defend existing customer use and propose changes to meet DoD needs.
- Meet a critical mission need. DoD aims to fund solutions ready to pilot in 18-24 months post Phase 1 award.

THIS IS NOT AN ACQUISITIONS CONTRACT

Because research is required to adapt for military use, this is still an innovation project meeting SBIR federal rules.

Learn more about CSO

DoD CSO memorandum

CSO OPEN TOPICS REVIEW CRITERIA CHECKLIST

Defense Need
Know what's important to the DoD

Describe how your product will address mission specific needs.

○ ○ ○ ○

Research issues that the DoD is currently concerned about.

○ ○ ○ ○

If DoD is concerned about defense from a certain country, detail how your product will address it.

Technical Merit
Prove that customers want your product over the competition

Describe your competition and specifically how your product is superior.

○ ○ ○ ○

Application reviewers are not technical experts. Write in language that anyone can understand.

○ ○ ○ ○

Include testimonials that highlight customer's interest in your product.

Commercialization

Product must be dual use

Describe how your product works now and what adaptions might be required to meet the defense need.

○ ○ ○ ○

Describe how this award will help you expand your market opportunity.

○ ○ ○ ○

Prove that you'll be a stable business with more than the DoD as your customer.

HOMEWORK

FILL IN YOUR INFORMATION BELOW

What is the known commercial value of your product? Why do customers pick you over your competition? Provide white paper, testimonial, etc. to support you.	
Briefly brainstorm military/combat adaptations for your product.	
How would DoD funding and combat adaptations improve and expand your commercial reach?	

Overview Summary

Photo: A real picture/screenshot of your solution really helps show that you aren't proposing 'vaporware'

- Include Company Name and Overview of Proposal.
- Technical Abstract: While many proposals treat this as an afterthought, it is the first thing that reviewers see - so make this very clear.
- Overview: One sentence could include a quick overview of what you are trying to accomplish in the Phase I, including your *specific* Air Force customer.
- Technical Merit: One sentence could clearly describe your technical merit, including how your solution has been de-risked in the commercial marketplace.
- Team: One sentence could describe your team's ability to perform the task and commercialize the results.
- Commercialization: One sentence could focus on how you have/will commercialize the solution.

If you have proprietary data in your slides - include this statement VERBATIM on the first slide.

"This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed-in whole or in part-for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this offeror as a result of – or in connection with – the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages [insert numbers or other identification of sheets]"

CHECKLIST

At the end of session one you should have to following checklist completed. Dont move on to session two until this checklist is complete.

- **UEI**
- **Company ID**
- **CAGE code**
- **SAM.gov account**
- **DSIP accounts**
- **Specific product use cases**
- **Overview Summary**

HAVE QUESTIONS?

Reach out to the CTC with questions or concerns here.

FINISHED WITH SESSION ONE?

It's time to reach out and check in with your CTC consultant to discuss the overview summary and prepare for defense need.

Todd Strother   Rob Baranowski