

Proposal Compliance Matrix - NASA Phase I

Solicitation Name: NASA SBIR/STTR FY 24 General Solicitation

Submission Date: March 11, 2024 by 5:00 p.m. ET

Solicitation Number:

Last Updated: [Fill in]

Proposal Manager: [Fill in]

Legend: Forms, Formatting

Field #	RFP Requirement (Text Extract)	RFP Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
1. General Requirements							
<p>A competitive proposal will clearly and concisely: (1) describe the proposed innovation relative to the state of the art; (2) address the scientific, technical, and commercial merit and feasibility of the proposed innovation, and its relevance and significance to NASA interests as described in section 9 of the solicitation; and (3) provide a preliminary strategy that addresses key technical, market and business factors pertinent to the successful development, demonstration of the proposed innovation, and its transition into products and services for NASA mission programs, the commercial aerospace industry, and other potential markets and customers.</p>							
2. Format Requirements							
Page Limitations and Margins	<p>A Phase I technical proposal shall not exceed a total of 19 standard 8.5- by 11-inch (21.6- by 27.9-cm) pages which will include all 10 parts of the technical proposal including all graphics and table of contents.</p> <p>Margins must be 1.0 inch (2.5 cm). Offerors must ensure that the margins are in compliance before uploading the Phase I technical proposal.</p> <p>The additional EHB forms required for completed proposal package submission will not count against the 19-page limit.</p> <p><i>Note: Technical proposal uploads with any page(s) going over the required page limit will not be accepted.</i></p>						

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<p>Required Contents</p>	<p>Each complete proposal package submitted shall contain the following items:</p> <ol style="list-style-type: none"> 1. Proposal Contact Information 2. Proposal Certifications, electronically endorsed. 3. Proposal Summary (must not contain proprietary data). 4. Proposal Budget (including letters of commitment for Government resources and subcontractors/consultants and foreign vendor form, if applicable) 5. Technical Proposal 6. Briefing Chart (must not contain proprietary data). 7. NASA Evaluation License Application, only if TAV is being proposed. 8. Technical and Business Assistance (TABAs) request (optional) 9. I-Corps Interest Form 10. Firm-Level Forms (completed once for all proposals submitted to a single solicitation) <ol style="list-style-type: none"> a. Firm Certifications b. Audit Information c. Prior Awards Addendum d. Commercial Metrics Survey (CMS) 11. Electronic Endorsement by the designated small business representative and Principal Investigator (PI) is completed before the deadline <p><i>Note: Letters expressing general technical interest or letters of funding support commitments (for Phase I) are not required or desired and will not be considered during the review process. However, if submitted, such letter(s) will count against the page limit.</i></p> <p><i>Note: The EHB will not allow the upload of relevant technical papers, product samples, videotapes, slides, or other ancillary items, and they will not be considered during the review process.</i></p>					
<p>Type Size</p>	<p>No type size smaller than 10 point shall be used for text or tables, except as legends on reduced drawings. Completed proposal packages prepared with smaller font sizes will be declined during the administrative review and will not be considered.</p>					

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Header/Footer Requirements	Header must include firm name, proposal number and project title. Footer must include the page number and proprietary markings if applicable. Margins can be used for header/footer information.					
Classified Information	NASA will reject any proposal package that contains classified information.					
Project Title	The proposal project title shall be concise and descriptive of the proposed effort. The title should not use acronyms or words like "development of" or "study of." The NASA research subtopic title must not be used as the proposal title.					
3. Forms						
All form submissions shall be completed electronically, and do not count towards the 19-page limit for the technical proposal.						
Proposal Contact Information	A sample Contact Information form is provided in the NASA SBIR/STTR Firm Library http://sbir.gsfc.nasa.gov/sbir/firm_library/index.html . The offeror shall provide complete information for each contact person and submit the form as required in section 6. Note: Contact Information is public information and may be disclosed.					
Proposal Certifications	A sample Proposal Certifications form is provided in the NASA SBIR/STTR Firm Library http://sbir.gsfc.nasa.gov/sbir/firm_library/index.html . The Offeror shall provide complete information for each item and submit and electronically endorse the form as required in the EHB.					
Proposal Summary Form	A sample Proposal Summary form is provided in the NASA SBIR/STTR Firm Library http://sbir.gsfc.nasa.gov/sbir/firm_library/index.html . The Offeror shall provide complete information for each item and submit the form as required in the EHB. Note: The Proposal Summary, including the Technical Abstract, is public information and may be disclosed. Do not include proprietary information in this form.					

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Proposal Budget	<p>A sample of the Proposal Budget form is provided in the NASA SBIR/STTR Firm Library http://sbir.gsfc.nasa.gov/sbir/firm_library/index.html. The Offeror must complete the Proposal Budget form following the instructions provided. The total requested funding for the Phase I effort shall not exceed \$150,000 or \$156,500 (if requesting \$6,500 for TABA, see section 1.8 and 3.5.3.8) of the solicitation.</p> <p><i>Note:</i></p> <ul style="list-style-type: none">• <i>The government is not responsible for any monies expended by the firm before award of any contract.</i>• <i>NASA and the Office of Management and Budget (OMB) has issued a policy that requires a review of any request to purchase materials or supplies from foreign vendors. Due to the short timeframe to issue a Phase I contract, NASA is strongly encouraging Offerors to consider purchasing materials and supplies from domestic vendors only. If a foreign vendor is proposed, the Phase I contract may be delayed or not awarded.</i> <p>In addition, the following additional uploads, must be submitted in the Proposal Budget form, as applicable:</p> <p>Proposal Budget Requirements for Use of Government Resources</p> <p>In cases where an Offeror seeks to use Government resources as described in Part 8 of the technical proposal instructions, the Offeror shall provide the following:</p> <ol style="list-style-type: none">1. Statement, signed by the appropriate government official at the effected federal department or agency, verifying that the resources should be available during the proposed period of performance.2. Signed letter on company letterhead from the contractor's Small Business Official explaining why the SBIR/STTR research project requires the use of federal services, equipment or facilities, including data that verifies the					
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	<p>absence of non-federal facilities or personnel capable of supporting the research effort, a statement confirming that the facility proposed is not a federal laboratory, if applicable, and the associated cost estimate.</p> <p><i>Note: Due to the complexity of and general length of time for the approval process to use a Federal laboratory/facility and the six-month period of performance of a Phase I contract, firms are strongly discouraged from requesting the use of a Federal laboratory/facility during the performance of a Phase I contract. Use of a Federal laboratory/facility will be allowed during a Phase II contract; however, firms should also indicate such intent in their Phase I proposal. Approval for use of Federal facilities and laboratories for a Phase I technical proposal requires a very strong justification at time of submission and will require approval by the Program Executive (PE) during negotiations if the proposal is selected for award.</i></p> <p>See Part 8 of the Technical Proposal for additional information on use of federal facilities.</p> <p>Use of Subcontractors and Consultants Offerors that propose using subcontractors or consultants must submit the following:</p> <ol style="list-style-type: none"> <i>1. List of consultants by name with the number of hours and hourly costs identified for each consultant.</i> <i>2. Breakdown of subcontractor budget should mirror the SBC's own breakdown in the Proposal Budget form and include breakdowns of direct labor, other direct costs, profit, as well as indirect rate agreements.</i> <i>3. A signed letter of commitment is required for each subcontractor and/or consultant. For educational</i> 					
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	<p><i>institutions, the letter must be from the institution’s Office of Sponsored Programs.</i></p> <p>Travel in Phase I Due to the intent and short period of performance of the Phase I contracts along with their limited budget, travel during the Phase I contract is highly discouraged unless it is required to successfully complete the proposed effort. If the purpose of the meeting cannot be accomplished via videoconference or teleconference, the offeror must provide rationale for the trip in the proposal budget form. All travel must be approved by the Contracting Officer and concurred by the Technical Monitor.</p>					
<p>4. Technical Proposal</p> <p>This part of the submission should not contain any budget data and must consist of all ten (10) parts listed below in the given order. All ten parts of the technical proposal must be numbered and titled. A completed proposal package omitting any part will be considered nonresponsive to this solicitation and declined without further consideration. Parts that are not applicable must be included and marked “Not Applicable.”</p> <p>The completed proposal package shall provide all information needed for a complete evaluation. Evaluators will not seek additional information. Any pertinent references or publications should be noted in Part 5 of the technical proposal.</p> <p>The required table of contents is provided below:</p> <p>Phase I Table of Contents Part 1: Table of Contents.....Page X Part 2: Identification and Significance of the Innovation Part 3: Technical Objectives Part 4: Work Plan Part 5: Related R/R&D Part 6: Key Personnel and Bibliography of Directly Related Work Part 7: The Market Opportunity Part 8: Facilities/Equipment Part 9: Subcontracts and Consultants Part 10: Related, Essentially Equivalent and Duplicate Proposals and Awards</p>						
<p>Table of Contents</p>	<p><i>(Suggested page limit – 0.5 page and counts toward the 19-page limit)</i></p>					

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	The technical proposal shall begin with a brief table of contents indicating the page numbers of each of the parts of the completed proposal package.						
Identification and Significance of the Proposed Innovation	<p><i>Suggested Page Limit - 5 Pages</i> Succinctly describe:</p> <ul style="list-style-type: none"> • The proposed innovation. • The relevance and significance of the proposed innovation to an interest, need or needs, within a subtopic described in chapter 9. • The proposed innovation relative to the state of the art. 						
Technical Objectives	<p><i>Suggested Page Limit - 1 page</i> State the specific objectives of the Phase I R/R&D effort as it relates to the problem statement(s) posed in the subtopic description and the types of innovations being requested.</p> <p>Indicate the proposed deliverables at the end of the Phase I effort and how these align with the proposed subtopic deliverables described within a subtopic found in section 9.</p> <p>Note: All Offerors submitting completed proposal packages who are planning to use NASA TAV including Intellectual Property (IP) must describe their planned developments with the IP. The NASA Evaluation License Application should be added as an attachment in the Proposal Certifications form (see section 1.6 of the solicitation).</p>						
Work Plan	<p><i>Suggested Page Limit - 5 pages</i> Include a detailed description of the Phase I R/R&D plan to meet the technical objectives. The plan should indicate what will be done, where it will be done and how the R/R&D will be carried out. Discuss in detail the methods planned to achieve each task or objective. Task descriptions, schedules, resource allocations, estimated task hours for each key personnel and planned accomplishments including project milestones shall be included. Offerors should ensure that the estimated task hours provided in the work plan for key personnel are consistent with the hours reported in the Proposal Budget form. If the offeror is a joint venture or limited</p>						

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	partnership, a statement of how the workload will be distributed, managed and charged should be included here.						
Related R/R&D	<p><i>Suggested Page Limit - 1 page</i></p> <p>Describe significant current and/or previous R/R&D that is directly related to the proposal including any conducted by the PI or by the offeror. Describe how it relates to the proposed effort and any planned coordination with outside sources. The offeror must persuade reviewers of his or her awareness of key recent R/R&D conducted by others in the specific subject area.</p>						
Key Personnel and Bibliography of Directly Related Work	<p><i>Suggested Page Limit - 2.5 pages</i></p> <p>Identify all key personnel involved in Phase I activities whose expertise and functions are essential to the success of the project. Provide biographical information, including directly related education and experience. Where the resume/vitae is extensive, summaries that focus on the most relevant experience or publications are desired and may be necessary to meet proposal size limitation.</p> <p>The PI is considered key to the success of the effort and must make a substantial commitment to the project. The following requirements are applicable:</p> <p>Functions: The functions of the PI are planning and directing the project, leading it technically and making substantial personal contributions during its implementation, serving as the primary contact with NASA on the project and ensuring that the work proceeds according to contract agreements. Competent management of PI functions is essential to project success. The Phase I proposal shall describe the nature of the PI's activities and the amount of time that the PI will personally apply to the project. The amount of time the PI proposes to spend on the project must be acceptable to the Contracting Officer.</p>						

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	<p>Qualifications: The qualifications and capabilities of the proposed PI and the basis for PI selection are to be clearly presented in the proposal. NASA has the sole right to accept or reject a PI based on factors such as education, experience, demonstrated ability and competence, and any other evidence related to the specific assignment.</p> <p>Eligibility: This part shall also establish and confirm the eligibility of the PI and shall indicate the extent to which existing projects and other proposals recently submitted or planned for submission in fiscal year 2022 commit the time of the PI concurrently with this proposed activity. Any attempt to circumvent the restriction on PIs working more than half time for an academic or a nonprofit organization by substituting an ineligible PI will result in the proposal package being declined.</p>					
<p>The Market Opportunity</p>	<p><i>Suggested Page Limit - 1 page</i></p> <p>The purpose of this section is for Phase I Offerors to describe the potential commercialization opportunities for the innovation. The SBIR program is mandated to move funded innovations into commercial markets including both federal markets and private sector commercial markets. In addition, Offerors who start to address the market opportunities early will be better positioned to address additional commercialization metrics under future SBIR efforts including Phase II and Phase III.</p> <p>Phase I Offerors should address each of the following:</p> <ul style="list-style-type: none"> • Discuss the business economics and market drivers in the target industry. • How has the market opportunity been validated? • Describe your customers and your basic go-to-market strategy to achieve the market opportunity. • Describe the competition. • How do you expect the competitive landscape may change by the time your innovation enters the market? • What are the key risks in bringing your innovation to market? • Describe your commercialization approach. 					

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	<ul style="list-style-type: none"> • Discuss the potential economic benefits associated with your innovation and provide estimates of the revenue potential, detailing your underlying assumptions. • Describe the resources you expect will be needed to implement your commercialization approach. 					
<p>Facilities/Equipment</p>	<p><i>Suggested Page Limit - 1 page</i> Describe the types, location, and availability of physical facilities necessary to carry out the work proposed. Items of equipment to be purchased must be fully justified under this section. When purchasing equipment or a product under the SBIR funding agreement, the small business should purchase only American-made items whenever possible.</p> <p>If using Government-furnished laboratory equipment, facilities, or services (collectively, “Government resources”) the offeror shall describe in this part why the use of such Government resources is necessary and not reasonably available from the private sector. See sections 3.5.3.4 and 5.13 for additional requirements when proposing use of such Government resources. The narrative description of resources should support the proposed approach and documentation in the Proposal Budget form.</p> <p><i>Note: Due to the complexity of and general length of time for the approval process to use a Federal laboratory/facility and the six-month period of performance of a Phase I contract, firms are strongly discouraged from requesting the use of a Federal laboratory/facility during the performance of a Phase I contract. Use of a Federal laboratory/facility will be allowed during a Phase II contract; however, firms should also indicate such intent in their Phase I proposal. Approval for use of Federal facilities and laboratories for a Phase I technical proposal requires a very strong justification at time of submission and will require approval by the Program Executive (PE) during negotiations if the proposal is selected for award.</i></p>					

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<p>Subcontracts and Consultants</p>	<p><i>Suggested Page Limit - 1 page</i> The offeror must describe all subcontracting or other business arrangements and identify the relevant organizations and/or individuals with whom arrangements are planned. The expertise to be provided by the entities must be described in detail, as well as the functions, services and number of hours. Offerors are responsible for ensuring that all organizations and individuals proposed to be utilized are actually available for the time periods proposed. Subcontract costs shall be documented in the Subcontractors/Consultants section of the Proposal Budget form and supporting documentation should be uploaded for each (appropriate documentation is specified in the form). The narrative description of subcontracts and consultants in the technical proposal should support the proposed approach and documentation in the Proposal Budget form.</p> <p>Note: Offerors who do not plan to have a subcontractor or consultants need to indicate this in the EHB.</p>					
<p>Related, Essentially Equivalent, and Duplicate Proposals and Awards</p>	<p><i>Suggested Page Limit - 1 page</i> WARNING: While it is permissible with proper notification to submit identical proposals or proposals containing a significant amount of essentially equivalent work for consideration under numerous Federal program solicitations, it is unlawful to enter into funding agreements requiring essentially equivalent work.</p> <p>If an Offeror elects to submit identical proposals or proposals containing a significant amount of essentially equivalent work under other Federal program solicitations, a statement must be included in each proposal indicating the following:</p> <ol style="list-style-type: none"> 1. The name and address of the agencies to which proposals were submitted or from which awards were received. 2. Date of proposal submission or date of award. 3. Title, number and date of solicitations under which proposals were submitted or awards received. 					

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	<p>4. The specific applicable research topics for each proposal submitted or award received.</p> <p>5. Titles of research projects.</p> <p>6. Name and title of principal investigator or project manager for each proposal submitted or award received.</p> <p>Offerors are at risk for submitting essentially equivalent proposals and therefore are strongly encouraged to disclose these issues to the soliciting agency to resolve the matter prior to award.</p> <p>A summary of essentially equivalent work information, as well as related research and development on proposals and awards is also required on the Proposal Certifications form (if applicable).</p>					
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5. Applications to I-Corps

Firms proposing to this solicitation will be allowed to also propose participation in the SBIR/STTR I-Corps Program using the following submittal process. I-Corps awards will be made separately from the Phase I contract as a training grant.

<p>I-Corps Interest Form</p>	<p>A complete proposal package will require Offerors to complete a short I-Corps interest form (see section 1.7 for additional information on the I-Corps program) as part of their submission. This form is found in the EHB and NASA uses this form to determine the level of interest from Phase I Offerors to participate in the NASA I-Corps program. Offerors are encouraged to complete the form in its entirety.</p> <p>Based on the initial level of interest in the I-Corps program, NASA plans to open the opportunity to all Phase I awardees to ensure a successful cohort of teams participate in the program. Phase I awardees will receive information from the SBIR PMO during contract negotiations describing the process to provide a 5-page proposal to participate in the I-Corps program. Directions for completing the proposal including due dates, training dates, and available funding will be provided via email.</p>					
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	<p>Additional details on the program can be found at http://sbir.nasa.gov/content/I-Corps.</p> <p>The Government reserves the right to limit the number of Offerors to participate in the I-Corps program based on the assessment of the I-Corps proposals and funding availability.</p>					
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6. Briefing Chart

The 1-page briefing chart is required to assist in the ranking and advocacy of proposals prior to selection and contains the following sections with summary information:

- Identification and Significance of Innovation
- Technical Objectives
- Proposed Deliverables
- NASA Applications
- NASA Relevant Commercial Market Applications
- Graphic

It shall not contain any proprietary data or ITAR-restricted data. An electronic form will be provided during the submissions process. For more information on ITAR see <https://www.sbir.gov/tutorials/itar/>.

Note: The briefing chart is public information and may be disclosed. Do not include proprietary information in this form.

7. Request for Use of Technical and Business Assistance (TAB A) Funds at Phase I

Offerors are encouraged to request TAB A at Phase I and can choose their own TAB A vendor. NASA does not have a TAB A preferred vendor, however there are many TAB A vendors that market their services and are well positioned to support NASA SBIR awardees. Although NASA cannot direct offerors to any specific TAB A vendor or website, offerors should plan some time before the proposal is submitted to conduct research and learn about the TAB A vendors that currently market their services and decide which vendor they may wish to use.

Offerors selected for Phase I contract negotiations can receive up to \$6,500 as a TAB A supplement to the Phase I award.

For additional TAB A information see <https://www.sbir.gov/node/2088581>.

8. Firm Certifications

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Certifications that are applicable across all completed proposal package submissions submitted to this solicitation must be completed via the Firm Certifications section of the Proposal Submissions Electronic Handbook (EHB). The Offeror shall answer “Yes” or “No” as applicable. An example of the certifications can be found in the NASA SBIR/STTR Resources website: http://sbir.gsfc.nasa.gov/sbir/firm_library/index.html. An electronic form will be provided during the submissions process.

Note: The designated Firm Admin, typically the first person to register your firm, is the only individual authorized to update the certifications.

9. Audit Information

Although firms are not required to have an approved accounting system, knowledge that a firm has an approved accounting system facilitates NASA’s determination that rates are fair and reasonable. To assist NASA, the SBC shall complete the questions in the Audit Information form regarding the firm’s rates and upload the Federal agency audit report or related information that is available from the last audit. There is a separate Audit Information section in the Proposal Budget form that shall also be completed. If your firm has never been audited by a federal agency, then answer "No" to the first question and you do not need to complete the remainder of the form. An electronic form will be provided during the submissions process.

The Contracting Officer will use this Audit Information to assist with negotiations if the completed proposal package is selected for award. The Contracting Officer will advise Offerors what is required to determine reasonable cost and/or rates in the event the Audit Information is not adequate to support the necessary determination on rates.

Note: The designated firm administrator, typically the first person to register your firm, is the only individual authorized to update the audit information.

10. Disclosures of Foreign Affiliations or Relationships to Foreign Countries

Each offeror is required to complete the Disclosures of Foreign Affiliations or Relationships to Foreign Countries form as required in ProSAMS. See section 2.3.1 for additional information on these disclosures. You must answer “Yes” or “No” as applicable and provide the requested information related to each “yes” response. Please note that even if you do not have any foreign relationships, you must complete the "Disclosures of Foreign Affiliations or Relationships to Foreign Countries form" to represent that such relationships do not exist. Failure to complete and include this form will result in the declination of your application during the administrative screening.

11. Prior Awards Addendum

If the SBC has received more than 15 Phase II awards in the prior 5 fiscal years, submit name of awarding agency, solicitation year, phase, date of award, funding agreement/contract number, and topic or subtopic title for each Phase II. If your firm has received any SBIR or STTR Phase II awards, even if it has received fewer than 15 in the last 5 years, it is still recommended that you complete this form for those Phase II awards your firm did receive. This information will be useful when completing the Commercialization Metrics Survey, and in tracking the overall success of the SBIR and STTR Programs. Any NASA Phase II awards your firm has received will be automatically populated in the electronic form, as are any Phase II awards previously entered by the SBC during prior submissions (you may update the information for these awards). An electronic form will be provided during the submissions process.

Note: The designated firm admin, typically the first person to register your firm, is the only individual authorized to update the addendum information.

12. Commercial Metrics Survey (CMS)

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NASA has instituted a comprehensive commercialization survey/data-gathering process for firms with prior NASA SBIR/STTR awards to allow NASA to track the overall commercialization success of its SBIR and STTR programs. The Commercialization Metrics Survey is a required part of the completed proposal package submissions process and must be completed via the Proposal Submissions EHB electronic form. Companies with no SBIR/STTR awards or awards within the last 3 to 5 years will not be penalized under past performance for the lack of past SBIR/STTR commercialization.

If an Offeror has received any Phase III awards resulting from work on any NASA SBIR or STTR awards, provide the related Phase I or Phase II contract number, name of Phase III awarding agency, date of award, Funding Agreement number, amount, project title, and period of performance. The survey will also ask for firm financial, sales, and ownership information, as well as any commercialization success the firm has had because of SBIR or STTR awards. This information must be updated annually during completed proposal package submission via the EHB.

Note: Information received from Offerors via the survey is kept confidential and will not be made public except in broad aggregate, with no firm-specific attribution. Password protected documents may not be submitted in response to the survey.