

**National Aeronautics and Space  
Administration  
Small Business  
Technology Transfer (STTR)  
Phase II  
Program Year 2024 Solicitation**

**Completed Proposal Package Due Date and Time:  
September 8, 2025 - 5:00 p.m. ET**

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## Executive Summary

This notice identifies the objectives for the National Aeronautics and Space Association (NASA) Small Business Technology Transfer (STTR) Program Phase II projects, deadlines, funding information, eligibility criteria for projects and offerors, and instructions to submit a complete proposal package.

The NASA STTR program supports small businesses to create innovative, disruptive technologies that benefit society and may be used in NASA programs and missions, other government agencies, and/or sold in commercial markets. Different from most investors, the NASA STTR Program provides equity-free funding for early or "seed" stage research and development.

The NASA STTR program focuses on the following:

- Stimulate technological innovation in the private sector.
- Use small business to meet Federal research and development needs.
- Foster and encourage participation by emerging and undercapitalized SBCs in technological innovation.
- Increase the commercial application of these research results.
- Foster technology transfer through cooperative R&D between small businesses and research institutions.

NASA requests proposal packages for the STTR Program Phase II as follow-on work that originally started and was completed under the fiscal year (FY) 2024 STTR Phase I solicitation. **Only small businesses that had a FY 2024 NASA STTR Phase I award are allowed to submit a proposal for Phase II under this solicitation.**

**The STTR 2024 Phase II solicitation period for submission of proposal packages begins on July 25, 2025, and ends at 5 p.m. Eastern Time on September 8, 2025.**

**Note: If an offeror has received a no-cost extension on their Phase I contract, September 8, 2025, applies as the deadline. Therefore, the new period of performance date for the extension does not apply and cannot be used as the deadline to submit a Phase II Proposal.**

You must use the Proposal Submissions and Award Management System (ProSAMS) to submit a proposal package. ProSAMS requires firm registration and login and provides a secure connection. To access ProSAMS, go to <https://prosams.nasa.gov/>. All submissions are through a secure connection and most communication between NASA and the firm via the Help Desk at [agency-sbir@mail.nasa.gov](mailto:agency-sbir@mail.nasa.gov).

The Small Business Innovation Research (SBIR) and STTR Extension Act of 2022 (<https://www.congress.gov/bill/117th-congress/senate-bill/4900/text>) reauthorizes through FY 2025 and modifies the SBIR program, the STTR program, and related pilot programs.

The bill requires agencies with an SBIR or STTR program to assess the security risks presented by offerors with financial ties or obligations to certain foreign countries. The programs may not make awards to businesses with certain connections to foreign entities. See sections [1.1.1](#) Due Diligence Program to Assess Security Risks and [2.3.1](#) Disclosures of Foreign Affiliation or Relationships to Foreign Countries for additional details.

# 1. Program Description

## 1.1 Legislative Authority and Background

The SBIR and STTR Extension Act of 2022 (Pub. L. 117-183.) amended 15 U.S.C. § 638 of the Small Business Act to extend the SBIR/STTR programs until September 30, 2025. Policy is provided by the Small Business Administration (SBA) through the combined Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs Policy Directive. The main purpose of the legislation is to stimulate technological innovation in the Federal Research/Research and Development (R/R&D) sector and increase private sector commercialization in both the SBIR and STTR programs. Accordingly, the NASA STTR program is in a unique position to meet both goals by transforming scientific discovery and innovation to be used in NASA programs and missions as well as emphasizing private-sector commercialization.

The STTR program is Congressionally mandated and intended to support scientific excellence and technological innovation through the investment of Federal research funds to build a strong national economy by stimulating technological innovation in the private sector; strengthening the role of small businesses in meeting Federal research and development needs; increasing the commercial application of federally supported research results; fostering and encouraging participation by socially and economically disadvantaged and women-owned small businesses; and fostering technology transfer through cooperative R&D between small businesses and research institutions.

### 1.1.1 Due Diligence Program to Assess Security Risks

The SBIR and STTR Extension Act of 2022 requires NASA, in coordination with the SBA, to establish and implement a due diligence program to assess security risks presented by offerors seeking a Federally funded award. As noted above, the NASA SBIR/STTR Programs follow the policies and practices of the SBA SBIR/STTR Policy Directive. Revisions to the Policy Directive are in effect as of May 3, 2023 and [the Federal Register Notice](#). This revision is incorporated into this solicitation, “Disclosures of Foreign Affiliations or Relationships to Foreign Countries” as reflected in the Disclosures of Foreign Affiliations or Relationships to Foreign Countries form (see section [2.3.1](#)).

In accordance with Section 4 of the SBIR and STTR Extension Act of 2022, NASA will review all proposals submitted in response to this solicitation to assess security risks presented by offerors seeking an SBIR or STTR award. NASA will use information provided by the offeror in response to the Disclosures of Foreign Affiliations or Relationships to Foreign Countries form 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 financial ties and obligations (which shall include surety, equity, and debt obligations) of the offeror and its employees to a foreign country, foreign person, or foreign entity.

## 1.2 Purpose and Priorities

The purpose of Phase II is to continue the R/R&D developed under Phase I with a goal to commercialize and bring the innovation to either Federal or commercial markets, or both, as the Phase II project completes. Phase II will require a more comprehensive application, outlining the proposed effort in detail and the commercialization strategy for the effort. NASA recognizes that Phase II awards may not be sufficient in either dollars or time for the firm to complete the total R/R&D and the commercialization activities required to bring the project results to the marketplace. Therefore, completion of the research under these circumstances may have to be carried into Post Phase II opportunities or Phase III.

This solicitation includes instructions for Small Business Concerns (SBCs) in collaboration with a Research Institution (RI) to submit a Phase II completed proposal package to the NASA STTR program. Furthermore, program background information, eligibility requirements for participants, information on the three program phases,

and information for submitting completed and responsive proposal packages to NASA-specific research subtopics are contained herein. **The STTR 2024 Phase II solicitation period for submission of completed proposal packages begins on July 25, 2025, and ends at 5 p.m. Eastern Time on September 8, 2025.**

The Space Technology Mission Directorate (STMD) provides overall policy direction for the implementation of the NASA STTR program. The NASA SBIR/STTR Program Management Office (PMO), hosted at the NASA Ames Research Center, operates the program in conjunction with NASA mission directorates and centers. Additionally, the NASA Shared Services Center (NSSC) provides the overall procurement management for the programs.

For this STTR Phase II solicitation, NASA research and technology areas that were solicited in Phase I serve as the basis for the Phase II proposal. Under this solicitation, there will not be a listing of research subtopics. Offerors are expected to provide proposals that are follow-on work from their 2024 Phase I award and should reference chapter 9 of the FY2024 STTR Phase I solicitation for original subtopic information at [https://www.nasa.gov/sbir\\_sttr/phase-i/](https://www.nasa.gov/sbir_sttr/phase-i/).

### 1.3 Three-Phase Program

The NASA STTR program is carried out in three separate phases. Only Phase II is described below as offerors will have already completed Phase I to submit under this solicitation. The three phases are described in detail on the NASA SBIR/STTR website: <https://sbir.nasa.gov/>.

#### Phase II

Phase II proposals continue the R/R&D developed under Phase I to bring the innovation closer to infusion into a NASA program or mission and/or commercialization of the innovation in the marketplace. Phase II will require a more comprehensive proposal, outlining the proposed effort in detail and the commercialization strategy for the effort. Only firms with FY2024 Phase I awards are eligible to submit a Phase II proposal at the conclusion of the Phase I contract.

Phase II Contracts	STTR
Maximum Contract Value	\$850,000
Maximum Period of Performance	24 months

#### Post-Phase II Opportunities for Continued Technology Development

NASA recognizes that Phase I and II awards may not be sufficient in either dollars or time for the firm to complete the total R/R&D and the commercialization activities required to make the project ready for infusion or the commercial marketplace. Therefore, NASA has several initiatives for supporting its small business partners beyond their Phase I and Phase II awards.

Please refer to the NASA SBIR/STTR website for Post Phase II eligibility, application deadlines, matching requirements, and further information.

#### Phase III

Phase III is the commercialization of innovative technologies, products, and services resulting from either a Phase I or Phase II contract. This includes further development of technologies for transition into NASA programs, other Government agencies, or the private sector. Phase III contracts are funded from sources other than the STTR program and may be awarded without further competition. Please refer to [https://www.nasa.gov/sbir\\_sttr/phase-iii/](https://www.nasa.gov/sbir_sttr/phase-iii/) for Phase III information.

## 1.4 Availability of Funds

There is no commitment by NASA to fund any proposal or to make a specific number of awards and NASA may elect to make several or no awards in any specific research subtopic. The number of awards will be based on the level of appropriated funding provided to the program in FY2025.

## 1.5 Eligibility Requirements

### 1.5.1 Small Business Concern (SBC)

Each Phase II offeror must submit a certification stating that it meets the size, ownership, and other requirements of the STTR program at the time of a completed proposal package submission, award, and at any other time set forth in SBA's regulations at [13 CFR §§ 121.701-121.705](#). Socially and economically disadvantaged and women-owned SBCs are particularly encouraged to propose.

### 1.5.2 SBC Size

A Phase II offeror, combined with its affiliates (as defined in 13 CFR § 121.702), must not have more than 500 employees.

### 1.5.3 STTR Restrictions on Level of Small Business Participation

The SBC must be the primary performer of the proposed Phase II research effort. To be awarded an STTR Phase II contract, at least 40% of the research or analytical effort must be performed by the offeror, and at least 30% of the effort must be performed by a single research institution.

### 1.5.4 Place of Performance and American-made Products and Equipment

**All work shall be performed in the United States.** When purchasing equipment or a product under the SBIR/STTR funding agreement, purchase only American-made items whenever possible. However, based on a rare and unique circumstance (for example, if a supply, material, or other item or project requirement is not available in the United States), NASA may allow a particular portion of the research or work to be performed or obtained in a country outside of the United States.

Completed proposal packages must clearly indicate if any work will be performed outside the United States, including subcontractor performance, and justification must be provided by downloading and completing the "Request to Use a Foreign Vendor/Purchase of Items from a Foreign Vendor" form found at [https://www.nasa.gov/sbir\\_sttr/firms\\_library/](https://www.nasa.gov/sbir_sttr/firms_library/) and while completing the budget under section [3.4](#). Prior to award, approval by the Contracting Officer for such specific condition(s) must be in writing.

**Note:** NASA will not approve purchases from or work with countries that appear on the list of *Designated Countries*. For reference, please see <https://www.nasa.gov/oiiir/export-control>.

### 1.5.5 Principal Investigator (PI) Employment Requirement

Requirements	STTR
<b>Primary Employment</b>	Principal investigator must be primarily employed with the SBC or the research institution (RI)
<b>Employment Certification</b>	The offeror must certify in the completed proposal package that the primary employment of the PI will be with the SBC or the RI at the time of award and during the execution of the project. Primary employment means that more than 50 percent of the PI's total



	employed time (including all concurrent employers, consulting, and self-employed time) is spent with the SBC or RI at the time of award and during the entire period of performance. Primary employment with an SBC precludes full-time employment at another organization. If the PI does not currently meet these primary employment requirements, then the offeror must explain how these requirements will be met if the proposal is selected for contract negotiations that may lead to an award.
<b>Co-PIs</b>	Not allowed.
<b>Deviation Request</b>	Any deviation requests will be reviewed during the negotiation of the award and either approved or declined before the final award by the funding agreement officer.
<b>Misrepresentation of Qualifications</b>	This shall result in a decline of the completed proposal package or termination of the contract.
<b>Substitution of PIs</b>	Requires prior approval from NASA after award.

*Note: NASA considers full-time employment to include salaried employees and employees who regularly work a 40-hour workweek. NASA considers a 19.9-hour or more workweek elsewhere to conflict with this rule. In rare occasions, minor deviations from this requirement may be necessary; however, any minor deviation must be approved in writing prior to the award by the Contracting Officer after consultation with the NASA SBIR/STTR Program Manager.*

### 1.5.6 Restrictions on Venture-Capital-Owned Businesses

At the current time, small businesses owned in the majority part by multiple venture capital operating companies, hedge funds, or private equity firms are not eligible to submit a proposal package under this NASA STTR Phase II solicitation.

### 1.5.7 Joint Ventures or Limited Partnerships

Both joint ventures and limited partnerships are permitted, provided the entity created qualifies as an SBC in accordance with the definition of an SBC here [https://www.nasa.gov/sbir\\_sttr/program-definitions/](https://www.nasa.gov/sbir_sttr/program-definitions/). A statement of how the workload will be distributed, managed, and charged should be included in the completed proposal package. See definitions for Joint Ventures along with examples at [13 CFR 121.103\(h\)](#).

A copy or comprehensive summary of the joint venture agreement or partnership agreement should be included when uploading the completed proposal package.

## 1.6 NASA Technology Available (TAV) for STTR Use

Offerors that proposed to use technology developed by NASA (Technology Available (TAV) under their Phase II project should plan to continue to move the technology towards commercialization after Phase II. For more information on the NASA Technology Transfer program go to <http://technology.nasa.gov>. Whether or not a firm proposes the use of a NASA patent or computer software within its proposed effort will not in any way be a factor in the selection for the award.

### 1.6.1 Use of NASA Software

If an offeror intends to use NASA software, a Software Usage Agreement (SUA), on a nonexclusive, royalty-free basis, is necessary, and the clause at 48 CFR 1852.227-88, Government-Furnished Computer Software and Related Technical Data, will apply to the contract. The SUA shall be requested from the appropriate NASA center Software Release Authority (SRA), after the contract award.

### 1.6.2 Use of NASA Patent

All offerors submitting a completed proposal package that includes the use of a NASA patent must apply for a nonexclusive, royalty-free evaluation license. After firms have identified a patent to license in the NASA patent portfolio (<http://technology.nasa.gov>), a link on the patent webpage (“Apply Now to License this Technology”) will direct them to NASA’s Automated Licensing System (ATLAS) to finalize their license with the appropriate field center technology transfer office. The completed evaluation license application must be provided with the proposal following the directions in section 3.4. Such grant of nonexclusive evaluation license will be set forth in the successful offeror’s STTR contract. The evaluation license will automatically terminate at the end of the STTR contract. License applications will be treated in accordance with Federal patent licensing regulations as provided in 37 CFR Part 404.

In addition to an evaluation license, if the proposed work includes the making, using, or selling of products or services incorporating a NASA patent, successful awardees will be given the opportunity to negotiate a nonexclusive commercialization license or, if available, an exclusive commercialization license to the NASA patent. Commercialization licenses are also provided in accordance with 37 CFR Part 404.

An STTR awardee that has been granted a nonexclusive, royalty-free evaluation license to use a NASA patent under the STTR award may, if available and on a noninterference basis, also have access to NASA personnel knowledgeable about the NASA patent. Licensing executives located at the appropriate NASA field center will be available to assist awardees requesting information about a patent that was identified in the STTR contract and, if available and on a noninterference basis, provide access to the inventor or surrogate for the purpose of knowledge transfer. Access to the inventor for the purpose of knowledge transfer will require the requestor to enter into a Non-Disclosure Agreement (NDA) or other agreement, such as a Space Act Agreement (SAA). The awardee may be required to reimburse NASA for knowledge transfer activities.

### 1.7 Technical and Business Assistance (TAB A)

In accordance with the [Small Business Act 15 U.S.C. 631, Section 9 \(q\) Discretionary Technical and Business Assistance](#) (TAB A), NASA may authorize the recipient of a NASA Phase II STTR award to purchase (up to \$50,000) technical and business assistance services through one or more outside vendors. These services may, as determined appropriate, include access to a network of non-NASA scientists and engineers engaged in a wide range of technologies, assistance with product sales, intellectual property (IP) protections, market research, market validation, and development of regulatory plans and manufacturing plans, or access to technical and business literature available through online databases, for the purpose of assisting such concerns in:

- Making better technical decisions concerning such projects.
- Solving technical problems that arise during the conduct of such projects.
- Minimizing technical risks associated with such projects; or,
- Commercializing new products and processes resulting from such projects, including intellectual property protections.

TAB A vendors may include private commercialization assistance or business development service providers, public-private partnerships, other entrepreneurial support organizations (ESOs), and attorneys or other IP or licensing professionals. TAB A funds may not be used to fund activities conducted internally by the small business awardee.

For information on how to request TAB A at Phase II, please see Section 3.4.15, Request for Use of Technical and Business Assistance Funds. Technical and business assistance does not count toward the maximum award amount of

your Phase II contract. Approval of technical and business assistance is not guaranteed and is subject to review by the Contracting Officer and the SBIR/STTR Program Management Office. Awardees who receive a TABA supplement must deliver a description of services obtained, and results at completion of their Phase II contract.

## 1.8 Small Business Administration (SBA) Applicant Resources

The SBA oversees the Federal SBIR and STTR programs. The SBA has resources that small businesses can take advantage of in learning about each of the programs and obtaining help in developing a completed proposal package to submit to a Federal SBIR/STTR program. Offerors are encouraged to review the information that is provided at the following links: [www.sbir.gov](http://www.sbir.gov), <https://www.sba.gov/local-assistance>, and <https://www.sbir.gov/resources>.

## 1.9 NASA Mentor-Protégé Program (MPP)

The purpose of the NASA Mentor-Protégé Program (MPP) is to provide incentives to NASA contractors, performing under at least one active approved subcontracting plan negotiated with NASA, to assist protégés in enhancing their capabilities to satisfy NASA and other contract and subcontract requirements. The NASA MPP established under the authority of Title 42, United States Code (U.S.C.) 2473(c)(1) and managed by the Office of Small Business Programs (OSBP), includes an Award Fee Pilot Program. Under the Award Fee Pilot Program, a mentor is eligible to receive an award fee at the end of the agreement period based upon the mentor's performance of providing developmental assistance to an active SBIR Phase II contractor in a NASA Mentor-Protégé agreement (MPA). For more information on the Mentor-Protégé Program, please visit <https://www.nasa.gov/osbp/mentor-protége-program>.

## 1.10 Fraud, Waste, Abuse, and False Statements

Fraud is described as “any false representation about a material fact or any intentional deception designed to deprive the United States unlawfully of something of value or to secure from the United States a benefit, privilege, allowance, or consideration to which an individual or business is not entitled.” The Federal Government reserves the right to decline any completed proposal packages that include plagiarism and false claims.

***Note: Knowingly and willfully making any false, fictitious, or fraudulent statements or representations may be a felony under the Federal Criminal False Statement Act (18 U.S.C., section 1001), punishable by a fine and imprisonment of up to 5 years in prison. The Office of the Inspector General (OIG) has full access to all completed proposal packages submitted to NASA.***

Pursuant to NASA policy, any company representative who observes a crime, fraud, waste, abuse, or mismanagement or receives an allegation of a crime, fraud, waste, abuse, or mismanagement from a federal employee, contractor, grantee, contractor, grantee employee, or any other source will report such observation or allegation to the Office of Inspector General (OIG). NASA contractor employees and other individuals are also encouraged to report crime, fraud, waste, and mismanagement in NASA's programs to the OIG. The OIG offers several ways to report a complaint:

**NASA OIG Hotline:** 1-800-424-9183 (TDD: 1-800-535-8134)

**NASA OIG Cyber Hotline:** <https://oig.nasa.gov/cyberhotline.html>

**Or by mail:**

NASA Office of Inspector General  
P.O. Box 23089  
L'Enfant Plaza Station  
Washington, DC 20026

## 1.11 NASA Procurement Ombudsman Program

The NASA Procurement Ombudsman Program is available under this solicitation as a procedure for addressing concerns and disagreements concerning the terms of the solicitation, the processes used for the evaluation of completed proposal packages, or any other aspect of the STTR procurement. The clause at NASA Federal Acquisition Regulation (FAR) Supplement (NFS) 1852.215-84 (“Ombudsman”) is incorporated into this solicitation.

The cognizant ombudsman is:

Marvin Horne, Procurement Ombudsman Office of Procurement  
NASA Headquarters  
Washington, DC 20546-0001  
Telephone: 202-358-4483  
Fax: 202-358-3082  
Email: [agency-procurementombudsman@nasa.gov](mailto:agency-procurementombudsman@nasa.gov)

Offerors are advised that, in accordance with NFS 1852.215-84, the ombudsman does not participate in any way with the evaluation of completed proposal packages, the source selection process, or the adjudication of formal contract disputes. Therefore, before consulting with the ombudsman, offerors must first address their concerns, issues, disagreements, and/or recommendations to the Contracting Officer for resolution. Offerors are further advised that the process set forth in this solicitation provision (and described at NFS 1852.215-84) does not augment their right to file a bid protest or otherwise toll or elongate the period in which to timely file such a protest.

## 1.12 General Information

### 1.12.1 Questions About This Solicitation and Means of Contacting NASA STTR Program

To ensure fairness, questions relating to the intent and/or content of research subtopics in this solicitation cannot be addressed during the open solicitation period. Only questions requesting clarification of the completed proposal package instructions and administrative matters will be addressed.

**The cutoff date and time for receipt of Phase II solicitation questions requesting clarification of completed proposal package instructions and administrative matters are September 5, 2025, at 12:00 p.m. ET.**

Offerors that have questions requesting clarification of completed proposal package instructions and administrative matters should refer to the NASA SBIR/STTR website or contact the NASA SBIR/STTR helpdesk.

1. NASA SBIR/STTR website: <http://sbir.nasa.gov>
2. Help Desk: The NASA SBIR/STTR Help Desk can answer any questions regarding clarification of completed proposal package instructions and any administrative matters. The Help Desk may be contacted by:
  - a. Email: [agency-sbir@mail.nasa.gov](mailto:agency-sbir@mail.nasa.gov)
  - b. The requestor must provide the name and telephone number of the person to contact, the organization name and address, and the specific questions or requests.

## 1.13 Definitions

A comprehensive list of definitions related to the programs is available at [https://www.nasa.gov/sbir\\_sttr/program-definitions/](https://www.nasa.gov/sbir_sttr/program-definitions/). These definitions include those from the SBA SBIR/STTR programs Policy Directive as well as terms specific to NASA. Offerors are strongly encouraged to review these prior to submitting a completed proposal package.

## 2. Registrations, Certifications, and Other Completed Proposal Package Information

### 2.1 Small Business Administration (SBA) Company Registry

All SBCs that are applying to any STTR solicitation are required to register with the STTR Company Registry which is managed by the SBA. In addition, all SBCs must update their commercialization status through the STTR Company Registry. Information related to the steps necessary to register with the STTR Company Registry can be found at <https://app.www.sbir.gov/company-registration/overview>

After an SBC registers with SBA and/or updates their commercialization information, the offeror needs to obtain a portable document format (PDF) copy of the SBC registration. In addition, the SBC must provide their unique SBC Control ID (assigned by SBA upon completion of the Company Registry registration) and must upload the PDF copy of the SBC registration in the Firm Certifications form in ProSAMS and will be provided instructions on how to complete it at time of submission. Firm Certifications are applicable across all proposal packages submitted by an SBC for the specific solicitation and only need to be completed once per solicitation.

### 2.2 System for Award Management (SAM) Registration

SAM, maintained by the General Services Administration's (GSA) Federal Acquisition Service, is the primary repository for contractor information required to conduct business with NASA. To be registered in SAM, all mandatory information, including the Unique Entity Identifier (UEI) and a Commercial and Government Entity (CAGE) code, must be validated in SAM. You may obtain information on SAM registration and annual confirmation requirements at <https://www.sam.gov/SAM/pages/public/index.jsf> or by calling 866-606-8220.

Per FAR 4.1102(a) "Offerors and quoters are required to be registered in SAM at the time an offer or quotation is submitted in order to comply with the annual representations and certifications..." To be eligible for SBIR awards, you must have an active SAM registration at time of proposal submission. You must be registered under North American Industry Classification System (NAICS) code 541713 or 541715 as a small business at the time of contract award. Note that your SAM registration must remain active through entire process from proposal submission to contract performance. If you are not registered, apply for registration immediately upon receipt of this solicitation. Typically, SAM registration and updates to SAM registration take several weeks. In order to receive an SBIR/STTR award from NASA, purpose of registration must be listed as "All Awards" on your SAM Registration. Note that your SAM registration Doing Business As (DBA) name will appear on all contract documents.

### 2.3 Certifications

Offerors must complete the Firm and Proposal Certifications by answering "Yes" or "No" to certifications as applicable in the Proposal Submissions and Award Management System (ProSAMS). Firms should carefully read each of the certification statements. The Federal Government relies on the information to determine whether the business is eligible for a STTR program award. ProSAMS requires firm registration and login. To access ProSAMS, go to <https://prosams.nasa.gov/>. Additional guidance is available in the ProSAMS SBC Registration and Login Digital Guide:

[https://prosams.nasa.gov/training/ProSAMS\\_SBIR\\_STTR\\_Digital\\_Guide\\_Registration\\_and\\_Login\\_R4\\_02162024.pdf](https://prosams.nasa.gov/training/ProSAMS_SBIR_STTR_Digital_Guide_Registration_and_Login_R4_02162024.pdf)

A similar certification will be used to ensure continued compliance with specific program requirements at the time of award and during the life of the Funding Agreement. The definitions for the terms used in this certification are set forth in the Small Business Act, SBA regulations (13 CFR Part 121), the SBIR/STTR programs [Policy Directive](#), and any statutory and regulatory provisions referenced in those authorities.

All STTR Phase II contractors shall also complete the life cycle certifications at the midpoint and the end of the contract period of performance. The certifications shall be completed by the contractor in ProSAMS unless otherwise authorized or directed by the Contracting Officer (CO).

If the CO believes that the business may not meet certain eligibility requirements at the time of award, the business is required to file a size protest with the SBA, which will determine eligibility. At that time, SBA will request further clarification and supporting documentation to assist in the eligibility determination. Additionally, the CO may request further clarification and supporting documentation regarding eligibility to determine whether a referral to SBA is required.

### **2.3.1 Disclosures of Foreign Affiliation or Relationships to Foreign Countries**

Each offeror is required to complete the “Disclosures of Foreign Affiliations or Relationships to Foreign Countries” form as part of their proposal submission. Please note that even if you do not have any foreign relationships, you must complete this form to represent that such relationships do not exist. Failure to submit this form will result in declination of your proposal during the administrative screening process and your proposal will not be evaluated. The disclosure of information related to foreign involvement or investment is required and does not independently disqualify an offeror but failing to disclose such affiliations or relationships may result in denial of an award.

The disclosures require the following information:

- (A) the identity of all owners and covered individuals of the small business concern who are a party to any foreign talent recruitment program of any foreign country of concern, including the People’s Republic of China;
- (B) the existence of any joint venture or subsidiary of the small business concern that is based in, funded by, or has a foreign affiliation with any foreign country of concern, including the People’s Republic of China;
- (C) any current or pending contractual or financial obligation or other agreement specific to a business arrangement, or joint venture-like arrangement with an enterprise owned by a foreign state or any foreign entity;
- (D) whether the small business concern is wholly owned in the People’s Republic of China or another foreign country of concern;
- (E) the percentage, if any, of venture capital or institutional investment by an entity that has a general partner or individual holding a leadership role in such entity who has a foreign affiliation with any foreign country of concern, including the People’s Republic of China;
- (F) any technology licensing or intellectual property sales to a foreign country of concern, including the People’s Republic of China, during the five-year period preceding submission of the proposal; and
- (G) any foreign entity, offshore entity, or entity outside the United States related to the small business concern.

After reviewing the above listed disclosures of the offeror, and if determined appropriate by NASA, the program may ask the offeror to provide true copies of any contractual or financial obligation or other agreement specific to a business arrangement or joint venture-like arrangement with an enterprise owned by a foreign state or any foreign entity in effect during the five-year period preceding submission.

Throughout the duration of the award, the awardee will be required to regularly report to NASA any changes to a required disclosure.

## **2.4 Federal Acquisition Regulation (FAR) and NASA Certifications and Clauses**

SAM contains required certifications offerors may access at <https://www.acquisition.gov/browsefar> as part of the required registration (see FAR 4.1102). Offerors must complete these certifications to be eligible for an award.



Offerors should be aware that SAM requires all offerors to provide representations and certifications electronically via the website and to update the representations and certifications as necessary, but at least annually, to keep them current, accurate, and complete. NASA will not enter any contract wherein the contractor is not compliant with the requirements stipulated herein.

In addition, there are clauses that offerors will need to be aware of if selected for a contract. For a complete list of FAR and NASA clauses see Appendix [A](#).

## 2.5 Software Development Standards

Offerors proposing projects involving the development of software may be required to comply with the requirements of NASA Procedural Requirements (NPR) 7150.2A, NASA Software Engineering Requirements, available online at [https://nodis3.gsfc.nasa.gov/npg\\_img/N\\_PR\\_7150\\_002D/N\\_PR\\_7150\\_002D\\_Preface.pdf](https://nodis3.gsfc.nasa.gov/npg_img/N_PR_7150_002D/N_PR_7150_002D_Preface.pdf)

## 2.6 Human and/or Animal Subject

Offerors should be aware of the requirement that an approved protocol by a NASA review board is required if the proposed work includes human or animal subjects. An approved protocol shall be provided to the Contracting Officer prior to the initiation of any human and/or animal subject research. Offerors shall identify the use of human or animal subjects in the Proposal Certifications form. For additional information, contact the NASA SBIR/STTR Program Office at [agency-sbir@mail.nasa.gov](mailto:agency-sbir@mail.nasa.gov). Reference 14 CFR 1230 and 1232.

## 2.7 Flight Safety Standards

If you are proposing projects involving the delivery of a spacecraft, you must comply with NASA Procedural Requirements (NPR) 8079.1, NASA Spacecraft Conjunction Analysis and Collision Avoidance for Space Environment Protection, available online at <https://nodis3.gsfc.nasa.gov/displayDir.cfm?t=NPR&c=8079&s=1>.

## 2.8 Homeland Security Presidential Directive 12 (HSPD-12)

Offerors that require access to Federally controlled facilities or access to a Federal information system (Federally controlled facilities and Federal information systems are defined in FAR 2.101(b)(2)) for 6 consecutive months or more must adhere to Homeland Security Presidential Directive 12 (HSPD-12), Policy for a Common Identification Standard for Federal Employees and Contractors, and Federal Information Processing Standards Publication (FIPS PUB) Number 201, Personal Identity Verification (PIV) of Federal Employees and Contractors, which require agencies to establish and implement procedures to create and use a Government-wide secure and reliable form of identification no later than October 27, 2005. See <https://nvlpubs.nist.gov/nistpubs/FIPS/NIST.FIPS.201-2.pdf>.

This is in accordance with FAR clause 52.204-9, Personal Identity Verification of Contractor Personnel, which states in part that the contractor shall comply with the requirements of this clause and shall ensure that individuals needing such access shall provide the personal background and biographical information requested by NASA.

**Note:** Additional information regarding PIV credentials can be found at <https://csrc.nist.gov/Projects/PIV>.

### 3. Phase II Proposal Preparation Instructions and Requirements

#### 3.1 Phase II Proposal

The Phase II proposal is to continue the R/R&D developed under Phase I with a goal to commercialize and bring the innovation to Federal and commercial markets as the Phase II project completes. Phase II will require a more comprehensive application, outlining the proposed effort in detail and the commercialization strategy for the effort. NASA recognizes that Phase II awards may not be sufficient in either dollars or time for the firm to complete the total R/R&D and the commercialization activities required to bring the project results to the marketplace. Therefore, completion of the research under these circumstances may have to be carried into NASA Post-Phase II or Phase III opportunities.

#### 3.2 Proprietary Information in the Proposal Submission

Information contained in unsuccessful proposals will remain the property of the applicant. The Federal Government may, however, retain copies of all proposals. Public release of information in any proposal submitted will be subject to existing statutory and regulatory requirements. If proprietary information is provided by an applicant in a proposal, which constitutes a trade secret, commercial or financial information, it will be treated in confidence, to the extent permitted by law, provided that the proposal is clearly marked by the applicant as follows:

- (A) The following “italicized” legend must appear on the title page of the proposal:

*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 the award is made as a result of the submission of this proposal. The information subject to these restrictions is contained on all pages of the proposal except for pages [insert page numbers or other identification of pages that contain no restricted information].*

*(End of Legend);* and

- (B) The following legend must appear on each page of the proposal that contains information the applicant wishes to protect:

*Use or disclosure of information contained on this sheet is subject to the restriction on the title page of this proposal.*

Information contained in unsuccessful proposals will remain the property of the applicant. However, the Government will retain copies of all proposals in accordance with its records retention schedule.

#### 3.3 Release of Certain Proposal Information

In submitting a proposal, the offeror agrees to permit the Government to disclose publicly the information contained in the Contact Information form, and Proposal Summary form, which includes the Technical Abstracts, and Briefing Chart. Other proposal data is considered to be the property of the offeror, and NASA will protect it from public disclosure to the extent permitted by law, including requests submitted under the Freedom of Information Act (FOIA).

#### 3.4 Requirements to Submit a Phase II Completed Proposal Package

##### 3.4.1 General Requirements

Phase II proposals are more comprehensive than those required for Phase I. Submission of a Phase II proposal is in accordance with Phase I contract requirements and is voluntary. NASA assumes no responsibility for any proposal preparation expenses.



Offerors may only submit one Phase II proposal per Phase I award. Offerors are only allowed to submit a Phase II proposal at the end of the FY2024 Phase I contract period of performance for this solicitation. NASA will not accept Phase II proposals from prior Phase I awardees that did not submit a proposal at the end of the Phase I contract period of performance.

The proposal will provide the planning for a focused project that builds upon Phase I results and encompasses technical, market, financial, and business factors relating to the development and demonstration of the proposed innovation and its transition into products and services for NASA mission programs, other Government agencies (Federal and State), and non-Government markets.

### 3.4.2 Format Requirements

*Note: NASA administratively screens all proposals and reserves the right to decline any proposal that does not conform to the following formatting requirements.*

#### Page Limitations

A Phase II technical proposal shall not exceed a total of 46 standard letter sizes (8.5- by 11-inch or 21.6- by 27.9-cm) pages. Proposals uploaded with more than 46 pages will prompt a warning that will prevent the completed proposal from being submitted. Each page shall be numbered consecutively at the bottom. ***Technical proposal uploads with any page(s) going over the required page limit will not be accepted.*** The additional forms required for proposal submission will not count against the 46-page limit.

#### Margins

Margins should be 1.0 inch (2.5 cm).

#### Suggested Page Limits for Technical Proposal Parts

Section [3.4.4](#) gives suggested page limits for each part of the technical proposal. These are guidelines and are not strict requirements, **except for the minimum page requirement stated for Part 7: Commercialization and Business Plan**. Offerors are still required to meet the total page-limit proposal requirements as described above.

#### Type Size

No type size smaller than 10 points shall be used for text or tables, except as legends on reduced drawings. Proposals prepared with smaller font sizes may be declined without consideration.

#### Header/Footer Requirements

Headers may include the firm name, proposal number, and project title. Footers must include the page number and proprietary markings if applicable. Margins can be used for header/footer information.

#### Classified Information

NASA does not accept proposals that contain classified information.

#### Embedded Animation, Video, and Further Reading

Embedded animation or video, as well as reference technical papers for “further reading,” will not be considered for evaluation.

#### 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 topic title must not be used as the proposal title.

### A Complete Proposal Package Contains

Each complete proposal package submitted shall contain the following items:

1. Proposal Contact Information (section [3.4.3.1](#))
2. Proposal Certifications (section [3.4.3.2](#))
3. Proposal Summary – must not contain any proprietary data (section [3.4.3.3](#))
4. Proposal Budget (section [3.4.3.4](#))
  - a. Letters of commitment for Government resources and subcontractors/consultants (if applicable)
  - b. Foreign Vendor form (if applicable) – Note: NASA and the Office of Management and Budget (OMB) have issued a policy that requires a review of any request to purchase materials or supplies from foreign vendors.
5. Technical Proposal—10 Parts in the order specified in section [3.4.4](#), not to exceed 46 pages, including all graphics, and starting with a table of contents. (section [3.4.4](#))
6. Briefing Chart (section [3.4.5](#))
7. NASA Evaluation License Application, only if TAV is being proposed (section [1.6](#))
8. Capital Commitments Addendum Supporting Phase II and Phase III (optional) (section [3.4.6](#))
9. Technical and Business Assistance (TABAs) Request, if applicable (section [3.4.15](#))
10. Firm-Level Forms (completed once for all proposals submitted to a single solicitation)
  - a. Firm Certifications (section [3.4.7](#))
  - b. Audit Information (section [3.4.9](#))
  - c. Prior Awards Addendum (section [3.4.10](#))
  - d. Commercialization Metrics Survey (CMS) (section [3.4.11](#))
  - e. Disclosures of Foreign Affiliations or Relationships to Foreign Countries (section [3.4.8](#))
11. Electronic Endorsement in ProSAMS by the Small Business Official and Principal Investigator (PI)
12. STTR Research Agreement and endorsement of this agreement by the Research Institution (RI) official (section [3.4.12](#))

Previews of all forms and certifications are available via the NASA SBIR/STTR Resources website, located at [https://www.nasa.gov/sbir\\_sttr/firms\\_library/](https://www.nasa.gov/sbir_sttr/firms_library/)

***Note: Letters expressing general technical interest 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. Letters of funding support commitments are allowable for Phase II proposals but will only be considered under Factor 4: Commercial Potential and Feasibility. Letters of funding support commitments should be submitted as part of the Capital Commitments Addendum as described under Part 7: Commercialization and Business Plan.***

### 3.4.3 Forms

All form submissions shall be done electronically and do not count toward the 46-page limit. Samples of all forms can be found on the NASA SBIR/STTR Resources website: [https://www.nasa.gov/sbir\\_sttr/firms\\_library/](https://www.nasa.gov/sbir_sttr/firms_library/)

#### 3.4.3.1 Contact Information

The offeror shall provide complete information for each contact person and submit the form as required in section [6](#). ***Contact Information is public information and may be disclosed.***

#### 3.4.3.2 Proposal Certifications

The offeror shall provide complete information for each item and submit the form as required in section [6](#).

### 3.4.3.3 Proposal Summary

The offeror shall provide complete information for each item and submit the form as required in [section 6](#). ***The Proposal Summary, including the Technical Abstract, is public information and may be disclosed. Do not include proprietary information in this form.***

### 3.4.3.4 Proposal Budget

The offeror must complete the Budget form following the contextual help provided on the electronic budget form in ProSAMS. The total requested funding for the Phase II effort shall not exceed \$850,000. If requesting TABA, offerors are allowed to request up to \$50,000 over the \$850,000 for the technical effort. Information shall be submitted to explain the offeror's plans for the use of the requested funds to enable NASA to determine whether the proposed price is fair and reasonable.

**In addition, the following documents and information as directed by ProSAMS must be submitted with the Proposal Budget form, as applicable:**

#### **Proposal Requirements for Use of Government Resources**

In cases where an offeror seeks to use NASA or another Federal department or agency laboratory services, equipment, or facilities (collectively, "resources"), the offeror shall provide the following:

1. Statement, signed by the appropriate Government official at the affected Federal department or agency laboratory, verifying that the resources should be available during the proposed period of performance. Offerors must upload this letter in the Proposal Budget form.
2. Signed letter on company letterhead from the contractor's Small Business Official explaining why the STTR research project requires the use of Government resources, including data that verifies the absence of non-Federal facilities or personnel capable of supporting the research effort, and the associated cost estimate. Offerors must upload this letter in the Proposal Budget form.

See Part 8 of the Technical Proposal instructions for additional information on the use of Government Resources.

#### **Use of Subcontractors and Consultants**

Subject to the restrictions set forth below, the offeror may establish business arrangements with other entities or individuals to participate in the performance of the proposed R/R&D effort. Subcontractors' and consultants' work have the same place-of-performance restrictions as stated in [section 1.5.4](#).

1. Offerors should list consultants by name and specify, for each, the number of hours and hourly costs.
2. The breakdown of the subcontractor budget should mirror the offeror's own breakdown in the Proposal Budget form and include breakdowns of direct labor, other direct costs, and profit, as well as indirect rate agreements.
3. A signed letter of commitment is required for each subcontractor and/or consultant. For educational institutions that will serve as a subcontractor, the letter must be from the institution's Office of Sponsored Programs.

The RI's budget must be submitted at the time of proposal submission, and if the RI is an educational institution, the RI must submit a letter from the institution's Office of Sponsored Programs.

The following restrictions apply to the use of subcontractors/consultants, and the formula below must be used in preparing budgets with subcontractors/consultants:

A minimum of 40 percent of the research or analytical work must be performed by the proposing SBC, and a minimum of 30 percent must be performed by the RI. Any subcontracted business effort other than that performed

by the RI shall not exceed 30 percent of the research and/or analytical work [as determined by the total cost of the subcontracting effort (to include the appropriate overhead (OH) and general and administrative expense (G&A) in comparison to the total effort funded by the government (total contract price including cost sharing, if any, less profit, if any)].

Deviations from these STTR requirements are not allowed, as the performance-of-work requirements are specified in statute at 15 U.S.C. 638(e).

Example:	Total price to include profit	\$850,000
	Profit	\$21,750
	Total price less profit	$\$850,000 - \$21,750 = \$828,250$
	Subcontractor cost	\$250,000
	G&A	5%
	G&A on subcontractor cost	$\$250,000 \times 5\% = \$12,500$
	Subcontractor cost plus G&A	$\$250,000 + \$12,500 = \$262,500$
	<b>Percentage of subcontracting effort*</b>	<b><math>\\$262,500 / \\$828,250 = 31.6\%</math></b>
	<b>*Subcontractor cost plus G&amp;A/total price less profit</b>	

For an STTR Phase II, where there is a subcontract with a company other than the RI, this is unacceptable because it is above the 30 percent limitation.

See Part 9 of the Technical Proposal for additional information on the use of subcontractors and consultants.

### Milestone Plan

For Phase II, offerors shall submit a proposed quarterly milestone plan with the Proposal Budget form. The milestone plan shall be in accordance with the proposed work plan, outlining the work to be accomplished each quarter and the cost proposed associated with each of the quarterly milestones. The cost breakdown shall be similar to the Proposal Budget form for each of the proposed quarterly milestones (i.e., each milestone should include the labor, supplies, travel, and profit associated with those tasks to be accomplished that quarter). The proposed cost associated with each quarterly milestone must be realistic for the work to be accomplished but is not required to be equally distributed across each quarter.

***Note: The Government is not responsible for any monies expended by the firm before the award of any contract. Successful offerors are responsible for reimbursing NASA for resources utilized in the performance of the effort, and the cost of such resources will be included in their contract values (not to exceed capped amounts).***

## 3.4.4 Technical Proposal

This part of the submission shall not contain any budget data and consists of all 10 parts listed below in the given order. **All 10 parts of the technical proposal should be numbered and titled. Parts that are not applicable should be included and marked "Not applicable."** The table of contents is provided below:

### Phase II Table of Contents

Part 1: Table of Contents.....	Page X
Part 2: Identification and Significance of the Innovation and Results of the Phase I Proposal.....	Page X
Part 3: Technical Objectives.....	Page X
Part 4: Work Plan.....	Page X
Part 5: Related R/R&D .....	Page X
Part 6: Key Personnel and Bibliography of Directly Related Work.....	Page X
Part 7: Commercialization and Business Plan.....	Page X

Part 8: Facilities/Equipment.....	Page X
Part 9: Subcontractors and Consultants.....	Page X
Part 10: Related, Essentially Equivalent, and Duplicate Proposals and Awards.....	Page X

**Part 1: Table of Contents** (*Suggested page limit – 0.5 page*)

The technical proposal should begin with a brief table of contents indicating the page numbers of each of the parts of the proposal (see above).

**Part 2: Identification and Significance of the Innovation and Results of the Phase I Award** (*Suggested page limit – 15 pages*)

Provide a summary of your Phase I results and, building on those results, succinctly describe the Phase II proposed work, including:

- The proposed innovation,
- The relevance and significance of the proposed innovation to interest, need, or needs within the subtopic that aligned with the completed Phase I work, and
- The proposed innovation is relative to the state of the market, the state of the art, and its feasibility.

Please be advised that the evaluators may review the Phase I final technical report to verify the accuracy of this summary. However, offerors should not rely on this and should include relevant results in the Phase II proposal.

**Part 3: Technical Objectives** (*Suggested page limit – 2 pages*)

State the specific objectives of the Phase II effort as it relates to the problem statement(s) posed in the original subtopic description for Phase I.

**Proposed Deliverables:** Indicate the proposed deliverables at the end of the Phase II effort and how they match up to the subtopic.

All offerors submitting proposals who are planning to use NASA Intellectual Property (IP) must describe their planned developments with the IP. The NASA Evaluation License Application should be added as an attachment under Proposal Certifications (see section [1.6](#)).

**Part 4: Work Plan** (*Suggested page limit – 10 pages*)

Include a detailed description of the Phase II 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 partnership, a statement of how the workload will be distributed, managed, and charged should be included in the proposal.

In addition, the work plan will specifically address the percentage and type of work to be performed by the SBC and the RI. The plan will provide evidence that the SBC will exercise management direction and control of the performance of the STTR effort, including situations in which the PI may be an employee of the RI.

**Part 5: Related R/R&D** (*Suggested page limit – 1 page*)

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.

**Part 6: Key Personnel and Bibliography of Directly Related Work** (*Suggested page limit – 5 pages*)

Identify all key personnel involved in Phase II activities whose expertise and functions are essential to the success of the project. Provide biographical information, including directly related education and experience. Where resume/vitae are extensive, summaries that focus on the most relevant experience or publications are desired and may be necessary to meet proposal size limitations.

The PI is considered key to the success of the effort and must make a substantial commitment to the project. ***If the Phase II PI is different than the PI proposed under Phase I, please provide a rationale for the change.*** The following requirements are applicable:

**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. The Phase II 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. Competent management of PI functions is essential to project success.

**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 decline a PI based on factors such as education, experience, demonstrated ability and competence, and any other evidence related to the specific assignment.

**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 the year 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 a decline of the proposal.

**Part 7: Commercialization and Business Plan** (*Required minimum of 2 pages; suggested page limit-8 pages*)

***NASA requires Phase II offeror to provide commercialization and business planning information in the proposal and is enforcing a requirement that firms provide a minimum amount of information as required by page length. Firms that do not meet this requirement may be considered nonresponsive to this requirement and the proposal may not receive a score under section [4.4.2](#): Factor 4: Commercialization and Business Planning, which could result in an overall lower score for the proposal.***

The Commercialization Plan should provide the following information to communicate and validate that the firm has the knowledge and ability to commercialize the innovation being proposed.

1. Market Feasibility and Competition Strategy: Describe (a) the target market(s) of the innovation and the associated product or service; (b) the competitive advantage(s) of the product or service; (c) key potential customers and applications, including NASA mission programs, prime contractors, and non-NASA commercial customers as applicable; (d) projected market size (NASA, other Government and/or non-Government); (e) the projected time to market and estimated market share within five years from market-entry; and (f) anticipated competition from alternative technologies, products, and services and/or competing domestic or foreign entities.
2. Commercialization Strategy: Present the commercialization strategy for the innovation and associated product or service and its relationship to the offeror's business plans for the next five years. Describe

experience and record in technology commercialization, and any existing and projected commitments (e.g., Government Phase III funding, Industry Investment, etc.).

3. **Financial Strategy:** Delineate private financial resources committed to the development and transition of innovation into market-ready products or services. Describe current investment, sales, licensing, and other indicators of commercial potential and feasibility. Describe the projected financial requirements and the expected or committed capital and funding sources necessary to support the planned commercialization of the innovation. Provide evidence of current financial condition (e.g., standard financial statements including a current cash flow statement).
4. **Intellectual Property:** Describe plans and current status of efforts to secure intellectual property rights (e.g., patents, copyrights, trade secrets) necessary to obtain investment, attain at least a temporary competitive advantage, and achieve planned commercialization.
5. **Assistance and Mentoring:** Describe the plans for securing needed technical or business assistance through mentoring, partnering, or through arrangements with state assistance programs, Small Business Development Centers (SBDCs), Federally funded research laboratories, Manufacturing Extension Partnership Centers, Federal programs, or other assistance providers. Identify if any assistance and mentoring are being requested under your TABA needs assessment and provide details in this section of the Commercialization Plan. *The TABA needs assessment is reviewed separately from the Commercialization Plan.*

**Note:** Letters of funding support commitments should be submitted as part of the Capital Commitments Addendum found in section [3.4.5](#) and will be considered only under Factor 4: Commercial Potential and Feasibility (section [4](#)). Any formal letters of commitment or intent submitted in the Capital Commitments Addendum will not count toward the page limits of the proposal.

**Part 8: Facilities/Equipment** (Suggested page limit – 2 pages)

The offeror should describe the facilities/equipment available to complete the proposed work plan. If an offeror requests to use 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 [3.4.3.4](#) and [5.14](#) for additional requirements when proposing the use of such Government resources. The narrative description of resources should support the proposed approach and documentation in the Proposal Budget form.

**Part 9: Subcontractors and Consultants** (Suggested page limit – 2 pages)

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, number of hours, and labor rates. 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 subcontractors and consultants in the technical proposal should support the proposed approach and documentation in the Proposal Budget form.

**Part 10: Related, Essentially Equivalent, and Duplicate Proposals and Awards** (Suggested page limit – 0.5 page)

**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.

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 such proposal indicating the following:

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.
4. The specific applicable research topics for each proposal submitted for the award received.
5. Titles of research projects.
6. Name and title of the principal investigator or project manager for each proposal submitted or award received.

Offerors are at risk when submitting essentially equivalent proposals and therefore are strongly encouraged to disclose these issues to the soliciting agency to resolve the matter prior to award. 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).

### 3.4.5 Briefing Chart

A one-page briefing chart is required to assist in the ranking and advocacy of proposals prior to selection and contains the following sections:

- Identification and Significance of Innovation
- Technical Objectives
- Proposed Deliverables
- NASA Applications
- Non-NASA Applications
- Graphic

The briefing chart shall not contain any proprietary data or International Traffic in Arms Regulation (ITAR)-restricted data. An electronic form will be provided during the submission process. ***The briefing chart is public information and may be disclosed. Do not include proprietary information in this form.***

### 3.4.6 Capital Commitments Addendum

Letters of capital commitment act as an indication of market validation for the proposed innovation and add significant credibility to the proposed effort. Although NASA can be a future stakeholder/buyer and could possibly issue a Phase III contract for the innovation to be infused in a future mission or program, NASA's goal under the STTR program is for small businesses to commercialize innovations in markets that are larger than just NASA. Letters of capital commitment should demonstrate that the company has initiated dialogue with relevant stakeholders in commercial markets that are relevant to NASA (potential customers, end users, strategic partners, investors, etc.) for the proposed innovation and that a legitimate business opportunity may exist should the innovation prove feasible outside of NASA.

The letter(s) must not exceed 2 pages in length; should come directly from potential customers, end users, strategic partners, investors, etc.; and must contain affiliation information and contact information for the signatory stakeholder. Letters and supporting documents that only support the development of the innovation with no capital funding commitment as described above will not be reviewed. Letters and supporting documents from state, local, and Congressional representatives are NOT considered letters of capital commitment. They should not be submitted as part of the application and will not be reviewed.



If letters of capital commitment are not appropriate for this stage of innovation due to business considerations, then the offeror must clearly justify why letters of capital commitment are not being included in the proposal. The justification should relate to the technical and commercial considerations of the innovation proposed in the application.

### 3.4.7 Firm Certifications

Firm certifications that are applicable across all proposal submissions submitted to this solicitation must be completed via the Firm Certifications section of ProSAMS. The offeror shall answer “Yes” or “No” as applicable. ***The designated firm administrator, typically the first person to register your firm, is the only individual authorized to update the certifications.***

### 3.4.8 Disclosures of Foreign Affiliation or Relationships to Foreign Countries

Each offeror is required to complete the Disclosures of Foreign Affiliations or Relationships to Foreign Countries form. See section [2.5](#) for additional information on these disclosures. The offeror shall answer “Yes” or “No” as applicable and provide the requested information related to each “yes” response. ***The designated firm administrator, typically the first person to register your firm, is the only individual authorized to update the disclosures.***

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.

### 3.4.9 Audit Information

Although firms are not required to have an approved accounting system, the knowledge that a firm has an approved accounting system facilitates NASA’s determination that rates are fair and reasonable. The Contracting Officer will use this Audit Information to assist with negotiations if the proposal is selected for an award. The Contracting Officer will advise offerors on what is required to determine reasonable costs and/or rates in the event the Audit Information is not adequate to support the necessary determination of rates. The offeror 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. ***The designated firm administrator, typically the first person to register your firm, is the only individual authorized to update the audit information.***

### 3.4.10 Prior Awards Addendum

If the offeror has received more than 15 Phase II awards in the prior 5 fiscal years, submit the name of the 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 (CMS) 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). ***The designated firm administrator, typically the first person to register your firm, is the only individual authorized to update the addendum information.***

### 3.4.11 Commercial Metrics Survey (CMS)

NASA has instituted a comprehensive commercialization survey/data-gathering process for firms with prior NASA SBIR/STTR awards. If the SBC 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 proposal submission via ProSAMS. This information will allow firms to demonstrate their ability to carry SBIR/STTR research through to achieve commercial success and allows agencies to track the overall commercialization success of their SBIR and STTR programs. The survey should be limited to the information requested above.

The CMS is a required part of the proposal submissions process and must be completed via ProSAMS. Companies with no SBIR/STTR awards or only recent SBIR/STTR awards will not be penalized under past performance for the lack of past SBIR/STTR commercialization. ***Information received from SBIR/STTR awardees completing the survey is kept confidential and will not be made public except in broad aggregate, with no firm-specific attribution.***

### **3.4.12 Contractor Responsibility Information**

No later than 10 business days after the notification of selection for negotiations, the offeror shall provide a signed statement from the firm's financial institution(s), on the financial institution's letterhead, stating whether or not the firm is in good standing and how long the firm has been with the institution.

### **3.4.13 Research Agreement**

The Research Agreement (different from the Allocation of Rights Agreement; see [https://www.nasa.gov/sbir\\_sttr/program-definitions/](https://www.nasa.gov/sbir_sttr/program-definitions/)) is a single-page document electronically submitted and endorsed by the SBC and RI. A model agreement is provided, or firms can create their own custom agreement. The Research Agreement shall be submitted as required in section [6](#).

All STTR Phase II proposals must provide sufficient information to convince NASA that the proposed SBC/RI cooperative effort represents a sound approach for converting technical information residing at the RI into a product or service that meets a need described in a solicitation research topic.

### **3.4.14 Allocation of Rights Agreement**

An SBC, before receiving an STTR award, must negotiate a written agreement between the SBC and the partnering RI, IP rights, if any, to carry out follow-on research, development, or commercialization. This written agreement must be signed by authorized representatives of the SBC, RI, and subcontractors and consultants, as applicable.

The SBC must submit this agreement with the proposal by uploading it in the Proposal Budget form. This will help to expedite contract negotiations.

### **3.4.15 Phase II Request for Use of Technical and Business Assistance (TAB A) Funds**

Offerors are not required to request TAB A at Phase II, and there is no prerequisite that an offeror must request and use TAB A during Phase I to obtain TAB A under a Phase II award. If an offeror chooses to request up to \$50,000 for TAB A at Phase II, the offeror will be required to provide a TAB A plan and coordinate with the selected vendors to obtain the vendor qualification statement(s) and submit these via ProSAMS Below is an example of the type of information that will be requested under each.

### TABA Plan

- Name, contact information, website, and company information including Sam.gov Unique Entity Identifier (UEI) for TABA vendor(s) that will provide the TABA services.
  - All TABA vendors must be a legal business in the United States, and NASA will review the U.S. Government-wide System for Award Management (SAM) excluded parties list to ensure the proposed TABA vendor can receive Federal funds. NASA will consider TABA requests that are missing any requested TABA information (e.g., Vendor Qualification Statements, vendor quote, etc.) as incomplete and may not review the TABA request or provide TABA approval under the award.
- Description of TABA vendor(s) expertise and knowledge of providing technical and business assistance services.
- An itemized list of services and costs.
- Expected metric and outcome for each service to be provided.
- Plan to submit a deliverable summarizing the outcome of the TABA services with expected supporting information.
- TABA costs are reflected in the budget forms.

**Vendor Qualification Statement(s)**—A 3-page qualification statement for each of the selected vendors(s) that provides the following:

- Statement on the selected vendor(s) letterhead and signed by an authorizing entity within the vendors' organization that can attest to the services being provided.
- Documentation that the vendor is a legal business in the United States.
- A capabilities statement that
  - Indicates the qualifications, expertise, and knowledge to provide the TABA services requested by the offeror.
  - Indicates the level of expertise and knowledge of the Federal SBIR/STTR program and specifically any prior support provided to Phase I or II awardees.
  - Describes the overall metrics of success for the services requested by the offeror.
  - Describes the plans to report to the offeror so the offeror can report back to NASA as a deliverable on the outcomes and success of the TABA services and what information will be provided to validate the results.

NASA reserves the right to withhold funds requested for TABA until a formal review and approval of the requested vendor(s) is completed. If the project is selected for the award and the offeror demonstrates this requirement sufficiently as determined by the Government, NASA will permit the awardee to acquire the requested assistance, in an amount up to \$50,000 for the Phase II project, as an allowable cost of the SBIR/STTR award. Approval or denial of TABA funding will be provided during the contract negotiation period and before the award. **The amount will be in addition to the Phase II award value, is not subject to any profit or fee by the requesting firm and cannot be used in the calculation of indirect cost rates or General and Administrative Expenses (G&A).** The amount is based on the original period of performance. Requests for TABA funding outside of the Phase II period of performance will not be considered.

**Schedule of Deliverables and Payments for TABA**—Offerors that are approved to receive TABA under a Phase II award will be reimbursed for TABA expenses. Firms may request TABA reimbursement at the midpoint of the contract when submitting the midterm report and/or at the end of the contract when submitting the final report. Awardees requesting reimbursement will be required to submit invoices for services received when submitting the contract reports.

TABA requests for funding are not reviewed under the technical evaluation of the proposal, and the request for TABA will not be part of the decision to make a Phase II award. All TABA requests will be reviewed after a proposal is selected for award and during the contract negotiation process.

## 4. Phase II Selection Process and Evaluation Criteria

### 4.1 Selection Process

All Phase II proposals will be evaluated on a competitive basis. Proposals will be initially screened to determine responsiveness using a two-stage review process:

1. All proposals received by the published deadline will undergo an administrative review to determine if the proposal meets the requirements found in [section 3, Proposal Preparation Instructions and Requirements](#). Proposals that are found to be noncompliant with the requirements in section 3 will be eliminated from consideration. NASA will notify the offeror that their proposal has been eliminated and will provide the reason.
2. Proposals determined to be responsive to the administrative requirements will be evaluated.

Proposals passing this initial screening will be moved forward to be evaluated and ranked on a competitive basis. Proposals shall provide all information needed for a complete evaluation. Evaluators will not seek additional information. Proposals will be technically evaluated by subject matter experts to determine the most promising technical and scientific approaches. The commercialization and business plan will be evaluated by a panel of 3rd party commercialization reviewers who are experts in determining commercial potential. Offerors should not assume that evaluators are acquainted with the offeror, key individuals, or with any experiments or other information. Any pertinent references or publications should be noted in Part 5 of the technical proposal.

Each proposal will be evaluated on its own merit. NASA is under no obligation to fund any proposal or any specific number of proposals on a given topic. It also may elect to fund several or none of the proposed approaches to the same topic or subtopic.

#### 4.1.1 Non-NASA Reviewers

In addition to utilizing Government personnel in the review process, NASA, at its discretion and in accordance with NASA FAR Supplement (NFS) section 1815.207-71, may utilize individuals from outside the Government with highly specialized expertise not found in the Government. Qualified experts outside of NASA (including industry, academia, and other Government agencies) may assist in performing evaluations as required to determine or verify the merit of a complete proposal package. Any decision to obtain an outside evaluation shall take into consideration requirements for the avoidance of organizational or personal conflicts of interest and any competitive relationship between the prospective contractor or subcontractor(s) and the prospective outside evaluator. Any such evaluation will be under agreement with the evaluator that the information (data) contained in the complete proposal package will be used only for evaluation purposes and will not be further disclosed.

#### 4.1.2 Non-NASA Access to Confidential Business Information

In the conduct of processing proposal packages and potential contract administration, the Agency may find it necessary to provide access to the complete proposal package to other NASA contractors and subcontractor personnel. NASA will provide access to such data only under contracts that contain an appropriate NFS 1852.237-72 Access to Sensitive Information clause that requires the contractors to fully protect the information from unauthorized use or disclosure and where the contractor has implemented the appropriate processes and procedures to protect the information.

## 4.2 Phase II Evaluation Criteria

NASA intends to select for award those proposals that offer the most advantageous R/R&D and deliver technological innovations that contribute to NASA's missions, provides societal benefit, and grow the U.S. economy. NASA will give primary consideration to the scientific and technical merit and feasibility of the proposal and its benefit to NASA interests. Each proposal will be evaluated using the factors described below:

*Note: Past performance is not a separate evaluation factor but will be assessed under Factors 1 and 4 (as applicable) below.*

### Factor 1: Scientific/Technical Merit and Feasibility

The proposed R/R&D effort will be evaluated on its originality, the feasibility of the innovation, and potential technical value. In addition, past performance of Phase I will be evaluated to determine the degree to which Phase I objectives were met, and whether the Phase I results indicate a Phase II project is appropriate. The evaluators may review the Phase I final technical report to verify the Phase I results.

### Factor 2: Experience, Qualifications, and Facilities

The technical capabilities and experience of the PI or project manager, key personnel, staff, consultants and subcontractors, if any, are evaluated for consistency with the research effort and their degree of commitment and availability. The necessary instrumentation or facilities required must be shown to be adequate and any reliance on external sources, such as Government-furnished equipment or facilities, must be addressed (section [3.4.4](#), Part 8).

### Factor 3: Effectiveness of the Proposed Work Plan

The work plan will be reviewed for its comprehensiveness, effective use of available resources, labor distribution, and the proposed schedule for meeting the Phase II objectives. The methods planned to achieve each objective or task should be discussed in detail. The proposed path beyond Phase II for further development and infusion into a NASA mission or program will also be reviewed.

The clear delineation of responsibilities of the SBC and RI for the success of the proposed cooperative R/R&D effort will be evaluated. The offeror must demonstrate the ability to organize for effective conversion of intellectual property into products and services of value to NASA and the commercial marketplace.

**Factor 4: Commercialization and Business Planning:** The proposal will be evaluated for the commercial potential and feasibility of the proposed innovation and associated products and services as described in Part 7. Evaluation of the commercialization and business plan will include consideration of the following areas:

1. **Commercial Potential—Quantitative Market Analysis:** This includes an assessment of:
  - a. The market segmentation and the commercial Total Addressable Market (TAM).
  - b. The proposed innovation in terms of target customers (e.g., NASA, other Federal agencies, commercial enterprise).
  - c. The competitive landscape, by identifying potential competitors.
2. **Commercial Intent—Value Proposition:** This includes assessing:
  - a. The commercial development plan by providing a development timeline to bring the innovation to market.
  - b. The applicable business model (spin-out, license, OEM, etc.) the offeror would use to bring innovation to market.
  - c. The risks to the commercial development plan and what mitigations, if any, can be taken over a reasonable period of time to lessen the risks.

3. **Commercial Capability—Pro Forma Financial Projections:** This includes an assessment of:
  - a. The current and future company capitalization efforts.
  - b. As applicable, the description of the approach, path to market, and revenues from past commercialization(s) resulting from SBIR/STTR awards are disclosed in the CMS.
4. **Intellectual Property (IP):** This includes assessment of:
  - a. How the offeror will protect the IP that results from the innovation?
5. **Assistance and Mentoring:** This includes assessment of:
  - a. The existing and future business relationships in terms of any formal partnerships, joint ventures, or licensing agreements with other companies/organizations.
  - b. The plans for securing needed technical or business assistance through mentoring, partnering, or through arrangements with state assistance programs, Small Business Development Centers (SBDCs), Federally funded research laboratories, Manufacturing Extension Partnership Centers, Federal programs, TABA, or other assistance providers.
6. **Capital Commitments Addendum:** This includes an assessment of:
  - a. Any letters of commitment describing follow-on funding, product sales, or matching funding to be provided for a future post-Phase II opportunity application.
  - b. Letter of intent or evidence of negotiations to provide funding should the Phase II project be successful, and the market need still exists.
  - c. A specific plan to secure Phase III funding.

#### **Factor 5: Price Reasonableness**

The offeror's cost proposal will be evaluated for price reasonableness based on the information provided in the Proposal Budget form. NASA will comply with the FAR and NASA FAR Supplement (NFS) to evaluate the proposed price/cost to be fair and reasonable.

#### **Scoring and Weight of Factors, Ranking, and Programmatic Balancing**

Factors 1, 2, 3, and 4 will be scored numerically, with Factor 1 worth 45 percent, Factors 2 and 3 each worth 25 percent, and Factor 4 worth five percent. The sum of the scores for Factors 1, 2, 3, and 4 will constitute the Technical Merit score. After ranking proposals using the Technical Merit score, the agency may consider additional programmatic balance factors such as portfolio balance across NASA programs, centers, and mission directorates, available funding, first-time awardees/participants, historically underrepresented communities, and geographic distribution, to recommend proposals for negotiations.

Factor 5 will be evaluated as part of the negotiation's decision, i.e., NASA will only make an award when the price is fair and reasonable.

### **4.3 Selection**

The Source Selection Officer/Official (SSO) has the final authority for choosing specific proposals for contract negotiation. In making such a selection determination, the SSO, in their discretion may consider additional programmatic balance factors such as portfolio balance across NASA programs, centers, and mission directorates, available funding, first-time awardees/participants, historically underrepresented communities, and geographic distribution.

After the SSO selection has been finalized, the list of proposals selected for negotiation will be posted on the NASA SBIR/STTR website (<http://sbir.nasa.gov>). All firms selected by the SSO will receive a formal notification letter. Each proposal selected for negotiation will be evaluated for cost/price reasonableness. After completion of the evaluation for cost/price reasonableness and a determination of responsibility, the Contracting Officer will negotiate

and award an appropriate contract to be signed by both parties before work begins. The Government may request the offeror to submit certain organizational, management, personnel, and financial information to establish the responsibility of the offeror. Contractor responsibility includes all resources required for contractor performance (e.g., financial capability, workforce, and facilities).

#### 4.4 Technical and Business Assistance (TAB A)

NASA conducts a separate review of all requests for TAB A after the SSO makes the final selection of projects to enter into negotiation for a Phase II contract. This process consists of the SBIR/STTR Program conducting the initial evaluation of the TAB A request to determine if the request meets the requirements found in section [3.4.15](#) and the statute. The Contracting Officer makes the final determination to allow TAB A funding to be used under the contract.

The review of Phase II TAB A requests will include the following:

- A review to determine if the Awardee provided a Phase II TAB A Needs Assessment that describes the specific services being requested.
- Verification of TAB A vendor(s) by reviewing the vendor contact information.
- The vendor(s) expertise and knowledge in providing the desired technical and business assistance services.
- Costs in the vendor quote(s) and whether they are reflected in the budget forms.
- Proposed plans to submit a deliverable summarizing the outcome of the TAB A services with expected supporting information.
- Any evidence of Fraud, Waste and Abuse.

#### 4.5 Notification and Feedback to Unsuccessful Offerors

After Phase II selections for negotiation have been announced, a notification will be sent to the Small Business Official designated in the proposal according to the processes described below.

***Note: Due to the competitive nature of the program and limited funding, recommendations to fund or not fund a proposal will be final. Applicants are encouraged to use the written feedback to understand the outcome of their proposal review and to develop plans to strengthen future proposals.***

Unsuccessful Phase II offerors cannot resubmit their unsuccessful Phase II proposal to a future Phase II solicitation and if planning to apply for a new Phase I, the Phase I proposal must be different and cannot duplicate the prior Phase I work.

##### 4.5.1 Phase II Feedback

For Phase II, NASA uses a two-stage process to notify offerors of the outcome of their proposal.

1. At the time of the public selection announcement, the Small Business Official will receive an email indicating the outcome of the proposal.
2. Per the requirements in the email notification and this solicitation, offerors must send a feedback request via email to the NASA SBIR/STTR Program Office at [agency-sbir@mail.nasa.gov](mailto:agency-sbir@mail.nasa.gov) within 60 days after the selection announcement. ***Late requests will not be honored.***



## 5. Considerations

### 5.1 Requirement for Contracting

Upon award of a Funding Agreement, the Awardee will be required to make certain legal commitments through acceptance of numerous clauses in Phase II Funding Agreements. The outline that follows is illustrative of the types of clauses to which the contractor would be committed. This list is not a complete list of clauses to be included in Phase II Funding Agreements and is not the specific wording of such clauses.

- (1) Standards of Work: Work performed under the Funding Agreement must conform to high professional standards.
- (2) Inspection. Work performed under the Funding Agreement is subject to Government inspection and evaluation at all times.
- (3) Examination of Records: The Comptroller General (or a duly authorized representative) must have the right to examine any pertinent records of the Awardee involving transactions related to this Funding Agreement.
- (4) Default: The Federal Government may terminate the Funding Agreement if the contractor fails to perform the work contracted.
- (5) Termination for Convenience: The Funding Agreement may be terminated at any time by the Federal Government if it deems termination to be in its best interest, in which case the Awardee will be compensated for work performed and for reasonable termination costs.
- (6) Disputes: Any dispute concerning the Funding Agreement that cannot be resolved by agreement must be decided by the contracting officer with the right of appeal.
- (7) Contract Work Hours: The Awardee may not require an employee to work more than 8 hours a day or 40 hours a week unless the employee is compensated accordingly (for example, overtime pay).
- (8) Equal Opportunity: The Awardee will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin.
- (9) Equal Opportunity for Veterans: The Awardee will not discriminate against any employee or application for employment because he or she is a disabled veteran or veteran of the Vietnam era.
- (10) Equal Opportunity for People with Disabilities: The Awardee will not discriminate against any employee or applicant for employment because he or she is physically or intellectually disabled.
- (11) Officials Not to Benefit: No Federal Government official may benefit personally from the STTR Funding Agreement.
- (12) Covenant Against Contingent Fees: No person or agency has been employed to solicit or secure the Funding Agreement upon an understanding for compensation except bona fide employees or commercial agencies maintained by the Awardee for the purpose of securing business.
- (13) Gratuities: The Funding Agreement may be terminated by the Federal Government if any gratuities have been offered to any representative of the Government to secure the award.
- (14) Patent Infringement: The Awardee must report each notice or claim of patent infringement based on the performance of the Funding Agreement.
- (15) American-Made Equipment and Products: When purchasing equipment or a product under the STTR Funding Agreement, purchase only American-made items whenever possible.

To simplify making contract awards and to reduce processing time, all contractors selected for Phase I contracts will ensure that:

1. All information in your completed proposal package is current (e.g., your address has not changed, the proposed PI is the same, etc.). If changes have occurred since the submittal of your completed proposal package, notify the Contracting Officer immediately.
2. Your firm is registered with System for Award Management (SAM) (section [2.2](#)).
3. Your firm complies with the FAR 52.222-37 Employment Reports on Special Disabled Veterans, Veterans of the Vietnam Era, and Other Eligible Veterans (VETS-4212) requirement. Confirmation that a VETS-4212



report has been submitted to the Department of Labor, and is current, shall be provided to the Contracting Officer within 10 business days of the notification of selection for negotiation.

4. Your firm HAS NOT proposed a Co-Principal Investigator.
5. Your firm will provide timely responses to all communications from the NSSC Contracting Officer.
6. All proposed costs are supported with documentation, such as a quote, previous purchase order, published price lists, etc. All letters of commitment are dated and signed by the appropriate person with contact information. If a university is proposed as a subcontractor or a RI, the signed letter shall be on the university letterhead from the Office of Sponsored Programs. If an independent consultant is proposed, the signed letter should not be on university letterhead. If the use of Government facilities or equipment is proposed, your firm shall submit a signed letter from the Government facility authorizing the use of the facility and stating the availability and the cost, if any, together with a signed letter from your firm justifying the need to use the facility.

From the time of the completed proposal package notification of selection for negotiation until the award of a contract, all communications shall be submitted electronically to [NSSC-SBIR-STTR@nasa.gov](mailto:NSSC-SBIR-STTR@nasa.gov).

***Note: Costs incurred prior to and in anticipation of the award of a contract are entirely the risk of the contractor if a contract is not subsequently awarded. Notification of selection for negotiation is not to be misconstrued as an award notification to commence work.***

## 5.2 Awards

### 5.2.1 Anticipated Number of Awards

NASA does not estimate the exact number of anticipated Phase II contract awards; however, the table below reflects the historical information for the program.

Year	Number of STTR Phase II Proposals Reviewed	Number of STTR Phase II Awards	Percentage of STTR Phase II Awards
2023	46	21	46%
2022	49	21	43%
2021	48	20	42%

### 5.2.2 Award Conditions

NASA awards are electronically signed by a NASA Contracting Officer and transmitted electronically to the organization via email. NSSC will distribute the NASA STTR Phase II award with the following items.

- SF26—Contract Cover Sheet
- Contract Terms and Conditions—to include reference to the proposal and budget
- Attachment 1: Contract Distribution List
- Attachment 2: Final Summary Chart and Instructions
- Attachment 3: Information Technology (IT) Security Management Plan
- Attachment 4: Applicable Documents List
- Phase II Frequently Asked Questions (FAQs)

### 5.2.3 Type of Contract

NASA STTR Phase II awards are made as firm-fixed-price contracts.

### 5.2.4 Model Contracts

Examples of the NASA STTR contracts can be found on the NASA SBIR/STTR Resources website: ***Model contracts are subject to change.***

## 5.3 Reporting and Required Deliverables

An IT Security Management Plan is required at the beginning of the contract. Contractors interested in doing business with NASA and/or providing IT services or solutions to NASA should use the list found on the website of the Office of the Chief Information Officer (OCIO) as a reference for information security requirements: <https://www.nasa.gov/content/security-requirements-policies>. An example of an IT Security Management Plan can be found in the NASA SBIR/STTR Resources website: [https://www.nasa.gov/sbir\\_sttr/firms\\_library/](https://www.nasa.gov/sbir_sttr/firms_library/) For more information, see NASA FAR Supplement clause 1852.204-76.

All contracts shall require the delivery of technical reports that present (1) the work and results accomplished; (2) the scientific, technical, and commercial merit and feasibility of the proposed innovation and project results; (3) the proposed innovation's relevance and significance to one or more NASA interests (section 9); and (4) the strategy for development and transition of the proposed innovation and project results into products and services for NASA mission programs and other potential customers. Deliverables may also include the demonstration of the proposed innovation and/or the delivery of a prototype or test unit, product, or service for NASA testing and utilization if requested under Phase II.

The technical reports and other deliverables are required as described in the contract and are to be provided to NASA. These reports shall document progress made on the project and activities required for completion. Periodic certification for payment will be required as stated in the contract. A final report must be submitted to NASA upon completion of the Phase II R/R&D effort in accordance with applicable contract provisions.

A final New Technology Summary Report (NTSR) is due at the end of the contract, and New Technology Report(s) (NTR) are required if technology(ies) is/are developed under the award prior to submission of the final invoice. For additional information on NTSR and NTR requirements and definitions, see section 5.9.

If TABA is requested, Phase II contracts will require deliverables that summarize the outcome of the services with expected supporting information.

Report deliverables shall be submitted electronically via ProSAMS (<https://my.prosams.nasa.gov/>). For any reports that require an upload, NASA requests the submission in Portable Document Format (PDF) or Microsoft Word format.

***To access contract management in ProSAMS, you will be required to have an identity in the NASA Access Management System (NAMS). This is the Agency's centralized system for requesting and maintaining accounts for NASA IT systems and applications. The system contains user account information, access requests, and account maintenance processes for NASA employees, contractors, and remote users such as educators and foreign users. A basic background check and completion of NASA IT Security Training are required for this account. Instructions to create an identity in NAMS will be provided during contract negotiations.***

***It is recommended that you begin this process immediately upon notification, as this access will be required to submit deliverables and invoices.***

## 5.4 Payment Schedule

All NASA STTR contracts are firm-fixed-price contracts. The exact payment terms will be included in the contract.

Although invoices are submitted electronically through the Department of Treasury's Invoice Processing Platform (IPP), as a condition for payment, invoice certifications shall be completed in ProSAMS for each individual invoice. The certification is preset in ProSAMS, and it shall be completed before uploading each invoice in IPP. Upon completion of the certification, a link to IPP is automatically provided in ProSAMS.

If TABA is requested, Phase II awardees will be required to submit invoices for reimbursement per the payment schedule. NASA will not reimburse any amounts incurred over the TABA funding amount that NASA approved prior to award.

## 5.5 Profit or Fee

Contracts may include a reasonable profit. The reasonableness of the proposed profit is determined by the Contracting Officer during contract negotiations. Reference [FAR 15.404-4](#).

## 5.6 Cost Sharing

Cost sharing is permitted for completed proposal packages under this program solicitation; however, cost sharing is not required. Cost sharing will not be an evaluation factor in consideration of your completed proposal package or will not be used in the determination of the percentage of Phase I work to be performed on the contract.

## 5.7 Rights in Data Developed Under STTR Funding Agreements

The STTR program provides specific rights for data developed under STTR awards. Please review the full text at the following [FAR 52.227-20 Rights in Data-SBIR Program](#) and [PCD 21-02 FEDERAL ACQUISITION REGULATION \(FAR\) CLASS DEVIATION – PROTECTION OF DATA UNDER THE SMALL BUSINESS INNOVATIVE RESEARCH/SMALL TECHNOLOGY TRANSFER RESEARCH \(SBIR/STTR\) PROGRAM](#)

## 5.8 Copyrights

The contractor may copyright and publish (consistent with appropriate national security considerations, if any) material developed with NASA support. NASA receives a royalty-free license for the Federal Government and requires that each publication contain an appropriate acknowledgment and disclaimer statement.

## 5.9 Invention Reporting, Election of Title, Patent Application Filing, and Patents

Awardees under the STTR program are required to provide a NTR for any new subject inventions, and the NTSR for the interim and final contract periods.

Please review the full STTR data rights and protection period text at the following:

[https://www.sbir.gov/sites/default/files/SBA%20SBIR\\_STTR\\_POLICY\\_DIRECTIVE\\_May2023.pdf](https://www.sbir.gov/sites/default/files/SBA%20SBIR_STTR_POLICY_DIRECTIVE_May2023.pdf)

## 5.10 Export Control

The contractor shall comply with all U.S. export control laws including Export Administration Regulations (EAR) and International Traffic in Arms Regulations (ITAR). Offerors are responsible for ensuring that all employees who will work on this contract are eligible under export control laws, EAR, and ITAR. Any employee who is not a U.S.

citizen or a permanent resident may be restricted from working on this contract if the technology is restricted under export control laws, ITAR, or EAR unless the prior approval of the Department of State or the Department of Commerce is obtained via a technical assistance agreement or an export license. Violations of these regulations can result in criminal or civil penalties.

For additional information on ITAR, please visit the Code of Federal Regulations at [https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title22/22cfr120\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title22/22cfr120_main_02.tpl).

For additional information on EAR, please visit <https://www.bis.gov/regulations/ear-overview>. For additional training, refer to <https://www.sbir.gov/tutorials/itar/>.

## 5.11 Government-Furnished and Contractor-Acquired Property

In accordance with the SBIR/STTR Policy Directive, the Federal Government may transfer title to the property provided by the STTR Participating Agency to the awardee or acquired by the awardee for the purpose of fulfilling the contract, where such transfer would be more cost-effective than the recovery of the property.

## 5.12 Essentially Equivalent Awards and Prior Work

If an award is made pursuant to a proposal or completed proposal package submitted under an STTR solicitation, the firm will be required to certify with every invoice that it has not previously been paid nor is currently being paid for essentially equivalent work by any agency of the Federal Government. **Failure to report essentially equivalent or duplicate efforts can lead to the termination of contracts and/or civil or criminal penalties.**

## 5.13 Additional Information

### 5.13.1 Precedence of Contract Over this Solicitation

This program solicitation reflects current planning. If there is any inconsistency between the information contained herein and the terms of any resulting STTR contract, the terms of the contract take precedence over the solicitation.

## 5.14 Use of Government Resources

### Federal Departments and Agencies

Use of STTR funding for unique Federal/non-NASA resources from a Federal department or agency that does not meet the definition of a Federal laboratory as defined by U.S. law and in the SBA Policy Directive on the STTR program requires a waiver from the SBA. Completed proposal packages requiring waivers must include an explanation of why the waiver is appropriate. NASA will provide the offeror's request, along with an explanation to SBA, during the negotiation process. NASA cannot guarantee that a waiver can be obtained from SBA. Specific instructions to request the use of Government Resources are in section [3.5](#) of the solicitation. ***Note: NASA facilities qualify as Federal laboratories.***

### Support Agreements for the Use of Government Resources

All offerors selected for the award who require the use of any Federal facility shall, within 20 business days of notification of selection for negotiations, provide to the NSSC Contracting Officer an agreement by and between the Contractor and the appropriate Federal facility/laboratory, executed by the Government official authorized to approve such use. The agreement must delineate the terms of use, associated costs, and facility responsibilities and liabilities. Having a signed agreement for the use of Government resources is a requirement for the award.

For the proposed use of NASA resources, a NASA SBIR/STTR Support Agreement template is available on the Resources website ([https://www.nasa.gov/sbir\\_sttr/firms\\_library/](https://www.nasa.gov/sbir_sttr/firms_library/)) and must be executed before a contractor can use

NASA resources. Offerors shall only include a signed letter of commitment from an authorized NASA point of contact in the completed proposal packages. NASA expects selected offerors to finalize and execute their NASA STTR Support Agreement during the negotiation period with the NSSC. All STTR Support Agreements must be fully reimbursable, and the direction and guidance contained in NPR 9090.1B, Partnership Agreements-Financial Requirements and Administration applies unless otherwise expressly prohibited by federal law regarding limitation on advance payment for resources provided under the Support Agreements.

#### **Contractor Responsibilities for Costs**

In accordance with FAR Part 45, it is NASA's policy not to provide services, equipment, or facilities (resources) (capital equipment, tooling, test, computer facilities, etc.) for the performance of work under STTR contracts. Generally, any contractor will furnish its own resources to perform the proposed work on the contract. In all cases, the contractor shall be responsible for any costs associated with services, equipment, or facilities provided by NASA or another Federal department or agency, and such costs shall result in no increase in the price of this contract.

#### **Contractor-Provided Testing Assistance Services**

In some instances, NASA may, at its own expense, test a deliverable item *after* the item has been delivered and accepted. This is separate from instances described above, in which the contractor seeks access to facilities to conduct its own testing. Rather, in such instances where NASA will conduct the testing on its own, NASA may require the contractor to provide services to assist with that testing. An example may include but is not limited to, assisting NASA personnel with properly mounting or configuring an item for NASA to conduct a wind-tunnel test. In such circumstances, where NASA has indicated that such testing assistance services will be required, the offeror *must* include such services in its proposal, to include price. **NOTE TO NASA CUSTOMERS AND OFFERORS:** if contractor-provided testing assistance services are not included in the Phase II proposal, and awarded under the Phase II contract, then such services are prohibited unless acquired or procured under a separate vehicle as may be authorized.

### **5.15 Agency Recovery Authority and Ongoing Reporting**

In accordance with section 5 of the SBIR and STTR Extension Act of 2022, the NASA will –

1) require a small business concern receiving an award under its STTR program to repay all amounts received from the Federal agency under the award if—

(A) the small business concern makes a material misstatement that the Federal agency determines poses a risk to national security; or

(B) there is a change in ownership, change to entity structure, or other substantial change in circumstances of the small business concern that the Federal agency determines poses a risk to national security; and

2) require a small business concern receiving an award under its STTR program to regularly report to the Federal agency and the SBA throughout the duration of the award on—

(A) any change to a disclosure required under subparagraphs (A) through (G) of section [2.3.1](#) above;

(B) any material misstatement made under section 5.15 paragraph (A) above; and

(C) any change described in section 5.15 paragraph (B) above.

## 6. Submission of Proposals

### 6.1 How to Apply for STTR Phase II

NASA uses electronically supported business processes for the STTR program. An offeror must have internet access and an email address. Paper submissions are not accepted. To apply for a NASA STTR Phase II contract all SBCs are required to follow the steps found below.

#### 6.1.1 Electronic Submission Requirements via ProSAMS

NASA uses ProSAMS for the submission of these proposal packages. ProSAMS requires firm registration and login. To access ProSAMS, go to <https://prosams.nasa.gov>. For additional instructions to start a new proposal, go to [https://prosams.nasa.gov/training/ProSAMS\\_SBIR\\_STTR\\_Digital\\_Guide\\_Start\\_a\\_New\\_Proposal\\_R4\\_02162024.pdf](https://prosams.nasa.gov/training/ProSAMS_SBIR_STTR_Digital_Guide_Start_a_New_Proposal_R4_02162024.pdf)

NASA recommends that an authorized small business representative be the person to register the firm and complete the required firm level forms. They will be the only person allowed to edit the firm level forms.

For successful submission of a complete proposal package, you must complete all required and applicable forms, and upload the required documents per the submission requirements indicated in ProSAMS. Letters of commitment must be emailed to [agency-sbir@mail.nasa.gov](mailto:agency-sbir@mail.nasa.gov).

#### 6.1.2 Deadline for Phase II Proposal Receipt

**A complete Phase II proposal package shall be received no later than 5:00 p.m. ET on September 8, 2025.**

**Note: If an offeror has received a no-cost extension on their Phase I contract, the September 8, 2025, applies as the deadline. Therefore, the new period of performance date for the extension does not apply and cannot be used as the deadline to submit a Phase II Proposal.**

You are responsible for ensuring that all files constituting the proposal package are uploaded and endorsed prior to the deadline. If a proposal package is not received by the 5:00 p.m. Eastern Time deadline, NASA will determine the proposal package to be incomplete and will not evaluate it. Start the submission process early to allow sufficient time to upload the complete proposal package.

An offeror who waits to submit a proposal package near the deadline is at risk of not completing the required document uploads and endorsements by the required deadline and NASA may decline the proposal package.

As stated in section [4](#), NASA conducts a two-stage review process of all proposals to determine if the proposal can be evaluated and ranked on a competitive basis. Proposals that are found to be noncompliant with the requirements in section [3](#) of this solicitation will be declined, and no further evaluations will occur. The offeror will be notified of NASA's decision to decline the proposal and that the decision is final.

#### 6.1.3 Complete Proposal Package Submission

Firms will upload all components of a complete proposal package using the Proposal Submissions module in ProSAMS. The designated business representative and principal investigator must endorse the proposal package. All transactions via ProSAMS are encrypted for security purposes.

Each complete proposal package submitted shall contain the following items:

1. Proposal Contact Information
2. Proposal Certifications
3. Proposal Summary
4. Proposal Budget
  - a. Letters of commitment for Government resources and subcontractors/consultants (if applicable)
  - b. Foreign Vendor form (if applicable) – Note: NASA and the Office of Management and Budget (OMB) have issued a policy that requires a review of any request to purchase materials or supplies from foreign vendors
5. Technical Proposal—10 Parts in the order specified in section [3.4.4](#), not to exceed 46 pages, including all graphics, and starting with a table of contents.
6. Briefing Chart
7. NASA Evaluation License Application, only if TAV is being proposed
8. Capital Commitments Addendum Supporting Phase II and Phase III (optional)
9. Technical and Business Assistance (TABAs) Request (if applicable)
10. Firm-Level Forms (completed once for all proposals submitted to a single solicitation)
  - a. Firm Certifications
  - b. Audit Information
  - c. Prior Awards Addendum
  - d. Commercialization Metrics Survey (CMS)
  - e. Disclosures of Foreign Affiliations or Relationships to Foreign Countries
11. Electronic Endorsement in ProSAMS by the Small Business Official and Principal Investigator (PI)

**Firms cannot submit security/password-protected PDF files, as reviewers will not be able to open and read these files. Proposal packages containing security/password-protected PDF files may be declined and not considered.**

Offerors are responsible for virus-checking all files prior to submission. NASA may decline any completed proposal package that contains a file with a detected virus.

You may upload a complete proposal package multiple times, with each new upload replacing the previous version, but only the final uploaded and electronically endorsed version will be considered for review. If you have already completed a prior upload and endorsed the proposal package, any new uploads will require a re-endorsement of the new completed proposal package.

***Note: Embedded animation or video, as well as reference technical papers for “further reading,” will not be considered for evaluation.***

#### **6.1.4 Acknowledgment of a Completed Proposal Package Receipt**

NASA will acknowledge receipt of the electronically submitted and completed proposal package by sending an email to the designated Small Business Official email address as provided on the completed proposal package cover sheet, as well as to the user who created the completed proposal package, if different. **If a completed proposal package acknowledgment is not received after submission, the offeror should immediately contact the NASA SBIR/STTR Program Office at [agency-sbir@mail.nasa.gov](mailto:agency-sbir@mail.nasa.gov).**

#### **6.1.5 Withdrawal of Completed Proposal Packages**

Prior to the close of submissions, completed proposal packages may be withdrawn from ProSAMS. To withdraw a completed proposal package after the deadline, the designated Small Business Official must send written notification via email to [agency-sbir@mail.nasa.gov](mailto:agency-sbir@mail.nasa.gov).

### **6.1.6 Service of Protests**

Protests, as defined in section [FAR 33.101](#) of the Federal Acquisition Regulation, that are filed directly with an agency, and copies of any protests that are filed with the Government Accountability Office (GAO), shall be served on the Contracting Officer (addressed as follows) by obtaining written and dated acknowledgment of receipt from:

Kenneth E. Albright  
NASA Shared Services Center  
Building 1111, Jerry Hlass Road  
Stennis Space Center, MS 39529  
[Agency-SBIR-STTRsolicitation@mail.nasa.gov](mailto:Agency-SBIR-STTRsolicitation@mail.nasa.gov)

A copy of any protest shall be received in the office designated above within one day of filing a protest with the GAO.



## 7. Proposal, Scientific and Technical Information Sources

### 7.1 NASA Organizational and Programmatic Information

General sources relating to organizational and programmatic information at NASA are available via the following websites:

NASA Budget Documents, Strategic Plans, and Performance Reports: <http://www.nasa.gov/about/budget/index.html>

NASA Organizational Structure: <https://www.nasa.gov/organization/>

NASA SBIR/STTR Programs: <http://sbir.nasa.gov>

Information regarding NASA's Technology Taxonomy and the NASA Strategic Integration Framework can be obtained at the following websites:

NASA Technology Taxonomy	
2024	<a href="https://www.nasa.gov/otps/2024-nasa-technology-taxonomy/">https://www.nasa.gov/otps/2024-nasa-technology-taxonomy/</a>

NASA Mission Directorates	
Aeronautics Research Mission Directorate (ARMD)	<a href="https://www.nasa.gov/directorates/armd/">https://www.nasa.gov/directorates/armd/</a>
Exploration Systems Development Mission Directorate (ESDMD)	<a href="https://www.nasa.gov/directorates/exploration-systems-development">https://www.nasa.gov/directorates/exploration-systems-development</a>
Space Operations Mission Directorate (SOMD)	<a href="https://www.nasa.gov/directorates/space-operations-mission-directorate">https://www.nasa.gov/directorates/space-operations-mission-directorate</a>
Science Mission Directorate (SMD)	<a href="http://nasascience.nasa.gov">http://nasascience.nasa.gov</a>
Space Technology Mission Directorate (STMD)	<a href="http://www.nasa.gov/directorates/spacetech/home/index.html">http://www.nasa.gov/directorates/spacetech/home/index.html</a>

NASA Centers	
Ames Research Center (ARC)	<a href="http://www.nasa.gov/centers/ames/home/index.html">http://www.nasa.gov/centers/ames/home/index.html</a>
Armstrong Flight Research Center (AFRC)	<a href="http://www.nasa.gov/centers/armstrong/home/index.html">http://www.nasa.gov/centers/armstrong/home/index.html</a>
Glenn Research Center (GRC)	<a href="http://www.nasa.gov/centers/glenn/home/index.html">http://www.nasa.gov/centers/glenn/home/index.html</a>
Goddard Space Flight Center (GSFC)	<a href="http://www.nasa.gov/centers/goddard/home/index.html">http://www.nasa.gov/centers/goddard/home/index.html</a>
Jet Propulsion Laboratory (JPL)	<a href="https://www.nasa.gov/jpl/">https://www.nasa.gov/jpl/</a>
Johnson Space Center (JSC)	<a href="http://www.nasa.gov/centers/johnson/home/index.html">http://www.nasa.gov/centers/johnson/home/index.html</a>
Kennedy Space Center (KSC)	<a href="http://www.nasa.gov/centers/kennedy/home/index.html">http://www.nasa.gov/centers/kennedy/home/index.html</a>
Langley Research Center (LaRC)	<a href="http://www.nasa.gov/centers/langley/home/index.html">http://www.nasa.gov/centers/langley/home/index.html</a>
Marshall Space Flight Center (MSFC)	<a href="http://www.nasa.gov/centers/marshall/home/index.html">http://www.nasa.gov/centers/marshall/home/index.html</a>
Stennis Space Center (SSC)	<a href="http://www.nasa.gov/centers/stennis/home/index.html">http://www.nasa.gov/centers/stennis/home/index.html</a>

NASA Shared Services Center (NSSC)	<a href="https://www.nssc.nasa.gov/">https://www.nssc.nasa.gov/</a>
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## 7.2 United States Small Business Administration (SBA)

The SBA oversees the Federal SBIR and STTR programs. The SBA has resources that small businesses can take advantage of in learning about the program and obtaining help in developing a proposal or a completed proposal package for a Federal SBIR/STTR program. Offerors are encouraged to review the information that is provided at the following links: [www.sbir.gov](http://www.sbir.gov), <https://www.sba.gov/local-assistance>, and <https://www.sbir.gov/resources>.

The SBA issues an SBIR/STTR Policy Directive which provides guidance to all Federal Agencies that have an SBIR/STTR program. The Policy Directives for the SBIR/STTR programs may be obtained from the SBA at [www.sbir.gov](http://www.sbir.gov) or at the following address:

U.S. Small Business Administration  
Office of Technology – Mail Code 6470  
409 Third Street, S.W.  
Washington, DC 20416  
Phone: 202-205-6450

## 7.3 National Technical Information Service

The National Technical Information Service (NTIS) is an agency of the Department of Commerce and is the Federal Government's largest central resource for Government-funded scientific, technical, engineering, and business-related information. For information regarding various NTIS services and fees, call or write:

National Technical Information Service  
5285 Port Royal Road  
Springfield, VA 22161  
Phone: 703-605-6000  
URL: <http://www.ntis.gov>

## 8. Submission Forms

Previews of all forms and certifications are available via the NASA SBIR/STTR Resources website, located at [https://www.nasa.gov/sbir\\_sttr/firms\\_library/](https://www.nasa.gov/sbir_sttr/firms_library/)

### 8.1 STTR Phase II Checklist

For assistance in completing your Phase II proposal, use the following checklist:

- ☐ The proposal and innovation are submitted for one subtopic only (section [3.1](#)).
- ☐ The entire proposal package is submitted consistently with the requirements outlined in section [3.4](#).
  - ☐ Proposal Contact Information
  - ☐ Proposal Certifications
  - ☐ Proposal Summary
  - ☐ Proposal Budget
    - ☐ Letters of commitment for Government resources and subcontractors/consultants (if applicable)
    - ☐ Foreign Vendor form (if applicable)
  - ☐ Technical Proposal—contains ALL 10 Parts in the order specified in section [3.4.4](#)
  - ☐ Briefing Chart
  - ☐ NASA Evaluation License Application, only if TAV is being proposed
  - ☐ Capital Commitments Addendum Supporting Phase II and Phase III (optional)
  - ☐ Technical and Business Assistance (TABAs) Request, if applicable
  - ☐ Firm-Level Forms (completed once for all proposals submitted to a single solicitation)
    - ☐ Firm Certifications
    - ☐ Audit Information
    - ☐ Prior Awards Addendum
    - ☐ Commercialization Metrics Survey (CMS)
    - ☐ Disclosures of Foreign Affiliations or Relationships to Foreign Countries
  - ☐ Electronic Endorsement by the Small Business Official and Principal Investigator (PI)
- ☐ The technical proposal shall not exceed a total of 46 8.5- by 11-inch pages and shall follow the format requirements (section [3.4.2](#)).
- ☐ Any additional required letters/documentation are included.
  - ☐ A letter of commitment from the facility manager if the research or R/R&D effort requires the use of Federal facilities (section [3.4.4](#)).
  - ☐ Letters of commitment from subcontractors/consultants.
  - ☐ Letters in support of Capital Commitments Addendum.
  - ☐ If the firm is an eligible joint venture or limited partnership, a copy or a comprehensive summary of the joint venture agreement or partnership agreement is included.
  - ☐ NASA Evaluation License Application if proposing the use of NASA technology (TAV).
  - ☐ Supporting documentation of budgeted costs.
- ☐ Proposed funding does not exceed \$850,000 (section [1.4](#)), and if requesting TABAs, the cost for TABAs does not exceed \$50,000 (section [3.4.15](#)).
- ☐ The proposed project duration does not exceed 24 months (section [1.3](#)).
- ☐ The proposal package is electronically endorsed by the Small Business Official and the Principal Investigator (PI) at the required deadline.
- ☐ **Confirm you received an acknowledgment of submission email before 5:00 p.m. ET on September 8, 2025 (section [6.1](#)).**

## 9. Research Subtopics for STTR

Phase II proposals are follow-on work to the original Phase I award, therefore offerors are required to submit proposals that are in alignment with the original subtopic that Phase I was awarded under. Offerors are encouraged to review the subtopic and ensure the proposed effort meets the subtopic scope, goals, and Phase II deliverables. To review the subtopic that was solicited in Phase I, go to [https://www.nasa.gov/sbir\\_sttr/phase-i/](https://www.nasa.gov/sbir_sttr/phase-i/) and review section 9: Research Subtopics for STTR in the 2024 Phase I solicitation.

## Appendix A

### List of NASA STTR Phase II Clauses, Regulations, and Certifications

#### Introduction

Offerors who plan to submit a completed proposal package to this solicitation will be required to meet specific rules and regulations as part of the submission and if awarded a contract. Offerors should ensure that they understand these rules and requirements before submitting a completed proposal package to NASA.

Below are all the clauses, regulations, and certifications that apply to Phase II submissions and contracts. Each clause, regulation, and certification contain a hyperlink to the webpages from the NASA FAR Supplement, SBIR/STTR Policy Directive, and [www.acquisition.gov](http://www.acquisition.gov) where you can read about the requirements.

#### Federal Acquisition Regulations (FAR) Provisions and Clauses

- 52.202-1 DEFINITIONS. (Jun 2020)
- 52.203-3 GRATUITIES. (Apr 1984)
- 52.203-5 COVENANT AGAINST CONTINGENT FEES. (May 2014)
- 52.203-6 RESTRICTIONS ON SUBCONTRACTOR SALES TO THE GOVERNMENT. (Jun 2020)
- 52.203-7 ANTI-KICKBACK PROCEDURES. (Jun 2020)
- 52.203-8 CANCELLATION, RESCISSION, AND RECOVERY OF FUNDS FOR ILLEGAL OR IMPROPER ACTIVITY (May 2014)
- 52.203-10 PRICE OR FEE ADJUSTMENT FOR ILLEGAL OR IMPROPER ACTIVITY (May 2014)
- 52.203-11 CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS. (Sep 2024)
- 52.203-12 LIMITATION ON PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS. (Jun 2020)
- 52.203-18 PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRE CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS OR STATEMENTS-REPRESENTATION. (Jun 2020)
- 52.203-19 PROHIBITION ON REQUIRING CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS OR STATEMENTS. (JAN 2017)
- 52.204-7 SYSTEM FOR AWARD MANAGEMENT. (NOV 2024)
- 52.204-8, ANNUAL REPRESENTATIONS AND CERTIFICATIONS (JAN 2025) (DEVIATION FEB 2025)
- 52.204-10 REPORTING EXECUTIVE COMPENSATION AND FIRST-TIER SUBCONTRACT AWARDS. (Jun 2020)
- 52.204-21 BASIC SAFEGUARDING OF COVERED CONTRACTOR INFORMATION SYSTEMS. (Nov 2021)
- 52.204-13 SYSTEM FOR AWARD MANAGEMENT MAINTENANCE. (OCT 2018)
- 52.204-16 COMMERCIAL AND GOVERNMENT ENTITY CODE REPORTING. (AUG 2020)
- 52.204-18 COMMERCIAL AND GOVERNMENT ENTITY CODE MAINTENANCE. (AUG 2020)
- 52.204-19 INCORPORATION BY REFERENCE OF REPRESENTATIONS AND CERTIFICATIONS. (Dec 2014)
- 52.204-22 ALTERNATIVE LINE-ITEM PROPOSAL (JAN 2017)
- 52.204-23 PROHIBITION ON CONTRACTING FOR HARDWARE, SOFTWARE, AND SERVICES DEVELOPED OR PROVIDED BY KASPERSKY LAB AND OTHER COVERED ENTITIES. (DEC 2023)
- 52.204-24 REPRESENTATION REGARDING CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT (NOV 2021)
- 52.204-25 PROHIBITION ON CONTRACTING FOR CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT. (NOV 2021)
- 52.204-26 COVERED TELECOMMUNICATIONS EQUIPMENT OR SERVICES - REPRESENTATION. (OCT 2020)
- 52.204-27 PROHIBITION ON A BYTEDANCE COVERED APPLICATION. (JUN 2023)

52.204-29 FEDERAL ACQUISITION SUPPLY CHAIN SECURITY ACT ORDERS—REPRESENTATION AND DISCLOSURES. (DEC 2023)

52.209-6 PROTECTING THE GOVERNMENT’S INTEREST WHEN SUBCONTRACTING WITH CONTRACTORS DEBARRED, SUSPENDED, OR PROPOSED FOR DEBARMENT. (NOV 2021)

52.213-4, TERMS AND CONDITIONS-SIMPLIFIED ACQUISITIONS (OTHER THAN COMMERCIAL PRODUCTS AND COMMERCIAL SERVICES) (JAN 2025) (DEVIATION FEB 2025)

52.215-1 INSTRUCTIONS TO OFFERORS—COMPETITIVE ACQUISITION. (NOV 2021)

52.215-2 AUDIT AND RECORDS-NEGOTIATIONS (JUN 2020)

52.215-8 ORDER OF PRECEDENCE—UNIFORM CONTRACT FORMAT. (OCT 1997)

52.217-9 OPTION TO EXTEND THE TERM OF THE CONTRCT (MAR 2000)

52.219-6 NOTICE OF TOTAL SMALL BUSINESS SET-ASIDE (Nov 2020)

52.219-8 UTILIZATION OF SMALL BUSINESS CONCERNS. (Feb 2024)

52.219-28 POST-AWARD SMALL BUSINESS PROGRAM REREPRESENTATION. (Feb 2024)

52.222-3 CONVICT LABOR. (June 2003)

52.222-35 EQUAL OPPORTUNITY FOR VETERANS. (Jun 2020)

52.222-37 EMPLOYMENT REPORTS ON VETERANS. (Jun 2020)

52.222-36 EQUAL OPPORTUNITY FOR WORKERS WITH DISABILITIES. (Jun 2020)

52.222-50 COMBATING TRAFFICKING IN PERSONS. (Nov 2021)

52.222-54 EMPLOYMENT ELIGIBILITY VERIFICATION. (May 2022)

52.225-1 BUY AMERICAN-SUPPLIES (Oct 2022)

52.225-13 RESTRICTIONS ON CERTAIN FOREIGN PURCHASES. (Feb 2021)

52.225-25 PROHIBITION ON CONTRACTING WITH ENTITIES ENGAGING IN CERTAIN ACTIVITIES OR TRANSACTIONS RELATING TO IRAN—REPRESENTATION AND CERTIFICATIONS. (Jun 2020)

52.226-7 DRUG FREE WORKPLACE (May 2024)

52.226-8 ENCOURAGING CONTRACTOR POLICIES TO BAN TEXT MESSAGING WHILE DRIVING. (MAY 2024)

52.227-1 AUTHORIZATION AND CONSENT. (Jun 2020)

52.227 -2 NOTICE AND ASSISTANCE REGARDING PATENT AND COPYRIGHT INFRINGEMENT (Jun 2020) 52.227-11 PATENT RIGHTS—OWNERSHIP BY THE CONTRACTOR (May 2014) as Modified by NFS 1852.227-11.

52.227-20 RIGHTS IN DATA—SBIR PROGRAM. (May 2014)

52.229-3 FEDERAL, STATE, AND LOCAL TAXES. (Feb 2013)

52.232-2 PAYMENTS UNDER FIXED-PRICE RESEARCH AND DEVELOPMENT CONTRACTS. (Apr 1984) 52.232-9 LIMITATION ON WITHHOLDING OF PAYMENTS. (Apr 1984)

52.232-12 ADVANCE PAYMENTS. (MAY 2001) AS MODIFIED BY NFS 1852.232-70 ALTERNATE IV (APR 1984) ALTERNATE V (MAY 2001)

52.232-23 ASSIGNMENT OF CLAIMS. (May 2014)

52.232-25 PROMPT PAYMENT. (Jan 2017)

52.232-33 PAYMENT BY ELECTRONIC FUNDS TRANSFER—SYSTEM FOR AWARD MANAGEMENT. (Oct 2018)

52.232-39 UNENFORCEABILITY OF UNAUTHORIZED OBLIGATIONS. (Jun 2013)

52.232-40 PROVIDING ACCELERATED PAYMENTS TO SMALL BUSINESS SUBCONTRACTORS. (Mar 2023)

52.233-1 DISPUTES. (May 2014)

52.233-3 PROTEST AFTER AWARD. (Aug 1996)

52.233-4 APPLICABLE LAW FOR BREACH OF CONTRACT CLAIM. (Oct 2004)

52.242-13 BANKRUPTCY (July 1995)

52.242-15 STOP-WORK ORDER. (Aug 1989)

52.243-1 CHANGES—FIXED PRICE. (Aug 1987)

52.244-6, SUBCONTRACTS FOR COMMERCIAL PRODUCTS AND COMMERCIAL SERVICES (JAN 2025) (DEVIATION FEB 2025)

52.246-7 INSPECTION OF RESEARCH AND DEVELOPMENT—FIXED PRICE. (Aug 1996)

52.246-16 RESPONSIBILITY FOR SUPPLIES. (Apr 1984)  
52.247-34 F.O.B. DESTINATION (Jan 1991)  
52.249-1 TERMINATION FOR CONVENIENCE OF THE GOVERNMENT (FIXED-PRICE) (SHORT FORM). (APR 1984)  
52.252-1 SOLICITATION PROVISIONS INCORPORATED BY REFERENCE. (Feb 1998)  
52.253-1 COMPUTER GENERATED FORMS. (Jan 1991)  
52.252-2 CLAUSES INCORPORATED BY REFERENCE. (Feb 1998)

#### **NASA Provisions and Clauses**

1852.203-71 REQUIREMENT TO INFORM EMPLOYEES OF WHISTLEBLOWER RIGHTS (Jul 2023)  
1852.204-76 SECURITY REQUIREMENTS FOR UNCLASSIFIED INFORMATION TECHNOLOGY RESOURCES. (DEVIATION 21-01)  
1852.211-70 PACKAGING, HANDLING, AND TRANSPORTATION CERTIFICATIONS—OTHER THAN COMMERCIAL ITEMS (Sep 2005)  
1852.216-78 FIRM FIXED PRICE. (Dec 1988)  
1852.219-82 LIMITATION ON SUBCONTRACTING – STTR PROGRAM. (Oct 2011)  
1852.219-84 LIMITATION OF THE PRINCIPAL INVESTIGATOR – STTR PROGRAM. (Oct 2006)  
1852.219-85 CONDITIONS FOR FINAL PAYMENT – SBIR and STTR CONTRACTS (Oct 2006)  
1852.225-70 EXPORT LICENSES (Feb 2000)  
1852.225-71 RESTRICTION ON FUNDING ACTIVITY WITH CHINA (Feb 16, 2012)  
1852.225-72 RESTRICTION ON FUNDING ACTIVITY WITH CHINA – REPRESENTATION. (DEVIATION 12-01A) (Feb 2012)  
1852.215-81 PROPOSAL PAGE LIMITATIONS. (Apr 2015)  
1852.223-75 MAJOR BREACH OF SAFETY OR SECURITY. (Feb 2002)  
1852.227-11 PATENT RIGHTS – OWNERSHIP BY THE CONTRACTOR. (Apr 2015)  
1852.227-72 DESIGNATION OF NEW TECHNOLOGY REPRESENTATIVE AND PATENT REPRESENTATIVE. (Apr 2015)  
1852.232-80 SUBMISSION OF VOUCHERS FOR PAYMENT. (Apr 2018)  
1852.233-70 PROTESTS TO NASA. (Apr 2015)  
1852.235-70 CENTER FOR AEROSPACE INFORMATION. (Dec 2006)  
1852.235-71 KEY PERSONNEL AND FACILITIES (Mar 1989)  
1852.235-73 FINAL SCIENTIFIC AND TECHNICAL REPORTS. ALTERNATE III (Dec 2006)  
1852.235-74 ADDITIONAL REPORTS OF WORK - RESEARCH AND DEVELOPMENT. (Feb 2003)  
1852.237-72 ACCESS TO SENSITIVE INFORMATION. (Jun 2005)  
1852.237-73 RELEASE OF SENSITIVE INFORMATION. (Jun 2005)  
1852.239-73 REVIEW OF THE OFFEROR'S INFORMATION TECHNOLOGY SYSTEMS SUPPLY CHAIN (DEVIATION 15-03D) (Jan 2020)  
1852.239-74 INFORMATION TECHNOLOGY SYSTEM SUPPLY CHAIN RISK ASSESSMENT. (DEVIATION 15-03D) (Jan 2020)  
1852.244-70 GEOGRAPHIC PARTICIPATION IN THE AEROSPACE PROGRAM (Apr 1985)  
1852.246-72 MATERIAL INSPECTION AND RECEIVING REPORT (Apr 1985)  
PCD 21-02 FEDERAL ACQUISITION REGULATION (FAR) CLASS DEVIATION – PROTECTION OF DATA UNDER THE SMALL BUSINESS INNOVATIVE RESEARCH/SMALL TECHNOLOGY TRANSFER RESEARCH (SBIR/STTR) PROGRAM  
PCD 21-04A CLASS DEVIATION FROM THE FEDERAL ACQUISITION REGULATION (FAR) AND NASA FAR SUPPLEMENT (NFS) REGARDING REQUIREMENTS FOR NONAVAILABILITY DETERMINATIONS UNDER THE BUY AMERICAN STATUTE

#### **Additional Regulations**

SOFTWARE DEVELOPMENT STANDARDS  
HUMAN AND/OR ANIMAL SUBJECT

HOMELAND SECURITY PRESIDENTIAL DIRECTIVE 12 (HSPD-12)  
RIGHTS IN DATA DEVELOPED UNDER SBIR FUNDING AGREEMENT  
INVENTION REPORTING, ELECTION OF TITLE, PATENT APPLICATION FILING, AND PATENTS

**SBA Certifications required for Phase II**

- (1) CERTIFICATIONS.
- (2) PERFORMANCE OF WORK REQUIREMENTS.
- (3) EMPLOYMENT OF THE PRINCIPAL INVESTIGATOR/PROJECT MANAGER.
- (4) LOCATION OF THE WORK.
- (5) NOVATED/SUCCESSOR IN INTERESTED/REVISED FUNDING AGREEMENTS.
- (6) MAJORITY-OWNED BY MULTIPLE VCOCS, HEDGE FUNDS, OR PRIVATE EQUITY FIRMS [SBIR ONLY].
- (7) AGENCY BENCHMARKS FOR PROGRESS TOWARDS COMMERCIALIZATION.
- (8) LIFE CYCLE CERTIFICATIONS