

NASA ProSAMS SBC Firm Forms Digital Guide



Guide Features	<p>This guide provides an overview of the Firm Forms for the NASA SBIR Ignite ProSAMS. You will find step-by-step instructions on the following:</p> <ul style="list-style-type: none"> ✓ Completing the Firm Certifications form ✓ Disclosure of Foreign Affiliations form ✓ Completing the Audit Information form ✓ Completing the Prior Awards Addendum form
Impacted Sections	<ul style="list-style-type: none"> ✓ All
Impacted Users	<ul style="list-style-type: none"> ✓ SBCs (Small Business Concerns)

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Step-by-Step
 Instructions

Firm Certifications

1. Select yes or no regarding ownership and control requirements.

Please read carefully the following certification statements:

- The Federal government relies on the information to determine whether the business is eligible for a Small Business Innovation Research (SBIR) Program award. A similar certification will be used to ensure continued compliance with specific program requirements 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 C.F.R. Part 121), the SBIR Policy Directive and also any statutory and regulatory provisions referenced in those authorities.
- If the funding agreement officer believes that the business may not meet certain eligibility requirements at the time of award, they are required to file a size protest with the U.S. Small Business Administration (SBA), who will determine eligibility. At that time, SBA will request further clarification and supporting documentation in order to assist in the verification of any of the information provided as part of a protest. If the funding agreement officer believes, after award, that the business is not meeting certain funding agreement requirements, the agency may request further clarification and supporting documentation in order to assist in the verification of any of the information provided.
- Even if correct information has been included in other materials submitted to the Federal government, any action taken with respect to this certification does not affect the Government's right to pursue criminal, civil or administrative remedies for incorrect or incomplete information given in the certification. Each person signing this certification may be prosecuted if they have provided false information.

1. The Awardee business concern meets the ownership and control requirements set forth in 13 CFR 121.702. *

1

Yes
 No

A. If no, visit the link provided to learn more about ownership and control requirements for this Solicitation.

1. The Awardee business concern meets the ownership and control requirements set forth in 13 CFR 121.702. *

A

Yes
 No



The Awardee business concern must meet the ownership and control requirements set forth in 13 CFR 121.702 to participate in this solicitation. For more information, go to <https://www.ecfr.gov/>





3. Select yes or N/A regarding a partnership agreement.

3. If a partnership, the partnership agreement evidences that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702. *

3

 Yes
 N/A

A. If N/A, explain why.

3. If a partnership, the partnership agreement evidences that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702. *

 Yes
 N/A

A

If N/A, explain why: *

Character limit: 0/500

4. Select yes or N/A regarding limited liability corporation ownership and control.

4. If a limited liability corporation, the articles of organization and any amendments, and operation agreement and amendments, evidence that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702. *

4

 Yes
 N/A



A. If N/A, explain why.

4. If a limited liability corporation, the articles of organization and any amendments, and operation agreement and amendments, evidence that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702. *

- Yes
- N/A

If N/A, explain why: *

Character limit: 0/500

5. Select yes or N/A regarding documentation of individuals required to meet eligibility.

5. The birth certificates, naturalization papers, or passports show that any individuals it relies upon to meet the eligibility requirements are U.S. citizens or permanent resident aliens in the United States. *

- Yes
- N/A

A. If N/A, explain why.

5. The birth certificates, naturalization papers, or passports show that any individuals it relies upon to meet the eligibility requirements are U.S. citizens or permanent resident aliens in the United States. *

- Yes
- N/A

If N/A, explain why: *

Character limit: 0/500



- 6. Select yes or no regarding the size of the small business concern.
 - A. Enter the number of employees, including employees of affiliates.

6. The Awardee business concern **has no more than** 500 employees, including the employees of its Affiliates. *

6

Yes
 No

6a. The number of employees, including the employees of its affiliates is: *

- 7. Select true or false regarding a size determination from SBA.

7. SBA has **not issued a size determination** currently in effect finding that this business concern exceeds the 500 employee size standard. *

7

True
 False

- 8. Select yes, no, or N/A regarding majority ownership and registration with SBA.

8. The SBIR Awardee has registered itself on SBA's database as majority-owned by venture capital operating companies, including hedge funds or private equity firms. *

8

Yes
 No
 N/A



<p>A. If N/A, explain why.</p>	<p>8. The SBIR Awardee has registered itself on SBA's database as majority-owned by venture capital operating companies, including hedge funds or private equity firms. *</p> <p><input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A</p> <p>A If N/A, explain why: *</p> <p><input type="text"/></p> <p><small>Character limit: 0/500</small></p>
<p>9. Select yes or no regarding VCOC/hedge fund/private equity ownership.</p>	<p>9. It is a Covered Small Business Concern (a small business concern that: (a) was not majority-owned by multiple venture capital operating companies (VCOCs), hedge funds, or private equity firms on the date on which it submitted an application in response to an SBIR solicitation; and (b) on the date of the SBIR award, which is made more than 9 months after the closing date of the solicitation, is majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms). *</p> <p>9</p> <p><input type="radio"/> Yes <input type="radio"/> No</p>
<p>10. Select yes or no regarding faculty or student ownership.</p>	<p>10. The firm is owned by a faculty member or a student of an institution of higher education (as defined in 20 U.S.C. section 1001). *</p> <p>10</p> <p><input type="radio"/> Yes <input type="radio"/> No</p>



11. Select one or more designations.

11. The offeror qualifies as a (select all that apply): *

For all definitions, go to <https://www.sba.gov/federal-contracting/contracting-assistance-programs>.

11

- Socially and Economically Disadvantaged SBC
- HUBZone-owned SBC
- Service-Disabled Veteran-owned SBC
- Women-owned SBC
- Veteran-owned SBC
- None Listed

12. Select one or more designations.

12. Race of the offeror (select all that apply): *

12

- American Indian or Alaska Native
- Asian
- Black or African American
- Native Hawaiian or Other Pacific Islander
- White
- Do not wish to provide

13. Select one response.

13. Ethnicity of the offeror: *

13

- Hispanic or Latino
- Not Hispanic or Latino
- Do not wish to provide



14. Select true or false.

14. It is a corporation that has **some unpaid Federal tax liability** that has been assessed, for which all judicial and administrative remedies have not been exhausted or have not lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability. *

14

- True
- False

15. Select true or false.

15. The corporation was convicted, or had an officer or agent acting on behalf of the corporation convicted, or a felony criminal violation under a Federal law within the preceding 24 months. *

15

- True
- False

16. Select true or false.

16. The offeror **will not provide** covered telecommunications equipment or services to the Government in the performance of any contract, subcontract or other contractual instrument resulting from the solicitation (as per section 2.3.1 FAR 52.204-24 of the solicitation). *

16

- True
- False



A. If false, upload the required documentation.

Please upload the information as a PDF.

A You can upload a document more than once, but only the most recent version is saved.

+ Drag file or [choose from folder](#)

Maximum file size: 2MB

For covered equipment:

- The entity that produced the covered telecommunications equipment (include entity name, CAGE code, and whether the entity was the original equipment manufacturer (OEM) or a di

17. Select true or false.

17. The offeror **does not use** covered telecommunications equipment or services, or use any equipment, system, or service that uses covered telecommunications equipment or services (as per section 2.3.1 FAR 52.204-24 of this solicitation). *

17

True

False

A. If false, upload the required documentation.

Please upload the information as a PDF.

A You can upload a document more than once, but only the most recent version is saved.

+ Drag file or [choose from folder](#)

Maximum file size: 2MB

For covered equipment:

- The entity that produced the covered telecommunications equipment (inc



18. Select true or false.

18. The offeror **does not provide** covered telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument (as per section 2.3.2 FAR 52.204-26). *

18

 True
 False

19. Enter your SBC Control ID number and upload the required documentation.

19. Verify that your firm has registered in SBA's Company Registry at www.sbir.gov by providing the SBC Control ID # and including a PDF of the registration confirmation along with your submission files. *

19 SBC Control ID # *

Upload registration confirmation PDF. *

You can upload a document more than once, but only the most recent version is saved.

Drag file or choose from folder

Maximum file size: 2MB

20. Click each box to certify the statements.

Confirmation of Firm Certifications

20 I understand that the information submitted may be given to Federal, State and local agencies for determining violations of law and other purposes. *

I am an officer of the business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the business concern that the information provided in this certification, the application, and all other information submitted in connection with this application, is true and correct as of the date of submission. I acknowledge that any intentional or negligent misrepresentation of the information contained in this certification may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. §1001; (2) treble damages and civil penalties under the False Claims Act (31 U.S.C. §3729 et seq.); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. §3801 et seq.); (4) civil recovery of award funds; (5) suspension and/or debarment from all Federal procurement and non-procurement transactions (FAR Subpart 9.4 or 2 C.F.R. part 180); and (6) other administrative penalties including termination of SBIR/STTR awards. *



- 21. Enter your name, which serves as your signature, and your title.
- 22. To complete this section:
 - A. Click Save and Continue to proceed to the next step.
 - B. Click Save to exit and return later.
 - C. Click Back to return to the previous step.

The undersigned has reviewed, verified and certifies the above information:

Firm Name

21

22

Disclosure of Foreign Affiliations

- 1. Select yes or no.
- A. If yes, enter the required information.

1. Is any owner or covered individual of the applicant or awardee party to any malign foreign talent recruitment program? *

1 Yes
 No

A Disclose the first and last name of each owner or covered individual, identify their role (i.e., owner or covered individual), and the malign foreign talent recruitment program. *

0/4000 Characters



2. Select yes or no.

2. Is there a parent company, joint venture, or subsidiary, of the applicant or awardee that is based in, or receives funding from, any foreign country of concern? *

2

Yes

No

A. If yes, enter the required information.

Disclose the name, full address, applicant or awardee relationships (i.e., parent company, joint venture, or subsidiary) of each entity based in, or funded by, any foreign country of concern. *

A

0/4000 Characters

3. Select yes or no.

3. Does the applicant or awardee have 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? *

3

Yes

No



A. If yes, provide the required information.

Disclose the name of each enterprise or foreign entity, type of obligation, agreement, or arrangement (i.e., contractual, financial, other other), description of obligation, agreement, or arrangement, and the foreign state(s) and/or the country of the foreign entity (or entities). *

A

0/4000 Characters

4. Select yes or no.

A. If yes, enter the foreign country.

4. Is the applicant or awardee wholly owned in a foreign country? *

4

Yes

No

A Disclose the Foreign Country *

5. Select yes or no.

5. Does the applicant or awardee have any venture capital or institutional investment? *

5

Yes

No

Unable to determine



A. If yes or unable to determine, provide the required information.

Disclose the venture capital or institutional investing entity's name, the percentage of ownership obtained by the investing entity, and the type of investment (i.e., equity, debt, or combination of equity and debt). *

A

0/4000 Characters

6. Select yes or no.

6. During the previous 5-year period, did the applicant or awardee have any technology licensing or intellectual property sales or transfers, to a foreign country of concern? *

6

Yes

No

A. If yes, provide the required information.

Disclose the name, address, and country, of the institution or entity that licensed, purchased, or received the technology or intellectual property. *

A

0/4000 Characters



7. Select yes or no.

7. Is there any foreign business entity, offshore entity, or entity outside the United States related to the applicant or awardee? *

7 Yes
 No

A. If yes, provide the required information.

Disclose the entity name, relationship type (i.e., foreign business entity, offshore entity, entity outside the United States), description of the relationship to the applicant or awardee, and entity address and country. *

A

0/4000 Characters

8. Select yes or no.

8. Does the applicant or awardee have an owner, officer, or covered individual that has a foreign affiliation with a research institution located in a foreign country of concern? *

8 Yes
 No



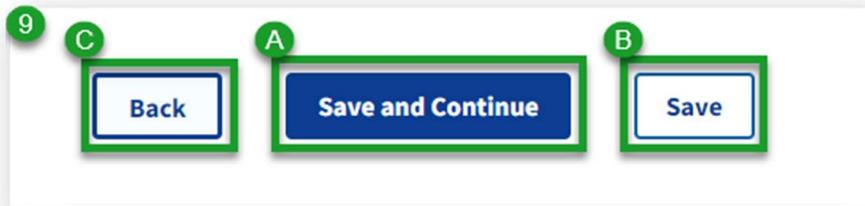
- A. If yes, provide required information.

Disclose the first and last name of each owner, officer, or covered individual that has a foreign affiliation with a foreign country of concern, identify their role (i.e., owner, officer, or covered individual), and the name of the foreign research institution and the foreign country of concern where it is located. *

A

0/4000 Characters

- 9. To complete this section:
 - A. Click Save and Continue to proceed to the next step.
 - B. Click Save to exit and return later.
 - C. Click Back to return to the previous step.





Audit Information

1. Select yes or no regarding a Federal audit.

If no, complete this section:

- A. Click Save and Continue to proceed to the next step, OR
- B. Click Save to exit and return later, OR
- C. Click Back to return to the previous step.

If yes,

- D. Select the Agency name.
- E. Enter the Agency address.

NOTE: Click the blue question mark for information on ZIP+4.

Has a Federal agency ever audited your accounting system? *

1

Yes

No

C A B

Back Save and Continue Save

Additional Information

D

Agency Name *

Agency Location

E

Street * Apt/Suite

City * State/Territory * ZIP+4 *

-Select- ?



F. Enter your Agency contact's first name, last name, email address and phone number.

F Agency Contact

First Name * Last Name *

Email *

Phone *

2. Select yes or no regarding accounting system approval.

2 Was your accounting system approved by the auditing agency? *

Yes

No

A. If yes, enter the date of approval.

Was your accounting system approved by the auditing agency? *

Yes

No

A Provide the date of approval: *

Month Day Year

MM DD YYYY



3. Select yes or no regarding a rate agreement.

3 Was a rate agreement negotiated with the auditing agency? *

Yes

No

A. If yes, provide the negotiation date.

Was a rate agreement negotiated with the auditing agency? *

Yes

No

A Provide the date of rate negotiation: *

Month	Day	Year
MM	DD	YYYY

4. Select yes or no regarding overhead and/or cost audit.

4 Was an overhead and/or cost audit performed? *

Yes

No



A. If yes, enter the dates of either or both audits.

Was an overhead and/or cost audit performed? *

Yes

No

Date of overhead audit:

A

Month	Day	Year
MM	DD	YYYY

Date of cost audit:

Month	Day	Year
MM	DD	YYYY

5. Select yes or no regarding the rates in the proposal.

5 Are the rates from the audit agreement used for this firm's proposal? *

Yes

No

A. If no, explain why.

Are the rates from the audit agreement used for this firm's proposal? *

Yes

No

A

Please provide an explanation why other rates are being used

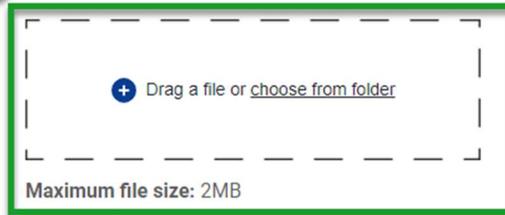


6. If relevant, provide the requested documentation.

If a Federal agency has ever audited your account system, please upload a copy of the audit information as a PDF or Word document. *

You can upload a document more than once, but only the most recent version is saved.

6



7. To complete this section:

- A. Click Save and Continue to proceed to the next step.
- B. Click Save to exit and return later.
- C. Click Back to return to the previous step.

7





Prior Awards Addendum

1. Select yes or no regarding prior awards.

If no, complete this section:

- A. Click Save and Continue to proceed to the next step.
- B. Click Save to exit and return later.
- C. Click Back to return to the previous step.

D. If yes, click Add.

NOTE: You'll be taken to a new screen.

2. Enter the prior award's proposal title and the topic or subtopic.



3. Select the agency that granted the award.

4. Select the program and phase of the award.

5. Enter the award date and the funding agreement/contract number.

6. To add another award, click Add Another. Scroll down to the next award section and follow the same procedure.

NOTE: After you have entered an additional award, you have the option to delete it before you save and complete this section.

3 Agency Name *

4 Program *

Phase *

5 Award Date *

Month Day Year
MM DD YYYY

Funding Agreement/Contract # *

6 + Add Another

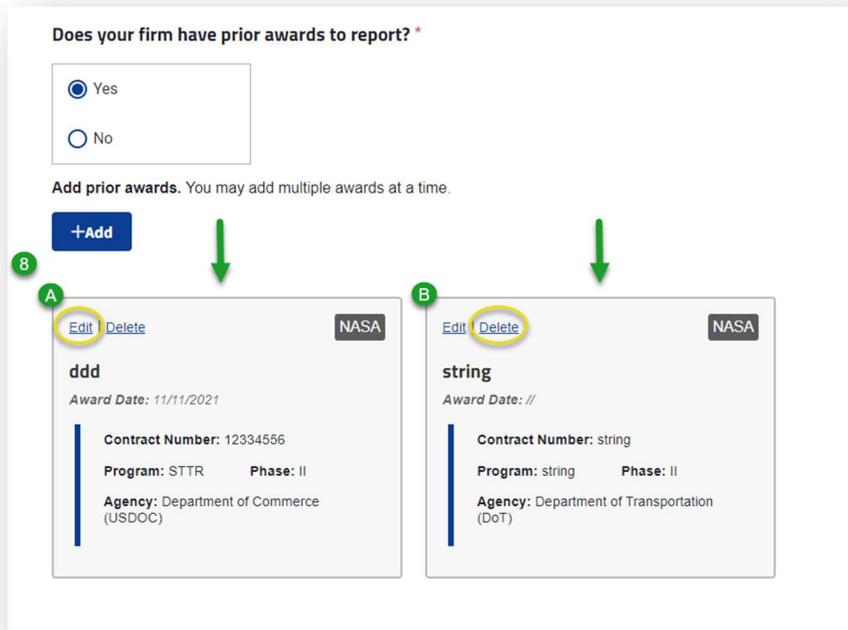
6 + Add Another -Delete



7. If you have no other awards to add:
 - A. Click Save and Return to go back to the Prior Awards Addendum main page.
 - B. Click Save to exit and return later.
 - C. Click Back to return to the previous step.

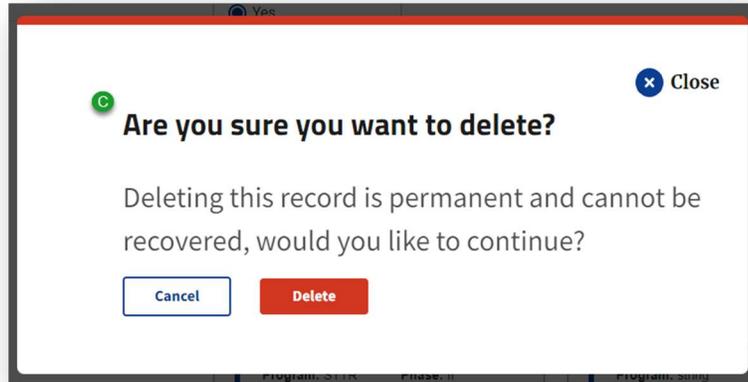


8. On the Prior Awards Addendum main page, you'll see each award you added.
 - A. To make changes to a listed award, click Edit. Make the appropriate changes on the subsequent screen and click Save and Return.
 - B. To remove a listed award, click Delete.





- C. Either confirm the deletion in the pop-up alert or cancel to return to the Prior Awards Addendum main page.



- 9. If you have no other awards to add:
 - A. Click Save and Return to go back to the Prior Awards Addendum main page.
 - B. Click Save to exit and return later.
 - C. Click Back to return to the previous step.

