

Technical Proposal Template

This part of the submission should not contain any budget data and **must consist of all 10 parts listed below in the given order. All 10 parts of the Technical Proposal must be numbered and titled.** Parts that are not applicable must be included and marked "Not applicable." A proposal omitting any part will be considered nonresponsive to this solicitation and may be rejected during administrative screening. The required table of contents is provided below.

Page Limitations and Margins: A Phase I Technical Proposal shall not exceed a total of 19 pages standard 8 1/2 x 11-inch (21.6 x 27.9 cm) pages. Each page shall be numbered consecutively at the bottom. Margins shall be 1.0 inch (2.5 cm). The space allocated to each part of the technical content will depend on the project chosen and the offeror's approach.

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

Header/Footer Requirements: Header must include firm name, proposal number and title. Footer must include the page number and proprietary markings if applicable. Margins can be used for header/footer information.

Phase I Table of Contents

Part 1:	Table of Contents.....	Page X
Part 2:	Identification and Significance of the Innovation.....	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:	The Market Opportunity.....	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 shall 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 *(suggested page limit – 5 pages)*

Succinctly describe:

- The proposed innovation.
- The relevance and significance of the proposed innovation to an interest, need or needs, within a subtopic described in section 9.
- The proposed innovation relative to the state of the art.

Part 3: Technical Objectives *(suggested page limit – 1 page)*

State the specific objectives of the Phase I R/R&D effort as it relates to the problem statement(s) posed in the subtopic description and the types of innovations being requested by the subtopic manager(s).

Proposed Deliverables: Indicate the proposed deliverables at the end of the Phase I effort and how these align with the proposed subtopic deliverables described within a subtopic found in section 9.

Note: *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 in the Proposal Certifications form (see section 1.6).*

Part 4: Work Plan *(suggested page limit – 5 pages)*

Include a detailed description of the Phase I R/R&D plan to meet the technical objectives. The plan should indicate what will be done, where it will be done, and how the R/R&D will be carried out. Discuss in detail the methods planned to achieve each task or objective. Task descriptions, schedules, resource allocations, estimated task hours for each key personnel, and planned accomplishments, including project milestones, and 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 here.

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 – 2.5 pages)

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

The PI is considered key to the success of the effort and must make a substantial commitment to the project. The following requirements are applicable:

Functions: The functions of the PI are planning and directing the project, leading it technically and making substantial personal contributions during its implementation, serving as the primary contact with NASA on the project, and ensuring that the work proceeds according to contract agreements. Competent management of PI functions is essential to project success. The Phase I proposal shall describe the nature of the PI's activities and the amount of time that the PI will personally apply to the project. The amount of time the PI proposes to spend on the project must be acceptable to the Contracting Officer.

Qualifications: The qualifications and capabilities of the proposed PI and the basis for PI selection are to be clearly presented in the proposal. NASA has the sole right to accept or reject a PI based on factors such as education, experience, demonstrated ability and competence, and any other evidence related to the specific assignment.

Eligibility: This part shall also establish and confirm the eligibility of the PI and shall indicate the extent to which existing projects and other proposals recently submitted or planned for submission in fiscal year 2021 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 rejection of the proposal. However, for an STTR the PI can be primarily employed by either the SBC or the RI. Please see section 1.5.3 for further explanation.

Part 7: The Market Opportunity (suggested page limit – 1 page)

Phase I applicants should describe both NASA and non-NASA markets and addressable markets for the innovation. Discuss the business economics and market drivers in the target industry. How has the market opportunity been validated? Describe your customers and your basic go-to-market strategy to achieve the market opportunity. Describe the competition. How do you expect the competitive landscape may change by the time your innovation enters the market? What are the key risks in bringing your innovation to market? Describe your commercialization approach. Discuss the potential economic benefits associated with your innovation and provide

estimates of the revenue potential, detailing your underlying assumptions. Describe the resources you expect will be needed to implement your commercialization approach.

Note: Companies with no SBIR/STTR awards or recent awards will not be penalized under past performance for the lack of past SBIR/STTR commercialization.

Part 8: Facilities/Equipment (suggested page limit – 1 page)

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 3.3.3.4 and 5.14 for additional requirements when proposing use of such Government resources. The narrative description of resources should support the proposed approach and documentation in the Proposal Budget form.

Note: Use of Federal laboratories/facilities for Phase I contracts is highly discouraged. Approval for use of Federal facilities and laboratories for a Phase I proposal requires Program Executive approval during negotiations if selected for award.

Part 9: Subcontractors and Consultants (suggested page limit – 1 page)

The offeror must describe all subcontracting or other business arrangements and identify the relevant organizations and/or individuals with whom arrangements are planned. The expertise to be provided by the entities must be described in detail, as well as the functions, services, and number of hours. Offerors are responsible for ensuring that all organizations and individuals proposed to be utilized are 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 – 1 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 applicant 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 or award received.
5. Titles of research projects.
6. Name and title of principal investigator or project manager for each proposal submitted or award received.

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

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).