

National Aeronautics and  
Space Administration

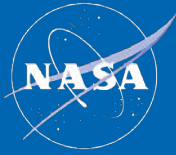


## NASA SBIR/STTR New Awardee Webinar

3 June 2021

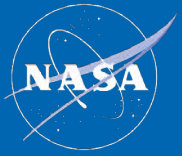
## NASA SBIR/STTR Program

[nasa.sbir.gov](https://nasa.sbir.gov)

A decorative graphic featuring two yellow stars with black outlines and radiating lines, positioned above and below the word "Congratulations!". A pink ribbon swirls around the top star, and a red ribbon swirls around the bottom star. Small orange dots are scattered around the ribbons and stars.

*Congratulations!*

# SBIR/STTR Programs Vision, Mission and Purpose



## VISION

Empower small businesses to deliver technological innovation that contributes to NASA's missions, provides societal benefit, and grows the US economy.

## MISSION

Create opportunities through SBIR/STTR awards to leverage small business knowledge and technology development for maximum impact and contribution.

## PURPOSE

- **Stimulate technological innovation** in the private sector.
- Strengthen the role of SBCs in meeting **Federal research and development needs**.
- **Foster and encourage participation** of socially and economically disadvantaged persons and women-owned small businesses.
- Increase the **commercial application** of these research results.
- Foster technology transfer through **cooperative R&D between small businesses and research institutions**. (STTR only)



# AGENDA

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1. Program Statutory Goals
2. Roles and Responsibilities
3. Firm-Fixed Price Contract
4. Payment Reminders
5. Deliverable Requirements
6. Extension Requests
7. Scope Changes or Modifications
8. Understanding SBIR/STTR Data Rights
9. Fraud, Waste and Abuse
10. Process for Phase II Funding
11. Conclusion

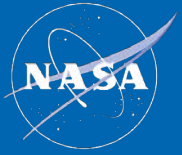


# Program Statutory Goals

# Program Statutory Goals



- The statutory purpose of the SBIR and STTR Program is to strengthen the role of innovative small business concerns (SBCs) in federally-funded research or research and development (R/R&D).
- Specific program purposes are to:
  1. Stimulate technological innovation;
  2. Use small business to meet Federal R/R&D needs;
  3. Foster and encourage participation by socially and economically disadvantaged SBCs, and by women-owned SBCs in technological innovation; and
  4. Increase private sector commercialization of innovations derived from Federal R/R&D, thereby increasing competition, productivity and economic growth.
  5. [STTR] Stimulate a partnership of ideas and technologies between innovative Small Business Concerns (SBCs) and Research Institutions through federally-funded research or research and development (R/R&D).
  6. STTR also adheres to SBA directives to increase participation by Women-Owned, Veteran-Owned and Small Disadvantaged Businesses and outreach to HBCUs and Minority Serving Institutions. Outreach is also made to underrepresented areas/regions of the country.



# Roles and Responsibilities

## Awardee

### Make sure you understand the contract and its details

- The contract is a formal and legally binding agreement between NASA and your firm. The Terms and Conditions found in the contract provide the critical information you need to ensure successful management and completion of your Phase I project.



## Contracting Officer (CO)

### There are two types of COs that you may work with

- **Administrative Contracting Officer (ACO)** - Responsible for activity of contract from award through closeout. In most cases this is who you will work with for this award.
- **Procuring Contracting Officer (PCO)** - Responsible for activity procurement from proposal submission through contract award. You would work with this CO if NASA is planning or actively working to procure a product or service to infuse into its programs or missions. In most cases a Phase I awardee will not work this CO.
- Per FAR 1.602-1, both COs "have authority to enter into, administer, or terminate contracts, and make related determinations and findings." [Please see FAR 1.602-2 for Responsibilities of Contracting Officers](#)





## Technical Monitor (TM)

### All NASA Phase I awards are assigned a TM

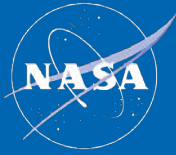
- A TM is a qualified government employee to act as a Contracting Officer's representative in managing the technical aspects of the contract. TMs are required to:
  - Ensure technical compliance
  - Accept/reject all invoices from the awardee
  - Accept/reject all deliverables from the awardee
  - Can provide technical direction within the existing scope of the contract

**A TM DOES NOT have authority to obligate funding or modify any terms of a contract.  
Only the Contracting Officer has this authority!**

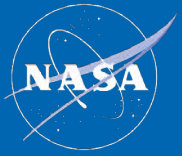
## NASA SBIR/STTR Program Management Office (PMO)

### The PMO is responsible for managing the day-to-day operations of the SBIR/STTR program

- Will provide program updates via email and other means
- Manages the NASA SBIR/STTR helpdesk - contact for clarifications and Electronic Handbook Book (EHB) related questions.  
Email: [sbir@reisystems.com](mailto:sbir@reisystems.com)



# Firm-Fixed Price Contract

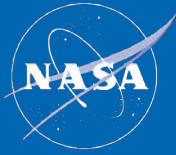


All NASA Phase I awards are Firm-Fixed Price contracts governed by the Federal Acquisition Regulation (FAR) and NASA FAR Supplement (NFS). Under this contract your firm has specific requirements.

- As the Contractor for the award, your firm:
  - Assumes **full responsibility** for all costs and resulting profit or loss under the award
  - **Controls** how to best utilize the contract award value to ensure completion of the contracted work

**Carefully read through all the Terms and Conditions of your contract.  
This is your responsibility.**

- You can view the FAR at <https://www.acquisition.gov>
  - Please see FAR Part 16 for more information on Types of Contracts
  - Please see FAR Part 52 for full text of the FAR clauses in your contract
- You can view the NFS at <https://www.hq.nasa.gov/office/procurement/regs/NFS.pdf>
  - Please see NFS Part 1852 for full text of the NFS clauses in your contract



# Payment Reminders

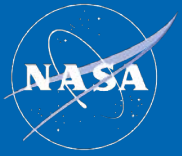
All NASA Phase I awardees are required to request payment for work conducted on the contract. The contract should have a payment schedule that you can follow. In order to ensure that your firm is paid in a timely fashion:

- Carefully review the following in your contract in their entirety:
  - Payment & Delivery Schedule
  - Part 2 Invoices and Certifications
  - NFS 1852.232-80 Submission of Vouchers/Invoices for Payment
  - NFS 1852.219-85 Conditions for Final Payment – SBIR and STTR Contracts

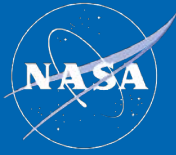


You can view the NFS at <https://www.hq.nasa.gov/office/procurement/regs/NFS.pdf>

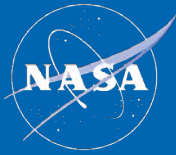
Please see NFS Part 1852 for full text of the NFS clauses in your contract



- If you opted to receive your initial and interim payments via Government Purchase Card (P-card) **only**:
  - Payment will be made **within 48 – 72 hours of receipt** of a proper invoice and certification.
  - Invoice shall be emailed to [NSSC-SBIR-STTR@mail.nasa.gov](mailto:NSSC-SBIR-STTR@mail.nasa.gov) and the Administrative Contracting Officer (ACO).
  - The invoice certification is submitted through the EHB, which will trigger the ACO to contact you via telephone **within 3 business days** to provide the P-card number for payment.
  - All final invoices shall be submitted via IPP.
- For invoices submitted via IPP:
  - Payment will be made in accordance with NFS 1852.232-80, “Submission of Vouchers/Invoices for Payment (APRIL 2018)” and in accordance with the contract payment schedule in Section B.
    - For the invoice, **no copies are required**.
  - No other copies shall be sent to the NSSC, the Contracting Officer, Finance Office, or the Technical Monitor (TM).
  - Failure to follow the instructions will delay payment.
  - Invoice certifications shall be completed for **each** individual invoice. The certification is pre-set in the EHB and it shall be completed **before** uploading each invoice in IPP.



# Deliverable Requirements



**Within the contract there are required deliverables, and these must be submitted on time.**

- There is a schedule of events which describes when contract deliverables are due. Please review these requirements and if you have any questions, contact your TM.
- “Part 1 – Deliverables and Reports” of your contract provides instructions for how to submit these deliverables via the EHB and includes what is required for each deliverable.
- If you anticipate difficulty complying with the delivery schedule, notify the CO and TM immediately.
- Timeliness will be part of your past performance evaluation.
- You may request an extension with a justification and proposed consideration.

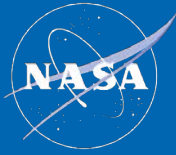




# Extension Requests

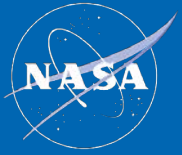


- Must provide justification for the extension and an acceptable consideration in exchange for the extension.
- Request for an extension must be made at least **30 days prior** to the contract period of performance end date.
- **Please note:** only a 30-day extension to submit final deliverables will be considered; however, an extension is not guaranteed.



# Scope Changes, Contract Modifications

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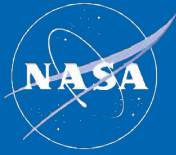


- **Only** the Administrative Contracting Officer (ACO) can authorize changes to your contract.
  - Reach out to your ACO if you believe a scope change or other modification is warranted.
- Carefully review 52.243-1 Changes – Fixed Price Alternate V in its entirety.

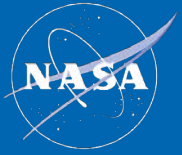
You can view the FAR at <https://www.acquisition.gov>  
Please see FAR 52.243-1 to view clause in full text



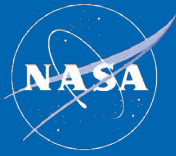
# SBIR/STTR Data Rights



- NASA shall protect from disclosure and non-governmental use of SBIR technical data developed from work performed under a SBIR/STTR funding agreement for a period of **no less than 20 years** from award date under that agreement (Phase I, Phase II, or Federally-funded Phase III) **unless** the agency obtains permission to disclose such technical data from the awardee.
- Government retains a **royalty-free license** for Government use of any technical data delivered under an SBIR/STTR funding agreement, whether patented or not.
  - Royalty-free means Government **does not pay additional royalties**.



# Fraud, Waste and Abuse



# Fraud, Waste and Abuse

**WHAT IS FRAUD?** 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.”

**Indicators of fraud in the SBIR/STTR programs** include whether the small business meets SBIR/STTR eligibility requirements, substandard performance, mischarging, and defective pricing.

NASA Office of Inspector General (OIG) supports integrity of NASA SBIR/STTR efforts.

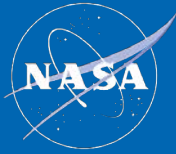
- Be truthful as we rely on the integrity of your representations.
- You are the first line of defense in protecting our nation’s newest and most innovative technologies.
- This is YOUR prized work; let’s keep it that way.





- All NASA Phase I awardees should review the following resources to understand fraud, waste, and abuse as soon as possible.
  - Want to learn more about how to spot (and avoid) fraud, waste, and abuse as an SBIR/STTR recipient? Follow along on this tutorial available on SBA's SBIR.gov website: <https://www.sbir.gov/tutorials/fraud-waste-abuse>
  - [Learn more about how NASA's Office of the Inspector General works to prevent fraud, waste, and abuse across the agency.](#)
    - Areas of focus in the linked presentation include:
      - What does NASA Office of Inspector General (OIG) do? (slides 2-5)
      - Most Common Fraud Indicators (slides 5-14)
      - Consequences of Fraud (slides 15-16)
      - Contact Information (slide 18)



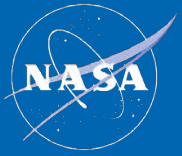


# Process for Phase II Funding

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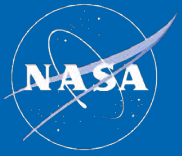


- Part 3 of the contract provides specific instructions on how to apply for Phase II.
  - Please read this section carefully and understand the requirements to submit a Phase II proposal.
- We are developing additional trainings to prepare you and will notify you when they are available.



# Conclusion

# Conclusion



- Again, congratulations on your NASA SBIR/STTR Phase I award!
- We hope this webinar provides valuable information as you start your journey with NASA
- Please keep an eye out for live Q&A sessions, upcoming webinars, and networking opportunities!



**Thank You! And Good Luck!**