

# NASA SBIR/STTR Program

## Infusion & Commercialization – Part II Webinar Q&A

*This document was created on 11.03.2021. All answers given here, and in the accompanying 11.03.2021 Infusion & Commercialization - Part II question & answer session recording, are provided for awareness. Refer to official program guidelines for official policies pertaining to NASA SBIR/STTR award vehicles.*

#	Question	Answer
1	Our company is in a Phase II No-Cost Extension (NCE) period. Can we submit a NASA Phase IIE application during an NCE period?	It may depend on the extension duration and current timing relative to your period of performance (POP); refer to your contract entry in the Electronic Handbook (EHB). This will cite your II-E application eligibility period.
2	How are patents handled in the program?	Without more specifics on the scenario, we'd suggest you refer to the SBA's guidance on data rights and patents on their website at sbir.gov; various resources exist there including: <a href="https://www.sbir.gov/tutorials/data-rights/tutorial-1#">https://www.sbir.gov/tutorials/data-rights/tutorial-1#</a> and <a href="https://www.sbir.gov/tutorials/data-rights/tutorial-5">https://www.sbir.gov/tutorials/data-rights/tutorial-5</a> among others.
3	Is Phase 2 the only opportunity for SBIR/STTR awardees to work towards infusion, while Phase 2e is geared more towards commercialization (since there is a cost-matching investment) ?	Phase II-E is a contract option on a Phase II contract, so you have to have a Phase II contract first before being eligible to apply for the II-E. Efforts under Phase II and Phase II-E may be geared toward either/both infusion and/or commercialization. We'd refer you back to the stated goals of the original subtopic and, when developing your applications for both the Phase II and the II-E, to make sure you justify how the effort both responds to the subtopic while also enabling potentially greater infusion and/or commercialization goals as appropriate. Bear in mind that both applications do require a commercialization plan.
4	Would prototypes/products sales count towards the matching funds for II-E?	Per: <a href="https://sbir.nasa.gov/content/post-phase-ii-initiatives#Guidance-On-Investors-Extend">https://sbir.nasa.gov/content/post-phase-ii-initiatives#Guidance-On-Investors-Extend</a> , question 14: Can purchases of a purchase order from an external investor count as a matching contribution under the Phase II Extended? No. Purchases will not be considered an investment, since a purchase may only represent a procurement need, not a desire to further the technology.
5	can state agency R&D funding be considered for match funding of Phase 2E?	Potentially, yes. So long as it is in compliance with other requirements and is appropriately justified in the application as to how this furthers the technology towards infusion and/or commercialization, this may be applicable.

6	<p>Would BAA funding qualify as "matching funds" for Phase IIE or CCRPP?</p>	<p>Potentially, yes. A Broad Agency Announcement (BAA) is a tool/procedure that results in a contract or grant. So long as that resulting contract or grant is compliant with the rules on investment (timing of funds, is pertinent to the Phase II technology, etc.) then the resulting funds or portion of funds from that contract or grant could potentially be applicable. Note that you may want to consider the timing of the award and/or discuss with the Contracting Officer if the award (or modification to the existing contract) could be made at the appropriate time such that they would be eligible for the match.</p>
7	<p>Is there a suggested method/path for identifying potential Phase III program contacts and opportunities? Work through the COR? Contact specific NASA center post Phase II SBIR coordinators? Where to we start? Who do we contact/brief?</p>	<p>There is not one specific recommended or mandated approach, but these are potentially appropriate.</p> <ul style="list-style-type: none"> <li>•You can discuss with the COR and consider asking if the COR may know other engineers, principal/senior technologists/capability leads, project managers, program managers, or others at their NASA center or across NASA who may have an interest in learning more about your effort and the potential cost matching and/or Phase III possibility that they may want to leverage for their needs.</li> <li>•Additionally, the original solicitation you applied to indicated which centers led and participated in a given subtopic. Refer to that to identify which those were and to our program contacts page, which has contacts at each NASA center. These center POCs may be able to identify other appropriate personnel who may have a vested interest: <a href="https://sbir.nasa.gov/contacts">https://sbir.nasa.gov/contacts</a>. Note that the original solicitation may have references (and authors) and the NASA Technical Reports Server contains many other references that may not only be of interest to you but may also provide some indication of other vested parties: <a href="https://ntrs.nasa.gov/">https://ntrs.nasa.gov/</a>.</li> <li>•NASA hosted or attended technical and programmatic events may be another forum to engage with a potential contact base.</li> </ul>
8	<p>Hi guys, thank you for the presentation, I understand that both SBIR and STTR accepts only US institutions but it is possible to apply in cooperation with a non-US company, e.g. a Colombian startup ?</p>	<p>This may depend on what you mean with respect to 'in cooperation' - We will refer you to the original Phase I solicitation for rules about subcontractors and other international restrictions; if you have an ongoing award, contact your Administrative Contracting Officer or the NSSC help desk (at <a href="mailto:NSSC-SBIR-STTR@nasa.gov">NSSC-SBIR-STTR@nasa.gov</a>) with any specific questions. As for the potential matching investment in either the II-E or the CCRPP, this may be case specific. Please note: There are countries that the US government considers restricted and your arrangement with international partners may be subject to ITAR and or EAR (pertinent to your technology).</p>

9	<p>Can you add an investor after awarded the Phase II-E contract? If so, would that added investment amount be matched by the SBIR program?</p>	<p>The II-E contract option is a one-shot contract option, so once the contract has been modified/extended/additional funds added, no.</p> <p>If you have an investor change while you are in your funds confirmation period after selection and are in contract negotiations for that modification, reach out to your Administrative Contracting Officer or the NSSC help desk (at NSSC-SBIR-STTR@nasa.gov) to discuss specifics. Any changes are subject to the approval of the Administrative Contracting Officer, may be subject to the continued availability of funds, and may be subject to further review/approval by your Contracting Officers Representative and/or the SBIR/STTR Program Management Office.</p>
10	<p>Post-Phase II SBIR technology sometimes competes with NASA's own in-house technology for NASA Project-based funding for development, integration and test. Who in NASA is responsible for ensuring that commercial technology developed under SBIR is getting used by NASA programs?</p>	<p>created in conjunction with a wide range of NASA technologist, project, program, and mission directorate stakeholders; these stakeholders have various roles throughout selection and execution oversight</p> <ul style="list-style-type: none"> <li>• Follow-on funding for SBIR/STTR awards depends on a number of factors including, but not limited to, development status, degree of success, budgetary availability, degree of responsiveness to needs/requirements at that time</li> <li>• Individual projects/programs/mission directorates have their own processes for evaluating and selecting technologies for further development and/or implementation (through their management and procurement personnel in accordance with NASA and federal procurement guidelines)</li> <li>• Recognizing that Phase III rights exist with no time limitation and that stakeholders/projects/programs/etc. may change and needs may also change/arise, we encourage you to talk with your CORs, project/program personnel, and other contacts to not only keep them informed of your technology and its development status but also of any opportunities that your technology may be applicable to at that point in time, including Phase III rights</li> <li>• Aside from discussing with your COR, we suggest you review the solicitation for any identified potential stakeholder projects/programs/references and also to note whom potentially participating centers were/may be; sbir.nasa.gov has a program contacts webpage with</li> </ul>

11	<p>Why Phase II RFP asks for Letters of Commitment now, if Phase II-E application is only after 12 months of Phase II performance period?</p>	<p>Note that similar terminology is used for a few things. The Phase II RFP asks for subcontractor (or government resource) letters of commitment (that the subcontractor will support your effort). It also indicates language about letters of funding support commitments/Capital Commitment letters, but those are one thing evaluated under "Factor 4: Commercial Potential and Feasibility" in the Phase II review and selection process; they do not correspond to any matching funding opportunity at that time. Refer to (in the FY21 Solicitation): "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."</p> <p>The II-E must be applied for separately, during the eligibility period, with the specific Letter(s) of Commitment required that is referenced in section 2.1.2 Letter of Commitment here: <a href="https://sbir.nasa.gov/content/post-phase-ii-initiatives#Application-Requirements-Extend">https://sbir.nasa.gov/content/post-phase-ii-initiatives#Application-Requirements-Extend</a>. This is a commitment for the required matching funds, if selected.</p>
12	<p>Can we apply for the I-Corps when we submit the application for the CCRPP?</p>	<p>Currently, applications for I-Corps for CCRPP selectees and II-E selectees happens after selection, not during application submission. Note that this is different than other phases, currently (and subject to change and continued program availability).</p>
13	<p>If using other government contracts, NOT SBIR/STTR, for matching, 45 days is a small window to have the contract full executed and fund transferred, are there exceptions to the timeline in this case?</p>	<p>Exceptions may potentially be granted; if you are selected for II-E or CCRPP, please reach out to your Administrative Contracting Officer whom you are in contact with at the NASA Shared Services Center (or the NSSC help desk at <a href="mailto:NSSC-SBIR-STTR@nasa.gov">NSSC-SBIR-STTR@nasa.gov</a>) requesting an extension. Any extensions are subject to the review and approval of the Administrative Contracting Officer.</p>

14	How many Phase I/Phase II/CCRPP/Sequential submissions were received for 2021 and what percentage were awarded for SBIR and STTR?	<p>The SBIR/STTR program does not disclose specific statistics. However, the recent Phase I selection rate has been roughly 24%.</p> <p>Note that for Post Phase II awards, requirements for the various award mechanisms have changed from year to year and between mechanisms. Note that for FY2022, the CCRPP eligibility criteria, including applicable program year and other factors, has changed; award values have also changed. Total award amount may depend on the value of awards selected, program budget, and some Post Phase II vehicles are limited to a percentage of that budget. Other factors that may impact submission volume include economic factors such as the willingness of investors to provide matched commitments. Responses and award rates have varied significantly, with percentages ranging from approximately on the order of 15% to over 50% in different years. Recent awards using the sequential authority have had different eligibility criteria at different times; NASA has yet to announce any sequential opportunities for FY2022.</p>
15	If a SBIR awardee has a Phase II from another agency (such as the USAF/AFWERX), will that qualify that company for one of the programs listed here, or does the awardee have to have a NASA Phase I/Phase II award?	<p>The II-E is also just a contract option on existing NASA Phase IIs (effectively part of the Phase II itself) so cannot be granted on other government agency (OGA) awards. Currently, the FY 2022 CCRPP call does not include eligibility for Phase IIs from other government agencies. However, the NASA SBIR/STTR program has included eligibility for OGA Phase IIs in some opportunities in the past. While none of those are currently active, we encourage you to check back on future opportunities, which may include these.</p> <p>Also note that Phase III rights do cross agency lines; you do not need a NASA SBIR/STTR to be awarded a Phase III on a technology you developed through another agency. We encourage you to make NASA stakeholders aware of your technologies developed under other agencies.</p>
16	Are any of these programs available for a company to propose as a direct project opportunity, without having gone through the NASA SBIR program?	If referring to the NASA SBIR/STTR program's Post Phase II opportunities, no, not at this time. These require prior NASA SBIR/STTR awards (Phase IIs) at this time.
17	We are currently wrapping up a NASA phase II STTR and have another federal agency (not NASA) that is interested in supporting our work with their SBIR/STTR dollars. What options do we have to continue developing the product with their assistance? For example, can we do a second phase II STTR with them, since the base technology is the same?	We would encourage you to reach out to the other federal agency (specifically personnel in their SBIR/STTR program management). Depending on their policy authority and program policies, they may have a variety of options that may differ from mechanisms NASA has the authority, budget, and/or program policy to use. Other agencies may use second/sequential Phase II authority or things like CCRPP that allow for cross-agency award development.

18	I want to learn more about infusing my technology into a NASA mission. Where should I start?	<p>There is not one specific recommended or mandated approach, but these are potentially appropriate.</p> <ul style="list-style-type: none"> <li>•You can discuss with the COR and consider asking if the COR may know other engineers, principal/senior technologists/capability leads, project managers, program managers, or others at their NASA center or across NASA who may have an interest in learning more about your effort and the potential cost matching and/or Phase III possibility that they may want to leverage for their needs.</li> <li>•Additionally, the original solicitation you applied to indicated which centers led and participated in a given subtopic. Refer to that to identify which those were and to our program contacts page, which has contacts at each NASA center. These center POCs may be able to identify other appropriate personnel who may have a vested interest: <a href="https://sbir.nasa.gov/contacts">https://sbir.nasa.gov/contacts</a>. Note that the original solicitation may have references (and authors) and the NASA Technical Reports Server contains many other references that may not only be of interest to you but may also provide some indication of other vested parties: <a href="https://ntrs.nasa.gov/">https://ntrs.nasa.gov/</a>.</li> <li>•NASA hosted or attended technical and programmatic events may be another forum to engage with a potential contact base.</li> </ul>
19	CCRPP: since Sequential, and since II-E is extension of Phase II, does that mean the II-E funds must also be spent and completely over, before eligible for the CCRPP?	For the FY22 cycle for CCRPP, we are requiring that the Phase II effort be complete; this includes the II-E because that extends the Phase II period of performance. There is no FY22 Sequential opportunity announced yet; if/when that is posted, refer to eligibility guidelines at that time.
20	Government programs typically disburse funds for CCRPP matching programs as work is done. Is this ok?	CCRPP and II-E investments must be fully funded; NASA cannot be rendered in a non-1:1 match for these awards. If you have a potentially qualifying matched funding source you may want to discuss with the investor/project/program a way such that they can disburse the funds (or at least a portion that will qualify for the matched funding requirement of our mechanism) to you during the proof of investment period of the II-E or CCRPP.
21	For the CCRPP process, when (or if) do companies receive debriefs on applications?	NASA does not provide feedback or debriefs for CCRPP applications.
22	can the CCRPP investor be NASA research programs (outside the NASA STTR/SBIR) or NASA researchers with research funding?	Potentially; however, note the primary objective of accelerating the near-term transition of SBIR and STTR funded technologies to infusion and/or commercialization (not an incremental improvement in technology maturation alone). The technology proposed for advancement toward commercialization should have a strong relevance to NASA's missions, as well as a strong potential use by NASA and/or markets outside of NASA beyond the CCRPP investment. Be sure to justify in your application and commercialization plan how this investment and effort will enable/achieve that.

23	Can an investor match be used for two separate post Phase II proposals? For example, if an investor match was used to receive a Phase II-E then can that same match be used again for a different Phase II-E proposal if the technologies are related?	No; prior investments cannot be utilized - The intent of the investment funding is that this is co-funded with new fully obligated/transferred funds that are to be co-spent in parallel to the award. Pre-existing investments will not be accepted; commitment must be made prior to the award, but the expenditure must be concurrent with the performance of the award.
24	What % of CCRPP proposals are selected for award?	<p>The SBIR/STTR program does not disclose specific statistics. However, the recent Phase I selection rate has been roughly 24%.</p> <p>Note that for Post Phase II awards, requirements for the various award mechanisms have changed from year to year and between mechanisms. Note that for FY2022, the CCRPP eligibility criteria, including applicable program year and other factors, has changed; award values have also changed. Total award amount may depend on the value of awards selected, program budget, and some Post Phase II vehicles are limited to a percentage of that budget. Other factors that may impact submission volume include economic factors such as the willingness of investors to provide matched commitments. Responses and award rates have varied significantly, with percentages ranging from approximately on the order of 15% to over 50% in different years. Recent awards using the sequential authority have had different eligibility criteria at different times; NASA has yet to announce any sequential opportunities for FY2022.</p>
25	Must we have been through Phase I to get to CCRPP?	CCRPP requires a prior Phase II. NASA does not currently have direct-to-Phase II authority. Though the FY22 CCRPP call only allows for NASA Phase II awards, note that some other agencies have direct-to-Phase II authority. Should NASA accept other government agency Phase II awards as eligible for some of our award mechanisms, there may be scenarios where you don't have a Phase I, but do have a Phase II, and would be eligible. However, note that this is not currently the case .
26	Who can apply for Sequential Phase II?	NASA does not currently have any opportunities using sequential Phase IIs open; if/when they do become available, please refer to the guidelines at that time.

27	<p>For Other Government Agency matching funds, can you expand on what it means to have to transfer the money by a certain date? Is this money transferred to NASA or to the SBIR contractor? Can it come in the form of a contract?</p>	<p>The money is transferred to the SBIR/STTR small business entity, not NASA. Refer to the website for guidance on when the investment should be transferred to the entity/firm, but note that only a letter of commitment is required at the time of application; the investment should occur following selection as these are co-funded efforts (we cannot accept pre-existing investments). Yes - the investment can come in the form of a contract and for Other Government Agency investments, this can be done via a Phase III contract as Phase III contract rights cross agency lines. It can take the form of other contracts if that agency chooses, but note that Phase III may be a convenient mechanism.</p>
28	<p>If our company is aquired, how can the acquiring/parent company still access the phase III award mechanism? Thank you!</p>	<p>Please reach out to your Administrative Contracting Officer or the NSSC help desk (at NSSC-SBIR-STTR@nasa.gov) and/or the SBIR help desk for more information. Pending the specifics of the acquisition, a novation of rights (and other processes) may be required prior to award. If a NASA project/program/mission has a question, please direct them to either their respective NASA Center Technology Transition Lead (CTTL) on the contacts page of the website or to the SBIR Helpdesk for more information on how to issue a Phase III contract to you.</p>
29	<p>Are convertible notes or SAFEs eligible to serve as matching funds?</p>	<p>Please refer to the official guidelines for the appropriate mechanism; for example, see question 12 on <a href="https://sbir.nasa.gov/content/post-phase-ii-initiatives#Guidance-On-Investors-Extend">https://sbir.nasa.gov/content/post-phase-ii-initiatives#Guidance-On-Investors-Extend</a></p>
30	<p>Why does the I-Corps program mandate that participants interview 100 stakeholders, and on top of that only for a 5 - 10 minute duration ? This takes away from awardees' ability to effectively work their SoW, and there's only so much information that can be gathered in that very limited period of time.</p>	<p>The I-Corps training program is a process. The requirement of 100 interviews is difficult to achieve over a seven week period. The 100 interviews do not provide all the answers you need regarding your beach head market and product-market fit for your SBIR/STTR technology. However, the results provide your company a good initial understanding of the potential for commercialization of your technology. Typically for a variety of reasons, the last 30 or 40 interviews are the most beneficial and provide the most insight. Members of the SBIR program have attended many I-Corps "Customer Discovery" and "How to Interview" lectures as well as read many of the I-Corps based books and videos. For both sources of I-Corps information, there is no mention of a time restriction for the duration of each interview.</p>



31	I currently have a Phase II-E that will complete later this year/early next year. can I apply for I-corp?	Only firms that have either executed, during FY2021 or later, the Modification (for Phase II-E effort) to their existing Phase II contract or have been awarded FY2021 and FY2022 CCRPP contracts are eligible to participate in the NASA Post Phase II I-Corps Program. Eligible firms will receive an Invitation (via email) to prepare and submit an I-Corps Proposal. In summary, the new Post Phase II I-Corps opportunity is only open for new awardees in CCRPP and II-E; not prior awardees.
32	If you have an active Phase II award can you apply for the CCRPP program. Our Phase II award is scheduled to end July 2022.	The FY22 CCRPP call requires Phase IIs to be complete.
33	Can you apply for both the CCRPP and Phase IIE at the same time?	No, as the FY22 CCRPP call requires Phase IIs to be complete. We encourage you to consider multiple factors in deciding what to pursue, including the purpose of these post-award mechanisms, the development status of your technology, the timeliness of your development and market/user, among others. Note that II-E is an option on the Phase II contract, is only available during the eligibility period of the Phase II contract, and its purpose/functionality is less constrained.
34	can a crowd funded investment be used for the CCRPP Match?	Please refer to <a href="https://sbir.nasa.gov/content/post-phase-ii-initiatives#CCRPP">https://sbir.nasa.gov/content/post-phase-ii-initiatives#CCRPP</a> , specifically the requirements/guidelines pertinent to investors, the investor letter of commitment, and application requirements. Per the current policies and requirements, what may be considered traditional large-pool 'crowd funded investments' may not be easy to/able to comply with requirements. Note that you can have multiple investors (such as multiple angel investors, venture capital firms, etc.) but investments/investors also have to comply with stated requirements, including eligibilty and letter of commitment requirements from investors.

35	<p>Are there any channels/events to get 1:1 help from SBIR office to identify or connect with other NASA programs to support Phase II-E efforts?</p>	<p>There is not one specific recommended or mandated approach, but these are potentially appropriate.</p> <ul style="list-style-type: none"> <li>• You can discuss with the COR and consider asking if the COR may know other engineers, principal/senior technologists/capability leads, project managers, program managers, or others at their NASA center or across NASA who may have an interest in learning more about your effort and the potential cost matching and/or Phase III possibility that they may want to leverage for their needs.</li> <li>• Additionally, the original solicitation you applied to indicated which centers led and participated in a given subtopic. Refer to that to identify which those were and to our program contacts page, which has contacts at each NASA center. These center POCs may be able to identify other appropriate personnel who may have a vested interest: <a href="https://sbir.nasa.gov/contacts">https://sbir.nasa.gov/contacts</a>. Note that the original solicitation may have references (and authors) and the NASA Technical Reports Server contains many other references that may not only be of interest to you but may also provide some indication of other vested parties: <a href="https://ntrs.nasa.gov/">https://ntrs.nasa.gov/</a>.</li> <li>• NASA hosted or attended technical and programmatic events may be another forum to engage with a potential contact base.</li> </ul>
36	<p>For CCRPP we understand we need both Industry (matching \$\$\$) and NASA pull. We think we have a good story for the industry side and NASA P2 SBIR TPOCs are pleased with results. Is there a mechanism for us to include this NASA technical staff (or NASA Mission) endorsement in our CCRPP proposal?</p>	<p>While we require letters of commitment for the matching funding from your investor, we do not require/specifically ask for letters of support as part of the application package. Please refer to the application requirements and the application template.</p> <p>Note that there is a page limitation of the application package to be mindful of.</p> <p>Additionally, for a CCRPP award, the NASA SBIR/STTR Phase II technology proposed for advancement toward commercialization should have a strong relevance to NASA's missions, as well as a strong potential use by NASA and/or markets outside of NASA beyond the CCRPP investment. In your application, justify accordingly (potentially both in your technical and commercial sections).</p>
37	<p>How much time we need to wait to get the Phase II-E notification after we submit the Phase II-E application?</p>	<p>Approximately 60 days or less.</p>
38	<p>Can a subcontractor of a Phase II contract seek external investment and use that as a match for the prime contractor's Phase II contract? Basically - if a sub gets investment for the project, does it count towards the prime's matching contribution?</p>	<p>The investment must be in the small business. This applies to subcontractors and to STTR awards (where the investment must be in the small business and not the research institution partner).</p>
39	<p>If an investment firm has bought our small business, can they be the match for the CCRPP?</p>	<p>No, an external investor cannot include the owners of the small business, their family members, and/or "affiliates" of the small business, as defined in Title 13 of the Code of Federal Regulations (C.F.R.), Section 121.103. Nor can internal funds qualify.</p>

40	what if I have 2 entities registered with sbir-sttr can I apply for the same contract?	Our current award mechanisms do not allow for joint applications (save for STTRs where a small business partners with a research instituion). A small business could be a subcontractor to another small business on an application (subject to other requirements).
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