

NIH SEED Small Business 101: Managing your SBIR/STTR Award Effectively

Adam Sorkin, PE

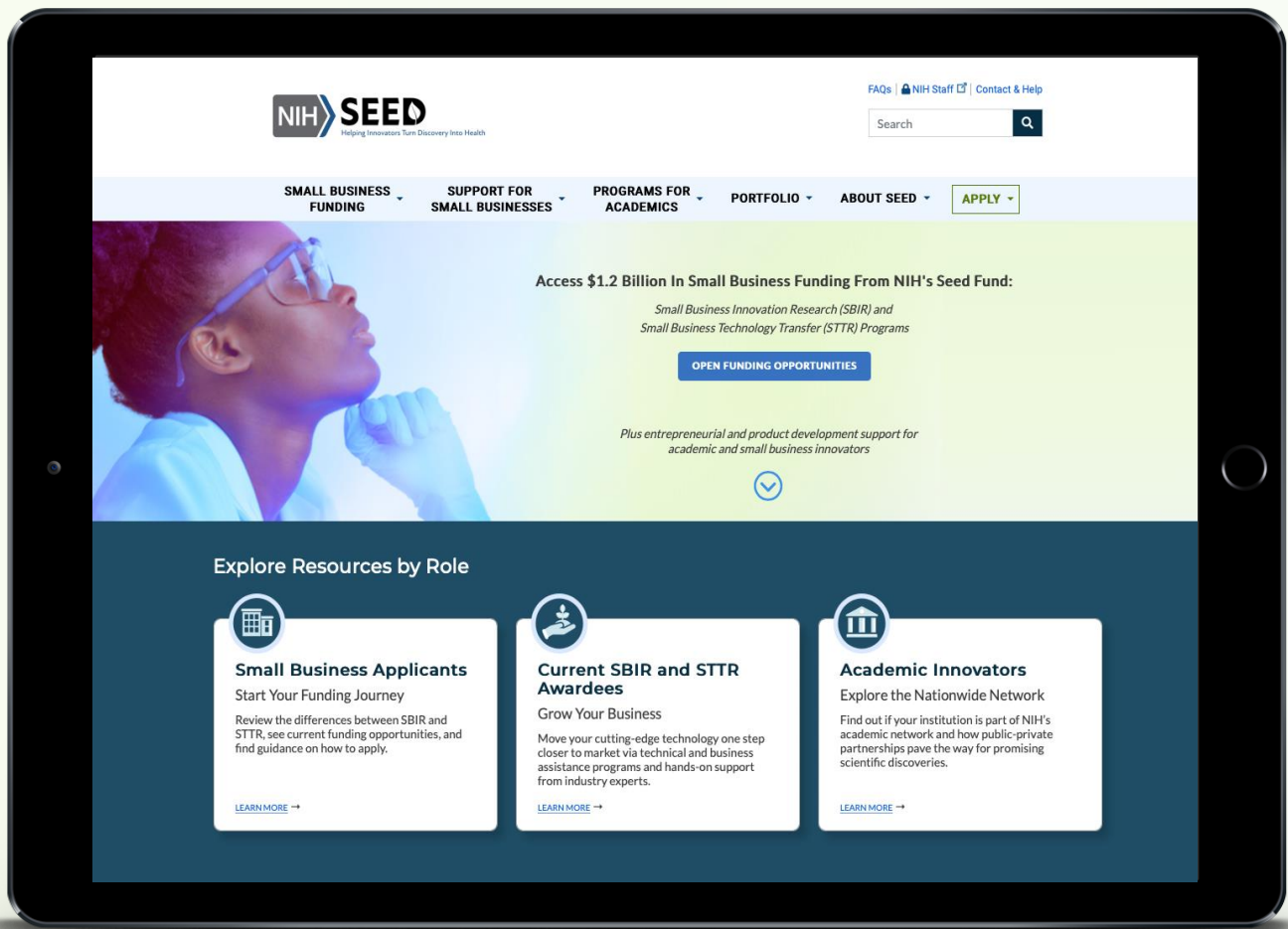
Small Business Policy Manager

SEED (Small business Education & Entrepreneurial Development)

OFFICE OF EXTRAMURAL RESEARCH | OFFICE OF THE DIRECTOR | NATIONAL INSTITUTES OF HEALTH

This presentation may include presenter's notes.

Small Business Program Website



seed.nih.gov

Panel – SBIR Award Management

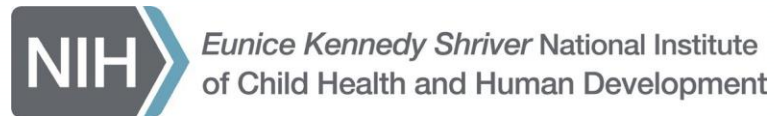
- **Program Official - Toyin Ajisafe, Ph.D.**
 - Program Officer, National Center for Medical Rehabilitation Research
SBIR/STTR Program Coordinator, National Institute on Child Health and Human Development
- **Grants Management - Artisha Wright**
 - Other Transactions Agreement Officer, National Institute on Child Health and Human Development
- **Contract Management - Callie Prassinis**
 - Branch Chief/Contracting Officer, Office of Acquisition and Logistic Management, NIH OD
- **Avoiding Fraud, Waste and Abuse - Jonelle Soeffing**
 - Operations Officer, Office of Investigations, HHS Office of Inspector General

Managing Your SBIR/STTR Award Effectively

Toyin Ajisafe, Ph.D.

Program Officer
*National Center for Medical
Rehabilitation Research*

SBIR/STTR Program Coordinator
National Institute of Child Health and
Human Development



**July 28, 2026
10:15 AM EST**

SBIR Phases

- Phase I – feasibility; proof of concept
 - Total costs capped at \$323,090
 - Project Period: 6 months - 1 year (up to 2 years at some Institutes and Centers)
 - Pilot data not required for Phase I; Absolutely required for Phase II
- Phase II – full research and development (may include efficacy/effectiveness)
 - Total costs over two years capped at \$2,153,927
 - Project Period: 2 - 3 years
 - Commercialization plan is required
 - If applicable clinical trial (CT), design study informed by pre-engagement with FDA



Pre-Award Considerations

- Prior to review – do not overpromise in the application
 - Reviewers may be okay with overambition (e.g., sample size) but consider practicality
 - Technical development delays that may stall a project (alternatives)
 - Lagging milestones, including under-enrollment
- Regulatory approval
 - If competitive, start lining up aspects of the project that could mitigate delays if awarded (e.g., IRB)
 - IND and IDE indications and navigating FDA pathways



Notice of Award (NoA)

- Download NoA from eRA Commons;
- NoA is legally binding and establishes:
 - Funding level
 - Period of support
 - Terms and conditions (e.g., human subjects)
 - Progress/milestone reporting frequency
 - NIH award contacts
 - Program Officer (PO)
 - Grants Management Specialist (GMS)

Department of Health and Human Services Operating Division		Notice of Award FAIN# XXXXXXXXXXXX Federal Award Date XX/XX/XXXX	
Recipient Information 1. Recipient Name Name of Recipient Address Line 1 Address Line 2 City, State, XXXXX-XXXX 2. Congressional District of Recipient XX 3. Payment System Identifier (ID) XX-XXXXXX 4. Employer Identification Number (EIN) XX-XXXXXX 5. Data Universal Numbering System (DUNS) XX-XXX-XXXX 6. Recipient's Unique Entity Identifier XXXXXXXXXXXX 7. Project Director or Principal Investigator Name Title email@email.com XXX-XXX-XXXX 8. Authorized Official Name Title email@email.com XXX-XXX-XXXX		Federal Award Information 11. Award Number XXXXXXXXXXXX 12. Unique Federal Award Identification Number (FAIN) XXXXXXXX 13. Statutory Authority XX XXX XXXX XX XXX 14. Federal Award Project Title XXXX 15. Assistance Listing Number XX.XXX 16. Assistance Listing Program Title XXXX 17. Award Action Type XXXX 18. Is the Award R&D? XXXX	
Federal Agency Information 9. Awarding Agency Contact Information Name Title Operating Division Name email@email.com XXX-XXX-XXXX 10. Program Official Contact Information Name of Program Official Title Operating Division Name email@email.com XXX-XXX-XXXX		Summary Federal Award Financial Information 19. Budget Period Start Date XX/XX/XXXX – End Date XX/XX/XXXX 20. Total Amount of Federal Funds Obligated by this Action 20a. Direct Cost Amount \$ 0 20b. Indirect Cost Amount \$ 0 21. Authorized Carryover \$ 0 22. Offset \$ 0 23. Total Amount of Federal Funds Obligated this budget period \$ 0 24. Total Approved Cost Sharing or Matching, where applicable \$ 0 25. Total Federal and Non-Federal Approved this Budget Period \$ 0 26. Project Period Start Date XX/XX/XXXX – End Date XX/XX/XXXX 27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period \$ 0 28. Authorized Treatment of Program Income XXXX 29. Grants Management Officer - Signature Signature	
30. Remarks XXXX			

Research Performance Progress Reports (RPPR)

- RPPR documents accomplishments relative to terms of award
 - Must be submitted electronically using the RPPR module in eRA Commons
 - Interim progress (CT → risk) (Signing Official submits to the GMS)
- Questions include:
 - “What are the major goals of the project?”
 - paste specific aims from application
 - “Have the major goals changed since the initial competing award or previous report?”
 - prior approval required for change in scope (sample size; inclusion criteria; outcomes; methods)



RPPR contd.

- Additional questions include:
 - “What was accomplished under these goals?”
 - include graphs with data acquired, photographs of prototype
 - list any relevant publications in appropriate section (provide MyNCBI Public Access Compliance Report)
 - “What do you plan to do during the next reporting period to accomplish these goals?”
- Click this [link](#) for the NIH RPPR webpage
- Engage with your PO and GMS early and often to mitigate issues

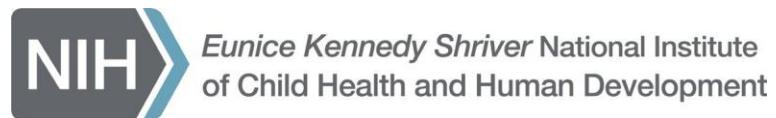


Foreign Risk Assessment (FRA)

- FRA for competing applications
 - [NOT-OD-26-074 - Notice of Information: Policy Changes to SBIR and STTR Foreign Disclosure and Risk Management](#)
- FRA for non-competing awards
 - Keep track of relationships and monitor implications
 - SEED Office's [Foreign Disclosure and Risk Management](#)
 - Foreign Risk Case Studies



Thank you!
toyin.ajisafe@nih.gov



Got Funding! Tips for Efficiently Managing Your SBIR/STTR Award

Artisha Wright

July 28, 2026

*Other Transactions Agreements Officer
Grants Management Branch*



Read Your Notice of Award!

What is the Notice of Award (NoA)?

- Legal Document issued to notify the organization that an award has been made.

What does the Notice of Award contain?

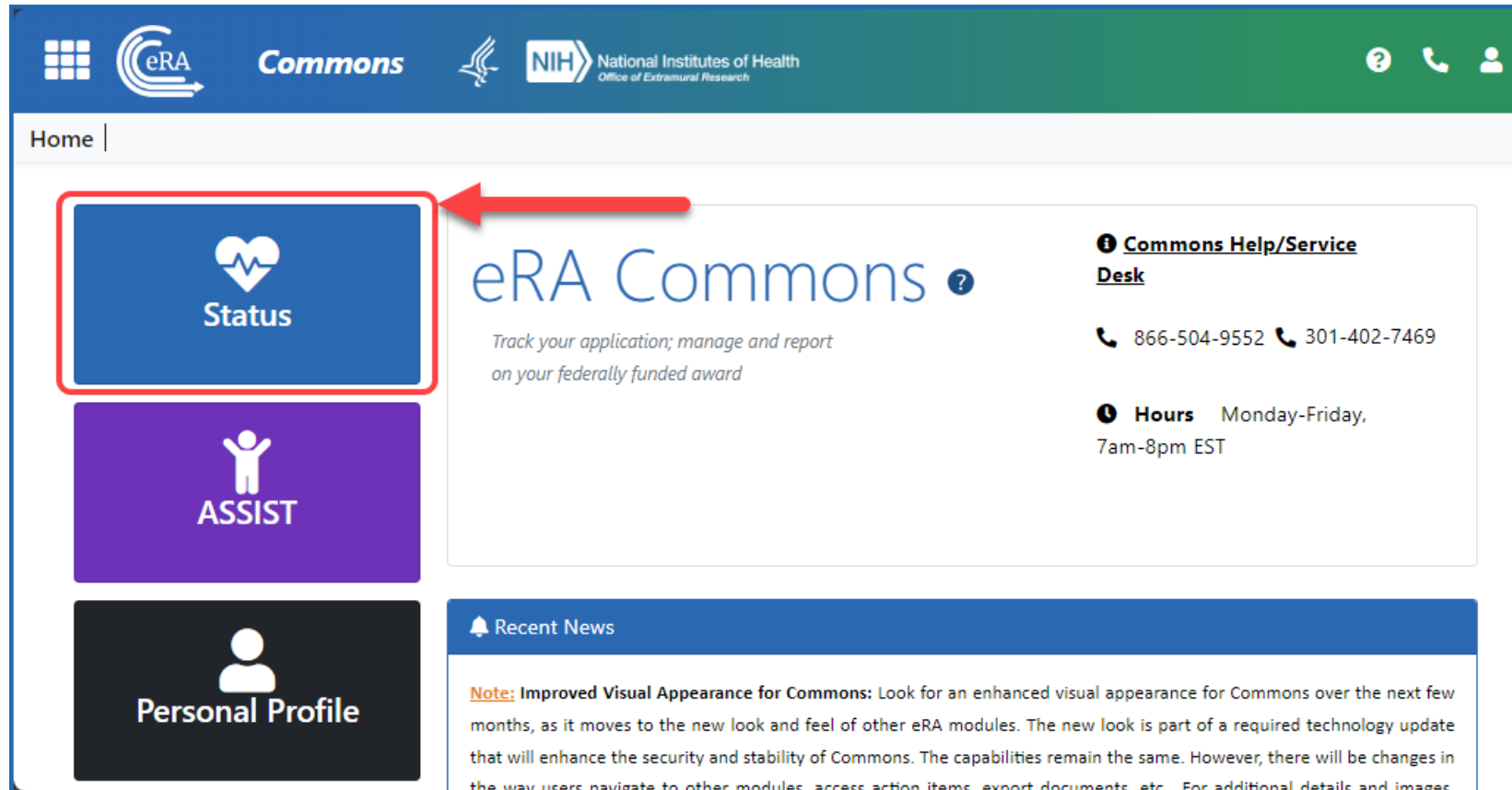
- Budget/Project Period Dates
- Funding Commitment
- Terms and Conditions
- Contact information for the Grants Management Specialist, Grants Management Officer, and Program Official.

How does award acceptance occur?

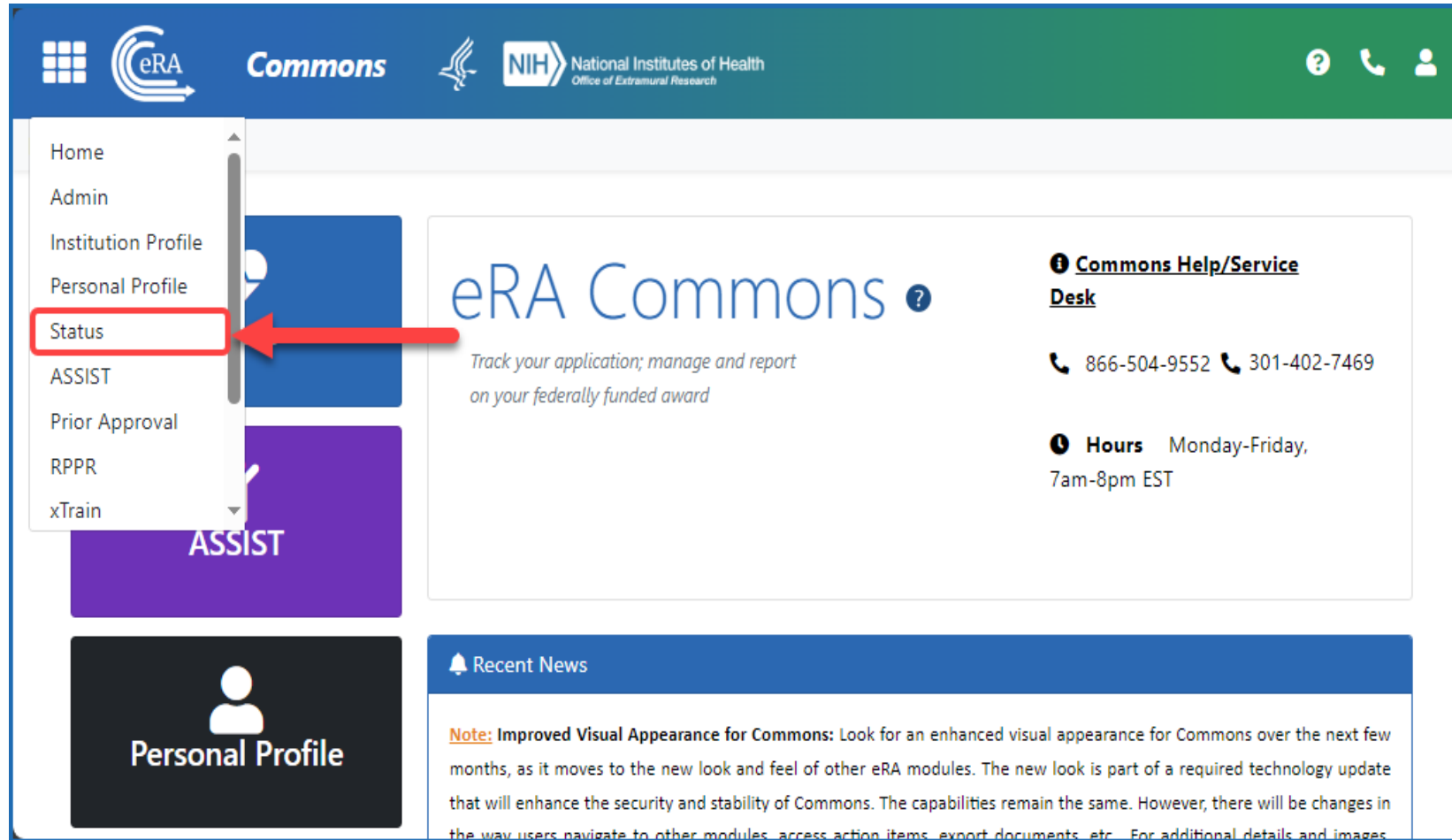
- Draw down or request from the Payment Management System



Where is the Notice of Award Located?



Where is the Notice of Award Located?



Where is the Notice of Award Located?

**GRANTFLDR**
Award Folder

National Institutes of Health
Office of Extramural Research



Contacts

Administration: Grants
Management Specialist (GMS)
Name: Walt, Hubt
Phone: 301-555-5555
Email: eRATest@mail.nih.gov

Administration: Program
Official (PO)
Name: Cartle, Artu
Phone: 301.555-5555
Email: eRATest@mail.nih.gov

Latest Update

Application Source: Paper
Opportunity Number: [OTA-
21-013] - STRIDES Program

eRA Service Desk

Hours: Monday-Friday, 7:00

Status Information ?



Expand All

Collapse All

 Print

3OT2CA010101-01S1

Status	Project Title	
Application awarded.	Effect of Diet Composition	
PI Name	NIH Appl. ID	Application ID
Hution, Shward	9504764	1K99DK010101-01

> Status

> Award Milestones

< Other Relevant Documents

[Latest NGA](#)

Notice(s) of Grant Award (PDF) [08/01/2023](#)

[Abstract \(Awarded Grant\)](#)

> Submissions by Awardee





Recipient Information

1. Recipient Name

Name of Recipient

Address Line 1

Address Line 2

City, State, XXXXX-XXXX

2. Congressional District of Recipient

XX

3. Payment System Identifier (ID)

XX-XXXXXXXX

4. Employer Identification Number (EIN)

XX-XXXXXXXX

5. Data Universal Numbering System (DUNS)

XX-XXX-XXXX

6. Recipient's Unique Entity Identifier

XXXXXXXXXXXX

7. Project Director or Principal Investigator

Name

Title

email@email.com

XXX-XXX-XXXX

8. Authorized Official

Name

Title

email@email.com

XXX-XXX-XXXX

Federal Agency Information

9. Awarding Agency Contact Information

Name

Title

Operating Division Name

email@email.com

XXX-XXX-XXXX

10. Program Official Contact Information

Name of Program Official

Title

Operating Division Name

email@email.com

XXX-XXX-XXXX

Federal Award Information

11. Award Number

XXXXXXXXXXXX

12. Unique Federal Award Identification Number (FAIN)

XXXXXXXX

13. Statutory Authority

XX XXX XXXX XX XXX

14. Federal Award Project Title

XXXX

15. Assistance Listing Number

XX.XXX

16. Assistance Listing Program Title

XXXX

17. Award Action Type

XXXX

18. Is the Award R&D?

XXXX

Summary Federal Award Financial Information

19. Budget Period Start Date XX/XX/XXXX – End Date XX/XX/XXXX

20. Total Amount of Federal Funds Obligated by this Action	\$	0
20a. Direct Cost Amount	\$	0
20b. Indirect Cost Amount	\$	0
21. Authorized Carryover	\$	0
22. Offset	\$	0
23. Total Amount of Federal Funds Obligated this budget period	\$	0
24. Total Approved Cost Sharing or Matching, where applicable	\$	0
25. Total Federal and Non-Federal Approved this Budget Period	\$	0

26. Project Period Start Date XX/XX/XXXX – End Date XX/XX/XXXX

27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	\$	0
--	----	---

28. Authorized Treatment of Program Income

XXXX

29. Grants Management Officer - Signature

Signature

30. Remarks

XXXX



Post Award Communication with Grants Management

1. Issues with Payment Management System setup/access

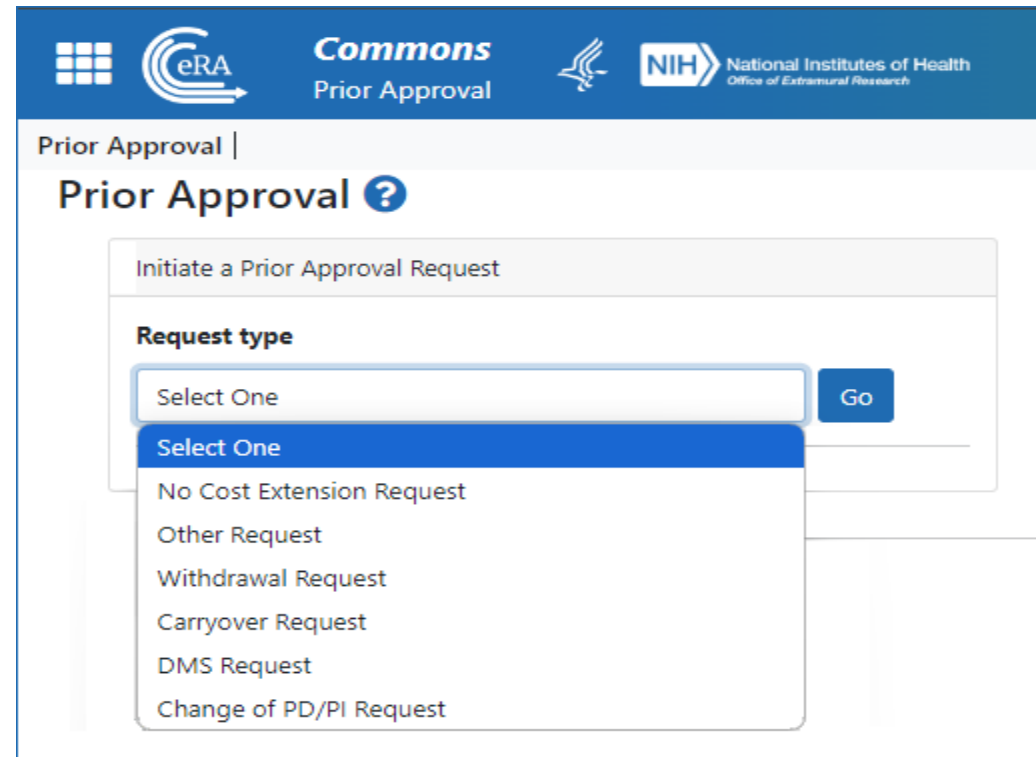
<https://pms.psc.gov>

2. Eligibility status



Post Award Communication with Grants Management

3. Prior Approvals



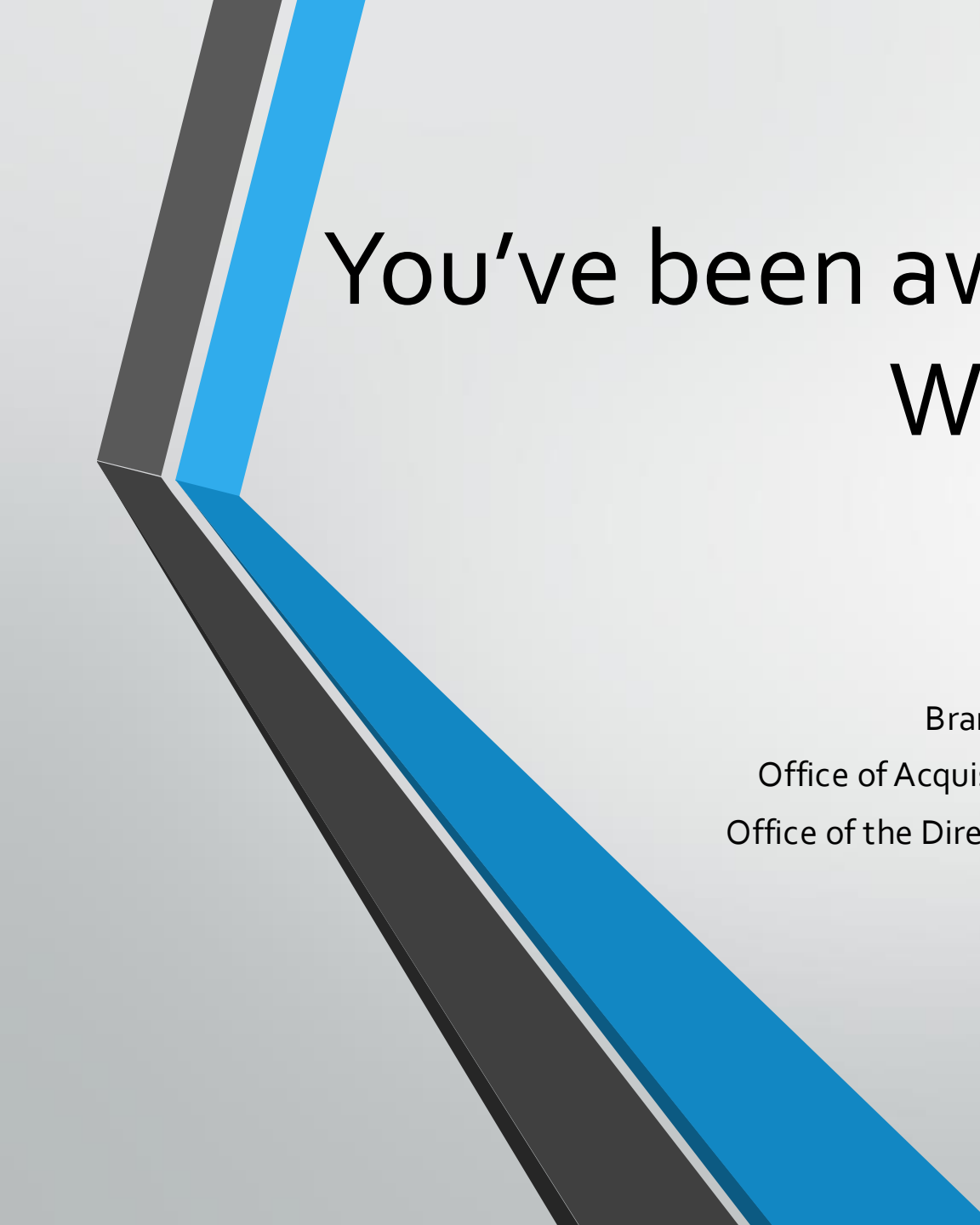
The screenshot shows the NIH Commons Prior Approval web interface. The header includes the eRA Commons logo, the text "Commons Prior Approval", and the NIH logo with "National Institutes of Health Office of Extramural Research". Below the header, the page title "Prior Approval" is displayed with a help icon. The main content area is titled "Initiate a Prior Approval Request". Under the heading "Request type", there is a dropdown menu currently showing "Select One". A "Go" button is located to the right of the dropdown. The dropdown menu is open, showing the following options: "Select One", "No Cost Extension Request", "Other Request", "Withdrawal Request", "Carryover Request", "DMS Request", and "Change of PD/PI Request".

<https://www.era.nih.gov/recipients/seek-prior-approval-for-withdrawal-of-grant>



Thank You!
artisha.wright@nih.gov





You've been awarded a SBIR Contract! What's next?

Callie Prassinos

Branch Chief/ Contracting Officer,
Office of Acquisition and Logistic Management (OALM),
Office of the Director (OD), National Institute of Health (NIH)

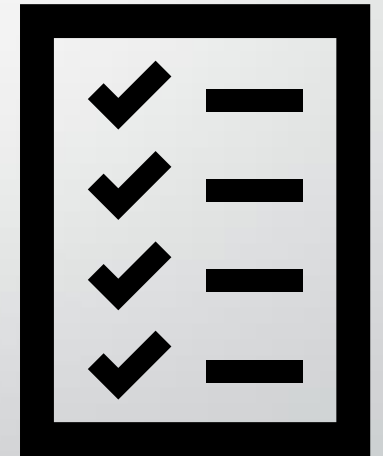
Contract and its clauses

A contract is a legally binding agreement between the two parties, the organization named on the contract and the government. There will be specific performance requirements in the statement of work and deliverable schedule with details on due dates and expectation for performance.

Usually, contracts are organized by the following sections:

Cover page - Contract #, Contractor's Name, Dates, Signatures

- Section B –Prices, Advance Understandings
- Section C –SOW, Reporting Requirements, Invention Reporting
- Section D –Marking
- Section E –Inspection and Acceptance
- Section F –Period of Performance, Deliveries
- Section G –Contract Administration
- Section H –Special Contract Requirements
- Section I –FAR Clauses
- Section J –Attachments
- Section K –Representations and Instructions





Contract Obligations and Limitations

- The mutual obligations of the Government and the Contractor are established by, and limited to, the written stipulations in the contract document.
- Unless specifically authorized by the Contracting Officer, the Contractor shall not assume any obligations or take any action not specifically required or authorized by the contract.

Roles of the Contracting Officer & Contracting Officer's Representative

CONTRACTING OFFICER'S REPRESENTATIVE (COR)

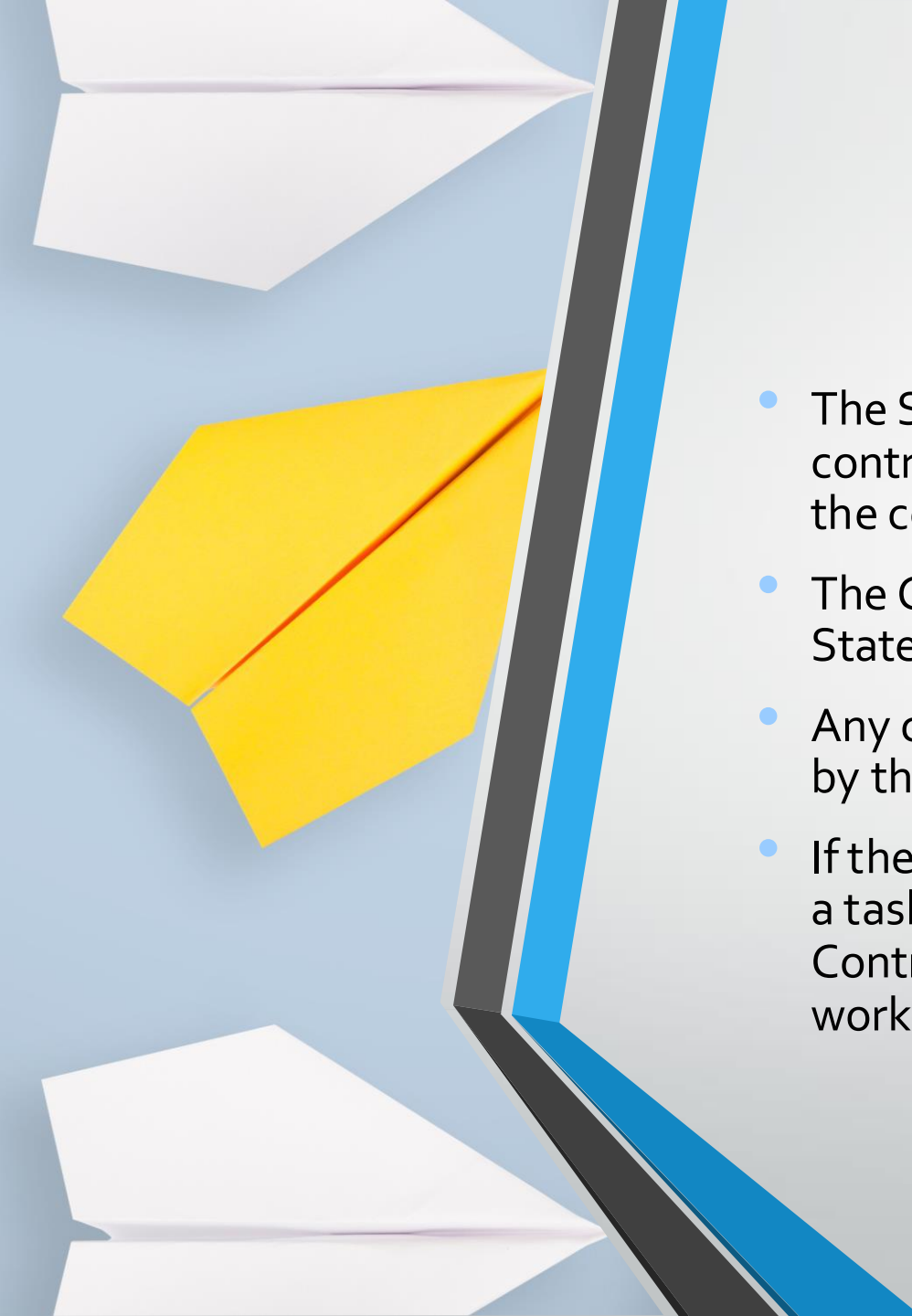
The COR is responsible for:

- Monitoring technical progress
- Recommending changes in requirements to the Contracting Officer (CO). The COR cannot make any changes to the Statement of Work or reporting requirements, only the CO may do this.
- Interpreting technical performance requirements
- Performing required inspection and acceptances
- Assisting in the resolution of technical problems encountered during performance
- The COR may not authorize increases in the negotiated costs.

CONTRACTING OFFICER (CO)

The CO is the only person with the authority to:

- Direct or negotiate any changes to the Statement of Work
- Modify or extend the period of performance
- Change the delivery schedule
- Change the terms and conditions of the contract.



STATEMENT OF WORK

- The Statement of Work defines the work to be performed under the contract and acts as a framework for what costs are covered under the contract.
- The Contractor should be intimately familiar with all details of the Statement of Work.
- Any changes to the Statement of Work must be approved in writing by the Contracting Officer.
- If the Contractor receives a request from the Government to perform a task or activity that will change the Statement of Work, the Contractor must inform the Contracting Officer before beginning work on this task/activity.

Changes to the Contract

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT				OMB Approved 2700-0042	
1. CONTRACT ID CODE		PAGE		OF PAGES	
2. AMENDMENT/MODIFICATION NO.		3. EFFECTIVE DATE [see block 16C, below]		4. REQUESTION/PURCHASE REG. NO.	
5. ISSUED BY National Institutes of Health National Institute of Allergy and Infectious Diseases DEA, Contract Management Program Room 3214, MSC 7612 6700-B Rockledge Drive Bethesda, MD 20892-7612		6. ADMINISTERED BY (if other than item 5)		7. PROJECT NO. (if applicable)	
8. NAME AND ADDRESS OF CONTRACTOR (No. Street, County, State and ZIP Code)		9. AMENDMENT OF SOLICITATION NO.		10. DATED (SEE ITEM 11)	
11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS		12A. MODIFICATION OF CONTRACT/ORDER NO.		12B. DATED (SEE ITEM 13)	
13. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS. IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.		14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)		15. CONTRACTOR/OFFEROR	
16. DATE SIGNED		17. UNITED STATES OF AMERICA		18. DATE SIGNED	
19. SIGNATURE OF PERSON AUTHORIZED TO SIGN		20. SIGNATURE OF CONTRACTING OFFICER		21. DATE SIGNED	

EXPIRATION DATE: FUNDED THROUGH: TOTAL CONTRACT AMOUNT: TOTAL OBLIGATED AMOUNT:

MIN 1540-01-150-0075 PREVIOUS EDITION UNUSABLE

30-105 Computer Generated

STANDARD FORM 30 (REV. 10-63) Prescribed by GSA FAR (48 CFR) 53.243

- Any changes in the terms or conditions of the Contract, including the Statement of Work, changes in Key Personnel, or delivery schedule must be accomplished by a written modification.
- The contractor should submit their formal requests in writing to the Contracting Officer for review. The Contracting Officer will review the request, obtain recommendation from the COR and provide consent, decline, or request further information from the Contractor.
- Please note changes could reflect an update to the "Disclosure of Foreign Affiliation of Relationships" form attached to the contract. Review this document when requesting any changes to the contract and recertify.



Key Personnel

- Prior to diverting from the individual identified as Key Personnel under Section G of the contract, the Contractor shall notify the CO in advance of replacing Key Personnel. The request should include sufficient information (CV including qualifications), to authorize replacement and avoid negative impact to the program/contract.
- No diversion shall be made by the Contractor without the written consent of the CO.

Invoice Submission and Payment

- The Government shall make payments, including invoice and contract financing payments, by electronic funds transfer (EFT).
- Payments on fixed price contracts may be made based on the satisfactory completion, receipt, and acceptance of contract deliverables.
- Payments on cost-reimbursement contracts may be made pursuant to receipt of proper invoices of allowable costs incurred which may be submitted no more frequently than on a monthly basis unless otherwise authorized by the Contracting Officer.
- For all contracts, final payment will not be made until all reports and deliverables included in the contract have been delivered and accepted by the Government.



Reporting Requirements/ Deliverable

Satisfactory performance of the final contract shall be deemed to occur upon performance of the work described in the Statement of Work in SECTION C of the contract and upon delivery and acceptance by the Contracting Officer, (and the COR), of items in accordance with the stated delivery schedule found in Article C. Reporting Requirements & Article F. Deliveries

Examples of some deliverables –

Technical Progress Reports

- ✓ Monthly Progress Report
- ✓ Final Report
- ✓ Summary of Salient Results (to be submitted with the Final Report)

Other Reports/Deliverables

- ✓ NIH Small Business Innovation Research (SBIR) Program Life Cycle Certification
- ✓ Final Invention Statement



Evaluation of Contractor Performance (CPARS)

Article G. Post Award Evaluation Of Contractor Performance

- Interim (annual) and Final Evaluations of Contractor performance will be prepared accordance with FAR Subpart 42.15.
- Evaluation Factors:
 - Technical/ Quality of Product or Service
 - Cost Control
 - Schedule/ Timelines
 - Management / Business Relations
 - Regulatory Compliance
- All evaluations will be provided to the Contractor and will be permitted thirty days to review the document and to submit additional information or a rebutting statement.
- Copies of the evaluations, Contractor responses, and review comments, if any, will be retained, and may be used to support future award decisions.





Moving to Phase II and Fast Track

- Phase I Contractors, that did not get awarded a Fast Track contract, will be informed of the opportunity to apply for Phase II from the Awarding Components after (or close to) the expiration of the Phase I contract.
- Phase I awardees will be provided with the Phase II proposal submission requirements with the details on the due date, content, and submission requirements of the Phase II proposal.
- Only one Phase II award may result from a single Phase I SBIR contract.
- A Fast Track contracts are awards for Phase I with a contractual option for Phase II. The Government is not obligated to fund the Phase II portion unless and until the Awarding Component exercises that option at the end of the Phase I contract option.

Questions?





Preventing Fraud Waste and Abuse in SBIR/STTR Awards



Jonelle Soeffing
Operations Officer
HHS-OIG, Office of Investigations



HHS-OIG Mission

- HHS-OIG's mission is to protect the integrity of HHS programs. HHS-OIG conducts Criminal, Civil, Administrative investigations of fraud, waste, abuse and misconduct.
- Fraud, waste and abuse typically fall into one or more of three general categories:
 - Conflicts of Interest
 - Theft of government funds/Embezzlement
 - Failing to Properly Support the Use of Funds





Fraud, Waste, and Abuse

- Fraud: intentional or deliberate act to deprive another of property or money by deception or other unfair means.
- Waste: practices that, directly or indirectly, result in unnecessary costs, such as overusing services and misusing resources.
- Abuse: Intentional or unintentional, thoughtless or careless expenditure, consumption, mismanagement of government resources; Excessive or improper use of government resources, including position and authority.





Fraudulent Schemes

- False information on grant applications, progress reports, etc.
- Creating fictitious records: fabricated companies and invoices
- Using funds for unauthorized purposes
- Not doing any work
- Kickbacks
- PI outside employment
- Awardee company size misrepresentation
- Award work outside of the United States

Specific examples of what NOT to do:

- Operate out of your residence (without authority)
- Use grant funds for personal expenses
- Pay others to do ALL the proposed research
- NOT pay institutions who did do the proposed work but still draw down the grant funds
- Lie to the awarding entity – including on your biosketch



Fraud Awareness

- Awareness of fraud is important, to safeguard Federal funds.
- Fraudsters utilize SBIR funds that may otherwise be given to legitimate awardees. Compliance with Federal Regulations, establishment of internal controls, and other compliance measures may reduce your risk.
- Use the grant money for what you said it would be used for.
- Disclosure and communication with HHS Grants Officials is key.



Fraud Consequences

Criminal Prosecution:

18 USC 641 Criminal Embezzlement and Theft of Public Money

- Knowingly converting funds or items to your use without the authority to do so.
- Government must prove it was an intentional act.
- Criminal Penalties – Prison, Fines, Restitution

18 USC 1001 False Statements

- Grant application signature and certifications, and in the quarterly financial statements made when drawing down funds.

Civil Prosecution:

31 USC 3729 False Claims

- Knowingly present, or cause to be presented, a false or fraudulent claim or payment or approval.
- Actual knowledge, reckless disregard or deliberate ignorance.
- Government does not need to prove fraudulent intent, preponderance of evidence.
- Triple damages plus penalties between \$5,500 to \$11,000 per offense.

Administrative Action:

- Civil Monetary Penalties
- Exclusion
- Suspension
- Debarment



HHS-OIG Case Examples

PRESS RELEASE

Two Biotech Firms And Their Co-Founder To Pay \$10 Million To Resolve Allegations Of Mischarging Federal Grants

Wednesday, December 21, 2022

Share >

For Immediate Release

U.S. Attorney's Office, Northern District of California





Report Fraud, Waste, and Abuse

PHONE:

1-800-447-8477
(1-800-HHS-TIPS)

TTY:

1-800-377-4950

ONLINE:

oig.hhs.gov/fraud/hotline



U.S. Department of Health and Human Services
Office of Inspector General

Questions?

Connect with SEED



seed.nih.gov/



SEEDinfo@nih.gov

**NIH Central Resource for Research
Grants and Funding Information:**

grants.nih.gov



National Institutes of Health
NIH Innovates



@NIH
@NIH_Innovates