



National Aeronautics and  
Space Administration

**NASA Shared Services Center**  
*Stennis Space Center, MS*  
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[www.nssc.nasa.gov](http://www.nssc.nasa.gov)

## **NASA Shared Services Center Service Delivery Guide**

**NSSDG-5100-0003    Revision 3.0**

**Effective Date:                    July 1, 2012**  
**Expiration Date:                 June 30, 2017**

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## **NSSC Small Business Innovation Research and Small Business Technology Transfer Programs**

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**Responsible Office: Procurement Division**

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<b>SUBJECT: Small Business Innovation Research and Small Business Technology Transfer Programs (SBIR/STTR) Processing</b>	

**Approved by**

/s/ Kenneth L. Newton  
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Director, Service Delivery Directorate

September 19, 2012  
Date

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Status (Basic/Revision Cancelled)	Document Version	Effective Date	Description of Change
Basic		10/01/06	Basic Release
Revision	A	10/11/06	Flowchart Updates
Revision	B	09/07/07	Wave 2 Transition
Revision	3.0	07/01/12	<p>General updates and revisions made throughout the document to reflect process changes.</p> <p>Note: Document originated under NSSC-PR-SDG-0008. Renumbered on 05/14/12 to NSSDG-5800-0001 to align with SDNS numbering system adopted in March 2010.</p>

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## PHASE 1 AND PHASE 2 PROCESSING

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### Introduction

**The Small Business Innovation Research (SBIR) Program** was established by Congress in 1982 to provide increased opportunities for small businesses to participate in Research & Development (R&D), to increase employment, and to improve U.S. competitiveness. The program's specific objectives are to stimulate U.S. technological innovation, use small businesses to meet federal research and development needs, increase private-sector commercialization of innovations derived from federal R&D, and to foster and encourage participation by socially disadvantaged businesses. Legislation enacted in the year 2000 extended and strengthened the SBIR program and increased its emphasis on pursuing commercial applications of SBIR project results.

**The Small Business Technology Transfer (STTR) Program** awards contracts to small business concerns for cooperative research and development with a non-profit Research Institution (RI) - such as a university. The goal of Congress in establishing the STTR program is to facilitate the transfer of technology developed by an RI through the entrepreneurship of a small business. The small business and its partnering institution are required to sign an agreement on how intellectual property will be shared between them. Modeled after the SBIR Program, with the same basic requirements and phased funding structure described above, STTR is nevertheless a separate activity and is separately funded. It differs from SBIR in several important aspects:

The NASA Shared Services Center (NSSC) will support the Agency's internal effort to create an environment conducive to streamlining and simplifying SBIR/STTR contracts. The National Aeronautics and Space Administration (NASA), through the establishment of the NSSC, an organization reporting directly to NASA Headquarters, has transitioned to a consolidation model for the award and administration of all Agency Phase 1 and 2 SBIR/STTR contracts. The consolidation is designed to achieve efficient and effective service, improve data quality, standardize processes, leverage skills and investments, and provide economies of scale.

The NSSC is responsible for conducting all pre-award and post activities associated with awarding and administering Phase 1 and 2 SBIR/STTR contracts. Activities include assuming the duties and responsibilities of the Procurement Manager (PM), Lead SBIR/STTR Contracting Officer (CO) and Contract Specialist.

The NSSC, in coordination with the SBIR/STTR Program Executive, SBIR/STTR Program Management Office, and NASA HQ OP, support: development of SBIR/STTR

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solicitations, debriefing of unsuccessful offerors, and participate in the design and content maintenance activities for the Electronic Handbook (EHB's). The NSSC will, in coordination with Field Center Program Offices ensure the following: verify Center recommended Contracting Officer Representatives (CORs) and alternates are compliant with COR Training requirements; appoint CORs and alternates; establish and maintain official contract files; conduct contract negotiations; perform various analyses; develop contract documents; oversee document approval and execution; conduct virtual site visits; manage the receipt of deliverables, approve invoices; negotiate various supplemental agreements; award modifications; and monitor contract compliance issues.

### **Objective**

The objective of the NSSC, Procurement Division, Research Activities Branch, is to provide support for NASA research community and small businesses in the award and administration of firm fixed price research and development contracts.

### **Purpose**

The NSSC will process Phase I and Phase II SBIR/STTR for all NASA Centers, and is responsible for executing a firm-fixed price contract in accordance with Federal regulations and NASA policy. The NSSC shall also provide services including: assembling, reviewing, processing, recording, reporting, awarding, and administrating SBIR/STTR contracts.

### **NSSC Responsibilities**

NSSC will administer NSSC-awarded SBIR/STTR contracts. NSSC duties include, but are not limited to, receiving, reconciling, recording, processing, inputting, maintaining, and retaining documents necessary to complete official contract files from pre-award through physical completion.

### **NSSC Civil Servants (CS)**

- The Lead Contracting Officer oversees and monitors all procurement activities; develops contract templates for contracting officers; administers policy changes and updates and liaises with SBIR/STTR Program Executive, Program Management Office (PMO), NASA Center Liaison, SBIR/STTR Field Center Offices, Contracting Officer Representatives (CORs), and others as required; serves as the NSSC SBIR/STTR Procurement Manager (PM); handles protests;

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support debriefings; handles Office of Inspector General (OIG) and Government Accountability Office (GAO) audits and inquiries.

Contracting Officers review, negotiate, award and administer SBIR/STTR Phase 1 purchase orders, Phase 2 contracts, and exercise Phase 2-E options.

- Conduct virtual site visits with the COR
- Manage and monitor the receipt of deliverables in accordance with contract terms and conditions
- Approve and reject invoices
- Execute modifications
- Resolve contract compliance issues
- Support Phase 2 debriefings

#### **NSSC Contractor Service Provider (SP)**

- Support the study and analysis of the SBIR/STTR electronic processes
- Support the NSSC contracting officers (COs) in contract administration of SBIR/STTR awards
- Perform fact finding and analysis
- Monitor contract performance and Phase 2 funding profiles
- Prepare documentation for purchase orders and contract files
- Electronically prepare files:
  - For audits
  - For protests
- Prepare documentation for invoice review and approval

#### **Program Management Office (PMO) Responsibilities**

PMO will continue to serve as NASA lead office for all issues associated with the SBIR/STTR programs.

#### **PMO**

- Provide and maintain the EHBs
- Develop SBIR/STTR solicitations and manage the solicitation process for Phase 1 and Phase 2
- Receive and process proposals in response to the SBIR/STTR solicitations
- Oversee the proposal evaluation processes
- Work with the SSO in the selection of awardees of SBIR/STTR contracts and provide appropriate notifications

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- Ensure certified CORs are provided

## Center Responsibilities

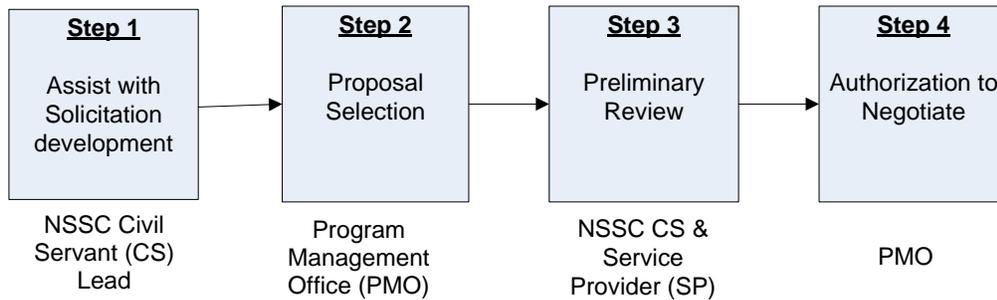
### NASA Centers

- Award and administer Phase 3 SBIR/STTR Contracts
- Program/project, budgeting, safety, property, costing and resources responsibilities including writing Purchase Requests associated with SBIR/STTR Contracts
- Provide certified CORs

This Service Delivery Guide primarily addresses post-selection procurement activity and some pre-selection activities. Not all individual group responsibilities are specifically identified or described. The roles and responsibilities of various participants, e.g., Mission Directorate Representatives, are identified in the Policy Directives and Guidelines in the EHB. Please see the NASA SBIR/STTR Policy Statement (SSPS), specifically the Roles and Responsibilities in Directive SSPS 2006-1, dated October 3, 2005.

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## PROCESS 1: PRE-AWARD



### Roles & Responsibilities

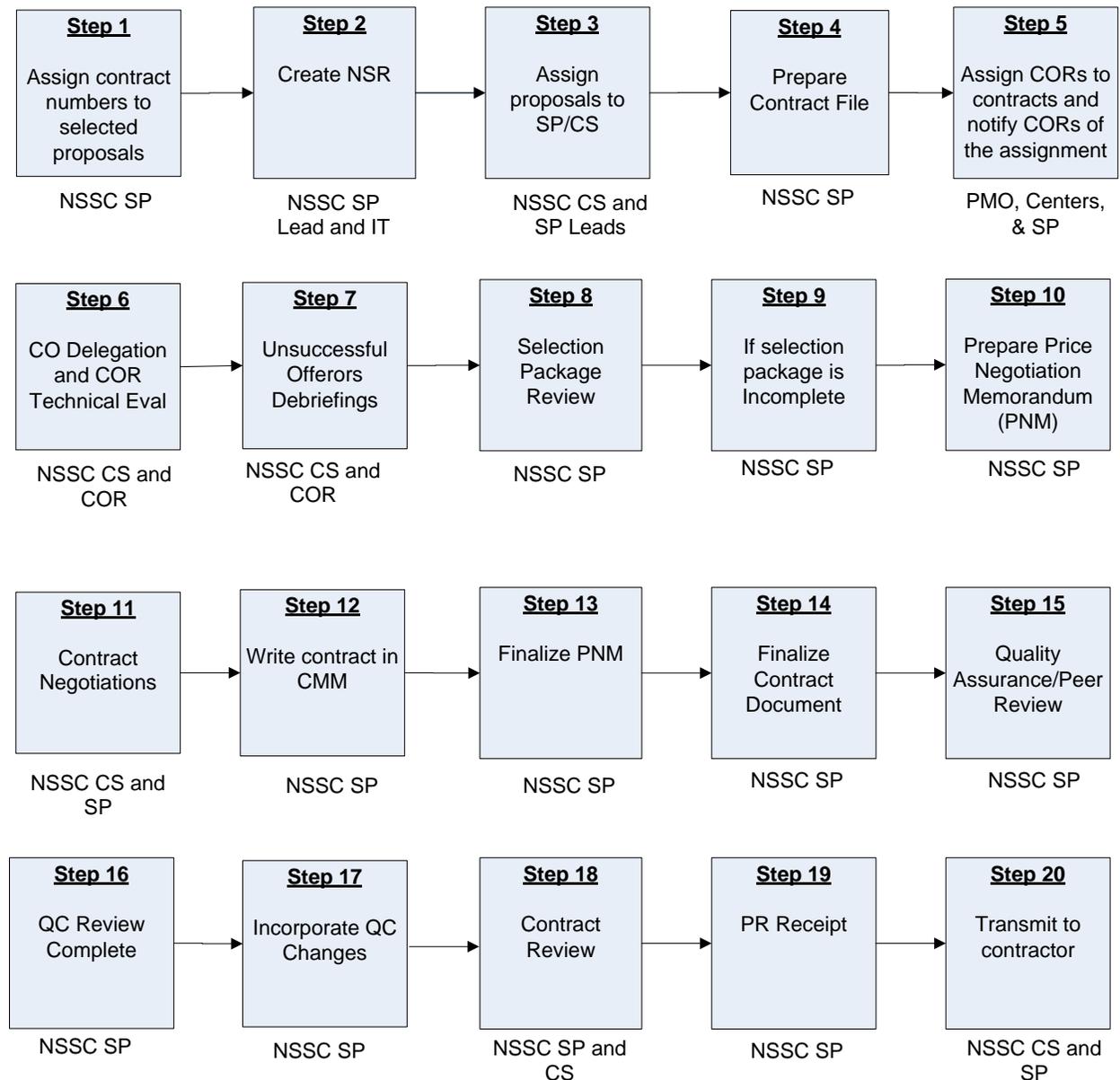
Process 1: Pre-Award		
Roles and Responsibilities	Action	Tips/Notes
Step 1 NSSC Civil Servant (CS) Lead Assist with Solicitation development	Lead assists with the developing the solicitation.	Assistance is provided through via WebEx, telephone and e-mail.
Step 2 Program Management Office (PMO) Proposal Selection	Source selection official selects Proposals for Negotiation and notifies NSSC.	Available in EHBs.
Step 3 NSSC CS NSSC Service Provider (SP) Preliminary Review	Phase 2 Only – compiles past performance data from CPARS.  SP performs preliminary review by checking contractor information in the System for Award Management (SAM).	Results are submitted to PMO and Source Selection Official (SSO).

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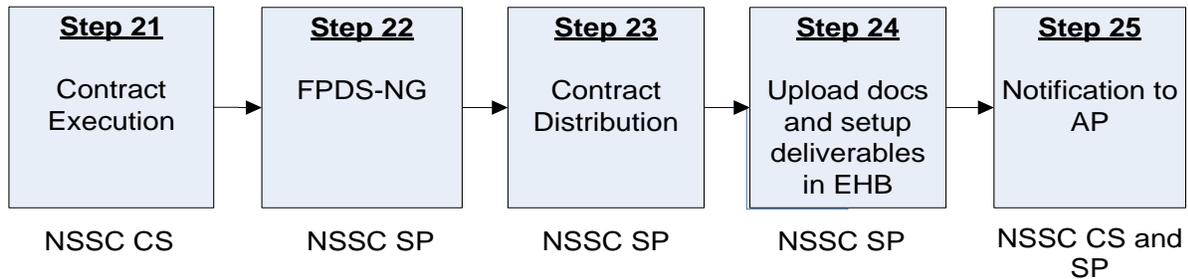
Process 1: Pre-Award		
Roles and Responsibilities	Action	Tips/Notes
Step 4 PMO Authorization to Negotiate	Gives approval to proceed with negotiations.	Funding availability and the current need for the research proposed is verified.

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## PROCESS 2: AWARD



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### Roles & Responsibilities

Process 2: Award		
Roles and Responsibilities	Action	Tips/Notes
Step 1 NSSC SP Assign contract numbers to selected proposals	SP assigns contract numbers to the proposals selected for negotiation.	Assignments made in EHB.
Step 2 NSSC SP Lead NSSC IT Create NSR	SP Lead provides list of contracts with pertinent data fields to IT to create Remedy NSSC Service Requests (NSRs).	IT provides SP Functional Lead a list of NSR numbers for contracts.
Step 3 NSSC CS Lead NSSC SP Lead Assign proposals to SP/CS	CS Lead assigns proposals selected for negotiation to respective CS personnel.  SP Lead assigns proposals selected for negotiation to respective SP personnel.	Assignments made in EHB.

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Process 2: Award		
Roles and Responsibilities	Action	Tips/Notes
Step 4 NSSC SP Prepare Contract File (hard copy & electronic)	SP downloads proposal package from EHB and begins preliminary review and verification processes. Steps include retrieving contractor verification data such as the Entity Record, Exclusions, and Representations and Certifications from SAM, Veteran's Employment and Training Service (VETS 100), vendor code, etc.	Documents associated with this review are saved in contract/award files.
Step 5 PMO and Centers assign CORs to contracts. SP notifies CORs of the assignment.	CORs for each specific proposal are assigned and if necessary, Alternate CORs. SP designates the assigned CORs in the EHB.	Assignment made in EHB.
Step 6 NSSC CS and COR CO Delegation & COR Technical Evaluation	CS coordinates with COR and approves COR Delegation. COR completes Technical Evaluation.	Delegation and Tech Evaluation completed in EHB.
Step 7 NSSC CS and COR Unsuccessful Offerors Debriefings	Phase 1 and 2: unsuccessful proposers receive a letter from PMO. For Phase 2 only, if firm requests in writing, then CS conducts formal debriefing assisted by COR and if necessary, Center and PMO.	FAR 15.506 and PIC 04-11 provide guidelines for conducting the debriefing. Occurs only if requested in writing.
Step 8 NSSC SP Selection Package Review	SP reviews selection package to determine if required documentation and information have been included.	Required documents include offer, proposal evaluation, source selection decision, source list, COR's technical evaluation identifying safety issues; proprietary

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Process 2: Award		
Roles and Responsibilities	Action	Tips/Notes
		information cover sheet, if applicable.
Step 9 NSSC SP  If selection package is Incomplete	SP obtains necessary documentation, information, etc.	SP follows a standardized process for requesting the information. SP continues the award processing steps to the extent possible while waiting for documents.
Step 10 NSSC SP  Prepare Price Negotiation Memorandum (PNM)	SP prepares price negotiation memorandum.	Parametric analysis is used to compile an average cost per research hour. NF 634 used for profit/fee objective
Step 11 NSSC CS NSSC SP  Contract Negotiations	CS conducts negotiations.  SP provides support such as market research and gathering supporting documentation.	CS conducts negotiations.  SP documents negotiation results.
Step 12 NSSC SP  Write contract in CMM	SP enters the contract information into CMM upon receipt of the final contract language.	Document created in CMM; Phase 1, a purchase order (OF 347); Phase 2, a contract (SF 26).
Step 13	SP finalizes the PNM documentation.	Documentation

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Process 2: Award		
Roles and Responsibilities	Action	Tips/Notes
NSSC SP Finalize PNM		inserted in the file.
Step 14 NSSC SP Finalize Contract Document	SP finalizes Purchase Order or Contract document as required.	Document finalized in CMM.
Step 15 NSSC SP Quality Assurance/Peer Review	SP transmits electronic request for Quality Control (QC) file check.	QC file check includes the hard copy file and CMM file.
Step 16 NSSC SP QC Review Complete	Reviewing SP transmits comments, corrections to responsible SP, if necessary.	
Step 17 NSSC SP Incorporate QC Changes	SP updates CMM and hard copy file as necessary.	All changes made in CMM and to hard copy file.
Step 18 NSSC SP NSSC CS Contract Review	SP transfers file to CS for review. The review includes the CMM file and the hard copy file.	Review in CMM and hard copy file.

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Process 2: Award		
Roles and Responsibilities	Action	Tips/Notes
Step 19 NSSC SP PR receipt	SP receives PR and signed NF 1707.	PR notification and receipt in CMM.
Step 20 NSSC CS NSSC SP Transmit to contractor	CS authorizes transmittal to contractor for review.  SP electronically sends contract document to contractor for review and signature.	
Step 21 NSSC CS Contract Execution	CS executes contract electronically in CMM and signs hard copy.  CS transfers files to SP for distribution.	All documents and signatures transmitted electronically.
Step 22 NSSC SP FPDS-NG	SP inputs data in FPDS-NG.	
Step 23 NSSC SP Contract Distribution	SP electronically transmits fully-executed contract documents in accordance with the distribution list.	Includes resolving NSR in Remedy.
Step 24 NSSC SP Upload docs and setup deliverables in EHB	SP uploads all supporting documents and sets up deliverables for contract in EHB.	Electronic file is transferred from Negotiation Handbook to Admin Handbook (EHB).

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Process 2: Award		
Roles and Responsibilities	Action	Tips/Notes
Step 25 NSSC CS NSSC SP Notification to AP	A consolidated list of contracts is provided to AP.	

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## PROCESS 3: POST AWARD

<p><b>Post Award Responsibilities</b></p> <p>Perform Post Award Administration activities including but not limited to the following:</p> <ul style="list-style-type: none"> <li>. Contract Modifications – Unilateral and Bilateral</li> <li>. Late Deliverables</li> <li>. DCMA Delegation and Acceptance</li> <li>. Past Performance – CPARS</li> <li>. Invoices</li> <li>. Virtual Site Visits</li> <li>. Electronic (EHB) and Hard Copy File Documentation</li> <li>. Subcontractor Reporting – FSRs</li> <li>. Transfer Contract Files to Closeout</li> </ul>
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PMO, Centers, NSSC CS and SP

### Roles & Responsibilities

Process 3: Post Award		
Roles and Responsibilities	Action	Tips/Notes
NSSC SP  NSSC CS Contract Modifications	SP process unilateral and bilateral modifications – extensions, key personnel change, funding, scope change, property transfer, novations.  CS review and execute modifications.	SP coordinates receipt of data and prepares required documents for approval by CS in CMM and hard copy file.
NSSC SP  Late Deliverables	Report is created from EHB to track if contractors are on schedule. If not, notices are sent.	To minimize contractors not complying with contract terms and conditions.

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Process 3: Post Award		
Roles and Responsibilities	Action	Tips/Notes
NSSC SP  Delegation & Acceptance	Contracts using Government-furnished equipment/property are delegated to DCMA. Modifications are processed to delegate Government-furnished property to DCMA when property is transferred after award. DCMA should accept the delegation.	The DCMA acceptance is tracked.
NSSC CS  Past Performance - CPARS	CS reviews and finalizes evaluations in CPARS.	
NSSC SP  NSSC CS  Invoices	Invoices submitted through EHB, interfaces to AP. SP gathers and verifies receipt of required deliverables for processing invoices in a timely manner.  CS reviews and approves or rejects invoices.	EHB notifies SP & CS when deliverables are received.
NSSC CS  NSSC SP  Virtual Site Visits	First time Phase 2 contractors were required to participate in virtual site visits conducted by CS.  SP updates contract documentation and initiates contract modification if necessary.	

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Process 3: Post Award		
Roles and Responsibilities	Action	Tips/Notes
NSSC SP  Electronic and Hard Copy File Documentation	SP updates both electronic files (EHB) and hard-copy files with pertinent documentation while contracts are active.	Use PR Post Award mailbox to send any documents to be added to EHB and hard files.
NSSC SP/CS  Subcontractor Reporting - FSRS	SP gathers information from FSRS database and information is provided to CS for final review.  CS handles any anomalies with subcontractor reporting data.	The reporting tool Federal prime awardees (i.e. prime contractors and prime grants recipients) use to capture and report subaward and executive compensation data regarding their first-tier subawards is used to meet the FFATA reporting requirements.
NSSC SP  Transfer Contract Files to Closeout	SP sends hard file to closeout contractor and notifies EHB Technical Support to change contract status to inactive.	Closeout contractor accesses contract file in EHB.

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## METRICS

Initiating Office/Entity	Deliverable (Output)	Receiving Office/Entity	Metric
Procurement Division/Research Activities Branch	Pre-Award	PMO	Complete within the Program schedule.
Procurement Division/Research Activities Branch	Award Phase 1 Phase 2	SBIR/STTR Contractors	<p><b>Phase 1:</b> Complete 95 percent of qualified SBIR/STTR Phase I awards within the Program Office prescribed deadline.</p> <p><b>Phase 2:</b> Complete 90 percent of qualified SBIR/STTR Phase II awards within the Program Office prescribed deadline.</p>
Procurement Division/Research Activities Branch	Post-Award Funding Modifications	SBIR Contractors Centers	90 percent of modifications occur within 14 calendar days of receipt of funding document.

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**PRIVACY DATA**

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All participants involved must ensure protection of all data covered by the Privacy Act.

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## SYSTEM COMPONENTS

### EXISTING SYSTEMS

IT System Title	IT System Description	Access Requirements	IT System Interfaces
Remedy 7.5	Performance measurement and workflow tracking application.	User role at NSSC	TechDoc
SAP/IEMP	Procurement Request receipt, contract funding and payment processing.	User role at NSSC	bReady, CMM, FPDS-NG, CPARS
Document Imaging	Scanning and printing bulk items. Process and distribute incoming mail.	User role at NSSC	
AWMS	System for receiving and tracking invoices.	User role at NSSC	SAP/Document Imaging
CMM	System used as the Procurement writing system.	User role at NSSC	SAP, bReady
SAM	System used to verify contractor address, business size, eligibility, exclusions, representations and certifications.	User role at NSSC	
FPDS-NG	Collects, develops, and disseminates data on all federal expenditures for supplies and services.	User role at NSSC	CPARS CMM SAP
EHBs	System of electronically-supported business processes to manage SBIR/STTR programs and associated data.	User role at NSSC	AWMS

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## New Systems

IT System Title	IT System Description	Access Requirements	IT System Interfaces
FSRS	Collects, develops, and disseminates data on Federal prime awardees used to capture and report subaward and executive compensation data regarding their first-tier subawards to meet the FFATA reporting requirements.	User role at NSSC	FFATA
FederalReporting.gov	Collects, develops, and disseminates data on all federal expenditures for ARRA contracts.	User role at NSSC	USAspending
CPARS	Collects and documents contractor and grantee performance information that is required by Federal Regulations.	User role at NSSC	PPIRS

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## CUSTOMER CONTACT CENTER STRATEGY

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The NSSC Customer Contact Center (CCC) will be a primary point of contact for its SBIR/STTR customers. Inquiries received by the CCC are designated Level One (L1), Two (L2), or Three (L3). The CCC opens a Remedy ticket for each inquiry. Routine inquiries received and resolved by the CCC are L1 cases. A question unable to be answered or resolved by the CCC (L1) is elevated to L2, the SP Procurement organization. L3 inquiries are those requiring a response from a Contracting Officer (CO) or CS staff. The CCC assigns questions about specific SBIR or STTR awards to the L2 service provider or L3 civil servant responsible for them.

The NSSC CCC can be reached by telephone, facsimile or email as provided below:

Email: [nssc-contactCenter@nasa.gov](mailto:nssc-contactCenter@nasa.gov)

Fax: 1-866-779-6772

Telephone: 1-877-NSSC123 (or 1-877-677-2123)

Website: [www.nssc.nasa.gov](http://www.nssc.nasa.gov)

NSSC Procurement has provided to the CCC a listing of civil service and service provider procurement personnel identifying the activities for which each person is responsible. NSSC Procurement has furnished the CCC a list of URL's, Web sites, other pertinent information and Frequently Asked Questions (FAQ's) to assist in responding to routine Level One customer inquiries. Further, NSSC Procurement has designated facilitators and back-up personnel to coordinate with the CCC to ensure the on-going flow of communications between the NSSC Procurement and the CCC.

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## APPENDICES

### Appendix A – Consolidated Roles and Responsibilities

RESPONSIBILITIES	ROLES			
PROCESS	PMO	NSSC SP	NSSC CS	CENTER
<b>Pre-Award</b>				
Solicitation Development	X			
Proposal Selection	X			
Preliminary Review		X	X	
Authority to Proceed	X			
<b>RESPONSIBILITIES</b>				
<b>ROLES</b>				
PROCESS	PMO	NSSC SP	NSSC CS	CENTER
<b>Award</b>				
Assign Contract Numbers		X		
Create NSR		X		
Assign Proposals to SP/CS		X	X	
Prepare Contract File		X		
Assign CORs	X			
Notify CORs of the Assignment		X		
COR Delegation			X	
Debriefings	X		X	
Selection Package Review		X	X	
Request Additional Information		X		
Prepare Price Negotiation Memorandum		X	X	
Conduct Negotiations			X	
Write Contract		X		
Peer Review		X		
Contract Review			X	X
PR Receipt		X		
Contract Execution			X	
FPDS-NG		X		
Contract Distribution		X		
Upload Documents/Setup Deliverables		X		
Switch from Negotiation to Admin		X		

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PROCESS	PMO	NSSC SP	NSSC CS	CENTER
<b>Post Award</b>				
Modifications - Unilateral		X	X	
Modifications - Bilateral		X	X	
Late Deliverables		X	X	X
DCMA Delegation & Acceptance		X		
Past Performance - CPARS			X	X
Invoices		X	X	X
Virtual Site Visits	X	X	X	X
Electronic (EHB) & Hard copy file		X		
Subcontractor Reporting - FSRs		X	X	
Transfer Contract Files to Closeout		X		

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## Appendix B - Distribution of Award Documents

The NSSC will scan the award document with CO signature and perform electronic distribution via email in accordance with the Distribution List.

Distribution will be made to the applicable offices indicated on the Distribution List. The Distribution List may vary depending on the Center. Hard copies are not distributed.

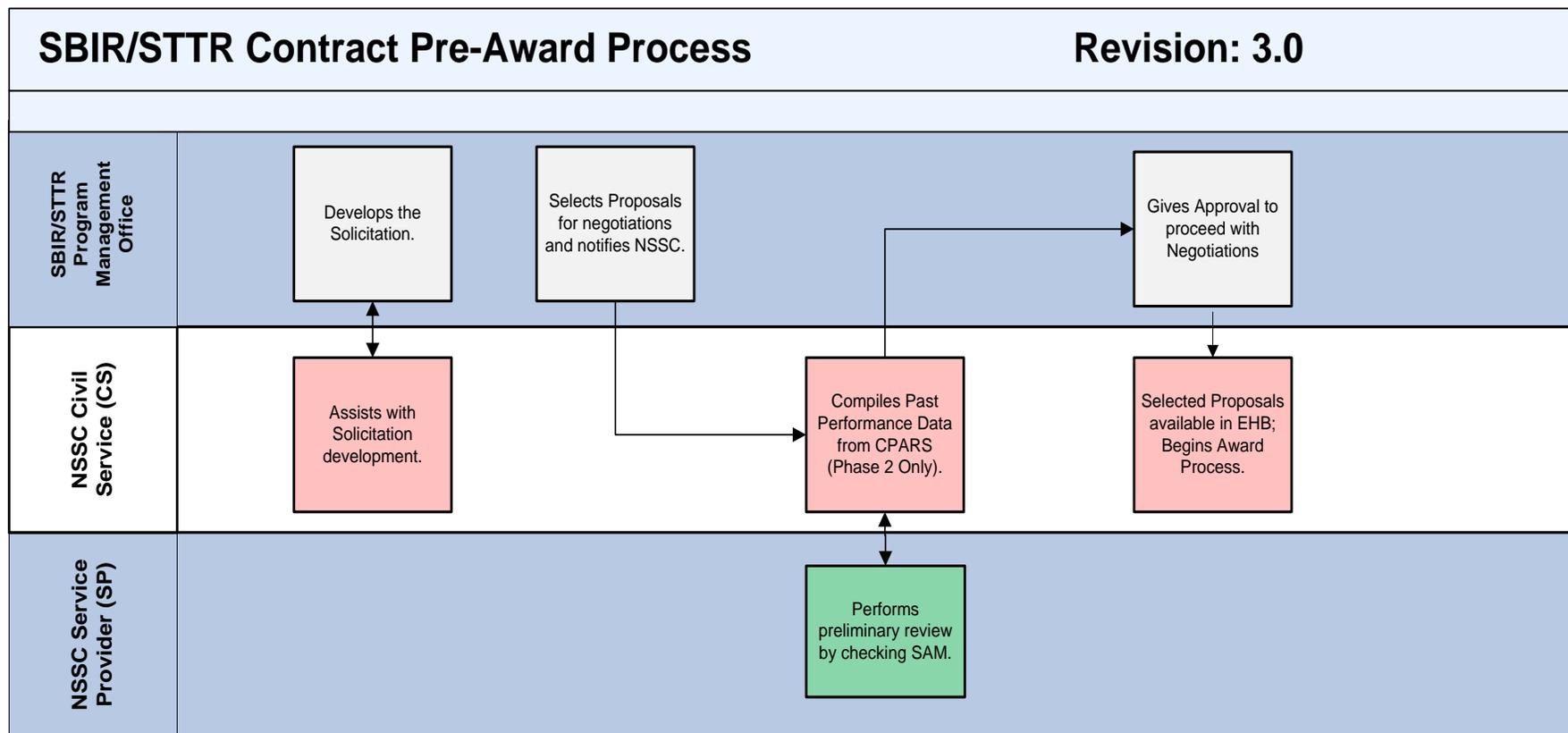
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## Appendix C - Acronyms and Abbreviations

AP	Accounts Payable
ARRA	American Recovery and Reinvestment Act
AWMS	Accounts Payable Work Management System
CCC	Customer Contact Center
CMM	Contract Management Module
CO	Contracting Officer
COR	Contracting Officer Representative
CPARS	Contractor Performance Assessment Reporting System
CS	Civil Servant
DCMA	Defense Contract Management Agency
EHB	Electronic Handbook
FAR	Federal Acquisition Regulations
FFATA	Federal Funding Accountability and Transparency Act
FPDS-NG	Federal Procurement Data System – Next Generation
FSTRS	FFATA Subaward Reporting System
GAO	General Accountability Office
L1	Level 1 – Customer Contact Center
L2	Level 2 – NSSC SP
L3	Level 3 – NSSC CS
NF	NASA Form
NSR	NSSC Service Request
NSSC	NASA Shared Services Center
OIG	Office of Inspector General
PI	Principal Investigator
PIC	Procurement Information Circulars
PM	Procurement Manager
PNM	Price Negotiation Memorandum
PMO	Program Management Office
PPIRS	Past Performance Information Retrieval System
PR	Purchase Request
QC	Quality Control
SAM	System for Award Management
SAP/IEMP	Integrated Enterprise Management Program
SBIR	Small Business Innovation Research
SP	Service Provider
SSO	Source Selection Official
SSPS	SBIR/STTR Policy Statement
STTR	Small Business Technology Transfer Research
VETS 100	Veteran’s Employment and Training Service

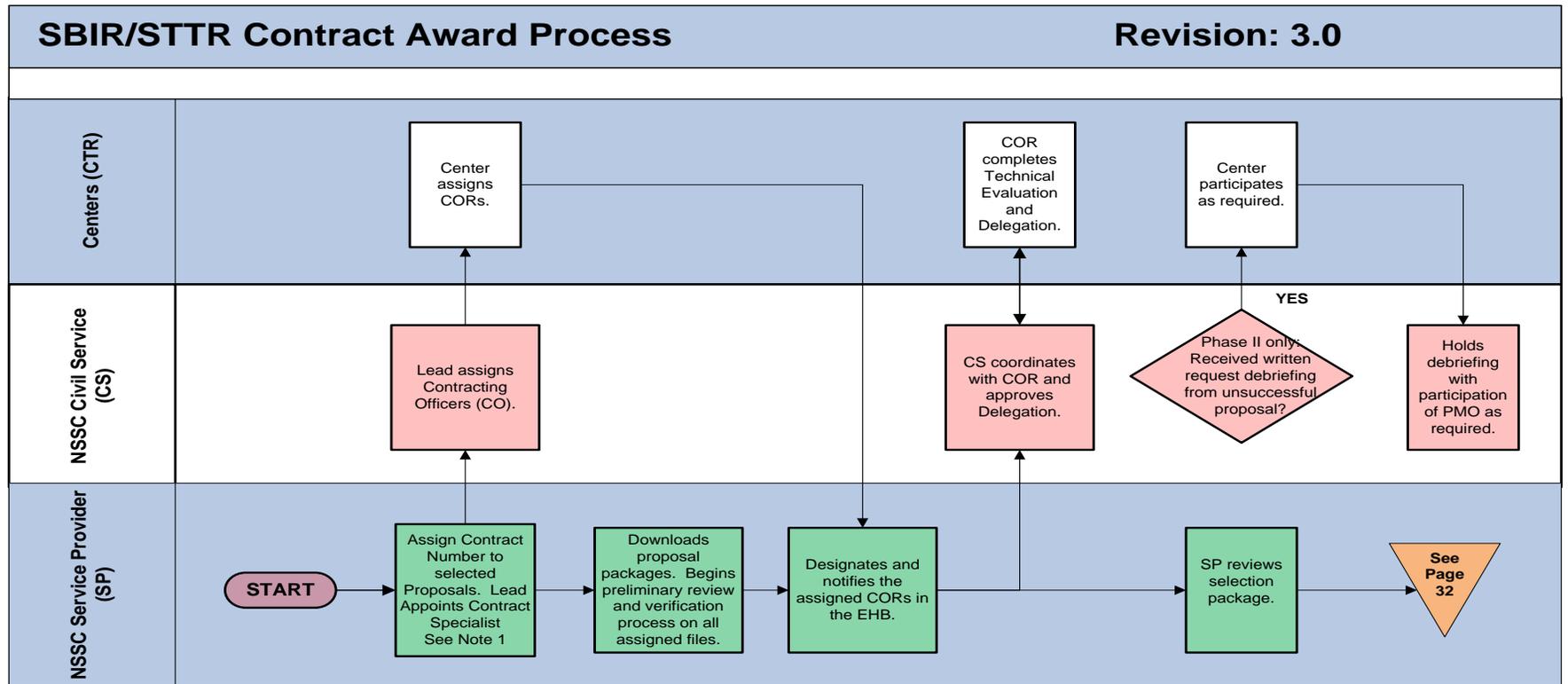
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**Appendix D – Cross-Functional Flowcharts**



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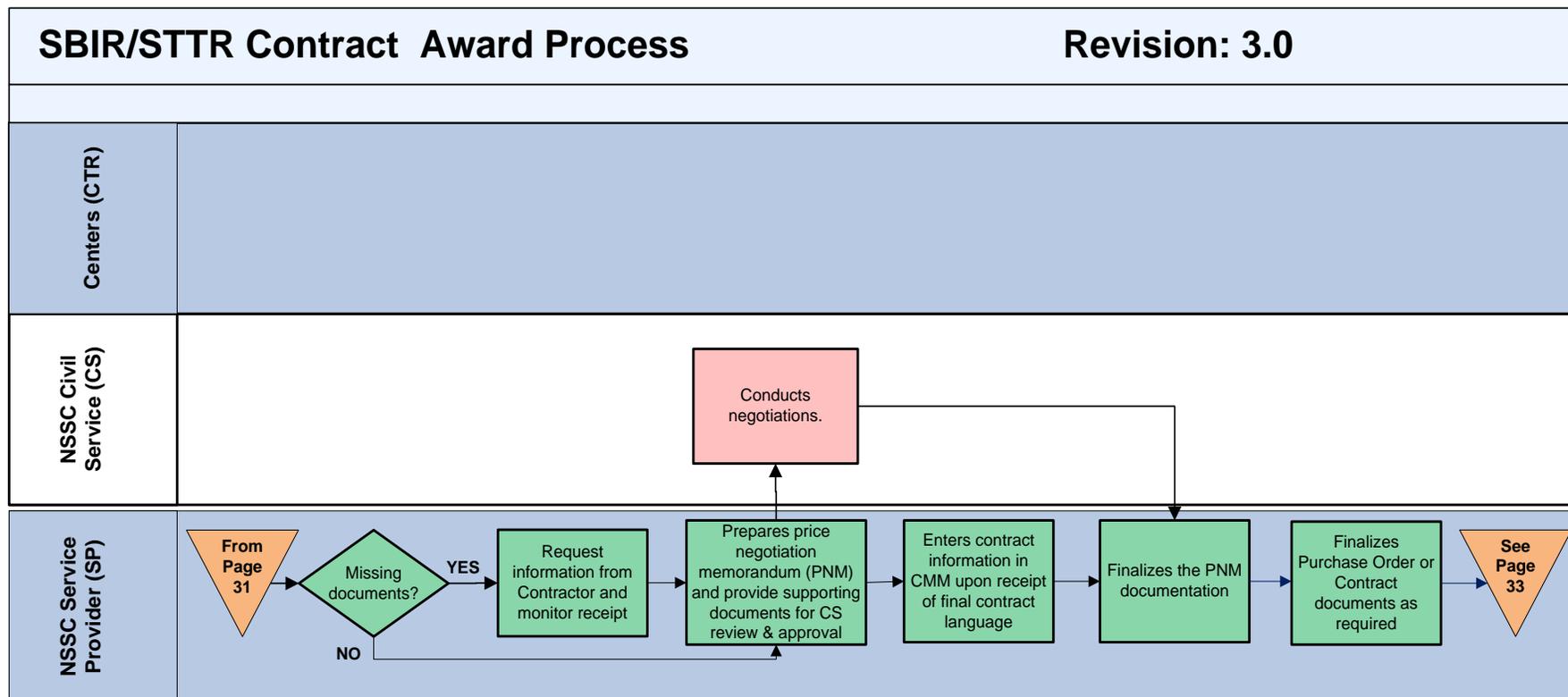
**Appendix D – Cross-Functional Flowcharts (Continued)**



Note 1: Provide Contract Numbers and related data to IT to create Remedy NSR's.

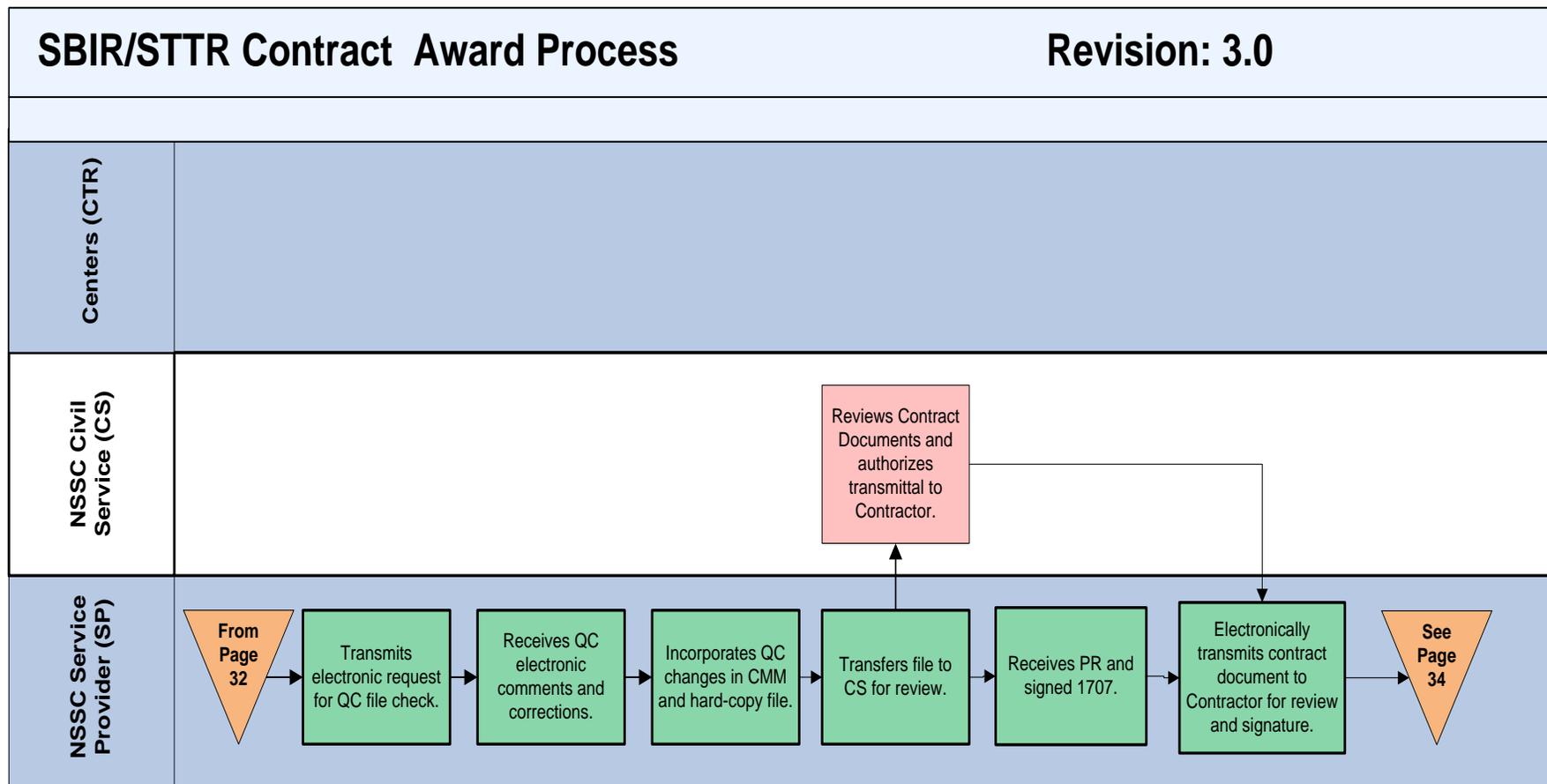
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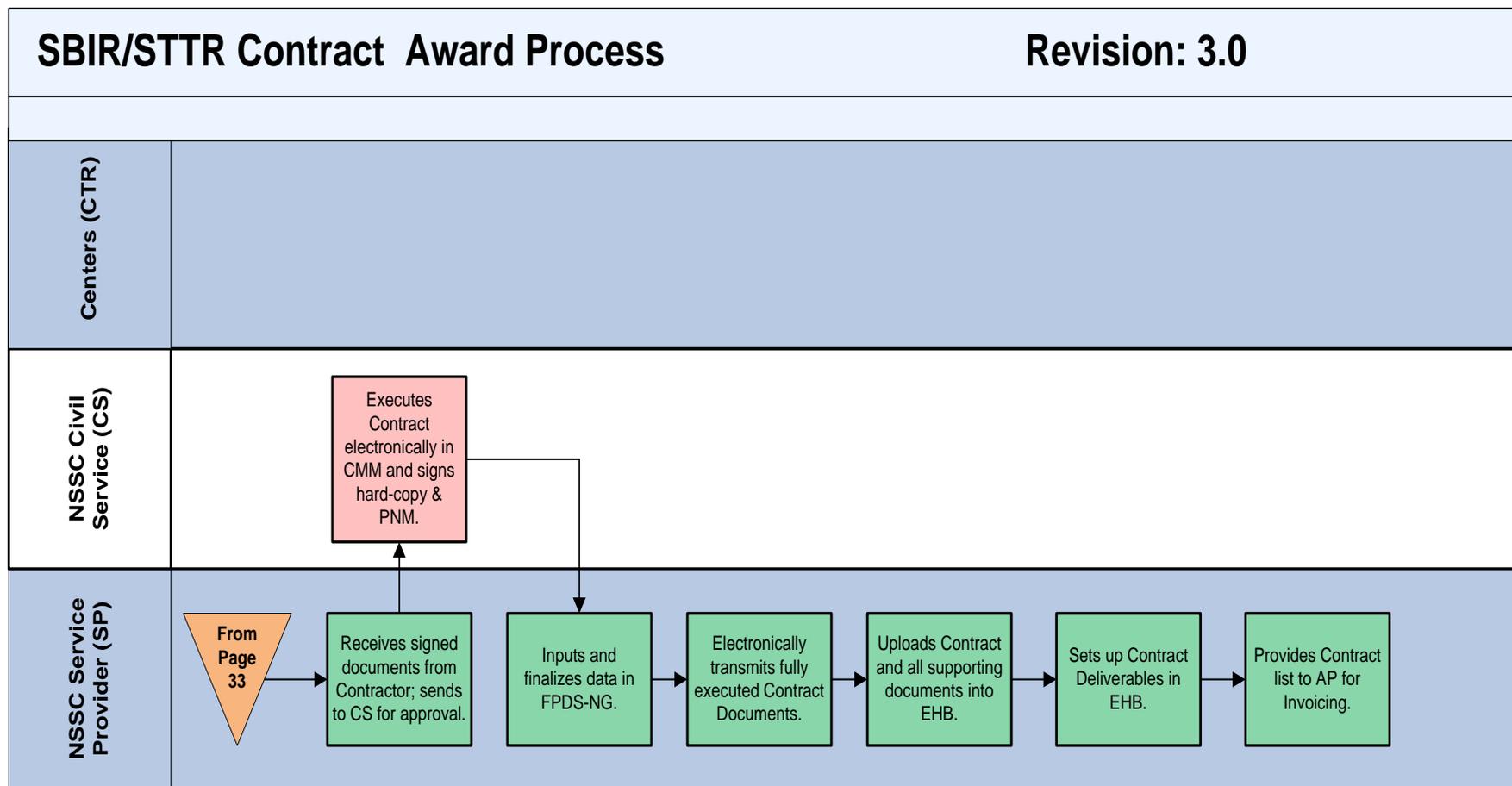
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**Appendix D – Cross-Functional Flowcharts (Continued)**



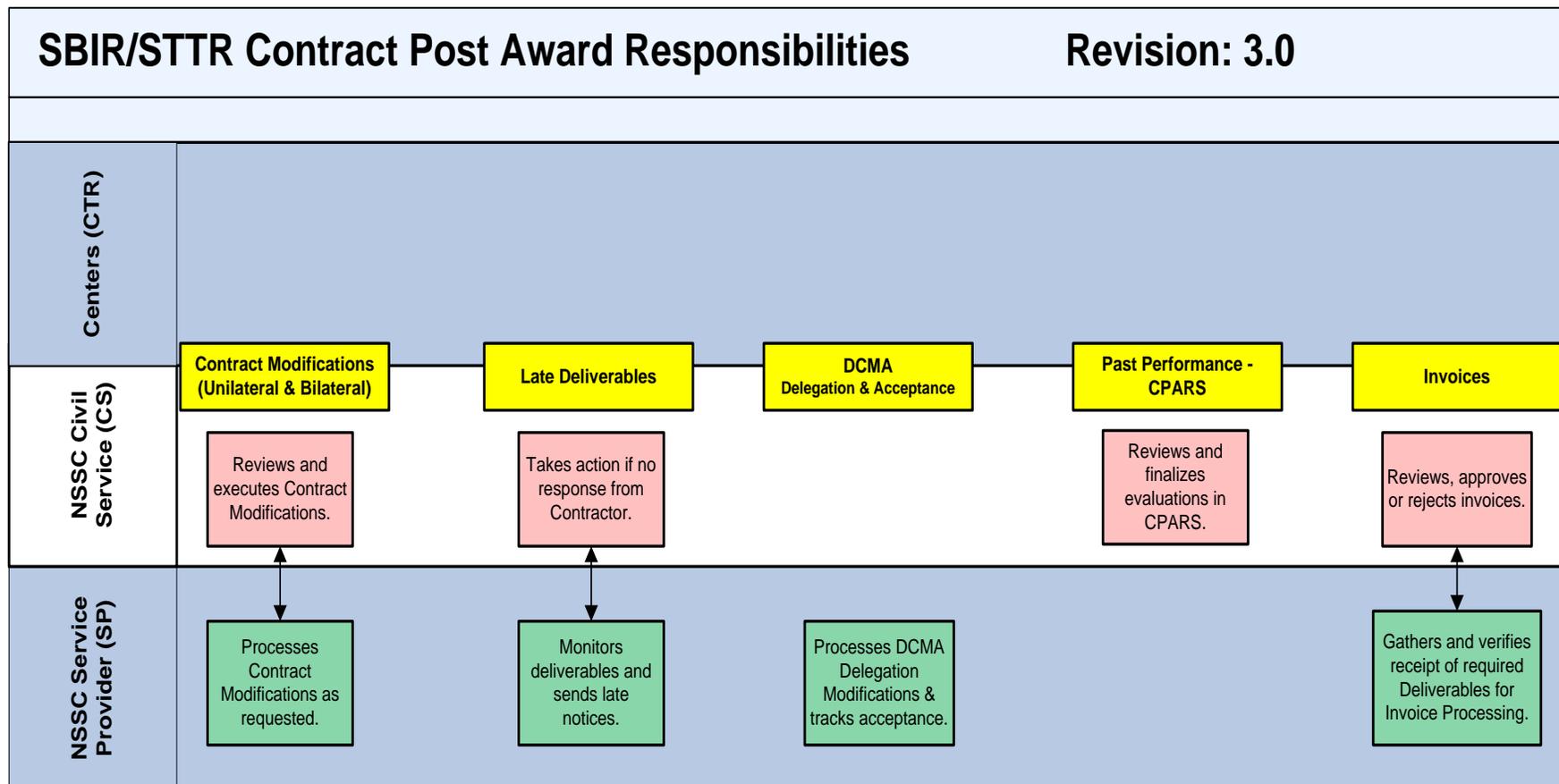
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