



DOE SBIR/STTR Programs

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August 9, 2018



U.S. DEPARTMENT OF
ENERGY

SBIR/STTR Programs
Office

Operation of the DOE SBIR and STTR Programs

DOE Program Office

- Develop Topics
- Identify Reviewers (Scientific Peer Review)
- Recommend Awardees
- Manage Projects

*Technical Expertise Leveraged
Throughout DOE*

DOE Chicago Office

- Negotiate Grants
- Issue New and Continuation Awards
- Grant Closeout

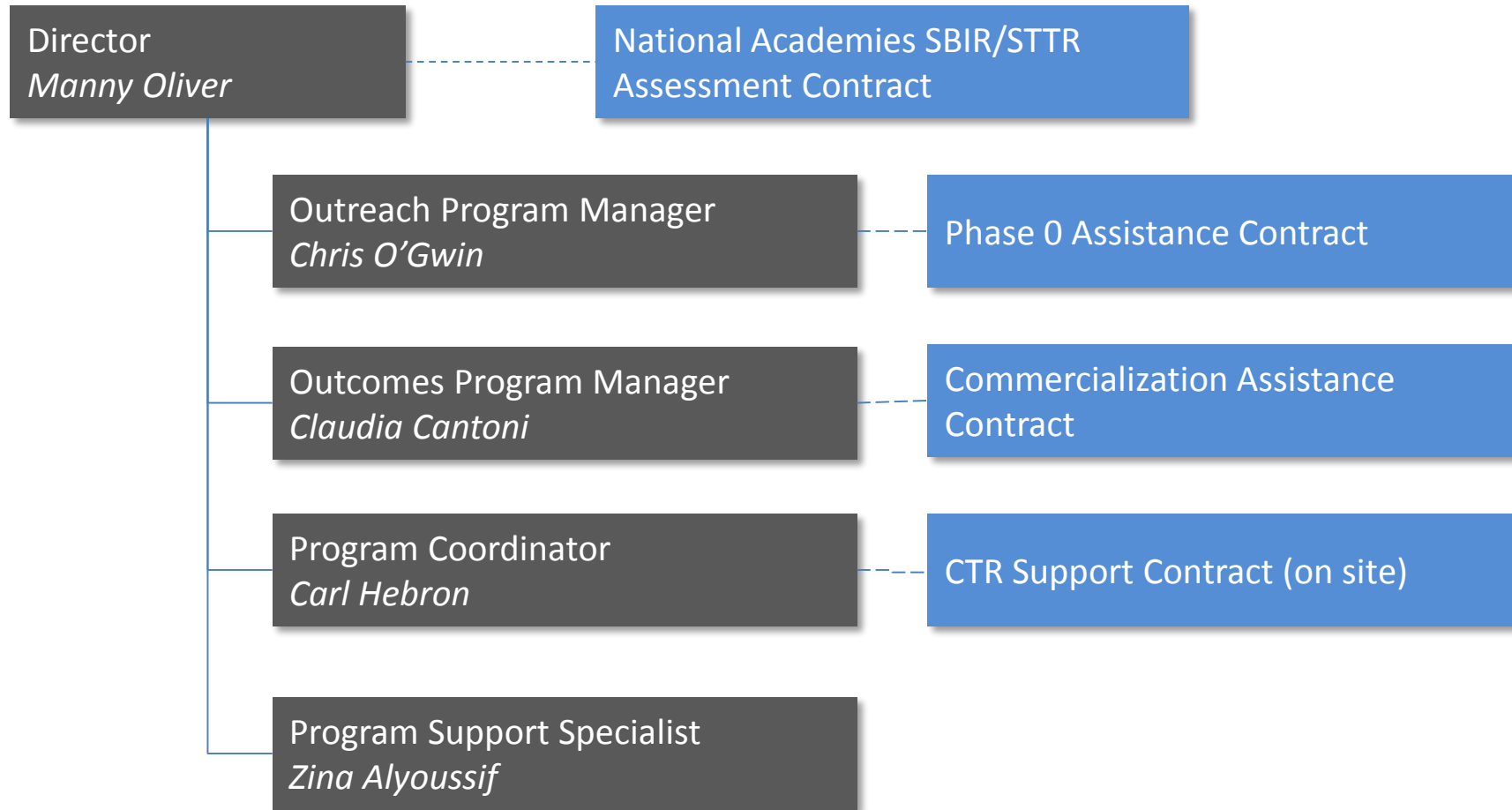
Single Grants Office for Awardees

DOE SBIR/STTR Programs Office

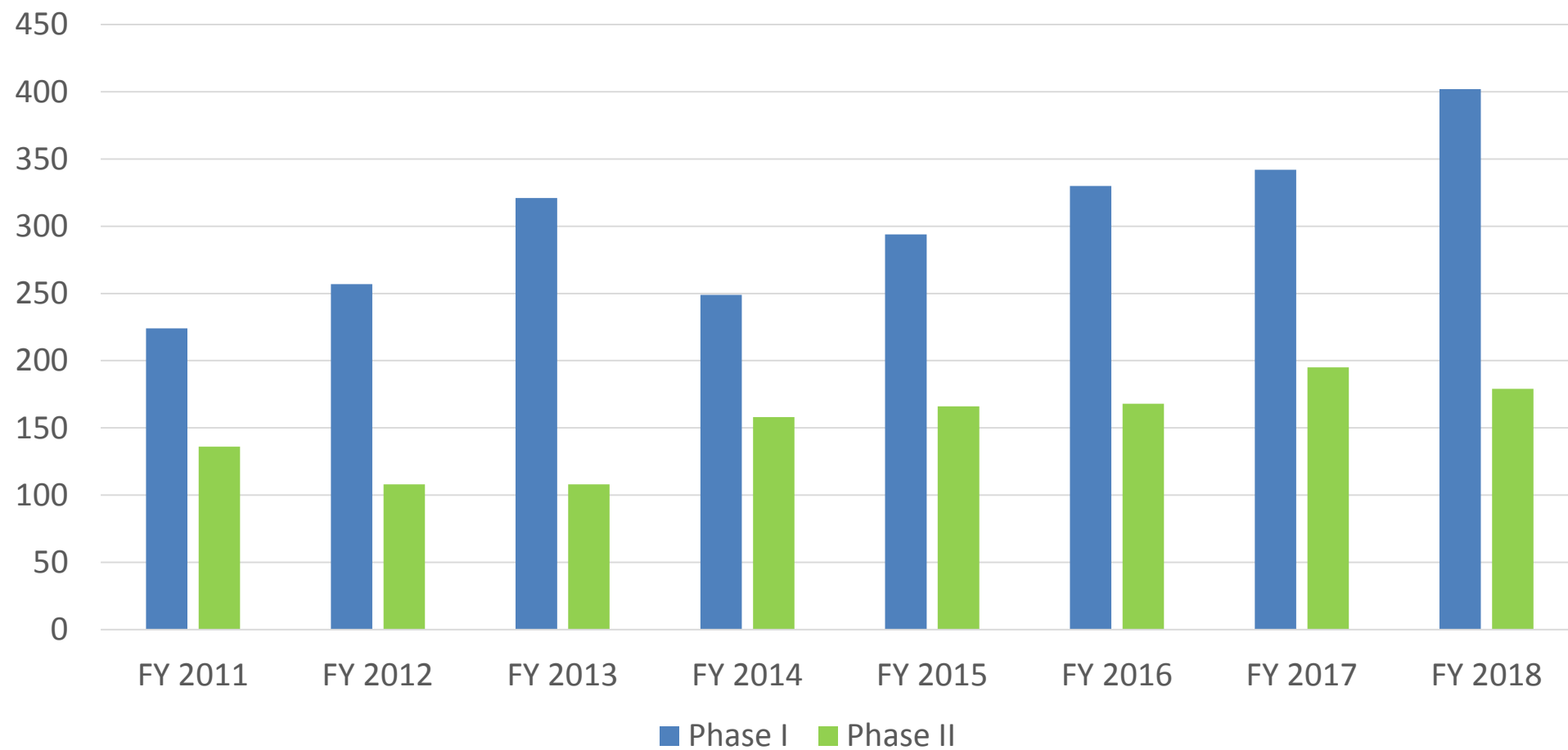
- Develop Funding Opportunity Announcements
- Administer Review and Selection Process
- Ensure Compliance with SBIR/STTR Legislation
- Conduct Outreach

Single Administrative Office for Applicants

DOE SBIR/STTR Programs Office



DOE SBIR/STTR Awards



Your Phase I Grant

- Changes to your project
 - Update your grants specialist (Chicago Office) and technical program manager of important changes and get approval when required!
 - Examples of important changes that require approval
 - a change in approved principal investigator or other key personnel specified in the application of award document
 - any subaward, transfer, or contracting out of substantive program performance under the award, that was not described in the application and funded in the approved award
 - the purchase of real property or equipment, not described in the application and funded in the approved award



Applying for Phase II: FY 2019 Phase II Schedule

Phase II (only Phase I awardees are eligible to apply)

	Release 1	Release 2
FOA Issued	Monday, December 10, 2018	Monday, March 4, 2019
Document		
Webinar(s)		
LOI (Sequential) Due	Monday, January 7, 2019 5:00pm ET	Monday, April 1, 2019 5:00pm ET
Applications Due	Tuesday, January 29, 2019 11:59pm ET	Tuesday, April 23, 2019 11:59pm ET
Award Notification	Monday, April 15, 2019*	Monday, July 8 2019*
Projected Grant Start Date	Tuesday, May 28, 2019	Monday, August 19, 2019

*Preliminary dates subject to change

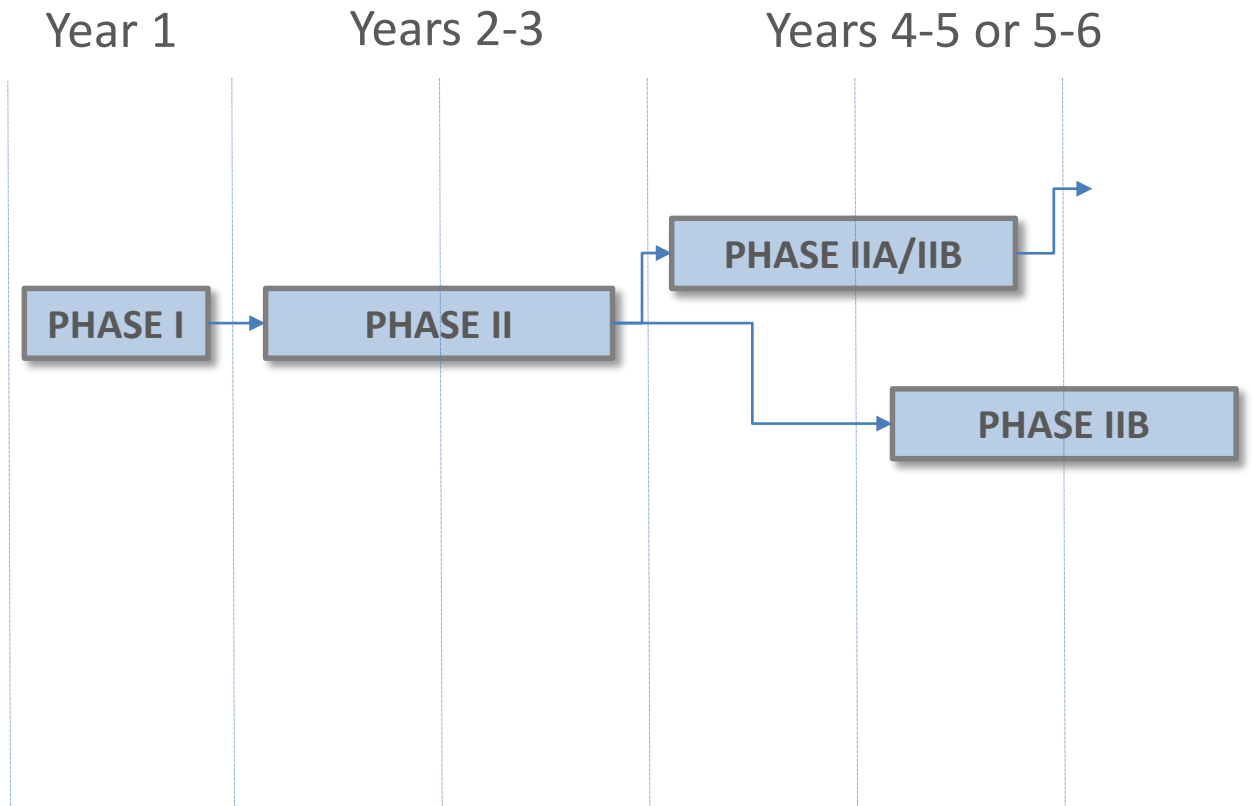


Phase II Application

- Emphasis
 - Phase I awards emphasize novelty and innovation and entail proof of concept research
 - Phase II awards place a greater emphasis on commercial potential and fund prototype and process development
 - Phase II applications require a commercialization plan and ideally include letters of support from prospective partners, investors, or customers
- SBIR, STTR, or Both
 - You can switch programs between Phase I and II
- Success rate
 - Typically 40-50% of Phase I awardees move on to Phase II
- Sequential Phase II
 - About 20% of Phase II awardees receive a second Phase II award from DOE



SBIR/STTR Award Sequence



- **Phase IIA:** For projects requiring more time and funding than available with a single Phase II award to complete prototype or process development
- **Phase IIB:** For projects that have successfully completed prototype or process development and require additional R&D funding to transition an innovation towards commercialization

Pending SBIR/STTR Legislation

- FY 2019 National Defense Authorization Act
 - Has passed House and Senate; when differences resolved will be sent for President for signature
 - Some important SBIR/STTR provisions
 - Reauthorized Administrative funding pilot program
 - Allows DOE to restart its Phase 0 Assistance program for under-represented groups and continue our Phase I Principal Investigator meetings
 - Increases funding available for commercialization assistance
 - Phase I: \$5000 to \$6500
 - Phase II: \$5000/year to \$50,000 per project
 - Mandates that agencies issue a third Phase II award
 - Applicants must have received an initial Phase II and a second Phase II (IIA or IIB)
 - Applicants are required to have 1:1 matching funds



Questions?

- We welcome your feedback on all aspects of the DOE SBIR/STTR programs
 - You can provide anonymous feedback on our website
- DOE staff will be available tomorrow as well for individual meetings

