



DOE SBIR/STTR Programs

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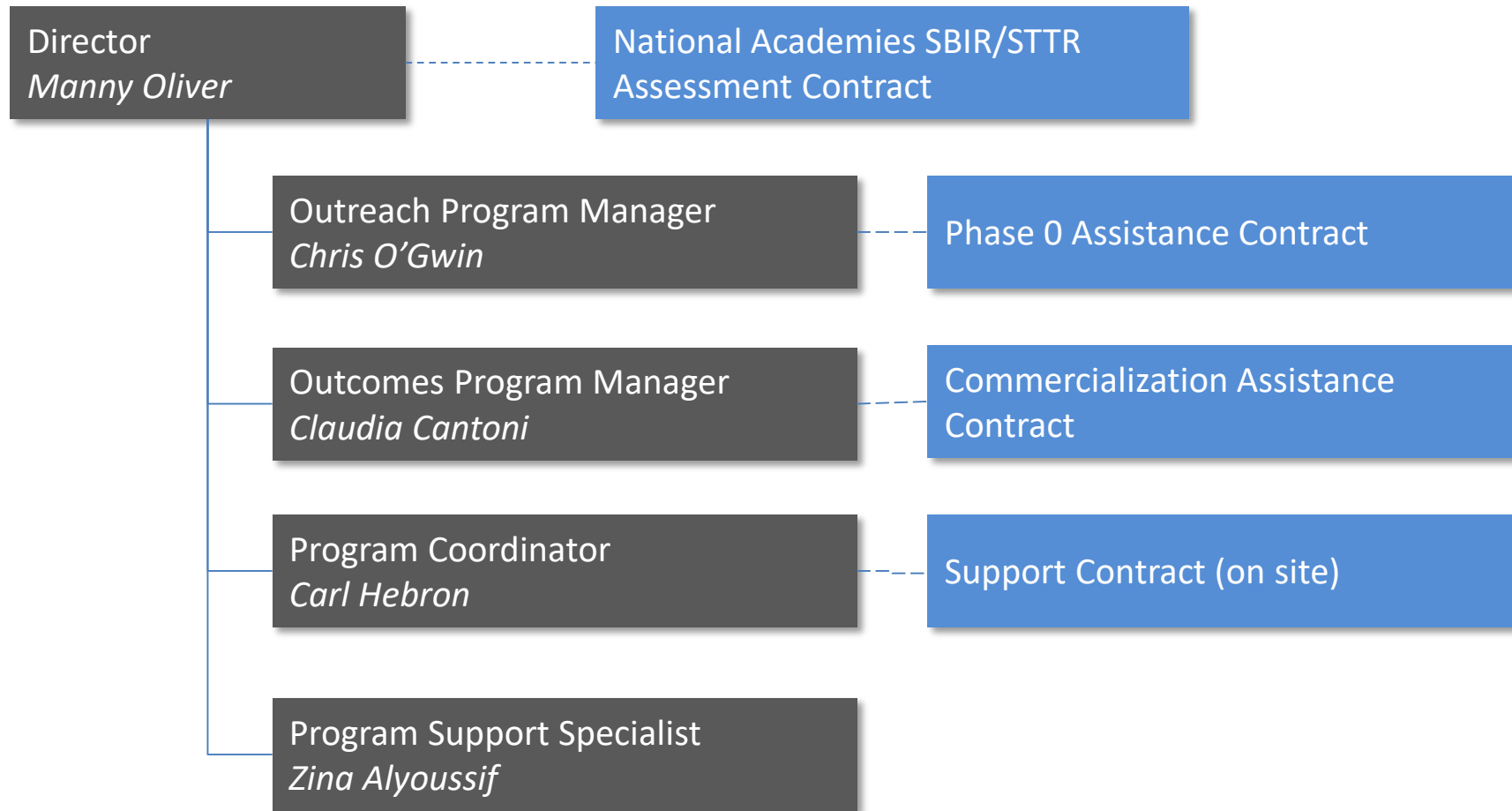
June 11, 2019



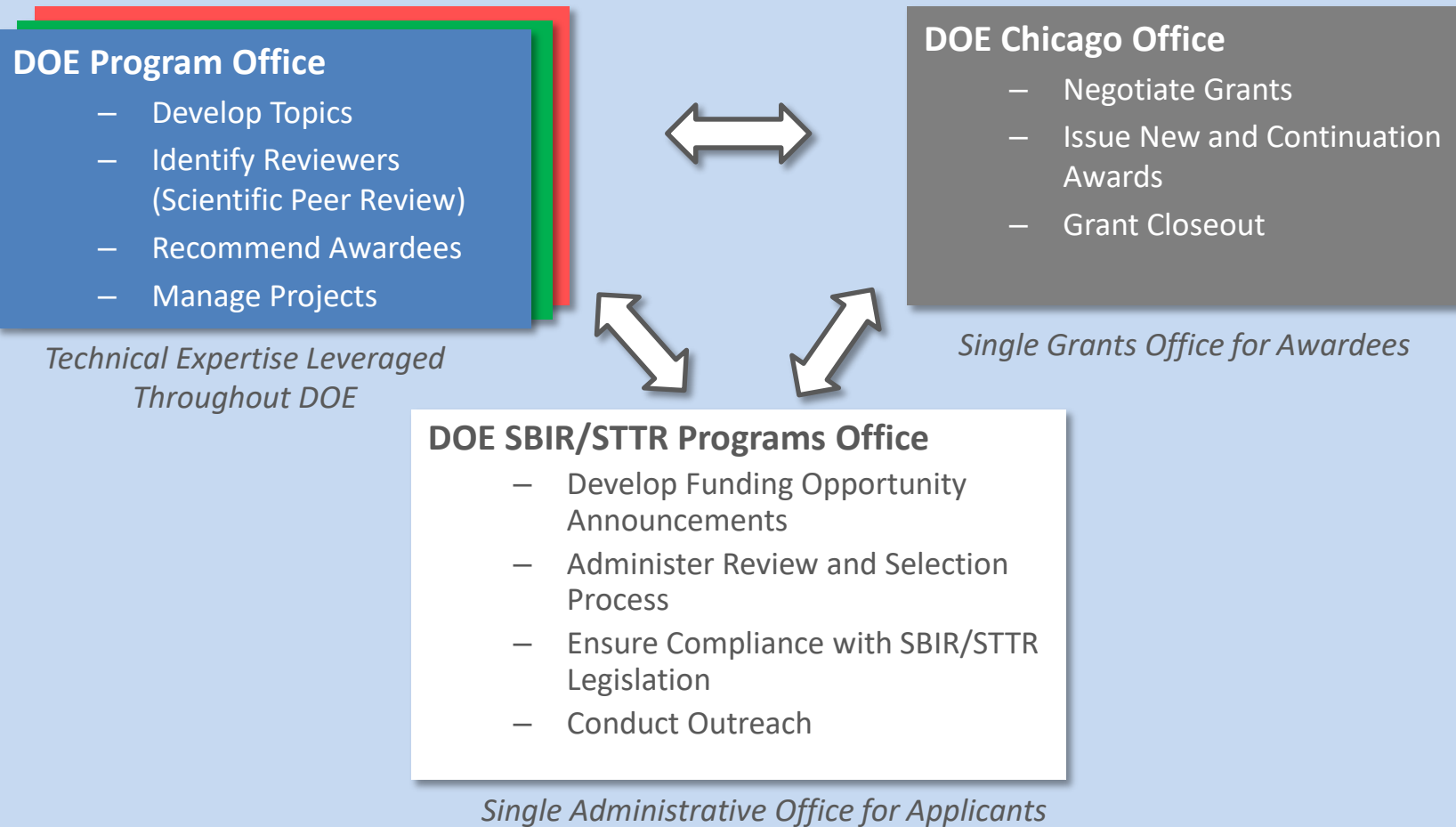
OPERATION OF THE DOE SBIR/STTR PROGRAMS



DOE SBIR/STTR Programs Office



Operation of the DOE SBIR and STTR Programs



Important Points of Contact

- Technical Program Manager
 - Responsible for technical oversight of your award
 - Approves
 - progress and final technical reports
 - requests for no-cost extensions
 - requests to technical changes to your project (e.g. a change in principal investigator)
- Grants Specialist & Contracting Officer
 - Responsible for financial oversight of your award
 - Questions relating to financial reporting and closeout, drawdown of funds, or changes in eligibility
- SBIR/STTR Programs Office
 - Responsible for outreach, administration of Phase I/II application and award process, commercialization outcomes



Requesting Changes to your Phase I Grant

- You were awarded funding based on the proposal you submitted to DOE
- Update your grants specialist 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



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 research and development
 - Phase II applications require a detailed 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



Applying for Phase II: FY 2020 Phase I Schedule

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

	Release 1	Release 2
FOA Issued	Monday, October 21, 2019	Monday, March 2, 2020
Document		
Webinar(s)		
LOI (Sequential) Due	Tuesday, November 12, 2019 5:00pm ET	Wednesday, April 1, 2020 5:00pm ET
Applications Due	Tuesday, December 10, 2019 11:59pm ET	Tuesday, April 21, 2020 11:59pm ET
Award Notification	Monday, February 24, 2020*	Monday, July 6, 2020*
Projected Grant Start Date	Monday, April 06, 2020	Monday, August 17, 2020

*Preliminary dates subject to change

<https://science.osti.gov/sbir/Funding-Opportunities/FY-2020>

No Cost Extensions & Funding Carryover

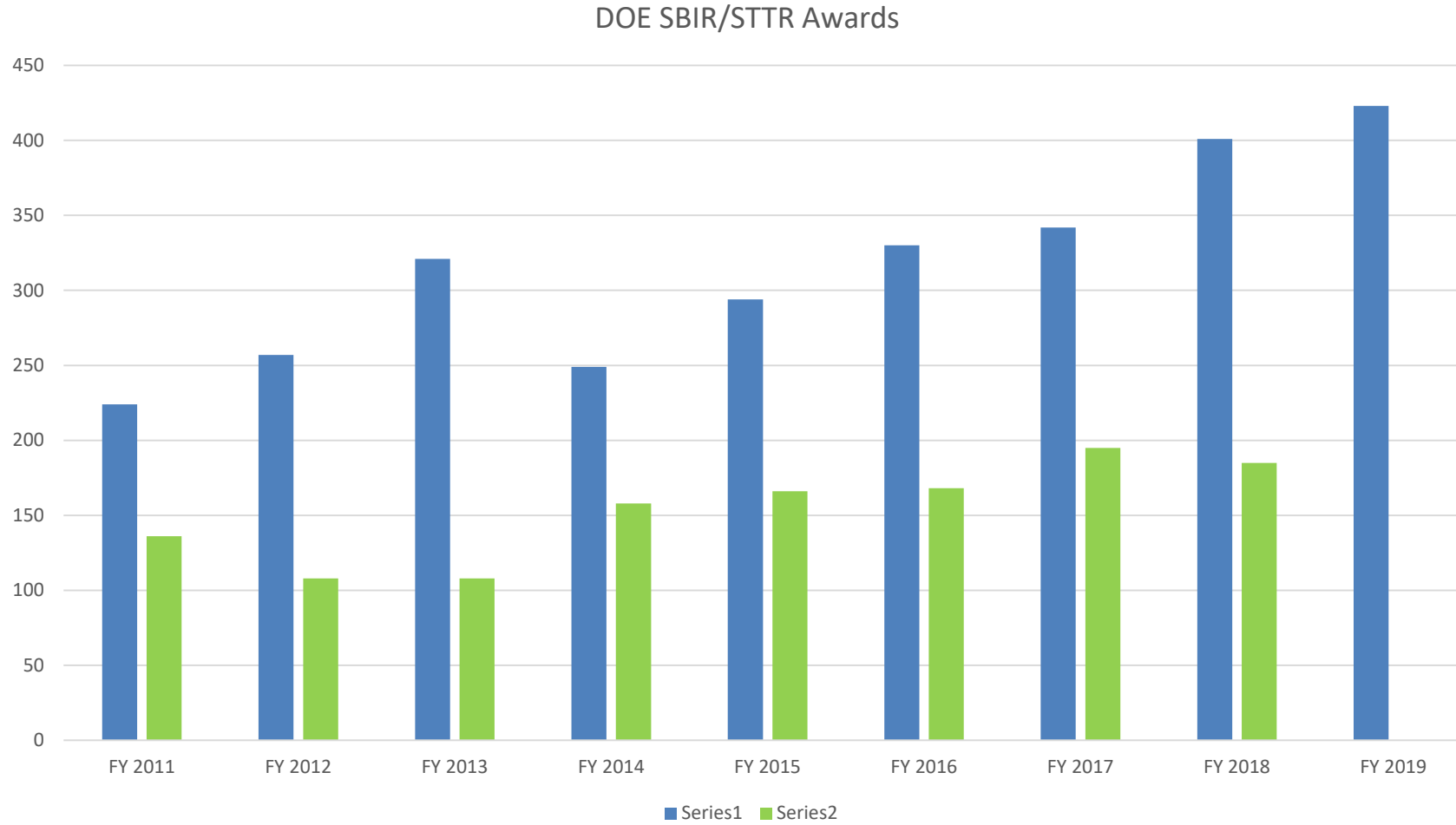
- You can request no cost extensions to your grant to continue R&D beyond the scheduled end date of your grant
 - Not cost extensions are requested through PAMS
 - While you are on a no cost extension, you cannot receive a continuation award
 - FY 2019 Phase I Release 1 awards should not extend beyond February 28, 2020, unless you are not applying for a Phase II award.
- Funding does not carry over between awards
 - You must expend your Phase I funding during your Phase I grant period. It will not carry over to your Phase II grant.



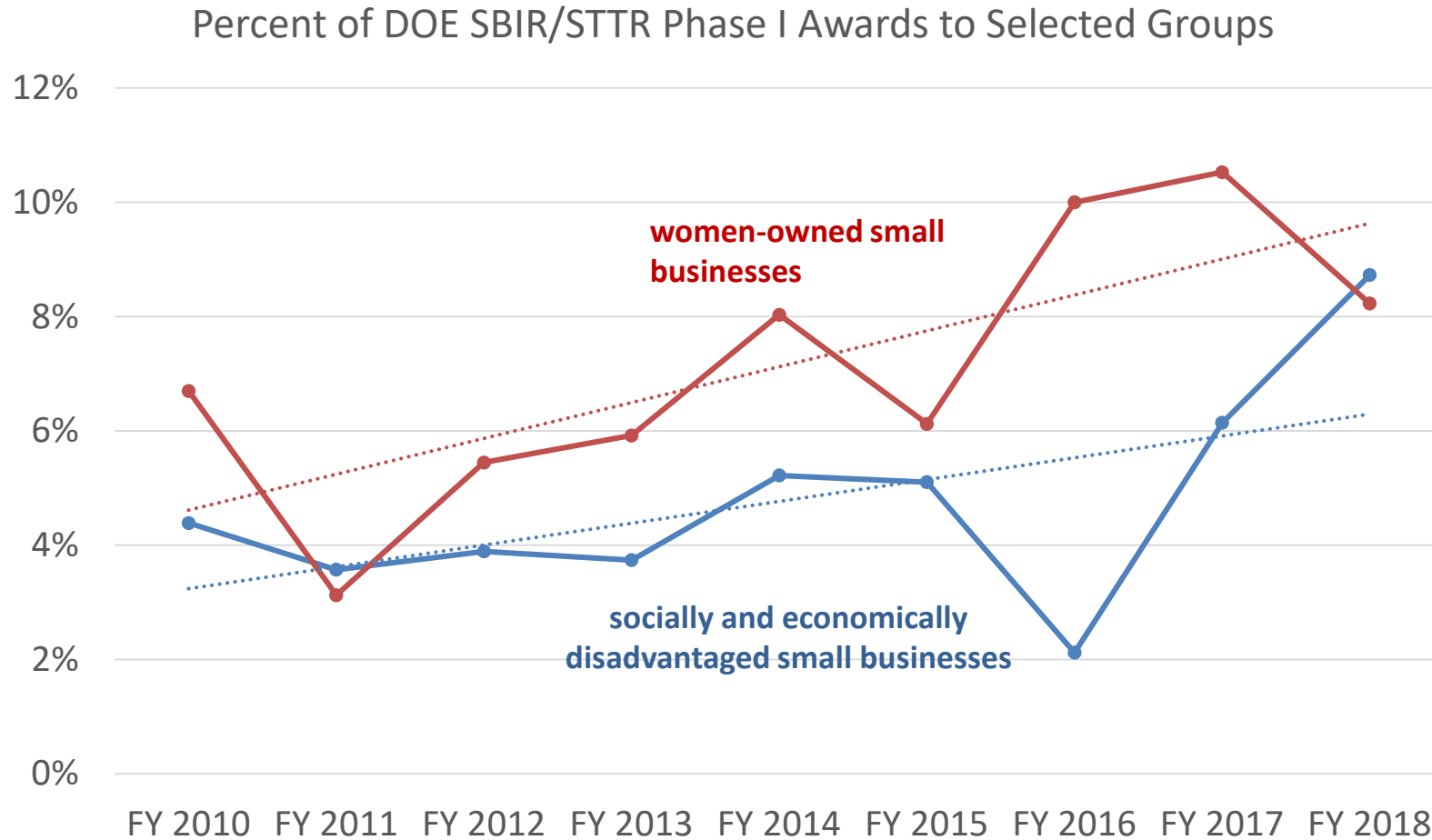
RECENT TRENDS AND CHANGES IN THE DOE SBIR/STTR PROGRAMS



DOE SBIR/STTR Awards



Participation by Under-represented Groups



Revised Awards Amounts

- Award amounts are being revised to adjust for inflation (last increased in 2011)
- Phase I: \$200,000
 - Implemented with FY 2019 Phase I Release 2 FOA
- Phase II: \$1,100,000 or \$1,600,000, varies by topic
 - Implemented with FY 2020 Phase II Release 2 FOA
 - FY 2020 Phase II Release 1 will remain at \$1,000,000 or \$1,500,000
- Phase IIA, IIB, or IIC: \$1,100,000
 - Implemented with FY 2019 Phase II Release 2 FOA



Revised Commercialization Assistance

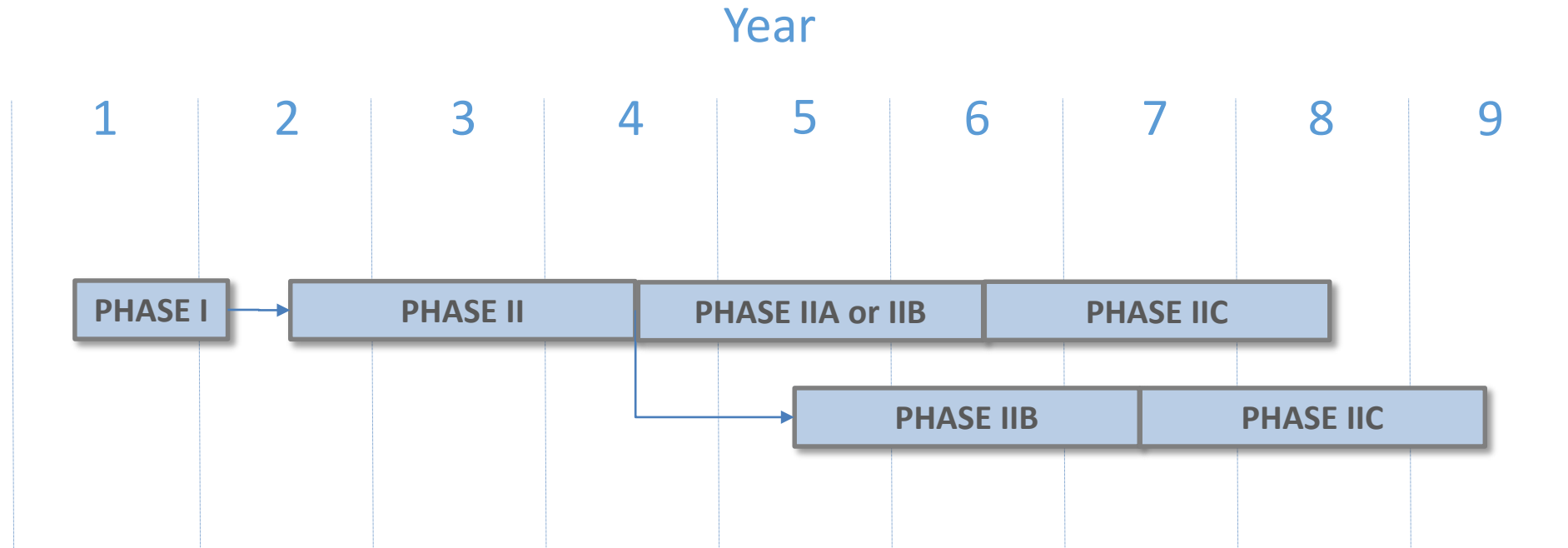
- Congress increased amounts available for commercialization assistance in the FY 2019 NDAA passed in August 2019 and required annual reporting on the use of these funds
- DOE implemented this change in all FY 2019 FOAs
 - Phase I: \$6,500
 - Phase II: \$50,000
- This assistance can only be used for third party vendors and cannot be expended by the small business
- Reporting on your use of commercialization assistance
 - Phase I: final technical report
 - Phase II: 9 month progress report and every 12 months thereafter; final technical report

New Third SBIR Phase II Award

- Congress required agencies issuing second Phase II awards to provide the opportunity to apply for third SBIR Phase II awards
 - Pilot program through 2022
- DOE implemented this requirement in FY 2019 Phase II Release 2 FOA. The third Phase II awards is designated Phase IIC
- Similar to Phase IIB, emphasis is on R&D required to transition to commercialization
 - Eligibility requires prior receipt of DOE SBIR Phase II and SBIR Phase IIA or IIB
 - Requires matching funds from third party investor(s)
 - Investment must be in the form of cash or case equivalent
 - Third party investor(s) cannot be existing owners of the firm



DOE Award Timeline



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

New Website

- DOE is modifying its website
- There are now two home pages for the DOE SBIR/STTR Programs
 - <https://science.energy.gov/sbir/> (targeted at the general public)
 - <https://science.osti.gov/sbir> (use this one—it's similar to our previous website)
- Both websites will be undergoing modification/updates in the coming months



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

