



# *DOE SBIR/STTR Programs*

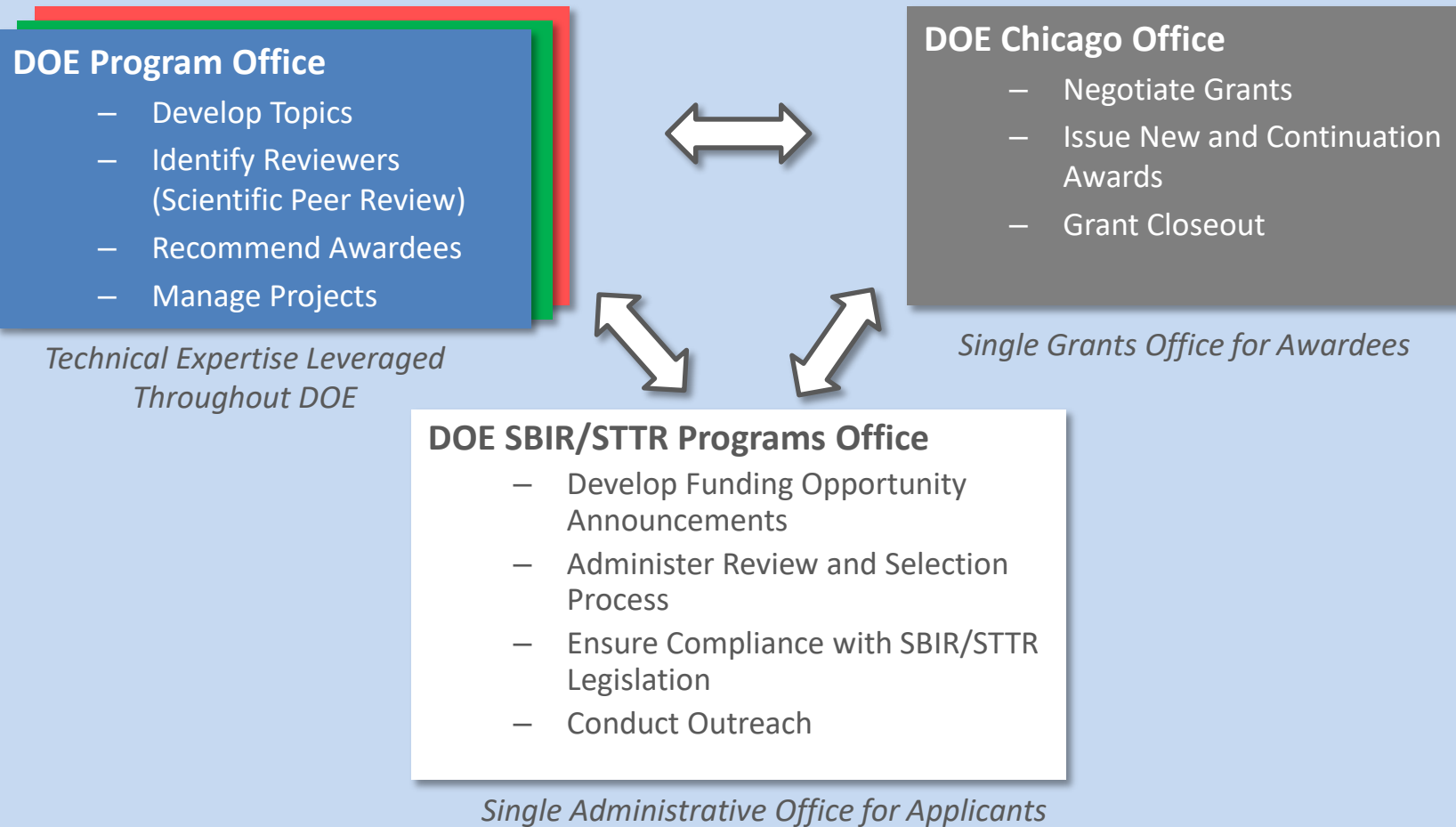
Manny Oliver

Director, SBIR/STTR Programs Office

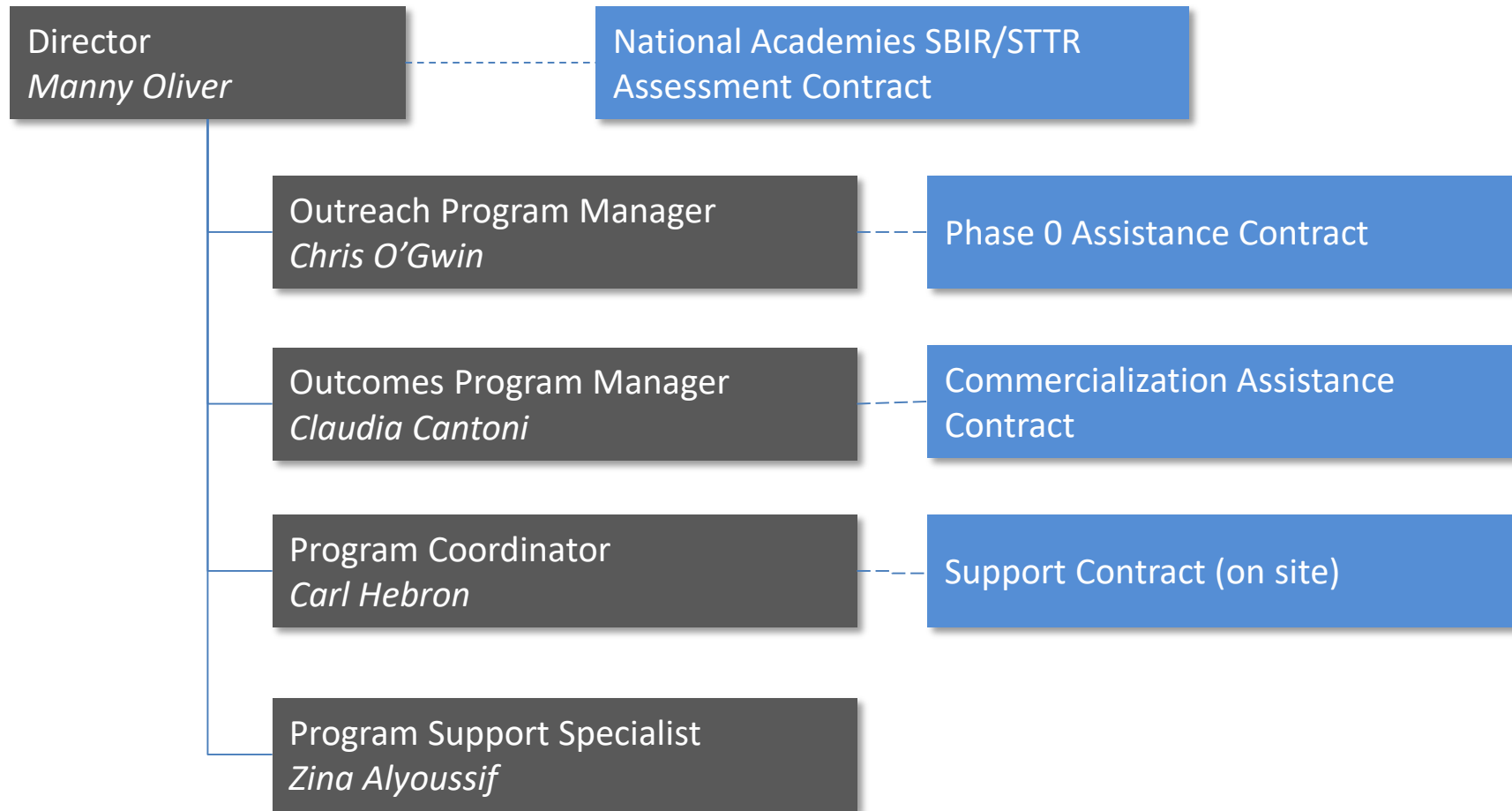
[manny.oliver@science.doe.gov](mailto:manny.oliver@science.doe.gov), (301) 903-0309

*December 3, 2018*

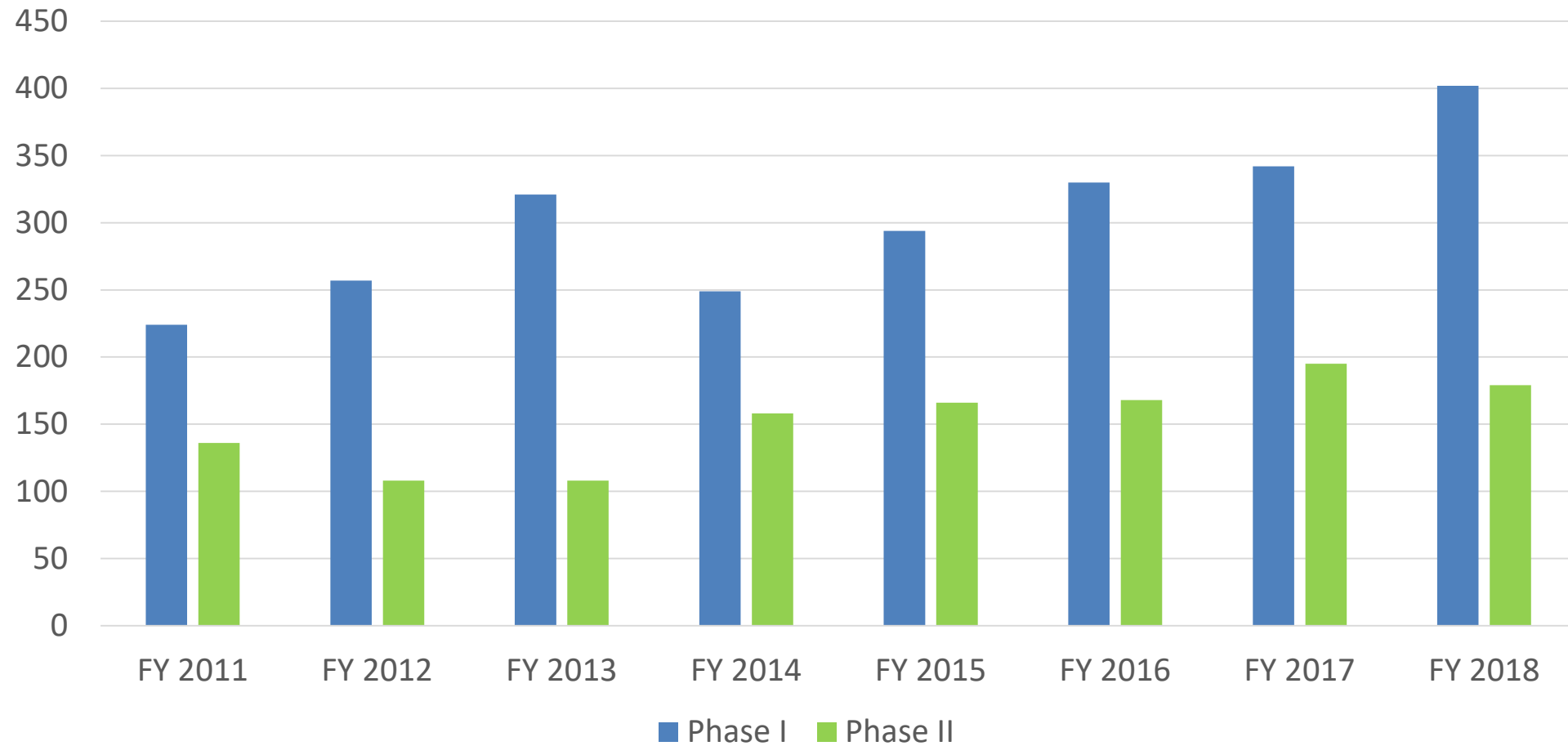
# Operation of the DOE SBIR and STTR Programs



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

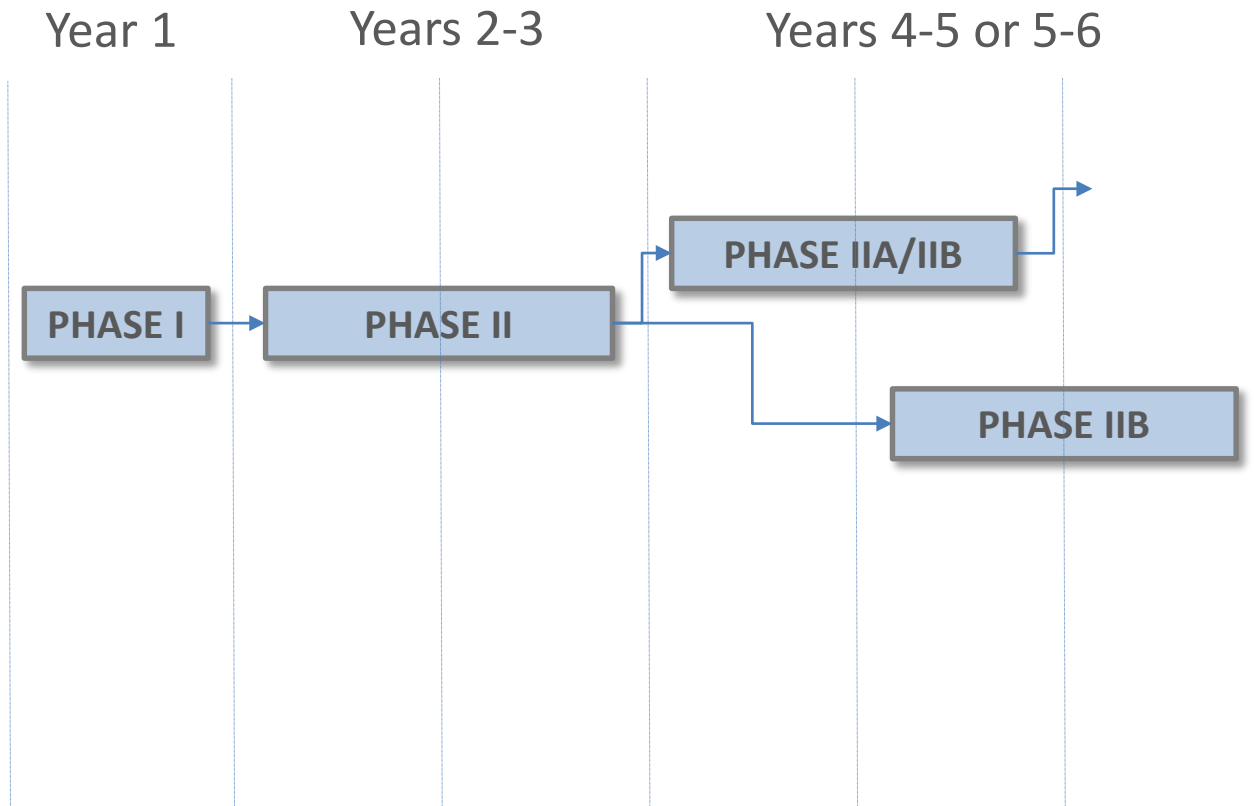
\*Preliminary dates subject to change

# 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



# Recent SBIR/STTR Legislation

- FY 2019 National Defense Authorization Act (enacted August 13, 2018)
  - Reauthorized Administrative funding pilot program
  - Changes to technical and business assistance
  - Authorized and mandated a third Phase II award



# Administrative Funding Pilot Program

- Extended through September 30, 2022
- Allows DOE to restart its Phase 0 Assistance program
  - Has been expanded to include all first time applicants
    - Initiated with FY 2019 Phase I Release 2
- Allows DOE to continue to hold Phase I Principal Investigator meetings



# Technical and Business Assistance

- DOE has traditionally referred to this as Commercialization Assistance
- Vendors
  - Agencies may use 1 or more commercialization assistance vendors (previously limited to 1)
  - Small businesses may use 1 or more commercialization assistance vendors (previously limited to 1)
- Amount of Assistance
  - Maximum allowable Phase I assistance is increased from \$5,000 per year to \$6,500 per year
  - Maximum allowable Phase II assistance is increased from \$5,000 per year to \$50,000 per project. Agencies have the discretion to determine whether this amount is included in the award or over and above the award amount when the small business selects their own vendor(s).
- Reporting
  - Small businesses must report annually on the result of their commercialization assistance in their existing reports to the agency
- Implementation
  - DOE has increased the Phase I Commercialization Assistance to \$6500 beginning with FY 2019 Phase I Release 1
  - DOE plans to increase the Phase II Commercialization Assistance beginning with the FY 2019 Phase II Release 1 (issues December 10, 2018).

# Third Phase II Award (SBIR only)

- New mandated SBIR pilot program
  - Must be implemented within one year of becoming law
  - Must terminate by September 30, 2022
  - No more than 5% of the SBIR program funds can be awarded
- Eligibility
  - Small businesses must have received an SBIR Phase II award and a second SBIR Phase II award to receive a third Phase II award
  - Small businesses must receive matching funds from a third party investor (1:1 minimum)
- Rollout
  - DOE plans to implement this in its FY 2019 Phase II Release 2 FOA



# 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

