# SBIR & STTR – Applying to DOE

PHASE I APPLICATIONS

APIOiX
Innovation Transfer

# About SBIR/STTR Assistance

The Nevada Governor's Office of Economic Development provides assistance to companies in the preparation and submission of SBIR/STTR proposals

The goal is to increase the number of proposals submitted and grants awarded under the SBIR/STTR program to Nevada technology-based small businesses

APIO Innovation Transfer (APIOiX) works in partnership with UNLV's SAGE program (https://www.unlv.edu/econdev/sagesouth) to assist technology-based small businesses (https://apioix.com/sbir-assistance)

- Assessment of the business concept
- Guidance for registration of the company
- Review and input on project pitches and proposals
- Assistance in submitting the proposals

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# About APIOiX

## Programs, Services, and Solutions to Accelerate Innovation Ecosystems

APIOiX accelerates innovation through business development, training, and technical assistance to innovators and inventors at universities, small businesses, and government entities across the globe.

# Eligibility for SBIR/STTR Funding

"America's Seed Fund"

Technology based

Diverse portfolio

Commercial application

Non-dilutive funding

STTR requires partnership with a research institute

The Nation's largest source of early stage/high risk funding for start-ups and small business

- In the words of program founder Roland Tibbetts: "to provide funding for some of the best early-stage innovation ideas; ideas that, however promising, are still too high risk for private investors, including venture capital firms."

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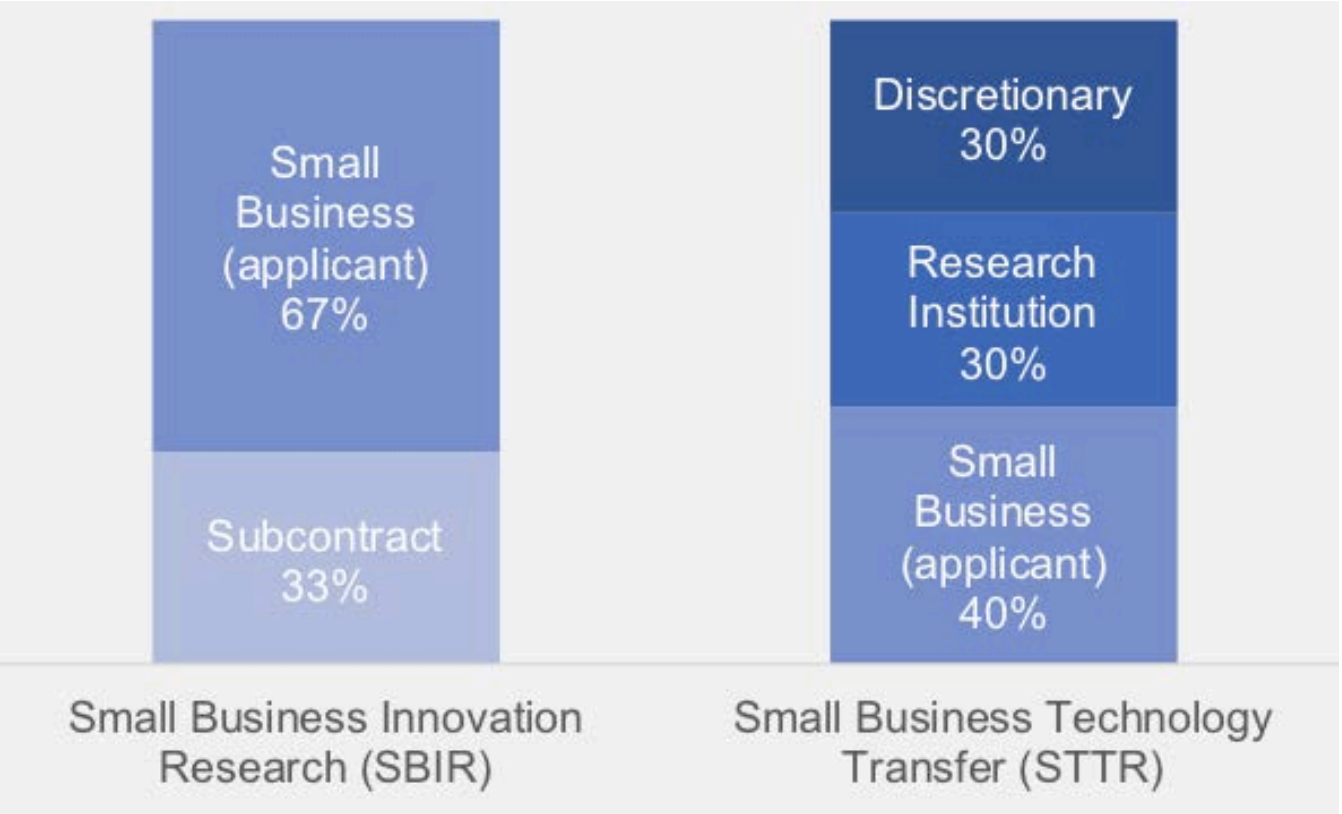
# Small Business Technology Transfer Program (STTR)

An STTR project requires the small business, to be teamed with a non-profit research institution

- The applicant is always the small business
- However, the PI for the project can be from the research institution
- The small business and the research institutions must be US based
- The narrative should clearly state what work is done where
- Each entity will need their budgets and budget justifications entered separately



# Preparing your Company

| Incorporate (LLC is most common followed by "C" Corp.) | | | | | |
|---|---|---|---|---|---|
| **Apply for and obtain EIN** | | | | | |
| **Register in SAM.gov and obtain UEI (Unique Entity ID) - https://www.sbir.gov/sites/default/files/Company_Registration_Guide.pdf** | | | | | |
| ADDITIONAL REQUIRED REGISTRATIONS AND SUBMISSIONS | | | | | |
| | NASA | HHS | NSF | DOE | DOD/DARPA |
| Electronic Handbook (EHB) | | | | | |
| eRA Commons | | | | | |
| GRANTS.gov | | | | | |
| NSF Fastlane | | | | | |
| Portfolio Analysis and Management System (PAMS) | | | | | |
| FEDCONNECT.gov | | | | | |
| Funding Accountability and Transparency ANCT Subaward Reporting System | | | | | |
| DOD Submission Website | | | | | |

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# Preparing your Company – Common Errors

Find the right FOA / study section

Find the right instructions

- The FOA and associated guide need to be followed
- Forms may vary from one FOA to another
- Follow font and margin requirements
- Biosketch format needs to be followed

Upload the right documents to the right place

Ensure that all required documents are included

# Preparing your Company – General Tips

SBIR/STTR awards are not academic grants

Eligible to receive award

Product definition – unfulfilled need/customer/market

Right team to develop the product

Resources and time to write the proposal
- Be prepared for writing (150 to 450 hours of work) – Success rate is about 15%

Fits the business objectives

Fit with a specific funding opportunity announcement (FOA)
- Understand the goals of the program/solicitation and the review criteria
- Talk to agency program managers

Phase I or Phase II or Fast Track

# Department of Energy – SBIR/STTR

**DOE's Mission is to ensure America's security and prosperity by addressing its energy, environmental, and nuclear challenges through transformative science and technology solutions.**

**Goal 1**: Catalyze the timely, material, and efficient transformation of the nation's energy system and secure U.S. leadership in energy technologies.

**Goal 2**: Maintain a vibrant U.S. effort in science and engineering as a cornerstone of our economic prosperity, with clear leadership in strategic areas.

**Goal 3**: Enhance nuclear security through defense, nonproliferation, and environmental efforts.

# Department of Energy – SBIR/STTR

Funding is in the form of grants (not contracts)

Projects must be commercializable and meet DOE mission-specific R&D needs

Research topics are developed by DOE technical program managers

More than sixty technical topics and 250 subtopics

[DOE SBIR/STTR Program Details]

**Program Offices Participating in the DOE SBIR/STTR Programs**

- Cyber Security, Energy Security & Emergency Response
- Electricity
- Energy Efficiency & Renewable Energy
- Fossil Energy
- Nuclear Energy
- Advanced Scientific Computing Research
- Basic Energy Sciences
- Biological & Environmental Research
- Fusion Energy Sciences
- High Energy Physics
- Nuclear Physics
- Defense Nuclear Nonproliferation
- Environmental Management

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# DOE – SBIR/STTR Phases

## Phase I: Feasibility, Proof of Concept

- Award Amount: $171,053 ($256,580 Max)
- Duration: 6 - 12 months

## Phase II: Continue Development

- Award amount: $1,140,354 ($1,710,531 Max)
- Duration: Two years (additional Phase II awards possible)

## Phase III: Commercialization

- Non SBIR/STTR federal funds, private funds
- No time limit

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# Commercialization Assistance (TABA)

Funds (beyond the funds for R&D) are provided to assist with commercialization efforts

- Phase I: $6,500
- Phase II: $50,000

Companies can select their own vendors to provide assistance or use a vendor that is funded directly by DOE

# DOE – SBIR/STTR Funding Opportunities

[DOE Funding and Dates]

U.S. DEPARTMENT OF ENERGY | Office of Science

Search

Home | About | Laboratories | Science Features | Universities | User Facilities | Funding | Initiatives | Programs

Home | Programs | Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) | Funding Opportunities

About
Funding Opportunities
Closed FOAs
Applicant Resources
Awardee Resources
Frequently Asked Questions
Partnering Resources
Research Areas & Impact
Awards
SBIR/STTR Phase III Success Stories
Outreach & Events
Reporting Fraud

**Contact the DOE SBIR/STTR Programs Office**

**Address**

U.S. Department of Energy
SC-29/Germantown Building
1000 Independence Ave., SW
Washington, DC 20585

**Phone**

Tel(301) 903-5707
Fax(301) 903-5488

**Email**

Send us a message

sbir-sttr@science.doe.gov

## Funding Opportunities

| Fiscal Year | | |
|---|---|---|
| FY24 (Future) | **FY23 (Current)** | FY22 (Closed) |

## 2023

| Phase I | Release 1 | Release 2 |
|---|---|---|
| **Topics Issued** | Monday, July 11, 2022 | Monday, November 7, 2022 |
| Document | Phase I Release 1 Topics | |
| Phase 0 Application Assistance (free for first time applicants) starts | Monday, July 11, 2022 | Monday, November 7, 2022 |
| Topic Webinar, week of | Webinar 1: Topics 1-15 Slides<br>Webinar 2: Topics 16-24 Slides | Monday, November 14, 2022* |
| **FOA Issued** | Monday, August 8, 2022 | Monday, December 12, 2022 |
| Document | DE-FOA-0002783 | |
| FOA Webinar | Friday, August 12, 2022 Slides | Friday, December 16, 2022* |
| **Letters of Intent (LOI) Due** | Monday, August 29, 2022 5:00pm ET | Tuesday, January 3, 2023 5:00pm ET |
| **Non-responsive LOI Feedback Provided** | Monday, September 19, 2022 | Tuesday, January 24, 2023 |
| **Full Applications Due** | Monday, October 17, 2022 11:59pm ET | Tuesday, February 21, 2023 11:59pm ET |
| Award Notification | Tuesday, January 10, 2023** | Monday, May 15, 2023** |
| Projected Grant Start Date | Tuesday, February 21, 2023 | Monday, June 26, 2023 |
| Awardee Webinar, week of | March 3, 2023 | July 10, 2023 |
| Energy I-Corps Kickoff | April 2023 | September 2023 |
| Principal Investigator Meeting | June 2023 | October 2023 |

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# DOE SBIR/STTR Funding Opportunity Announcement

**DEPARTMENT OF ENERGY (DOE)**
**SMALL BUSINESS INNOVATION RESEARCH (SBIR)**
**SMALL BUSINESS TECHNOLOGY TRANSFER (STTR)**

**FY 2021 PHASE I RELEASE 1**

**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER:**
**DE-FOA-0002359**
**FOA TYPE: NEW**
**CFDA NUMBER: 81.049**

**AMENDMENT 000001:**
**Pages 4 & 5 Added Leaders to Table of Contents**
**Page 38 Updated Current and Pending Support**
**AMENDMENT 000002:**
**Page 27 Updated Required Documents Table**
**Pages 9, 28 &53 Corrected Grant Start Date**

| | |
|---|---|
| **FOA Issue Date:** | **August 24, 2020** |
| **Submission Deadline for Letters of Intent:** | **Tuesday, September 8, 2020, 5:00 PM Eastern Time** |
| **Submission Deadline for Pre-Applications:** | **N/A** |
| **Pre-Application Response Date:** | **N/A** |
| **Submission Deadline for Applications:** | **Monday, October 19, 2020, 11:59 PM Eastern Time** |

**DEPARTMENT OF ENERGY (DOE)**
**SMALL BUSINESS INNOVATION RESEARCH (SBIR)**
**SMALL BUSINESS TECHNOLOGY TRANSFER (STTR)**

**FY 2021 PHASE II RELEASE 1**

**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER:**
**DE-FOA-0002380**
**ANNOUNCEMENT TYPE: INITIAL**
**CFDA NUMBER: 81.049**

**AMENDMENT 000001:**
**Page 6 Corrects Phase IIA Eligibility**
**Pages 63-65 Amended Diversity Supplements**

| | |
|---|---|
| **FOA Issue Date:** | **October 22, 2020** |
| **Submission Deadline for Letters of Intent:** | **Tuesday, December 8, 2020 5:00 PM Eastern** |
| **Submission Deadline for Pre-Applications:** | **N/A** |
| **Pre-Application Response Date:** | **N/A** |
| **Submission Deadline for Applications:** | **Tuesday, January 5, 2021 11:59 PM Eastern** |

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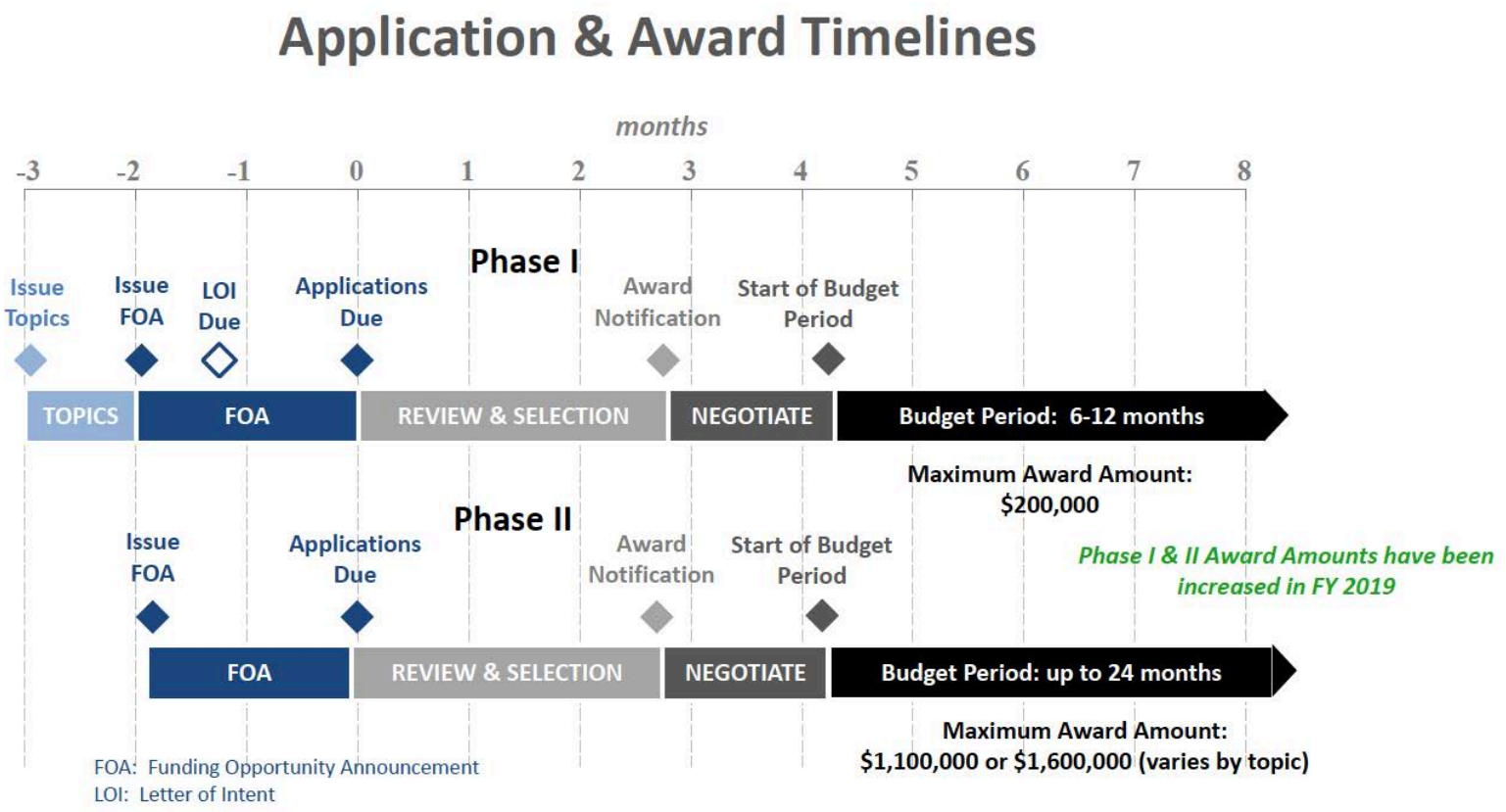
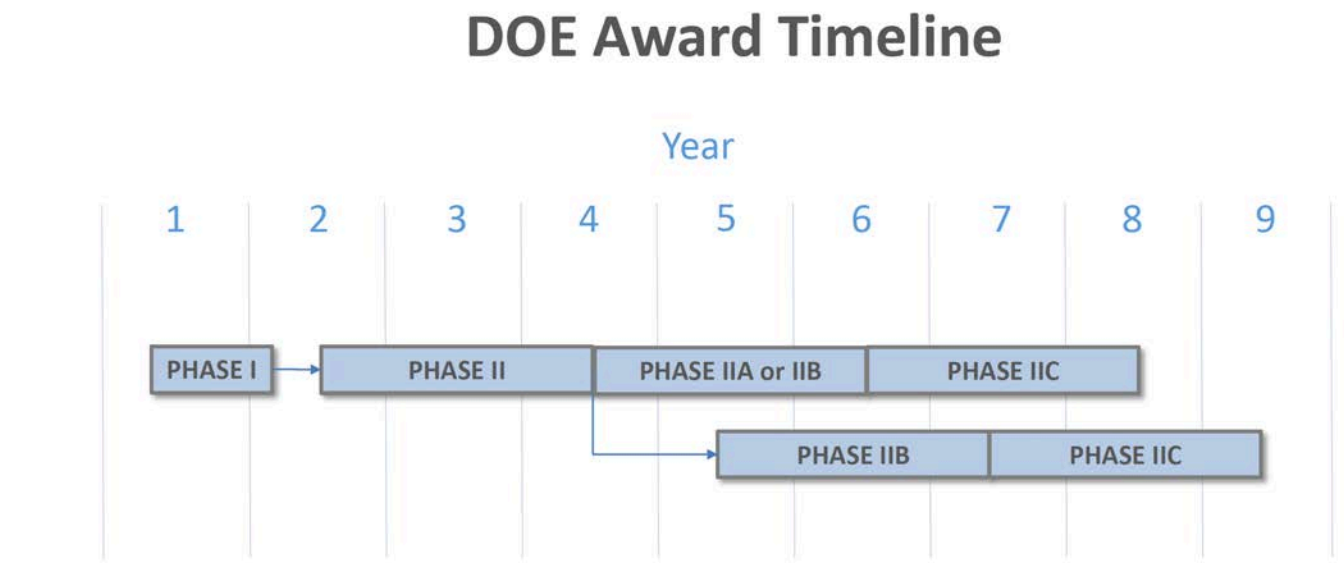
# DOE – SBIR/STTR Funding Opportunities

Table of Contents

# DOE SBIR/STTR Funding Opportunity Announcement



# DOE SBIR/STTR Awards




**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

**Phase IIC:** Pilot program to leverage matching funds for commercialization

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# DOE SBIR/STTR Funding Opportunity Announcement

Phase I grants resulting from this competition will be made during FY 2021 to small businesses with maximum award sizes between $200,000 and $250,000. Refer to the individual topic for its respective maximum award size (a proposal submitted that exceeds the maximum award size for the respective topic will be declined without review). The period of performance will depend on the scope of the effort but will not exceed 12 months. Please note that the Phase II grant application will be due approximately 9.5 months after the grant start date. This will be the only opportunity to submit a Phase II application for Phase I awards made under this FOA. Grantees that select a Phase I period of performance of 9 months or less will be able to complete their Phase I project prior to submission of their Phase II grant application. Grantees that select a Phase I longer than 9 months will be able to continue R&D after their Phase II application is submitted but will not be able to utilize these results in the preparation of their Phase II application.

The grant application should concentrate on research that will contribute to proving scientific or technical feasibility of the approach or concept. Success in a DOE Phase I is a prerequisite to further DOE support in Phase II.

**Only awardees issued Phase I grants under this FOA are eligible to submit a Phase II application under the corresponding FY 2022 Phase II FOA, i.e., FY 2022 Phase II Release 1.**

Approximately 40% of Phase I awardees submitting a Phase II application will receive a Phase II award. Instructions and eligibility requirements for submitting Phase II grant applications will be posted at a later date on the internet at https://www.grants.gov/.

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# DOE SBIR/STTR Funding Opportunity Announcement

Package information https://www.grants.gov/

Submit a letter of intent (one per proposal, limits on number of LOIs)

One proposal → One Topic (duplicate applications or substantially similar applications will be rejected even if submitted to different topics or subtopics

Need a Portfolio Analysis and Management System (PAMS) Account

https://pamspublic.science.energy.gov/

Commercialization plans are required for Phase I and Phase II

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# DOE SBIR/STTR Topics Announcement

**U.S. Department of Energy**

**Small Business Innovation Research (SBIR) and**
**Small Business Technology Transfer (STTR) Program**

**Topics**
**FY 2021**
**Phase I**
**Release 2**

**Version 2, November 19, 2020**

- Office of Cybersecurity, Energy Security, and Emergency Response
- Office of Defense Nuclear Nonproliferation
- Office of Electricity
- Office of Energy Efficiency and Renewable Energy
- Office of Environmental Management
- Office of Fossil Energy
- Office of Fusion Energy Sciences
- Office of High Energy Physics
- Office of Nuclear Energy

**Schedule**

| Event | Dates |
|---|---|
| Topics Released: | Monday, November 9, 2020 |
| Funding Opportunity Announcement Issued: | Monday, December 14, 2020 |
| Letter of Intent Due Date: | Monday, January 04, 2021 |
| Application Due Date: | Monday, February 22, 2021 |
| Award Notification Date: | Monday, May 17, 2021* |
| Start of Grant Budget Period: | Monday, June 28, 2021 |

*** Date Subject to Change**

**Table of Changes**

| Version | Date | Change |
|---|---|---|
| Ver. 1 | Nov. 09, 2020 | Original |
| Ver. 2 | Nov. 19, 2020 | • Topic 13, subtopic c: Updated Technical Point of Contact<br>• Topic 20, subtopic c: Updated Technical Point of Contact<br>• Topic 20, subtopic d: Updated Technical Point of Contact<br>• Topic 20, subtopic e: Updated Technical Point of Contact<br>• Office of Nuclear Energy: Updated Program Overview |

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# DOE – TOPICS Example

- Topic & Subtopic – Specify the topic and subtopic in your letter of intent and application
- Topic Header – Lists the maximum award amounts for Phase I & Phase II and whether SBIR & STTR applications are accepted
- Program Manager – Each subtopic lists the responsible DOE program manager
- Other Subtopic
- References

**10. BIOENERGY**

| | |
|---|---|
| Maximum Phase I Award Amount: $200,000 | Maximum Phase II Award Amount: $1,100,000 |
| Accepting SBIR Phase I Applications: YES | Accepting STTR Phase I Applications: YES |

The Bioenergy Technologies Office (BETO) has a mission to help transform the Nation's renewable and abundant biomass resources into cost-competitive, high-performance biofuels, bioproducts, and biopower. BETO is focused on forming partnerships with key stakeholders to develop technologies for advanced biofuels production from lignocellulosic and algal biomass as well as waste resources. In FY 2021, BETO is focusing on broadening participation-related topics (see below).

All applications to this topic must:

- Include projections for price and/or performance improvements that are tied to a baseline (i.e. MYPP and/or state of the art products or practices);
- Propose a tightly structured program which includes technical milestones that demonstrate clear progress, are aggressive but achievable, and are quantitative;
- Explicitly and thoroughly differentiate the proposed innovation with respect to existing commercially available products or solutions;
- Include a preliminary cost analysis;
- Provide a path to scale up in potential Phase II follow on work;
- Fully justify all performance claims with thoughtful theoretical predictions or experimental data; and
- Be based on sound scientific principles (i.e. abides by the law of thermodynamics).

Grant applications are sought only in the following subtopics. Please note that while proposals are being requested in these subtopics, distribution of awards across these subtopics will be based on the quantity and quality of proposals received.

Note: In addition to the subtopics below, BETO is considering proposals in response to Topic 11 - Joint Topic: Polymers Upcycling and Recycling.

**a. Small Business Bioenergy Technologies Increasing Community Partnerships**

This subtopic encourages submission of innovative research proposals from bioenergy small businesses to develop a community-scale preliminary design package of their products and/or processes and engage community stakeholders to assess desirability and feasibility of the small business' proposed design.

Bioenergy feedstock development and deployment can strengthen economic growth, national energy security, and environmental benefits through optimizing domestic biomass resources to produce biofuels, bioproducts, and biopower. Public perception and knowledge of bioenergy is highly variable [1], so despite the benefits, local communities may be unaware or uncertain about the available opportunities. Bioenergy small businesses are uniquely positioned to develop community-scale technologies and technological processes. Examples include small-scale solutions to recover nutrients and energy from waste, such as urban food waste; use of energy crops on marginal lands to manage fertilizer runoff; or use of algae to abate costs of wastewater treatment.

Return to Table of Contents

The preliminary design package should include identification and siting of appropriate feedstock(s), lab-scale testing of potential feedstock(s), relevant products (biofuel, bioproduct, and/or biopower), outreach to potential community stakeholder partner(s), and an education and outreach plan for the community, based on the bioenergy project.

Proposers are strongly encouraged to develop partnerships with local stakeholders in underserved communities such as those within Federally-designated Opportunity Zones [2]. Community stakeholders could include schools, hospitals, local restaurants and other businesses, non-profits, local government, or other local organizations. Applicants that propose partnerships with entities that operate at higher levels, like state or regional, should emphasize how their project will deliver measurable impact at the community level.

Appropriate projects could include, but are not limited to, a preliminary design package proposing:

- A conversion process treating local sources of biomass.
- Opportunities for use of the resulting product or products within the community
- Cultivating energy crops to reduce fertilizer runoff to improve local water quality.
- Integration of the small business' technologies into complementary, existing local infrastructure.
- Small business' processes' ability to meet local regulatory needs (e.g., recycling rates or waste diversion goals).
- Replicability of the process in other communities.

Applications must:

- meaningfully include plans/methodology for local stakeholders' input in the development of their preliminary design package.
- include an education and outreach plan to demonstrate the planned benefits for the community.

Applications that propose the following will not be considered for award under this subtopic:

- Use versions of technologies that already exist at the community scale.

The main objective of a Phase I award is developing a preliminary design package of their technology, product, or process deployed at the community scale and derived from stakeholder input. In Phase I the majority of research emphasis is placed on evaluating and testing unknowns of integrating the technology at the community scale with their specific stakeholder group(s) rather than on developing a new technology. Some unknowns include technology performance parameters to better support the local economy and public acceptance of the technology.

Phase II of this topic involves deployment of the proposed technology into the community at a pilot scale.

Questions – Contact: Devinn Lambert, Devinn.Lambert@ee.doe.gov.

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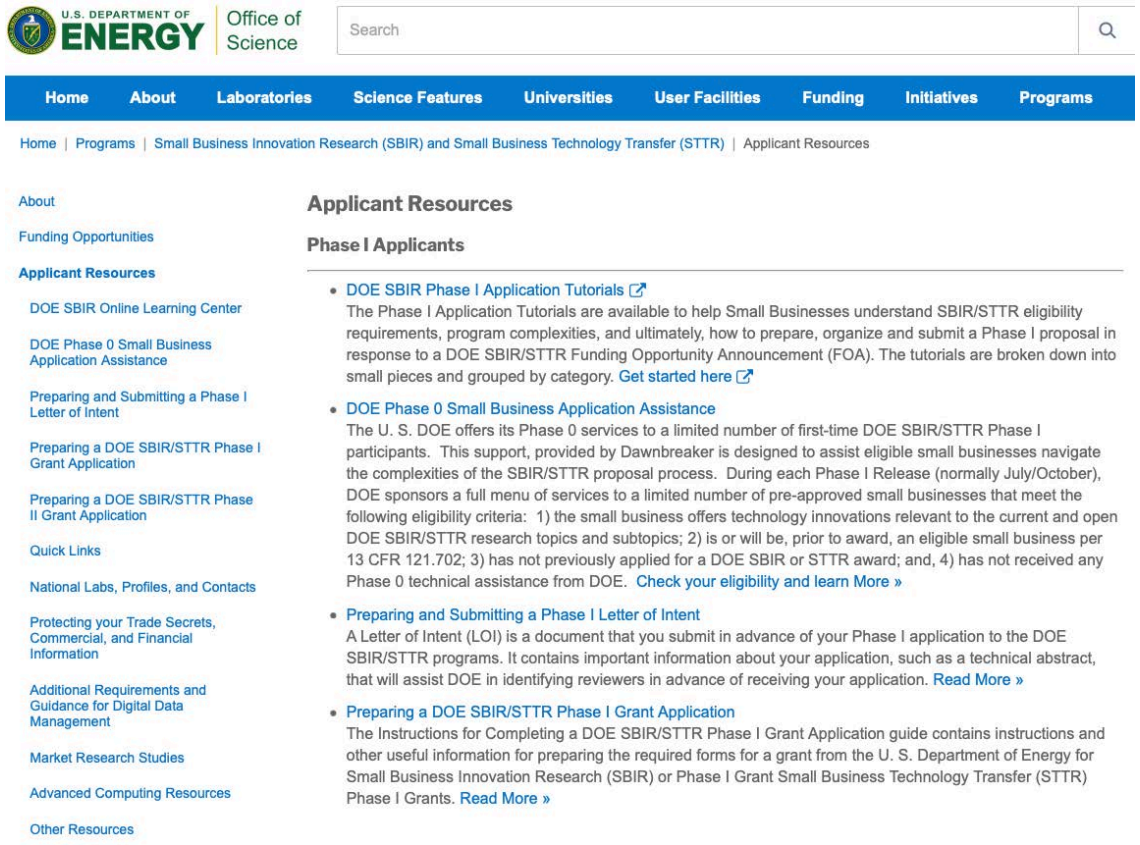
# DOE Applicant Resources



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Search

Home | About | Laboratories | Science Features | Universities | User Facilities | Funding | Initiatives | Programs

Home | Programs | Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) | Applicant Resources

About
Funding Opportunities
**Applicant Resources**
DOE SBIR Online Learning Center
DOE Phase 0 Small Business Application Assistance
Preparing and Submitting a Phase I Letter of Intent
Preparing a DOE SBIR/STTR Phase I Grant Application
Preparing a DOE SBIR/STTR Phase II Grant Application
Quick Links
National Labs, Profiles, and Contacts
Protecting your Trade Secrets, Commercial, and Financial Information
Additional Requirements and Guidance for Digital Data Management
Market Research Studies
Advanced Computing Resources
Other Resources

## Applicant Resources

### Phase I Applicants

- DOE SBIR Phase I Application Tutorials
  The Phase I Application Tutorials are available to help Small Businesses understand SBIR/STTR eligibility requirements, program complexities, and ultimately, how to prepare, organize and submit a Phase I proposal in response to a DOE SBIR/STTR Funding Opportunity Announcement (FOA). The tutorials are broken down into small pieces and grouped by category. Get started here
- DOE Phase 0 Small Business Application Assistance
  The U. S. DOE offers its Phase 0 services to a limited number of first-time DOE SBIR/STTR Phase I participants. This support, provided by Dawnbreaker is designed to assist eligible small businesses navigate the complexities of the SBIR/STTR proposal process. During each Phase I Release (normally July/October), DOE sponsors a full menu of services to a limited number of pre-approved small businesses that meet the following eligibility criteria: 1) the small business offers technology innovations relevant to the current and open DOE SBIR/STTR research topics and subtopics; 2) is or will be, prior to award, an eligible small business per 13 CFR 121.702; 3) has not previously applied for a DOE SBIR or STTR award; and, 4) has not received any Phase 0 technical assistance from DOE. Check your eligibility and learn More »
- Preparing and Submitting a Phase I Letter of Intent
  A Letter of Intent (LOI) is a document that you submit in advance of your Phase I application to the DOE SBIR/STTR programs. It contains important information about your application, such as a technical abstract, that will assist DOE in identifying reviewers in advance of receiving your application. Read More »
- Preparing a DOE SBIR/STTR Phase I Grant Application
  The Instructions for Completing a DOE SBIR/STTR Phase I Grant Application guide contains instructions and other useful information for preparing the required forms for a grant from the U. S. Department of Energy for Small Business Innovation Research (SBIR) or Phase I Grant Small Business Technology Transfer (STTR) Phase I Grants. Read More »

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# DOE – Letter of Intent

Requirement
- Must submit an LOI by the due date to be eligible to submit an application

Primary purpose
- Begin reviewer assignment to reduce award selection time
- due 3 weeks after FOA is issued

Secondary purpose
- Provide email notification to applicants who appear to be non-responsive
- Can still submit a proposal
- Responsive LOIs will NOT receive a notification

Limits
- Small businesses may submit only 10 letters of intent (and 10 applications) per solicitation

Submit LOI online via the DOE Portfolio Analysis and Management System (PAMS) website: https://pamspublic.science.energy.gov/

Content of LOI
- Title
- Topic and Subtopic
- Abstract (<500 words)
  - ***Provide sufficient Non-proprietary technical detail to enable reviewer assignment***
- List of Collaborators
- Small Business Information
  - Name, address
  - Business Official and contact information
  - Principal Investigator

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# Phase I Application Checklist

| Following requirements must be satisfied | |
|---|---|
| Registrations | SAM, PAMS, Grants.gov |
| Topic & subtopic selection | Only one |
| Budget & budget justification | Comply with maximum allowed costs, including TABA, |
| Project Summary | Abstract – no proprietary details |
| Project narrative | 7,500 words |
| Proprietary information | Indicate inclusion of proprietary information – marked as required |
| Subcontractors/research institutions | Letter of commitment & separate budgets & budget justifications |
| Consultants | Letter of commitment |
| Commercialization documents | Commercialization plan |
| Disclosure of foreign relationships | Mandatory disclosure |

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# Phase I – Instructions & Proposal Element

DOE Instructions

Project Narrative
- Page and word limits
  - Phase I: 15 pages, 7,500 words
  - Phase II: 20 pages, 10,000 words

Budget & Budget Justification

Key Personnel

Commercialization Plans
- Phase I commercialization plan (Example: https://science.osti.gov/sbir/Applicant-Resources/Grant-Application)
- Phase II commercialization plan

SBIR/STTR Information form

Data Management Plan

# DOE – Sample Commercialization Plan

Four Pages Maximum

Market Opportunity
- Product or service to be brought to market
- Elaborate on competitors and competitive advantage or value proposition to the customer
- Describe customers and anticipated sales to those customers

Company/Team
- Capabilities as they relate to the commercialization of the technology

Intellectual Property (not necessarily limited to patents)
- State of current intellectual property
- Differentiate your existing intellectual property from prior art
- Describe new anticipated intellectual property

Revenue Forecast
- Mandatory: *"1/3rdof DOE Phase II SBIR/STTR awardees stop working on their technology after their Phase II award because they discover the market for their technology is too small"*

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# Most Frequent Errors

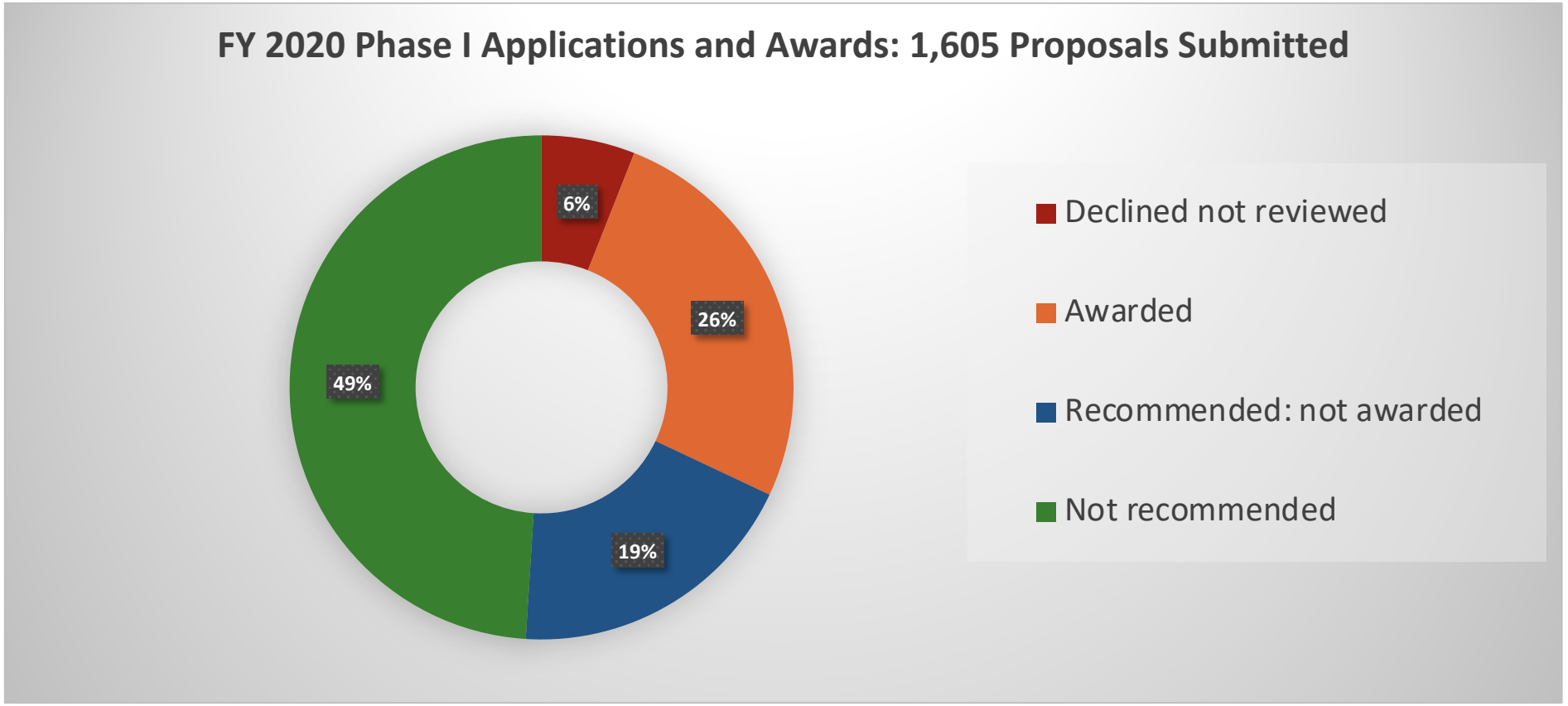
Serious Errors (Applications Ineligible for Review or Administratively Declined)

- Failed to update SAM registration early—unable to submit application to Grants.gov by deadline
- Failed to submit a Letter of Intent (LOI) by the LOI deadline
  - A LOI needs to be submitted by the LOI deadline each application (LOI project title and topic/subtopic designation need to match the application)
- Failed to accurately calculate level of effort (for SBIR and/or STTR)
  - Use Level-of-Effort worksheet to assist you with the calculation
- Failed to meet Principal Investigator hours requirement
  - At least 3 hours per week on average for the duration during Phase I project Example: 12-month project = 156 hours

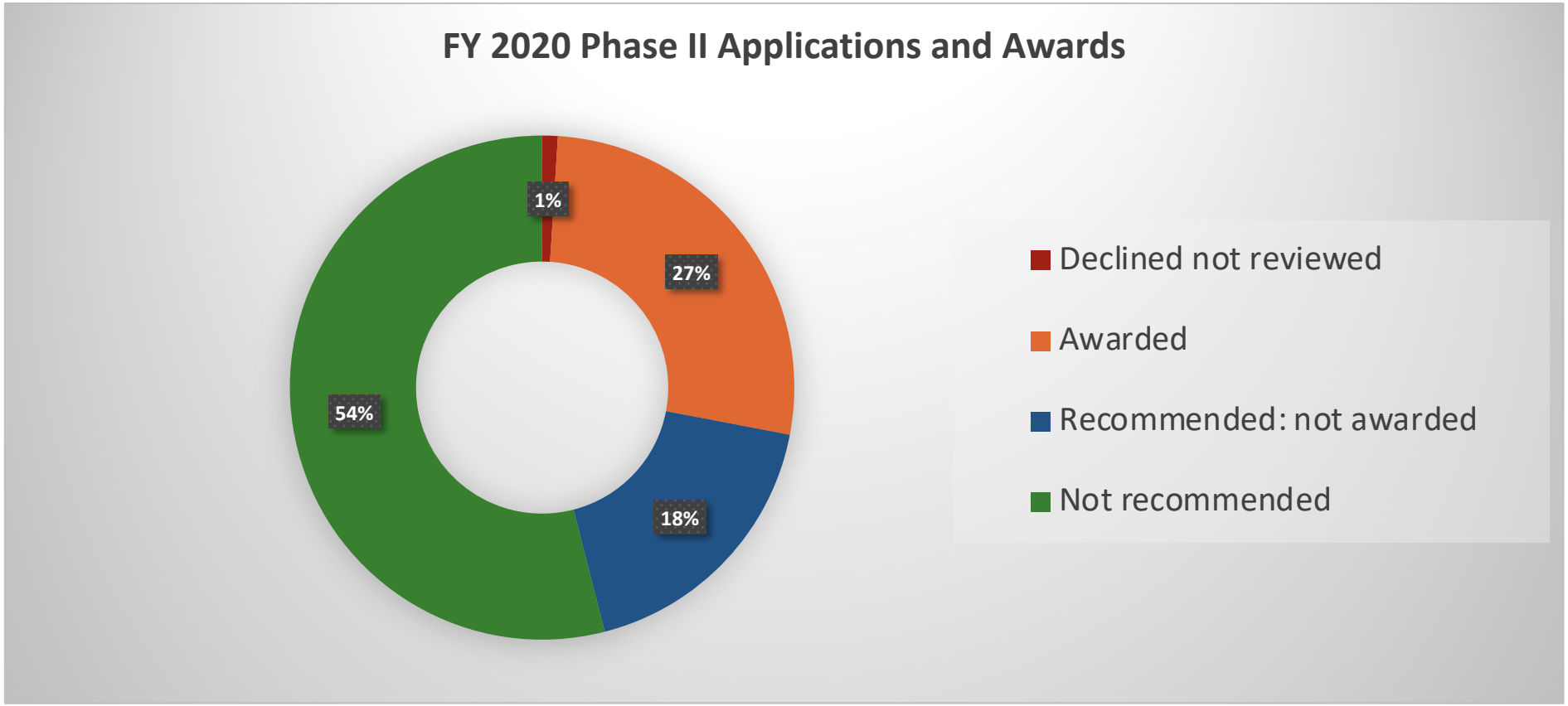
Other Errors (may limit funding eligibility or delay award processing, if recommended for award)

- Failed to properly mark proprietary data
  - See FOA for instructions
- Failed to complete budget form(s) correctly
  - Amounts should be rounded to the nearest dollar and only include funds requested for the grant
  - Amounts listed on the budget form should match the amounts listed on the budget justification
  - Include a completed subaward budget form for each subaward
- Failed to include Letter(s) of Commitment
  - Submit a Letter of Commitment for each Consultant and Subaward

# DOE SBIR/STTR Statistics FY 2020



# DOE SBIR/STTR Statistics FY 2020



# Resources

APIOiX Small Business and Technical Assistance: https://apioix.com/sbir-assistance
- Provide general information and email link to obtain additional information

SBIR / STTR Tools & Resources: https://apioix.com/tools-resources
- Links to finding grant solicitations, examples of successful proposals (Phase I, Phase II, Fast Track), NSF Project Pitch rubric, budget templates for NIH and NSF Phase I proposals, budget justification templates for NSF and NIH

APIOiX Learning Center: https://apioix.com/learning-center
- Access to presentations on SBIR/STTR topics such as budgeting basics, subcontracting, how to write a winning proposal, basics of customer discover, and agency specific requirements.

SBIR presentations and slides: https://www.sbir.gov/tutorials/accounting-finance/

Salary validation: https://www.bls.gov/oes/current/oes_nat.htm#11-0000

NIH annotated SF424: https://grants.nih.gov/grants/ElectronicReceipt/files/Annotated_Forms_SmallBus_forms-e.pdf

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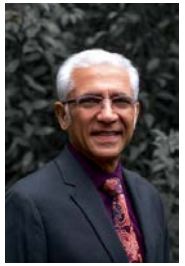
# Thank You



**Arundeep S. Pradhan, MS Pharm Ad., RTTP** has been engaged in technology transfer for over 30 years; was at the forefront of creating the biotech burst in Salt Lake City; helped develop the first biotech roadmap for Colorado; and, helped create the first biotech incubator and the first translational research development center in Portland, Oregon. Mr. Pradhan served on the AUTM Board, was the AUTM President in 2009, and AUTM Foundation President and Board Chair in 2011. He was the interim CEO of a research tools startup and currently serves as the president of Apio Innovation Transfer (APIOiX) and as the CEO and the vice-president for business development of Practical Biotechnology, an oncology therapeutics startup. Mr. Pradhan managed technology transfer offices at the University of Utah, Colorado State University Research Foundation, and Oregon Health and Science University. He continues to work with clients across the globe. arundeep@apioix.com

**Ray Wheatley, MS CLP(E)** is former Director for Technology Commercialization in the Office for Technology Development at the University of Texas Southwestern Medical Center, retiring in 2015 with 31 years of service. Mr. Wheatley and his staff evaluated over 2,500 new invention disclosures which led to more than 650 issued US patents and hundreds of foreign patents. These efforts resulted in more than 900 negotiated option agreements, license agreements and intellectual property management agreements generating more than $178 million in license revenues. In addition, over 30 start-up companies were created. He has worked with US and foreign companies, including major pharmaceutical companies, venture capital firms and leading medical device manufacturers. He has been an invited speaker at many national and international meetings and has spoken on a variety of topics, most notably on negotiation skills and advanced licensing topics. ray@apioix.com

**Michael Batalia, PhD** is a serial entrepreneur and an expert in academic technology commercialization. He is also a member of the Mission II Team for the Perlan Project, an effort to fly engineless aircraft to the edge of space. He has over 16 years of experience in academic technology transfer, intellectual property management, and licensing at Wake Forest University as executive director of commercialization and North Carolina State University as associate director then director of technology transfer. Dr. Batalia is active regionally and internationally in support of technology transfer and biotechnology. He has served on the Boards of the Association of University Technology Managers, the North Carolina Biotechnology Center, the Biotechnology Advisory Committee of Piedmont Triad, and the North Carolina Center of Innovation for Nanobiotechnology. He is a co-founder of Wide Eyed Technologies and the CSO for Arctic, Inc. michael@apioix.com

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