The Importance of Developing a Proposal Preparation Schedule

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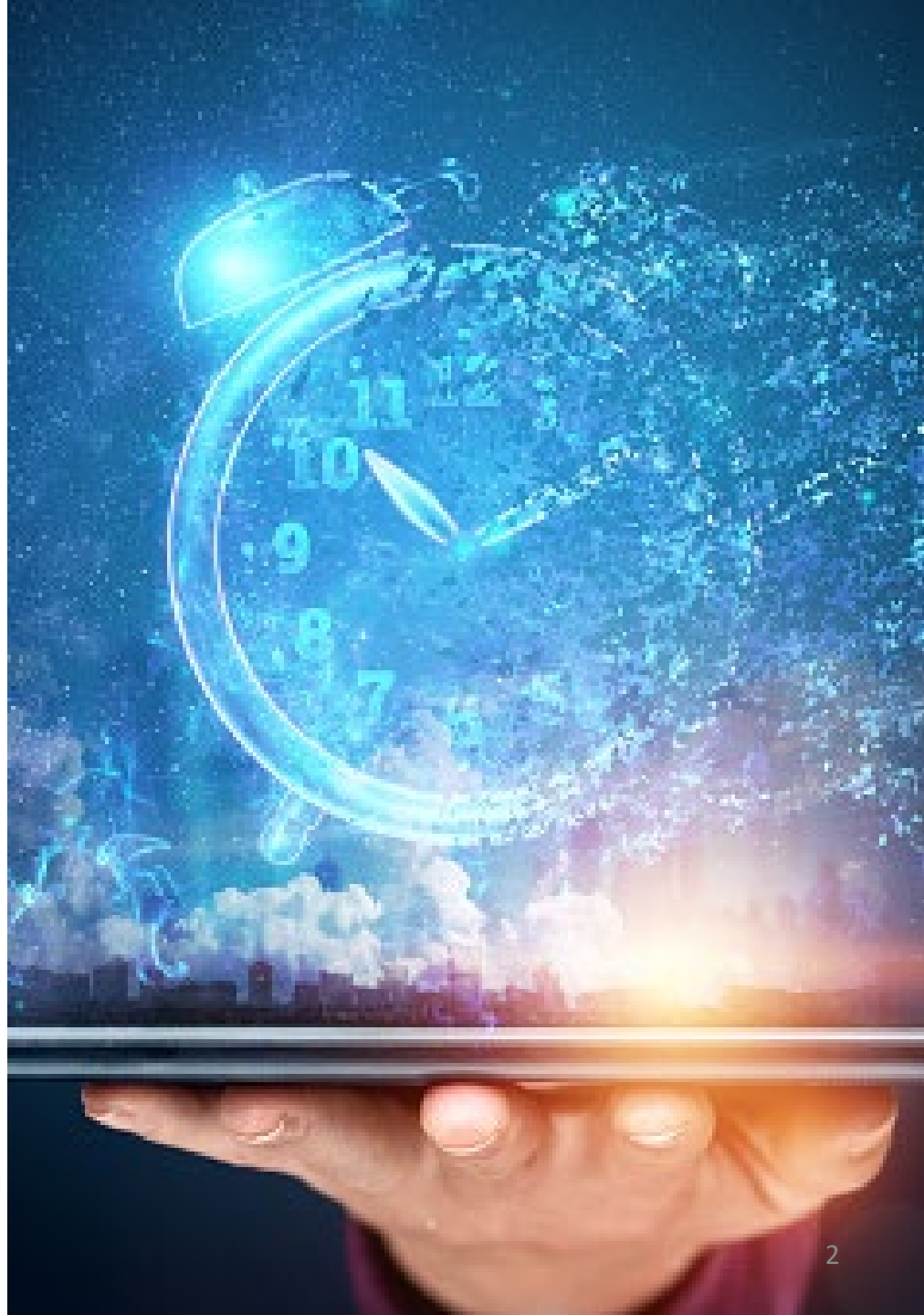
AGENDA

- How many weeks until DOE Phase I applications are due?
- What is involved with developing the application package?
  - Overview or application elements
- What are your holiday vacation plans?
- What are your work and/or school responsibilities?
- Lining up support
- How to balance tedious and exciting tasks
- Securing needed documentation from others



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How Much Time do you have?

Week	Sun	Mon	Tue	Wed	Thurs	Fri	Sat
1	Nov 27						
2	Dec 4						
3	Dec 11	FOA issued, 12/12					
4	Dec 18						
5	Dec 25 X-mas					New Years Eve	New Year's Eve
6	Jan 1		LOI due, 1/3/23				
7	Jan 8						
8	Jan 15						
9	Jan 22		Non-responsive				
10	Jan 29						
11	Feb 5						
12	Feb 12						
13	Feb 19		Applications due				

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What is involved with developing an application

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The DOE Phase I SBIR/STTR Application Package

In order to apply for a DOE SBIR/STTR award you need to

- First submit a **Letter of Intent** (LOI) through the system called Portfolio Analysis and Management System (**PAMS**)
- Prepare a research proposal (called a **"Project Narrative"**)
- and a **Commercialization Plan**
- with an accompanying **budget** and
- **resumes** of those who will do the work
- A **public abstract**
- A variety of forms and attachments
- Register with the **System for Awards Management (SAM)**
- Submit the application through a system called **Grants.gov**

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Is there an Outline for the Project Narrative?

1.0 Identification and Significance of the Problem or Opportunity, and Technical Approach

2.0 Anticipated Public Benefits

3.0 Technical Objectives

4.0 Work Plan

5.0 Link the Work Plan to the Technical Objectives

6.0 Performance Schedule

7.0 Facilities/Equipment

8.0 Research Institution

9.0 Other Consultants and Subcontractors

Check the outline in the new FOA when released on December 13

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How big is the proposal / application?

Item	Project Narrative	Budget justification	Biographical sketches	Project Summary/Abstract
Page numbers	15 pages	Not specified	Recently changed	1 page
Other	Follow guidelines in DOE Funding Opportunity Announcement	Can't exceed amount specified in Topics document	Follow guidelines in DOE Funding Opportunity Announcement	PDF format
	Focus on content first and then format	Direct and Indirect rates	Secure letters of various types	Use template
				No proprietary info

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How will you make time available during the holidays?

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Think hard about your available time?

- If you have never prepared an SBIR/STTR proposal before and have not registered with any of the systems mentioned,
  - Starting now, assume 10-12 hours a week of effort between now and the due date.
- What are your commitments during the holidays
- How will you add this to your schedule?
  - Early mornings; late nights; week-ends
- Decide if you can make the time commitment
- Talk with your support network
  - Family and friends

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What resources are available to help you?

- Small Business Development Centers (SBDC)
- Procurement Technical Assistance Centers (PTAC)
- Minority Business Development Centers (MBDC)
- **DOE Phase 0 program**
  - If you have never submitted and SBIR/STTR application to DOE previously

Line up these resources now!

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How do I find Support Organizations in my Area?

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Mix of excitement with Frustration

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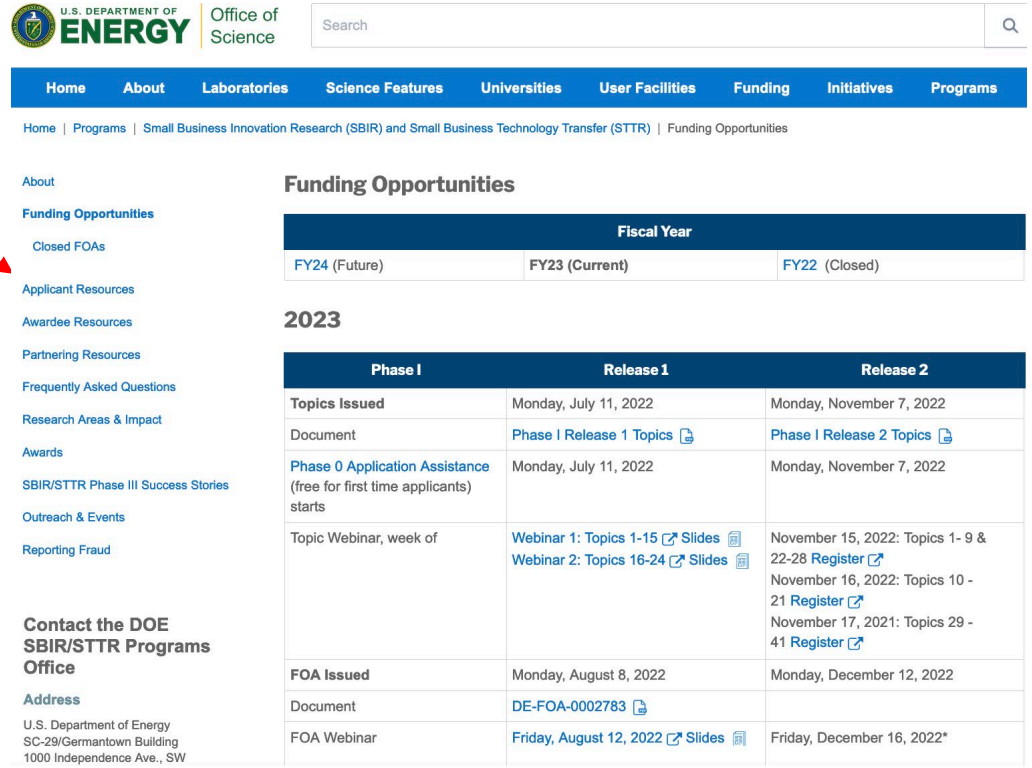
Download all relevant Materials into a folder on your desktop

Topics Document, Funding Opportunity Announcement (FOA) – check for updates



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Outreach & Events
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Contact the DOE SBIR/STTR Programs Office

Address

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

Funding Opportunities

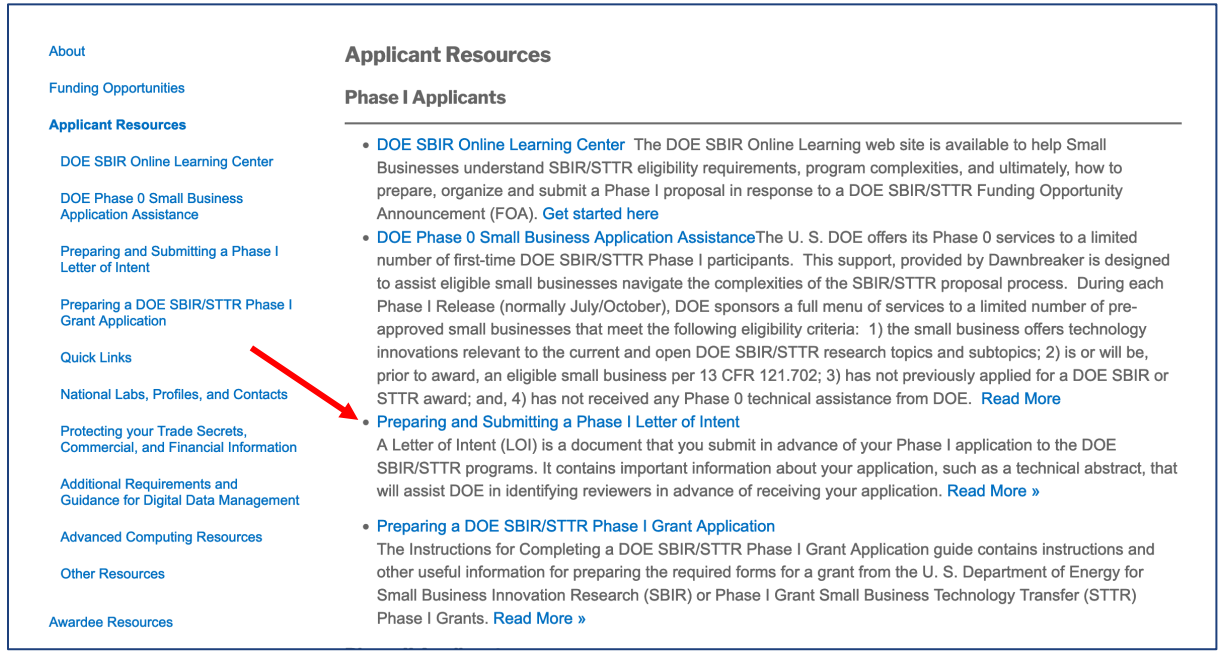
Fiscal Year		
FY24 (Future)	**FY23 (Current)**	FY22 (Closed)

2023

Phase I	Release 1	Release 2
Topics Issued	Monday, July 11, 2022	Monday, November 7, 2022
Document	Phase I Release 1 Topics	Phase I Release 2 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 Webinar 2: Topics 16-24 Slides	November 15, 2022: Topics 1- 9 & 22-28 Register November 16, 2022: Topics 10 - 21 Register November 17, 2021: Topics 29 - 41 Register
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*

Google Search: DOE SBIR FOA

Letter of Intent (LOI), Phase I Grant Application



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Preparing a DOE SBIR/STTR Phase I 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
Advanced Computing Resources
Other Resources
Awardee Resources

Applicant Resources

Phase I Applicants

- DOE SBIR Online Learning Center The DOE SBIR Online Learning web site is 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). Get started here
- DOE Phase 0 Small Business Application AssistanceThe 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. Read 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 »

There are many other docs to download from this site

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This is a time sensitive period!

1st day of the week	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Week 13- Nov 27	Review Topics document; conduct background research; Select topic/subtopic pair that you can addreess. Contact Topic Manager, if you have questions						
Week 12 - Dec 4	Register for UEI, PAMS, SAM, SBA - get support from PTAC; Line up support services that can assist you SBDC, PTAC						
Week 11 - Dec 11	Review the LOI guidelines and the guidelines for the 1st section of the the Project Narrative: "Identification and Significance of the Problem and Technical Approach". Start to draft first section of Project Narrative						
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Week 7 - Jan 8							
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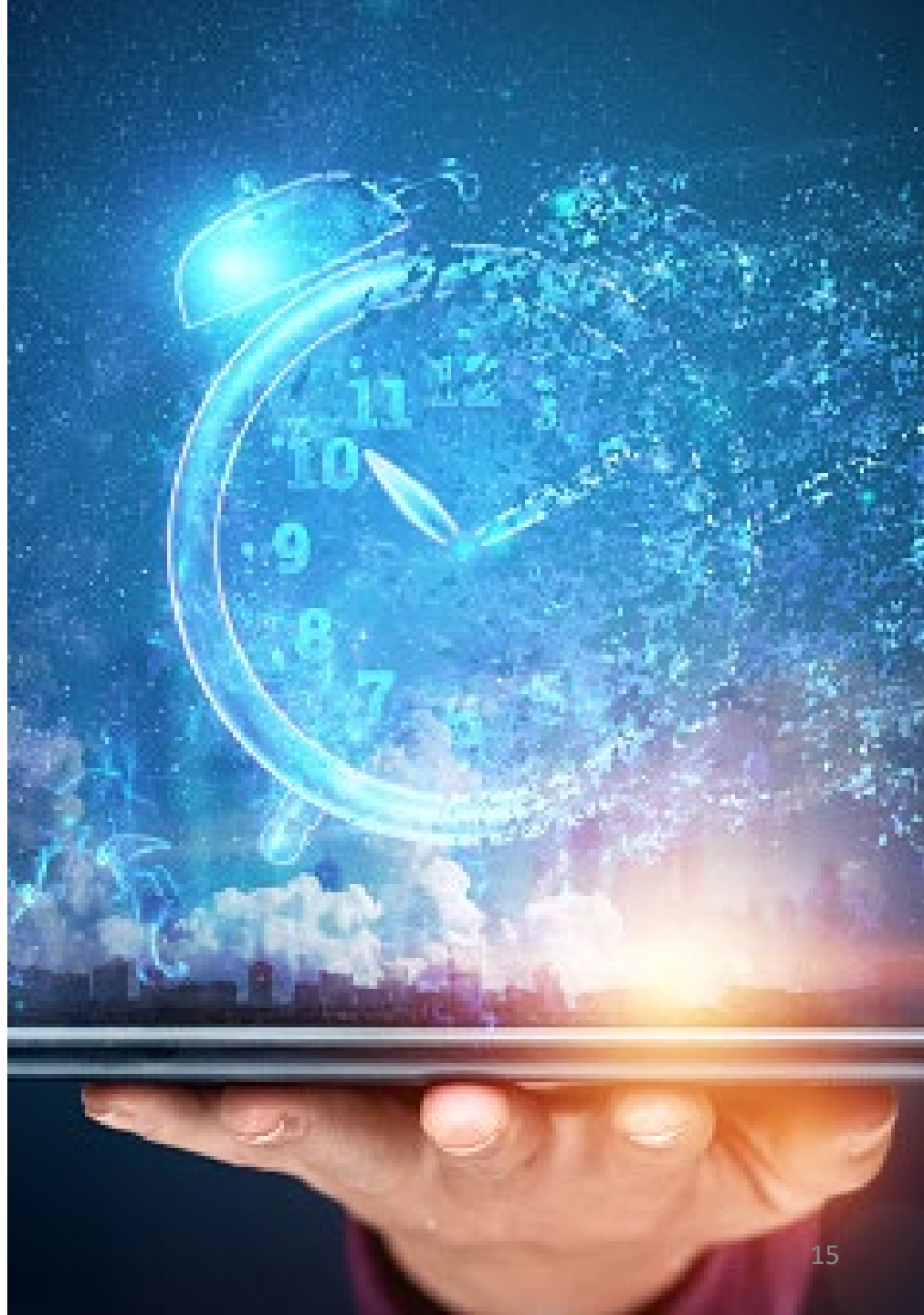
Week 5 -Jan 22							
Week 4- Jan 29							
Week 3 - Feb 5							
Week 2- Feb 12							
Week 1 - Feb 19							

Why is this important?

- A responsive proposal has synergy between DOE's needs and your capabilities
- It is TOO easy to focus only on your needs and that is mistake!
- Start by listening to what DOE is saying …..
  - Most applicants will think they are doing that
- How do you check to make sure you hear what DOE is saying?
  - Explore all references ; See previous webinar
- Understanding what DOE is asking will minimize getting a non-responsive LOI letter



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Sample e-mail to Topic Manager

Dear **[Insert Topic Manager Name]**

By way of introduction my name is **[insert name]** and I am **[describe affiliation].** I have reviewed the current Funding Opportunity Announcement [FOA] and am interested in Topic#, Subtopic Y. After reviewing the topic and subtopic carefully, as well as the links and references, I have a few lingering questions that I would like to discuss with you. Would you have time in the next couple of days for a brief, 10-15 minutes phone call? A brief conversation with you will help me determine if I can submit a responsive proposal. Are you available at [insert time] for a brief conversation?

My questions relate to: [insert 1 or 2 of your key questions – the following is an example -*technology approaches - are there certain approaches which are of no interest to DOE? what are the performance expectations in Phase I as opposed to Phase II?*]

Thanks for your consideration of my request.

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REGISTRATIONS

- **Portfolio Analysis and Management System (PAMS)**
  - Required to submit your Letter of Intent
- **System for Awards Management (SAM)**
  - The most complex, takes time, many stops and starts; required to submit DOE application
  - All PTACs provide free assistance – Utilize!
  - Business Official should be involved
  - DUNS number required
- **There are 5 other registrations required by DOE – but do these first**

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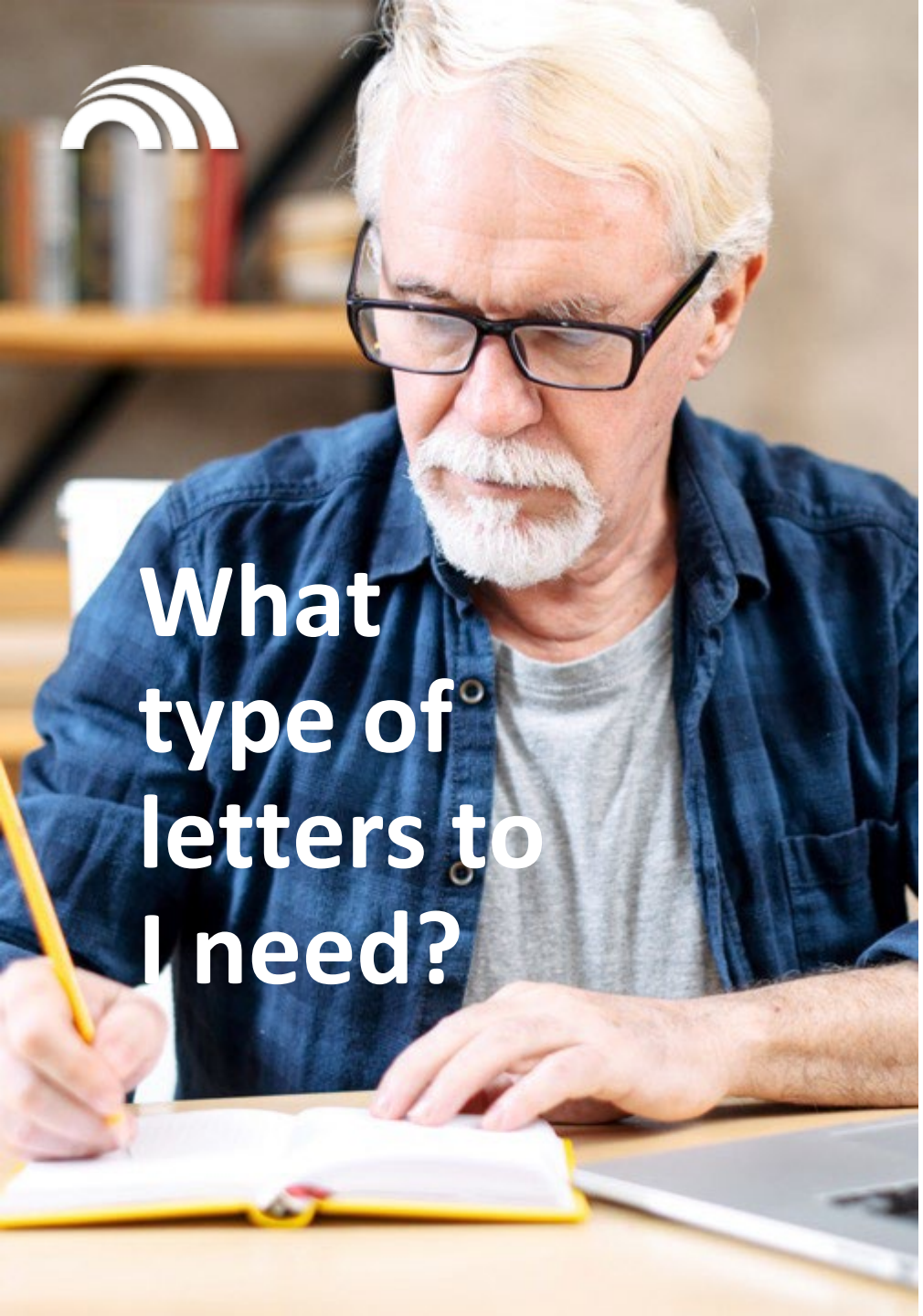

- Subcontractors
- Consultants
- Letters of Support

How to Write an Effective Letter of Support

We recommend that you offer to draft a letter of support for your collaborator to ensure that deadlines are met. By providing a draft letter of support, you ensure:

- That the letter of support will contain all of the information you need
- That you will get the letter back from your collaborator in a timely fashion (assuming you give them enough lead time! We suggest 2-3 weeks)

Drafting your own letter of support serves another important purpose. It gives both parties an early warning of unrealistic expectations. It is a vehicle for negotiating services, reagents, or expertise provided to the project.

Letter of Support Goals

- Specify what the collaborator will contribute to the research
- Convince the reviewer that the collaborator will fulfill the request
- Convey enthusiasm for the work
- Lend credibility to your proposal

As long as your letter demonstrates specifically what your collaborator will contribute to the project, there is no right or wrong way to draft a strong letter of support.

Letters of Support Should Be

- Unique and written from the point of view of your collaborator
- Printed on institutional letterhead and signed by the appropriate party (someone authorized to make the commitment of support)
- Addressed either to the principal investigator of the proposal or to the granting agency - check the guidelines of the specific grant
- Address any specific guidelines (e.g., particular assurances) required by the funding agency or the university, as outlined in the Request for Application (RFA) or as requested by your Research Office
- Follow any other guidelines (e.g., page limits) required by the funding agency

Letter of Support Example

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Project Narrative

- This is the most important part of the application package
- If you do not do this well, everything else is for naught
- Start drafting the sections called "Identification and Significance of the Problem or Opportunity and Technical Approach"
- And "Anticipated Public Benefit"

- **“Identification and Significance of the Problem or Opportunity, and Technical Approach”**
- Define the specific technical problem or opportunity addressed by your application. Provide enough background information so that the importance of the problem/opportunity is clear. Indicate the overall technical approach to the problem/opportunity and the part that the proposed research plays in providing needed results.

This is from the previous FOA. Usually doesn’t change – but check when new FOA released

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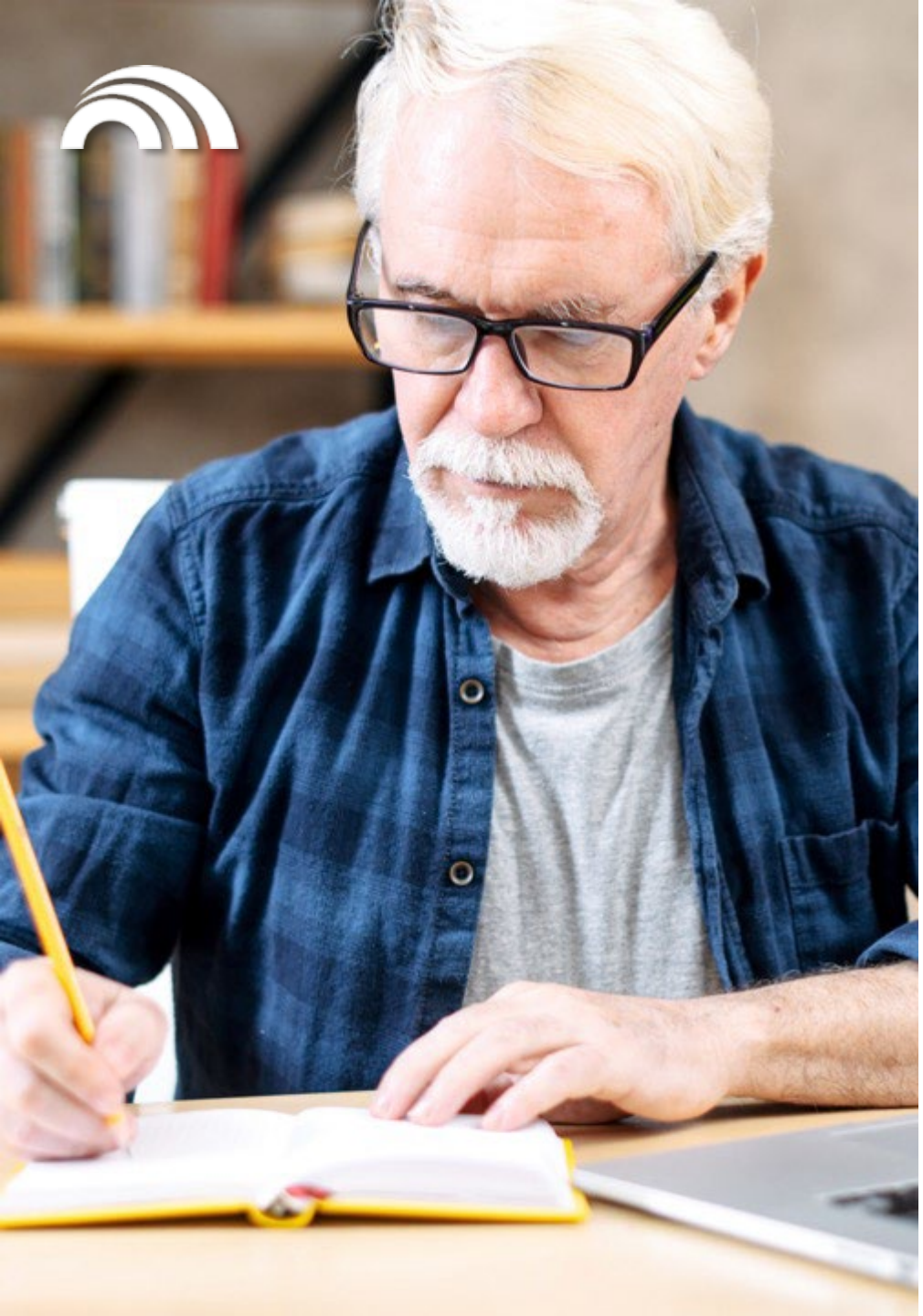

Anticipated Public Benefits

- “Discuss the technical, economic, social, and other benefits to the public as a whole anticipated if the project is successful and is carried over into Phases II and III. Identify specific groups in the commercial sector as well as the Federal Government that would benefit from the projected results. Describe the resultant product or process, the likelihood that it could lead to a marketable product, and the significance of the market.”

This is from the previous FOA. Usually doesn’t change – but check when new FOA released

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Remember people will be away during the holidays! Act now!

During the holiday season – assume others are unavailable

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Week 9 - Dec 25	Draft Letter of Intent (LOI) following DOE's guidelines and example. Draft Objectives. Seek feedback from service provider and rewriteLOI. Check all guidelines and confirm PAM registration						
Week 8 - Jan 1	Submit LOI - Don't miss it Continue working on Objectives and start the Work Plan						
Week 7 - Jan 8							
Week 6 - Jan 15							
Week 5 -Jan 22							
Week 4- Jan 29							
Week 3 - Feb 5							
Week 2- Feb 12							

- A Letter of Intent (LOI) is NOT a letter!

- If you do not submit an LOI, you may not submit a DOE application on that topic/subtopic!
- Be sure PAMS registration is in order so that you can submit LOI
- Follow DOE's instructions for LOI and look at example
- Thorough preparation will minimize likelihood of receiving a non-responsive letter from DOE
- Even if you receive a non-responsive LOI you can submit an application on that topic

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OBJECTIVES

- “State the specific technical objectives for the Phase I research and development. “

This is from the previous FOA. Usually doesn’t change – but check when new FOA released

- The work plan, which you will draft next relates to these objectives and must describe who, what, when, where, how.
- When you get to this point you can start to work on the budget and clarify once again the people and facilities you will need to complete the work.

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Shift attention to other parts of the Application Package

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Week 7 - Jan 8	Start looking at other sections of the application package, especially financials. Requesst feedback from service provider on Objectives and WorkPlan. Make changes as needed						
Week 6 - Jan 15	Seek aassistance with information needed for Commercialization Plan. Review DOE guidelines and Example. Refine Project Narrative per feedback provided						
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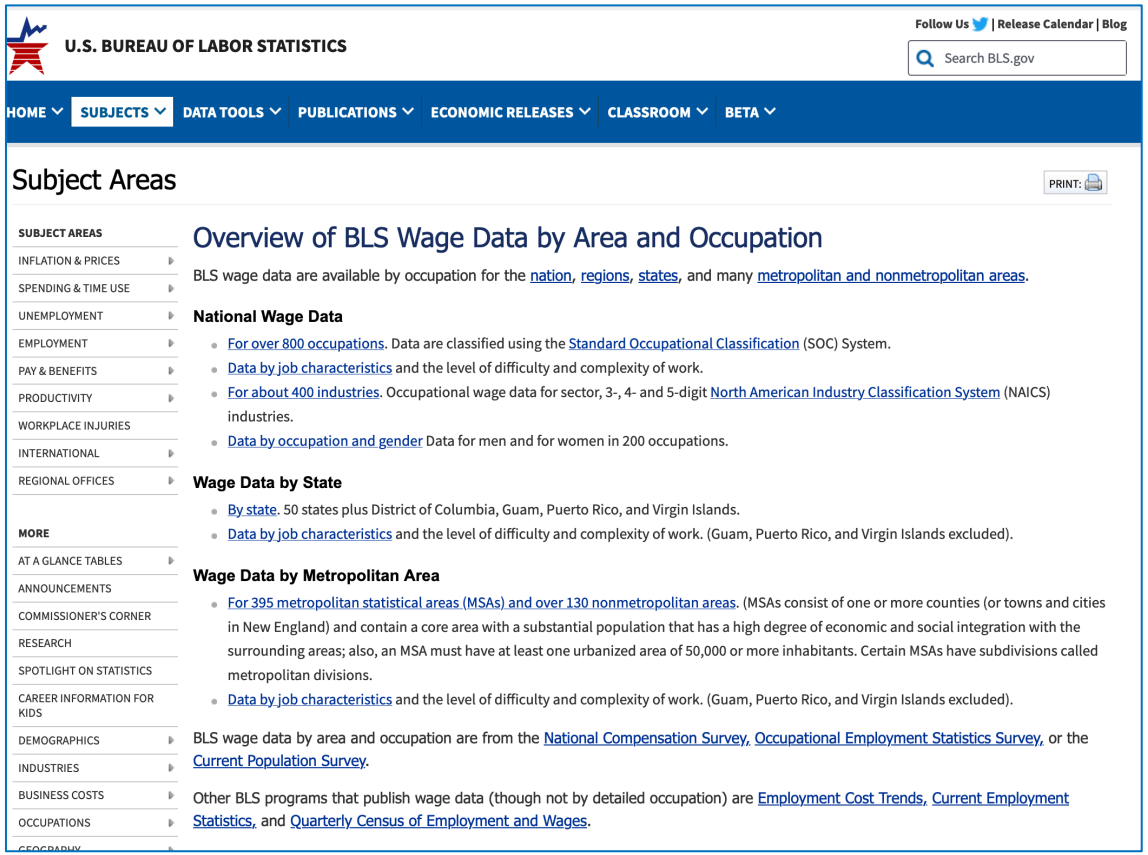
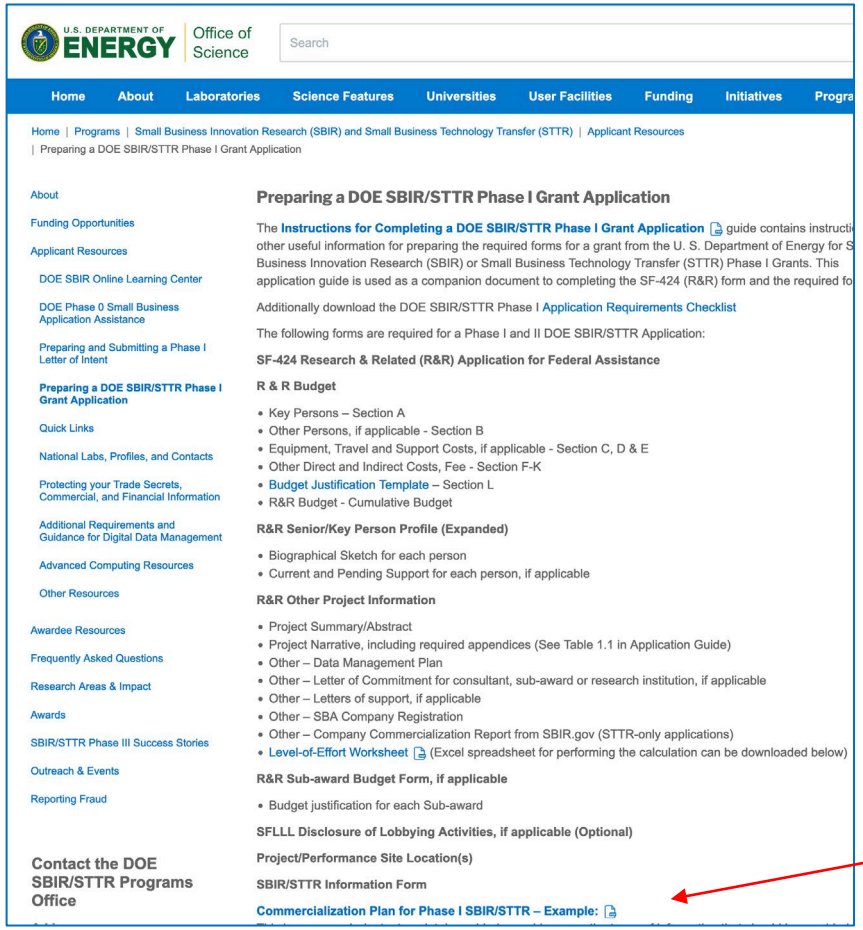
Finance and Commercialization Tools

Use Bureau of Labor statistics for rates



DOE Commercialization Plan Guidelines



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APPLICATION CHECKLIST

DOE Phase I
Application Requirements Checklist

DOES THE APPLICATION SATISFY THE FOLLOWING REQUIREMENTS?		YES	NO
Registrations	SAM Registered		
	PAMS Registered		
	Grants.gov Registered		
Topic & Subtopic	Only one (1) Topic from the Topics Section identified on the SBIR/STTR Information Form and Project Narrative		
	Only one (1) Subtopic from the Topics Section identified on the SBIR/STTR Information Form and Project Narrative		
Budget	Principal Investigator effort on the project is a minimum of three (3) hours a week (on average) for the duration of the project. PI hours and rates are clearly indicated in the budget justification		
	DOE Phase I awards have a maximum award amount of either $200,000 or $250,000. Please check the topic header in the Phase I Topic document to find the correct amount. Section K (Total Cost of Project) on the budget form should not exceed the maximum award amount ($200,000 or $250,000 as appropriate for your topic), or the maximum award amount plus $6,500 if requesting TABA funds ($206,500 or $256,500 as appropriate for your topic.)		
	Amount requested on budget form matches total federal funds requested on SF-424		
	Budget justification is provided		
	Level-of-Effort is in compliance (see Level-of-Effort worksheet)		
	For SBIR - small business must perform at least 2/3 of the research and analytical effort		
	For STTR - small business must perform at least 40% and research institution must perform at least 30% of the research and analytical effort		
Project Summary/Abstract	Project Summary/Abstract contains no proprietary information		
Project Narrative	Project Narrative is no more than 7,500 words as directed in Part IV.C. of the FOA		
	Proprietary information statement is provided, if applicable.		
Proprietary Information	Where included, proprietary information in the narrative is identified and marked according to Part IV. C of the FOA, if applicable.		
Subcontractors/ Research Institutions	A letter of commitment is provided, if applicable		
	A complete subaward budget and budget justification are provided, if applicable		
Consultants	Consultant commitment letter is provided, if applicable		
Commercialization Documents	Commercialization Plan is included along with mandatory Revenue statement		
	Company Commercialization Report from SBIR.gov is included, if applicable.		

11/4/2021

DOE Checklist

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Customized Assistance – Checking , shaping, formatting

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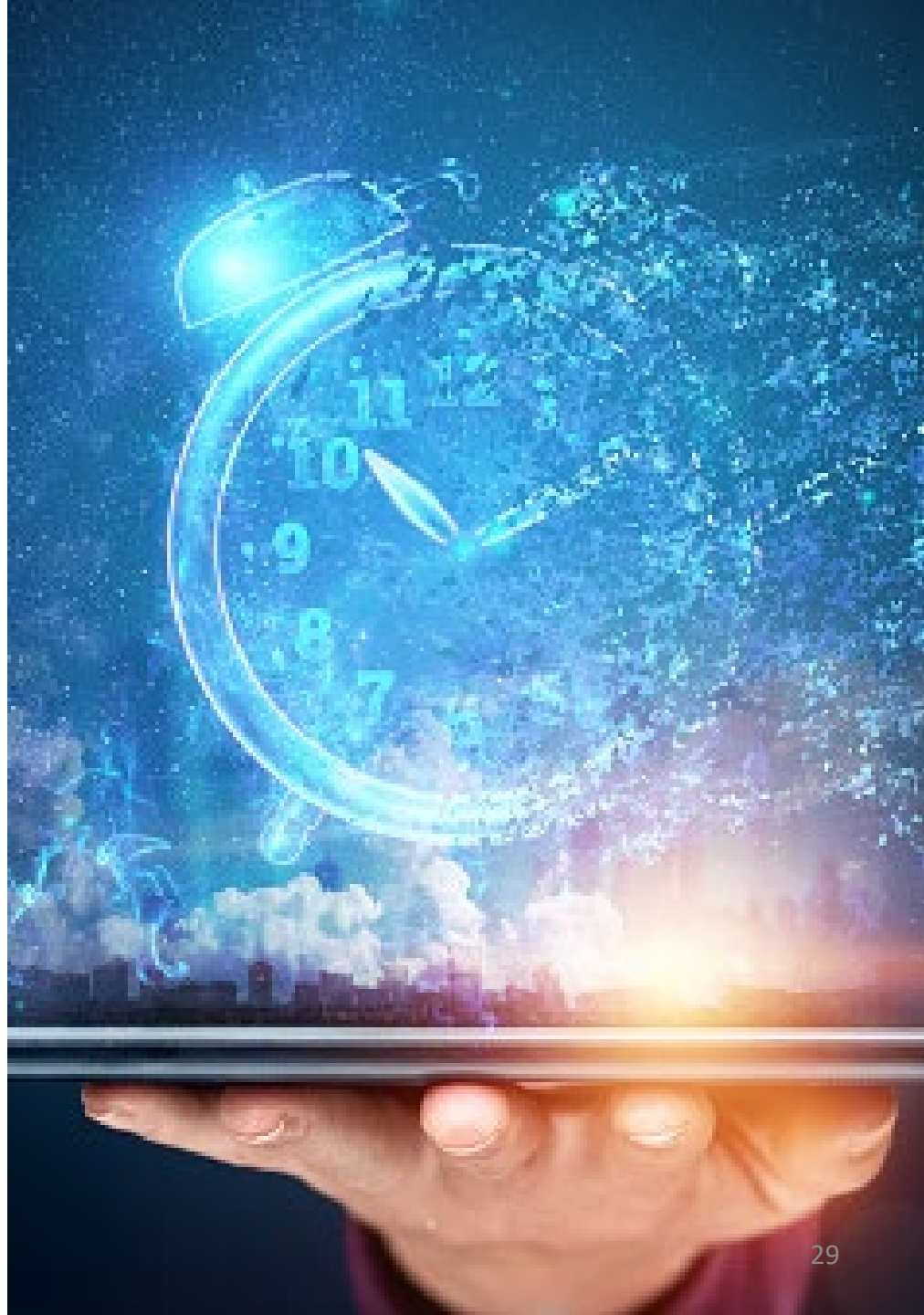
Week 9 - Dec 25	Draft Letter of Intent (LOI) following DOE's guidelines and example. Draft Objectives. Seek feedback from service provider and rewriteLOI. Check all guidelines and confirm PAM registration						
Week 8 - Jan 1	Submit LOI - Don't miss it Continue working on Objectives and start the Work Plan , Consider staffing needs and budget. You will need letters						
Week 7 - Jan 8	Start looking at other sections of the application package, especially financials. Requesst feedback from service provider on Objectives and WorkPlan. Make changes as needed						
Week 6 - Jan 15	Seek aassistance with information needed for Commercialization Plan. Review DOE guidelines and Example. Refine Project Narrative per feedback provided						
Week 5 -Jan 22	Non-responsive LOI notification from DOE. Register with Grants.gov						
Week 4- Jan 29	Start Drafting Commercialization Plan; bios; customized assistance						
Week 3 - Feb 5	Customized Assistance on package elements						
Week 2- Feb 12	Customized Assistance on package elements						
Week 1 - Feb 19	Full applications due through Grants.gov - Don't miss deadline						



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- This is all we will cover today! My objective has been to show you want is involved with preparing a responsive application package, so that you can plan

- If you have never submitted an SBIR/STTR proposal before, be sure to check out the DOE Phase 0 program which provides free assistance to new applicants
- https://doephase0.dawnbreaker.com/

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Please take a moment to complete our short survey!

https://forms.office.com/r/6YrR222VUW

Thank you for joining me today!

Jenny C. Servo, Ph.D.

jcservo@dawnbreaker.com

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