



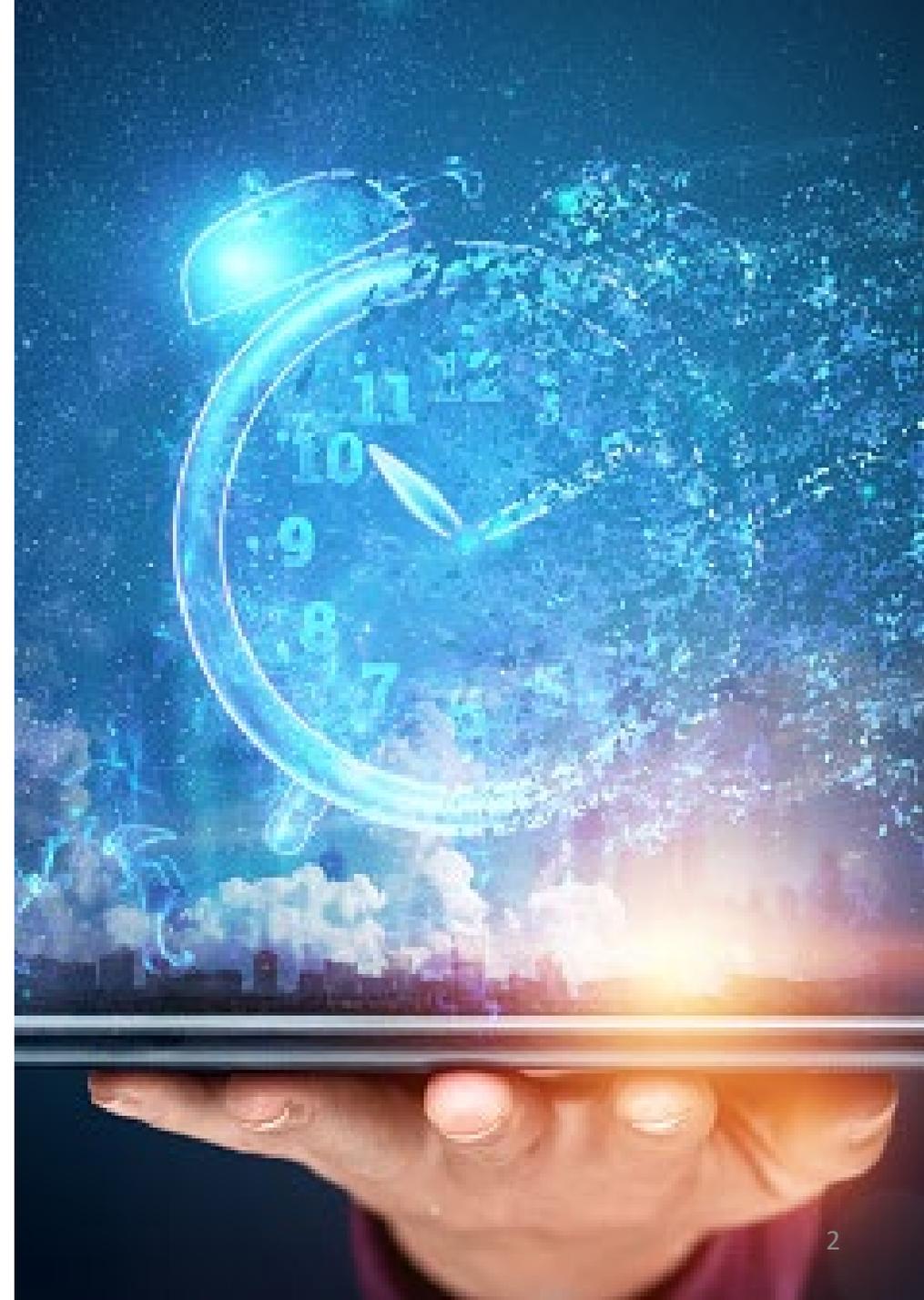
# The Importance of Developing a Proposal Preparation Schedule

PRESENTED BY: Jenny C. Servo, Ph.D  
Dawnbreaker

©DAWNBREAKER 2022 [jcservo@dawnbreaker.com](mailto:jcservo@dawnbreaker.com)

# 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



# 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 |     |       |               |                |



# What is involved with developing an application

# 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**

# 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**

# 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      |



How will you make time available during the holidays?

# 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**



## 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 an SBIR/STTR application to DOE previously

**Line up these resources now!**

# How do I find Support Organizations in my Area?

See SBIR.gov



The screenshot shows the SBIR.gov website. At the top, there is a navigation bar with links for 'Login/Register', 'Contact Us', 'Search', and 'SBA'. Below this is a main header with the SBIR.gov logo and a navigation menu including 'About', 'Funding', 'Reports', 'Showcase', 'Announcements', and 'Resources'. The main content area features a large banner titled 'What is SBIR?' with a sub-header 'Small Business Innovation Research' and a description: 'Funding to turn your R&D into products & services with global impact.' Below the banner are three columns of icons and text: 'Entrepreneur' (with a briefcase icon), 'Support Organization' (with a handshake icon), and 'Federal Agency' (with a classical building icon). Each column lists several actions users can take. At the bottom, there is a section titled 'Are you looking for SBIR/STTR funding?' with a 'Find Opportunities' button. Below that is a 'Find Local Assistance' section with a map of the United States and a dropdown menu to 'Find a local resource near you'.

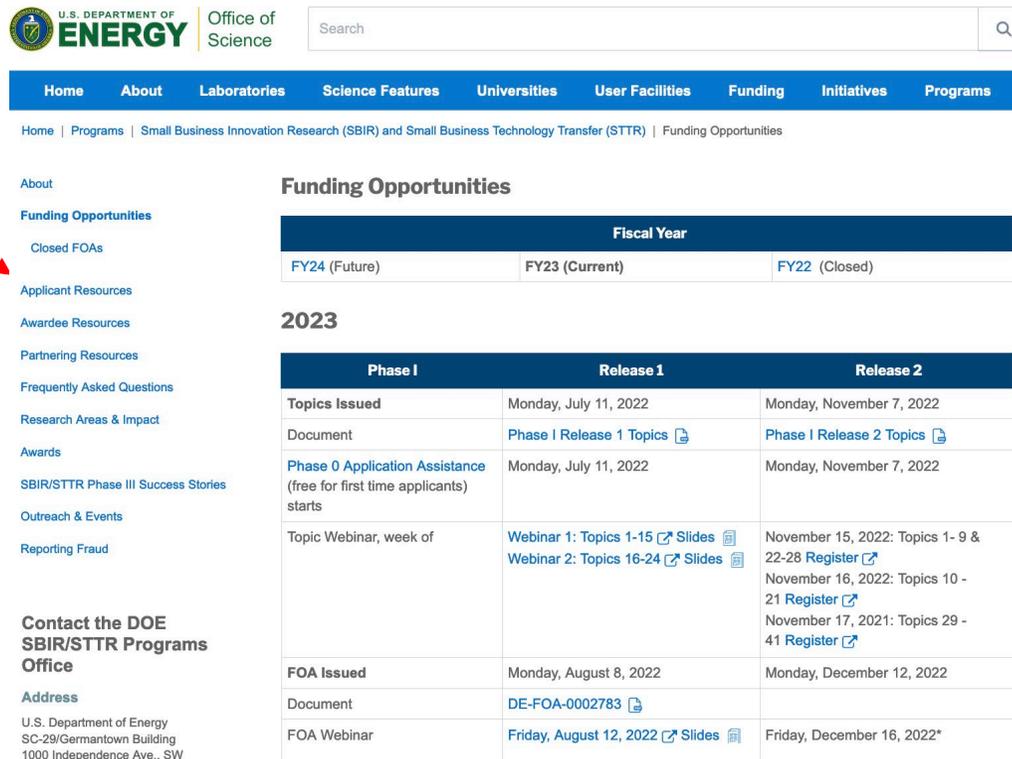


# Mix of excitement with Frustration



# Download all relevant Materials into a folder on your desktop

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



U.S. DEPARTMENT OF ENERGY | Office of Science

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

Partnering Resources

Frequently Asked Questions

Research Areas & Impact

Awards

SBIR/STTR Phase III Success Stories

Outreach & Events

Reporting Fraud

Contact the DOE SBIR/STTR Programs Office

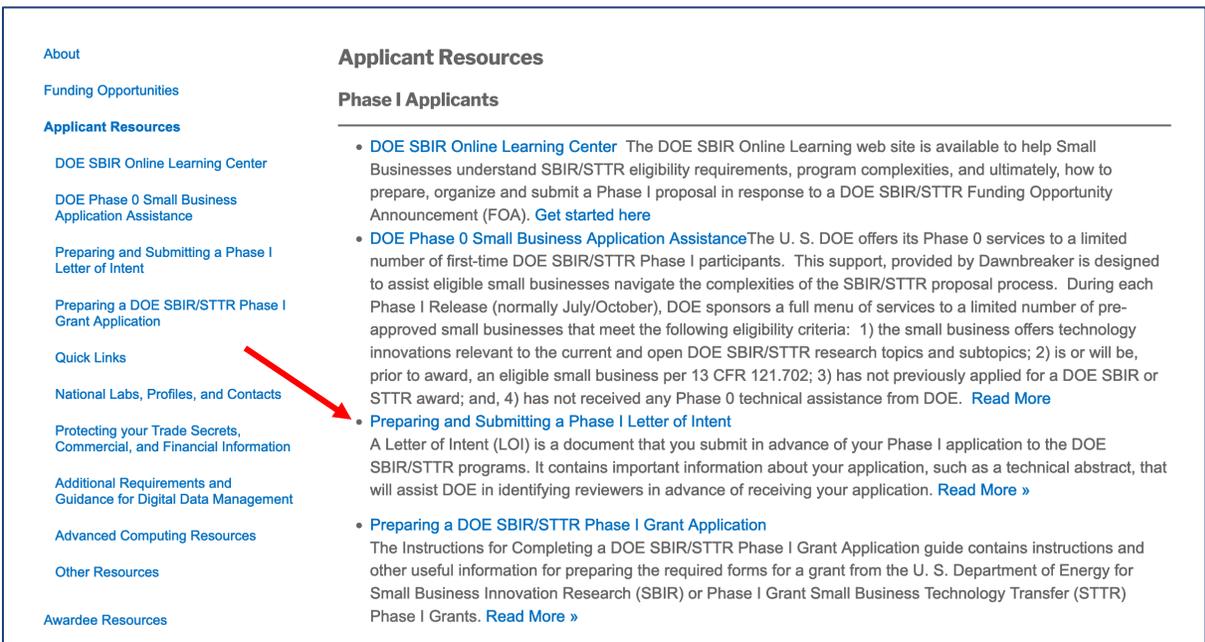
Address

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

### Funding Opportunities

| Fiscal Year  |   |  |
|--|---|--|
| FY24 (Future)  | FY23 (Current)  | FY22 (Closed)  |
| <b>2023</b>  |   |  |
| Phase I  | Release 1   | Release 2  |
| Topics Issued  | Monday, July 11, 2022   | Monday, November 7, 2022   |
| Document   | <a href="#">Phase I Release 1 Topics</a>  | <a href="#">Phase I Release 2 Topics</a>   |
| Phase 0 Application Assistance (free for first time applicants) starts | Monday, July 11, 2022   | Monday, November 7, 2022   |
| Topic Webinar, week of   | <a href="#">Webinar 1: Topics 1-15</a> <a href="#">Slides</a><br><a href="#">Webinar 2: Topics 16-24</a> <a href="#">Slides</a> | November 15, 2022: Topics 1 - 9 & 22-28 <a href="#">Register</a><br>November 16, 2022: Topics 10 - 21 <a href="#">Register</a><br>November 17, 2021: Topics 29 - 41 <a href="#">Register</a> |
| FOA Issued   | Monday, August 8, 2022  | Monday, December 12, 2022  |
| Document   | <a href="#">DE-FOA-0002783</a>  |  |
| FOA Webinar  | <a href="#">Friday, August 12, 2022</a> <a href="#">Slides</a>  | Friday, December 16, 2022*   |

## Letter of Intent (LOI), Phase I Grant Application



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

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 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. [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 »](#)

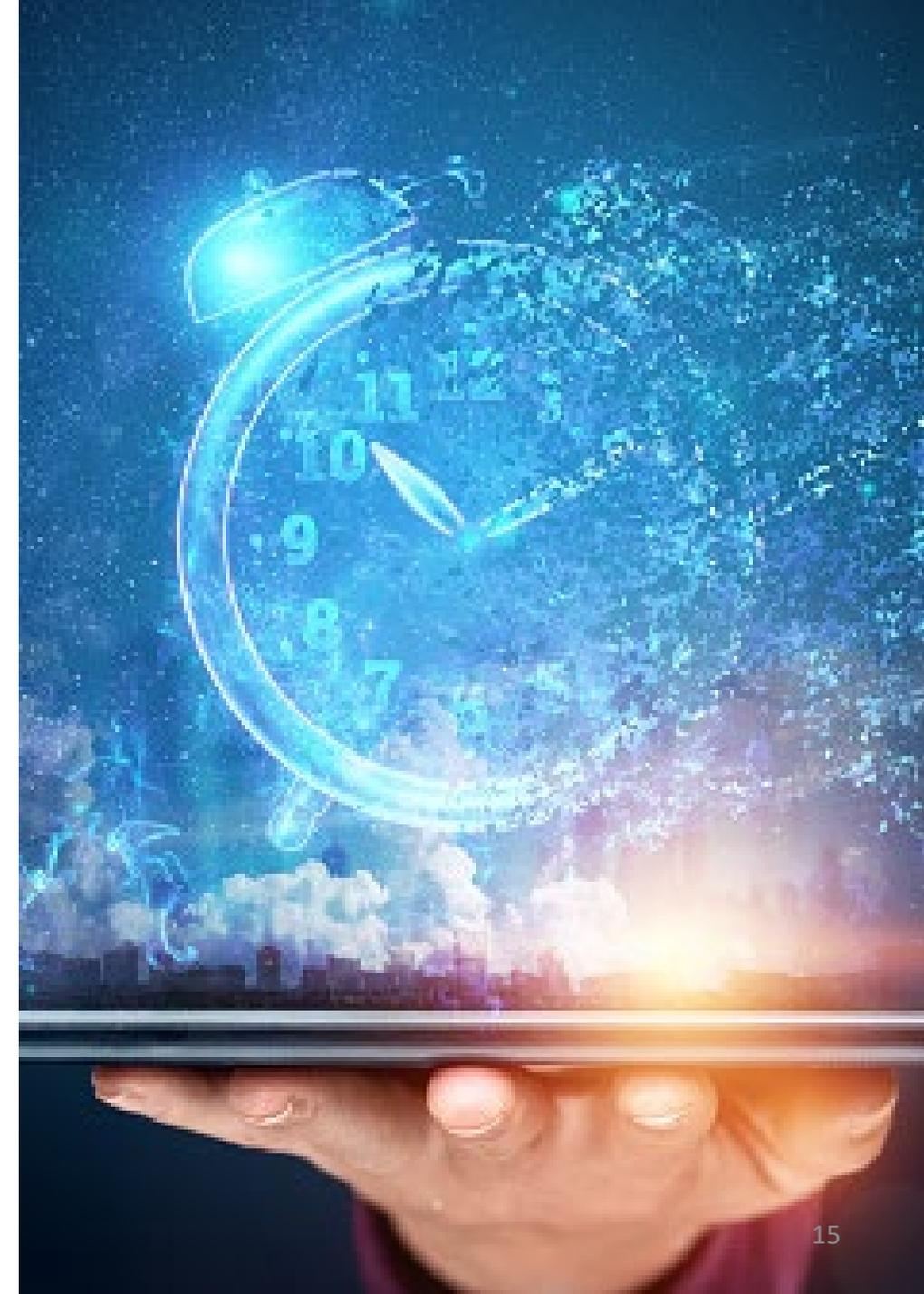
There are many other docs to download from this site

# This is a time sensitive period!

| 1st day of the week     | Sunday   | Monday | Tuesday | Wednesday | Thursday | Friday | Saturday |
|-------------------------|--|--------|---------|-----------|----------|--------|----------|
| <b>Week 13- Nov 27</b>  | <b>Review Topics document; conduct background research; Select topic/subtopic pair that you can address. Contact Topic Manager, if you have questions</b>  |        |         |           |          |        |          |
| <b>Week 12 - Dec 4</b>  | <b>Register for UEI, PAMS, SAM, SBA - get support from PTAC; Line up support services that can assist you SBDC, PTAC</b>   |        |         |           |          |        |          |
| <b>Week 11 - Dec 11</b> | <b>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</b> |        |         |           |          |        |          |
| <b>Week 10 - Dec 18</b> |  |        |         |           |          |        |          |
| <b>Week 9 - Dec 25</b>  |  |        |         |           |          |        |          |
| <b>Week 8 - Jan 1</b>   |  |        |         |           |          |        |          |
| <b>Week 7 - Jan 8</b>   |  |        |         |           |          |        |          |
| <b>Week 6 - Jan 15</b>  |  |        |         |           |          |        |          |
| <b>Week 5 -Jan 22</b>   |  |        |         |           |          |        |          |
| <b>Week 4- Jan 29</b>   |  |        |         |           |          |        |          |
| <b>Week 3 - Feb 5</b>   |  |        |         |           |          |        |          |
| <b>Week 2- Feb 12</b>   |  |        |         |           |          |        |          |
| <b>Week 1 - Feb 19</b>  |  |        |         |           |          |        |          |

# 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





# 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.



## 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 steps 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**





# What type of letters to I need?

- 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



## 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.

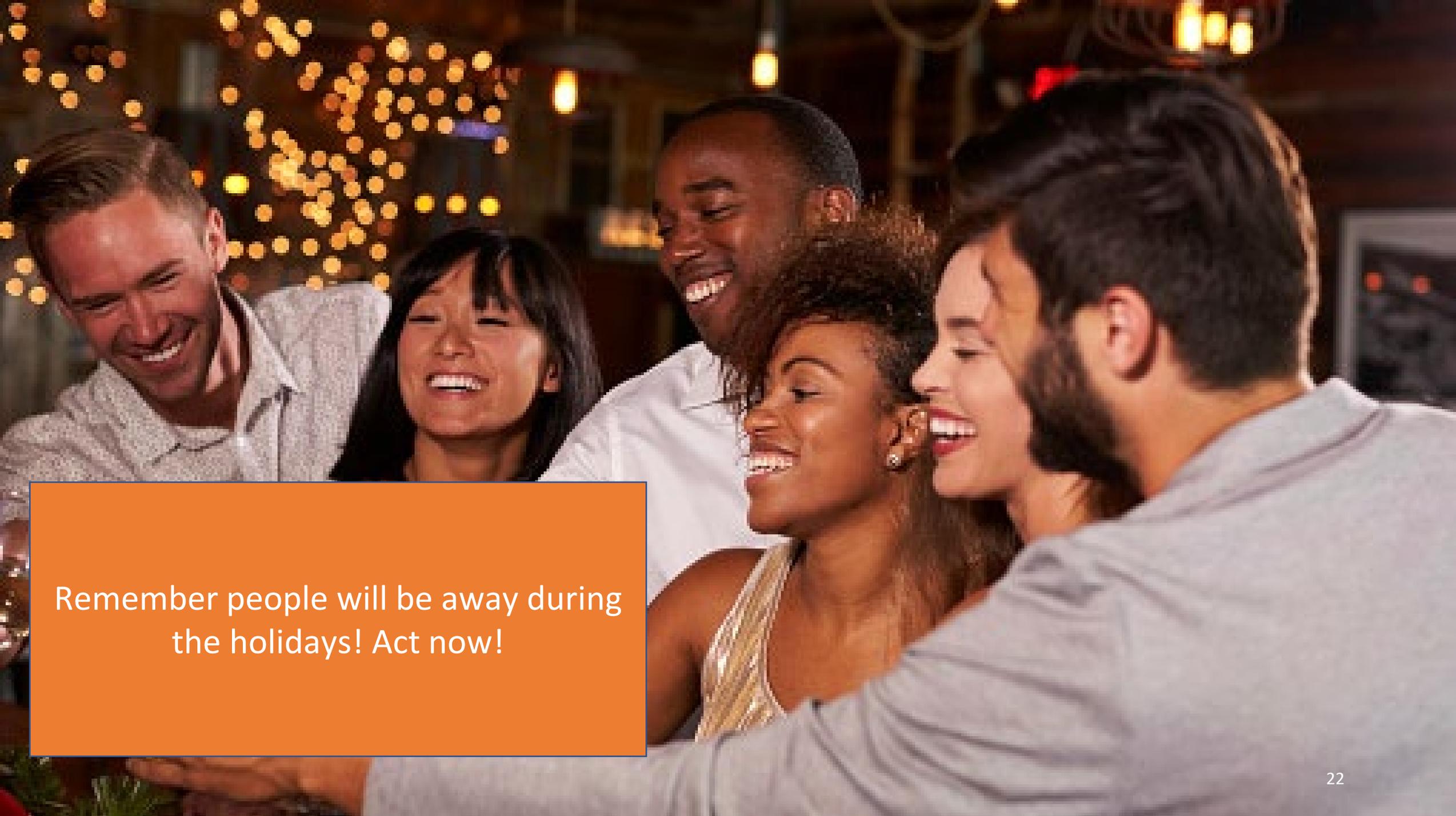
This is from the previous FOA. Usually doesn't change – but check when new FOA released



## 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



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

# During the holiday season – assume others are unavailable

| 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 address. 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 |        |         |           |          |        |          |
| Week 10 - Dec 18    | Seek feedback on the First section of Project Narrative from service provider and refine. Draft the next section Anticipated Public benefit   |        |         |           |          |        |          |
| 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      | <b>Submit LOI - Don't miss it</b> 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      |   |        |         |           |          |        |          |
| Week 1 - Feb 19     |   |        |         |           |          |        |          |





- 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



## 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.



# Shift attention to other parts of the Application Package

| 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 address. 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 |        |         |           |          |        |          |
| Week 10 - Dec 18    | Seek feedback on the First section of Project Narrative from service provider and refine. Draft the next section Anticipated Public benefit   |        |         |           |          |        |          |
| 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      | <b>Submit LOI - Don't miss it</b> Continue working on Objectives and start the Work Plan , Consider staffing needs and budget. C  |        |         |           |          |        |          |
| Week 7 - Jan 8      | Start looking at other sections of the application package, especially financials. Request feedback from service provider on Objectives and WorkPlan. Make changes as needed  |        |         |           |          |        |          |
| Week 6 - Jan 15     | Seek assistance with information needed for Commercialization Plan. Review DOE guidelines and Example. Refine Project Narrative per feedback provided   |        |         |           |          |        |          |
| Week 5 -Jan 22      |   |        |         |           |          |        |          |
| Week 4- Jan 29      |   |        |         |           |          |        |          |
| Week 3 - Feb 5      |   |        |         |           |          |        |          |
| Week 2- Feb 12      |   |        |         |           |          |        |          |
| Week 1 - Feb 19     |   |        |         |           |          |        |          |

# Finance and Commercialization Tools

## DOE Commercialization Plan Guidelines

### Use Bureau of Labor statistics for rates

The screenshot shows the U.S. Bureau of Labor Statistics website. The main navigation bar includes 'HOME', 'SUBJECTS', 'DATA TOOLS', 'PUBLICATIONS', 'ECONOMIC RELEASES', 'CLASSROOM', and 'BETA'. The 'Subject Areas' section is expanded to show 'Overview of BLS Wage Data by Area and Occupation'. The page content is organized into three main sections: 'National Wage Data', 'Wage Data by State', and 'Wage Data by Metropolitan Area'. Each section provides a brief overview and links to detailed data resources.

**Subject Areas**

**Overview of BLS Wage Data by Area and Occupation**

BLS wage data are available by occupation for the [nation](#), [regions](#), [states](#), and many [metropolitan and nonmetropolitan areas](#).

**National Wage Data**

- For over 800 occupations. Data are classified using the [Standard Occupational Classification \(SOC\)](#) System.
- Data by job characteristics and the level of difficulty and complexity of work.
- For about 400 industries. Occupational wage data for sector, 3-, 4- and 5-digit [North American Industry Classification System \(NAICS\)](#) industries.
- Data by occupation and gender Data for men and for women in 200 occupations.

**Wage Data by State**

- By state. 50 states plus District of Columbia, Guam, Puerto Rico, and Virgin Islands.
- Data by job characteristics and the level of difficulty and complexity of work. (Guam, Puerto Rico, and Virgin Islands excluded).

**Wage Data by Metropolitan Area**

- For 395 metropolitan statistical areas (MSAs) and over 130 nonmetropolitan areas. (MSAs consist of one or more counties (or towns and cities in New England) and contain a core area with a substantial population that has a high degree of economic and social integration with the surrounding areas; also, an MSA must have at least one urbanized area of 50,000 or more inhabitants. Certain MSAs have subdivisions called metropolitan divisions.
- Data by job characteristics and the level of difficulty and complexity of work. (Guam, Puerto Rico, and Virgin Islands excluded).

BLS wage data by area and occupation are from the [National Compensation Survey](#), [Occupational Employment Statistics Survey](#), or the [Current Population Survey](#).

Other BLS programs that publish wage data (though not by detailed occupation) are [Employment Cost Trends](#), [Current Employment Statistics](#), and [Quarterly Census of Employment and Wages](#).

The screenshot shows the DOE Office of Science website. The main navigation bar includes 'Home', 'About', 'Laboratories', 'Science Features', 'Universities', 'User Facilities', 'Funding', 'Initiatives', and 'Programs'. The 'Funding' section is expanded to show 'Preparing a DOE SBIR/STTR Phase I Grant Application'. The page content is organized into two main columns: 'About' and 'Preparing a DOE SBIR/STTR Phase I Grant Application'. The 'About' column provides general information, while the 'Preparing a DOE SBIR/STTR Phase I Grant Application' column provides detailed instructions and resources for applicants.

**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 Small Business Technology Transfer (STTR) Phase I Grants. This application guide is used as a companion document to completing the SF-424 (R&R) form and the required forms.

Additionally download the [DOE SBIR/STTR Phase I Application Requirements Checklist](#).

The following forms are required for a Phase I and II DOE SBIR/STTR Application:

- SF-424 Research & Related (R&R) Application for Federal Assistance

**R & R Budget**

- Key Persons – Section A
- Other Persons, if applicable - Section B
- Equipment, Travel and Support Costs, if applicable - Section C, D & E
- Other Direct and Indirect Costs, Fee - Section F-K
- Budget Justification Template – Section L
- R&R Budget - Cumulative Budget

**R&R Senior/Key Person Profile (Expanded)**

- Biographical Sketch for each person
- Current and Pending Support for each person, if applicable

**R&R Other Project Information**

- Project Summary/Abstract
- Project Narrative, including required appendices (See Table 1.1 in Application Guide)
- Other – Data Management Plan
- Other – Letter of Commitment for consultant, sub-award or research institution, if applicable
- Other – Letters of support, if applicable
- Other – SBA Company Registration
- Other – Company Commercialization Report from SBIR.gov (STTR-only applications)
- Level-of-Effort Worksheet (Excel spreadsheet for performing the calculation can be downloaded below)

**R&R Sub-award Budget Form, if applicable**

- Budget justification for each Sub-award

**SFLLL Disclosure of Lobbying Activities, if applicable (Optional)**

**Project/Performance Site Location(s)**

**SBIR/STTR Information Form**

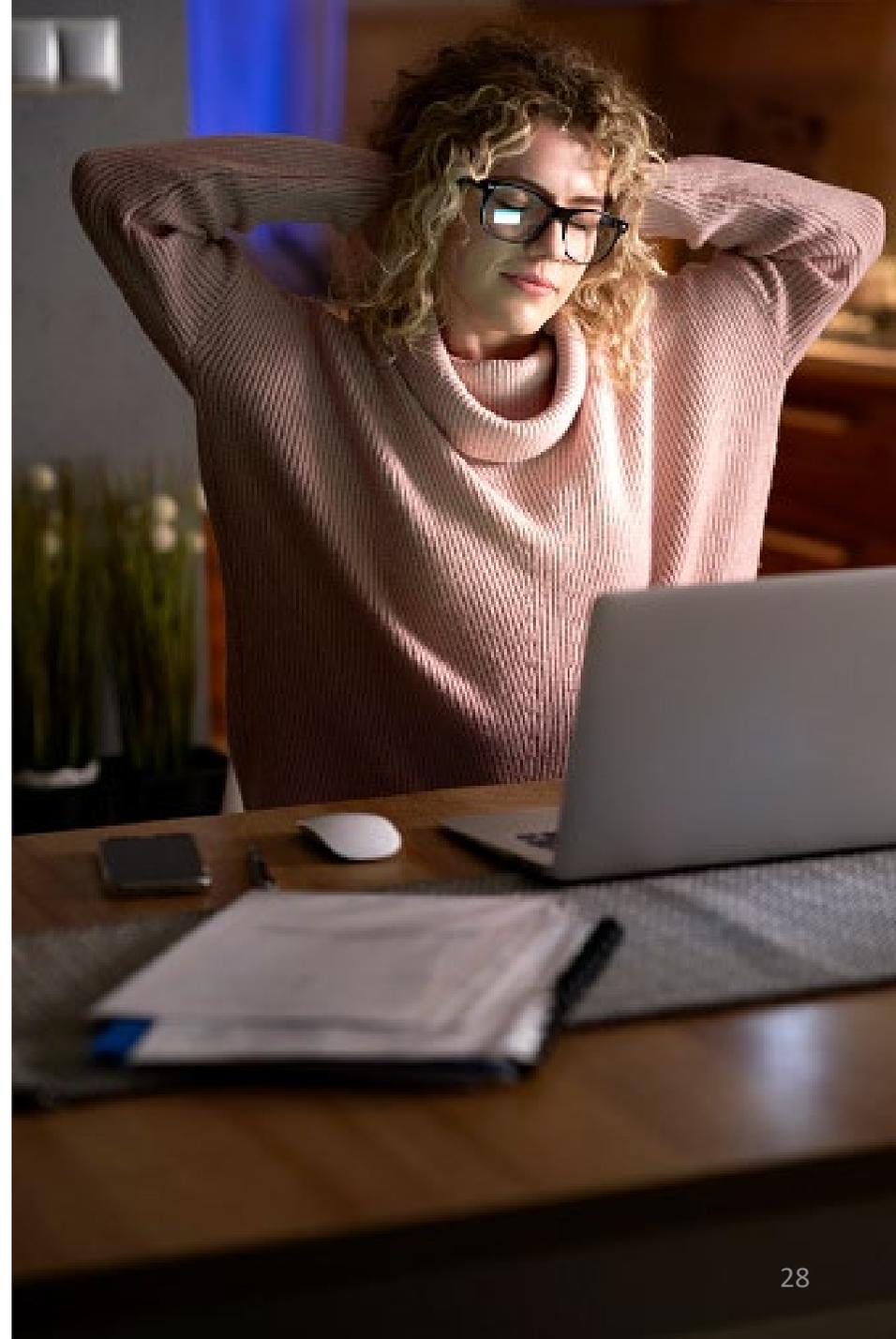
**Commercialization Plan for Phase I SBIR/STTR – Example:** [\[Link\]](#)

APPLICATION CHECKLIST

**DOE Phase I  
Application  
Requirements  
Checklist**

| DOES THE APPLICATION SATISFY THE FOLLOWING REQUIREMENTS? |   | YES | NO |
|--|---|-----|----|
| <b>Registrations</b>                                     | SAM Registered  |     |    |
|  | PAMS Registered   |     |    |
|  | Grants.gov Registered   |     |    |
| <b>Topic &amp; Subtopic</b>                              | Only one (1) <u>Topic</u> from the Topics Section identified on the SBIR/STTR Information Form and Project Narrative  |     |    |
|  | Only one (1) <u>Subtopic</u> from the Topics Section identified on the SBIR/STTR Information Form and Project Narrative   |     |    |
| <b>Budget</b>  | 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   |     |    |
|  | <a href="#">Budget justification</a> is provided  |     |    |
|  | <a href="#">Level-of-Effort is in compliance (see Level-of-Effort worksheet)</a>  |     |    |
|  | For SBIR - small business must perform at least 2/3 of the research and analytical effort<br>For STTR - small business must perform at least 40% and research institution must perform at least 30% of the research and analytical effort   |     |    |
| <b>Project Summary/Abstract</b>                          | Project Summary/Abstract contains no proprietary information  |     |    |
| <b>Project Narrative</b>                                 | 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.   |     |    |
| <b>Proprietary Information</b>                           | Where included, proprietary information in the narrative is identified and marked according to Part IV. C of the FOA, if applicable.  |     |    |
| <b>Subcontractors/ Research Institutions</b>             | A letter of commitment is provided, if applicable   |     |    |
|  | A complete subaward budget and budget justification are provided, if applicable   |     |    |
| <b>Consultants</b>                                       | Consultant commitment letter is provided, if applicable   |     |    |
| <b>Commercialization Documents</b>                       | <a href="#">Commercialization Plan is included along with mandatory Revenue statement</a>   |     |    |
|  | Company Commercialization Report from SBIR.gov is included, if applicable.  |     |    |

11/4/2021



## Customized Assistance – Checking , shaping, formatting

| 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 address. 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 |        |         |           |          |        |          |
| Week 10 - Dec 18    | Seek feedback on the First section of Project Narrative from service provider and refine. Draft the next section Anticipated Public benefit   |        |         |           |          |        |          |
| Week 9 - Dec 25     | Draft Letter of Intent (LOI) following DOE's guidelines and example. Draft Objectives. Seek feedback from service provider and rewrite LOI. Check all guidelines and confirm PAM registration                             |        |         |           |          |        |          |
| Week 8 - Jan 1      | <b>Submit LOI - Don't miss it</b> 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. Request feedback from service provider on Objectives and WorkPlan. Make changes as needed  |        |         |           |          |        |          |
| Week 6 - Jan 15     | Seek assistance with information needed for Commercialization Plan. Review DOE guidelines and Example. Refine Project Narrative per feedback provided   |        |         |           |          |        |          |
| Week 5 -Jan 22      | <b>Non-responsive LOI notification from DOE.</b> 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     | <b>Full applications due through Grants.gov - Don't miss deadline</b>   |        |         |           |          |        |          |





- This is all we will cover today! My objective has been to show you what 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/>

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](mailto:jcservo@dawnbreaker.com)

Be sure to follow us on Twitter!

<https://twitter.com/dawnbreaker>

