

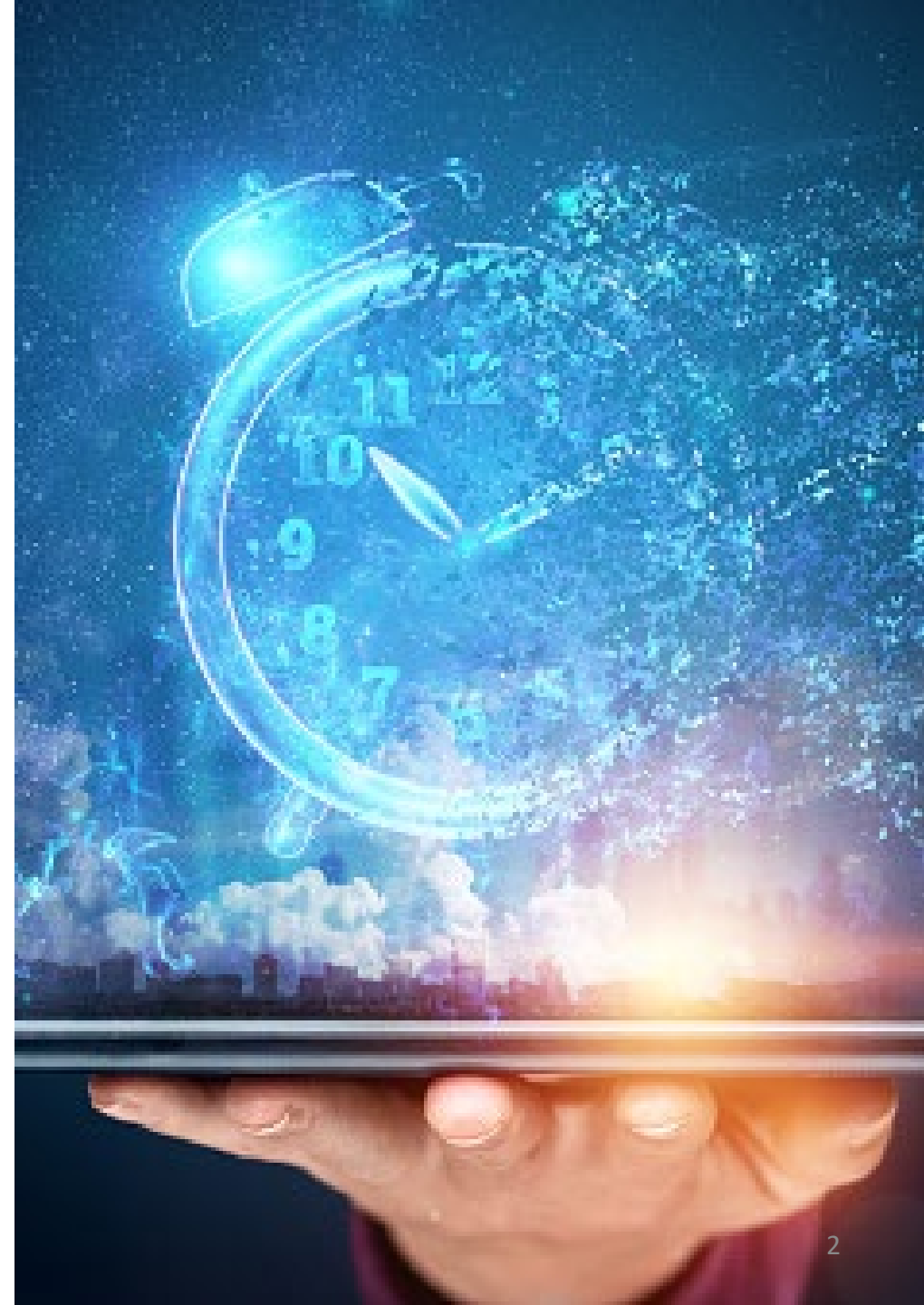


The Importance of Developing a Proposal Preparation Schedule

PRESENTED BY: Jenny C. Servo, Ph.D
Dawnbreaker
©DAWNBREAKER 2023 jcservo@dawnbreaker.com

AGENDA

- What is involved with developing the application package?
 - Overview or application elements
- How many weeks until DOE Phase I applications are due?
 - 13 weeks
- Lining up support
- Tutorials to assist you
 - DOE Phase 0
 - Podcasts and pdfs
- Week by week schedule with details





**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 August 7

©DAWNBREAKER 2023

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 Summer?

©DAWNBREAKER 2023

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 summer
- 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

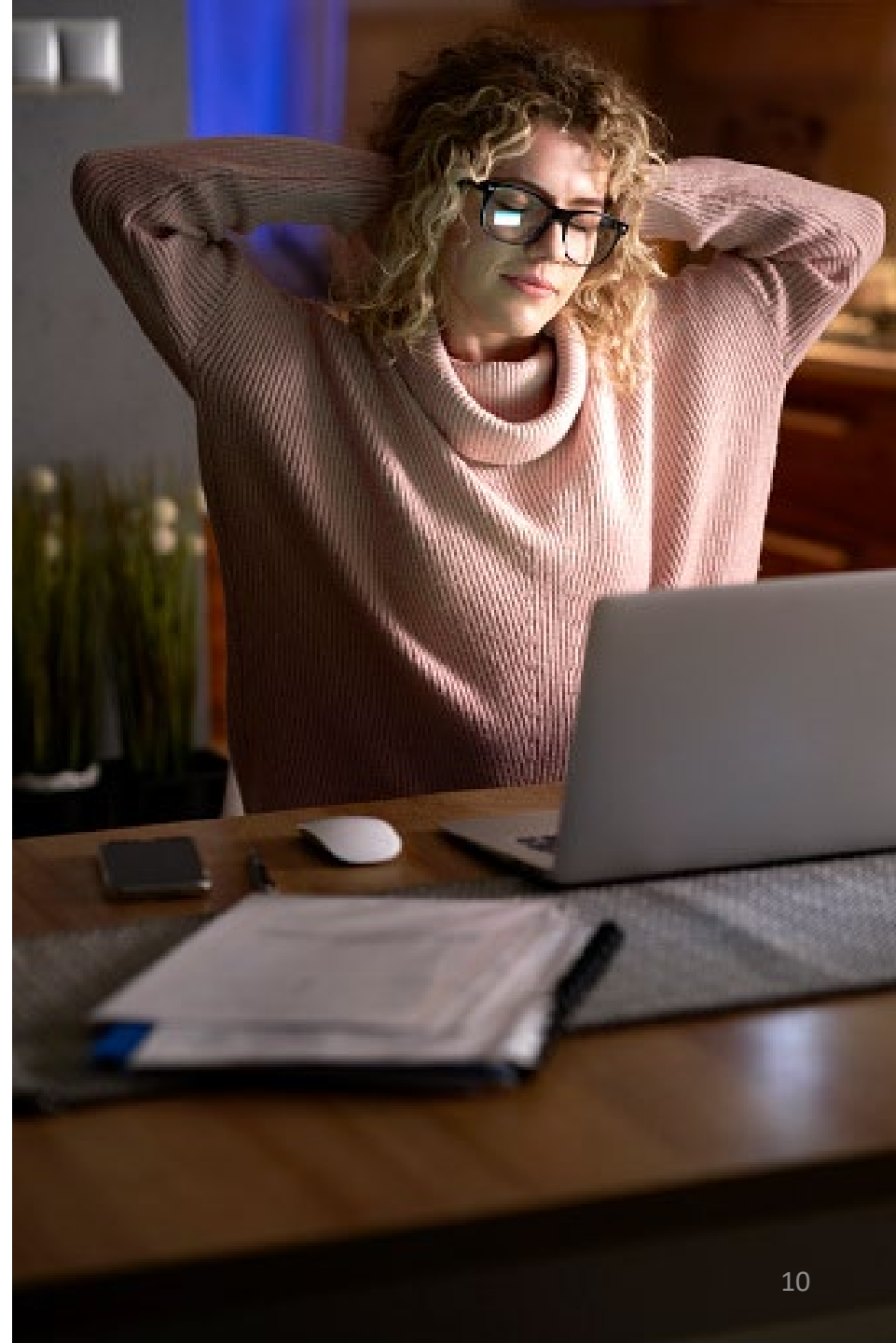


What resources are available to help you?

- 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!

- **Why do you need on-going assistance from a service provider?**
 - If you only get feedback from a service provider when you have drafted your Project narrative, you will have insufficient time for course corrections
 - Assistance will increase the likelihood that you will pass the administrative review
 - A service provider helps you to keep this project a priority and helps keep frustration in check
 - Writing a proposal for the first time is complicated



How do I find Support Organizations in my Area?

See SBIR.gov





[Login/Register](#)[Contact Us](#)[Search](#)

[About](#)[Funding](#)[Reports](#)[Showcase](#)[Announcements](#)[Resources](#)

What is SBIR?

Small Business Innovation Research

Funding to turn your R&D into products & services with global impact.

[Learn More](#)



Entrepreneur

- Learn how to apply
- Confirm eligibility
- Register my company
- Edit company information
- Contact an SBIR Agency



Support Organization

- See awards in your area
- View training opportunities
- Submit an event



Federal Agency

- Procure cutting edge technology
- Share a success story
- Request an agency login
- Access Phase III information



Are you looking for SBIR/STTR funding?

[Find Opportunities](#)

Find Local Assistance

Local resources might be right around the corner
The SBA works with a number of local partners to train and support potential SBIR/STTR applicants around the country. Check now to find the help you need, from proposal assistance to SAM registration, commercialization support to industry connections.

Find a local resource near you:

Select a state ...



7/25/2023

©DAWNBREAKER 2023

11

11


For First time Applicants

FY24 P1R1 topics are now available and applications for DOE Phase 0 are open.

DOE PHASE 0

SBIR/STTR ASSISTANCE PROGRAM


About the Program Services Eligibility Apply Resources Tutorials



Do you need help preparing a DOE SBIR/STTR Application?

Check Eligibility

FREE TO ELIGIBLE ENTREPRENEURS



ABOUT

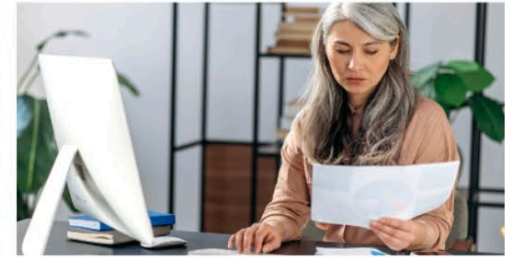
What is the DOE Phase 0 Program?

The DOE Phase 0 Program is provided by the Department of Energy to assist first time applicants learn how to prepare responsive applications to the Small Business Innovation Research (SBIR) and/or Small Business Technology Transfer (STTR) program. To be eligible for this service which is provided at no charge, applicants must be a small business with the capability to respond to the topics in the DOE Funding Opportunity Announcements (FOA). These solicitations are



TUTORIALS

DOE Phase I Proposal Preparation



The DOE SBIR/STTR Phase 1 Proposal Preparation site is available to help teach Small Businesses how to prepare a proposal in response to the DOE Funding Opportunity Announcement (FOA).


Mix of excitement with frustration



Download all relevant Materials into a folder on your desktop

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

Letter of Intent (LOI), Phase I Grant Application



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

Partnering Resources

Frequently Asked Questions

Research Areas & Impact

Awards

SBIR/STTR Phase III Success Stories

Outreach

Foreign Risk Management

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

FY25 (Future)

FY24 (Current)

FY23 (Closed)

2024

Phase I	Release 1	Release 2
Topics Issued	Monday, July 10, 2023	Monday, November 6, 2023
Document	Phase I Release 1 Topics	
Phase 0 Application Assistance (free for first time applicants) starts	Monday, July 10, 2023	Monday, November 6, 2023
Topic Webinar, week of	ASCR and BES Topics (1-15) Tuesday, July 18, 2023 Register BER and FES Topics (16-25) Wednesday, July 19, 2023 Register HEP and NP Topics (26-36) Wednesday, July 26, 2023 Register	Monday, November 13, 2023*
FOA Issued	Monday, August 7, 2023	Monday, December 11, 2023
Document		

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 »](#)

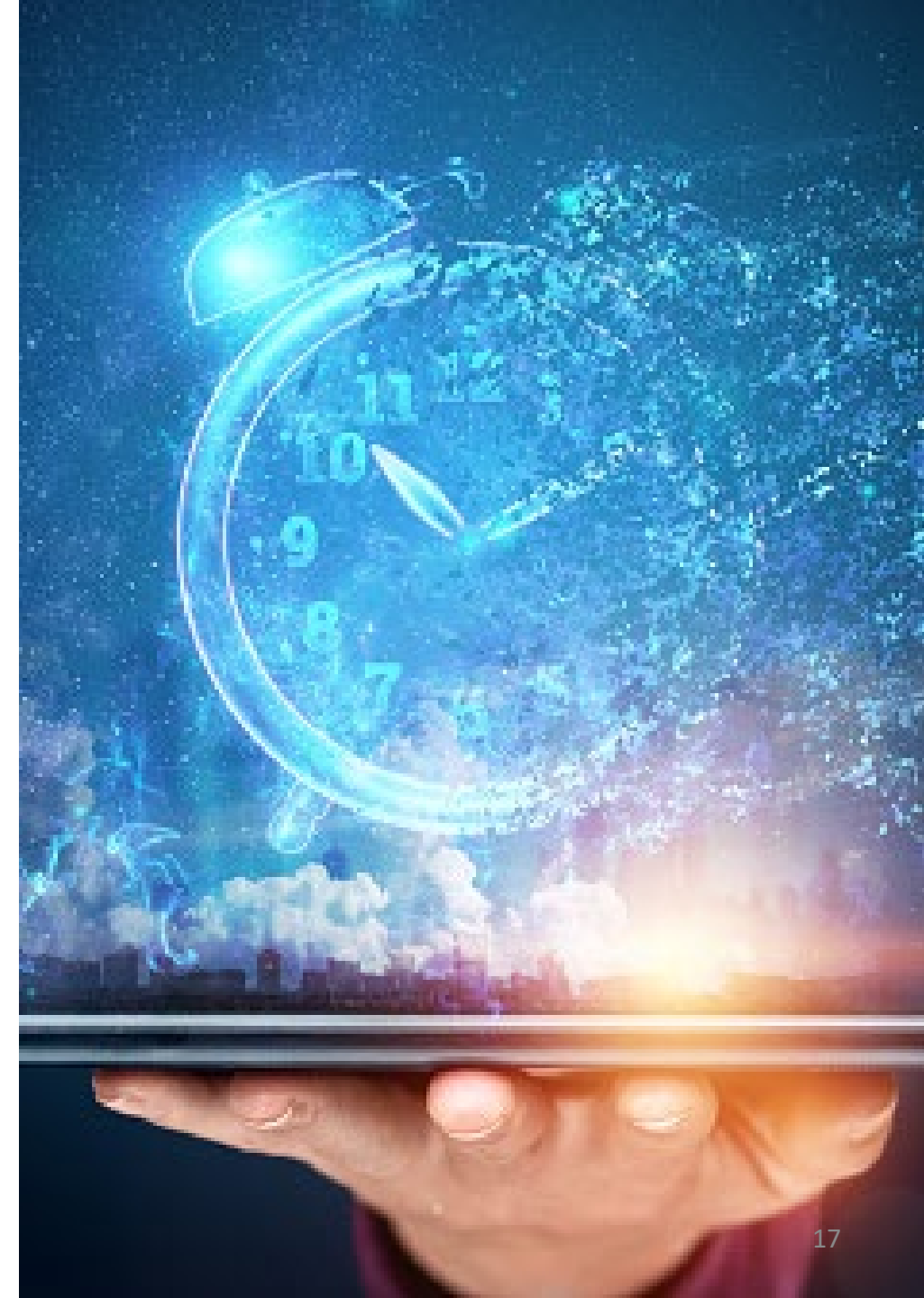
There are many other docs to download from this site

What should you do before the LOI is due?

1st day of the week	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
Week 1: 7/24/23	Review Topics document; conduct background research; Select topic/subtopic pair that you can address. Contact Topic Manager, if you have questions.						
Week 2: 7/31/23	Register for UEI, PAMS, SAM, SBA - get support from PTAC; Line up support services that can assist you such as SBDC, PTAC, DOE Phase 0						
Week 3: 8/7/23	FOA Released	Review the LOI guidelines, as well as the guidelines for the 1st section of the Project narrative:"Identification and Significance of the Problem and Technical Approach." Start to draft the first section of the Project Narrative					
Week 4: 8/14/23	Seek feedback on the first section of the Project narrative from service provider and refine your draft. Then draft the next section Anticipated Public Benefit						
Week 5: 8/21/23	Draft Letter of Intent (LOI) following DOE's guidelines and example. Seek feedback from service provider and rewrite LOI. Check all guidelines and confirm PAM registration. The LOI title is important. Submit LOI early. Start preparing the Objectives of Project Narrative						
Week 6: 8/28/23	LOI Due 8/28						
Week 7: 9/4/23							
Week 8: 9/11/23							
Week 9: 9/18/23	Non-responsive notification 9/18						
Week 10: 9/25/23							
Week 11: 10/2/23							
Week 12: 10/9/23		Applications due					

Why is it important to study the topics document?

- 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;
 - Reach out to Topic Manager
- 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 DOE SBIR/STTR Topics Document 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 stops and starts; required to submit DOE application
 - All PTACs provide free assistance – Utilize!
 - Business Official should be involved
 - EIN number required
- **There are other registrations required by DOE – but do these first**





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”

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 August 7

©DAWNBREAKER 2023



- **“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



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.





- 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

Where are the Letter of Intent Guidelines?

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



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
Foreign Risk Management
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		
FY25 (Future)	FY24 (Current)	FY23 (Closed)

2024

Phase I	Release 1	Release 2
Topics Issued	Monday, July 10, 2023	Monday, November 6, 2023
Document	Phase I Release 1 Topics	
Phase 0 Application Assistance (free for first time applicants) starts	Monday, July 10, 2023	Monday, November 6, 2023
Topic Webinar, week of	ASCR and BES Topics (1-15) Tuesday, July 18, 2023 Register BER and FES Topics (16-25) Wednesday, July 19, 2023 Register HEP and NP Topics (26-36) Wednesday, July 26, 2023 Register	Monday, November 13, 2023*
FOA Issued	Monday, August 7, 2023	Monday, December 11, 2023
Document		

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

Does DOE really provide an example of an LOI? Where is it?

[SC Home](#) [Organization](#) [Contact](#) [Stay Connected](#) [DOE Home](#)

 **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 \(STTR\)](#) | [Applicant Resources](#)
| [Preparing and Submitting a Phase I Letter of Intent](#)

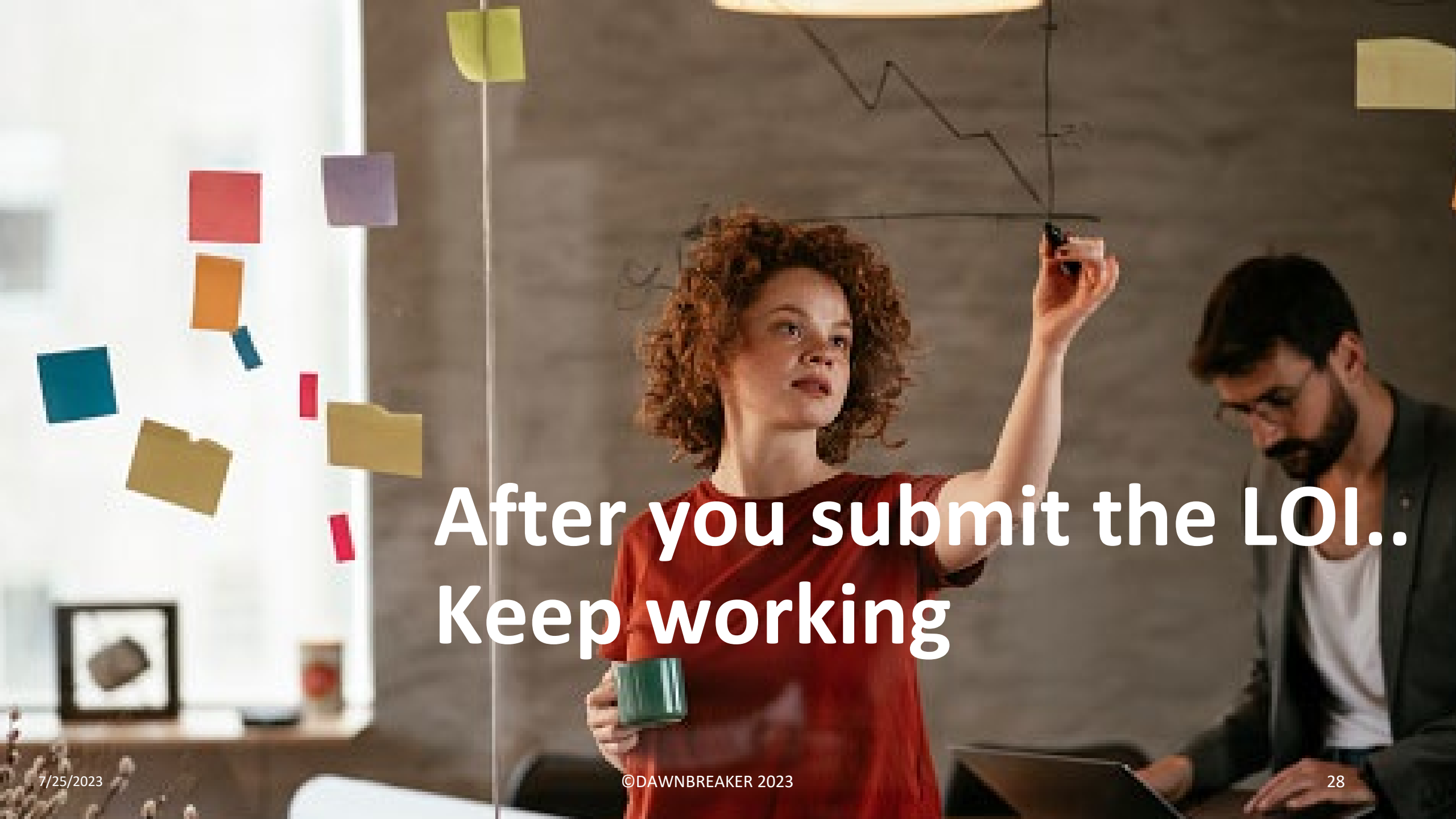
[About](#)
[Funding Opportunities](#)
[Applicant Resources](#)
 [DOE SBIR Phase I Application Tutorials](#)
 [DOE Phase 0 Small Business Application Assistance](#)
 [Preparing and Submitting a Phase I Letter of Intent](#)
 [Preparing a DOE SBIR/STTR Phase I Grant Application](#)
 [Preparing a DOE SBIR/STTR Phase II Grant Application](#)
[Quick Links](#)
[National Labs, Profiles, and Contacts](#)
[Protecting your Trade Secrets,](#)

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. The primary purpose of the LOI is to enable DOE program managers to assign reviewers. Your technical abstract should contain sufficient technical information so that reviewers with appropriate technical backgrounds can be identified for your application. However, your LOI should not include any proprietary information.

Applicants must submit a LOI for every application; only those applicants that submit a LOI by the due date are eligible to submit a full application.

- The following [Letter of Intent Instructions](#) provides detailed guidance on how to prepare and submit a Letter of Intent.
- The following [Letter of Intent Example](#) is an example of the detail sought in an LOI technical abstract. You may use fewer than 500 words; however, we must be able to determine the type of technical reviewers needed and the overall responsiveness to the topic and subtopic.



**After you submit the LOI..
Keep working**



Shift attention to other parts of the Application Package

- . Budget**
- . People**
- . Commercialization**


What to work on after submitting the LOI?

1st day of the week	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
Week 1: 7/24/23	Review Topics document; conduct background research; Select topic/subtopic pair that you can address. Contact Topic Manager, if you have questions.						
Week 2: 7/31/23	Register for UEI, PAMS, SAM, SBA - get support from PTAC; Line up support services that can assist you such as SBDC, PTAC, DOE Phase 0						
Week 3: 8/7/23	FOA Released	Review the LOI guidelines, as well as the guidelines for the 1st section of the Project narrative:"Identification and Significance of the Problem and Technical Approach." Start to draft the first section of the Project Narrative					
Week 4: 8/14/23	Seek feedback on the first section of the Project narrative from service provider and refine your draft. Then draft the next section Anticipated Public Benefit						
Week 5: 8/21/23	Draft Letter of Intent (LOI) following DOE's guidelines and example. Seek feedback from service provider and rewrite LOI. Check all guidelines and confirm PAM registration. The LOI title is important. Submit LOI early. Start preparing the Objectives of Project Narrative						
Week 6: 8/28/23	LOI Due 8/28	After you submit your LOI, continue working on Technical Objectives and start the Work Plan (seek feedback). Start to consider staffing needs and budget					
Week 7: 9/4/23	Start looking at other sections of the application package, especially the financials. Request feedback from service providers on Workplan and make changes as needed, Letters of Support						
Week 8: 9/11/23	Seek assistance with information needed to develop the commercialization plan. Review DOE guidelines and example. Refine project narrative per feedback provided (page limits and word count important). Start working on budget justification						
Week 9: 9/18/23	Non-responsive notification 9/18						
Week 10: 9/25/23							
Week 11: 10/2/23							
Week 12: 10/9/23		Applications due					



Finance and Commercialization Tools

DOE Commercialization Plan Guidelines

Use Bureau of Labor statistics for rates



U.S. BUREAU OF LABOR STATISTICS

Follow Us   | [Release Calendar](#) | [Blog](#)

HOME

SUBJECTS

DATA TOOLS


PUBLICATIONS

ECONOMIC RELEASES

CLASSROOM

BETA

Subject Areas

PRINT: 

SUBJECT AREAS

INFLATION & PRICES

SPENDING & TIME USE

UNEMPLOYMENT

EMPLOYMENT

PAY & BENEFITS

PRODUCTIVITY

WORKPLACE INJURIES

INTERNATIONAL

REGIONAL OFFICES

MORE

AT A GLANCE TABLES

ANNOUNCEMENTS

COMMISSIONER'S CORNER

RESEARCH

SPOTLIGHT ON STATISTICS

CAREER INFORMATION FOR KIDS

DEMOGRAPHICS

INDUSTRIES

BUSINESS COSTS

OCCUPATIONS

GEOGRAPHY

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](#).



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)

Applicant Resources

Preparing a DOE SBIR/STTR Phase I Grant Application

About

Funding Opportunities

Applicant Resources

DOE SBIR Online Learning Center

DOE Phase I 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

Frequently Asked Questions

Research Areas & Impact

Awards

SBIR/STTR Phase III Success Stories

Outreach & Events

Reporting Fraud

Contact the DOE SBIR/STTR Programs Office

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: [\[Link\]](#)

7/25/2023

©DAWNBREAKER 2023

31



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

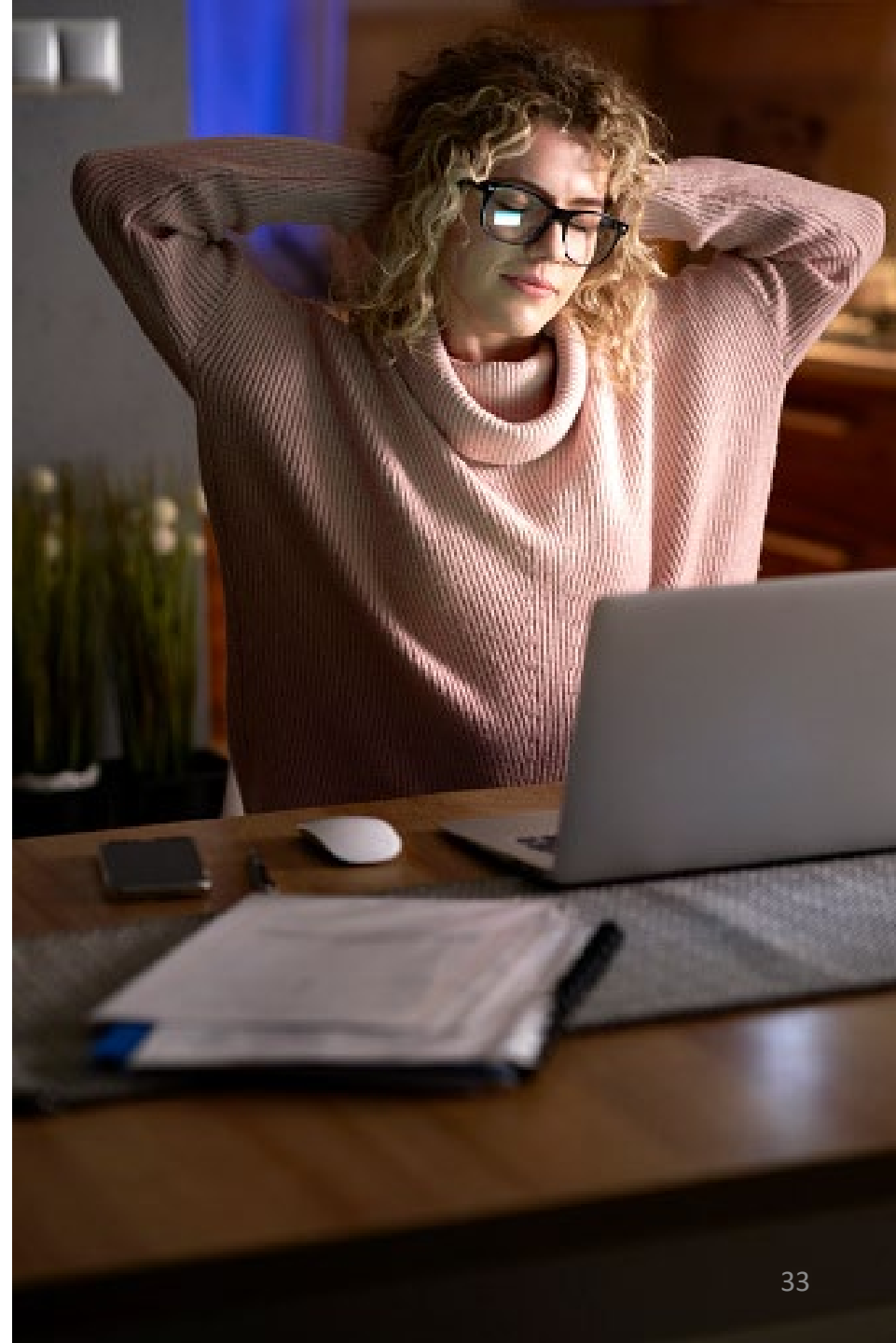
Letter of Support Example

APPLICATION CHECKLIST

DOE Phase I Application Requirements Checklist

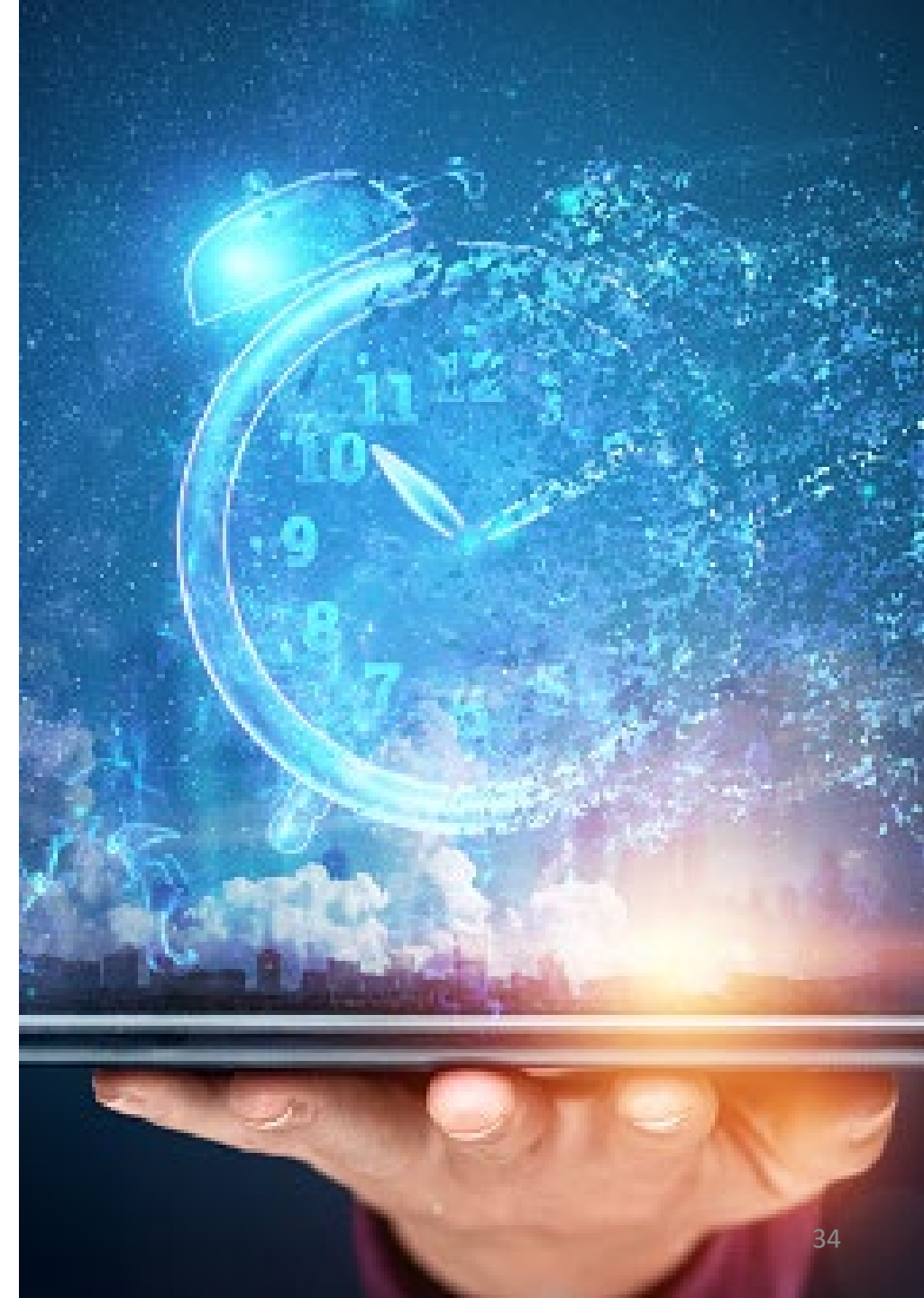
DOES THE APPLICATION SATISFY THE FOLLOWING REQUIREMENTS?		YES	NO
Registrations	SAM Registered		
	PAMS Registered		
	Grants.gov Registered		
Topic & Subtopic	Only one (1) <u>Topic</u> from the Topics Section identified on the SBIR/STTR Information Form and Project Narrative		
	Only one (1) <u>Subtopic</u> from the Topics Section identified on the SBIR/STTR Information Form and Project Narrative		
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		
Project Summary/Abstract	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.		
Project Narrative	Where included, proprietary information in the narrative is identified and marked according to Part IV. C of the FOA, if applicable.		
Proprietary Information	A letter of commitment is provided, if applicable		
Subcontractors/ Research Institutions	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



Customized Assistance – Checking , shaping, formatting

1st day of the week	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
Week 1: 7/24/23	Review Topics document; conduct background research; Select topic/subtopic pair that you can address. Contact Topic Manager, if you have questions.						
Week 2: 7/31/23	Register for UEI, PAMS, SAM, SBA - get support from PTAC; Line up support services that can assist you such as SBDC, PTAC, DOE Phase 0						
Week 3: 8/7/23	FOA Released	Review the LOI guidelines, as well as the guidelines for the 1st section of the Project narrative:"Identification and Significance of the Problem and Technical Approach." Start to draft the first section of the Project Narrative					
Week 4: 8/14/23	Seek feedback on the first section of the Project narrative from service provider and refine your draft. Then draft the next section Anticipated Public Benefit						
Week 5: 8/21/23	Draft Letter of Intent (LOI) following DOE's guidelines and example. Seek feedback from service provider and rewrite LOI. Check all guidelines and confirm PAM registration. The LOI title is important. Submit LOI early. Start preparing the Objectives of Project Narrative						
Week 6: 8/28/23	LOI Due 8/28	After you submit your LOI, continue working on Technical Objectives and start the Work Plan (seek feedback). Start to consider staffing needs and budget					
Week 7: 9/4/23	Start looking at other sections of the application package, especially the financials. Request feedback from service providers on Workplan and make changes as needed, Letters of Support						
Week 8: 9/11/23	Seek assistance with information needed to develop the commercialization plan. Review DOE guidelines and example. Refine project narrative per feedback provided (page limits and word count important). Start working on budget justification						
Week 9: 9/18/23	Non-responsive notification 9/18	If you receive a non-responsive LOI, decide what to do - Your Option. Register with Grants.gov Prepare bios. Draft commercialization plan					
Week 10: 9/25/23	Review the application guide. Customized assistance on package elements with feedback from service provider						
Week 11: 10/2/23	Customized assistance on package elements						
Week 12: 10/9/23	SUBMIT EARLY	Applications due					





- 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!

Be sure to follow us on Twitter!

<https://twitter.com/dawnbreaker>

