

The DOE Webinar is scheduled to begin at 2:00 p.m. EST

- **Why is there no sound?**
 - This webinar is broadcast via your computer. Try turning the volume up on your computer speakers.
- **Will DOE provide access to the recorded webinar after the meeting?**
 - Yes, all those who registered will receive a link to the slides and to the recorded webinar.
- **Where can I find the FOA being discussed today?**
 - This link will take you to the FY 2018 Phase II Release 2 FOA: <https://go.usa.gov/xnF9X>
- **What if my question was not answered at today's webinar?**
 - Please contact us by email at sbir-sttr@science.doe.gov if your question was not answered during today's webinar.





***DOE's
Small Business Innovation Research (SBIR)
and Small Business Technology Transfer
(STTR) Programs***

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DOE Sequential Phase II Awards Webinar

February 16, 2018

Webinar Outline

- **Background:** What are Sequential Phase II awards and why were they implemented?
- **Application:** How and when can I apply?
- **Questions**



Terminology

Phase I

Initial Phase II

Sequential Phase II

Phase I



Phase II



Phase IIA

Phase IIB

- Awards
 - “Phase II” will denote initial Phase II awards
 - “Phase IIA” and “Phase IIB” will denote Sequential Phase II awards
- Funding Opportunity Announcement
 - Both initial and sequential Phase II applications are submitted through our “Phase II” Funding Opportunity Announcements



Statutory Changes

- SBIR/STTR Reauthorization (December 31, 2011) permitted agencies to issue sequential Phase II awards
- 15 USC 638
 - (ff) Additional SBIR and STTR awards.
 - (1) Express authority for awarding a sequential Phase II award. A small business concern that receives a Phase II SBIR award or a Phase II STTR award for a project remains eligible to receive 1 additional Phase II SBIR award or Phase II STTR award for continued work on that project.
- Only DOE Phase II awardees are eligible
- Only 1 additional Phase II award may be made per Phase II project



Motivation: Phase IIA

- Some Phase II projects are unable to be completed within two years and require more time and funding.
 - DOE program managers will select the topics/subtopics for which Phase IIA applications will be accepted
- Historically such projects required small businesses to complete two or more Phase I/II cycles to complete their R&D
- Phase IIA awards will start immediately upon completion of the Phase II award



Phase IIA Timeline

Awarded
in FY 2015

Phase I

6-9 months

Awarded
in FY 2016

Phase II

2 years

Phase IIA

up to 2 years

*No gap between end of Phase II
and start of Phase IIA*

*Phase IIA application
submitted in FY 2018*

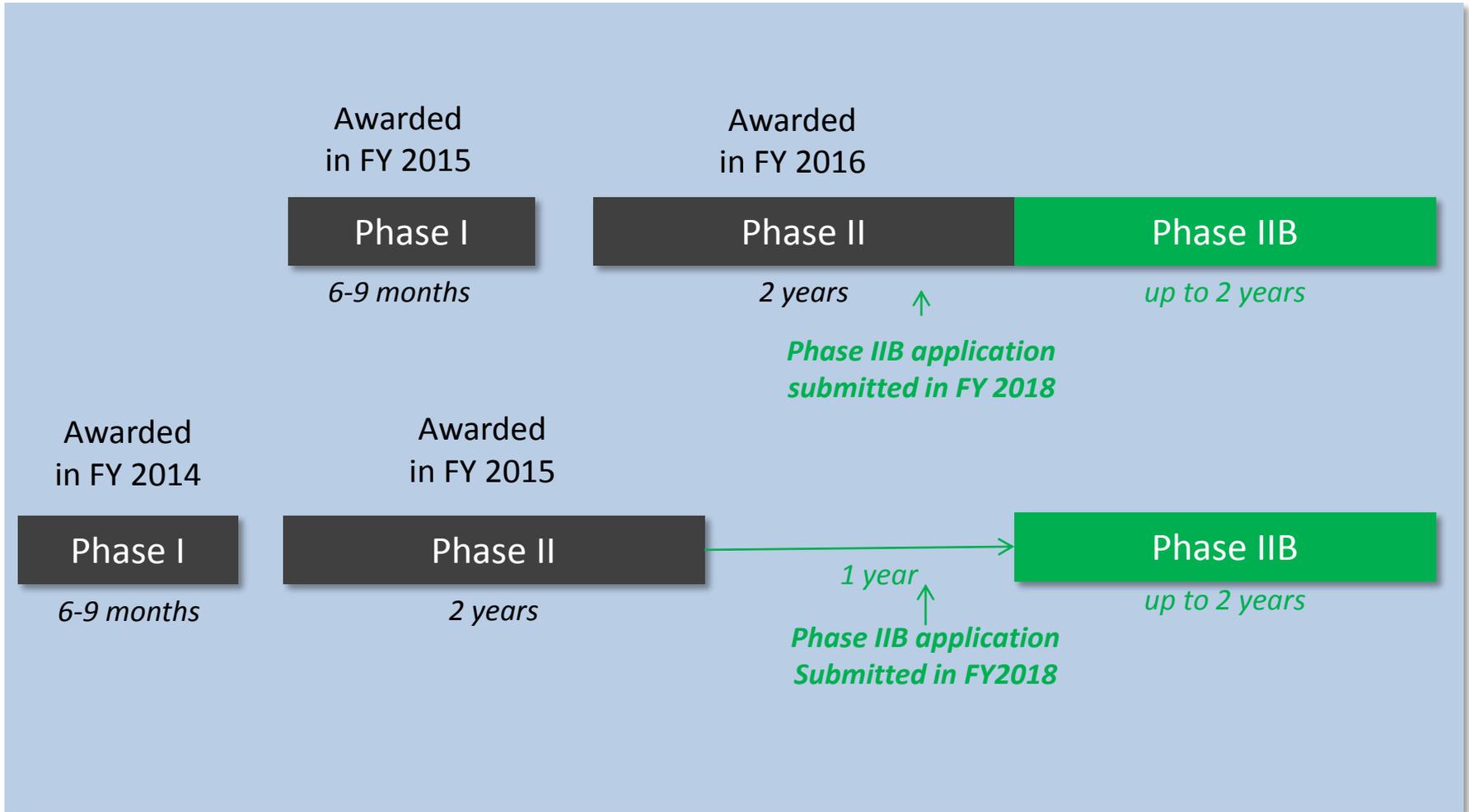


Motivation: Phase IIB

- After successfully completing Phase II R&D, some projects may require R&D funding to transition an innovation towards commercialization
- DOE is utilizing Phase IIB to increase the number of positive commercialization outcomes resulting from Phase II awards
- Phase IIB awards will start immediately after completing a Phase II or up to 1 year later



Phase IIB Timeline: Two Options



Funding for Phase IIA & IIB Awards

- Maximum Award Amount
 - \$1,000,000, up to 2 years
 - Award amounts and duration require justification
- Available Funding
 - Is there new funding available to make Phase IIA & IIB awards?
 - NO. Sequential Phase II funding is obtained from DOE SBIR & STTR allocations used to make Phase I & II awards.
- Number of Awards
 - There is no target number of awards for Phase IIA or Phase IIB
 - The number will depend on the number and quality of applications received under the Funding Opportunity Announcement



FY 2018 Phase II Release 2 Funding Opportunity Announcement (FOA) DE-FOA-0001795

Both initial and Sequential Phase II applications will be accepted and will compete for available Phase II funds

- Initial Phase II
 - Eligibility Criteria: No Change
 - Previous year Phase I awardees apply to the appropriate Phase II Release

FY 2017 Phase I Release 2 —————> FY 2018 Phase II Release 2



Phase IIA

- Eligibility Criteria

- DOE program managers have selected which topics and subtopics that received Phase II awards in FY 2016 that are eligible to apply
- Eligible Phase II grantees or Fast-Track grantees must successfully complete their Phase II grants (including No Fund Extensions) to be eligible to receive a Phase IIA grant

Eligible Phase II FOA	Eligible Topic(s)	DOE SBIR/STTR Funding Program
DE-FOA-0001490	01c, 01d, 09a	Defense Nuclear Nonproliferation
DE-FOA-0001490	10a, 10b	Electricity Delivery and Energy Reliability
DE-FOA-0001490	20b, 20d, 20g, 21b, 21c	Fossil Energy
DE-FOA-0001490	22c, 23a	Fusion Energy Sciences
DE-FOA-0001490	27a, 28a, 29a	High Energy Physics
DE-FOA-0001490	32d, 32e, 32f, 32i, 32j, 32k, 33a, 33b	Nuclear Energy

- Review Criteria

- The review criteria for Phase IIA is largely identical to that for initial Phase II with the following difference:
 - Phase IIA: Phase I & II project performance is reviewed
 - Initial Phase II: Only Phase I project performance is reviewed



Phase IIB

- Eligibility Criteria
 - Only grantees from the following **FY 2015** and **FY 2016** SBIR/STTR Phase II FOAs **AND** pre-selected topics may apply for Sequential Phase IIB awards

Eligible FY 2015 Phase II FOA	Eligible Topic(s)	DOE SBIR/STTR Funding Program
DE-FOA-0001193	22 - 23, 26	Defense Nuclear Nonproliferation
DE-FOA-0001193	30 - 33, 35	High Energy Physics
DE-FOA-0001258	01, 22	Electricity Delivery and Energy Reliability
DE-FOA-0001258	02 - 03, 06 - 07, 09	Energy Efficiency and Renewable Energy
DE-FOA-0001258	11 - 14	Fossil Energy
DE-FOA-0001258	15 - 17	Fusion Energy Sciences
DE-FOA-0001258	19 - 21	Nuclear Energy

Eligible FY 2016 Phase II FOA	Eligible Topic(s)	DOE SBIR/STTR Funding Program
DE-FOA-0001490	01 - 02, 09	Defense Nuclear Nonproliferation
DE-FOA-0001490	10	Electricity Delivery and Energy Reliability
DE-FOA-0001490	11 - 12, 14, 17 - 19	Energy Efficiency and Renewable Energy
DE-FOA-0001490	20 - 21	Fossil Energy
DE-FOA-0001490	22 - 25	Fusion Energy Sciences
DE-FOA-0001490	26 - 31	High Energy Physics
DE-FOA-0001490	32 - 33	Nuclear Energy



Phase IIB

- Eligibility Criteria
 - Only Fast-Track grantees from the following **FY 2015** SBIR/STTR Phase I Release 1 FOA **AND** from the following pre-selected topics may apply for sequential Phase IIB awards:

Eligible FY 2015 Phase I FOA	Eligible Topic(s)	DOE SBIR/STTR Funding Program
DE-FOA-0001227	02	Defense Nuclear Nonproliferation
DE-FOA-0001227	29	High Energy Physics



Phase IIB

- Review Criteria

- The weighting of the review criteria have been changed to reflect the greater importance placed on impact:

Award	Strength of the Scientific/Technical Approach	Ability to Carry Out the Project in a Cost Effective Manner	Impact
Phase II, Phase IIA	1/3	1/3	1/3
Phase IIB	1/4	1/4	1/2

- Applicants are strongly encouraged to include **Phase II Funding Commitments** and **Phase III Follow-on Funding Commitments** in their applications
 - These will receive significant emphasis in the evaluation of impact



Letter of Intent (LOI) Requirement

- **Sequential** Phase II applicants are required to submit a LOI through PAMS
 - Deadline: April 11, 2018 by 5:00 pm ET
 - Content:
 - Business Official name and contact information (telephone number and email address)
 - Name(s) of any proposed subcontractor(s) or consultant(s), if any
 - DOE Phase II Award Number DE-SC000XXXX
 - Type of Sequential Phase II submission: Phase IIA or Phase IIB
 - Sequential Phase II Project Title (same as your initial Phase II project title)
 - Phase I topic and subtopic number (same as your Phase I and initial Phase II)
 - Technical abstract that sufficiently describes your technology and application. The abstract should not exceed 500 words and two pages and it must provide sufficient technical depth to allow DOE to assign technical reviewers for your application. Please note that your abstract should not contain any proprietary information.
- **Initial** Phase II applicants are not required to submit an LOI



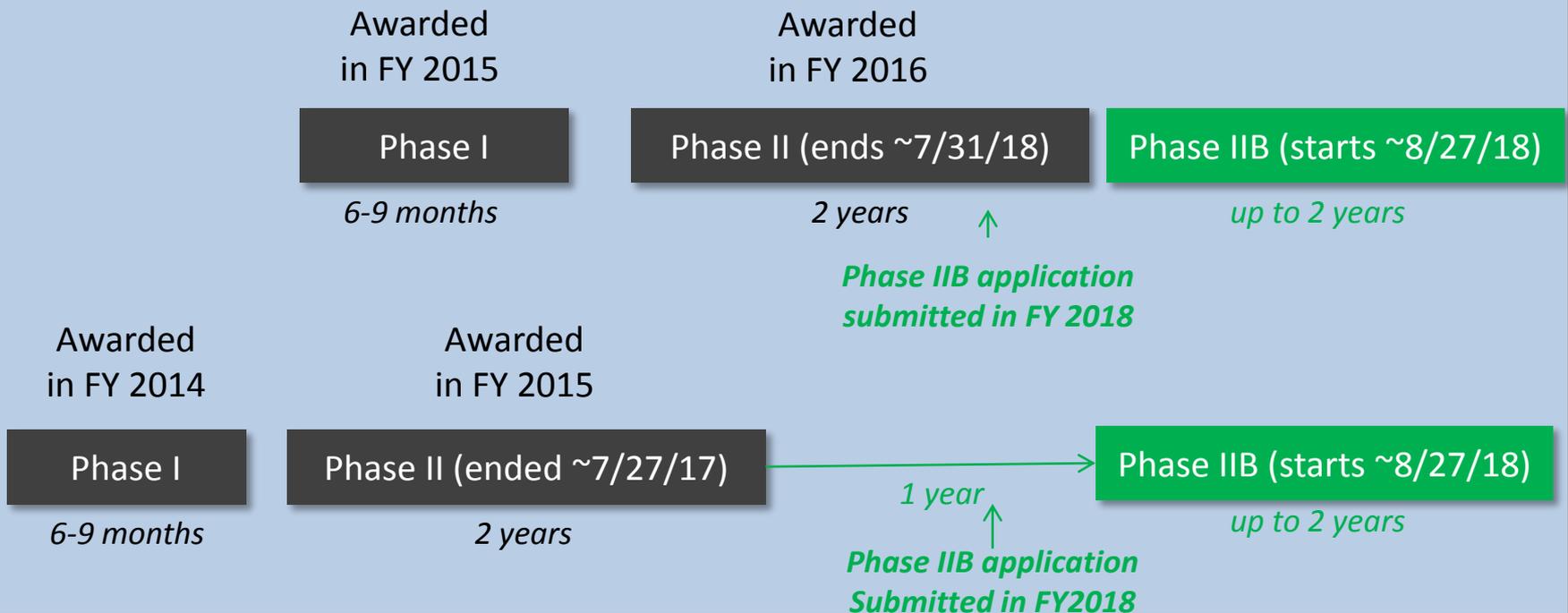
No Funds Extensions

- Please note that a small business is eligible to receive a Sequential Phase IIA or IIB award **only** if their initial Phase II project has completed
 - Requests for No Funds Extensions should not conflict with the Phase IIA award start date



No Fund Extensions

- Phase IIB applicants should not request No Fund Extensions to their Phase II award that would overlap with the anticipated start date of the Phase IIB award



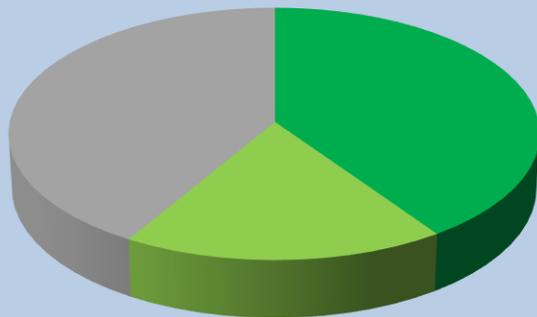
FAQ

- If I'm eligible for both Phase IIA and Phase IIB, can I apply for both?
 - NO, you may submit only one Sequential Phase II application per Phase II project
- If I apply for a Phase IIA award this year and do not receive an award, may I apply for a Phase IIB next year?
 - YES
- If I receive a Phase IIA award, will I be eligible to receive a Phase IIB award in the future as I transition to commercialization?
 - NO, you may receive only one Sequential Phase II award per Phase II project



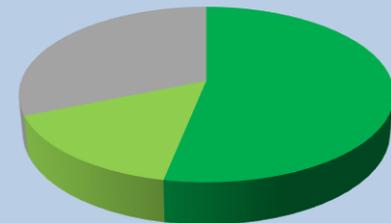
Phase II Application & Award Statistics for FY 2017

- Phase II
 - 296 applications
 - 146 awards

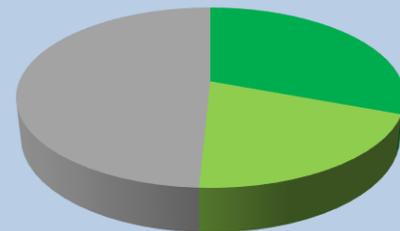


- Awarded (49%)
- Recommended for Funding--Not Awarded (22%)
- Not Recommended for Funding (51%)

- Phase IIA
 - 27 applications
 - 17 awards



- Phase IIB
 - 52 applications
 - 20 awards



Questions?

Please submit any question you may have via the Q&A box, at the bottom of your screen.

Contacting the DOE SBIR/STTR Programs Office

- Phone: 301-903-5707
- Email: sbir-sttr@science.doe.gov
- Website: www.science.energy.gov/sbir
- Join our Mailing List: <http://bit.ly/2fb3mBh>
- Provide Feedback
- Submit suggestions for improving the SBIR & STTR Programs: <https://go.usa.gov/xnWCH>
- Twitter: @DOESBIR