Department of Energy (DOE) STTR Quick-Start Guide

This quick-start guide has been designed to get you started with a DOE STTR proposal package.

The current solicitation for DOE can be found at this link. This provides a general idea of all of the requirements necessary to complete a DOE proposal package and what DOE is interested in funding under their SBIR/STTR solicitations.

For DOE, you will need the following registrations. It is important that you complete these registrations as soon as possible, as some can take up to 14 days to issue, and not having these in place can impact your ability to submit a proposal. Please reach out to the NM FAST team if you need assistance with any of these registrations. Additionally, the New Mexico Procurement and Technical Assistance Centers (NM PTAC) can assist you in the DUNS and SAM registration processes. You can contact one of their offices to receive one-on-one help. A list of NM PTAC offices can be found at the bottom of their Contact Us page.

1. **DUNS:** The Data Universal Numbering System, more commonly referred to as "DUNS," is your priority registration as other registrations require this information. It requires some very basic business information, but you need to have your EIN/TIN handy. http://www.dnb.com/duns-number.html
2. **SAM**: The System for Award Management, or SAM, is the next registration to complete in terms of priority – you have to have your DUNS on hand for this. There is a new requirement with SAM for requiring a notarized letter affirming your business and business status. While the digital portion of this registration can take up to an hour, as it requires quite a few markers for your business, including your foundation date, points of contact (which can all be the same person), and your ACH banking information, the additional documentation requirements can take several weeks. It is not unheard for it to be a four to six week process. Please plan accordingly. https://www.sam.gov/portal/SAM/##11
3. **SBC Control ID**: This registration is required by the Small Business Administration (SBA), which coordinates the SBIR/STTR programs. You have to have your DUNS, at minimum, to complete this registration. https://www.sbir.gov/registration
4. **Grants.gov:** This is the submission site for DOE along with a number of other agencies. You must have your DUNS and SAM registrations completed. https://www.grants.gov
5. **PAMS:** The Portfolio Analysis and Management System (PAMS) is the management portal for DOE grants and contracts. PAMS is also how you will submit your **required** Letter of Intent (LOI) to DOE. https://pamspublic.science.energy.gov/webpamsepsexternal/login.aspx

To submit a SBIR/STTR Phase I application to DOE, you **must** have submitted a Letter of Intent. This Letter covers basic information about your intended proposal, including Principal Investigator and name, and has to include a 500 word/2 page maximum Technical Abstract. A template to help you generate this LOI is available at this **link**.

The following are some action items you can complete to start putting together your package.

1. **Budget** – Phase I awards fund either $150,000 or $225,000 depending on topic area for a period of performance of 6 to 12 months. The goal of a DOE Phase I is to evaluate, insofar as possible, the scientific or technical merit and feasibility of ideas that appear to have commercial potential and/or

substantial application in support of DOE mission research. You should budget according to this scope of delivery.

2. **Collaboration** – If you have not already secured a relationship with a Research Institution (a requirement of the STTR program), then you will want to start performing your outreach before sketching any action items or work plans. If you have already established a working relationship with a RI, it is a good idea to start formulating a work plan and action items for the intended project. Additionally, as budgetary compliance issues, statements of work, and signed letters of commitment are necessary components, and might take a long time to authorize through your partner organization, you will want to start requesting those items at your first convenience.
3. **Required Forms** – Though we will send you a compliance matrix that lays out all of the necessary formatting requirements, sections, and content for your proposal, it is a good idea to familiarize yourself with the information that needs to populate those sections, as well as begin any necessary research.
    a. **Project Summary/Abstract** – This is a one-page PDF that contains a summary of the proposed activity suitable for dissemination to the public. Because it will be disseminated to the public, you will need to ensure there is no proprietary information in this document. In the Project Summary, you will need to cover items such as a statement of the problem you are addressing, Phase I objectives/goals, commercial applications for the technology/product, and a summary for Members of Congress. (Further explanation of these requirements can be found in the solicitation)
    b. **Data Management Plan** – There are two options for generating a DMP. For the first option there is blanket text located in the solicitation that an offeror may use to satisfy this requirement. The second option allows an offeror to create their own DMP, however, should you chose this option, at a minimum you must provide information on how any data will be shared and preserved, a plan for ensuring that any data in publications will be openly accessible, how data management resources will be used during the effort, and how any and all Personally Identifiable Information will be protected.
    c. **Research and Related – Senior/Key Person** – You will need to provide a profile for the PI as well as any Senior/Key Personnel. DOE does not have a standard format or template to follow for this profile, but you will need to include Education and Training, Research and Professional Experience, Publications, and Synergistic Activities. Each profile should be a single file and is limited to two pages. You will also need to fill out a **Current and Pending Support** for each person (Further explanation of these requirements can be found in the solicitation)

The forms referenced above are simple to generate even if you only have a vague idea of what you would like to accomplish. Once you have a concrete idea of your path forward, the bulk of the writing will be done in other sections.

The NM FAST team has a suite of resources (e.g. YouTube instructional videos, check-lists, compliance matrices, etc.) available for use in proposal creation. Please reach out to Dana Catron (dderego@ad.nmsu.edu) for more information.