**Solicitation Name:** DOE SBIR Phase l Release 2

**Solicitation Number:** DE-FOA-0002903

**Proposal Manager:** [Fill in]

**Submission Date:** 11:59 PM ET on February 23, 2023

**Last Updated:** [Fill in]

**Legend:** Forms, Formatting

| Field # | RFP Requirement (Text Extract) | RFP Page, Section, Paragraph | Proposal Volume/  Section, Page, Paragraph | Writing Assigned To | Notes Regarding Compliance | Due Date | Status |
| --- | --- | --- | --- | --- | --- | --- | --- |
| NOTE: A letter of intent (LOI) is required and must be submitted by the SBC to PAMS and is due by the date printed on the cover of the FOA. Only those applicants that submit an LOI to PAMS which is received by DOE by the due date are eligible to submit an application under this FOA. | | | | | | | |
| 1. SF 424 (R&R) Application for Federal Assistance   Complete this form first to populate data in other forms. The list of certifications and assurances referenced in Field 17 is available on the DOE Financial Assistance Forms Page at <https://energy.gov/management/office-management/operational-management/financialassistance/financial-assistance-forms> under Certifications and Assurances. | | | | | | | |
| Field 1. | **Type of Submission**  Applicants should select “Application” for Type of Submission. A changed or revised application should be identified as a “Revision in Field 8 of the SF-424 (R&R) Form. |  |  |  |  |  |  |
| Field 4.a. | **Federal Identifier**  For submissions to DOE, leave this field blank. |  |  |  |  |  |  |
| Field 4.b. | **Agency Routing Identifier**  For submissions to DOE, leave this field blank. |  |  |  |  |  |  |
| Field 5. | **Applicant Information**  This information is for the Applicant Organization, not a specific individual. The small business concern is ALWAYS the applicant organization for an SBIR or STTR award (e.g., ABC Incorporated). |  |  |  |  |  |  |
| Field 8. | **Type of Application**  Select the type from the following list. Check only one. This field is required.   * New: An application that is being submitted to an agency for the first time. * Revision: Only if you have revised your application and are resubmitting to the same FOA. * Resubmission, Renewal, and Continuation should not be selected for SBIR/STTR Applications.   Revision Type  If Revision, mark appropriate box (es). May select more than one:  • E. Other If “Other” is selected, please specify in the text box provided.  • Identify the revision number (Example: Revision2 – this denotes you are replacing the previous version submitted.)  Submitted to other agencies  Check applicable box. This field is required. In the field “Is this application being submitted to other agencies?,” please check the box “Yes” if one or more of the specific aims submitted in your application are also contained in a similar, identical, or essentially identical application submitted to another Federal agency . Indicate the agency or agencies to which the application has been submitted. |  |  |  |  |  |  |
| Field 11. | **Descriptive Title of Applicant’s Project**  This field is required. Identify the Technical Topic and Subtopic in the title field, e.g., 58b along with your project specific title. This is a title created by the applicant, which identifies their application submission. This is NOT the topic and/or subtopic title.  A “new” application must have a different title from any other DOE application with the same PI.  A “revision” application must have the same title as the originally submitted “new” application being revised.  DOE limits title character length to 81 characters, including the spaces between words and punctuation. Titles in excess of 81 characters will be truncated. Be sure to only use standard characters in the descriptive title: A through Z, a through z, 0 through 9, and underscore (\_). |  |  |  |  |  |  |
| Field 12. | **Proposed Project**  *Start Date:* Enter the proposed start date of the project. See Part II.f. of the Funding Opportunity Announcement. Though this date is approximate, this field is required.  *Ending Date:* Enter the proposed ending date of the project. Though this date is approximate, this field is required.  Phase I: Routinely, SBIR and STTR Phase I awards do not exceed twelve (12) months.  Deviations from the stated project duration guidelines above will not be acceptable. |  |  |  |  |  |  |
| Field 13. | **Congressional District of Applicant**  Enter the Congressional District in the format: 2 character State Abbreviation – 3 character District Number. Examples: CA-005 for California’s 5th district, CA-012 for California’s 12th district. To locate your congressional district, visit the Grants.gov web site.  For States and U.S. territories with only a single congressional district enter “001” for the district code. For jurisdictions with no representative, enter “099”. For jurisdictions with a nonvoting delegate, enter “098” for the district number. Ex ample: DC-098, PR-098. |  |  |  |  |  |  |
| Field 14. | **Program Director/Principal Investigator (PI) Contact Information[[1]](#endnote-1)**  The PI should be entered here.  Name the PI whom is responsible to the applicant small business concern for the scientific and technical direction of the project. A revision application must have the same PI as the currently funded grant. |  |  |  |  |  |  |
| Field 15. | **Total Federal Funds Requested**  (This information comes from Fields I and J of the R&R Related Budget Form. See Section 4.6.3).  Enter the Federal funds requested (Field I, Total Direct and Indirect Costs) plus Fee (Field J).  Please refer to the Topics document for maximum funding limits by topic and subtopic. |  |  |  |  |  |  |
|  | **Total Non-Federal Funds**  Enter total non-Federal funds proposed for the entire project period.  For applications to DOE, enter “0” in this field unless cost sharing is a requirement for the specific announcement. |  |  |  |  |  |  |
|  | **Total Federal & Non-Federal Funds**  Enter total estimated funds for the entire project period, including both Federal and non-Federal funds. This is required information.  For DOE, this field will be the same as item 15a unless cost sharing is entered in 15b. |  |  |  |  |  |  |
|  | **Estimated Program Income**  Enter amount from Field J of the R&R Related Budget Form. |  |  |  |  |  |  |
| Field 16. | **Is Application Subject to Review by State Executive Order 12372 Process?**  For DOE submissions, using the SF424 (R&R), applicants should check “No, Program is not covered by E.O. 12372.” |  |  |  |  |  |  |
| Field 18. | **SFLLL or Other Explanatory Documentation (Optional Form)**  If applicable, attach the SFLLL or other explanatory document per agency instructions.[[2]](#endnote-2) |  |  |  |  |  |  |
| 1. Project/Performance Site Location(s) Form   Indicate the primary site where the work will be performed. If a portion of the project will be performed at any other site(s), identify the site location(s) in the blocks provided. | | | | | | | |
| Project/Performance Site Primary Location | Generally, the Primary Location should be that of the applicant organization or identified as off-site in accordance with the conditions of the applicant organization’s negotiated Facilities and Administrative (F&A) agreement. This information must agree with the F&A information on the Checklist Form Page of the application. If there is more than one performance site, including any Department of Veterans Affairs (VA) facilities and foreign sites, list them in the fields provided for Location 1 - # below.  Do not check the “I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization” box.  For SBIR/STTR applications, one of the performance sites indicated must be that of the applicant small business concern.[[3]](#endnote-3) |  |  |  |  |  |  |
| 1. Research & Related Other Project Information Form   Complete questions 1 through 6 and attach files. If the answer to question 3 is “Yes”, you must identify proprietary information with a legend on the first page of your attached Project Narrative document and on each page that contains proprietary information in accordance with instructions provided in Part VIII, Sections D. and F. Failure to comply may result in DOE’s inability to treat such information as proprietary and may delay the grant process. | | | | | | | |
| Field 1. | **Are Human Subjects Involved?**  Generally, all R/R&D DOE SBIR/STTR project work will not require the involvement of human subjects. However, if activities involving human subjects are planned at any time during the proposed project at any performance site, check “Yes.” Check “Yes” even if the proposed project is exempt from Regulations for the Protection of Human Subjects. If activities involving human subjects are not planned at any time during the proposed project at any performance site, select no and skip the rest of block 1. This field is required. |  |  |  |  |  |  |
|  | **a. If YES to Human Subjects**  **Exemption Number**  **Is the Project Exempt from Federal Regulations? Yes/No**  *Yes*: If the project is exempt from Federal regulations, check “Yes.” If “Yes”, check the appropriate ex emption number.  *No*: If the project is not exempt from Federal regulations, check “No.”  **If “Yes”, check appropriate exemption number 1, 2, 3, 4, 5, 6** Select the appropriate exemption number from 1, 2, 3, 4, 5, 6.  If human subject activities are exempt from Federal regulations, provide the exemption numbers corresponding to one or more of the exemption categories. The six categories of research that qualify for ex emption from coverage by the regulations are defined in the Common Rule for the Protection of Human Subjects.  **If no, is the IRB review pending? Yes/No**  If IRB review is pending, check “Yes.” If IRB review is not pending, check No.  **IRB Approval Date**  Enter the latest Institutional Review Board (IRB) approval date (if available). Leave blank if Pending.  Applicants should check “Yes” to the question “Is the IRB review Pending?” even if the IRB review /approval process has not y et begun at the time of submission. Also, note that an IRB Approval Date is not required at the time of submission. This may be requested later in the pre-award cycle as a Just-in-Time requirement.  **Human Subject Assurance Number**  Enter the approved Federal Wide Assurance (FWA) that the applicant has on file with the Office for Human Research Protections, if available. If the applicant has a FWA number, enter the 8-digit number. Do not enter the FWA before the number. |  |  |  |  |  |  |
| Field 2. | **Are Vertebrate Animals Used?**  If activities involving vertebrate animals are planned at any time during the proposed project at any performance site, check yes. If no, skip the rest of block 2.  Note that the generation of custom antibodies constitutes an activity involving vertebrate animals. |  |  |  |  |  |  |
|  | **a. If YES to Vertebrate Animals**  Generally, all R/R&D DOE SBIR/STTR project work will not require the involvement of vertebrate animals.  **Is the IACUC review Pending?** Indicate if an Institutional Animal Care and Use Committee (IACUC) review is pending.  Yes: Indicate if an Institutional Animal Care and Use Committee (IACUC) review is pending.  No: Indicate if an Institutional Animal Care and User Committee (IACUC) review is pending. Click No, if no review is pending.  **IACUC Approval Date**  Enter the latest IACUC approval date (if available). Leave blank if Pending.  **Animal Welfare Assurance Number**  Enter the Federally approved assurance number, if available. |  |  |  |  |  |  |
| Field 3 | **Is proprietary/privileged information included in the application?**  If the answer to question 3 is “Yes”, you must identify proprietary information with a legend on the first page of your project narrative, and any other documents that contain proprietary information (see below), and on each page that contains proprietary information in accordance with instructions provided in Part VIII, Sections D and F of the DOE FOA. Please refer Section 6.2 of the Application Guide for additional information.[[4]](#endnote-4) |  |  |  |  |  |  |
| Field 4 | **Environmental Questions**  Most DOE research grants are not expected to individually or cumulatively have a significant effect on the environment. However, if an applicant expects that the proposed project will have an actual or potential impact on the environment or if any part of the proposed research and/or project includes one or more of the following categorical exclusions listed below, the box marked “Yes” should be checked and an explanation provided in field 4.b.   1. The potential environmental impacts of the proposed research may be of greater scope or size than other actions included within a category. 2. The proposed research threatens to violate a Federal, State, or local law established for the protection of the environment or for public health and safety. 3. Potential effects of the proposed research are unique or highly uncertain. 4. Use of especially hazardous substances or processes is proposed for which adequate and accepted controls and safeguards are unknown or not available. 5. The proposed research may overload existing waste treatment plants due to new loads (volume, chemicals, toxicity, additional hazardous wasted, etc.) 6. The proposed research may have a possible impact on endangered or threatened species. 7. The proposed research may introduce new sources of hazardous/toxic wastes or require storage of wastes pending new technology for safe disposal. 8. The proposed research may introduce new sources of radiation or radioactive materials. 9. Substantial and reasonable controversy exists about the environmental effects of the proposed research. |  |  |  |  |  |  |
|  | **a. Does this project have an actual or potential impact on the environment?[[5]](#endnote-5)**  Indicate if this project has an actual or potential impact on the environment? Click No here if this is not the case. This field is required. |  |  |  |  |  |  |
|  | **b. If yes, please explain**  Explanation of the actual or potential impact on the environment. Please note: If you have trouble entering information into this field, please save your form, exit the application package and re-open the form. You should now be able to enter this information. |  |  |  |  |  |  |
|  | **c. If this project has an actual or potential impact on the environment, has an exemption been authorized or an Environmental Assessment (EA) or an Environmental Impact Statement (EIS) been performed?**  If this project has an actual or potential impact on the environment, has an ex emption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed? - Check yes or no. |  |  |  |  |  |  |
|  | **d. If yes, please explain**  Enter additional details about the EA or EIS. If desired, you can provide the information in a separate file, and attach by clicking **Add Attachments** located to the right of Step 11 - Other Attachments. |  |  |  |  |  |  |
| Field 5. | **Is the research performance site designated, or eligible to be designated, as a historic place? Yes/No**  If any research performance site is designated, or eligible to be designated, as a historic place, if Yes, check the Yes box and then provide an ex planation in the box provided in 5.a. Otherwise, check the No box. This field is required. |  |  |  |  |  |  |
|  | **a. If yes, please explain**  If you checked the Yes box indicating any performance sire is designated, or eligible to be designated, as a historic place, provide the explanation here. |  |  |  |  |  |  |
| Field 6. | **Does this project involve activities outside of the United States or partnerships with International Collaborators?**  Indicate whether this project involves activities outside of the United States or partnerships with international collaborators. Check yes or no. This field is required. |  |  |  |  |  |  |
|  | **a. If yes, identify countries**  Enter the countries with which international cooperative activities are involved. |  |  |  |  |  |  |
|  | **b. Optional Explanation**  Enter an explanation for involvement with outside entities (optional). If desired, you can provide the information in a separate file, and attach by clicking Add Attachments located to the right of Item 11, Other Attachments.  If you have checked “Yes” to item 6, applicants must describe special resources or characteristics of the research project (e.g., human subjects, animals, equipment, and techniques), whether similar research is being done in the United States and whether there is a need for additional research in this area. Provide this information in a separate file, attaching it as Item 12, Other Attachments. In the body of the text, begin the section with a heading indicating “Foreign Justification.” When saving this file, please name it “Foreign Justification” as well. |  |  |  |  |  |  |
| Field 7. | **Project Summary/Abstract**  The Project Summary/Abstract must not exceed 1 page.  The Project Summary/Abstract must contain a summary of the proposed activity suitable for dissemination to the public. This document must not include any proprietary or sensitive business information as DOE may make it available to the public. Save this information in a file named “Summary .pdf,” and click on “Add Attachment” to attach it.  The purpose of the Project Summary/Abstract is to communicate the overall sense of the combined Phase I and Phase II project, not every step of the work plan or every accomplishment.  Statements of future applications or benefits belong in the section on Commercial Applications and Other Benefits. Do not use acronyms, abbreviations, first-person references, or any proper names (including the name of the small business, any subcontractors or institutions, or any trade or product name) in the body of the summary. |  |  |  |  |  |  |
|  | **The header must include:**   * Company Name * Project Title * Principal Investigator * Topic number/Subtopic letter, e.g. 08b |  |  |  |  |  |  |
|  | **The body must include:**   * **Statement of the problem or situation that is being addressed in your application.** Describe the problem or situation being addressed—be sure that the DOE interest in the problem is clear, but not in such a w ay that implies that any services or products are being provided for the direct benefit of DOE rather than for the advancement of a public purpose. (Typically one to three sentences). * **General statement of how this problem is being addressed.** This is the overall objective of the Phase I project. How is this problem being addressed? What is the overall project approach? (Ideally, two to four sentences). * **What is to be done in Phase I?** (Typically three to four sentences). * **Commercial Applications and Other Benefits (limited to the space provided)**. Summarize the future applications or public benefits if the project is carried over into Phase II or Phase III and beyond. Do not repeat information already provided above. * **Key Words** - Provide listing of key words that describe this effort. * **Summary for Members of Congress:** (layman’s terms, two sentences, maximum 50 words). DOE notifies members of Congress of grants in their districts. Therefore, please provide, in clear and concise lay man’s terms, a very brief summary of the project, suitable for a possible press release from a Congressional office. One suggested format is to use two sentences: The first sentence should state the problem being addressed so that the research need is clear, and the second sentence should state what is being done to address that problem. The attachment must be in PDF format. |  |  |  |  |  |  |
| Field 8. | **Project Narrative[[6]](#endnote-6)**  The Project Narrative must not exceed 15 pages.  Provide the Project Narrative in accordance with the announcement and/or DOE-specific instructions below. Please click the Add Attachment button to the right of this field to complete this entry.  The project narrative describing your technology must not exceed 15 pages, 7,500 words of text, including the cover page, and should be in a single PDF file with the exception of the budget justification, level-of-effort worksheet, and project summary, which must be attached separately as directed in Grants.gov. All grant applications must be submitted in response to a specific technical topic and subtopic announced in this notice. This information (topic number and subtopic letter) should be identified in a header on each page of the Project Narrative as w well as on the SF 424 R&R in field 11.  The Project Narrative header should also include company name, project title, and topic/subtopic  *Example Header: XYZ Technologies, Inc. SIS: A Sensor-Based In-Line System Topic: 21/a*  Sequentially number each page of the Project Narrative in the page footer.  Using the outline below, the Project Narrative must include ALL of the following: |  |  |  |  |  |  |
|  | **Cover page**  Provide company-specific and project information including company name and address, principal investigator, project title, topic number, and subtopic letter. |  |  |  |  |  |  |
|  | **Proprietary Data Legend (Proprietary Application Information – Trade Secrets, Commercial, or Financial Information)**  If applicable, see Section VIII, C. If your application contains  trade secrets or commercial or financial information, you must include the Notice of Restriction on Disclosure and Use of Data on the first page of your Project Narrative in accordance with guidance under Section VIII (Proprietary Application Information, Trade  Secrets, Commercial or Financial Information) of this FOA. |  |  |  |  |  |  |
|  | **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. |  |  |  |  |  |  |
|  | **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 w ell 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. |  |  |  |  |  |  |
|  | **Technical Objectives**  State the specific technical objectives for the Phase I research and development. |  |  |  |  |  |  |
|  | **Work Plan**  This section should be a substantial part of the application. Provide an explicit, detailed description of the Phase I research approach and work to be performed. Indicate what will be done, the qualifications of the team (principal investigator, key personnel, subcontractors and consultants) to execute the project, where it will be done, and how the work will be carried out.  Link the Work Plan to the Technical Objectives of the proposed project. Discuss methods planned to achieve each objective or task explicitly and in detail. Be sure to address how the research or research and development effort could lead to a product, process, or service if funded beyond Phase I. Show how the management direction and control of the project will be assured. Regardless of the proportion of the work or funding of each of the performers under the grant, the applicant is to be the primary grantee with overall responsibility for its performance. |  |  |  |  |  |  |
|  | **Performance Schedule**  The Phase I budget period may be less than, but no longer than 12 months. Briefly describe the important milestones to be achieved and the estimated amount of time for completing each task described in the Work Plan. Please be aware that your Phase II application will be due approximately 9.5 months after the project start date. Critical milestones that will be important to include in your Phase II application should be completed in the first 9 months of your project. |  |  |  |  |  |  |
|  | **Facilities/Equipment**  Describe available equipment and physical facilities necessary to carry out the Phase I effort. Equipment is defined as an article of tangible, nonexpendable, personal property, including exempt property, charged directly to the grant, having a useful life of more than one year and an acquisition cost of $5,000 per unit or more. Items of equipment to be leased or purchased must be described and justified in this section. Title to equipment purchased under this grant lies with the government. It may be transferred to the grantee where such transfer would be more cost effective than recovery of the property by the government. Grantees wishing to obtain title should contact their contract specialist prior to project completion for the procedure to follow to make such a request. If the equipment, instrumentation, and facilities are not the property of the applicant and are not to be purchased or leased, the source must be identified and their availability and expected costs specifically confirmed in this section. A principal of the organization that owns or operates the facilities/equipment must provide written verification regarding the availability and cost of facilities/equipment and any associated technician cost. Small businesses may get credit for obtaining this equipment as an in-kind Phase II commercial contribution.  American-Made - To the extent possible in keeping with the overall purposes of the program, only American-made equipment and products should be purchased with the funds provided by the financial assistance under DOE Phase I grants |  |  |  |  |  |  |
|  | **Research Institution (RI)**  - If the grant application contains formal collaboration with an RI (required for STTR, optional for SBIR), (1) identify the name and address of the institution, the name, phone number, and email address of the certifying official from the RI, and the total dollar amount of the subcontract; (2) describe in detail the work to be done by this RI in the Work Plan section; and (3) provide a detailed cost estimate including costs for labor, equipment, and materials, if any, as well as a specific statement certifying that they have agreed to serve in the manner and to the extent described in the Work Plan section of the grant application” from RIs.  The RI will be considered a subcontractor to the applicant. The RI must provide a Letter of Commitment (LOC) on official letterhead from an authorized representative of the RI which commits the institution to participate in the project as described in the application. The LOC should be attached as an “Other Attachment” in field 12, on the Research & Related Other Project Information form. If selected for a grant, participation of the RI will be verified by the DOE contracting officer. |  |  |  |  |  |  |
|  | **Other Consultants and Subcontractors**  Involvement of consultants or subcontractors in the  project is permitted provided the work is performed in the United States, for exceptions, see Section III., D. If consultants and/or subcontractors are to be used, this section of the application must identify them by name, identify whether the party is being proposed as a consultant versus as a subcontractor, and should provide Letters of Commitment (LOC) from an authorized representative of the consultants and/or subcontractors. The LOC must provide a detailed cost estimate, including costs for labor, equipment, and materials, if any, for the consultant or subcontractor, as well as a specific statement certifying that the consultant(s) or subcontractor(s) have agreed to serve in the manner and to the extent described in the Work Plan section of the application. Each LOC must be on official letterhead with an authorizing representative’s contact information provided and submitted as an “Other Attachment” to the  application. If selected for a grant, the DOE Contracting Officer will verify the participation of any subcontractor(s) and/or consultant(s) and will require budget and budget explanations for subcontractors and verification of the rates for consultants.  Note: None of the employees or owners of the applicant SBC may be consultants. None of the employees or owners of the applicant SBC may be employees of a Subcontractor except when the Subcontractor is a Research Institution. Consultants must not be employees of any proposed Subcontractor. SBC personnel cannot be reimbursed with DOE funding as a consultant under the project. SBC personnel cannot be reimbursed with DOE funding as an  employee of a Subcontractor except when the Subcontractor is a Research Institution under the project. Non-U.S. citizens are eligible to perform work on SBIR/STTR projects provided they are legally empowered to work in the U.S. at the time the award is made. |  |  |  |  |  |  |
|  | **Letters of Support [OPTIONAL]** - While not a requirement to obtain Phase I funding, applicants are strongly encouraged to submit letters of support from the private sector, which will be considered as part of the evaluation criterion on “Impact.” Add as an attachment in field 12, “Other Attachments”, on this form. |  |  |  |  |  |  |
|  | **Phase II Funding Commitment (Commercial Contribution) [OPTIONAL]**  While not a requirement to obtain Phase I funding, applicants are strongly encouraged to submit commitments from the private sector or from non-SBIR/STTR funding sources, which will be considered as part of the evaluation criterion on “Impact”. Add as an attachment in field 12, “Other Attachments”, on this form. |  |  |  |  |  |  |
|  | **Phase III Follow-On Funding Commitment [OPTIONAL]**  Applicants are encouraged to submit a Phase III follow-on funding commitment which will be considered as part of the evaluation criterion on Impact. The commitment must be signed by a person with the authority to make it, indicate when the funds will be made available, and contain specific technical objectives which will make the commitment exercisable by the applicant. If the commitment is firm regardless of achievement of technical objectives, it should state so. The commitment may include: (1) third party financing; (2) self-financing (in which case the applicant must demonstrate the ability to provide the Phase III funding); (3) state or local government financing; or (4) federal funding. In-kind contributions are allowed; however, the applicant or donor must estimate the dollar value of any in-kind contribution. The Phase III funding cannot be contingent on obtaining a patent because of the length of time this process requires. The Phase III Commitment must be submitted with the Phase I application as a separate attachment. Add as an attachment in field 12, “Other Attachments”, on this form. You should also reference it in the technical proposal in the “Work Plan” Section. |  |  |  |  |  |  |
| Field 9 | **Bibliography & References Cited**  Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. Applicants should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. **Do not attach a file in this field. Include this information, if any, in the Phase I Project Narrative.** Bibliography and References cited count against the Phase I Project Narrative 15-page limit. |  |  |  |  |  |  |
| Field 10 | **Facilities & Other Resources**  Do ***not*** attach a file in this field. Include this information, if any, in the Project Narrative. Facilities and Other Resources information counts against the Phase I Project Narrative 15-page limit. |  |  |  |  |  |  |
| Field 11 | **Equipment**  Do not attach a file in this field. Include this information, if any, in the Project Narrative. Equipment information counts against the Phase I Project Narrative 15-page limit. |  |  |  |  |  |  |
| Field 12 | **Other Attachments**  Note: Field 12 will hold more than one attachment. If you need to elaborate on your responses to questions 1 – 6 on the “Other Project Information” form, provide the information in a single file named “projinfo.pdf.” Click on “Add Attachments” in Field 12 to attach file. |  |  |  |  |  |  |
|  | **DIGITAL DATA MANAGEMENT PLAN REQUIREMENT (REQUIRED)**  All SBIR and STTR applicants must select one of the following options for their Data Management Plan (DMP):  Option 1) The Option 1 DMP is: “It is anticipated that all generated digital data will be protected as SBIR/STTR data and therefore will not be publicly shared during the applicable SBIR/STTR data protection period. If any data generated under this award are published, an effort will be made to also release any related digital data that is not protected SBIR/STTR data.” Applications that select Option 1 must not include publication costs in their budget, as this implies that data will be shared publicly.  *Please note that if you do not include a DMP with your application, Option 1 for the DMP will be assumed for your application. However, if you plan to publicly disclose generated digital data, you must provide a DMP under Option 2.*  Option 2) If you plan to publicly disclose technical data during the data protection period or, for data not expected to be asserted as protected SBIR/STTR rights data, please submit a DMP, following the instructions in Section VIII**.** |  |  |  |  |  |  |
|  | **DISCLOSURE OF FOREIGN RELATIONSHIPS (REQUIRED)**  All SBIR and STTR applicants must disclose their foreign relationships as required by the SBIR and STTR Extension Act of 2022. The required form that must be used to disclose these relationships is available here: <https://science.osti.gov/sbir/Applicant-Resources/GrantApplication>.  Instructions are included on the form. Please note that even if you do not have any foreign relationships, you must complete this form to certify that such relationships do not exist. Failure to include this form may result in declination of your application without review at DOE’s discretion. |  |  |  |  |  |  |
|  | **Also, attach the following files in Field 12:**   * SBA Company Registration (Required). * Authorization for non-DOE/NNSA FFRDCs, if applicable. * Authorization for DOE/NNSA FFRDCs, if applicable, if available. * Signed Letter of Funding Commitment, if applicable. * Phase III Follow-On Funding Commitment, if applicable. * Signed Letter of Commitment (LOC) from research institution, as applicable. LOC must include name and address of institution, dollar amount of subcontract, and certifying official’s name, phone number and email address. * LOC from consultants, subcontractors or other third parties. * Level-of-Effort Worksheet (discussed in Section III) may be found on the DOE SBIR/STTR Programs website at <https://science.osti.gov/sbir/Applicant-Resources/Grant-Application>. * Company Commercialization Report from SBIR.gov for STTR-only applications, if applicable |  |  |  |  |  |  |
| 1. RESEARCH AND RELATED SENIOR/KEY PERSON: [MANDATORY]    Complete this form before the Budget form to populate data on the Budget form. | | | | | | | |
| Principal Investigator and Other Key Personnel | The Principal Investigator (PI) is the key individual designated by the applicant to direct the project. Only one PI is acceptable per project. The PI and Key Personnel do not need to be U.S. citizens; however, all work must be performed in the United States, for exceptions, see Part III. D. See “General Requirements and Restrictions on the Principal Investigator” in Part III. H.  Beginning with the PI, provide a profile for each senior/key person proposed. Each senior/key person must be aware that he/she is included in the application and must agree to perform the work if awarded. A senior/key person is any individual who contributes in a substantive, measurable way to the scientific/technical development or execution of the project, whether or not a salary is proposed for this individual. Sub-awardees and consultants must be included if they meet this definition. |  |  |  |  |  |  |
| Biographical Sketch | A biosketch is to provide information that can be used by reviewers to evaluate the PI’s potential for leadership within the scientific community. Examples of information of interest are invited and/or public lectures, awards received, scientific program committees, conference or workshop organization, professional society activities, special international or industrial partnerships, reviewing or editorship activities, or other scientific leadership experiences.  SC requires the use of the format approved by the National Science Foundation (NSF), which may be generated by the Science Experts Network Curriculum Vita (SciENcv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, and is also available at <https://nsf.gov/bfa/dias/policy/nsfapprovedformats/biosketch.pdf>. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats.   * Education and Training: Undergraduate, graduate and postdoctoral training, provide institution, major/area, degree and year. * Research and Professional Experience: Beginning with the current position list, in chronological order, professional/academic positions with a brief description. * Publications: Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically. Patents, copyrights and software systems developed may be provided in addition to or substituted for publications. An abbreviated style such as the Physical Review Letters (PRL) convention for citations (list only the first author) may be used for publications with more than 10 authors. * Synergistic Activities: List no more than 5 professional and scholarly activities related to the effort proposed.   Biosketches may be presented in a format developed for other agencies or generated by any  software package, though SciENcv will facilitate submissions to other Federal sponsors.  Personally Identifiable Information: Do not include sensitive and protected personally identifiable information including social security numbers, birthdates, citizenship, marital status, or home addresses. Do not include information that a merit reviewer should not make use of. |  |  |  |  |  |  |
| Current and Pending Support | Provide current and pending support for each senior/key person and attach to the “Attach Current and Pending Support” field in each profile.  Current and Pending support is intended to allow the identification of potential duplication, over commitment, potential conflicts of interest or commitment, and all other sources of support. The  PI and each senior/key person at the prime applicant and any proposed subaward must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a  gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic;  governmental or private-sector; directly supporting the individual’s research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All foreign government-sponsored talent recruitment programs must be identified in current and pending support. SC requires the use of the format approved by the National Science Foundation (NSF), which may be generated by the Science Experts Network Curriculum Vita (SciENcv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, and is also available at <https://www.nsf.gov/bfa/dias/policy/nsfapprovedformats/cps.pdf>. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats.  For every activity, list the following items:   * The sponsor of the activity or the source of funding * The award or other identifying number * The title of the award or activity * The total cost or value of the award or activity, including direct and indirect costs. For pending proposals, provide the total amount of requested funding. * The award period (start date – end date). * The person-months of effort per year being dedicated to the award or activity * Briefly describe the research being performed and explicitly identify any overlaps or synergies with the proposed research.   Details of any obligations, contractual or otherwise, to any program, entity, or organization sponsored by a foreign government must be provided on request to either the applicant institution or DOE. |  |  |  |  |  |  |
| 1. RESEARCH AND RELATED BUDGET[[7]](#endnote-7): [MANDATORY]   You must provide a budget for the period of support requested and a cumulative budget for the total project. In accordance with the SBIR/STTR topic funding allowance, applicants may request funding for up to 12 months, but not less than six months. Any application that proposes less than a 6-month Phase I budget period will be revised upward to six months by DOE. The amount budgeted cannot exceed the Phase I maximum grant amount for the topic. In the event you choose to use your own commercialization vendor, you may exceed the topic amount by up to $6,500. Please refer to the TABA section for guidance.  Complete the Research and Related Budget form in accordance with the instructions on the form and the following instructions. The form will generate a cumulative budget for the total project period. You may request funds under any of the categories listed as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allow ability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this FOA (See Section IV). All budget items should be rounded to the nearest dollar and consistent with the budget justification form.  Phase I Principal Investigator meeting: Applicants may include in their Phase I budget a registration fee ($250) and travel expenses for the Principal Investigator and, if necessary, a registration fee ($250) and travel expenses for a person from the small business representing the commercialization interests of the company to attend the DOE SBIR/STTR Phase I Principal Investigator Meeting. Attendance by the Principal Investigator is expected. This two-day meeting, held in the DC metro area, will provide opportunities to meet with DOE Program Managers and TABA providers, as well as learn about the DOE SBIR/STTR programs, with an emphasis on the Phase II application. The DOE SBIR/STTR Phase I Principal Investigator Meeting will be held approximately four months after the Phase I period of performance begins. Principal Investigators will be notified of the exact date and venue for the DOE SBIR/STTR Phase I Principal Investigator Meeting approximately eight weeks after the Phase I grant start date by an e-mail from the DOE contractor managing the meeting. The email will contain the URL for the DOE SBIR/STTR Phase I Principal Investigator Meeting website, where participants will be able to register, make lodging reservations, and view the agenda for the meeting. | | | | | | | |
| Field A | **Senior/Key Person**  This section must include the names of all Senior/Key Persons at the applicant organization who are involved on the project in a particular budget year. Include all collaborating investigators, and other individuals meeting the Senior/Key Person definition if they are from the applicant organization. Details of collaborators at other institutions will be provided in the Subaward budget for each subaward/consortium organization. Personnel listed as Other Significant Contributors who are not committing any specific measurable effort to the project should not be included in the Personnel section of the budget since no associated salary and/or fringe benefits should be requested for their contribution. Consultant costs must be included in F.3 Consultant Services. |  |  |  |  |  |  |
|  | **Project Role**  Identify the project role of each Senior/Key person in this section. This section could also include such roles as Co-PI, Postdoctoral Associates, and Other Professionals. The role of the PI is auto-populated in the 01 year budget only. Do not change or edit this field for the PI. For future year budgets, use consistent terminology. The role of “Co-PI” is not currently used by DOE. Do not assign any individual this role. If applicants wish to use the role of “Co-Investigator” or some other similar role, select “Other” for the Project Role field and then insert the appropriate role descriptor in the Other Project Role Category field. |  |  |  |  |  |  |
|  | **Base Salary ($)**  Enter the annual compensation paid by the employer for each Senior/Key Person. This includes all activities such as research, teaching, patient care, or other. You may choose to leave this column blank.  STTR: If the PI is an employee of the Research Institution (RI), the PI salary should be entered on the RI subaward budget page. |  |  |  |  |  |  |
|  | **Cal. Months**  Identify the number of months devoted to the project for each Senior/Key Person (i.e., calendar, academic, summer).  NOTE: Key Personnel hours and rates are required as part of the budget justification. |  |  |  |  |  |  |
|  | **Acad. Months**  Identify the number of months devoted to the project for each Senior/Key Person (for ex ample, calendar, academic, summer).  If your institution does not use a 9-month academic year, indicate your institution’s definition of academic year in the budget justification. |  |  |  |  |  |  |
|  | **Sum. Months**  Identify the number of months devoted to the project for each Senior/Key Person (for ex ample, calendar, academic, summer).  If your institution does not use a 3-month summer period, indicate your institution’s definition of summer in the budget justification. |  |  |  |  |  |  |
|  | **Requested Salary ($)**  Regardless of the number of months being devoted to the project, indicate only the amount of salary being requested for this budget period for each Senior/Key Person.  This field is required. |  |  |  |  |  |  |
|  | **Fringe Benefits ($)**  Enter applicable fringe benefits, if any, for each Senior/Key Person. |  |  |  |  |  |  |
|  | **Funds Requested ($)**  Enter the requested salary and fringe benefits for each Senior/Key Person.  This field is required. |  |  |  |  |  |  |
|  | **Additional Senior/Key Persons**  If funds are requested for more than eight Senior/Key Persons, include all pertinent budget information as identified in this section and attach as a file here. Enter the total funds requested for all additional Senior/Key Persons in line 9 of Section A. This attachment is required if funds are entered in line 9 of Section A.  Use the same format as the budget component and include all required information. |  |  |  |  |  |  |
| Field B | **Other Personnel**  **Number of Personnel**  For each project role category, identify the number of personnel proposed.  List any additional project role(s) in the blank(s) provided, e.g., Engineer, IT Professionals, etc.  For all Postdoctoral Associates and Graduate Students not already named in Section A. Senior/Key Person, individually list names, roles (e.g., Post Doctorate or Graduate Student), associated months, and salary & fringe benefits requested in the Budget Justification. |  |  |  |  |  |  |
| **Project Role**  If Project Role is other than Postdoctoral Associates, Graduate Students, Undergraduate Students, or Secretarial/Clerical, enter the appropriate project role (for ex ample, Engineer, IT Professional, etc.) in the blanks.  Do not include consultants in this section. Consultants are included below in Section F. Other Direct Costs 3. Consultant Services. |  |  |  |  |  |  |
| Field C | **Equipment Description**  List of items and dollar amount for each item exceeding $5,000. |  |  |  |  |  |  |
| **Equipment item**  Equipment is defined as an item of property that has an acquisition cost of $5,000 or more (unless the organization has established lower levels) and an expected service life of more than one year. List each item of equipment separately and justify each in the budget justification section. Allow able items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose equipment, such as a personal computer, is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research. |  |  |  |  |  |  |
| **Funds Requested**  List the estimated cost of each item of equipment including shipping and any maintenance costs and agreements. This is required information. |  |  |  |  |  |  |
| **Total funds requested for all equipment listed in the attached file**  Total funds requested for all equipment listed in the attached file. Dollar amount for each item should exceed $5,000. |  |  |  |  |  |  |
| **Additional Equipment**  If the space provided cannot accommodate all the equipment proposed, attach a file in the block provided. List each additional item and the funds requested. For all additional items in the attached file, list the total funds requested on line 11 of this section. |  |  |  |  |  |  |
| Field D | **Travel**  Phase I Principal Investigator meeting: Applicants may include in their Phase I budget a registration fee ($250) and travel expenses for the Principal Investigator and, if necessary, a person from the small business representing the commercialization interests of the company to attend the DOE SBIR/STTR Phase I Principal 32 Investigator Meeting. Attendance by the Principal Investigator is expected. This two-day meeting, held in the DC metro area, will provide opportunities to meet with DOE Program Managers and Commercialization Assistance providers, as well as learn about the DOE SBIR/STTR programs, with an emphasis on the Phase II application. The DOE SBIR/STTR Phase I Principal Investigator Meeting will be held approximately 4 months after the Phase I period of performance begins. Principal Investigators will be notified of the exact date and venue for the DOE SBIR/STTR Phase I Principal Investigator Meeting approximately 8 weeks after the Phase I grant start date by an e-mail from the DOE contractor managing the meeting. The email will contain the URL for the DOE SBIR/STTR Phase I Principal Investigator Meeting website, where participants will be able to register, make lodging reservations, and view the agenda for the meeting. |  |  |  |  |  |  |
| **Domestic Travel Costs (Incl. Canada, Mexico, and US Possessions)**  Identify the total funds requested for domestic travel. Domestic travel includes Canada, Mexico, and US possessions. In the budget justification section, include the purpose, destination, dates of travel (if known), and number of individuals for each trip. If the dates of travel are not known, specify estimated length of trip (e.g., 3 days). See “Notes Regarding Budget” below for more information. |  |  |  |  |  |  |
| **Foreign Travel Costs**  Except in rare and unique circumstances, Foreign Travel Costs are not allowable costs in performance of SBIR/STTR awards. Enter the total funds requested for foreign travel. Foreign travel includes any travel outside of North America and/or US possessions. In the budget justification section, include the purpose, destination, dates of travel (if known) and number of individuals for each trip. If the dates of travel are not known, specify estimated length of trip (e.g., 3 days). |  |  |  |  |  |  |
| Field E | **Participant/Trainee Support Costs**  Unless specifically stated otherwise in an announcement, DOE applicants should leave blank Section E. Note: Tuition remission for graduate students should continue to be included in Section F. Other Direct Costs when applicable |  |  |  |  |  |  |
| Field F  Other Direct Costs | **Materials and Supplies**  List total funds requested for materials and supplies. In the budget justification, indicate general categories such as glassware, chemicals, animal costs, including an amount for each category. |  |  |  |  |  |  |
| **Publication Costs**  List the total publication funds requested. The proposal budget may request funds for the costs of documenting, preparing, publishing, or otherwise making available to others the findings and products of the work conducted under the award. In the budget justification include supporting information. |  |  |  |  |  |  |
| **Consultant Services**  List the total costs for all consultant services. In the budget justification, identify each consultant, the services he/she will perform, total number of days, travel costs, and the total estimated costs.  In the budget justification also provide the names and organizational affiliations of all consultants, other than those involved in consortium/contractual arrangements. Include consultant physicians in connection with patient care and persons who are confirmed to serve on external monitoring boards or advisory committees to the project. Describe the services to be performed. |  |  |  |  |  |  |
| **ADP/Computer Services**  List total funds requested for ADP/computer services. The cost of computer services, including computer-based retrieval of scientific, technical and education information may be requested. In the budget justification, include the established computer service rates at the proposing organization if applicable. |  |  |  |  |  |  |
| **Subawards/Consortium/ Contractual Costs**  List total funds requested for 1) all subaward/consortium organization(s) proposed for the project and 2) any other contractual costs proposed for the project.  This line item should include both direct and indirect costs for all subaward/consortium organizations. Contractual costs for support services, such as the laboratory testing of biological materials, clinical services, or data processing, are occasionally sufficiently high to w arrant a categorical breakdown of costs. When this is the case, provide detailed information as part of the budget justification. |  |  |  |  |  |  |
| **Equipment or Facility Rental/User Fees**  List total funds requested for equipment or facility rental/user fees. In the budget justification, identify each rental user fee and justify. |  |  |  |  |  |  |
| **Alterations and Renovations**  List total funds requested for alterations and renovations. In the budget justification, itemize by category and justify the costs of alterations and renovations including repairs, painting, removal or installation of partitions, shielding, or air conditioning. Where applicable, provide the square footage and costs.  Under certain circumstances, the public policy requirements that apply to construction activities may also apply to minor Alterations and Renovations (A&R) activities.  When requesting minor A&R costs under this policy, please provide detailed information on the planned A&R in the budget justification. |  |  |  |  |  |  |
| **8-10 Other**  Add text to describe any “other” direct costs not requested above. Use the budget justification to further itemize and justify. List total funds requested for items 8-10 “Other.” Use lines 8-10 for such costs as tuition remission, and non-DOE technical and commercialization assistance[[8]](#endnote-8). Phase I SBIR/STTR applications, the DOE technical and commercialization assistance costs are authorized up to $6,500 per year. |  |  |  |  |  |  |
| Field H | **Indirect Costs**  Indirect costs are defined as costs that are incurred by a grantee for common or joint objectives and that, therefore, cannot be identified specifically with a particular project or program. If the applicant small business concern has a currently effective negotiated indirect cost rate with a Federal agency, that rate should be used when calculating proposed indirect costs. If applicable, indicate your organization’s most recent indirect cost rate established with the DOE or with another Federal agency. If your applicant organization is in the process of negotiating or renegotiating a rate, use that rate in the application.  If the applicant organization does not have a current negotiated rate, it should develop a provisional rate for application purposes. If the applicant organization has a current negotiated rate with another Federal agency, the negotiated rate must be adjusted to treat any independent research and development (IR&D) costs in accordance with DOE acquisition policy.  PLEASE NOTE: If the applicant organization proposes indirect costs plus fringe benefits that does not exceed 50% of direct salaries and w ages, no documentation is required. |  |  |  |  |  |  |
| **Indirect Cost Type**  Indicate the type of cost (e.g., Salary & Wages, Modified Total Direct Costs, or Other [explain]). Also, indicate if Off-site. If more than one rate/base is involved, use separate lines for each. If you do not have a current indirect rate(s) approved by a Federal agency, indicate, “None--will negotiate” and include information for a proposed rate. Use the budget justification if additional space is needed. |  |  |  |  |  |  |
| **Indirect Cost Rate (%)**  Indicate the most recent indirect cost rate(s) (also known n as Facilities & Administrative Costs [F&A]) established with the cognizant Federal office, or in the case of for-profit organizations, the rate(s) established with the appropriate agency. If you have a cognizant/oversight agency and are selected for an award, you must submit your indirect rate proposal to that office for approval. If you do not have a cognizant/oversight agency, contact the awarding agency.  If this field does not allow a figure greater than 100% to be entered, use two lines to show the entire calculation. This field should be entered using a rate such as “55.5.”  If your organization does not have a current indirect cost rate established with a Federal Government Agency, an indirect cost rate proposal will need to be submitted to the DOE awarding office. |  |  |  |  |  |  |
| **Cognizant Federal Agency**  Enter the name of the cognizant Federal Agency, name and phone number of the individual responsible for negotiating y our rate. If no cognizant agency is known, enter “None.” |  |  |  |  |  |  |
| Field J | **Fee**  A reasonable fee, not to exceed 7% of total costs (direct and indirect) for each Phase (I and II) of the project, is available to small business concerns receiving awards under the SBIR/STTR program. The fee is intended to be a reasonable profit factor available to for-profit organizations, consistent with normal profit margins provided to profitmaking firms for research and development work.  The basis and the amount requested for the fee must be explained in the budget justification. The amount requested for the fee should be based on the following guidelines: (1) it must be consistent with that paid under contracts by the DOE for similar research conducted under similar conditions of risk; (2) it must take into account the complexity and innovativeness of the research to be conducted under the SBIR/STTR project; and (3) it must recognize the extent of the expenditures for the grant project for equipment and for performance by other than the grantee organization through consultant and subaward agreements.  The fee is not a direct or indirect "cost" item and may be used by the small business concern for any purpose, including additional effort under the SBIR/STTR award. The fee applies solely to the small business concern receiving the award and not to any other participant in the project. However, the grantee may pay a profit/fee to a contractor providing routine goods or non-R&D services in accordance with normal commercial practice.  Note: The electronic system automatically rounds up. If you get an error “The fee must be less than 7%,” try using 6.99% as the rate. |  |  |  |  |  |  |
| Field K | **Total Costs and Fee (I +J)**  Total of all direct and indirect costs and fee.  Ensure that the direct costs and the indirect costs (I+J) on Section F-K EQUAL the Total Direct and Indirect Costs (I+J) on the Cumulative Budget page**.** |  |  |  |  |  |  |
| Field L | **Budget Justification: [MANDATORY]**  Provide supporting information for all proposed costs, including hours and rates for all personnel. Attach a single budget justification file for the entire project period in Field K. A budget justification template may be found here: https://science.osti.gov/sbir/Applicant-  Resources/Grant-Application. Provide any other information you wish to submit to justify your budget request. If your organization has an Indirect Cost Rate Agreement (ICRA) in effect with  your Cognizant Federal Agency [Defense Contract Audit Agency (DCAA), Department of Health and Human Service’s Division of Cost Allocation (DCA), etc.] supporting the indirect rate(s) proposed, please provide this information with your application if the rate agreement (a) is dated no later than 2019 and (b) covers the proposed period of activity. Please note that if you are selected for a grant, additional budget explanation will most likely be required.  Note: All proposed purchase of equipment will be carefully reviewed relative to need and appropriateness for the research or R&D proposed. Although there is no absolute cap on indirect  costs, grant applications will be evaluated for overall economy and value to DOE.   * Travel funds must be justified and related to the needs of the project, e.g., travel to DOE Headquarters to meet with the DOE Program Manager. Travel expenses for technical conferences are not permitted unless the purpose of attending the conference directly relates to the project, e.g., to present results of the project. Foreign travel is not normally an appropriate expense. Funds to cover travel expenses outside of the United States are considered an unallowable direct cost unless written approval has been obtained from the DOE Contracting Officer. * Grant funds may not be used to pay patent prosecution costs and related expenses. See TABA for paying such fees. * Tuition expenses are allowable only if requested from a research institution or subcontractor that is a university, provided the amount requested for tuition is reasonable and comparable to what a student would be paid for performing research during the grant performance period. * Any commercial and/or in-kind contribution to the project should be reflected in the project narrative and not included on the budget pages. |  |  |  |  |  |  |
| 1. R&R SUBAWARD BUDGET ATTACHMENT(S) FORM: [IF APPLICABLE, BUDGETS FOR SUB-AWARDEES, INCLUDING RESEARCH INSTITUTIONS]   You must provide a SF 424 (R&R) budget and budget justification for any Phase I sub-awardee.  Download the R&R Budget Attachment from the R&R SUB-AWARD BUDGET ATTACHMENT(S) FORM and email it to each sub-awardee that is required to submit a separate budget. After the sub-awardee has emailed its completed budget back to you, attach it to one of the blocks provided on the form. Use up to 10 letters of the sub-awardee’s name (plus.pdf) as the file name (e.g., ucla.pdf or energyres.pdf). You may enter the sub-awardee budget information on a separate budget extracted from the SUB-AWARD BUDGET ATTACHMENT(S) FORM.  If the project involves more sub-awardees than there are places in the SUB-AWARD BUDGET ATTACHMENT(S) FORM, the additional sub-award budgets may be saved as PDF files and appended to the Budget Justification attached to Field K.  Ensure that any files received from sub-awardees are the PDF files extracted from the SUB-AWARD BUDGET ATTACHMENT(S) FORM. Errors will be created if a sub-awardee sends a prime applicant a budget form that was not extracted from the application package. Do not use a sub-award budget downloaded directly from grants.gov or any source other than the application package.  Additional budget information for any sub-awardee will likely be required if selected for award. | | | | | | | |
|  | A complete subaward/consortium budget component (including the budget justification section) should be completed by each consortium grantee organization. Separate budgets are required only for subawardee/consortium organizations that perform a substantive portion of the project.  To start the process, the applicant organization should:   * Select the Subaward Budget Attachment Form from the Optional Documents in the Grant Application Package. * Open the form and click the Click here to extract the R&R Subaward Budget Attachment button in the middle of the form. A “SAVE” dialog box appears. * Save the file locally using up to ten letters of the consortium organization’s name and use “.pdf” as the file ex tension. (The extracted file is an Adobe PDF file.) Once you have saved the file there is no need to ex tract another budget attachment. Doing so may cause you to lose any data already stored in the saved file. * Email the extracted, saved form to the consortium grantee. Note: consortium grantees must have installed a compatible version of Adobe Reader before they can complete the form. The consortium grantee should complete all the budget information as instructed in the R&R Budget component instructions. Note: Organizational DUNS and Name of Organization fields must reflect that of the subaward/consortium grantee. * The consortium grantee must complete the budget component and email it back to the applicant organization. * A fee cannot be entered for a subaward/consortium budget. Fee is allowable only for the small business applicant organization budget page. * Return to the Subaward Budget Attachment Form and attach the consortium grantee’s budget to one of the blocks provided on the form. * STTR: If more than one Subaward is included in the STTR application, identify the single, partnering research institution on the RI Subaward budget justification page. |  |  |  |  |  |  |
| 1. SF-LLL DISCLOSURE OF LOBBYING ACTIVITIES: [OPTIONAL]   If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit SF-LLL “Disclosure Form to Report Lobbying.” | | | | | | | |
| 1. SBIR/STTR INFORMATION FORM: [MANDATORY]   Complete all the required forms in accordance with the pop-up instructions on the form.  Each application must be submitted to a DOE SBIR/STTR Topic and, within the Topic, to only one Subtopic. DOE will not assign a Topic and/or Subtopic to grant applications; this must be done by the applicant. The Topic and Subtopic are also required on page 1 of the Project Narrative.  Applicants must utilize the Company Commercialization Report (CCR) from SBIR.gov to provide their company commercialization history of past SBIR/STTR awards). The CCR allows companies to report funding outcomes resulting from prior SBIR and STTR awards. SBIR and STTR awardees are required by the SBA Policy Directive to update and maintain their organization’s CCR on SBIR.gov. Companies may complete this report by logging into the company’s account on SBIR.gov and starting a new Company Commercialization Report. To complete and include a Company Commercialization Report within your application you should:  1. Log into the company account at https://www.sbir.gov/.  2. Navigate to My Dashboard > My Documents to view or print the information currently contained in the Company Registry Commercialization Report.  3. Create or update the commercialization record, from the company dashboard, by scrolling to the “My Commercialization” section, and clicking the create/update Commercialization tab under “Current Report Version”. Please refer to the “Instructions” and “Guide” documents contained in this section of the Dashboard for more detail on completing and updating the CCR. Ensure the report is certified and submitted.  4. Click the “Company Commercialization Report” pdf under the My Documents section of the dashboard to download a pdf of the CCR.  5. For SBIR Applicants including applicants submitting to both SBIR and STTR Programs, the CCR should be attached to Question 8 of the SBIR/STTR Information  form. For STTR-only applicants, the CCR should be attached to Question 12 of the Research and Related – Other Project Information Form. The attached document should be titled “Commercialization History.pdf” | | | | | | | |
| Field 8 | **Phase I Commercialization Plan**  It is a statutory objective of SBIR/STTR funding that technology developed using these designated taxpayer funds result in some form of benefit for the American people whether it be in the form of taxable revenue, jobs or some other societal or scientific benefit**.**  A brief Commercialization Plan (4 pages maximum, 2000 words maximum, 10-point minimum font size) must be included in a Phase I grant application. If the Commercialization Plan is not included at the time of application submission, your application will be administratively declined without review.  The Phase I commercialization plan is designed to get you to begin thinking about the commercial potential for the technology and your strategy to bring it to market. If you proceed to submission of a Phase II application, you will be asked to expand upon the ideas presented here providing validation of the information through customer discovery and due diligence in a 15-page commercialization plan.  The Phase I commercialization plan will be evaluated under the “Impact” criterion and should include these elements:  Project Title: You MUST include the following statement after your project title: “(COMPANY NAME HERE) estimates cumulative sales revenues of $\_\_\_\_\_\_\_\_\_ and cumulative licensing revenues of $\_\_\_\_\_\_\_\_ during the first 10 years of commercialization.”   1. Market Opportunity: Describe the problem and its urgency that will be solved by the product/service resulting from the technology being proposed. Describe your customers and end-users (if different) providing example companies. Describe your competitors and your competitive advantage and/or value proposition. Describe the market opportunity being addressed. If there are opportunities outside DOE and/or multiple opportunities to pursue, describe your time-phased plan to address. Describe the envisioned business model that will be used to generate revenue. 2. Company/Team: Describe the capabilities of your team as they relate to the commercialization of your technology; there is no need to repeat technical qualifications which are covered adequately elsewhere in your application. If there are gaps in commercialization expertise on your current team, describe your time-phased plans to address (new personnel, consultants, contractors, etc.). 3. Intellectual Property (IP): Describe both the state of the intellectual property that exists in your intended market and plans to protect your intellectual property. Detail the status of patents, trade secrets, and other steps you plan to take to protect your IP. 4. Revenue Forecast: Provide a revenue forecast during the first 10 years of commercialization. We request the forecast be for 10 years because the path and development time required to bring the technology to market will vary - in some cases, commercialization may begin immediately after Phase II award, but in other cases commercialization may not start for many years beyond completion of the Phase II award. In doing so, be realistic and do not assume widespread and immediate adoption of your technology by the entire customer base. If there are opportunities outside the immediate DOE need, describe your time-phased plan to address.   Applicants are encouraged to review the example Phase I Commercialization Plan on the DOE SBIR/STTR website under “Applicant Resources” at <https://science.osti.gov/sbir/Applicant-Resources/Grant-Application>.  Question 8 of the SBIR/STTR Information Form will accept the Commercialization Plan attachment for a Phase I grant application submission after selecting DOE as agency and Phase I as application type. Please Note: All applications lacking a separate and attached Phase I Commercialization Plan as noted above will be administratively declined and will not undergo further review or  consideration for award. |  |  |  |  |  |  |
| Field 9 | **Company Commercialization History**  If you have received SBIR/STTR Phase II grants from any Federal agency, then you must provide your company Commercialization History. If you are an SBIR or Both SBIR/STTR applicant, attach your Company Commercialization Report (CCR) from SBIR.gov to Field 9. For STTR-only applications, attach your CCR to Field 12 of the R&R Other Project Information. Please name your CCR document “Commercialization History.pdf” |  |  |  |  |  |  |

1. The PI is the key individual designated by the applicant to direct the project. The PI must be knowledgeable in all technical aspects of the grant application and be capable of leading the research effort. DOE's evaluation of the grant application is critically dependent on the qualifications of the PI. Any changes in the PI that are made after award selection are strongly discouraged and must be pre-approved by DOE. Requests for PI changes will be closely scrutinized and may cause delays in grant execution.

   In addition, the PI is required to devote to the project a considerable part of his or her time. “Considerable” means a minimum average of 3 hours per w eek for the duration of the project for both SBIR and STTR Phase I projects. For ex ample, a 9-month project, lasting 39 weeks, would require a commitment of 117 hours. Applicants must state the duration of the project in weeks, if the project is to be completed in less than 9 months, in order to make it clear that this requirement is fully met. In order to ensure appropriate technical guidance for the project, only one PI will be accepted per project. Processing of applications that include co-PIs will be delayed while the applicant corrects the error. Before a grant is awarded, the PI will be required to sign a statement certifying adherence to these requirements. Non-U.S. citizens are eligible to perform work on SBIR/STTR projects provided they are legally empowered to work in the U.S. at the time that an award is made and throughout its duration. Additional PI Restrictions when submitting to SBIR Program Only – To be awarded an SBIR grant, the applicant must meet the general requirements and the PI’s primary employment must be with the small business applicant at the time of award and during the conduct of the proposed research. Primary employment means that no less than 20 hours per w eek is spent in the employment of the small business during the conduct of the project and no more than 19 hours per w eek spent in the employment of another organization. [↑](#endnote-ref-1)
2. The list of Certifications and Assurances referenced in Field 18 can be found on the DOE Financial Assistance Forms Page at https://energy .gov/management/office-management/operational-management/financial-assistance/financialassistance-forms, under Certifications and Assurances. [↑](#endnote-ref-2)
3. For Phase I, the research or R&D project activity must be performed in the United States. However, based on a rare and unique circumstance, for ex ample, if a supply or material or the study design is not available in the United States, DOE may allow that particular portion of the research or R&D work to be performed or obtained in a foreign country. Investigators must thoroughly justify the use of these sites in the application. These rare and unique situations will be considered on a case-by -case basis, and they should be discussed with DOE SBIR/STTR program staff prior to submission of the application. Approval by the DOE for such specific condition(s) must be in writing prior to issuance of an award and must be facilitated by the DOE SBIR/STTR program staff. Whenever possible, non-SBIR/STTR funds should be used for other work outside of the United States that is necessary to the overall completion of the project.

   The research and analytical work performed by the grantee organization should be conducted in research space occupied by, available to, and under the control of the SBIR/STTR grantee for the conduct of its portion of the proposed project. However, when required by the project activity, access to special facilities or equipment in another organization is permitted, as in cases w here the SBIR/STTR awardee has entered into a sub-contractual agreement with another institution for a specific, limited portion of the research project.

   Whenever a proposed SBIR/STTR project is to be conducted in facilities other than those of the applicant organization, the awarding component may request that the small business concern provide a letter from the organization stating that leasing/rental arrangements have been negotiated for appropriate research space. This letter must be signed by an authorized official of the organization w hose facilities are to be used for the SBIR/STTR project and must certify that the small business concern (grantee organization) will have access to and control over the research space. In addition, the letter must include a description of the facilities and, if appropriate, equipment that will be leased/rented to the grantee organization. [↑](#endnote-ref-3)
4. An application may include technical data and other data, including trade secrets and commercial or financial information that are privileged or confidential, which the applicant does not w ant disclosed to the public or used by the Government for any purpose other than application and program evaluation as permitted by statute. Only the following documents may contain proprietary information: (1) the commercialization plan, (2) the project narrative, and (3) the budget justification, and (4) letters of support. To protect such data, any of the above listed documents that are uploaded as part of your application must be marked in the following manner utilizing the three (3) step process outlined below :

   The Cover Page of the document must contain the notice below (please cut and paste):

   “Pages [\_\_\_\_\_] of this document may contain trade secrets or commercial or financial information that is privileged or confidential and is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance or loan agreement between the submitter and the Government. The Government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source.”

   “Proprietary Data Legend Lines, paragraphs, tables, charts, and other graphics containing trade secrets, commercial, and/or financial information are marked with brackets [ ].”

   *Alternatively you may select: “highlighted” or “underlined text” or “a vertical line in the side margin │” in place of “brackets [ ].”*

   To see examples of proper IP markings, please visit the SBIR/STTR Programs web site at <http://science.energy.gov/sbir/applicant-and-awardee-resources/>.

   To further protect such data, each page containing trade secrets or commercial or financial information that is privileged or confidential must be specifically identified and marked with the following (please cut and paste):

   “May contain trade secrets or commercial or financial information that is privileged or confidential and exempt from public disclosure.”

   Do not include this statement on pages that do not contain proprietary information.

   In addition, each line or paragraph containing trade secrets or commercial or financial information that is privileged, must be marked with brackets or other clear identification, such as highlighting.

   Please ensure this information is consistent with question number three (3) of the Research and Related form. [↑](#endnote-ref-4)
5. **Note concerning question 4.a.**

   DOE understands the phrase in field 4.a., “potential impact – positive or negative - on the environment”, to apply if the work described in the application could potentially have any of the impacts listed in (1) through (5) of 10 CFR Part 1021, Appendix B, Conditions that are Integral Elements of the Classes of Action. See 23 Subpart D – Typical Classes of Actions, Appendix B to Subpart D of Part 1021 – Categorical Exclusions Applicable to Specific Agency Actions; B. Conditions that are Integral Elements of the Classes of Actions in Appendix B. (See [www.ecfr.gov](http://www.ecfr.gov).)

   Additionally, for actions that could have any other negative high consequence impacts to the environment or have any possibility for negative high consequence impacts to human health (e.g., use of human subjects, biosafety level 3-4 laboratory construction/operation, manufacture or use of certain nanoscale materials known to impact human health, or any activities involving transuranic or high level radioactive waste or materials or exposure to any radioactive materials beyond de minimis levels), applicants should indicate “Yes” under 4.a. and then start their explanation under 4.b. with “Negative potential impact;” followed by their explanation.

   Moreover, applicants should indicate potential negative impact on the environment if: 1) there would be extraordinary circumstances (i.e., scientific or public controversy) related to the significance of environmental effects [10 CFR 1021.410(b)(2)], 2) the work is connected to other actions with potentially significant impacts [10 CFR 1021.410(b)(3)], or 3) the work is related to other nearby actions with the potential for cumulatively significant impacts [10 CFR 1021.410 (b)(3)].

   If question 4.a. is answered “Yes”, due to actual or potential negative impact(s) on the environment, the applicant will be required to complete the form entitled “National Environmental Policy Act (NEPA) Environmental Evaluation Notification Form” (SC-CH Form 560) upon request by the DOE contracting officer.

   Lastly, if question 4.a. is answered yes due to an actual or potential positive impact on the environment, applicants should indicate “Yes” under 4.a. and then start their explanation under 4.b. with “Positive potential impact;” followed by their explanation. [↑](#endnote-ref-5)
6. Grant applications, submitted to DOE under SBIR/STTR programs, must provide sufficient information to convince DOE, and members of the research community who review the grant application, that the application is responsive to the topic and subtopic under which it is submitted, that the proposed work represents a sound approach to the investigation of an important scientific or engineering question, and that it is worthy of support under the stated criteria. The Phase I grant application should describe self-contained research that will contribute to proving scientific or technical feasibility of the approach or concept. It should be written with the care and thoroughness accorded papers for publication--direct, concise, informative, and free from grammatical, typographical, and spelling errors. Illustrations and charts should be clearly labeled and correctly referenced in the text. Promotional and nonproject-related discussion detracts from the professional quality of the proposal. The work proposed for Phase I, assuming that it proceeds successfully, should be suitable in nature for subsequent progression to Phases II and III.

   Technical reviewers will base their conclusions only on information contained in the grant application. Do not assume that reviewers are acquainted with the small business, key individuals, or any theory or experiments referred to, but not described. (This includes material in refereed professional journals--those in which the articles have been subjected to peer review, and material referenced on the internet). Relevant journal articles should be summarized in the grant application. Information provided via internet links will not be reviewed.

   Specifically excluded from this funding notice are grant applications principally for literature survey s, for compilations of the work of others, for technical assessments, or for technical status surveys. If any of these ty pes of tasks are included in the work plan, the grant (if awarded) may be reduced in proportion to that effort. In addition, grant applications primarily for the development of already proven concepts will be declined, because such efforts are considered the responsibility of the private sector.

   Full narrative descriptions of the DOE SBIR/STTR Topics are provided via the DOE SBIR/STTR web site under the following link, <https://science.energy.gov/sbir/funding-opportunities/>. Each Topic is subdivided into Subtopics, designated by the letters a, b, c, d, etc. A grant application must respond to a specific Topic and, within it, to only one subtopic. NOTE: The topic numbers change for each FOA release. Be sure to identify the correct topic number on the SF 424 R&R in field 11. The application will be evaluated under the topic number identified. The DOE will not be responsible for reassigning applications to the correct topic number if identified incorrectly. [↑](#endnote-ref-6)
7. Notes Regarding Budget:

   Although there is no absolute cap on indirect costs, grant applications will be evaluated for overall economy and value to DOE.

   Tuition expenses are only allowable if requested from a subcontractor that is a University and if the amount requested for tuition is reasonable and comparable to the amount a student would be paid for performing research during the grant period.

   Travel funds must be justified and directly related to the needs of the project, e.g., travel to DOE Headquarters to meet with the DOE Program Manager. Travel expenses for technical conferences are not permitted unless the purpose of attending the conference directly relates to the project (e.g., to present research results of the project). Foreign travel is not normally an appropriate expense. Funds to cover travel expenses outside of the U.S. is considered an unallowable cost unless written approval has been obtained from the Contracting Officer.

   Grants may include a profit or fee for the small business.

   Any commercial and/or in-kind contribution to the project should be reflected in the project narrative and not included on the budget pages. • Round all funds to the nearest dollar.

   Complete Level-of-Effort worksheet located at <http://science.energy.gov/sbir/applicant-and-awardee-resources/>. Attach this form in Field 12 of the R&R Other Project Information form. [↑](#endnote-ref-7)
8. **Commercialization Assistance (Section F, Field 8, 9, or 10 [Optional])**

   In accordance with the SBIR/STTR Reauthorization Act of 2011, the DOE is able to fund discretionary commercialization assistance to all DOE SBIR and STTR Phase I grantees. Grant recipients have two options for receiving commercialization assistance: (1) utilize services provided by a DOE vendor or (2) identify their own commercialization assistance provider.

   If you wish to receive commercialization assistance from a DOE-funded vendor, you do not need to include this in your budget. If you are awarded a Phase I grant, you will receive notification from DOE and follow-up contact from a DOE-funded vendor on what services are available to you and how to obtain these services at no cost to your small business.

   If you wish to utilize your own commercialization assistance provider, you are required to include this as “Other Direct Costs (in fields 8, 9 or 10 of Section F)” in your budget, to provide a detailed budget justification, and a letter of commitment from the provider. You may include up to $5,000 for assistance. Please note that this commercialization assistance does not count toward the maximum grant size listed in Part II, C. For example, seeking commercialization assistance from your provider could result in an increase of $5,000 over the maximum grant limit. That is, for a topic with a maximum grant limit of $150,000 or $225,000, the actual grant may increase to $155,000 or $230,000 respectively. Reimbursement is limited to services received that comply with 15 U.S.C. § 638(q). In the event some or the entire amount listed is not expended on a commercialization assistance services as proposed, the remaining funds cannot be budgeted to other project costs. Re-budgeting of these funds is not allowable. [↑](#endnote-ref-8)