

## Proposal Checklist - DOE Phase I

**Solicitation Name:** DOE SBIR Phase I

**Solicitation Number:** DE-FOA-0003110

**Letter of Intent Submission Date:** August 28, 2023 5:00 PM Eastern Time

**Full Proposal Submission Date:** October 10, 2023 11:59 PM Eastern Time

### Proposal Development Checklist

#### Formatting:

- Application package has been obtained from [Grants.gov](https://www.Grants.gov)
  - All required forms within Grants.gov workspace have been completed in full
- Any created sections (Project Summary/Abstract, Project Narrative) adhere to formatting guidelines
- Confirmation of Letter of Intent (LOI) has been received before submitting proposal package
  - Without a LOI, DOE will not accept a proposal
  - Applicants will only hear back from DOE if LOI is found **Not-Responsive**
- File names for attachments only contain UTF-8 characters, are unique, and are no more than 30 characters in length

#### SF 424 R&R

- **Specific Field Requirements**
  - Field 11 bears Topic and Subtopic selected in addition to a descriptive project title
    - Topic, Subtopic, and Project Title must match the information used in the LOI
    - Topic, Subtopic, and Project Title must be given on page 1 of the Project Narrative
  - Mark start date of Period of Performance as: **2/12/2024**
  - Ensure Unique Entity Identifier (UEI) and Employer Identification Number (EIN) are correct in fields 5 and 6.

#### R&R Other Project Information Form

- **General Requirements**
  - All items and fields have been completed in full
- **Field 7 Project Summary/Abstract**
- **General Formatting**

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- Standard 8.5x11 page size has been used
- Project Summary/Abstract is a PDF and has been uploaded to the form
- Document is named "Summary.pdf"
- Project Summary is no more than 1 page in length
- Header bearing Company Name, Project Title, Principal Investigator, and Topic number/Subtopic letter e.g. 12b has been included
- **Content Requirements**
  - Project Summary states and full describes problem or situation being addressed in the application, gives objectives to be accomplished in Phase I, summarizes future application or public benefits of the project, provides a listing of key words, and a two sentence summary for members of Congress have been added
  - Project Summary does not include proprietary or sensitive business information
- **Field 8 Project Narrative**
- **General Formatting**
  - Project Narrative is a no more than 15 pages/7500 word of text in length
    - Font: 10-point minimum
  - Header bearing Company Name, Project Title, Principal Investigator, and Topic/Subtopic
- **Cover Page**
  - Company-specific and project information has been included as indicated in the solicitation
- **Proprietary Data Legend**
  - If narrative includes any proprietary information, Notice of Restriction on Disclosure and Use of Data has been included on first page of Narrative
- **Identification and Significance of the Problem or Opportunity, and Technical Approach**
  - Specific technical problem or opportunity addressed by application has been defined with enough background information to impart its importance
- **Anticipated Public Benefits**
  - Technical, economic, social, and other benefits to the public of the project as a whole have been discussed, including resultant marketable product or process and how it could benefit both commercial sector and Federal Government
- **Technical Objectives**

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- Specific technical objectives for the Phase I research and development effort have been stated
- **Work Plan**
  - An explicit, detailed description of the Phase I research approach and work to be performed has been provided
  - Technical Objectives have been directly linked to the Work Plan with methods to achieve each objective or task explicitly stated
- **Performance Schedule**
  - Milestones to be achieved during period of performance are listed along with estimated amount of time to complete
- **Facilities/Equipment**
  - Available equipment and physical facilities necessary to carry out the Phase I effort have been described in full, including descriptions of any items to be leased or purchased during the effort
- **Research Institution (RI) and Consultants/subcontractors**
  - If Phase I work will be outsourced, work to be completed is clearly outlined.
- **PROMOTING INCLUSIVE AND EQUITABLE RESEARCH (PIER) PLAN (Required)**
  - Included as an appendix for the project narrative
  - Plan is 1 to 3 pages in length
- **Field 9 Bibliography & Cited References**
- **General Formatting**
  - Nothing is attached to this field, and if a Bibliography and References cited is desired, that information is in the Project Narrative
    - Counts against the page limit
- **Field 10 Facilities & Other Resources**
- **Content Requirements**
  - Nothing is attached to this field, and if a Facilities & Other Resources section is desired, that information is in the Project Narrative
    - Counts against the page limit
- **Field 11 Equipment**
- **Content Requirements**
  - Nothing is attached to this field, and if an Equipment section is desired, that information is in the Project Narrative

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- Counts against the page limit
- **Optional “Other Attachments”**
  - Letters of Support outlining the impact of innovation
  - Phase II Funding Commitment (Commercial Contribution)
  - Phase III Follow-On Funding Commitment
- **Field 12 Other Attachments**
- **Phase I Commercialization Plan**
  - A 4 page maximum Phase I Commercialization Plan has been added to field 12 of the R&R Other Project Information Form and not field 7 of the SBIR/STTR Information Form
  - After project title, the following statement has been included verbatim “(COMPANY NAME HERE) estimates cumulative sales revenues of \$ \_\_\_\_\_ and cumulative licensing revenues of \$ \_\_\_\_\_ during the first 10 years of commercialization.”
  - Plan includes description of the market opportunity for the proposed deliverable from the full project, status of patents, trade secrets, and other steps to protect the Intellectual Property from the full project, and the capability of the present and planned personnel that will enable the commercialization of the innovation
- **Digital Data Management Plan (DMP)**
  - At a minimum, DMP has been created with this statement “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.”
  - If proposal uses another DMP than the required statement, that DMP covers how and if the data generated by the proposed project will be shared and preserved, provides a plan for publishing this information, references available information about data management resources to be used in the course of the proposed work, and the plans to be implemented to protect Personally Identifiable Information
- **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
- **Additional Documents**
  - SBA Company Registration has been attached

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- Other “if applicable” documentation described in solicitation

### R&R Senior/Key Person Profile

- **General Formatting**

- Profile has been completed for each team member that has been designated as senior/key individual
- Biographical sketch for each person includes Education and Training, Research and Professional Experience, relevant Publications (up to 10) or patents, copyrights, and software system development, and Synergistic Activities (up to 5)
- Biographical sketch is less than two pages in length per person
- Both Federal and non-Federal current and Pending Support for PI and senior/key persons, including sub-awardees, has been attached

### R&R Budget Form

- **General Formatting**

- All budget fields have been completed in full
- Technical and Business Assistance (TABAs) funding is included/explored
- Budget items are rounded to the nearest dollar

- **Travel**

- Registration fee (\$250) and travel expenses for the PI and, if required, up to one person from the small business representing commercializing interests have been added for those individuals to attend the DOE SBIR/STTR Phase I Principal Investigator Meeting

- **Field K – Budget Justification**

- A justification with supporting details and pricing for any budget categories bearing a request dollar amount has been uploaded
- Only one file has been attached

### R&R Subaward Budget Form

- **General Formatting**

- If a subaward is being made as part of the Phase I effort, a fully complete budget and budget justification have been added

### R&R Project/Performance Site Location(s)

- **General Requirements**

- Project Performance Site Location information has been supplied for all locations where proposed project work will take place

## **Proposal Checklist - DOE Phase I**

### **SF-LLL Disclosure of Lobbying Activities (Optional)**

Completed, if applicable

### **SBIR/STTR Information Form (required)**

- **General Formatting**

All items have been completed in full