



U.S. DEPARTMENT OF **ENERGY**

*An Overview of the DOE's
Small Business Innovation Research (SBIR)
and Small Business Technology TRansfer
(STTR) Programs
(with a little bit on DATA.GOV)*

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BUSINESS OPPORTUNITY SESSION

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U. S. Department of Energy Mission

1. Advancing the Nation's Economic and Energy Security
2. Promoting Scientific and Technological Innovation
3. Ensuring the Environmental Clean-Up of the National Nuclear Weapons Complex

DOE SBIR/STTR Program Features

- *Competitive Grants Driven Program*
- Applications Accepted Only via (www.Grants.gov)
- Two Phased Approach
 - \$100K Phase I (9 months) – Feasibility
 - \$750K Phase II (24 months) – Development
- Must Be Awarded DOE Phase I to Compete in Phase II
- **SBIR**: PI must be Employed by the Small Business (66/50%)
- **STTR**: PI may be Employed by SBC or Research Partner (40/40%)
- Offer Valuable Technical & Commercialization Assistance



DOE's SBIR/STTR Budget vs. Awards

	SBIR	+	STTR	=	Totals
FY 2009 Budget	\$138 M		\$17M		\$155 M
Phase I Awards	319		35		354
Phase II Awards	~154		~17		~171
<i>DOE R&D Set-Aside</i>	<i>2.5%</i>		<i>0.3%</i>		<i>2.8%</i>

(Based on approx. \$5.5B in Extramural DOE R&D)



FY 2009 SBIR/STTR Technical Topics vs. Number of Received Proposals

<u>Funding Program</u>	<u>Topics – Proposals</u>
Energy Efficiency & Renewable Energy*	15 – 762
Fossil Energy*	9 – 183
High Energy Physics	7 – 144
Biological & Environmental Research	6 – 110
Nuclear Physics	4 – 107
Basic Energy Sciences	6 – 89
Fusion Energy	3 – 67
Advanced Scientific Computing Research	5 – 62
National Security – (Nuclear Nonproliferation)	4 – 43
Electricity Delivery/Reliability*	3 – 40
Data Management and Communication (Science)	1 – 23
Nuclear Energy*	2 – 29
Environmental Management	1 – 7
Total Topics – Proposals	66 – 1,666

*Includes BES Fund Topics



Department of Energy SBIR/STTR Solicitation Schedule

Annual Solicitations: Phase I (fall) & Phase II (spring)

<i>Annual Solicitation</i>	<i>Phase I</i>	<i>Phase II</i>
Release Date:	September	
Closing Date:	November	
Award Selections:	May	
Grants Begin:	June	



Department of Energy SBIR/STTR Solicitation Schedule

Annual Solicitations: Phase I (fall) & Phase II (spring)

<i>Annual Solicitation</i>	<i>Phase I</i>	<i>Phase II</i>
Release Date:		February
Closing Date:		April
Award Selections:		June
Grants Begin:		July

DOE's 3-Year Annual Average Award Statistics

Proposals Rec'd vs. Awards Made

Phase I: ~1,550 ~310 @ ~\$100K

Phase II: ~240 ~120 @ ~\$750K

Phase I: Applicant has a **20%** Chance of Award

Phase II: Applicant has a **50%** Chance of Award

FY 2009 SBIR/STTR Most Popular Topics

Topic 23. Solar Energy (130)

Topic 11. Cooling and Waste Heat Recovery (68)

Topic 20. Wind Energy Technologies (63)

Topic 46. Nuclear Physics Accelerator Technology (46)

Topic 18. Production of Biofuels from Biomass (44)



Some First-Time DOE SBIR Phase I Awardee Stats . . .

FY 2008

- 281 SBIR Awards to 192 Small Businesses. Of these:
 - 55 or 29% were First-time DOE Winners
 - 35 or 64% of the 55 First-time Winners were First-time DOE Applicants
 - Awards Made in 33 States

FY 2009

- 319 SBIR Awards to 181 Small Businesses. Of these:
 - 51 or 27% were First-time DOE Winners
 - 22 or 43% of the 51 First-time Winners were First-time DOE Applicants
 - Awards Made in 32 States



SBIR/STTR Proposal Evaluation Process

- Administrative Review
- First Step Review
- External Peer Review Scoring
- Award Ranking and Selection
- Grant Negotiations
- Formal Awards
- Debriefings



DOE SBIR/STTR Evaluation Criteria for Phase I and II Proposals

1. Strength of the Scientific/Technical Approach – 33%

- a) To what extent does the proposed work build upon or move beyond the current state-of-the-art?
- b) How new or unique is the idea?
- c) How significant is the scientific and/or technical challenge?
- d) Is a breakthrough possible?
- e) Has the applicant demonstrated knowledge of the subject?
- f) How thoroughly have the concepts been presented?

2. Ability to Carry out the Project in a Cost Effective Manner – 33%

- a) Please comment on the qualifications of the Principal Investigator (PI), other key staff, and consultants, if any, and on the level of adequacy of equipment and facilities

3. Impact – 33%

- a) Please comment on the significance of the technical and/or economic benefits of the proposed work, if successful
- b) Please comment on the likelihood that the proposed work could lead to a marketable product or process, and on the size of the potential market.
- c) Please comment on the likelihood that the project will attract further development funding (from private sector sources, Federal, non-SBIR/STTR sources) after the SBIR/STTR project expires.

Evidence of Commercial Potential (Phase II Only)

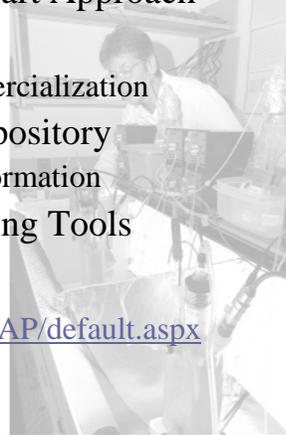


Serving Small Business . . . Technical and Commercialization Assistance (*Technical Assistance Program – TAP*)

■ DOE's TAP Program: A Three-Part Approach

- Education and Tutorials
 - Basic SBIR Proposal Prep and Commercialization
- Resource-Intensive Information Repository
 - Focused Topic Data, Reports, and Information
- Technical Assessments and Marketing Tools

<http://sbircap.securespsites.com/DOE/DOECAP/default.aspx>



Serving Small Business . . . Technical and Commercialization Assistance

■ Two Means of Assistance

- **Web-Based Support: TAP Portal**
 - Pre-Phase I, Phase I, and Phase II Awardees
 - Self-Help/Self-Paced Tools and Assistance
 - <http://doecapreg.foresightst.com>
- **Consultant Services**
 - Phase I & Phase II Awardees
 - Technical Assessments



Serving Small Business . . . Technical and Commercialization Assistance

Resources	PRE-Award	PHASE I	PHASE II
Market Overviews	✓	✓	✓
Technology Roadmaps	✓	✓	✓
Venture Capital Contacts	---	✓	✓
Data Warehouse	---	✓	✓
Regulations and Standards	---	✓	✓
Pipeline Partners	---	---	✓
K2™ Basecamp	---	---	✓
Tools			
Marketing Fact Sheet	✓	✓	✓
Go/NoGo™ Assessment, Sample, and Help File	✓	✓	---
Commercialization Plan Template	---	✓	✓
Commercialization Plan Help File	---	✓	✓
Training			
Commercialization 101™	✓	✓	✓
<i>What Every Researcher Needs to Know About Commercialization</i>	✓	✓	✓
SBA Phase I Proposal Preparation Handbook	✓	---	---
Improving Your SBIR Phase I Proposal Document	✓	---	---
Improving Your SBIR Phase II Proposal Document	---	✓	---



Good News ... You're Not Too Late

(<http://www.zyn.com/sbir/bnews.htm#noaa09-2>)

SBIR Gateway

SBIR / STTR Grants & Contracts News for 2009 Updated 11/13/09

- Resources
- [SBIR/STTR Gateway](#)
- [Search SBIR/STTR Open Solicitations](#)
- [SBIR/STTR Agency Websites](#)
- [SBIR Solicitation Date Finder](#)
- [SBIR Events Calendar](#)

- Headlines
- ▶ [DoD Issues FY-10.1 SBIR](#) - (11/13/09)
- ▶ [DHS Issues FY-10.1 SBIR](#) - (11/02/09)
- ▶ [NIST Opens FY-2010 SBIR](#) - (10/30/09)
- ▶ [Congress Passes Bill To Extend SBIR/STTR For 3 Months](#) - (10/29/09)
- ▶ [Senate Passes Bill To Extend SBIR/STTR For 6 Months](#) - (10/28/09)
- ▶ [DoD Gets 1 Year SBIR/STTR Reauthorization](#) - (10/22/09)
- ▶ [DOC/NOAA Opens FY-10 SBIR](#) - (10/14/09)
- ▶ [DOC/NOAA SBIR Presolicitation Announcement](#) - (10/07/09)
- ▶ [DOT Opens FY-2010 SBIR](#) - (10/04/09)
- ▶ [DOE Opens FY-2010 SBIR/STTR](#) - (09/24/09)
- ▶ [NSF Releases FY-2010 SBIR](#) - (09/10/09)
- ▶ [HHS/NIH/CDC Opens PHS 2010-1 SBIR Contracts Solicitation](#) - (09/21/09)
- ▶ [NSF Releases FY-2010 STTR](#) - (09/10/09)
- ▶ [DOE Opens SBIR/STTR](#) - (08/09/09)
- ▶ [DoD Releases FY-09.3 SBIR](#) - (7/27/09)
- ▶ [DoD Releases FY-09.B STTR](#) - (7/27/09)



Good News ... You're Not Too Late

(<http://www.zyn.com/sbir/bnews.htm#noaa09-2>)

■ DoD Issues FY-10.1 SBIR

- The DoD has issued the prereleased of their FY2010.1 SBIR solicitation with offerings from the Air Force, Army, Navy, DARPA, CDB, DTRA and SOCOM. The solicitation opens and proposals will be accepted starting December 10, 2010 with a closing date of January 13, 2010 at 6:00am EST.

■ DHS Issues FY-10.1 SBIR

- The Department of Homeland Security (DHS) Science & Technology Directorate (S&T) has issued their FY-2010.1 SBIR solicitation which will open to receive proposals on November 18, 2009 and close January 4, 2010, 4:30pm est.

■ NIST Opens FY-2010 SBIR

- The Department Of Commerce National Institute of Standards and Technology (NIST) has opened their FY-2010 SBIR with a closing date of January 22, 2010.

■ DOC/NOAA Opens FY-10 SBIR

- The U. S. Department of Commerce (DOC), National Oceanic and Atmospheric Administration (NOAA) has released their FY-2010 SBIR (Solicitation No. NOAA2010-1) with an opening date of October 14, 2009, closing on January 14, 2010 at 4pm.



DATA.GOV

Featured Datasets/Tools: National Assets

Name (click for metadata and to rate tool)	Rating	Agency	Category
AVAILABLE TECHNOLOGIES This feed provides readers with information about ARS technologies relating to biobased products, biotechnology, crop production, food safety & nutrition, natural resour...	★★★★★ (0 votes)	USDA	Agriculture
AvailTech This is an easy-to-use tool that helps you find NIST innovations by browsing by application, technical field or by searching keywords or researcher name.	★★★★★ (0 votes)	DOC/NIST	Science and Technology
Conference Information XML Data Service Contains bibliographic data for science and technology conference proceedings and conference papers from the Energy Citations Database.	★★★★★ (0 votes)	DOE	Science and Technology
Cooperative Research and Development Agreement (CRADA) Opportunities from NIH This RSS Feed represents all Collaborative Research and Development (CRADA) opportunities available from the National Institutes of Health (NIH). The intent of Congress in...	★★★★★ (0 votes)	HHS/NIH	Business Enterprise
DOE Data Explorer Widget This site contains a widget accessing the DOE Data Explorer (DDE) to find scientific research data - such as computer simulations, numeric data files, figures and plots. ...	★★★★★ (0 votes)	DOE	Science and Technology
DOE Patents News Feeds An RSS feed with news on patents from the Department of Energy	★★★★★ (0 votes)	DOE	Science and Technology
DOE Patents Widget A searchable database of patents resulting from Department of Energy sponsored research	★★★★★ (0 votes)	DOE	Science and Technology
DOE Patents XML Data Service Contains bibliographic data for a database of patents resulting from sponsored research by the Department of Energy and predecessor agencies.	★★★★★ (0 votes)	DOE	Science and Technology

<http://www.data.gov/list/nationalassets>



DATA.GOV (more)

DOE R&D Accomplishments News Feeds

An RSS feed with news of Department of Energy R&D accomplishments that have had significant economic impact, have improved people's lives, or have been widely recognized ...

★★★★★
(0 votes)

DOE

Science and Technology

DOE R&D Accomplishments Widget

Discover outcomes of past DOE R&D which have had significant economic impact, improved people's lives, or been widely recognized as a remarkable advance in science.

★★★★★
(0 votes)

DOE

Science and Technology

DOE R&D Project Summaries XML Data Service

Contains bibliographic data for summaries of energy-related scientific projects performed since 1995 by DOE laboratories and other research facilities.

★★★★★
(0 votes)

DOE

Science and Technology

Energy Citations Database Widget

The Energy Citations Database (ECD) provides access to historical and current research (1948 to the present) from the Department of Energy (DOE) and predecessor agencies.

★★★★★
(0 votes)

DOE

Science and Technology

Energy Citations Database XML Data Service

Contains bibliographic data for The Energy Citations Database (ECD) providing access to historical and current research (1948 to the present) from the Department of Energy...

★★★★★
(0 votes)

DOE

Science and Technology

Geothermal/Geothermal Legacy Data XML Data Service

Contains bibliographic data for the Geothermal Technologies Collection providing access to Department of Energy sponsored current and historical full-text reports plus jo...

★★★★★
(0 votes)

DOE

Science and Technology

<http://www.data.gov/list/nationalassets>



DATA.GOV (and more)

Information Bridge Widget

Department of Energy full-text technical reports in physics, chemistry, materials, biology, environmental cleanup, energy technologies and others

★★★★★
(0 votes)

DOE

Science and Technology

Information Bridge XML Data Service

Contains bibliographic data for Department of Energy (DOE) research report literature available in full-text online.

★★★★★
(0 votes)

DOE

Science and Technology

Librarian Research Widget

This site contains a widget accessing a variety of scientific and technical information sources from the U.S. Department of Energy (DOE) Office of Scientific and Technica...

★★★★★
(0 votes)

DOE

Science and Technology

Licensing Opportunities for NIH & FDA Technologies

This dataset represents all technologies available for licensing from the National Institutes of Health (NIH) as well as the Food and Drug Administration (FDA)

★★★★★
(0 votes)

HHS/NIH Business Enterprise

<http://www.data.gov/list/nationalassets>



DATA.GOV (and more and more)

PARTNERING OPPORTUNITIES This feed provides readers with information regarding partnering opportunities that are available within the USDA/ARS community.	★★★★★ (0 votes)	USDA	Agriculture
Products developed using NIH and FDA inventions This dataset represents a subset of the products developed by commercial partners using NIH and FDA inventions and technologies.	★★★★★ (0 votes)	HHS/NIH	Business Enterprise
R&D Project Summaries Widget Access summaries of energy-related scientific projects performed since 1995 by Department of Energy laboratories and other research facilities.	★★★★★ (0 votes)	DOE	Science and Technology
SBIR Website - Data The SBIR program at NIST solicits scientific and engineering related R&D proposals for contracts from small businesses that respond to specific technical needs that are d...	★★★★★ (0 votes)	DOC/NIST	Science and Technology
SBIR Website - Solicitation This is the annual Solicitation for the SBIR program at NIST. It solicits scientific and engineering related R&D proposals for contracts from small businesses that respo...	★★★★★ (0 votes)	DOC/NIST	Science and Technology
Science Accelerator Widget Science Accelerator is a gateway to science, including R&D results, project descriptions, accomplishments, and more, via resources made available by the Office of Scienti...	★★★★★ (0 votes)	DOE	Science and Technology
Science Conference Proceedings Widget Science Conference Proceedings Portal allows you to search science and technology conference proceedings and conference papers residing at diverse websites.	★★★★★ (0 votes)	DOE	Science and Technology

<http://www.data.gov/list/nationalassets>



DOE SBIR/STTR Program Contact Information

- Web: www.science.doe.gov/sbir
- Email: sbir-sttr@science.doe.gov
- Phone: 301-903-1414 – *“Ask Carl”*
- Technical Assistance TAP Web Portal:
<http://doecapreg.foresightst.com>

