

Today's DOE Webinar will begin shortly . . .

- **Why is there no sound?**

- Please use the dial-in phone number for audio 1-888-225-2734
- For technical support please call 1-800-843-9166; For help via email, please send your inquiries to [help@readytalk.com](mailto:help@readytalk.com)

- **Will DOE provide access to the recorded webinar after the meeting?**

- Yes, within 1 business day, please visit the DOE SBIR/STTR web site and you'll find the link to the recorded webinar under the "[Funding Opportunities](#)" web page.

- **Where can I find the Funding Opportunity Announcement (FOA) being discussed today?**

- Please click [here](#) to be taken to the FY 2013 Phase I Release 1) FOA. For an application package, please click [here](#).

- **What if my question was not answered at today's webinar?**

- All questions regarding topics and technical content must be submitted through the FedConnect portal. Instructions for registering and using FedConnect are contained in the FOA.
- For questions regarding the FOA and the DOE SBIR/STTR application process, please call (301) 903-5707 or email your questions to [SBIR-STTR@science.doe.gov](mailto:SBIR-STTR@science.doe.gov)





*Overview of the DOE's  
Small **B**usiness **I**nnovation **R**esearch (SBIR)  
and Small Business **T**echnology **T**ransfer  
(STTR) Programs*

***Manny Oliver**  
Director, DOE SBIR/STTR Programs Office*

**DOE Webinar**  
**August 17, 2012**

A grayscale photograph of the United States flag waving in the wind against a cloudy sky. The flag is the central focus, with its stars and stripes clearly visible. The text is overlaid on the flag.

# Overview of Federal SBIR/STTR Programs

# Purpose

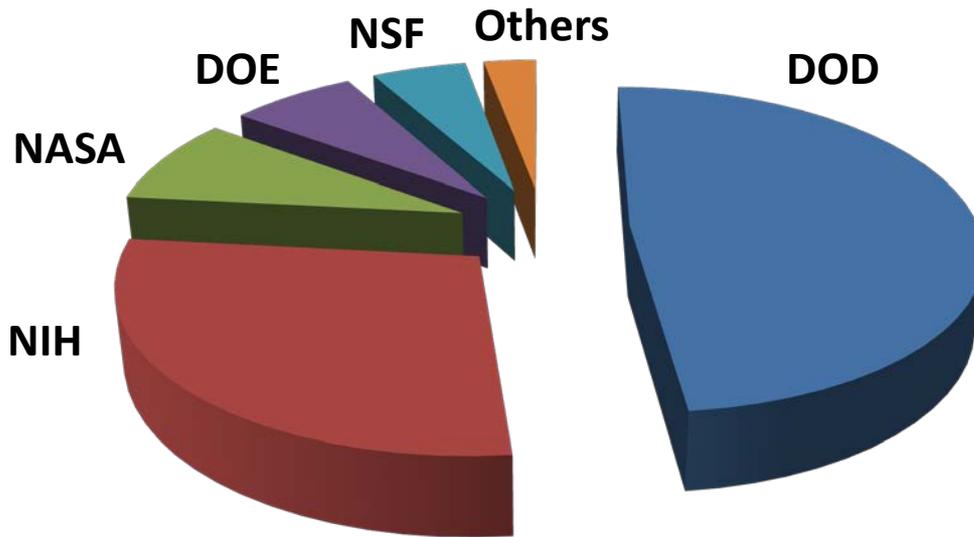
- Original Charter
  - stimulate technological innovation:
  - use small business to meet Federal R/R&D needs:
  - foster and encourage participation by the socially and economically disadvantaged SBCs, and by SBCs that are 51 percent owned and controlled by women, in technological innovation; and
  - increase private sector commercialization of innovations derived from Federal R/R&D, thereby increasing competition, productivity, and economic growth
- Purpose today
  - Program has evolved to have greater emphasis on commercialization
    - Requires evaluation of commercial potential in Phase I and Phase II applications
  - Seed capital for early stage R&D with commercialization potential
    - Awards comparable in size to angel investments in the private sector
    - Accepting greater risk in support of agency missions

# Program Administration & Funding

- Program Administrator: Small Business Administration (SBA)
  - Issues policy directives for SBIR and STTR
  - Issues annual reports to Congress
- SBIR (Small Business Innovation Research)
  - For FY 2013: *2.7% of agency extramural R&D budgets*
  - First year: 1983
  - Applies to agencies with >\$100M in extramural R&D: DOD, NIH, NSF, DOE, NASA, DHS, USDA, DOC, DOT, EPA, DOEd
- STTR (Small Business Tech Transfer)
  - Requires collaboration with a non-profit research institution
  - For FY 2013: *0.35% of agency extramural R&D budgets*
  - First year: 1994
  - Applies to agencies with >\$1B in extramural R&D: DOD, NIH, NSF, DOE, NASA



# SBIR/STTR Budgets by Agency, FY 2011



Department of Defense (DOD)	\$ 1.2 B
National Institutes of Health (NIH)	\$682 M
National Aeronautics and Space Administration (NASA)	\$204 M
Department of Energy (DOE)	\$164 M
National Science Foundation (NSF)	\$124 M
All Others: DHS, EPA, DOC, DOT, USDA, DOEd	\$69 M
<b>TOTAL</b>	<b>\$ 2.4 B</b>



# Eligibility & Phased R&D Approach

- Small Business Eligibility
    - For-profit, at least 51% US-owned, small business with 500 or fewer employees located in the US
    - Principal Investigator (PI) primary employment must be with the small business for SBIR. For STTR, PI may come from the research institution.
    - *No cost sharing required*
  - Phased R&D Approach
    - Phase I: Feasibility, 6-12 months, \$150k
    - Phase II: Prototype Development, 2 years, \$1M
    - Phase III: Commercialization, funded by private sector or federal agencies
- agency SBIR & STTR allocations can only be used for Phase I and II awards*





# DOE SBIR & STTR Programs: Technology Areas

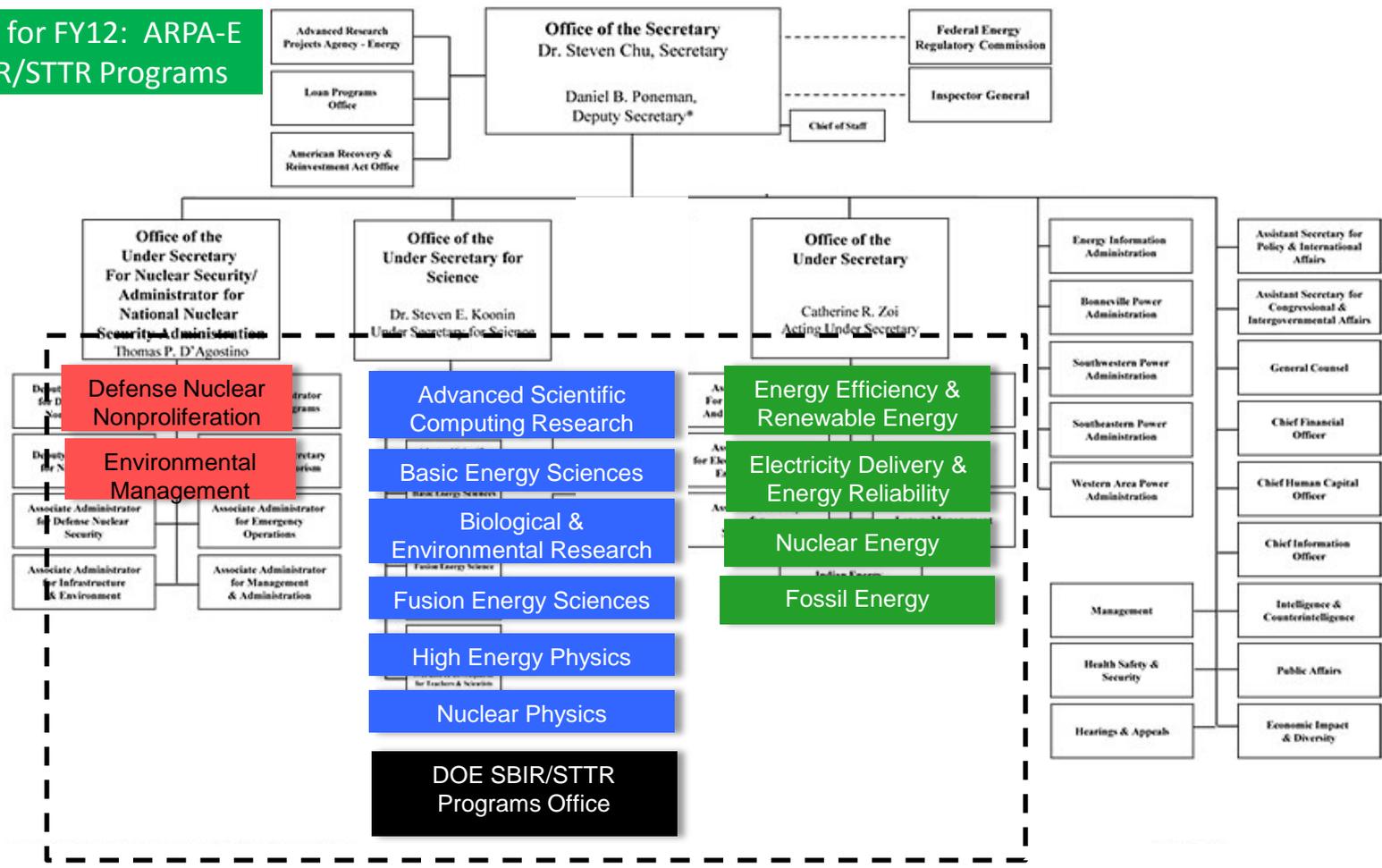
# U. S. Department of Energy Mission

- **The mission of the Department of Energy** is to ensure America's security and prosperity by addressing its energy, environmental, and nuclear challenges through transformative science and technology solutions.
  - **Goal 1:** Catalyze the timely, material, and efficient transformation of the nation's energy system and secure U.S. leadership in clean energy technologies.
  - **Goal 2:** Maintain a vibrant U.S. effort in science and engineering as a cornerstone of our economic prosperity, with clear leadership in strategic areas.
  - **Goal 3:** Enhance nuclear security through defense, nonproliferation, and environmental efforts.

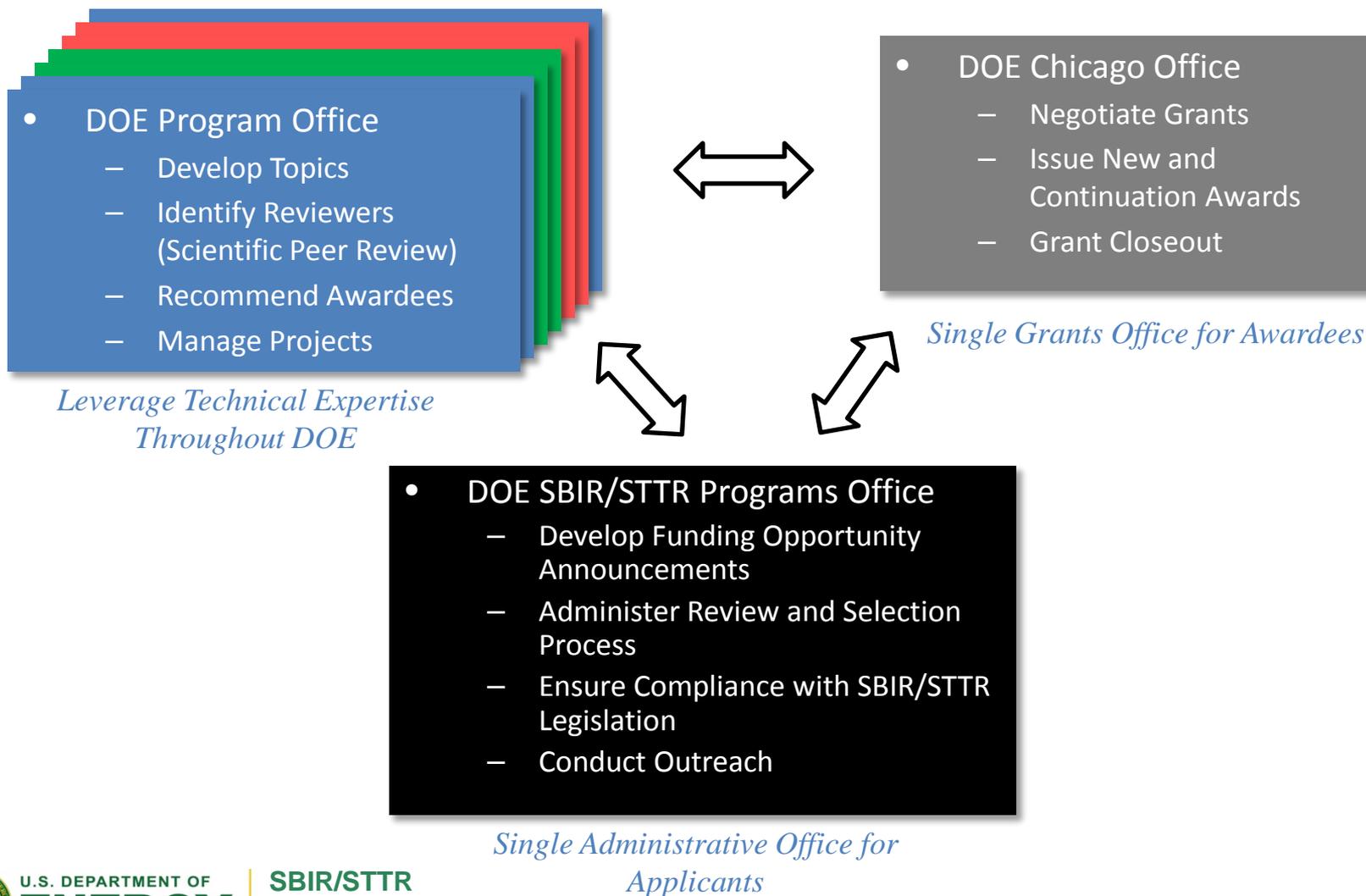


# DOE Program Offices Participating in SBIR/STTR

New for FY12: ARPA-E SBIR/STTR Programs



# Operation of the DOE SBIR and STTR Programs



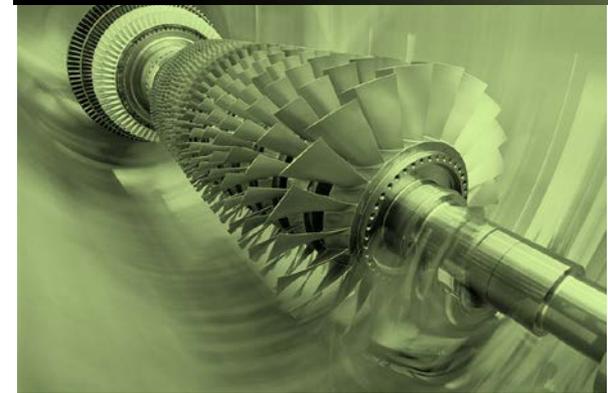
# Information Available at DOE Program Office Websites

- Mission
- Funding Priorities and Announcements (non-SBIR)
- Technical Reference Data and Reports
- Conference Proceedings
- Contact Information

The screenshot shows the homepage of the Energy Efficiency and Renewable Energy (EERE) website. At the top, there is a navigation bar with the U.S. Department of Energy logo and the text "Energy Efficiency & Renewable Energy". To the right, there is a search bar and a mobile link. Below the navigation bar, there are five main menu items: ENERGY EFFICIENCY, RENEWABLE ENERGY, RESEARCH & DEPLOYMENT, FUNDING, and ABOUT EERE. The main content area features a large image of solar panels on a roof, with a text box titled "Secretary Chu Announces Over \$110 Million in SunShot Solar Projects". To the right of this image is a sidebar with two columns of icons and labels: "Energy Efficiency" (Homes, Buildings, Vehicles, Industry, Government) and "Renewable Energy" (Solar, Wind, Water, Biomass, Geothermal, Hydrogen & Fuel Cells). Below the main content area, there are sections for "INFORMATION FOR" (Consumers, Kids, Media, States, Tribes), "BLOGS" (Energy Savers Blog, DOE Energy Blog), "CONNECT & SHARE" (Ask a Question, Facebook, RSS Feeds, Widgets, More Ways to Connect, Get Updates by E-mail), "RESOURCES" (Energy Basics, Calculators & Software, Education & Training, Maps & Data, Videos & Animations, Clean Energy Jobs), and a "Bulletin Board of Lessons Learned" section.

# DOE Program Offices supporting Goal 1: Clean Energy Technologies

- [Office of Electricity Delivery and Energy Reliability](#)
- [Office of Energy Efficiency and Renewable Energy](#)
- [Office of Fossil Energy](#)
- [Office of Nuclear Energy](#)



# Goal 1: Clean Energy Topics

- Clean Coal Technologies
- Advanced Turbine Technology
- Oil and Gas Technologies
- Advanced Materials and Technologies for Nuclear Energy
- Smart Grid Technologies
- Bio-energy & Biofuels
- Hydrogen & Fuel Cells
- Solar Power
- Water Power
- Wind Energy
- Energy Storage



# DOE Program Offices Supporting Goal 2: Science and Engineering Leadership

- Office of Science
  - [Advanced Scientific Computing Research](#)
  - [Basic Energy Sciences](#)
  - [Biological and Environmental Research](#)
  - [Fusion Energy Sciences](#)
  - [High Energy Physics](#)
  - [Nuclear Physics](#)



## Goal 2: Science & Engineering Topics

- Advanced Detectors
- Accelerator technology
- RF Components and Systems
- Data Acquisition, Processing and Analysis
- Fusion Energy Systems
- High Performance Computing & Networking
- Modeling and Simulation
- Atmospheric Measurement Technology
- Genomic Science and Related Biotechnologies
- Advanced Sources: neutron, x-ray, electron



# DOE Program Offices Supporting Goal 3: Nuclear Security

- [Office of Defense Nuclear Nonproliferation](#)
- [Office of Environmental Management](#)



## Goal 3: Nuclear Security Topics

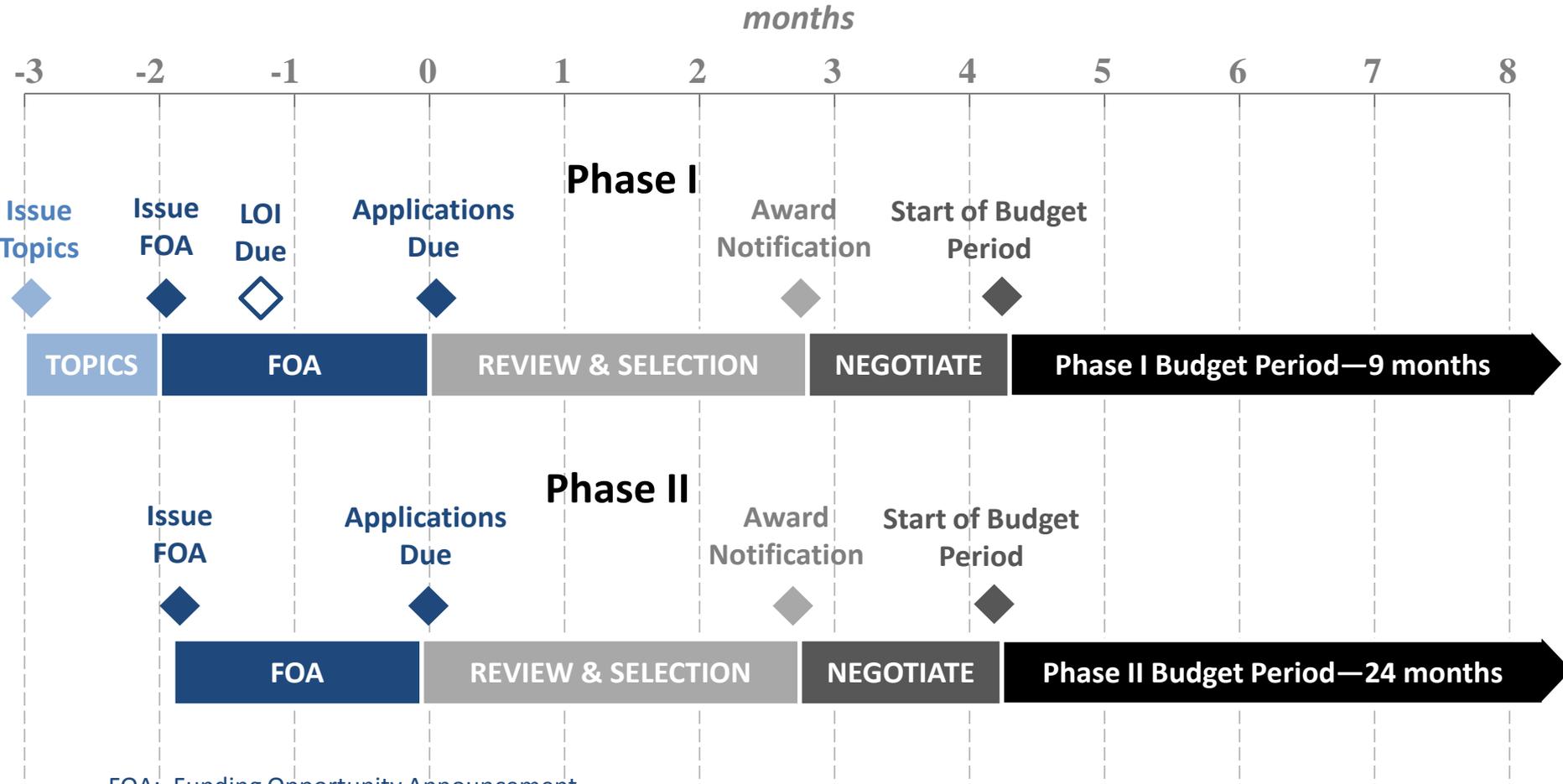
- Novel Radiation Monitoring Concepts
- In Situ Remediation
- Facility Deactivation and Decommissioning
- Remote Sensing
- Global Nuclear Safeguards R&D
- Nuclear Detonation Detection



A field of white wind turbines under a cloudy sky. The turbines are arranged in rows, with the central one being the most prominent. The sky is filled with soft, white clouds, and the overall scene is bright and clean.

# **DOE SBIR & STTR Programs: Application & Award Process**

# Application & Award Timelines



FOA: Funding Opportunity Announcement  
 LOI: Letter of Intent

# Two Phase I Funding Opportunity Announcements Planned For FY 2013

## Phase I Release 1

- Office of Advanced Scientific Computing Research
- Office of Basic Energy Sciences
- Office of Biological and Environmental Research
- Office of Defense Nuclear Nonproliferation
- Office of Fusion Energy Sciences
- Office of High Energy Physics
- Office of Nuclear Physics

## Phase I Release 2

- Office of Electricity Delivery and Energy Reliability
- Office of Energy Efficiency and Renewable Energy
- Office of Environmental Management
- Office of Fossil Energy
- Office of Nuclear Energy



# FY13 Phase I Schedule

	Release 1	Release 2
Topics Issued	July 16, 2012	October 29, 2012
- Topic Webinar	July 29-31, 2012	Week of November 5, 2012
Funding Opportunity Announcement (FOA) Issued	August 13, 2012	November 26, 2012
- FOA Webinar	August 17, 2012	November 30, 2012
Letters of Intent Due	September 4, 2012	December 17, 2012
Full Applications Due	October 16, 2012	February 5, 2012
Award Notification	Early January 2013*	Late April 2012*
Grant Start Date	February 2013*	Early June 2012*

*\*preliminary dates subject to change*



# FY13 Phase II Schedule

	Release 1	Release 2	Release 3
FOA Issued	October 22, 2012	February 27, 2013	July 15, 2013
Applications Due	December 11, 2012	April 17, 2013	September 4, 2013
Award Notification	Late February 2013*	Early July 2013*	Early November 2013*
Grant Start Date	Early April 2013*	August 2013*	December 2013*

*\*preliminary dates subject to change*

- Only Phase I awardees are eligible for Phase II
- **New for FY13: Switching programs at Phase II**
  - Phase I awardees can choose to apply to SBIR, STTR or both with their Phase II application
- **New for FY13: Phase I Final Reports must be submitted with Phase II applications**
  - Phase I Final Reports are also due 14 days after the end of the budget period.



# Topics

- Topics Document
  - DOE primarily uses focused topics
  - Issued 4 weeks prior to the Funding Opportunity Announcement
- Communication with DOE program managers
  - Open communication permitted before Funding Opportunity Announcement is issued
- Webinar
  - DOE program managers discuss their topics
  - Applicants submit questions in advance or during the webinar
- **New for FY13:**
  - **Tech Transfer Opportunity (TTO) Topics**
  - **New Maximum Award Amounts**



**U.S. Department of Energy**

Small Business Innovation Research (SBIR) and  
Small Business Technology Transfer (STTR) Programs

**Topics**

**FY 2013  
Phase I  
(Release 1)**

Participating DOE Research Programs

- Office of Advanced Scientific Computing Research
- Office of Basic Energy Sciences
- Office of Biological and Environmental Research
- Office of Defense Nuclear Nonproliferation
- Office of Fusion Energy Sciences
- Office of High Energy Physics
- Office of Nuclear Physics



# Example Topic

Maximum Award Amount

Topic Number



## 25. GLOBAL SAFEGUARDS (PHASE I, \$150,000/PHASE II, \$1,000,000)

The Global Safeguards Program supports NNSA's nuclear nonproliferation mission by developing innovative safeguards technologies to verify the correctness and completeness of declarations regarding nuclear materials. The program develops technologies to detect diversion of nuclear material from declared facilities; to detect undeclared nuclear material and activities; and to verify compliance with safeguards agreements related to the control, production, or processing of nuclear material. This includes the verification that declared facilities have been constructed and remain as declared, and the verification that undeclared facilities do not exist. The program includes R&D in nuclear (and relevant nonnuclear) measurements, information integration and management, advanced tools for systems analysis, authentication, and containment and surveillance technology.

Subtopic



Grant applications are sought only in the following subtopics:

### a. Design Information Verification

Grant applications are sought for the development of tools to identify changes in monitored facilities; determination of safeguards relevance of changes; verification of declared design and operation, methods to deal with information overload; protection of operator's sensitive information; and creation of a 3-D plant layout (fast, inexpensive, and acceptable to the operator).

Questions – contact: [david.lagraffe@nnsa.doe.gov](mailto:david.lagraffe@nnsa.doe.gov)

DOE program manager contact information

“Other” Subtopic



### b. Other

In addition to the specific subtopics listed above, the Department invites grant applications relevant to this Topic.

Questions – contact: [david.lagraffe@nnsa.doe.gov](mailto:david.lagraffe@nnsa.doe.gov)

References



### References Subtopic a:|

1. "Safeguards to Prevent Nuclear Proliferation." March 2009. (<http://www.inmm.org/AM/Template.cfm?section=Publications>)
2. "The US Support Program to IAEA Safeguards." Modified June 5, 2008. (<http://www.inmm.org/AM/Template.cfm?section=Publications>)
3. "Safeguards R&D Program in the United States." Presented at the 50th Annual Meeting of the International Nuclear Materials Management Association, July 2008. (<http://www.inmm.org/AM/Template.cfm?section=Publications>)

**9% of FY12 Phase I awards were made to applications submitted under the "other" subtopic**

# Example Technology Transfer Opportunity (TTO) Topic

Labeled as TTO

i. **Technology Transfer Opportunity: Boron-Based Nano-proportional Counting System for Neutron Detection**

*Applicants to Technology Transfer Opportunities should review the section describing Technology Transfer Opportunities on page 1 of this document prior to submitting applications.*

This invention relates to a redesign of the anodes in gas proportional counting systems for neutron detection. The new design is comprised of conductive boron doped silica and nanowires results in higher detection efficiencies. The nano-sized anodes when present within an anode array can allow for: significantly higher detection efficiencies due to a higher electric field, system miniaturization, and have low power requirements. This system also eliminates the need for Helium-3 which is in short supply. Applications for this Technology Transfer opportunity are sought to optimize prototype design and develop an integrated system demonstrating the feasibility for use of this detector.

Savannah River National Laboratory information:

Contact: Eric Frickey ([eric.frickey@srnl.doe.gov](mailto:eric.frickey@srnl.doe.gov)).

Website: [http://srnl.doe.gov/tech\\_transfer/tech\\_transfer.htm](http://srnl.doe.gov/tech_transfer/tech_transfer.htm)

Questions – contact [Manouchehr.farkhondeh@science.doe.gov](mailto:Manouchehr.farkhondeh@science.doe.gov)

See pages 1-2 of the Topic Document for more information about TTOs.

Lab Contact

***Contact the Lab with questions about the TTO***

DOE program manager contact information



# Maximum Award Amounts

- Beginning with FY13, maximum award amounts will be specified for each topic
- In the Phase I Release 1 topics there are 3 different maximum award amounts
  - Phase I, \$150,000/Phase II, \$1,000,000
  - Phase I, \$225,000/Phase II, \$1,500,000
  - Phase I, \$450,000/Phase II, \$3,000,000
- Please insure that your application budget is in compliance with the maximum award amount specified in the topic



# Funding Opportunity Announcement (FOA)

- FOA
  - Available at the [DOE SBIR website](#) or [Grants.gov](#) and includes information on
    - Anticipated number of awards and funding available
    - Eligibility
    - Application Requirements
    - Review Criteria
    - Award Administration
  - Open for approximately 9 weeks
- Communications with DOE program managers
  - Applicants must use FedConnect to submit questions about topics after the FOA has issued
- Webinar
  - Provides overview and highlights important changes



**U.S. DEPARTMENT OF ENERGY**

FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT

Small Business Innovation Research (SBIR)  
Small Business Technology Transfer (STTR)

FY 2012 Phase I (Release 3)

Funding Opportunity Number: DE-FOA-0000715  
Announcement Type: **AMENDMENT**

CFDA Number: 81.049

<b>Amendment issued:</b>	<b>April 18, 2012</b>
ISSUE DATE:	April 3, 2012
LETTER OF INTENT DUE DATE:	Not Required
PRE-APPLICATION DUE DATE:	May 1, 2012, 11:59 PM EST
APPLICATION DUE DATE:	July 3, 2012, 11:59 PM EST

**Amendment to Topics Document:  
Topic 8b: Removal of reference to webinar.**

# Letters of Intent (LOI)

- Primary purpose
  - begin reviewer assignment to reduce award cycle time
  - due 3 weeks after FOA is issued
- Secondary purpose
  - provide notification to applicants who appear to non-responsive; you may submit a formal application if you receive this notification
- **New For FY13: LOI Required**
  - You must submit an LOI by the due date to be eligible to submit an application
- Limits
  - Small businesses may submit only 10 letters of intent (and 10 applications) per solicitation
- Content:
  - Title
  - Topic and subtopic
  - Abstract (<500 words)
    - Provide sufficient technical detail to enable reviewer assignment
    - Non-proprietary
  - List of collaborators
  - Small business information
    - Name, address
    - Business official and contact information
    - Principal investigator
  - Phase I or Fast-Track



# Letter of Intent Submission

- **New for FY13: Online Submission of Letters of Intent**
  - Letters of Intent will be submitted online directly to the DOE Portfolio Analysis and Management System (PAMS) website:  
<https://pamspublic.science.energy.gov/>.
  - You must register to set up an account
  - Submit your LOI as a PDF file
  - Utilize the [LOI template](#) available at the DOE website to ensure that you submit all the required information:
  - For additional details on the submission process, see the Funding Opportunity Announcement



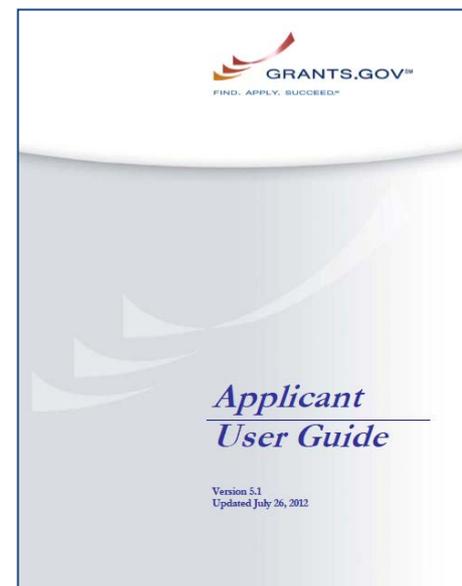
# Applications

- Application Process & Resources
- Application type
  - SBIR vs. STTR
  - **New for FY13: Fast-Track Applications**



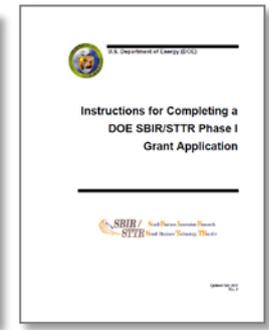
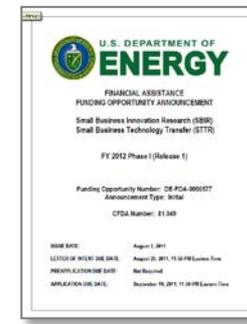
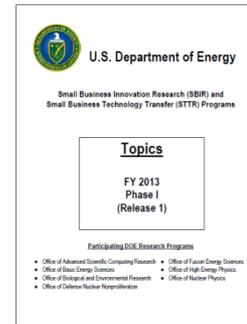
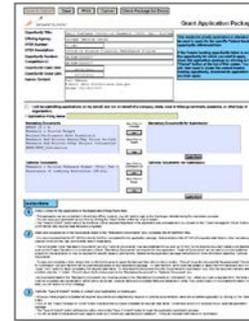
# Application Process: Registration

- Applications must be submitted through [Grants.gov](http://Grants.gov)
- Registration at Grants.gov is a 3 step process
  - Obtain a DUNS number
  - Complete a SAM (formerly CCR) registration
    - must be updated annually
  - Complete Grants.gov registration
  - Start this process as early as possible!



# Completing an Application

- Download and complete the [Grant Application Package](#)
  - Available at Grants.gov
  - Can be completed off-line
- Important documents to assist you with completing the application package
  - [Topics Document](#), [Funding Opportunity Announcement](#), & [Instructions](#) are available at the [DOE SBIR website](#)



# Important Elements of Your Application

- Project Narrative
  - **New for FY13: page and word limits**
    - Phase I: 15 pages, 7,500 words
    - Phase II: 20 pages, 10,000 words
    - Fast-Track: 25 pages, 12,500 words
- Budget & Budget Justification
- Key Personnel
- Commercialization Plans
  - Phase I Commercialization Plan (implemented in FY12)
    - An example can be found [here](#)
  - Phase II commercialization plan
- SBIR/STTR Information



# Top 5 Application Errors

- Serious errors (applications ineligible for review)
  1. *Failed to update CCR (now SAM) registration early—unable to submit application to Grants.gov by deadline*
  2. *Failed to submit a Phase I Commercialization Plan*
    - Submit in Field 12 of the Research & Related : Other Project Information Form
  3. *Failed to specify a topic and subtopic in their application*
    - Submit with title in Field 11 of SF-424 and on page 1 of Project Narrative
- Other errors (may limit funding eligibility or delay award processing)
  4. *Failed to accurately calculate level of effort (for SBIR and/or STTR)*
    - Use [level of effort worksheet](#) to assist you with the calculation
  5. *Failed to properly mark proprietary data*
    - See FOA for instructions



# SBIR vs. STTR

- DOE uses the same topics for SBIR & STTR
- Applicants can apply to either or both programs with a single application. If you apply to both programs, you must meet the requirements for both.

- SBIR: Small business is required to perform the majority of the R&D
  - Phase I: >67%
  - Phase II: >50%

- STTR: Small business collaborates with a non-profit research institution
- For both Phase I & II
  - Small business: >40%
  - Research Institution: >30%



# Collaborations with Research Institutions

- STTR
  - Prior to receiving an award, there must be an agreement between the small business and the research institution that covers property and commercialization rights.
  - To simplify the negotiation of this agreement, we provide a [model agreement](#) for your use.
- SBIR
  - **New for FY 2013:** No restrictions on subcontracting to a Research Institution *(Previous waiver requirement for National Labs has been removed.)*



# New for FY 2013: Fast-Track Applications

- Beginning in FY13, we will accept Fast-Track applications with our Phase I Funding Opportunity Announcements
- What is a Fast-Track application?
  - Combined Phase I/Phase II application
  - Budget period: 33 months
    - 9 months for Phase I
    - 24 months for Phase II
  - Technical Project Narrative
    - Covers the entire budget period (Phase I/Phase II)
  - Commercialization Plan for Phase II Only
    - Requires Phase II Commercialization Plan (Phase I Commercialization Plan not required)



# Fast-Track Application

- Primary Benefit: Awardees of Fast-Track applications will not have a gap in their funding between Phase I and Phase II.

Current Process:  
5 month Phase I – II funding gap



Fast-Track process



- Applicants must have a compelling Phase I/Phase II application.
  - May not be suitable for risky Phase I research with many different paths for Phase II
  - May not be suitable for those with limited commercialization experience.



# Fast Track Continuation Applications

- Fast Track awardees will submit continuation applications (progress reports):
  - By the 7<sup>th</sup> month of the Phase I budget period
  - By the 9<sup>th</sup> month of the Phase II budget period
- DOE program managers will review continuation applications and make recommendations for continuation.



# Fast Track FAQ

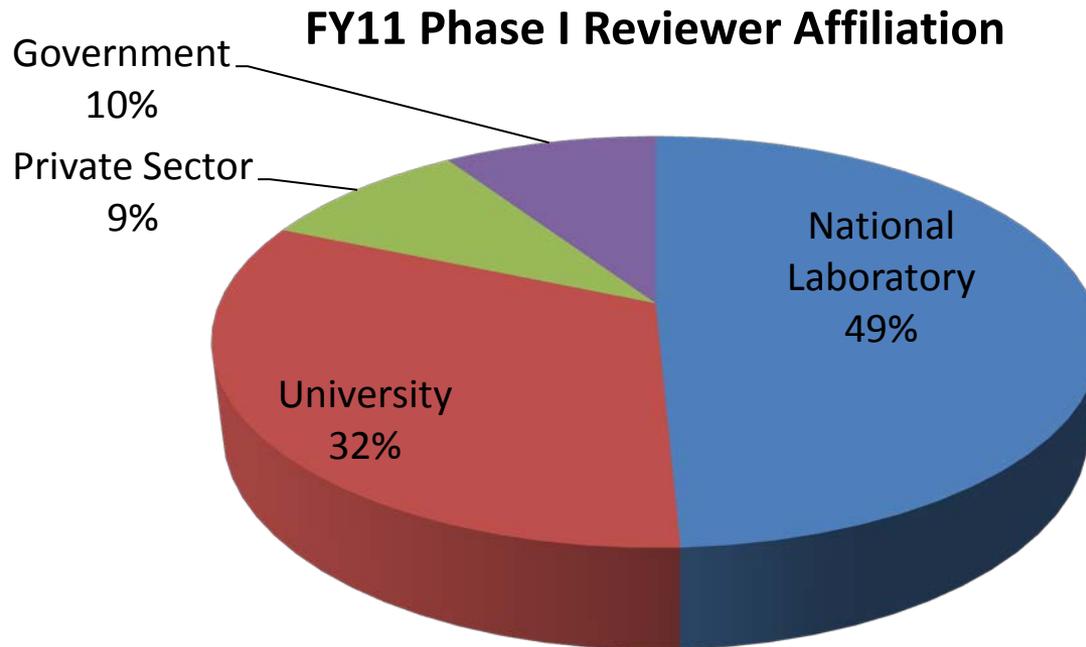
- May I submit both a regular Phase I and a Fast-Track application for the same project?
  - **NO.** You must submit either a Phase I or a Fast-Track application, but not both.
- What percentage of the awards will be Fast-Track vs. regular Phase I?
  - Because this is the initial year, we don't know how many applicants will choose to submit Fast-Track applications and the quality of those applications. It is therefore not possible to give an accurate estimate of the award breakdown yet.
- Will all topics accept Fast-Track applications?
  - The majority of topics will accept both Phase I and Fast-Track applications. Some topics may NOT accept Fast-Track applications. Some topics may ONLY accept Fast-Track applications. Restrictions will be listed immediately after the topic name in the [Topics Document](#).

# Review and Selection

- DOE primarily uses external peer review to evaluate your applications
  - Typically at least 3 technical reviewers
  - 1 reviewer for the Phase II commercialization plan
- Review Criteria (equally weighted)
  - Strength of the Scientific/Technical Approach
  - Ability to Carry Out the Project in a Cost Effective Manner
  - Impact
- You will be notified of the decision on your application within 90 days of the application deadline
  - Reviewer comments will be made available to you



# Technical Reviewer Affiliation



- Reviewers agree that (1) they will keep application information confidential and (2) they do not have a conflict of interest in reviewing the application.



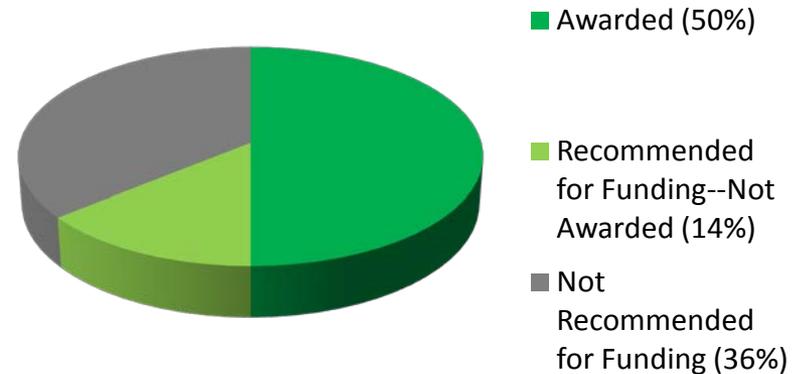
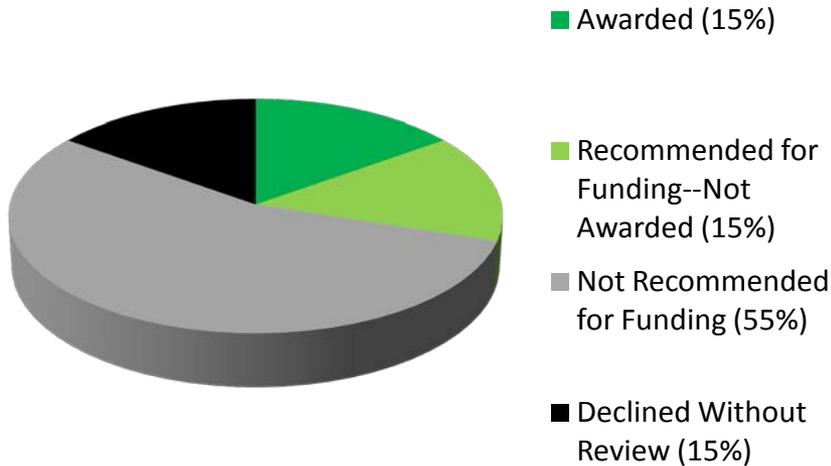
# Application Statistics for FY12

- Phase I

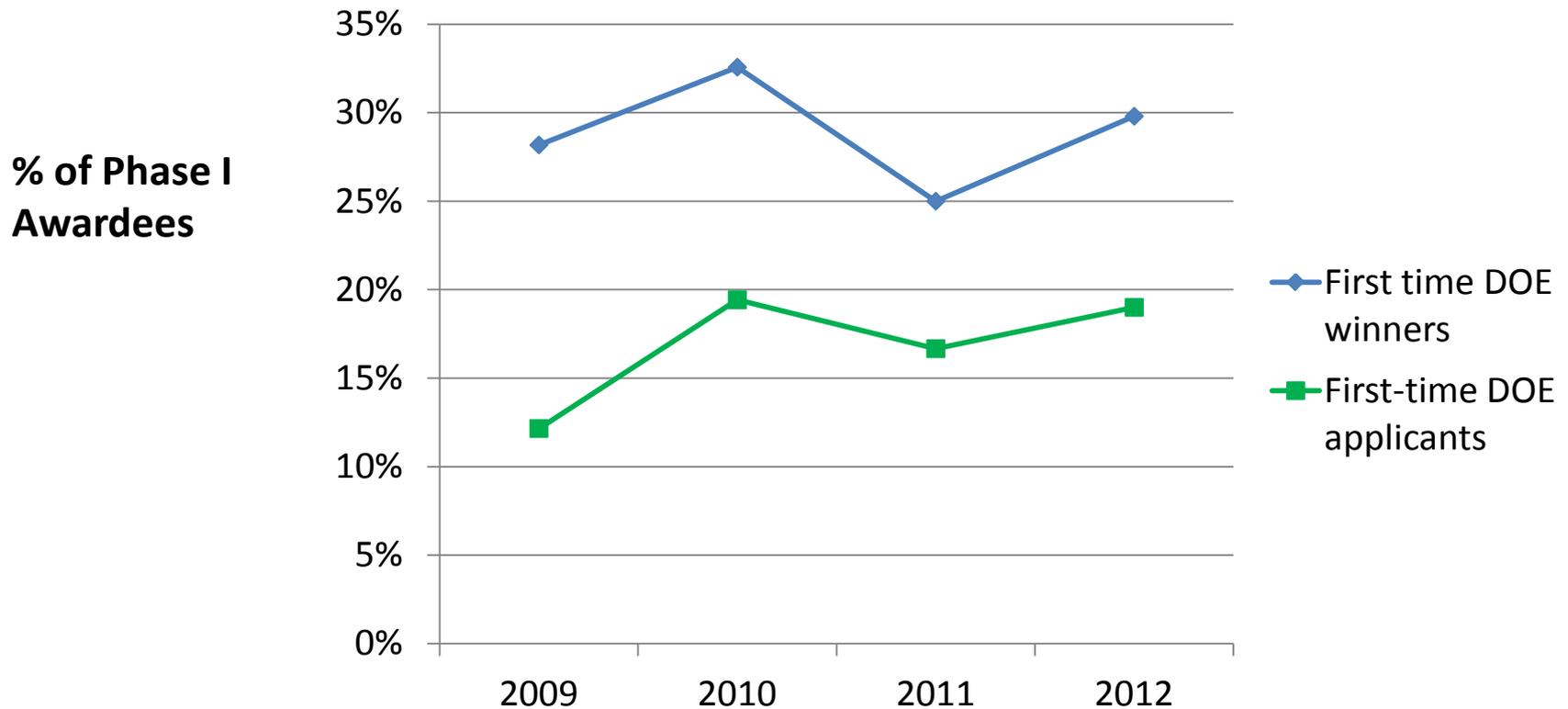
- 1733 applications
- 253 awards

- Phase II

- 208 applications
- 104 awards



# Phase I Awardees: First Time Winners & Applicants in FY12



## 6. Award Negotiation

- Awardees will work with our the DOE Chicago Office to complete negotiation on their awards
- Grant start date is 6 weeks after the award notification
- Please respond to information requests in a timely fashion to ensure your funds are released by your grant start date
- Important Terms & Conditions
  - Intellectual Property
  - Reporting Requirements



# Commercialization Assistance

- DOE Commercialization Assistance will be provided by Dawnbreaker
  - Phase I assistance
    - Commercialization readiness assessment
    - Focused assistance with development of Phase II commercialization plans
  - Phase II assistance
    - Flexible offerings to meet a variety of commercialization needs
  - <http://science.energy.gov/sbir/commercialization-assistance/>
- Company selected commercialization assistance vendor
  - Reauthorization permits companies to select their own vendors to provide commercialization assistance
  - Company must include this vendor as a subcontractor or consultant in their Phase I or II application



**DOE Office of Inspector General  
Fraud, Waste, & Abuse**

# DOE Office of Inspector General

## *Combating Fraud*

- ***What types of fraud are found in the SBIR Program?***
- Application Process
  - submitting a plagiarized proposal
  - providing false information regarding the company, the Principal Investigator (PI), or work to be performed
  - seeking funding for work that has already been completed
- During Award
  - using award funds for personal use or for any use other than the proposed activities
  - submitting plagiarized reports or reports falsely claiming work has been completed
  - claiming results for an award that were funded by a different source



# DOE Office of Inspector General

## *Knowing the Rules*

### ***Which SBIR rules should you be particularly familiar with?***

- Duplicate or overlapping proposals may not be submitted to multiple agencies without full disclosure to all agencies.
- The company must meet SBA's requirements for a small business, including being majority American owned and have 500 employees or fewer.
- For SBIR: The PI's primary employment must be with the company during the grant period. The PI may not be employed full time elsewhere.
- For SBIR: For Phase I, a minimum of two thirds of the research effort must be performed by the grantee company; for Phase II, a minimum of one-half of the research effort must be performed by the grantee company. Work performed by a university research lab is NOT work completed by the grantee company.
- University employees participating on an SBIR award should disclose their involvement to the university as well as their use of university facilities.
- R&D must be performed in the United States.



# DOE Office of Inspector General

## *Consequences*

### ***What Happens If You Break the Rules?***

- If you commit fraud or other wrongdoing in applying for or carrying out an SBIR award, we will investigate.
- We refer violations of civil or criminal law to the Department of Justice (DOJ). If DOJ prosecutes you for fraud or false statements, you may be sentenced to prison and required to pay full restitution. If DOJ pursues a civil action under the False Claims Act, you may have to pay treble damages and \$11,000 for each false claim. In addition, DOE may terminate your awards and debar you from receiving grants or contracts from any federal agency.



# Recent Case

## Former UF professor sentenced to six months in prison for fraud

Dec. 11, 2011

A former UF nuclear engineering professor was sentenced to six months in prison Tuesday. Samim Anghaie, found guilty of fraudulently obtaining millions of dollars in government contracts in February, will go to prison Jan. 9. His wife, Sousan, was sentenced to six months of home confinement for her role in the crime.

The couple must pay the federal government \$390,252 in addition to \$100,000 in fines each. The Anghaies were convicted in February of conspiracy to commit wire fraud and more than 24 counts of wire fraud. The maximum penalty for each count of wire fraud is 20 years in prison.

The couple was accused in 2009 of submitting false information to obtain contracts from NASA and the U.S. Air Force. Some of the false information included research taken from UF students without their knowledge. The Anghaies were the targets of a federal investigation that included a search of Samim Anghaie's UF office. The university placed Samim Anghaie on leave in February 2009, and he resigned in November of that year after an additional internal investigation, said UF spokeswoman Janine Sikes. Had he not resigned, he would have been terminated, she said.

[http://www.alligator.org/news/campus/article\\_edddc28c-1be1-11e1-b935-001cc4c03286.html](http://www.alligator.org/news/campus/article_edddc28c-1be1-11e1-b935-001cc4c03286.html)



# DOE Office of Inspector General (OIG)

## *Reporting Fraud*

- The DOE OIG promotes the effective, efficient, and economical operation of DOE's programs and operations through audits, inspections, investigations, and other reviews.
- Within DOE OIG, the Office of Investigations is responsible for investigating any fraudulent acts involving DOE, its contractors or subcontractors, or any crime affecting the programs, operations, Government funds, or employees of those entities.
- ***If you want additional information or to report wrongdoing:***

Internet: [www.ig.energy.gov](http://www.ig.energy.gov)

E-mail: [ighotline@hq.doe.gov](mailto:ighotline@hq.doe.gov)

Telephone: 202-586-4073

Hotline: 800-541-1625

Fax: 202-586-5697

**U.S. DEPARTMENT OF ENERGY  
OFFICE OF INSPECTOR GENERAL  
ATTN: OFFICE OF INVESTIGATIONS  
1000 INDEPENDENCE AVENUE, SW  
MAIL STOP: 5D-031  
WASHINGTON, DC 20585**





**Resources**

# DOE SBIR/STTR Programs Contact Information

- SBIR/STTR Web: [www.science.energy.gov/sbir](http://www.science.energy.gov/sbir)
  - Join our mailing list!
- Email: [sbir-sttr@science.doe.gov](mailto:sbir-sttr@science.doe.gov)
- Phone: 301-903-5707



# DOE SBIR webpage

The screenshot shows the DOE SBIR/STTR webpage. At the top, there is a navigation bar with links for 'SC Home', 'SC Organization', 'SC Jobs', and 'Contact SC'. Below this is the 'U.S. DEPARTMENT OF ENERGY Office of Science' logo and a search bar. A secondary navigation bar includes 'Programs', 'Laboratories', 'User Facilities', 'Universities', 'Funding Opportunities', 'Discoveries / Innovation', 'News', and 'About'. The main content area is titled 'Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR)'. On the left, a sidebar menu lists 'SBIR & STTR Home', 'Funding Opportunities', 'Awards and Notices', 'Success Stories', 'Commercialization Assistance', 'Other SBIR Resources', and 'Events'. The 'Funding Opportunities' link is circled in blue. The main content features a 'DOE SBIR/STTR Webinar - The Basics' section with a video player showing 'An Overview of the DOE's Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs' by Mary Oliver, Director of the DOE SBIR/STTR Programs Office. Below this is a 'SBIR & STTR Information' section with a 'SBIR/STTR Phase I (Release 3) Topics' link and an 'SBIR/STTR Programs Overview' link. At the bottom, a 'Join the SBIR/STTR Mailing List' link is circled in blue. A blue oval callout on the left contains the text 'Funding Opportunities & Applications Resources' with an arrow pointing to the 'Funding Opportunities' link. Another blue oval callout at the bottom left contains the text 'Join our mailing list to ensure you are notified when topics and FOAs are posted' with an arrow pointing to the 'Join the SBIR/STTR Mailing List' link.

Funding Opportunities & Applications Resources

Join our mailing list to ensure you are notified when topics and FOAs are posted



U.S. DEPARTMENT OF ENERGY

SBIR/STTR Programs Office

# Funding Opportunities Tab

Programs Laboratories User Facilities Universities Funding Opportunities Discoveries / Innovation News About

You are here: SC Home » Programs » SBIR & STTR Home » Funding Opportunities

## Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR)

SBIR & STTR Home  
About SBIR & STTR  
Funding Opportunities  
Application Resources  
Awards & General Stats  
Success Stories  
Commercialization Assistance  
Other SBIR Resources  
Events

### Funding Opportunities

Print Text Size: A A RSS Feeds Feedback Share Page

#### Phase I

	Release 1	Release 2
Topics Issued	Monday, July 16, 2012	Monday, October 29, 2012
Document	Phase I Release 1 Topics (1.0MB)	
Webinar(s)	Webinar 1: Topics 3-15 Webinar 2: Topics 1-2, 17-20, 22-26, 27-30 Webinar 3: Topics 31-38, 39-42	
FOA Issued	Monday, August 13, 2012	
Webinar(s)	Friday, August 17, 2012: Register HERE	
Letters of Intent Due	Tuesday, September 04, 2012	Monday, December 17, 2012
Applications Due	Tuesday, October 16, 2012	Tuesday, February 05, 2013
Award Notification	Early January 2013*	Late April 2013*
Grant Start Date	February 2013*	Early June 2013*

#### Phase II

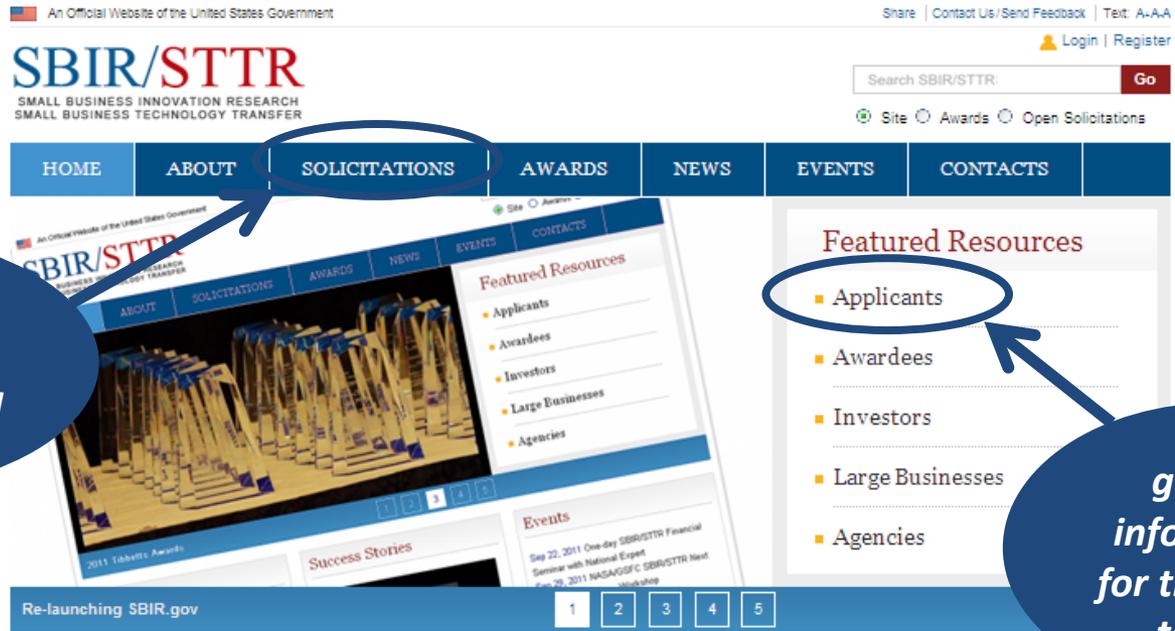
	Release 1	Release 2	Release 3
FOA Issued	Monday, October 22, 2012	Wednesday, February 27, 2013	Monday, July 15, 2013
Applications Due	Tuesday, December 11, 2012	Wednesday, April 17, 2013	Wednesday, September 4, 2013
Award Notification	Late February 2013*	Early July 2013*	Early November 2013*
Grant Start Date	Early April 2013*	August 2013*	December 2013*

CONTACT INFORMATION  
Small Business Innovation Research (SBIR) & Small Business Technology Transfer (STTR)  
U.S. Department of Energy  
SC-29/Germantown Building  
1000 Independence Ave., SW  
Washington, DC 20585  
P: (301) 903-6707  
F: (301) 903-5468  
E: sbir-sttr@science.doe.gov

Instructions and Forms can be found here

Documents and Webinars for Topics and FOAs are posted here

# [sbir.gov](http://sbir.gov)



*information on solicitations across all federal agencies*

*general information for those new to SBIR*

### News

Oct 26, 2011 SBA Announces Apps for Entrepreneurs. The Small Business Administration announces the... [read more](#)

Oct 12, 2011 New DoD Portal. The DoD SBIR/STTR website at [www.acq.osd.mil/osbp/sbir](http://www.acq.osd.mil/osbp/sbir) has a new... [read more](#)

Sep 16, 2011 The DHS S&T Directorate's SBIR Program Office Announces its SBIR Phase I Awards in... [read more](#)

Aug 1, 2011 Launching the New SBIR/STTR Portal. Announcing the launch of the New

### Success Stories



2011 Tibbetts Awards Ceremony [read more](#)

# sbir.gov solicitation search

An Official Website of the United States Government Share | Contact Us / Send Feedback | Text: A-A-A

**SBIR/STTR**  
SMALL BUSINESS INNOVATION RESEARCH  
SMALL BUSINESS TECHNOLOGY TRANSFER Login | Register

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Site  Awards  Open Solicitations

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**OPEN/FUTURE SOLICITATIONS CLOSED SOLICITATIONS**

Home » Solicitations » Open/Future Solicitations

## Open/Future Solicitations

**Open Solicitations Search**

Agency:   Enter Search Term:

### Open Solicitations

SOLICITATION	AGENCY <sup>†‡</sup>	RELEASE DATE <sup>†</sup>	OPEN DATE <sup>†‡</sup>	CLOSE DATE <sup>†‡</sup>
Development of Biomarkers for Mental Health Research and Clinical Use HHS 2008 SBIR	HHS	Dec 12, 2008	Mar 5, 2009	Jan 8, 2012
Tools for Germplasm Cryopreservation HHS 2008 STTR	HHS	Dec 18, 2008	Mar 5, 2009	Jan 8, 2012
Tools for Germplasm Cryopreservation HHS 2008 SBIR	HHS	Dec 18, 2008	Mar 5, 2009	Jan 8, 2012
Probes for Microimaging The Nervous System HHS 2008 SBIR	HHS	Dec 19, 2008	Mar 5, 2009	Jan 8, 2012
Radiological/Nuclear Medical Countermeasure Product Development Program HHS 2009 SBIR	HHS	Feb 9, 2009	Mar 5, 2009	Jan 8, 2012
New Technologies for Liver Disease	HHS	Feb 11, 2009	Mar 5, 2009	Jan 8, 2012

*Can search all  
open SBIR/STTR  
solicitations*



A bright sun is positioned in the upper left quadrant of the image, casting a strong glow and creating a lens flare effect. The sky is a clear, pale blue, and the lower half is filled with numerous white, fluffy clouds of varying sizes and densities. The overall scene is bright and clear.

Questions?