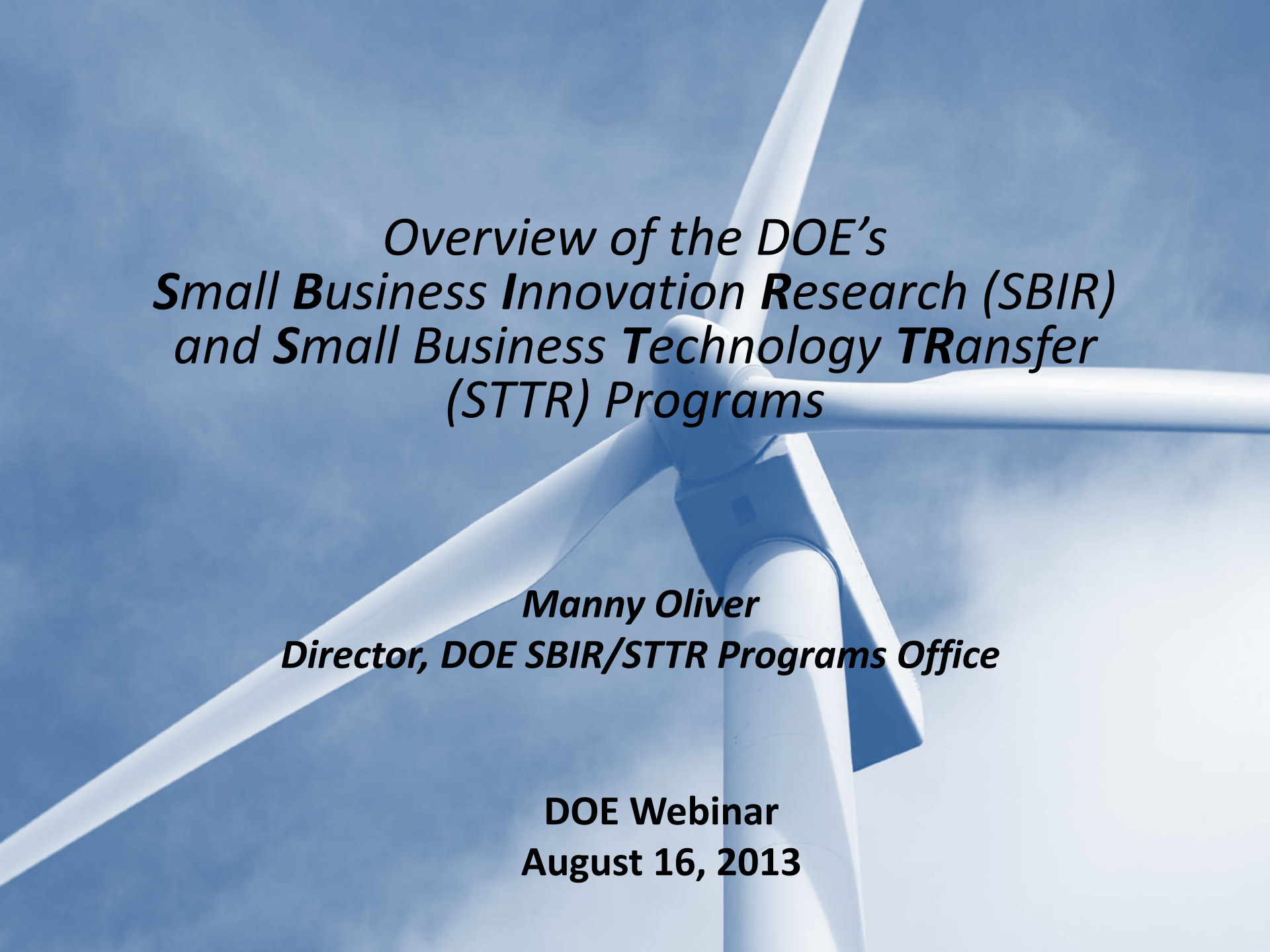
The DOE Webinar will begin at 2:00 p.m. EDT

- **Why is there no sound?**
  - Try turning the volume up on your computer speakers
  - For technical support please call 1-800-843-9166; For help via email, please send your inquiries to help@readytalk.com.
- **Will DOE provide access to the recorded webinar after the meeting?**
  - Yes, all those who registered will receive a link to the slides and to the recorded webinar soon after the meeting. It will also be available on the DOE SBIR/STTR web site.
- **Where can I find the Funding Opportunity Announcement being discussed today?**
  - This link will take you to the FY 2014 Phase I Release 1 Funding Opportunity Announcement: http://science.doe.gov/grants/pdf/SC_FOA_0000969.pdf.
- **What if my question was not answered at today's webinar?**
  - Please contact us by email at sbir-sttr@science.doe.gov if your question was not answered during today's webinar.



*Overview of the DOE's **S**mall **B**usiness **I**nnovation **R**esearch (SBIR) and **S**mall Business **T**echnology **TR**ansfer (STTR) Programs*

Manny Oliver
Director, DOE SBIR/STTR Programs Office

DOE Webinar
August 16, 2013

Overview of Federal SBIR/STTR Programs

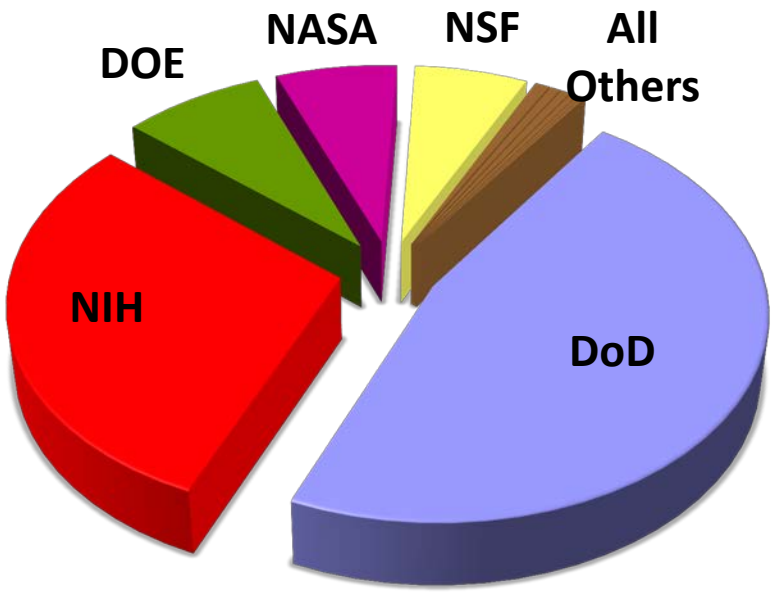
Purpose

- 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% 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 2014: *2.8% 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 2014: *0.40% 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, 2012



~ $2.4B in FY 2012 across all agencies

Agencies with SBIR and STTR Programs	
Department of Defense (DoD)	$ 1.1 B
Department of Health and Human Services: National Institutes of Health (NIH)	$717.0 M
Department of Energy (DOE), including ARPA-E	$188.3M
National Aeronautics and Space Administration (NASA)	$161.8 M
National Science Foundation (NSF)	$150.6 M
Agencies with only SBIR Programs	
U.S. Department of Agriculture (USDA)	$19.3 M
Department of Education (ED)	$13.4 M
Department of Homeland Security (DHS): Science and Technology Directorate (S&T) and Domestic Nuclear Detection Office (DNDO)	$12.6 M
Department of Transportation (DOT)	$ 8.6 M
Environmental Protection Agency (EPA)	$ 4.8 M
Department of Commerce: National Oceanic and Atmospheric Administration (NOAA) and National Institute of Standards and Technology (NIST)	$ 4.7 M

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.
  - Agencies may allow companies that are majority-owned by multiple venture capital operating companies, hedge funds, and private equity firms to participate
- Phased R&D Approach
  - Phase I: Feasibility, 6-12 months, $150k (typical)
  - Phase II: Prototype Development, 2 years, $1M (typical)
  - Phase III: Commercialization, funded by private sector or federal agencies

Agency SBIR & STTR allocations can only be used for Phase I and II awards

Important Features of the SBIR/STTR Programs

- Cost sharing
  - NO cost sharing required
- Patent Rights
  - Small businesses may file for patent rights to inventions resulting from their R&D
  - Government retains government-use rights
- Data protection
  - Data generated from your R&D is protected for a minimum of 4 years after the conclusion of your award

DOE SBIR & STTR Programs: Technology Areas

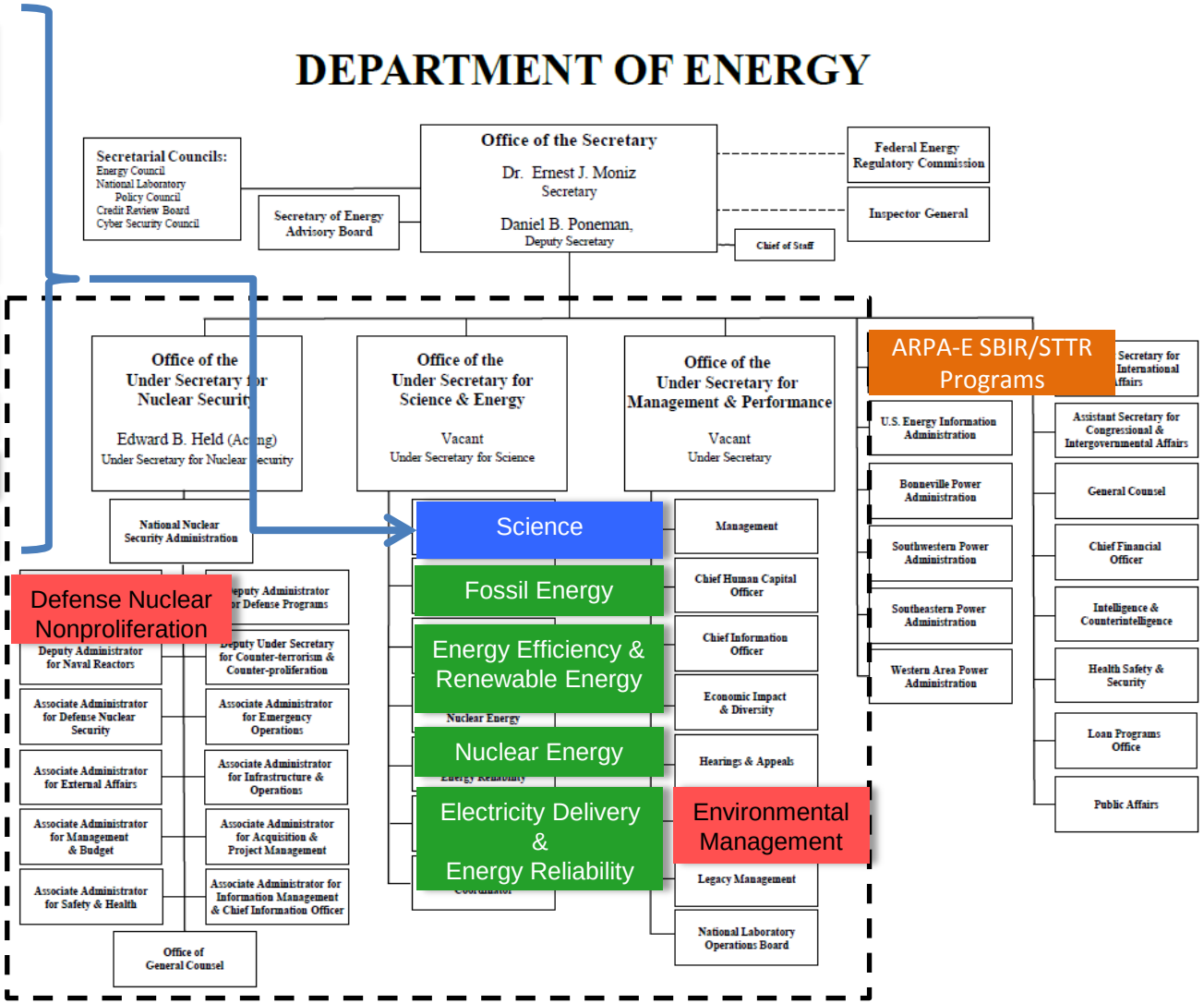
U. S. Department of Energy Mission

- **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.

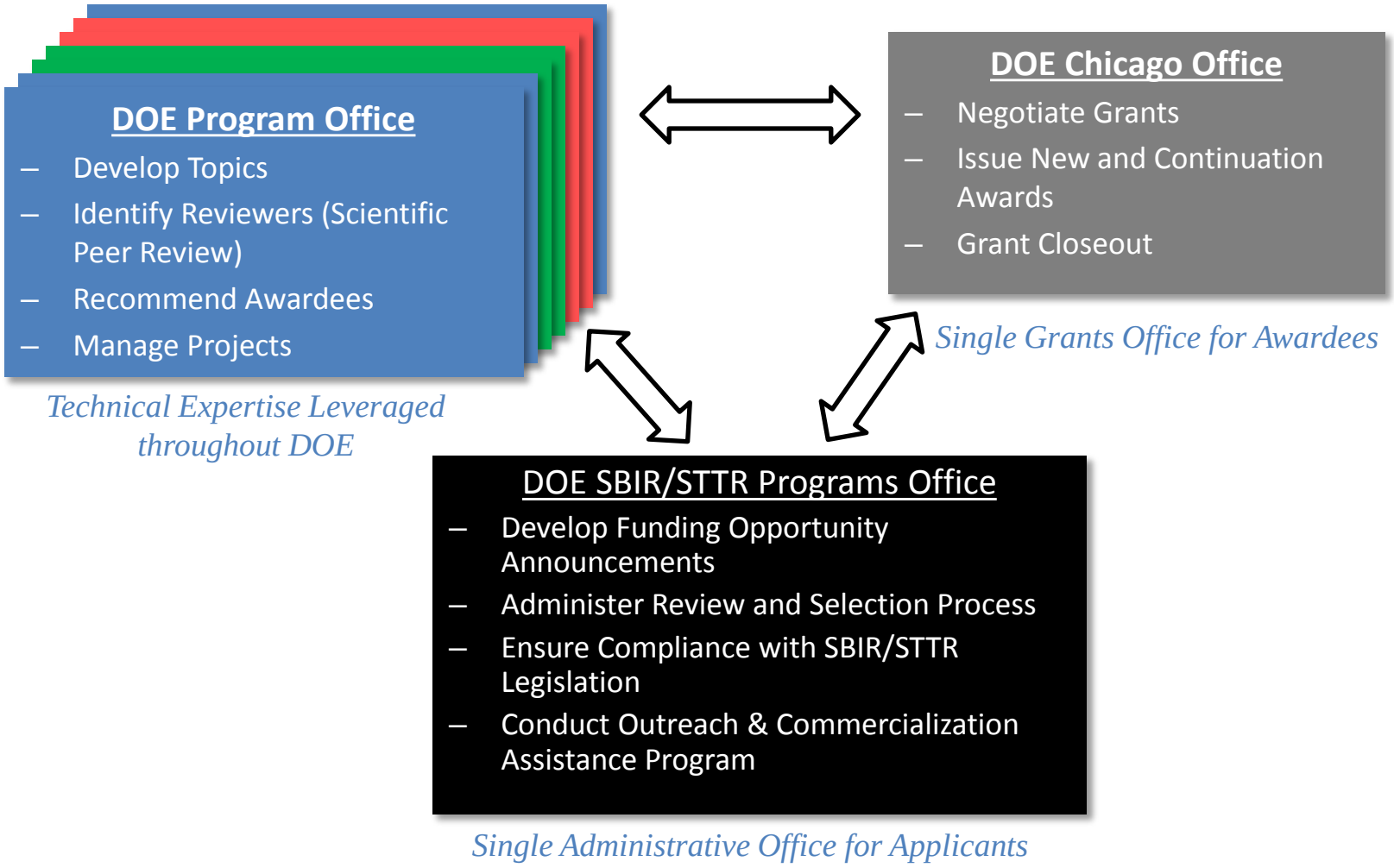
DOE Program Offices Participating in SBIR/STTR

DOE SBIR/STTR Programs Office

- Advanced Scientific Computing Research
- Basic Energy Sciences
- Biological & Environmental Research
- Fusion Energy Sciences
- High Energy Physics
- Nuclear Physics

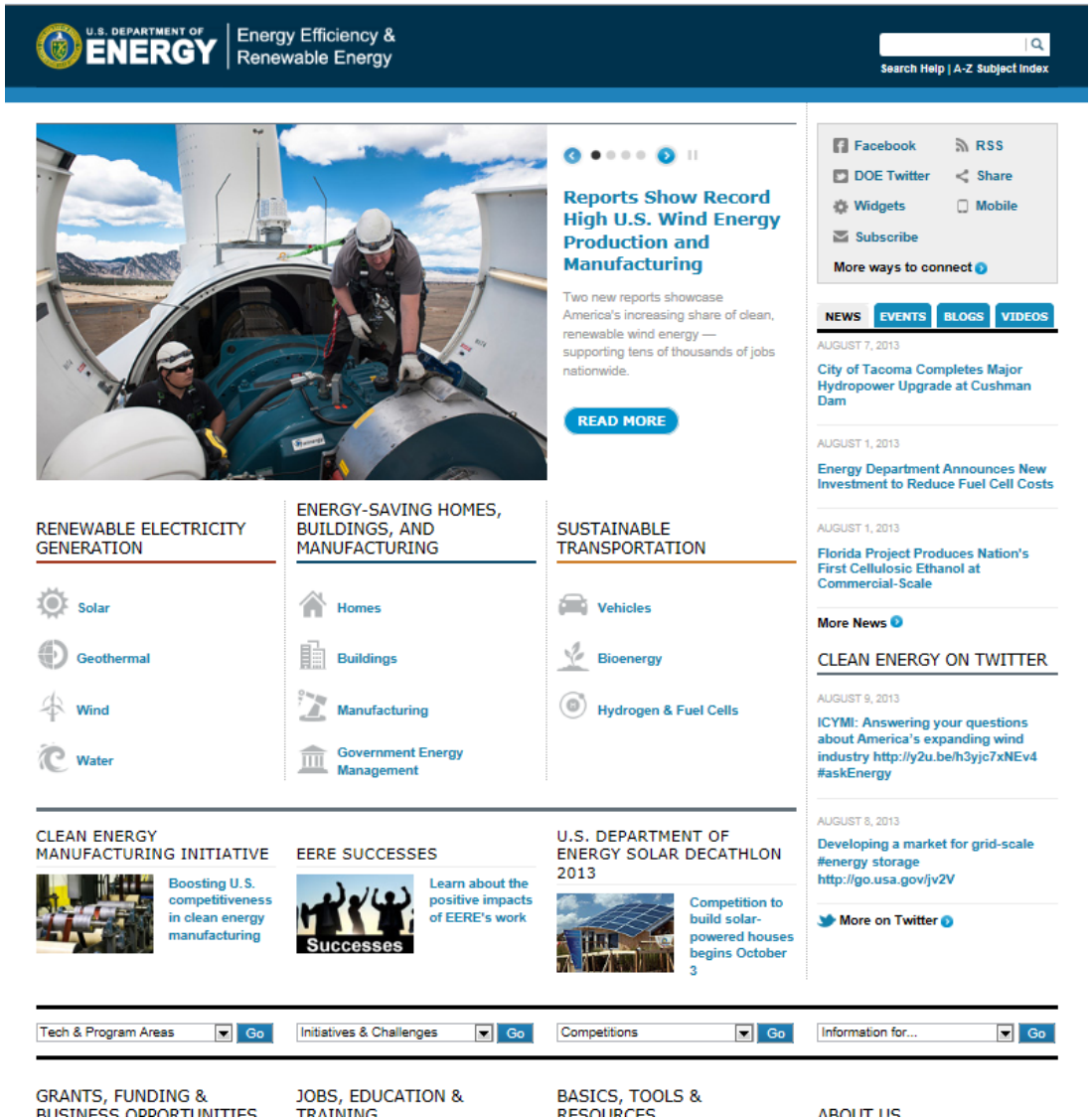


Operation of the DOE SBIR and STTR Programs



Information Available at DOE Program Office Websites

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



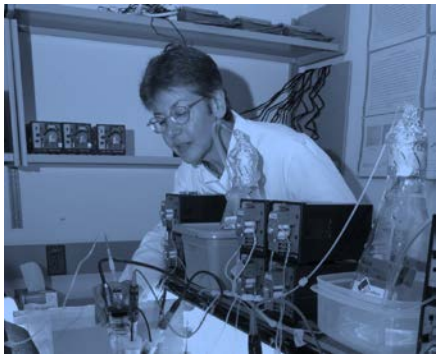
DOE Program Offices supporting
Goal 1: Clean Energy Technologies

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

R&D 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

- Advanced Scientific Computing Research
- Basic Energy Sciences
- Biological and Environmental Research
- Fusion Energy Sciences
- High Energy Physics
- Nuclear Physics



R&D 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

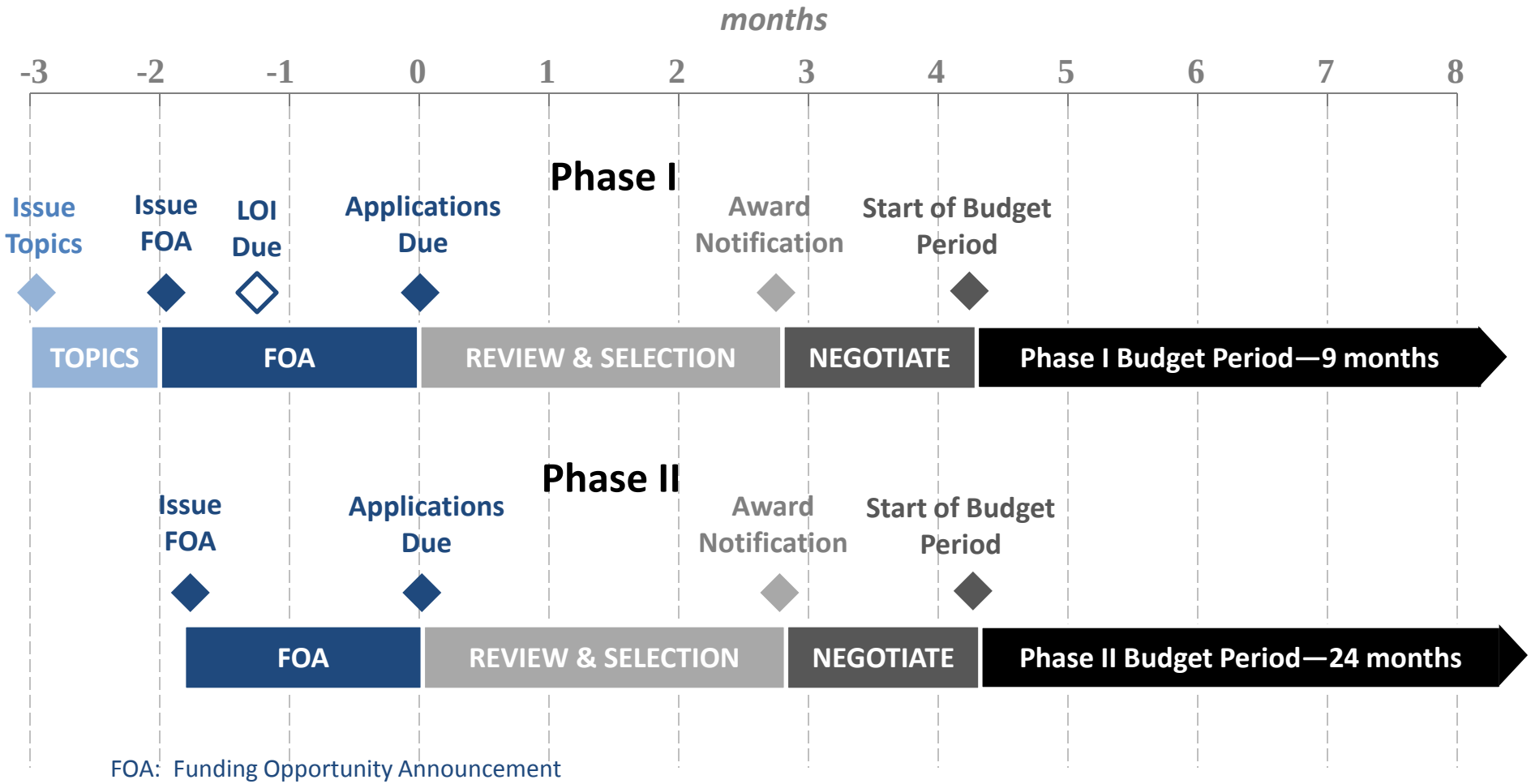
DOE Program Offices Supporting
Goal 3: Nuclear Security

- Office of Defense Nuclear Nonproliferation
- Office of Environmental Management

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

DOE SBIR & STTR Programs: Application & Award Process

Application & Award Timelines



FOA: Funding Opportunity Announcement
LOI: Letter of Intent

FY 2014 Phase I Funding Opportunity Announcements

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 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 Fusion Energy Sciences
- Office of Fossil Energy
- Office of Nuclear Energy

FY 2014 Phase I Schedule

	Release 1	Release 2
Topics Issued	July 15, 2013	October 28, 2013
- Topic Webinar	Week of July 22, 2013	Week of November 4, 2013
Funding Opportunity Announcement (FOA) Issued	August 12, 2013	November 25, 2013
- FOA Webinar	August 16, 2013	December 3, 2013
Letters of Intent Due	September 3, 2013	December 16, 2013
Full Applications Due	October 15, 2013	February 4, 2014
Award Notification	Early January, 2014*	Late April, 2014*
Grant Start Date	Mid-February, 2014*	Early June, 2014*

**preliminary dates subject to change*

FY 2014 Phase II Schedule

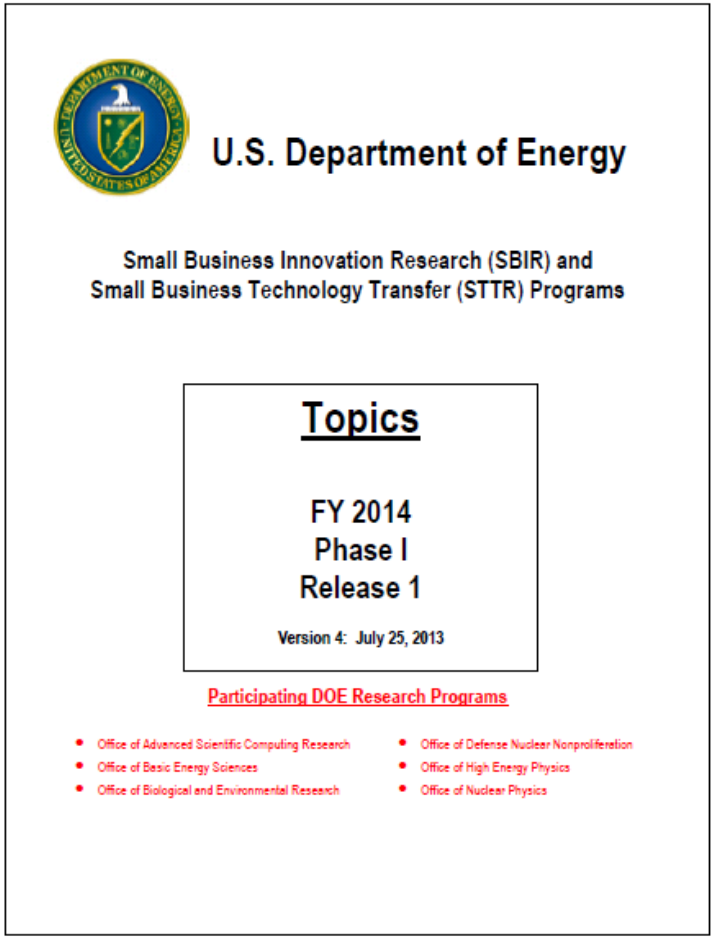
	Release 1	Release 2
FOA Issued	October 21, 2013	February 10, 2014
Applications Due	December 10, 2013	April 4, 2014
Award Notification	Late February, 2014*	Mid-June, 2014*
Grant Start Date	Early April, 2014*	Late July, 2014*

**preliminary dates subject to change*

- Only Phase I awardees are eligible for Phase II
- Switching programs at Phase II
  - Phase I awardees can choose to apply to SBIR, STTR or both with their Phase II application
- 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
- Webinar
  - DOE program managers discuss their topics
  - Applicants submit questions in advance or during the webinar
  - Webinars are recorded and available from our website



U.S. Department of Energy

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

Topics

FY 2014
Phase I
Release 1

Version 4: July 25, 2013

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 High Energy Physics
- Office of Nuclear Physics

Example Topic

- Topic & Subtopic
  - You must specify the topic and subtopic in your letter of intent and application
- Topic Header
  - List the maximum award amounts for Phase I & Phase II ant the types of application accepted
- Program Manager
  - Each subtopic lists the responsible DOE program manager
- Other Subtopic
- References

7. Instrumentation for Advanced Chemical Imaging

Maximum Phase I Award Amount: $150,000	*Maximum Phase II Award Amount:* $1,000,000
Accepting SBIR Phase I Applications: YES	*Accepting SBIR Fast-Track Applications:* YES
Accepting STTR Phase I Applications: YES	*Accepting STTR Fast-Track Applications:* YES

The Department of Energy seeks to advance chemical imaging technologies that facilitate fundamental research to understand, predict, and ultimately control matter and energy at the electronic, atomic, and molecular levels. The Department is particularly interested in forefront advances in imaging techniques that combine molecular-scale spatial resolution and ultrafast temporal resolution to explore energy flow, molecular dynamics, breakage, or formation of chemical bonds, or conformational changes in nanoscale systems.

Grant applications are sought only in the following subtopics:

a. High Spatial Resolution Ultrafast Spectroscopy

Chemical information associated with molecular-scale processes is often available from optical spectroscopies involving interactions with electromagnetic radiation ranging from the infrared spectrum to x-rays. Ultrafast laser technologies can provide temporally resolved chemical information via optical spectroscopy or laser-assisted mass sampling techniques. These approaches provide time resolution ranging from the breakage or formation of chemical bonds to conformational changes in nanoscale systems but generally lack the simultaneous spatial resolution required to analyze individual molecules. Grant applications are sought that make significant advancements in spatial resolution towards the molecular scale for ultrafast spectroscopic imaging instrumentation available to the research scientist. The nature of the advancement may span a range of approaches including sub-diffraction limit illumination or detection, selective sampling, and coherent or holographic signal analysis.

Questions – contract Larry Rahn, larry.rahn@science.doe.gov

b. Time-Resolved Chemical Information From Hybrid Probe Microscopy's

Probe microscopy instruments (including AFM and STM) have been developed that offer spatial resolution of molecules and even chemical bonds. While probe-based measurements alone do not typically offer the desired chemical information on molecular timescales, methods that take advantage of electromagnetic interactions or sampling with probe tips have been demonstrated. Grant applications are sought that would make available to scientists new hybrid probe instrumentation with significant advancements in chemical and temporal resolution towards that required for molecular scale chemical interactions. The nature of the advancement may span a range of approaches and probe techniques, from tip-enhanced or plasmonic enhancement of electromagnetic spectroscopy's to probe-induced sample interactions that localize spectroscopic methods to the molecular scale.

Questions – contract Larry Rahn, larry.rahn@science.doe.gov

c. Other

In addition to the specific subtopics listed above, the Department invites grant applications in other areas that fall within the scope of the topic description above.

References:

1. *Basic research for chemical imaging.* BES Chemical Imaging Research Solicitation. (FY 2006). Available at http://science.doe.gov/grants/pdf/DE-FG01-05ER05-30.pdf
2. *Visualizing Chemistry, The progress and Promise of Advanced Chemical Imaging, National Academies Press*. 2006. Available at http://www.nap.edu/catalog.php?record_id=11663. http://science.doe.gov/grants/pdf/DE-FG01-05ER05-30.pdf)

Technology Transfer Opportunities (TTOs)

- New feature of the DOE SBIR/STTR Programs beginning in FY 2013
- An opportunity to transfer inventions made by a DOE National Lab or university to your small business
- Awardees receive
  - an SBIR/STTR grant and
  - an option to license the technology
- Please review pages 1-2 of the topic document if you plan to submit an application to a TTO.

Example Technology Transfer Opportunity Topic

- Technology Transfer Opportunity
  - The topic or subtopic will be clearly labeled
- Research Organization
  - The DOE National Lab or university responsible for the TTO is listed along with contact information and other references
  - Please contact the Lab or university to obtain information about the TTO
- DOE Program Manager
- August 27, 2013 Q&A Teleconference with PNNL

Click Here Under Topic

10. TECHNOLOGY TRANSFER OPPORTUNITIES: BASIC ENERGY SCIENCES

Maximum Phase I Award Amount: $225,000	*Maximum Phase II Award Amount:* $1,500,000
Accepting SBIR Phase I Applications: YES	*Accepting SBIR Fast-Track Applications:* YES
Accepting STTR Phase I Applications: YES	*Accepting STTR Fast-Track Applications:* YES

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

Grant applications are sought only in the following sub-topics:

a. Improved Ambient Ionization Source for Mass Spectrometry

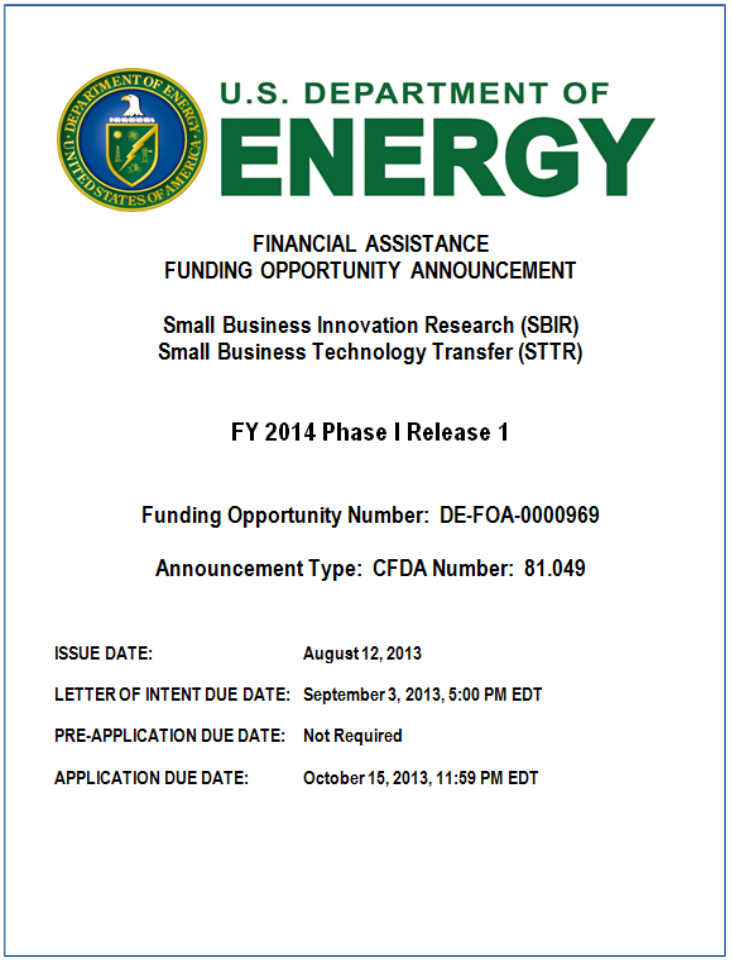
An improved method and apparatus for surface ionization of samples for analysis by mass spectrometry has been developed. Analytes are probed using a small droplet of solvent that is formed at the junction between two capillaries. A supply capillary maintains the droplet of solvent on the substrate; a collection capillary collects analyte desorbed from the surface and emits analyte ions as a focused spray to the inlet of a mass spectrometer for analysis. The device has been shown to provide superior sensitivity to other methods of surface ionization and is particularly useful for imaging applications of mass spectrometry. Experimental results using the patented technology have been widely published including in Analytical Chemistry 2010, 82, 7979–7986. A need exists for a commercial partner to develop a commercial version of the new instrument for use by the broader research community.

Pacific Northwest National Laboratory information:
TTO information: http://availabletechnologies.pnnl.gov/technology.asp?id=313
Patent Status: USPTO # 8,097,845
USPTO Link http://patft.uspto.gov/netacgi/nph-Parser?Sect1=PTO2&Sect2=HITOFF&p=1&u=%2Fnetahtml%2FPTO%2Fsearch-bool.html&r=1&f=G&l=50&co1=AND&d=PTXT&s1=8097845.PN.&OS=PN/8097845&RS=PN/8097845
TTO tracking number: IPID-16593
Contact: Bruce Harrer; (509) 375-6958; bruce.harrer@pnnl.gov or
Julia Laskin; (509) 371-6136; julia.laskin@pnnl.gov

Questions – contact Larry.Rahn@science.doe.gov

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
  - Open communication permitted to clarify the scope of the topic and subtopic



U.S. DEPARTMENT OF ENERGY

FINANCIAL ASSISTANCE
FUNDING OPPORTUNITY ANNOUNCEMENT

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

FY 2014 Phase I Release 1

Funding Opportunity Number: DE-FOA-0000969

Announcement Type: CFDA Number: 81.049

ISSUE DATE:	August 12, 2013
LETTER OF INTENT DUE DATE:	September 3, 2013, 5:00 PM EDT
PRE-APPLICATION DUE DATE:	Not Required
APPLICATION DUE DATE:	October 15, 2013, 11:59 PM EDT

Letters of Intent (LOI)

- Requirement
  - You must submit an LOI by the due date to be eligible to submit an application
- 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
- 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 (LOI) Submission

Online Submission of LOI

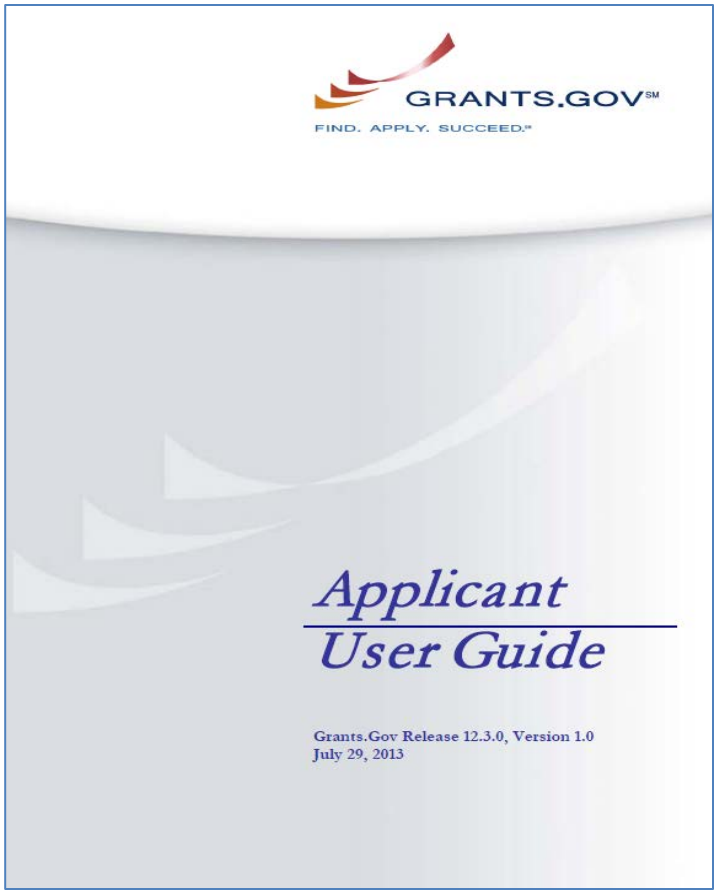
- Submit LOI online directly to the DOE Portfolio Analysis and Management System (PAMS) website: https://pamspublic.science.energy.gov/.
  - Select "Create New PAMS Account" (if you do not have an account)
  - Submit your LOI as a PDF file
  - Utilize the LOI instructions available at the DOE website to ensure that you submit all the required information
  - For additional details on the LOI submission process, see the Funding Opportunity Announcement

Submitting an Application

- Application Process & Resources
- Application type
  - SBIR vs. STTR
  - Phase I vs. Fast-Track

Application Process: Registration

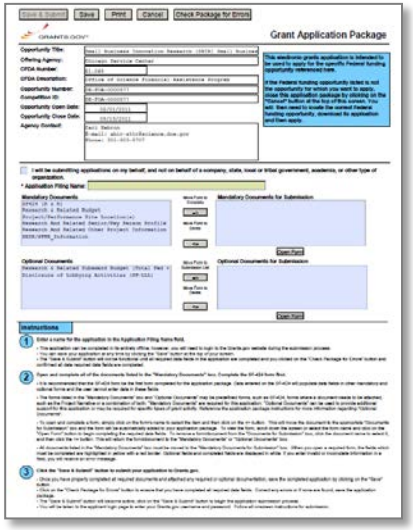
- Applications must be submitted through Grants.gov
- Registration at Grants.gov is a 3 step process
  1. Obtain a DUNS number
  2. Complete a SAM registration.
     - Must be updated annually
  3. Complete Grants.gov registration
     - Start this process as early as possible!
- See the Grants.gov Applicant User Guide for more details on this process

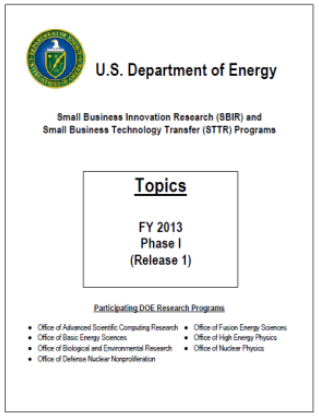


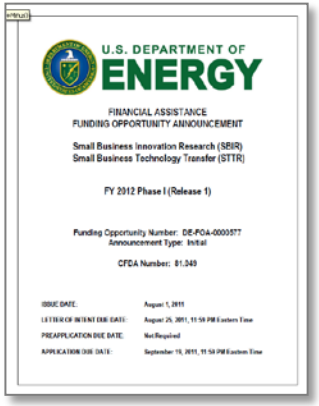
Completing an Application

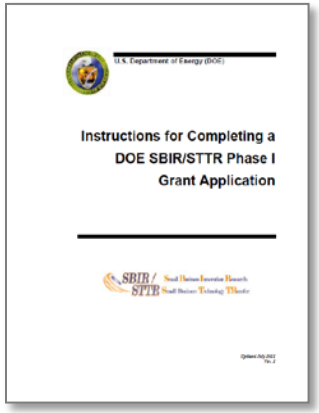
- Download and complete the application package
  - Available at Grants.gov
  - Can be completed offline

- Important documents to assist you with completing the application package
  - Topics Document, Funding Opportunity Announcement, & Instructions are available at the DOE SBIR/STTR website









Important Elements of Your Application

- Project Narrative
  - 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
    - An example can be found here
  - Phase II commercialization plan
- SBIR/STTR Information

Top 5 Application Errors

- Serious Errors (Applications Ineligible for Review & Administratively Declined)
  - *Failed to update SAM registration early—unable to submit application to Grants.gov by deadline*
  - *Failed to submit a Phase I Commercialization Plan*
    - Submit in Field 12 of the Research & Related : Other Project Information Form
  - *Failed to comply with word & page limitations for the Project Narrative*
- Other Errors (may limit funding eligibility or delay award processing, if recommended for award)
  - *Failed to accurately calculate level of effort (for SBIR and/or STTR)*
    - Use level of effort worksheet to assist you with the calculation
  - *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
- Level of Effort Requirement
  - SBIR
    - small business must perform >67% of the R&D in Phase I, >50% in Phase II
  - STTR requires collaboration with a research institution
    - small business must perform >40% of the R&D in Phases I & II
    - single research institution must perform >30% of the work in Phases I & II
- Principal Investigator
  - SBIR
    - principal investigator must be principally employed by the small business
  - STTR
    - principal investigator must be principally employed by the small business or research institution

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 simply the negotiation of this agreement, we provide a model agreement for your use.
- SBIR
  - No restrictions on subcontracting to a research institution *(Previous waiver requirement for Federal Labs has been eliminated.)*

Phase I vs. Fast-Track Applications

- Applicants may submit either a Phase I or Fast-Track application to 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 Narrative
    - Covers the entire budget period
  - Commercialization Plan
    - 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 7th month of the Phase I budget period
  - By the 9th month of the Phase II budget period
- DOE program managers will review continuation applications and make recommendations for continuation

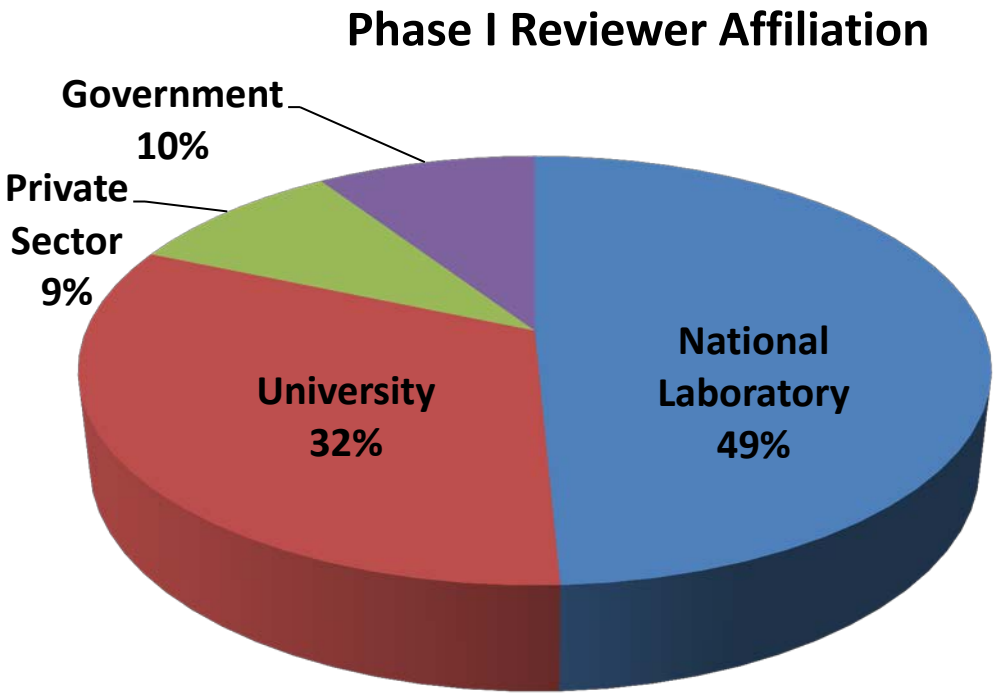
Fast Track FAQ

- 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. Phase I?
  - For FY13 approximately 4% of the applications received were Fast-Track and Fast-Track applications had similar award rates to the Phase I applications
- Will all topics accept Fast-Track applications?
  - Please refer to the topic header to ensure that Fast-Track are being accepted

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. Use this feedback constructively to improve future applications

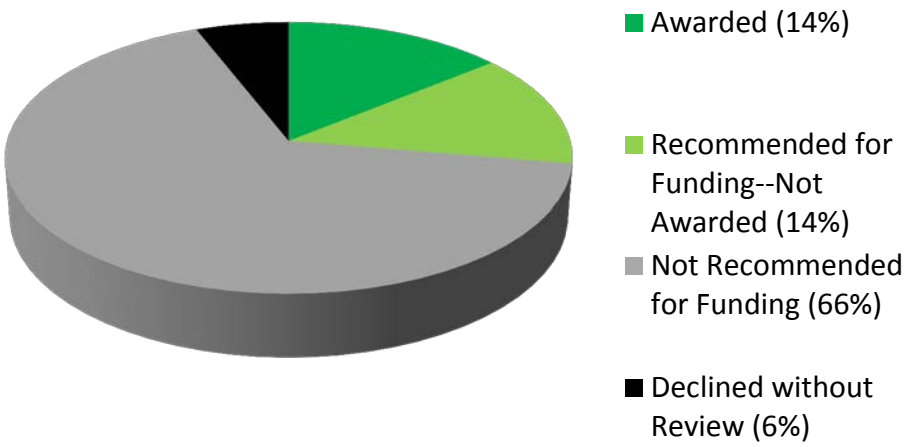
Technical Reviewer Affiliation

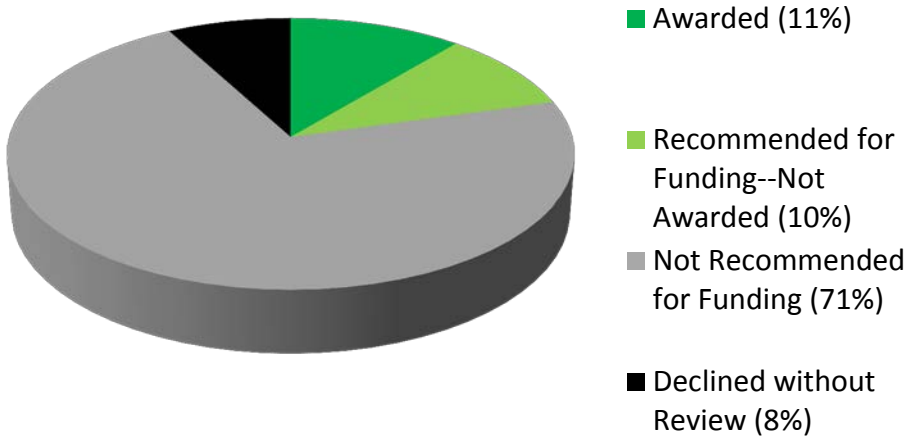


- Reviewers agree that (1) they will keep application information confidential and (2) they do not have a conflict of interest in reviewing the application.

Application Statistics for FY 2013

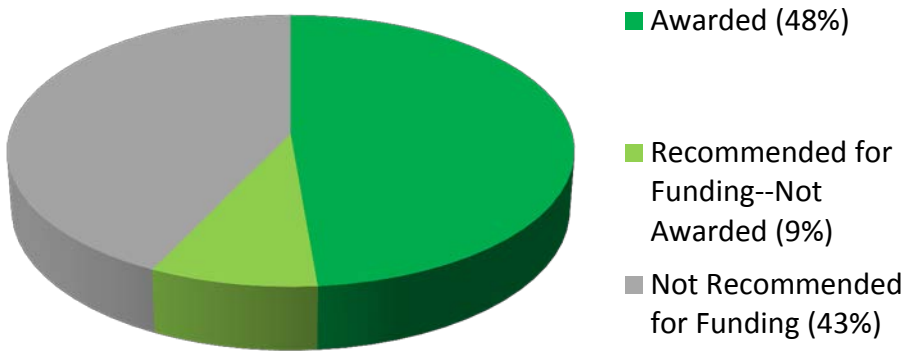
- Phase I
  - 2266 applications
  - 320 awards
- Fast-Track
  - 63 applications
  - 7 awards



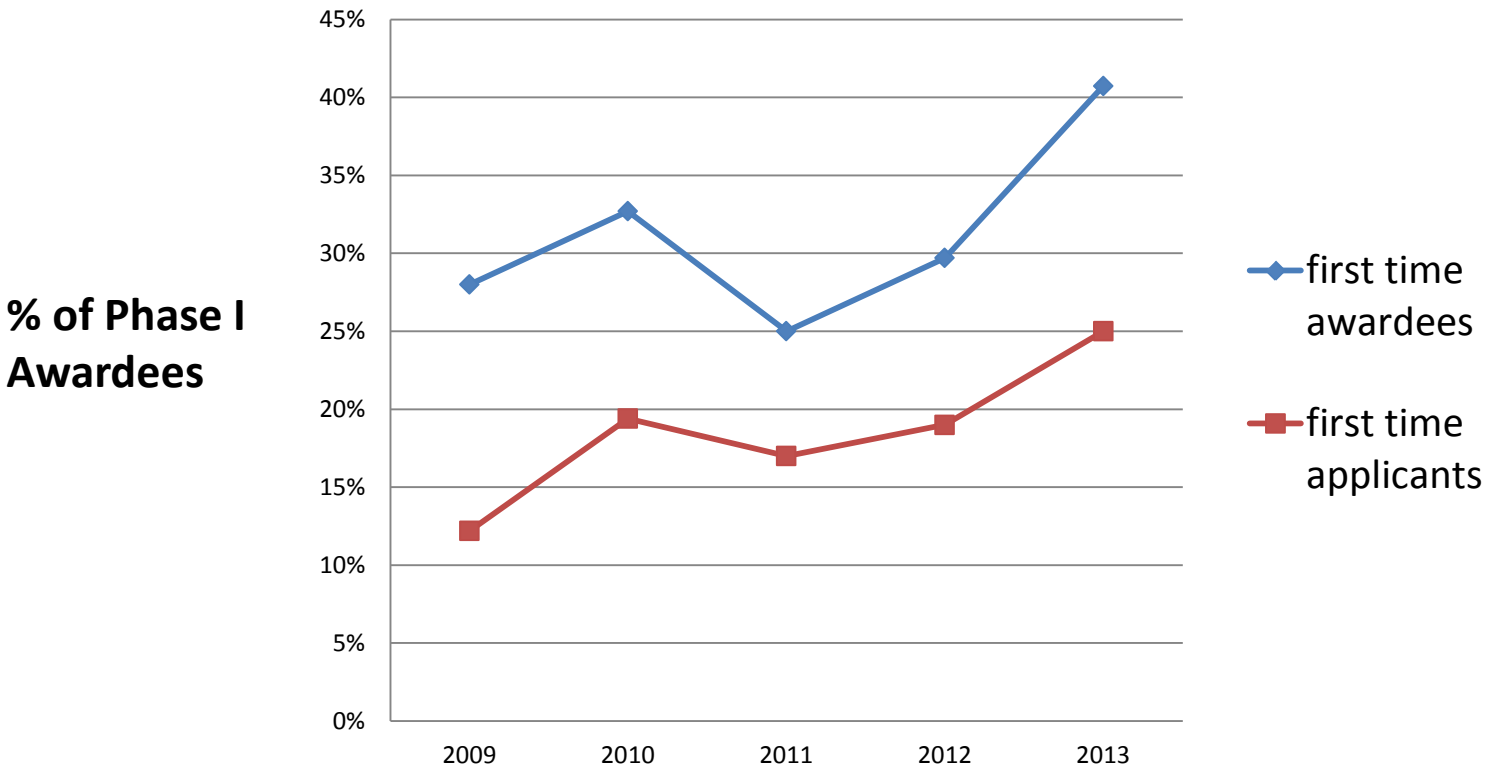


Application Statistics for FY 2013

- Phase II
  - 223 applications
  - 108 awards



Phase I Awardees:
First Time Winners & Applicants in FY12



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.

Notable 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

DOE Office of Inspector General

Reporting Fraud

- The Department of Energy's Office of Inspector General (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: ig.energy.gov
  E-mail: 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 INSPECTIONS
  1000 INDEPENDENCE AVENUE, SW
  MAIL STOP 5D-031
  WASHINGTON, DC 20585

Questions?

Contact information:

- DOE SBIR/STTR Operations: 301-903-5707
- DOE SBIR/STTR Email: sbir-sttr@science.doe.gov

Our Website:

- DOE SBIR/STTR Website: www.science.energy.gov/sbir

Join our Mailing List:

- DOE SBIR/STTR Mailing List: http://1.usa.gov/12SkziW


Resources

DOE SBIR webpage

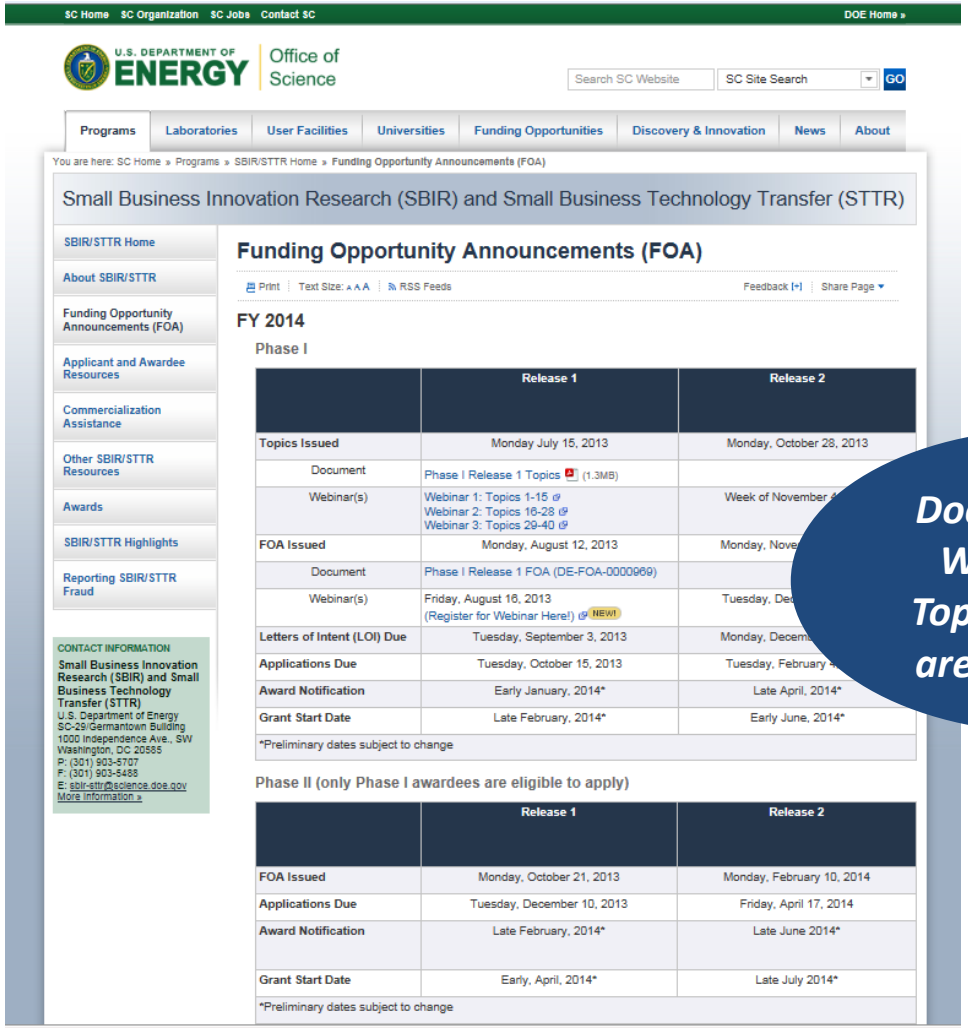
http://science.energy.gov/sbir/

Funding Opportunities

Applicant Resources

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

Funding Opportunities Tab



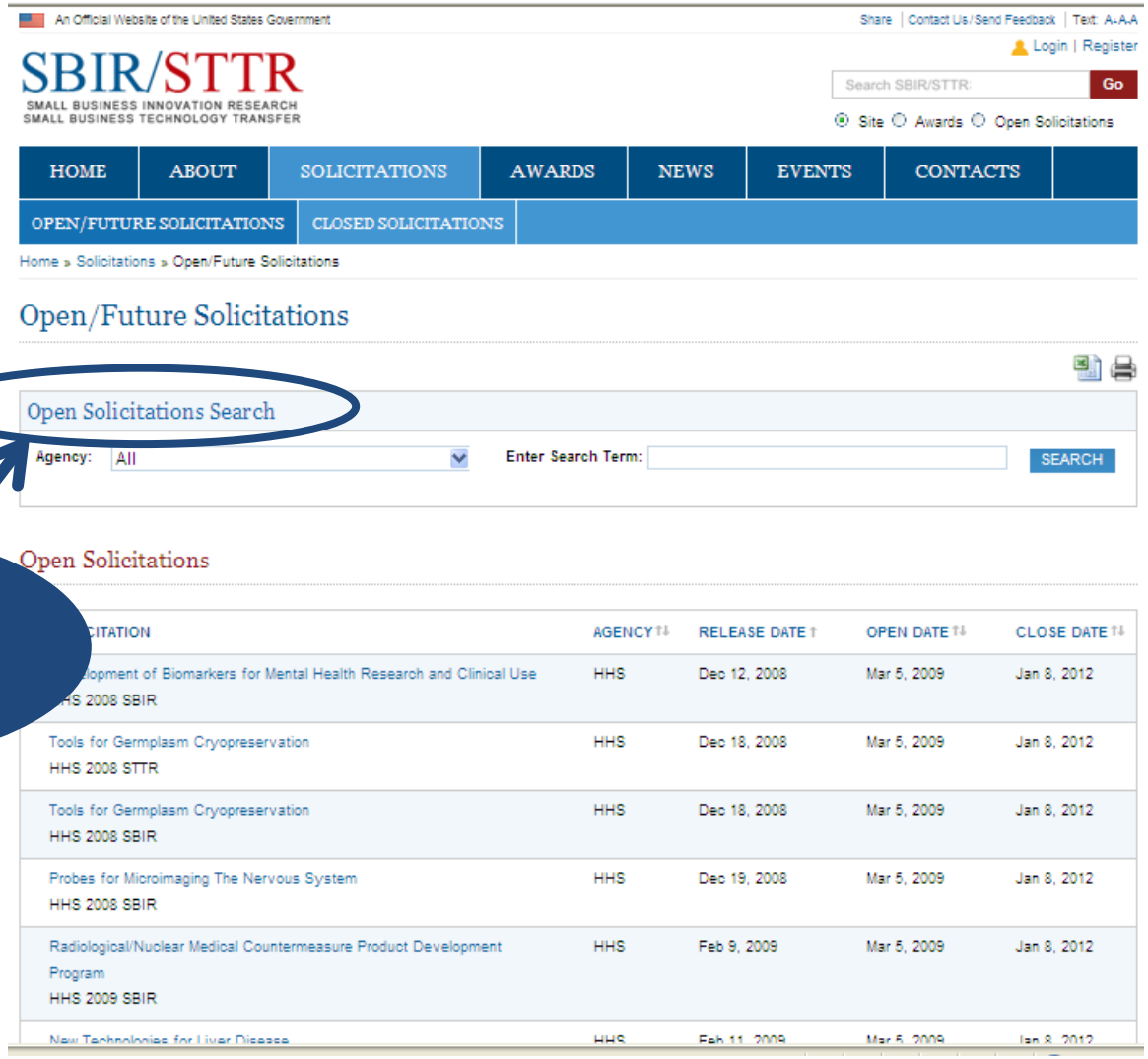
Documents and Webinars for Topics and FOAs are posted here

sbir.gov

information on solicitations across all federal agencies

general information for those new to SBIR

sbir.gov solicitation search



Search all open federal SBIR/STTR solicitations