



U.S. Department of Energy (DOE)

Instructions for Completing a DOE SBIR/STTR Phase I Grant Application



*Updated October 12, 2010
Ver3.1*

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INSTRUCTIONS FOR PREPARING AND SUBMITTING AN APPLICATION

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1. Components for a DOE SBIR/STTR Application

This application guide contains instructions and other useful information for preparing the required forms for a grant from the U. S. Department of Energy for:

- Small Business Innovation Research (SBIR) Phase I Grant*
- Small Business Technology Transfer (STTR) Phase I Grant*

This application guide is used as a companion document to completing the SF424 (R&R) form and the following required forms. Each listed in the table below as a separate document. SBIR/STTR applicants will also complete the "[SBIR/STTR Information component](#)."

1.1 Summary of Mandatory (and Optional) Documentation for a DOE SBIR or STTR Grant

| Name of Document | Format | Attach/Insert | Instruction Page |
|---|--------|---|------------------|
| SF424 Research & Related (R&R) Application for Federal Assistance | PDF | Not Applicable | 17 |
| <ul style="list-style-type: none"> • SFLLL Disclosure of Lobbying Activities, if applicable (Optional) | PDF | Not Applicable | 18 |
| Project/Performance Site Location(s) | PDF | Not Applicable | 32 |
| R&R Other Project Information | PDF | Not Applicable | 36 |
| <ul style="list-style-type: none"> • Project Summary/Abstract | PDF | Insert to Field 7 of R&R Other Project Information | 36 |
| <ul style="list-style-type: none"> • Project Narrative, including required appendices | PDF | Insert to Field 8 of R&R Other Project Information | 36 |
| <ul style="list-style-type: none"> • Level-of-Effort Worksheet | PDF | Insert to Field 12 of R&R Other Project Information | 36 |
| R&R Senior/Key Person Profile (Expanded) | PDF | Not Applicable | 46 |
| <ul style="list-style-type: none"> • Biographical Sketch | PDF | Attach to appropriate block | 46 |
| Research and Related Budget | PDF | Not Applicable | 51 |
| R&R Budget – Section A&B | PDF | Stand Alone Form | 52 |
| R&R Budget – Section C, D, & E | PDF | Stand Alone Form | 57 |
| R&R Budget – Section F-K | PDF | Stand Alone Form | 60 |
| <ul style="list-style-type: none"> • Budget Justification | PDF | Insert to Field K of R&R – Section F-K | 60 |

| | | | |
|---|------------|---|-----------|
| • R&R Budget – Cumulative Budget | PDF | Not Applicable | 64 |
| SBIR/STTR Information | PDF | Not Applicable | 68 |
| • Commercialization Plan for Phase I (See Question 7) | PDF | Attach to Field 12 of R&R Other Project Info. | 68 |
| • Commercialization History, if applicable (See Question 8) | PDF | Attach to Field 12 of R&R Other Project Info. | 68 |

Instructions for all the mandatory and optional forms are found in this document. The use of these forms also involves electronic submission of completed applications through Grants.gov. Specific Funding Opportunity Announcements (FOAs) will clearly indicate which forms and submission process an applicant should use.

All mandatory and optional forms for electronic submission listed above are available through Grants.gov and should be downloaded from the FOA being applied to. Do not use any forms or format pages from other sources; these may include extraneous headers/footers or other information that could interfere with the electronic application process.

1.2 Application Guide Format

This application guide is designed to provide explicit instructions for preparing and submitting a DOE Phase I SBIR/STTR application for federal funding and includes specific instructions for completing the application forms as well as information to electronically submit these forms through Grants.gov web portal.

1.3 DOE SBIR/STTR Web Site

The DOE SBIR/STTR homepage (www.science.doe.gov/sbir) provides an array of helpful award information and applicants are encouraged to bookmark this site and visit it often.

1.4 DOE SBIR/STTR Staff Contact

As needed, you may communicate with SBIR/STTR operations staff throughout the entire application process. Web site addresses and staff phone numbers of relevant DOE awarding components are listed in the table below.

SBIR/STTR Program Operations and Support

Central SBIR/STTR Hotline Number: 301-903-5707

Amy Clark – Team Supervisor
Email: amy.clark@science.doe.gov

Brandy Greenawalt - Assistant Team Supervisor
Email: brandy.greenawalt@science.doe.gov

Robert Louissaint - Project Assistant
Email: robert.louissaint@science.doe.gov

Tia Krecko - Project Assistant
Email: tia.krecko@science.doe.gov

Rebekah Harrington - Project Assistant
Email: rebeka.harrington@science.doe.gov

Tamika Lynn - Project Assistant
Email: tamika.lynn@science.doe.gov

Fabienne Mushibuka - Project Assistant
Email: fabienne.mushibuka@science.doe.gov

Ciara Todd - Project Assistant
Email: ciara.todd@science.doe.gov

Before Submission

Please click on the link below for more application-relevant information.

1. [About Grants.gov](#)
2. [What is Grants.gov?](#)
3. [Grants.gov Website Support/Getting Help](#)
4. [If I have a question that I don't see in Frequently Asked Questions, what should I do?](#)
5. [Whom can I talk to about a problem I am having?](#)
6. [If I sent an email and got an automatic response, when will I receive the answer to my question?](#)
7. [Grants.gov Software/Technical/Downloads](#)
8. [How do I change the screen resolution in order to see the right-hand side of the website instead of having to scroll left to right?](#)
9. [Is Microsoft Windows Vista a supported platform for use with Grants.gov?](#)
10. [The text on Grants.gov is too small to read. How can I make the text larger on Grants.gov?](#)

1.5 Grants Policy Statements

Small Business Innovation Research (SBIR) Program

Solicitation and Other Information

The Office of Science manages the SBIR program for the Department of Energy. For information about the SBIR program, including the Program Solicitation, [click here](#).

Terms and Conditions

SBIR applicants whose grant applications have been approved for funding will receive a research grant from the Department. To view the [General Terms and Conditions](#) for SBIR Grants for Phase I and Phase II awards, [click here](#).

Small Business Technology Transfer (STTR) Program

The Office of Science manages the STTR program for the Department of Energy. For information about the STTR program, including the Program Solicitation, [click here](#).

The following rules, regulations, and guidance pertain to the overall DOE and Federal grant process.

[10 CFR Part 600 - Department of Energy Financial Assistance Rules](#)

[OMB Circular A-21](#)

Cost Principles for Educational Institutions

[OMB Circular A-110](#)

Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations

[OMB Circular A-122](#)

Cost Principles for Non-Profit Organizations
(Does not apply to colleges and universities.)

[Federal Acquisition Regulation \(FAR\) Part 31](#)

[Cost Principles for For-Profit Organizations](#)

1.6 References

1.6.1 DOE SBIR/STTR Funding Opportunity Announcements

<http://sbir.er.doe.gov/sbir/Funding.html>

1.6.2 Award Information, Data, and General SBIR/STTR Stats

<http://sbir.er.doe.gov/sbir/Awards.html>

1.6.3 Contact Information for the DOE SBIR/STTR Operations Center

<http://sbir.er.doe.gov/sbir/Staff.html>

1.6.4 Grants.gov User Guide

The Grants.gov User Guide is a comprehensive reference to information about Grants.gov. Applicants can download the User Guide as a Microsoft Word document or as a PDF document. The User Guide can be accessed at the following address: <http://www.grants.gov/Customersupport>.

1.6.5 DOE SBIR/STTR Program Funding Resources

The following are the major research and development programs at the U. S. Department of Energy that fund the department's SBIR/STTR programs.

[Electricity Delivery and Energy Reliability](#)

The mission of the Office of Electricity Delivery and Energy Reliability is to lead national efforts to modernize the electric grid, enhance the security and reliability of the energy infrastructure, and facilitate recovery from disruptions to the energy supply.

[Energy Efficiency & Renewable Energy](#)

The Office of Energy Efficiency and Renewable Energy is working to provide a prosperous future where energy is clean, abundant, reliable, and affordable.

[Environmental Management](#)

The Office of Environmental Management (EM) works to mitigate the risks and hazards posed by the legacy of nuclear weapons production and research.

[Fossil Energy](#)

Ensuring that we can continue to rely on clean, affordable energy from our traditional fuel resources is the primary mission of DOE's Office of Fossil Energy.

[Nuclear Energy](#)

The Office of Nuclear Energy mission is to support the nation's diverse nuclear energy programs.

[Science Programs](#)

The Office of Science is the single largest supporter of basic research in the physical sciences in the United States, providing more than 40 percent of total funding for this vital area of national importance.

[National Nuclear Security Administration](#)

NNSA is a separately organized agency within the DOE responsible for the management and security of the nation's nuclear weapons, nuclear nonproliferation, and naval reactor programs. It also responds to nuclear and radiological emergencies in the United States and abroad. Additionally, NNSA federal agents provide safe and secure transportation of nuclear weapons and components and special nuclear materials along with other missions supporting the national security.

2. Application Process for Grants.gov Submission

Application submission through Grants.gov involves several steps. Access the “Get Started” tab on the Grants.gov web site (<http://grants.gov>). Some of the steps only need to be completed once. Others are ongoing steps that will be necessary for each application submission. Before beginning the application process, you are encouraged to review [Grants.gov](#) and all the resources available there.

2.1 Overview

The following steps must be taken in order to submit a grant application through Grants.gov. Please be sure to complete all steps to ensure that DOE receives the application in a timely manner.

1. Register your organization at Grants.gov. (This is a one-time only registration process for all Federal agencies. If your organization has already completed this step for any Federal agency submission, skip to step #2. If your organization has not completed this step, see [Section 2.2](#) for more details.)
2. Find the respective DOE Funding Opportunity Announcement (FOA) using the [Grants.gov “Apply”](#) feature that reflects use of the mandatory forms and electronic submission through Grants.gov.
3. Download the associated Application Package from Grants.gov. (Adobe Reader™ required for download.)
4. Complete the appropriate application components, including all text and PDF attachments. Upload all attachments into the appropriate application component.
5. The completed application should be reviewed through your own organizational review process.
6. Coordinate with an Authorized Organization Representative (AOR) at the applicant organization to submit the application by the date specified in the FOA. (**Keep a copy locally at the Applicant Organization/Institution.**)
7. Receive the Grants.gov tracking number.
8. After agency validation, receive the agency tracking number (accession number).

2.2 Registration Processes

2.2.1 Grants.gov Registration

Grants.gov requires a **one-time** registration *by the applicant organization*. PIs do not have to individually register in Grants.gov unless they also serve as the Authorized Organization Representative (AOR) for their institution/organization. For those applicant organizations still needing to register with Grants.gov, registration information can be found at Grants.gov/GetStarted (<http://www.grants.gov/GetStarted>). While Grants.gov registration is a one-time only registration process, it does involve several steps and will take some time. Applicant organizations needing to complete this process are encouraged to **start early** allowing several weeks to complete all the steps before actually submitting an application through Grants.gov.

The AOR is an individual authorized to act for the applicant organization and to assume the obligations imposed by the Federal laws, requirements, and conditions for a grant or grant application, including the applicable Federal regulations. This individual has the authority to sign grant applications and required certifications and/or assurances that are necessary to fulfill the requirements of the application process.

Once this individual is registered, the organization can then apply for any government funding opportunity listed in Grants.gov.

Questions regarding Grants.gov registration should be directed to the Grants.gov Contact Center at telephone: 1-800-518-4726 or by email at support@grants.gov. The Contact Center is available 24 hours a day, seven (7) days a week.

2.2.2 FedConnect Registration

Questions regarding the content of the Funding Opportunity Announcement (FOA), including the Phase I DOE SBIR/STTR Technical Topics must be submitted through the FedConnect portal. Part VII of a DOE FOA explains how to submit these types of questions to the DOE via FedConnect. You must register with FedConnect to respond as an interested party to submit questions, and to view responses to questions. DOE recommends that you register soon after release of the FOA to have the benefit of all DOE responses to applicant inquiries.

More information is available at <https://www.fedconnect.net/FedConnect/PublicUserRegistration.aspx> and https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf. DOE will respond to a question within three (3) business days, unless a similar question and answer has already been posted on the FedConnect website.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or support@grants.gov. DOE cannot answer these questions.

2.2.3 FedConnect Modifications

Notices of any modifications to this announcement will be posted on Grants.gov and the FedConnect portal. You can receive an email when a modification or an announcement message is posted by registering with FedConnect as an interested party for the respective FOA. DOE recommends that you register soon after release of the FOA to ensure you receive timely notice of any modifications or other announcements. More information is available on the web at <http://www.fedconnect.net> and <http://www.compusearch.com/products/fedconnect/fedconnect.asp>.

2.3 Software Requirements

2.3.1 Adobe Reader™

In order to access, complete and submit applications, applicants need to download and install the Adobe Reader, version 8.1.1 or later (version 8.1.6 or 9.2 recommended). For minimum system requirements and download instructions, please see the [Grants.gov User Guide](#) or visit http://grants.gov/help/download_software.jsp. Please note that you must set the Adobe Reader's page layout options to "Continuous" instead of "Single Page" to ensure all features function properly. To do this, choose View > Page Layout, and then choose the "Continuous" option.

2.3.2 Creating PDFs for Text Attachments

DOE *requires* all text attachments to be submitted as PDF files.

Applicants should prepare text attachments using any word processing program (following the format requirements in [Section 2.4](#)) and then convert those files to PDF before attaching the files to the appropriate component in the application package. (The PDF format is used to preserve document formatting.) Save all files with descriptive file names of 50 characters or less and be sure to only use standard characters in file names: A through Z, a through z, 0 through 9, and underscore (_). Do not use any special characters (example: “&”, “-”, “*”, “%”, “/”, and “#”) or spacing in the file name, and for word separation use underscore (example: “My_Attached_File.pdf”) in naming the attachments.

Some type of PDF-creation software is necessary to create the PDF. (The free Adobe Reader *will not create* a PDF.) To assist applicants searching for PDF-creation software, Grants.gov has published the following list of available tools and software: <http://www.grants.gov/assets/PDFConversion.pdf>. Additionally, applicants may find Planet PDF’s “Find PDF Software” feature (http://www.planetpdf.com/find_software.asp) useful to browse or search a comprehensive database of free, shareware, or commercial PDF products. Applicants should choose the PDF-creation software that best suits their needs.

It is recommended that, as much as possible, applicants avoid scanning text documents to produce the required PDFs. Instead, DOE recommends producing the documents electronically using text or word-processing software and then converting documents to PDF. Scanning paper documents, without the proper Optical Character Recognition (OCR) process, will hamper automated processing of your application for DOE analysis and reporting.

DISCLAIMER: References to software packages or Internet services neither constitute nor should be inferred to be an endorsement or recommendation of any product, service, or enterprise by the DOE or any other agency of the United States Government, or any employee of the United States Government. No warranties are stated or implied.

2.3.3 Special Instructions for Macintosh Users

With the conversion to Adobe Reader™, there are no longer special instructions for Macintosh user’s application submissions.

2.3.4 Finding a Funding Opportunity Announcement (FOA) for Grants.gov Submission

Implementation of the mandatory forms and electronic submission through Grants.gov will be announced through specific FOAs posted on Grants.gov under “Find Grant Opportunities” (a.k.a. “Find”) and “Apply for Grants” (a.k.a. “Apply”).

There are several ways a prospective applicant can find an FOA on Grants.gov.

Using “Find Grant Opportunities” (Find) Feature

Grants.gov Find provides general search capabilities. From the “Find Grant Opportunities” page, you may search by clicking on the **Search Grant Opportunities** link. This takes you to a screen providing options for: 1) Basic Search; 2) Browse by Category; 3) Browse by Agency; and 4) Advanced Search. To perform a **basic search** for a grant, complete the “Keyword Search”; the “Search by Funding Opportunity Number”; **OR** the “Search by CFDA Number” field; and then click the **Search** button below.

Access Search Tips for helpful search strategies, or click the **Help** button in the upper right corner of Grants.gov to get help with the Search screen.

Once you find an opportunity for which you wish to apply, you may initiate the application download process immediately by selecting the “How to Apply” link that appears on the FOA synopsis page. Or you may elect to initiate the application download at a later time. In this case, you should record the

Funding Opportunity number or CFDA number and enter it manually later on the Download Application Packages screen in the [Grants.gov/Apply](#) section of this site.

You must download the mandatory forms package for a specific FOA through the [Grants.gov/Apply](#) feature, which will redirect you to FedConnect. Only the forms package directly attached to a specific FOA may be used.

Using “Apply for Grants” (Apply) Feature

If you know the specific funding opportunity number, a more direct route is to use the “Apply for Grants” feature. From the [Grants.gov](#) home page, select “Apply for Grants” and follow the steps provided. “Step 1” allows you to download an application package by inserting a specific Funding Opportunity Number (FOA). If you do not know the specific, Funding Opportunity Number there is a link that will take you back to the Find Grant Opportunities page.

Grants.gov - Download Application Package - Windows Internet Explorer

https://apply07.grants.gov/apply/forms_apps_idx.html

GRANTS.GOVSM

Contact Us SiteMap Help RSS Home

Home » Applicants » Apply for Grants »

FOR APPLICANTS

- Applicant Login
- Find Grant Opportunities
- Get Registered
- Apply for Grants
- Track My Application
- Applicant Resources
- Search FAQs, User Guides and Site Information

APPLICANT SYSTEM-TO-SYSTEM

FOR GRANTORS

ABOUT GRANTS.GOV

HELP

CONTACT US

SITE MAP

DOWNLOAD APPLICATION PACKAGE

Note: You will need to download and install [PureEdge Viewer](#) / [Adobe Reader](#), prior to downloading an Application Package.

To download an application package, **enter the appropriate CFDA Number OR Funding Opportunity Number** and click the “Download Package” button.

CFDA Number:

Funding Opportunity Number:

Funding Opportunity Competition ID:

Download Package

If you do not remember the Funding Opportunity Number for the grant opportunity, return to the [Find Grant Opportunities](#) section to locate the grant opportunity and then return to this screen to enter the number.

A Funding Opportunity Number is referenced in every announcement. It may be called a Program Announcement (PA) Number or a Request for Application (RFA) Number. Enter this number in the Funding Opportunity Number field and click **Download Package**. This takes you to a “Selected Grant Applications for Download” screen.

Download Grant Applications - Windows Internet Explorer

https://apply07.grants.gov/apply/GetGrant

GRANTS.GOVSM Contact Us SiteMap Help RSS Home

Home > Applicants > Apply for Grants >

SELECTED GRANT APPLICATIONS FOR DOWNLOAD

Download the application and its instructions by selecting the corresponding download link. Save these files to your computer for future reference and use. You do not need Internet access to read the instructions or to complete the application once you save them to your computer.

READ BELOW BEFORE YOU APPLY FOR THIS GRANT!

Before you can view and complete an application package, you **MUST** have the PureEdge Viewer or compatible Adobe Reader installed. Application packages are posted in either PureEdge or Adobe Reader format. You may receive a validation error using incompatible versions of Adobe Reader. To prevent a validation error, it is now recommended you uninstall any earlier versions of Adobe Reader and install the latest compatible version of Adobe Reader .

If more than one person is working on the application package, ALL applicants must be using the same software version.

Click [here](#) to download the required PureEdge Viewer and Adobe Reader if you do not have it installed already.

Additional Resources:

- Sign-up for [Grants.gov Updates](#) for the latest issues and news.
- Download [Adobe Reader](#) and [PureEdge Viewer](#) for free.
- Visit [Help](#) for FAQs and more information on Applying for grants.

Below is a list of the application(s) currently available for the CFDA and/or Funding Opportunity Number that you entered.

To download the application instructions or package, click the corresponding download link. You will then be able to save the files on your computer for future reference and use.

| CFDA | Opportunity Number | Competition ID | Competition Title | Agency | Instructions & Application |
|------|--------------------|----------------|---|-------------------------------|----------------------------|
| | PA-10-035 | ADOBE-FORMS-B | Use for submissions intended for due dates of January 25, 2010 and beyond | National Institutes of Health | download |

If you searched only on a specific opportunity number, only one announcement is provided in the chart. Click the corresponding **download** link to access the actual application form pages and instruction material. The following screen appears:

To access the instructions, click **Download Application Instructions**. Applicants are encouraged to check this site regularly for the most current version.

To access the form pages, click **Download Application Package**. [Section 1.0](#) provides specific information regarding the components of an Application Package. [Section 3](#) provides additional instructions for properly using a package.

On the Download Opportunity Instructions and Applications screen, you will be given an opportunity to provide an e-mail address if you would like to be notified of any changes to this particular opportunity. Applicants are strongly encouraged to complete this information. The agency can then use it to provide additional information to prospective applicants.

2.4 Format Specifications for Text (PDF) Attachments

Designed to maximize system-conducted validations, multiple separate attachments are required for a complete application. When the application is received by the agency, all submitted forms and all separate attachments are combined into a single document and used by agency staff and peer reviewers.

When using Adobe Acrobat (and possibly other tools), the signature has to be “off” when you create the originals. Please go to the security options menu selection in Adobe to ensure the signature option is “off.” If you do not have the originals, copy the content of the signed documents and create a new document. Save this document without signing it.

Applicants should not submit protected PDF documents. Protected documents prevent DOE from opening and processing the document. Security settings vary by PDF tool, but please ensure security settings are not marked. The applicant needs to look at the Document Security tab under Document Properties (directly from the tab) and set the security parameters to ensure open access so DOE can process the content. For instance, do not password protect the document and do not mark Content Extraction or Copying, Document Assembly, etc. as “Not Allowed.”

If you are having trouble fixing the PDF settings, simply cut and paste from the PDF document into a Microsoft Word document and then reconvert (in some cases it may be better to use another PDF converter).

DOE requires all text attachments to the Adobe application forms be submitted as PDFs and that all text attachments conform to the agency-specific formatting requirements noted below. Failure to follow these requirements may lead to rejection of the application during agency validation or delay in the review process.

Text attachments should be generated using word processing software and then converted to PDF using PDF generating software. Avoid scanning text attachments to convert to PDF since that causes problems for the agency handling the application.

When attaching a PDF document to the actual forms, please note you are attaching an actual document, not just pointing to the location of an externally stored document. Therefore, if you revise the document after it has been attached, you must delete the previous attachment and then reattach the revised document to the application form. Use the **View Attachment** button to determine if the correct version has been attached.

File Name

Save all files with descriptive file names of 50 characters or less and be sure to only use standard characters in file names: A through Z, a through z, 0 through 9, and underscore (_). Do not use any special characters (example: “&”, “-”, “*”, “%”, “/”, and “#”) or spacing in the file name, and for word separation use underscore (example: “My_Attached_File.pdf”) in naming the attachments.

Font

Use an Arial, Helvetica, Palatino Linotype, or Georgia typeface, a black font color, and a font size of 11 points or larger. (A Symbol font may be used to insert Greek letters or special characters; the font size requirement still applies.)

Type density, including characters and spaces, must be no more than 15 characters per inch.

Type may be no more than six lines per inch.

Paper Size and Page Margins

Use *standard paper size (8 ½” x 11)*.

Use at least one-half inch margins (top, bottom, left, and right) for all pages. No information should appear in the margins, including the PI's name and page numbers.

Page Formatting

Since a number of reviewers will be reviewing applications as an electronic document and not a paper version, applicants are strongly encouraged to use only a standard, single-column format for the text. Avoid using a two-column format since it can cause difficulties when reviewing the document electronically.

For DOE reference purposes, please include the DOE SBIR/STTR Technical Topic and Subtopic number for which you are applying for in the header of the attachments, example. Topic/Subtopic 58b.

Figures, Graphs, Diagrams, Charts, Tables, Figure Legends, and Footnotes

You may use a smaller type size but it must be in a black font color, readily legible, and follow the font typeface requirement. Color can be used in figures; however, all text must be in a black font color, clear and legible.

Grantsmanship

Use English and avoid jargon.

If terms are not universally known, spell out the term the first time it is used and note the appropriate abbreviation in parentheses. The abbreviation may be used thereafter.

Page Limits

At this time, only the Project Narrative of each application for DOE SBIR/STTR grant has a finite page limit of 20 pages, unless otherwise specified in a DOE solicitation. We encourage all applicants to write clearly and succinctly.

Internet website addresses (URLs) are strongly discouraged if they are to convey information necessary to the review because reviewers are under no obligation to view these Internet sites. Moreover, reviewers are cautioned that they should not directly access an Internet site as it could compromise their anonymity.

* FOA instructions always supersede these instructions.

2.5 Similar, Essentially Identical, or Identical Applications

| |
|--|
| Submissions of identical applications to more than one DOE SBIR/STTR Technical Topics are not allowed. |
|--|

Submissions of identical applications to more than one DOE SBIR/STTR Technical Topics are not allowed, and the DOE will not accept similar grant applications with essentially the same research focus from the same applicant organization. This includes derivative or multiple applications that propose to develop a single product, process or service that, with non-substantive modifications, can be applied to a variety of purposes. Likewise, identical or essentially identical grant applications submitted by different applicant organizations will not be accepted. Applicant organizations should ascertain and assure that the materials they are submitting on behalf of the principal investigator are the original work of the principal investigator and have not been used elsewhere in the preparation and submission of a similar grant application. Applications to the DOE are grouped by scientific Technical Topic/Subtopic for review by individual peer reviewers. The DOE Technical Topic Managers can thus easily identify multiple grant applications for essentially the same project. In these cases, application processing may be delayed or the application(s) may not be reviewed.

2.6 Submitting Your Application via Grants.gov

The Authorized Organization Representative (AOR) registered in Grants.gov is the only official with the authority to actually submit applications through Grants.gov. Therefore, PIs will need to work closely with their AOR to determine that all the necessary steps have been accomplished prior to submitting an application. This includes any internal review process required by the applicant organization.

Before starting the final submission step, **applicants are encouraged to save a copy of the final application locally**. Once you have properly completed all required documents and attached any required or optional documentation, click on the **Check Package for Errors** button to ensure that you have successfully completed all required data fields. If any of the required fields are not completed you will receive an error notice which will indicate where revision is needed within your package. Correct any errors or if none is found, save the application package. The **Save & Submit** button will now become active and clicking this button will begin the application submission process. Only after the package has been saved with no errors will the **Save & Submit** button become active. The application package must then be saved once more before the submission process begins. Only an AOR will be able to perform the submit action, and they will be taken to the applicant login page to enter the Grants.gov username and password that was established in the Register with Grants.gov process (if not connected to the internet you will be instructed to do so).

Once logged in, the application package will be automatically uploaded to Grants.gov. A confirmation screen will appear once the upload is complete and a Grants.gov Tracking Number will be provided on this screen. Applicants should record this number so that they may refer to it should they need to contact Grants.gov Customer Support or the eRA Commons Help Desk.

For additional information, access [Grants.gov/Submit Application Package](http://grants.gov/SubmitApplication) (<http://grants.gov/SubmitApplication>).

2.7 After You Submit Your Application via Grants.gov

The Authorized Organization Representative (AOR) can use Grants.gov to check the status of an application at any time. Note that Grants.gov requires a user login and password. To check the status of an application, go to <https://apply07.grants.gov/apply/checkApplStatus.faces>.

Once an application has been submitted via Grants.gov, several emails are generated by Grants.gov and sent to the AOR (also known as the Signing Official [SO]) named in the grant application indicating a Grants.gov tracking number that is assigned to the submission:

- 1) **Submission Receipt:** An email is sent indicating your application has been received by Grants.gov and is currently being validated.
- 2) **Submission Validation Receipt:** An email is sent indicating your application has been received and validated by Grants.gov and is being prepared for Grantor agency retrieval.
- 3) **Grantor Agency Retrieval Receipt:** An email is sent indicating your application has been retrieved by the Grantor agency.
- 4) **Agency Tracking Number Assignment for Application:** An email is sent indicating your application has been assigned an Agency Tracking Number.

If the AOR/SO has not received a confirmation message from Grants.gov following submission, please contact:

Grants.gov Contact Center
Telephone: 1-800-518-4726

Email: support@grants.gov

Once agency validation is completed, an agency notification (not Grants.gov) will be emailed to the PI and AOR/SO named in the application.

This email notification will inform the PI and AOR/SO that the application has been received and processed by the agency and will indicate whether any errors or warnings resulted during the validation process.

Be sure to check the Changed/Corrected application box in the Type of Submission field of the SF424 (R&R) cover form. Once that box is checked you will notice that Grants.gov will require data in the Federal Identifier field. If you are submitting a new project application, (including corrected submissions for new applications) simply enter “N/A” in this field.

If there were no validation errors, this email notification will also inform the PI and AOR/SO of an agency accession number, which represents the “agency tracking number.” This number replaces the Grants.gov tracking number that was assigned when the application was first submitted. The Grants.gov system will indicate that the agency tracking number has been assigned, and will reflect both numbers.

2.8 Resources for Finding Help

2.8.1 Finding Help for Grants.gov Registration or Submissions

If help is needed with the Grants.gov registration process or with the technical aspects of submitting an application through the Grants.gov system, check first the resources available at Grants.gov (<http://grants.gov/>).

Grants.gov customer support is also provided by the following office:

Grants.gov Program Management Office
200 Independence Avenue, SW
HHH Building, Room 739F
Washington, DC 20201

Grants.gov Helpdesk: support@grants.gov

Grants.gov Contact Center Phone Number: 1-800-518-4726

The Contact Center is available 24 hours a day, seven (7) days a week.

2.8.2 Finding Help for Application Preparation

If after reviewing this application instruction guide and help is still needed in preparing the application, contact the DOE SBIR/STTR Help Desk:

- DOE SBIR/STTR Help Desk: 301-903- 5707
- DOE SBIR/STTR Email: SBIR-STTR@science.doe.gov

2.8.3 Finding Help for SBIR/STTR Specific Inquiries

Questions of a general nature about the DOE SBIR/STTR program should be directed to:

Mr. Carl Hebron
DOE SBIR/STTR Operations
Coordinator

Phone: 301-903-1414
Email: Carl.hebron@science.doe.gov

Ms. Amy Clark

Phone: 301-903-5847
Email: amy.clark@science.doe.gov

SBIR/STTR Help Desk

Email: sbir-sttr@science.doe.gov

3. Using the Grant Application Package

This section describes the steps an applicant takes once the appropriate FOA has been located and the corresponding grant application package has been successfully downloaded.

3.1 Verify Grant Information

When you select a funding opportunity in Grants.gov Apply, verify that the information shown in the Grant Application Package screen corresponds to the funding opportunity for which you wish to apply. Grants.gov auto-populates the following information:

- Opportunity Title
- Offering Agency
- CFDA Number
- CFDA Description
- Opportunity Number
- Competition ID
- Opportunity Open Date
- Opportunity Close Date
- Agency Contact



Grant Application Package

| | |
|-------------------------|---|
| Opportunity Title: | Recovery Act - FY 2010 SBIR/STTR Phase II Funding Oppor |
| Offering Agency: | Chicago Service Center |
| CFDA Number: | 81.049 |
| CFDA Description: | Office of Science Financial Assistance Program |
| Opportunity Number: | DE-FOA-0000363 |
| Competition ID: | NONE |
| Opportunity Open Date: | 05/07/2010 |
| Opportunity Close Date: | 06/07/2010 |
| Agency Contact: | Carl Hebron SBIR/STTR Program Analyst E-mail: sbir-sttr@science.doe.gov Phone: 301-903-1414 |

This electronic grants application is intended to be used to apply for the specific Federal funding opportunity referenced here.

If the Federal funding opportunity listed is not the opportunity for which you want to apply, close this application package by clicking on the "Cancel" button at the top of this screen. You will then need to locate the correct Federal funding opportunity, download its application and then apply.

CFDA Number Field: The CFDA number assigned will be 81.049.

3.2 Enter the Name for the Application

Enter a name for the application in the Application Filing Name field (this is a required field). This name is for use solely by the applicant for tracking the application through the Grants.gov submission process. It is not used by the receiving agency.

| | |
|--|--|
| This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization. | |
| * Application Filing Name: | <input style="background-color: yellow;" type="text"/> |

3.3 Open and Complete All Mandatory Documents

Open and complete all of the documents listed in the Mandatory Documents box. **Complete the component titled SF424 (R&R) first.** Data entered in this component populates other mandatory and optional forms where applicable.

| Mandatory Documents | | Mandatory Documents for Submission |
|---|--|--|
| SF424 (R & R) Research & Related Budget Project/Performance Site Location(s) Research And Related Senior/Key Person Profile Research And Related Other Project Information SBIR/STTR_Information | Move Form to Complete <input type="button" value="=>"/> Move Form to Delete <input type="button" value="<="/> | <input type="button" value="Open Form"/> |

To open an item:

1. Click the document name in the Mandatory Documents box.
2. Click **Move Form to Complete**.
3. Click the document name in the Mandatory Documents for Submission box and click **Open Form**.
4. To remove a document from the Mandatory Documents for Submission box, click the document name to select it and then click the **Move Form to Delete** box. This returns the document to the Mandatory Documents box.

3.4 Open and Complete Optional Documents

These documents can be used to provide additional information for the application. Information this document is found later in these instructions.

| Optional Documents | | Optional Documents for Submission |
|--|---|--|
| Disclosure of Lobbying Activities (SF-LLL) | Move Form to Submission List <input type="button" value="=>"/> Move Form to Delete <input type="button" value="<="/> | <input type="button" value="Open Form"/> |

3.5 Submitting the Application via Grants.gov

Once you have properly completed all required documents and attached any required or optional documentation, click on the **Check Package for Errors** button to ensure that you have successfully completed all required data fields. If any of the required fields are not completed you will receive an error notice which will indicate where revision is needed within your package. Correct any errors or if none is found, save the application package. The **Save & Submit** button will now become active and clicking this button will begin the application submission process. Only after the package has been saved with no errors will the **Save & Submit** button become active. The application package must then be saved once more before the submission process begins. Only an AOR will be able to perform the submit action, and they will be taken to the applicant login page to enter the Grants.gov username and password that was established in the Register with Grants.gov process (if not connected to the internet you will be instructed to do so).

4. Completing the Required Phase I Grant Application Forms

4.1 Overview

This section contains all of the instructions you will need to complete the SF424 (R&R) and related forms. Conformance to all instructions is required and strictly enforced. DOE may withdraw any applications from the review process that are not consistent with these instructions.

As you navigate through the forms, required fields are highlighted in yellow, outlined in red, and noted with an asterisk (*). Optional fields and completed fields are displayed in white. Data entered into a specific field is not accepted until you have navigated to the next field. If you enter invalid or incomplete information in a field, you will receive an error message.

For those forms that are more than one page, click the **Next** button at the top of the form or scroll down (using the scroll bar on the right hand side of the screen) to navigate to a subsequent page. Once all data have been entered, scroll up using the scroll bar to return to the Grant Application Package Screen.

4.2 Application for Federal Assistance SF 424 (R&R)

| | |
|--|--|
| OMB Number: 4040-0001 Expiration Date: 06/30/2011 | |
| APPLICATION FOR FEDERAL ASSISTANCE SF 424 (R&R) | |
| 1. * TYPE OF SUBMISSION <input checked="" type="checkbox"/> Pre-application <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application | 3. DATE RECEIVED BY STATE <input type="text"/> State Application Identifier <input type="text"/> |
| 2. DATE SUBMITTED <input type="text"/> Applicant Identifier <input type="text"/> | 4. a. Federal Identifier <input type="text"/> b. Agency Routing Identifier <input type="text"/> |
| 5. APPLICANT INFORMATION * Organizational DUNS: <input type="text"/> | |
| * Legal Name: <input type="text"/> Department: <input type="text"/> Division: <input type="text"/> * Street1: <input type="text"/> Street2: <input type="text"/> * City: <input type="text"/> County / Parish: <input type="text"/> * State: <input type="text"/> Province: <input type="text"/> * Country: <input type="text"/> USA: UNITED STATES * ZIP / Postal Code: <input type="text"/> | |
| Person to be contacted on matters involving this application Prefix: <input type="text"/> * First Name: <input type="text"/> Middle Name: <input type="text"/> * Last Name: <input type="text"/> Suffix: <input type="text"/> * Phone Number: <input type="text"/> Fax Number: <input type="text"/> Email: <input type="text"/> | |
| 6. * EMPLOYER IDENTIFICATION (EIN) or (TIN): <input type="text"/> | |
| 7. * TYPE OF APPLICANT: <input type="text"/> Please select one of the following Other (Specify): <input type="text"/> Small Business Organization Type <input type="checkbox"/> Women Owned <input type="checkbox"/> Socially and Economically Disadvantaged | |
| 8. * TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Resubmission <input type="checkbox"/> Renewal <input type="checkbox"/> Continuation <input type="checkbox"/> Revision | |
| If Revision, mark appropriate box(es). <input type="checkbox"/> A. Increase Award <input type="checkbox"/> B. Decrease Award <input type="checkbox"/> C. Increase Duration <input type="checkbox"/> D. Decrease Duration <input type="checkbox"/> E. Other (specify): <input type="text"/> | |
| * Is this application being submitted to other agencies? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> What other Agencies? <input type="text"/> | |
| 9. * NAME OF FEDERAL AGENCY: <input type="text"/> National Institutes of Health Stage | 10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <input type="text"/> TITLE: <input type="text"/> |
| 11. * DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: <input type="text"/> | |
| 12. PROPOSED PROJECT: * Start Date <input type="text"/> * Ending Date <input type="text"/> | * 13. CONGRESSIONAL DISTRICT OF APPLICANT <input type="text"/> |
| 14. PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION Prefix: <input type="text"/> * First Name: <input type="text"/> Middle Name: <input type="text"/> * Last Name: <input type="text"/> Suffix: <input type="text"/> Position/Title: <input type="text"/> * Organization Name: <input type="text"/> Department: <input type="text"/> Division: <input type="text"/> * Street1: <input type="text"/> Street2: <input type="text"/> * City: <input type="text"/> County / Parish: <input type="text"/> * State: <input type="text"/> Province: <input type="text"/> * Country: <input type="text"/> USA: UNITED STATES * ZIP / Postal Code: <input type="text"/> * Phone Number: <input type="text"/> Fax Number: <input type="text"/> * Email: <input type="text"/> | |

1. Type of Submission

Check one of the Type of Submission boxes. If this submission is to change or correct a previously submitted “New” application, click the **Changed/Corrected Application** box and enter the Grants.gov tracking number in the Federal Identifier field. If this submission is to change or correct a “revision” application, leave the Federal Identifier field as previously filled with the existing identifier (e.g., Award number). Do NOT insert the Grants.gov tracking number in this case.

Unless requested by the DOE, applicants may not use this to submit changes after the closing date. This field is required.

Pre-Application: Unless specifically noted in a program announcement, the Pre-application option is not used by DOE.

Changed/Corrected Application: This box must be used if you need to submit the same application again because of corrections for system validation errors or if a portion of the application was lost or distorted during the submission process. This option is for correcting system validation errors only and may not be used to include last minute changes to any of the PDF attachments. When submitting a Changed/Corrected Application:

- If submitting after the submission date, include an explanation in the Cover Letter Component. Note that if you are submitting additional grant application materials after the submission date some special guidelines may apply.
- When you check the Changed/Correct Application box, Item 4a. Federal Identifier becomes a required field.
- When submitting a Changed/Corrected Application for a “New” Type of Application (Item 8 = New), in the Federal Identifier field (Item 4a)) enter the Grants.gov tracking number for the previous application that you are correcting. If you are unable to recall the Grants.gov tracking number, enter “N/A.”
- When submitting a Changed/Corrected Application for a “Resubmission”, “Renewal”, or “Revision” Type of Application (Item 8 = Resubmission, Renewal, or Revision), in the Federal Identifier field (Item 4a) enter the IC and serial number of the previously assigned application/award number (e.g., CA987654).
- Do **not** use the Changed/Corrected Application box to denote a submission of a resubmission or amended application. That will be indicated in item 8. Type of Application.

Applicant small business concerns are reminded that Phase II funding is based on the results of Phase I, demonstration of feasibility, scientific, and technical merit, and commercial potential of the Phase II application.

2. Date Submitted and Applicant Identifier

Enter the date the application is submitted to DOE(or state, if applicable). In the Applicant Identifier field, enter the applicant’s control number (if applicable).

Note the Applicant Identifier field is a control number created by the applicant organization, not the DOE.

3. Date Received by State and State Application Identifier

Enter the date received by state (if applicable). In the State Application Identifier field, enter the state application identifier, if applicable.

For submissions to DOE, leave these fields blank.

4.a. Federal Identifier

New project applications should leave this field blank unless you are submitting a Changed/Corrected application or a New application following a Pre-Application. When submitting a changed/corrected “New” application, enter the Grants.gov tracking number. If this is a revision application, enter the assigned Federal Identifier number (for example, award number)--even if submitting a changed/corrected application.

Existing definitions for DOE and other Federal agency applications may be somewhat different. For DOE:

New is the same; i.e., an application that is submitted for the first time.

Resubmission is not accepted or used by the DOE SBIR/STTR programs.

Renewal is not accepted or used by the DOE SBIR/STTR programs.

Continuation is not accepted or used by the DOE SBIR/STTR programs.

Revision is used by the DOE. Applicants should contact the DOE SBIR/STTR office for advice on submitting any revision application as necessary.

Applicants to DOE should complete this field when submitting a revision application. When submitting a “New” application, this field should remain blank unless you are submitting a Changed/Corrected Application. In this case, where Item 1 = Changed/Corrected Application and Item 8 = New, the Federal Identifier field becomes a required field. Therefore, you must enter the Grants.gov tracking number assigned to the application that you are correcting. If you are unable to recall the tracking number, enter “N/A.”

4.b. Agency Routing Identifier

Enter the agency-assigned routing identifier per the agency-specific instructions.

5. Applicant Information

This information is for the Applicant Organization, not a specific individual.

The small business concern is ALWAYS the applicant organization for an SBIR or STTR award (e.g., ABC Incorporated).

| Field Name | Instructions |
|---------------------|---|
| Organizational DUNS | Enter the DUNS or DUNS+4 number of the applicant organization. This field is required. |
| Legal Name | Enter the legal name of the applicant which will undertake the assistance activity, enter the complete address of the applicant (including county/parish and country), and name, telephone number, e-mail, and fax of the person to contact on matters related to this application. |
| Department | Enter the name of the primary organizational department, service, laboratory, or equivalent level within the organization that will undertake the assistance activity. |
| Division | Enter the name of the primary organizational division, office, or major subdivision which will undertake the assistance activity. |
| Street1 | Enter the first line of the street address for the applicant in “Street1” field. This field is required. |
| Street2 | Enter the second line of the street address for the applicant in “Street2” field. This field is optional. |
| City | Enter the city for address of applicant. This field is required. |
| County/Parish | Enter the county or parish for address of applicant. |
| State | Enter the state where the applicant is located. This field is required if the applicant is located in the United States. |
| Province | Enter the province. |
| Country | Select the country for the applicant address. For SBIR/STTR applications, the small business concern must be located in the United States. |
| ZIP Code | Enter the nine-digit postal code (e.g., ZIP code) of applicant. This field is required if the applicant is located in the United States. This field is required if a State is selected; optional for Province. |

Person to be contacted on matters involving this application:

This information is for the Administrative or Business Official, not the PI. This person is the individual to be notified if additional information is needed and/or if an award is made. To avoid potential errors

and delays in processing, please ensure that the information provided in this section is identical to the AO profile information contained in the eRA Commons.

| Field Name | Instructions |
|--------------|--|
| Prefix | Enter the prefix (e.g., Mr., Mrs., Rev.) for the person to contact on matters related to this application. |
| First Name | Enter the first (given) name of the person to contact on matters related to this application. This field is required. |
| Middle Name | Enter the middle name of the person to contact on matters related to this application. |
| Last Name | Enter the last (family) name of the person to contact on matters related to this application. This field is required. |
| Suffix | Enter the suffix (e.g., Jr., Sr., Ph.D.) for the person to contact on matters related to this application. |
| Phone Number | Enter the daytime phone number for the person to contact on matters related to this application. This field is required. |
| Fax Number | Enter the fax number for the person to contact on matters related to this application. |
| Email | Enter the email address for the person to contact on matters related to this application. Provide only one email address. This is a required field. |

6. Employer Identification

Enter either TIN or EIN as assigned by the Internal Revenue Service. This field is required.

If you have a 12-digit EIN established for grant awards from DOE, **enter all 12 digits (e.g., 1123456789A1)**. For SBIR/STTR applications, the small business concern must be located in the United States.

7. Type of Applicant

This information is for the Applicant Organization, not a specific individual AOR or PI.

| Field Name | Instructions |
|---|--|
| Type of Applicant | <p>Select from the menu or enter the appropriate letter in the space provided. If Small Business is selected as Type of Applicant, then note if the organization is “Woman-owned” and/or “Socially and Economically Disadvantaged.”</p> <p>For SBIR/STTR applicant organizations, select R. <i>Small Business</i>.</p> <p>The applicant organization must certify that it will qualify as a small business concern at the time of award.</p> |
| Other (Specify) | Complete only if “Other” is selected as the Type of Applicant. |
| Woman Owned | Check if you are a woman-owned small business: a small business that is at least 51% owned by a woman or women, who also control and operate it. |
| Socially and Economically Disadvantaged | Check if you are a socially and economically disadvantaged small business, as determined by the US Small Business Administration pursuant to Section 8(a) of the Small Business Act U.S.C. 637(a). |

8. Type of Application

| Field Name | Instructions |
|---------------------|---|
| Type of Application | <p>Select the type from the following list. Check only one. This field is required.</p> <p>New: An application that is being submitted to an agency for the first time.</p> <p>Revision: An application that proposes a change in</p> <ol style="list-style-type: none"> 1) the Federal Government’s financial obligations or contingent liability from an existing obligation, or 2) any other change in the terms and conditions of the existing award. <p>Existing definitions Type of Application may be somewhat different for some Federal agencies. For DOE:</p> <p>New is the same. Check this option when submitting an application for the first time.</p> <p>Revision would also include other changes. In general, changes to the “terms and conditions of the existing award” (would not require the submission of another application through Grants.gov. Applicants should contact the awarding agency for advice on submitting any revision application as needed.</p> <p>This field also affects how you complete Item 4a. Federal</p> |

| Field Name | Instructions |
|--|---|
| | <p>Identifier. If “Type of Application” is “New”, you can leave the Federal Identifier field blank on the first submission attempt. However, the Federal Identifier field becomes a required field when submitting a Changed/Corrected application to address errors/warnings. When submitting a Changed/Corrected “New” application, enter the Grants.gov tracking number of the previous submission attempt (e.g. GRANT87654321). If you are unable to find the tracking number, enter “N/A”.</p> <p>If “Type of Application” is “Revision,” enter the IC and serial number of the previously assigned application/award number. For this type of application, do not change the Federal Identifier field when submitting Changed/Corrected applications.</p> |
| If Revision, mark appropriate box(es) | <p>If Revision, mark appropriate box(es). May select more than one:</p> <ul style="list-style-type: none"> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other <p>If “Other” is selected, please specify in the text box provided.</p> |
| Other | If “Other” is selected for Revision, add text to explain. |
| Is this application being submitted to other agencies? | <p>Check applicable box. This field is required.</p> <p>In the field “Is this application being submitted to other agencies?,” please check the box “Yes” if one or more of the specific aims submitted in your application are also contained in a similar, identical, or essentially identical application submitted to another Federal agency. Indicate the agency or agencies to which the application has been submitted.</p> |
| What Other Agencies? | Enter Agency name. |

9. Name of Federal Agency

Name the Federal agency from which assistance is being requested with this application. This information is pre-populated by Grants.gov.

10. Catalog of Federal Domestic Assistance (CFDA) Number and Title (CFDA)

Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. This information is pre-populated by Grants.gov.

11. Descriptive Title of Applicant’s Project

This field is required. Identify the Technical Topic and Subtopic in the title field, e.g., 58b (Field Number 11) of this form. Complete all the required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the “Help Mode” (icon with the pointer and question mark at the top of the form).

A “new” application must have a different title from any other DOE application with the same PI.

A “revision” application must have the same title as the originally submitted “new” application being revised.

DOE limits title character length to 81 characters, including the spaces between words and punctuation. Titles in excess of 81 characters will be truncated. Be sure to only use standard characters in the descriptive title: A through Z, a through z, 0 through 9, and underscore (_).

An SBIR/STTR Phase II application should have the same title as the previously awarded Phase I grant.

12. Proposed Project

Start Date: Enter the proposed start date of the project. See Part II. f. of the Funding Opportunity Announcement. Though this date is approximate, this field is required.

Ending Date: Enter the proposed ending date of the project. Please enter March 14 2012. Though this date is approximate, this field is required.

Phase I: Routinely, SBIR and STTR Phase I awards do not exceed nine (9) months.

Phase II: Routinely, SBIR and STTR Phase II awards do not exceed two years.

Deviations from the stated project duration guidelines above will not be acceptable.

13. Congressional District of Applicant

Enter the Congressional District in the format: 2 character State Abbreviation – 3 character District Number. Examples: CA-005 for California’s 5th district, CA-012 for California’s 12th district.

To locate your congressional district, visit the Grants.gov web site.

For States and U.S. territories with only a single congressional district enter “001” for the district code. For jurisdictions with no representative, enter “099”. For jurisdictions with a nonvoting delegate, enter “098” for the district number. Example: DC-098, PR-098.

14. Program Director/Principal Investigator (PI) Contact Information

The PI should be entered here.

Name the PI whom is responsible to the applicant small business concern for the scientific and technical direction of the project. A revision application must have the same PI as the currently funded grant.

| Field Name | Instructions |
|------------|---|
| Prefix | The Project Director/Principal Investigator (PI) is the individual responsible for the overall scientific and technical direction of the project. Enter the prefix of the PI. |
| First Name | Enter the first name of the PI. This field is required. |

| Field Name | Instructions |
|-------------------|--|
| Middle Name | Enter the middle name of the PI. |
| Last Name | Enter the last name of the PI. This field is required. |
| Suffix | Enter the suffix of the PI. |
| Position/Title | Enter the Position/title of the PI. |
| Organization Name | Enter the organization name of the PI. |
| Department | Enter the department of the PI. |
| Division | Enter the division of the PI. |
| Street1 | Enter first line of the street address for the PI in the "Street1" field. This field is required. |
| Street2 | Enter the second line of the street address for the PI in the "Street2" field. This field is optional. |
| City | Enter the city for address of the PI. This field is required. |
| County/Parish | Enter the county or parish for address of the PI. |
| State | Enter the state where the PI is located. This field is required if the PI is located in the United States. |
| Province | Enter the Province for PI. |
| Country | Select the country for the PI address. |
| ZIP/Postal Code | Enter the nine-digit Postal Code (e.g., ZIP Code) of the PI. This field is required if the PI is located in the United States. |
| Phone Number | Enter the daytime phone number for the PI. This field is required. |
| Fax Number | Enter the fax number for the PI. |
| Email | Enter the email address for the PI. This field is required. |

General PI Requirements and Restrictions

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

In addition, the PI is required to devote to the project a considerable part of his or her time. "Considerable" means a minimum average of 3 hours per week for the duration of the project for both SBIR and STTR Phase I projects. For example, a 9-month project, lasting 39 weeks, would require a commitment of 117 hours. Applicants must state the duration of the project in weeks, if the project is to be completed in less than 9 months, in order to make it clear that this requirement is fully met. In order to ensure appropriate technical guidance for the project, only one PI will be accepted per project. Processing of applications that include co-PIs will be delayed while the applicant corrects the error. Before a grant is awarded, the PI will be required to sign a statement certifying adherence to these requirements. Non-U.S. citizens are eligible to perform work on SBIR/STTR projects provided they are legally empowered to work in the U.S. at the time that an award is made and throughout its duration.

Additional PI Restrictions when submitting to SBIR Program Only – To be awarded an SBIR grant, the applicant must meet the general requirements and the PI's primary employment must be with the small business applicant at the time of award and during the conduct of the proposed research. Primary employment means that no less than 20 hours per week is spent in the employment of the small business during the conduct of the project and no more than 19 hours per week spent in the employment of another organization.

Additional PI Restrictions when submitting to STTR Program Only – To be awarded an STTR grant, the applicant must meet the general requirements and the PI's primary employment may be with the small business applicant or the research institution. However, the small business must still provide technical control and oversight of the project. If the PI is employed by the research institution, then the PI's primary employment (at least 20 hours per week) must be with the research institution in order to qualify under STTR. The PI's research institution must provide at least 30% of the research effort.

PI Restrictions when submitting to both SBIR and STTR Programs – Applicants submitting to both programs must adhere to the PI restrictions set forth. Therefore, if the PI is employed by the small business, the applicant is eligible to submit to both programs. However, in cases where the PI is employed by the research institution, the application will only be considered under the STTR Program.

| | | | | |
|---|---|---------------|--|---|
| SF 424 (R&R) APPLICATION FOR FEDERAL ASSISTANCE | | Page 2 | | |
| 15. ESTIMATED PROJECT FUNDING a. Total Federal Funds Requested <input style="width: 100%;" type="text"/> b. Total Non-Federal Funds <input style="width: 100%;" type="text"/> c. Total Federal & Non-Federal Funds <input style="width: 100%;" type="text"/> d. Estimated Program Income <input style="width: 100%;" type="text"/> | 16. * IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE: <input style="width: 100%;" type="text"/> b. NO <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372; OR <input type="checkbox"/> PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW | | | |
| 17. By signing this application, I certify (1) to the statements contained in the list of certifications* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances * and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001) <input type="checkbox"/> * I agree <small>* The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small> | | | | |
| 18. SFLLL or other Explanatory Documentation <input style="width: 100%;" type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> | | | | |
| 19. Authorized Representative Prefix: <input style="width: 100%;" type="text"/> * First Name: <input style="width: 100%;" type="text"/> Middle Name: <input style="width: 100%;" type="text"/> * Last Name: <input style="width: 100%;" type="text"/> Suffix: <input style="width: 100%;" type="text"/> * Position/Title: <input style="width: 100%;" type="text"/> * Organization: <input style="width: 100%;" type="text"/> Department: <input style="width: 100%;" type="text"/> Division: <input style="width: 100%;" type="text"/> * Street1: <input style="width: 100%;" type="text"/> Street2: <input style="width: 100%;" type="text"/> * City: <input style="width: 100%;" type="text"/> County / Parish: <input style="width: 100%;" type="text"/> * State: <input style="width: 100%;" type="text"/> Province: <input style="width: 100%;" type="text"/> * Country: <input style="width: 100%; text-align: center; value: USA: UNITED STATES;" type="text"/> * ZIP / Postal Code: <input style="width: 100%;" type="text"/> * Phone Number: <input style="width: 100%;" type="text"/> Fax Number: <input style="width: 100%;" type="text"/> * Email: <input style="width: 100%;" type="text"/> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; text-align: center; border: none;"> * Signature of Authorized Representative <input style="width: 100%;" type="text"/> Completed on submission to Grants.gov </td> <td style="width: 50%; text-align: center; border: none;"> * Date Signed <input style="width: 100%;" type="text"/> Completed on submission to Grants.gov </td> </tr> </table> | | | * Signature of Authorized Representative <input style="width: 100%;" type="text"/> Completed on submission to Grants.gov | * Date Signed <input style="width: 100%;" type="text"/> Completed on submission to Grants.gov |
| * Signature of Authorized Representative <input style="width: 100%;" type="text"/> Completed on submission to Grants.gov | * Date Signed <input style="width: 100%;" type="text"/> Completed on submission to Grants.gov | | | |
| 20. Pre-application <input style="width: 100%;" type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> | | | | |

15. Estimated Project Funding

| Field Name | Instructions |
|--------------------------------------|---|
| a. Total Federal Funds Requested | Enter the total Federal funds, including Direct Costs, F&A Costs (Indirect Costs), and Fee, requested for the entire project period. SBIR Phase I total is \$150,000 and STTR is currently \$100,000; SBIR Phase II total is normally \$1,000,000 and STTR Phase II is currently \$750,000. DOE does not make awards above these guidelines. |
| b. Total Non-Federal Funds | Enter total non-Federal funds proposed for the entire project period. For applications to DOE, enter “0” in this field unless cost sharing is a requirement for the specific announcement. |
| c. Total Federal & Non-Federal Funds | Enter total estimated funds for the entire project period, including both Federal and non-Federal funds. This is required information. For DOE, this field will be the same as item 15a unless the specific funding announcement indicates that cost sharing is a requirement. |
| d. Estimated Program Income | Identify any Program Income estimated for this project period, if applicable. (See 10 CFR 600.314 for additional guidance related to Program Income. This field is required. |

16. Is Application Subject to Review by State Executive Order 12372 Process?

For DOE submissions, using the SF424 (R&R), applicants should check “No, Program is not covered by E.O. 12372.”

17. Certification

Check “I agree” to provide the required certifications and assurances. This field is required.

The applicant organization is responsible for verifying its eligibility and the accuracy, validity, and conformity with the most current institutional guidelines of all the administrative, fiscal, and scientific information in the application, including the Facilities and Administrative rate. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions, such as withdrawal of an application, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The signer further certifies that the applicant organization will be accountable both for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from this application. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

18. SFLLL or Other Explanatory Documentation (Optional Form)

If applicable, attach the SFLLL or other explanatory document per agency instructions. The list of Certifications and Assurances referenced in Field 18 can be found on the DOE Financial Assistance Forms Page at http://management.energy.gov/business_doe/business_forms.htm, under Certifications and Assurances.

If unable to certify compliance in Item 17 (above), attach an explanation. Additionally, as applicable, attach the SFLLL (Standard Form LLL, Disclosure of Lobbying Activities) or other documents in this item. A fillable version of the SFLLL form is available at <http://www.whitehouse.gov/omb/assets/omb/grants/sfillin.pdf>.

19. Authorized Representative

This is the individual with the organizational authority to sign for an application; otherwise known as the Authorized Organization Representative or the Signing Official.

| Field Name | Instructions |
|----------------|---|
| Prefix | Enter the prefix (Mr., Mrs., Rev.) for the name of the Authorized Representative. |
| First Name | Enter the first (given) name of the Authorized Representative. This field is required. |
| Middle Name | Enter the middle name of the Authorized Representative. |
| Last Name | Enter the last (family) name of the Authorized Representative. This field is required. |
| Suffix | Enter the suffix (e.g., Jr., Sr., or Ph.D.) for the name of the Authorized Representative. |
| Position/Title | Enter the title of the Authorized Representative. This field is required. |
| Organization | Enter the name of the organization for the Authorized Representative. This field is required. |
| Department | Enter the name of the primary organizational department, service, laboratory, or equivalent level within the organization of the Authorized Representative. |
| Division | Enter the name of the primary organizational division, office, or major subdivision of the Authorized Representative. |
| Street1 | Enter the first line of the street address for the Authorized Representative in the "Street1" field. This field is required. |
| Street2 | Enter the second line of the street address for the Authorized Representative in the "Street2" field. This field is optional. |
| City | City for address of the Authorized Representative. This field is required. |
| County/Parish | Enter the county or parish for address of the Authorized Representative. |

| Field Name | Instructions |
|--|---|
| State | Enter the State where the Authorized Representative is located. This field is required if the Authorized Representative is located in the United States. |
| Province | Enter the Province for the Authorized Representative. |
| Country | Select the country for the Authorized Representative address. |
| ZIP/Postal Code | Enter the nine-digit Postal Code (e.g., ZIP Code) of the Authorized Representative. This field is required if the Authorized Representative is located in the United States. |
| Phone Number | Enter the daytime phone number for the Authorized Representative. This field is required. |
| Fax Number | Enter the fax number for the Authorized Representative. |
| Email | Enter the email address for the Authorized Representative. This field is required. |
| Signature of Authorized Representative | It is the organization's responsibility to assure that only properly authorized individuals sign in this capacity and/or submit the application to Grants.gov. If this application is submitted through Grants.gov, leave blank. If a hard copy is submitted, the AOR must sign this block. |
| Date Signed | If this application is submitted through Grants.gov, the system will generate this date. If submitting a hard copy, enter the date the AOR signed the application. |

20. Pre-Application

Unless specifically noted in a funding announcement, DOE SBIR/STTR does not use *Pre-applications*.

Once all data have been entered, use the scroll bar to scroll up. You will be returned to the Grant Application Package screen. To remove a document from the Submission box, click the document name to select it and then click the **Move Form to Delete** button. This will return the document to the Mandatory Documents Submission List or Optional Documents Submission List.

4.3 Project/Performance Site Location(s) Form

OMB Number: 4040-0010
 Expiration Date: 08/31/2011

Project/Performance Site Location(s)

Project/Performance Site Primary Location I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:

DUNS Number:

* Street1:

Street2:

* City: County:

* State:

Province:

* Country:

* ZIP / Postal Code: * Project/ Performance Site Congressional District:

Project/Performance Site Location 1 I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:

DUNS Number:

* Street1:

Street2:

* City: County:

* State:

Province:

* Country:

* ZIP / Postal Code: * Project/ Performance Site Congressional District:

Additional Location(s)

Indicate the primary site where the work will be performed. If a portion of the project will be performed at any other site(s), identify the site location(s) in the blocks provided.

Project/Performance Site Primary Location

Generally, the Primary Location should be that of the applicant organization or identified as off-site in accordance with the conditions of the applicant organization’s negotiated Facilities and Administrative (F&A) agreement. This information must agree with the F&A information on the Checklist Form Page of the application. If there is more than one performance site, including any Department of Veterans Affairs (VA) facilities and foreign sites, list them in the fields provided for Location 1 - # below.

Do not check the “I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization” box.

For SBIR/STTR applications, one of the performance sites indicated must be that of the applicant small business concern.

For both Phase I and Phase II, the research or R&D project activity must be performed in the United States. However, based on a rare and unique circumstance, for example, if a supply or material or the study design is not available in the United States, DOE may allow that particular portion of the research or R&D work to be performed or obtained in a foreign country. Investigators must thoroughly justify the use of these sites in the application. These rare and unique situations will be considered on a case-by-case basis, and they should be discussed with DOE SBIR/STTR program staff prior to submission of the application. Approval by the DOE for such specific condition(s) must be in writing prior to issuance of an award and must be facilitated by the DOE SBIR/STTR program staff. Whenever possible, non-SBIR/STTR funds should be used for other work outside of the United States that is necessary to the overall completion of the project.

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

Whenever a proposed SBIR/STTR project is to be conducted in facilities other than those of the applicant organization, the awarding component may request that the small business concern provide a letter from the organization stating that leasing/rental arrangements have been negotiated for appropriate research space. This letter must be signed by an authorized official of the organization whose facilities are to be used for the SBIR/STTR project and must certify that the small business concern (grantee organization) will have access to and control over the research space. In addition, the letter must include a description of the facilities and, if appropriate, equipment that will be leased/rented to the grantee organization. Do not provide this letter at the time of application.

| Field Name | Instructions |
|-------------------|--|
| Organization Name | Indicate the organization name of the primary site where the work will be performed. |
| DUNS Number | Enter the DUNS number associated with the organization where the project will be performed. |
| Street1 | Enter first line of the street address of the primary performance site location. This field is required. |
| Street2 | Enter second line of the street address of the primary performance site location, if applicable. |
| City | Enter the city for address of the primary performance site location. This field is required. |

| Field Name | Instructions |
|---|--|
| County/Parish | Enter the county or parish of the primary performance site location. |
| State | Select the state of the primary performance site location. This field is not active until USA has been selected for the country. This field is required if the performance site location is in the United States. |
| Province | Enter the province of the primary performance site location. |
| Country | Select the country of the primary performance site location. This field is required. |
| ZIP Code | Enter the nine-digit postal code (e.g., ZIP code) of the performance site location. This field is required if the performance site location is in the United States. |
| Project/Performance Site Congressional District | <p>Enter the Congressional District in the format: 2 character State Abbreviation – 3 character District Number. Examples: CA-005 for California’s 5th district, CA-012 for California’s 12th district.</p> <p>If all districts in a state are affected, enter “all” for the district number. Example MD-all for all congressional districts in Maryland.</p> <p>If nationwide (all districts in all states), enter US-all.</p> <p>If the program/project is outside the US, enter 00-0000.</p> <p>To locate your congressional district, visit the Grants.gov web site. Note it is likely this field will be identical to the “Congressional District of Applicant” field provided elsewhere in the application.</p> <p>For States and U.S. territories with only a single congressional district, enter “001” for the district code. For jurisdictions with no representative, enter “099”. For jurisdictions with a nonvoting delegate, enter “098” for the district number. Example: DC-098, PR-098.</p> |

Project/Performance Site Location 1

| Field Name | Instructions |
|-------------------|--|
| Organization Name | Enter the name of organization of the performance site location. |
| DUNS Number | Enter the DUNS number associated with the organization where the project will be performed. |
| Street1 | Enter first line of the street address of the performance site location. This field is required. |

| Field Name | Instructions |
|---|--|
| Street2 | Enter second line of the street address of the performance site location, if applicable. |
| City | Enter the city of the performance site location. This field is required. |
| County/Parish | Enter the county or parish of the performance site location. |
| State | Select the state where the performance site is located. This field is not active until USA has been selected for the country. This field is required if the performance site location is in the United States. |
| Province | Enter the province of the performance site location. |
| Country | Select the country for the performance site location. This field is required. |
| ZIP Code | Enter the nine-digit postal code (e.g., ZIP code) of the performance site location. This field is required if the performance site location is in the United States. |
| Project/Performance Site Congressional District | <p>Enter the Congressional District in the format: 2 character State Abbreviation – 3 character District Number. Examples: CA-005 for California’s 5th district, CA-012 for California’s 12th district.</p> <p>If all districts in a state are affected, enter “all” for the district number. Example MD-all for all congressional districts in Maryland.</p> <p>If nationwide (all districts in all states), enter US-all.</p> <p>If the program/project is outside the US, enter 00-0000.</p> <p>To locate your congressional district, visit the Grants.gov web site. Note it is likely this field will be identical to the “Congressional District of Applicant” field provided elsewhere in the application.</p> <p>For States and U.S. territories with only a single congressional district, enter “001” for the district code. For jurisdictions with no representative, enter “099”. For jurisdictions with a nonvoting delegate, enter “098” for the district number. Example: DC-098, PR-098.</p> |

For additional performance site locations, click **Next Site** to display the fields for Project/Performance Site Locations 3 through 30.

If you need to add more than thirty locations, enter the information in a separate file. In the Additional Locations section at the bottom of the form, click **Add Attachment**, select the file, and then click **Open**.

Once all data have been entered, use the scroll bar to scroll up. You will be returned to the Grant Application Package screen. To remove a document from the Submission box, click the document name to select it and then click the **Move Form to Delete** button. This will return the document to the Mandatory Documents Submission List or Optional Documents Submission List.

4.4 Research & Related Other Project Information Form

RESEARCH & RELATED Other Project Information

1. * Are Human Subjects Involved? Yes No

1.a. If YES to Human Subjects
 Is the Project Exempt from Federal regulations? Yes No
 If yes, check appropriate exemption number. 1 2 3 4 5 6
 If no, is the IRB review Pending? Yes No
 IRB Approval Date:
 Human Subject Assurance Number:

2. * Are Vertebrate Animals Used? Yes No

2.a. If YES to Vertebrate Animals
 Is the IACUC review Pending? Yes No
 IACUC Approval Date:
 Animal Welfare Assurance Number

3. * Is proprietary/privileged information included in the application? Yes No

4.a. * Does this project have an actual or potential impact on the environment? Yes No

4.b. If yes, please explain:

4.c. If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed? Yes No

4.d. If yes, please explain:

5. * Is the research performance site designated, or eligible to be designated, as a historic place? Yes No

5.a. If yes, please explain:

6. * Does this project involve activities outside of the United States or partnerships with international collaborators? Yes No

6.a. If yes, identify countries:

6.b. Optional Explanation:

7. * Project Summary/Abstract

8. * Project Narrative

9. Bibliography & References Cited

10. Facilities & Other Resources

11. Equipment

12. Other Attachments

1. Are Human Subjects Involved?

Generally, all R/R&D DOE SBIR/STTR project work will not require the involvement of human subjects. However, if activities involving human subjects are planned at any time during the proposed project at any performance site, check “Yes.” Check “Yes” even if the proposed project is exempt from Regulations for the Protection of Human Subjects. If activities involving human subjects are not planned at any time during the proposed project at any performance site, select no and skip the rest of block 1. This field is required.

1.a. If YES to Human Subjects**Exemption Number*****Is the Project Exempt from Federal Regulations? Yes/No***

Yes: If the project is exempt from Federal regulations, check “Yes.” If “Yes”, check the appropriate exemption number.

No: If the project is not exempt from Federal regulations, check “No.”

If “Yes”, check appropriate exemption number 1, 2, 3, 4, 5, 6

Select the appropriate exemption number from 1, 2, 3, 4, 5, 6.

If human subject activities are exempt from Federal regulations, provide the exemption numbers corresponding to one or more of the exemption categories. The six categories of research that qualify for exemption from coverage by the regulations are defined in the Common Rule for the Protection of Human Subjects.

If no, is the IRB review pending? Yes/No

If IRB review is pending, check “Yes.” If IRB review is not pending, check No.

IRB Approval Date

Enter the latest Institutional Review Board (IRB) approval date (if available). Leave blank if Pending.

Applicants should check “Yes” to the question “Is the IRB review Pending?” even if the IRB review/approval process has not yet begun at the time of submission. Also, note that an IRB Approval Date is not required at the time of submission. This may be requested later in the pre-award cycle as a Just-in-Time requirement.

Human Subject Assurance Number

Enter the approved Federal Wide Assurance (FWA) that the applicant has on file with the Office for Human Research Protections, if available. If the applicant has a FWA number, enter the 8-digit number. Do not enter the FWA before the number.

2. Are Vertebrate Animals Used?

If activities involving vertebrate animals are planned at any time during the proposed project at any performance site, check yes. If no, skip the rest of block 2.

Note that the generation of custom antibodies constitutes an activity involving vertebrate animals.

2.a. If YES to Vertebrate Animals

Generally, all R/R&D DOE SBIR/STTR project work will not require the involvement of vertebrate animals.

Is the IACUC review Pending?

Indicate if an Institutional Animal Care and Use Committee (IACUC) review is pending.

Yes: Indicate if an Institutional Animal Care and Use Committee (IACUC) review is pending.

No: Indicate if an Institutional Animal Care and User Committee (IACUC) review is pending. Click **No**, if no review is pending.

IACUC Approval Date

Enter the latest IACUC approval date (if available). Leave blank if Pending.

Animal Welfare Assurance Number

Enter the Federally approved assurance number, if available.

3. Is proprietary/privileged information included in the application?

If the answer to question 3 is “Yes”, you must identify proprietary information with a legend on the first page of your project narrative and on each page that contains proprietary information in accordance with instructions provided in Part VIII, Sections D and F of the DOE FOA. Please refer [Section 7.2](#) of this Guide for additional information.

Patentable ideas, trade secrets, privileged or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in applications only when such information is necessary to convey an understanding of the proposed project. If the application includes such information, check “Yes” and clearly mark each line or paragraph on the pages containing the proprietary/privileged information with a legend similar to:

“The following contains proprietary/privileged information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.” This field is required.

4. Environmental Questions

Most DOE research grants are not expected to individually or cumulatively have a significant effect on the environment. However, if an applicant expects that the proposed project will have an actual or potential impact on the environment or if any part of the proposed research and/or project includes one or more of the following categorical exclusions listed below, the box marked “Yes” should be checked and an explanation provided in field 4.b.

1. The potential environmental impacts of the proposed research may be of greater scope or size than other actions included within a category.
2. The proposed research threatens to violate a Federal, State, or local law established for the protection of the environment or for public health and safety.
3. Potential effects of the proposed research are unique or highly uncertain.
4. Use of especially hazardous substances or processes is proposed for which adequate and accepted controls and safeguards are unknown or not available.
5. The proposed research may overload existing waste treatment plants due to new loads (volume, chemicals, toxicity, additional hazardous wasted, etc.)
6. The proposed research may have a possible impact on endangered or threatened species.
7. The proposed research may introduce new sources of hazardous/toxic wastes or require storage of wastes pending new technology for safe disposal.
8. The proposed research may introduce new sources of radiation or radioactive materials.
9. Substantial and reasonable controversy exists about the environmental effects of the proposed research.

4.a. Does this project have an actual or potential impact on the environment?

Indicate if this project has an actual or potential impact on the environment? Click **No** here if this is not the case. This field is required.

4.b. If yes, please explain

Explanation of the actual or potential impact on the environment.

4.c. If this project has an actual or potential impact on the environment, has an exemption been authorized or an Environmental Assessment (EA) or an Environmental Impact Statement (EIS) been performed?

If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed? - Check yes or no.

4.d. If yes, please explain

Enter additional details about the EA or EIS. If desired, you can provide the information in a separate file, and attach by clicking **Add Attachments** located to the right of Step 11 - Other Attachments.

5. Is the research performance site designated, or eligible to be designated, as a historic place? Yes/No

If any research performance site is designated, or eligible to be designated, as a historic place, if Yes, check the Yes box and then provide an explanation in the box provided in 5.a. Otherwise, check the No box. This field is required.

5.a. If yes, please explain:

If you checked the Yes box indicating any performance site is designated, or eligible to be designated, as a historic place, provide the explanation here.

6. Does this project involve activities outside of the United States or partnerships with International Collaborators?

Indicate whether this project involve activities outside of the United States or partnerships with international collaborators. Check yes or no. This field is required.

6.a. If yes, identify countries

Enter the countries with which international cooperative activities are involved.

6.b. Optional Explanation

Enter an explanation for involvement with outside entities (optional). If desired, you can provide the information in a separate file, and attach by clicking **Add Attachments** located to the right of Item 11, Other Attachments.

If you have checked “Yes” to item 6, applicants must describe special resources or characteristics of the research project (e.g., human subjects, animals, equipment, and techniques), whether similar research is being done in the United States and whether there is a need for additional research in this area. Provide this information in a separate file, attaching it as Item 12, Other Attachments. In the body of the text, begin the section with a heading indicating “Foreign Justification.” When saving this file, please name it “Foreign Justification” as well.

7. Project Summary/Abstract

The Project Summary must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained description of the project and should contain a statement of objectives and methods to be employed. It should be informative to other persons working in the same or related fields and insofar as possible understandable to a scientifically or technically literate lay reader. This Summary must not include any proprietary/confidential information. Please click the **Add Attachment** button to the right of this field to complete this entry.

The Project Summary is meant to serve as a succinct and accurate description of the proposed work when separated from the application. State the application's broad, long-term objectives and specific aims, making reference to the health relatedness of the project (i.e., relevance to the **mission of the agency**). Describe concisely the research design and methods for achieving the stated goals. This section should be informative to other persons working in the same or related fields and insofar as possible understandable to a scientifically or technically literate reader. Avoid describing past accomplishments and the use of the first person. Finally, please make every effort to be succinct. This section must not be longer than 30 lines of text, and must follow the required font and margin specifications noted below.

The Project Summary must not exceed one (1) page when printed, using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font not smaller than 11 point. Save this information in a file named "Summary.pdf," and click on "Add Optional Other Attachment" to attach.

The summary must include:

- Company Name
- Project Title
- Principal Investigator
- Topic Number / Subtopic Letter (example: Topic 11, Subtopic b)

Statement of the Problem or Situation that is Being Addressed – Describe the problem or situation being addressed. The DOE's and public's interest in the problem should be clearly stated (typically one to three sentences).

Statement of How this Problem or Situation is Being Addressed – Describe how this problem or situation is being addressed. The overall objective or approach of the combined Phase I and Phase II projects should be clearly stated (typically one to two sentences).

Commercial Applications and Other Benefits – Summarize the future applications and/or public benefits if the project is carried over into Phase II and beyond. Do not repeat information already provided above.

Key Words – Provide listing of Key Words that describe this effort.

Summary for Members of Congress – The DOE notifies members of Congress of awards in their respective districts. Therefore, please provide in clear and concise non-technical language, a very brief summary of the project, suitable for a press release from a Congressional office. (This summary should be a maximum of two (2) sentences and no more than 50 words.)

As noted above, do not include proprietary, confidential information or trade secrets in the description section. If the application is funded, the Project Description will be entered into a DOE database and made available on the DOE public web site at www.science.doe.gov/sbir and will become public information.

The attachment must be in PDF format.

8. Project Narrative

Provide the Project Narrative in accordance with the announcement and/or DOE-specific instructions below. Please click the **Add Attachment** button to the right of this field to complete this entry.

The project narrative must be no longer than 20 pages of text and should be in a single PDF file with the exception of the budget justification, level-of-effort worksheet, and project summary, which must be attached separately as directed in Grants.gov. It must be typed in 12-point font, with 1-inch margins. All grant applications must be submitted in response to a specific technical topic and subtopic announced in this notice. This information (topic number and subtopic letter) should be identified in a header on each page of the Project Narrative as well as on the SF 424 R&R in the title field (Number 11).

The Project Narrative header should also include company name, and project title.

Example Header:

XYZ Technologies, Inc.

SIS: A Sensor-Based In-Line System

Topic: 21/a

Sequentially number each page of the Project Narrative in the page footer.

Grant applications, submitted to DOE under SBIR/STTR programs, must provide sufficient information to convince DOE, and members of the research community who review the grant application, that the application is responsive to the topic and subtopic under which it is submitted, that the proposed work represents a sound approach to the investigation of an important scientific or engineering question, and that it is worthy of support under the stated criteria. The Phase I grant application should describe self-contained research that will contribute to proving scientific or technical feasibility of the approach or concept. It should be written with the care and thoroughness accorded papers for publication--direct, concise, informative, and free from grammatical, typographical, and spelling errors. Illustrations and charts should be clearly labeled and correctly referenced in the text. Promotional and non-project-related discussion detracts from the professional quality of the proposal. The work proposed for Phase I, assuming that it proceeds successfully, should be suitable in nature for subsequent progression to Phases II and III.

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

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

Full narrative descriptions of the DOE SBIR/STTR [Technical Topics](#) are provided via the DOE SBIR/STTR web site on the following link, [Technical Topic descriptions](#). Each [Technical Topic](#) is subdivided into Subtopics, designated by the letters a, b, c, d, etc. A grant application must respond to a specific [Technical Topic](#) and, within it, to only one subtopic. NOTE: The topic numbers change each year. Be sure to identify the correct topic number on the SF 424 R&R in the title field (Number 11). The application will be evaluated under the topic number identified. The DOE will not be responsible for reassigning applications to the correct topic number if identified incorrectly.

The Project Narrative format should follow the outline below:

- **Cover page** – Provide company and project information including company name and address, principal investigator, project title, topic number and subtopic letter.
- **Proprietary Data Legend** – If applicable, please refer to Part VIII, Section D of Funding Opportunity Announcement (FOA) for specific information.
- **Identification and Significance of the Problem or Opportunity, and Technical Approach**
Define the specific technical problem or opportunity addressed by your application. Provide enough background information so that the importance of the problem/opportunity is clear. Indicate the overall technical approach to the problem/opportunity and the part that the proposed research plays in providing needed results.
- **Anticipated Public Benefits** – Discuss the technical, economic, social, and other benefits to the public as a whole anticipated if the project is successful and is carried over into Phases II and III. Identify specific groups in the commercial sector as well as the Federal Government that would benefit from the projected results. Describe the resultant product or process, the likelihood that it could lead to a marketable product, and the significance of the market.
- **Technical Objectives** – State the specific technical objectives of the Phase I effort, including the questions it will try to answer to determine the feasibility of the proposed approach.
- **Phase I Work Plan** – Provide an explicit, detailed description of the Phase I research approach and work to be performed. Indicate what will be done, by whom (small business, subcontractors, research institution, or consultants), where it will be done, and how the work will be carried out. If the applicant is making a commercial or in-kind contribution to the project, please describe in detail here. The Phase I effort should attempt to determine the technical feasibility of the proposed concept which, if successful, would provide a firm basis for the Phase II grant application. Relate the work plan to the objectives of the proposed project. Discuss the methods planned to achieve each objective or task explicitly and in detail. This section should be a substantial portion of the total grant application.
- **Phase I Performance Schedule** – Briefly describe the important milestones and the estimated percentage of time for completing each task described in the work plan.
- **Related Research or R&D** – Demonstrate knowledge of key recent work conducted by others in the specific area of the proposed project. If not already addressed, describe significant research that is directly related to the grant application, including any conducted by the Principal Investigator or by the applicant organization. Describe how it relates to the proposed effort and any planned coordination with outside sources. Applicants should be or become familiar with the references provided following each topic description.
- **Principal Investigator and other Key Personnel** – The Principal Investigator (PI) must be knowledgeable in all technical aspects of the grant application and be capable of leading the research effort and meet the requirements. Describe the effort to be performed by the PI during the project.
- **Facilities/Equipment** – Describe available equipment and physical facilities necessary to carry out the Phase I effort. Items of equipment to be leased or purchased must be described and justified in this section. Equipment is defined as an article of tangible, nonexpendable, personal property, including exempt property, charged directly to the award, having a useful life of more than one year, and an acquisition cost of \$5,000 or more per unit. Title to equipment purchased under this award lies with the government. It may be transferred to the grantee where such

transfer would be more cost effective than recovery of the property by the government. Awardees wishing to obtain title should contact their Contract Specialist prior to project completion for the procedure to follow.

If the equipment, instrumentation, and facilities are not the property of the applicant and are not to be purchased or leased, the source must be identified and their availability and expected costs specifically confirmed in this section. A principal of the organization that owns or operates the facilities/equipment must certify regarding the availability and cost of facilities/equipment and any associated technician cost. A copy of this certification must be submitted as part of the grant application.

To the extent possible in keeping with the overall purposes of the program, only American-made equipment and products should be purchased with funds provided by the financial assistance award.

- **Consultants and Subcontractors (including Research Institutions for STTR)** – Research Institution – If the grant application contains substantial collaboration with a research institution (required for STTR, optional for SBIR), (1) identify the name and address of the institution; the name, phone number, and email address of the certifying official from the research institution; and the total dollar amount of the subcontract, and (2) describe in detail the work to be done by this institution in the Work Plan section. The research institution will be considered a subcontractor to the small business applicant. The research institution must provide a letter of commitment on official letterhead from an authorized representative of the institution which commits the institution to participate in the project as described in the grant application. The letter should be attached as an “other attachment” (see Part IV, Section C. 2). If selected for award, participation of the research institution will be verified by a Contract Specialist.
- **Other Consultants and Subcontractors** – Involvement of consultants or subcontractors in the planning and research stages of the project is permitted provided the work is performed in the United States. If consultants and/or subcontractors are to be used, this section of the application must identify them by name, identify whether the party is being proposed as a consultant or as a subcontractor, and must provide a "Letter of Commitment" from an authorized representative of each subcontractor and/or consultant proposed. The letter must provide a detailed cost estimate [including costs for labor, equipment, and materials, if any] for the consultant or subcontractor, as well as a specific statement certifying that they have agreed to serve in the manner and to the extent described in the Work Plan section of the grant application. Each letter must be on official letterhead with the authorizing representative’s contact information provided and submitted as an “other attachment” to the application (see Part IV, Section C. 2). If selected for award, a DOE Contract Specialist will verify the participation of any subcontractors and/or consultants and will require budget and budget explanations for subcontractors and verification of the proposed rates for consultants.
- **NOTE: Additional Restrictions Related to Consultants and Subcontractors** – None of the employees or owners of the Applicant Small Business may be Consultants. None of the employees or owners of the Applicant Small Business maybe employees of a Subcontractor, except when the Subcontractor is a Research Institution. Consultants must not be employees of any proposed Subcontractor.
- Non-U.S. citizens are eligible to perform work on SBIR/STTR projects provided he/she is legally empowered to work in the U.S. at the time that an award is made and throughout its duration.

9. Bibliography & References Cited

Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. Applicants should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. Please include as part of your Project Narrative.

Unless otherwise noted in an FOA, this section is required. This section (formerly “Literature Cited”) should include any cited references. The references should be limited to relevant and current literature. While there is not a page limitation, it is important to be concise and to select only those literature references pertinent to the proposed research.

10. Facilities & Other Resources

This information is used to assess the capability of the organizational resources available to perform the effort proposed. Identify the facilities to be used (Laboratory, Computer, Office, Clinical, and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Provide any information describing the Other Resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. Please include as part of your Project Narrative.

The research to be performed by the applicant small business concern and its collaborators must be in United States facilities (i.e., foreign sites must be approved by the funding officer) that are available to and under the control of each party for the conduct of each party’s portion of the proposed project.

No special form is required but this section must be completed and attached for DOE submissions unless otherwise noted in an FOA. Describe how the scientific environment in which the research will be done contributes to the probability of success (e.g., institutional support, physical resources, and intellectual rapport). In describing the scientific environment in which the work will be done, discuss ways in which the proposed effort will benefit from unique features of the scientific environment or will employ useful collaborative arrangements.

If appropriate and necessary to the success of the SBIR/STTR project, please describe institutional investment in the success of the investigator, e.g., resources for classes, travel, training; collegial support such as career enrichment programs, assistance and guidance in the supervision of trainees involved with the project, and availability of organized peer groups; logistical support such as administrative management and oversight and best practices training; and financial support such as protected time for research with salary support. Please note the cost for these activities should not be included in the budget as a Direct Cost.

If there are multiple performance sites, describe the resources available at each site.

Describe any special facilities used for working with biohazards or other potentially dangerous substances.

11. Equipment

List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities. Please include as part of your Project Narrative.

12. Other Attachments

If you need to elaborate on your responses to questions 1-5 on the “Other Project Information” document, provide the information in a single file named “projinfo.pdf.”

Click on “Add Attachments” in Field 12 to attach file. Also, attach the following files, if applicable:

Similar Grant Applications, Proposals, or Awards

Please respond to question five (5) and include the following:

- Name, address, and point of contact including telephone number of the agency(s) to which a proposal or grant application was submitted, or will be submitted, or from which an award is expected or has been received.
- Date of submission or the date of award.
- Title of the grant application.
- Name and title of the project manager or Principal Investigator for each proposal or grant application submitted or award received.
- Number and date of the funding opportunity notice under which the application was submitted or award was received.
- Title of the specific research topic to which the application was submitted or award was received.

In the event that a proposal or grant application is selected for award by more than one agency, a negotiation will be conducted among the parties to avoid duplication of effort.

Documentation of Multiple SBIR Phase II Awards

Public Law 102-564 requires that a small business that submits an SBIR Phase I grant application that has already received more than 15 Phase II SBIR awards, as totaled from all Federal agencies with SBIR programs during the preceding five fiscal years, must document the extent to which it was able to secure Phase III funding to develop concepts resulting from previous Phase II awards. Accordingly, such small business concerns shall submit, for each SBIR Phase II award, the name of the awarding agency, the date of the award, the funding agreement number, the funding amount, the topic and/or subtopic title, the amount of follow-on funding, the source and the date that the follow-on funding was provided, and the current commercialization status. This required information should be attached with the heading "Addendum--Phase II History."

Once all data have been entered, use the scroll bar to scroll up. You will be returned to the Grant Application Package screen. To remove a document from the Submission box, click the document name to select it and then click the **Move Form to Delete** button. This will return the document to the Mandatory Documents Submission List or Optional Documents Submission List.

4.5 R&R Senior/Key Person Profile (Expanded) Form

OMB Number: 4040-0001
 Expiration Date: 06/30/2011

RESEARCH & RELATED Senior/Key Person Profile (Expanded)

PROFILE - Project Director/Principal Investigator

Prefix: * First Name: Middle Name:
 * Last Name: Suffix:
 Position/Title: Department:
 Organization Name: Division:
 * Street1:
 Street2:
 * City: County/ Parish:
 * State: Province:
 * Country: * Zip / Postal Code:
 * Phone Number: Fax Number:
 * E-Mail:
 Credential, e.g., agency login:
 * Project Role: Other Project Role Category:
 Degree Type:
 Degree Year:
 *Attach Biographical Sketch
 Attach Current & Pending Support

PROFILE - Senior/Key Person 1

Prefix: * First Name: Middle Name:
 * Last Name: Suffix:
 Position/Title: Department:
 Organization Name: Division:
 * Street1:
 Street2:
 * City: County/ Parish:
 * State: Province:
 * Country: * Zip / Postal Code:
 * Phone Number: Fax Number:
 * E-Mail:
 Credential, e.g., agency login:
 * Project Role: Other Project Role Category:
 Degree Type:
 Degree Year:
 *Attach Biographical Sketch
 Attach Current & Pending Support

To ensure proper performance of this form; after adding 20 additional Senior/ Key Persons; please save your application, close the Adobe Reader, and reopen it.

Complete this form before the Budget form to populate data on the Budget form. The PI is the key individual designated by the applicant to direct the project. Only one PI is acceptable per project. The PI does not need to be a U.S. citizen; however, all work must be performed in the United States. Non-U.S. citizens are eligible to perform work on SBIR/STTR projects provided they are legally empowered to work in the U.S. and perform the project work in the U. S. at the time that an award is made and throughout its duration. That is, a foreign national working on an SBIR/STTR project must NOT be an illegal alien and must be an immigrant alien or a foreign national visiting the U.S. on an approved VISA. Foreign nationals who have applied for and received a "green card" are considered permanent residents.

This component provides the ability to collect structured data for up to 40 Senior/Key Persons. Data must be entered for the first 40 individuals (PI + 39 others) before the Additional Senior/Key Person Form Attachments section becomes available. The information for the PI continues to be pre-populated from the SF424 (R&R) Cover form. Unless otherwise specified in an agency announcement, Senior/Key Personnel are defined as all individuals who contribute in a substantive, meaningful way to the scientific development or execution of the project, whether or not salaries are requested. Consultants should be included if they meet this definition.

Beginning with the PI, provide a profile for each Senior/Key Person proposed. Each Senior/Key Person must be aware that he/she is included in the grant application and must agree to perform the work if selected for award. A Senior/Key Person is any individual who contributes in a substantive, measurable way to the scientific/technical development or execution of the project, whether or not a salary is proposed for this individual. Subawardees and consultants must be included if they meet this definition.

When completing the detailed budget component for the prime organization or a sub-award or consortium organization, the project roles listed in the budget component should be consistent with those used in the Senior/Key Person component.

Profile – Principal Investigator (PI) and Senior Key Personnel

| Field Name | Instructions |
|-------------|--|
| Prefix | This field is automatically populated from the SF424 (R&R). It is the prefix (e.g., Mr., Mrs., Rev.) for the name of the PI. |
| First Name | This field is automatically populated from the SF424 (R&R). It is the first (given) name of the PI. This field is required. |
| Middle Name | This field is automatically populated from the SF424 (R&R). It is the middle name of the PI. |
| Last Name | This field is automatically populated from the SF424 (R&R). It is the last (family) name of the PI. This field is required. |
| Suffix | This field is automatically populated from the SF424 (R&R). It is the suffix (e.g., Jr., Sr., PhD) for the name of the PI. |

| Field Name | Instructions |
|-------------------|---|
| Position/Title | This field is automatically populated from the SF424 (R&R). It is the title of the PI. |
| Department | This field is automatically populated from the SF424 (R&R). It is the name of primary organizational department, service, laboratory, or equivalent level within the organization of the PI and other Senior Key Personnel. |
| Organization Name | This field is automatically populated from the SF424 (R&R). It is the name of the organization of the PI and other Senior Key Personnel. |
| Division | This field is automatically populated from the SF424 (R&R). It is the name of primary organizational division, office, or major subdivision of the PI and other Senior Key Personnel. |
| Street1 | This field is automatically populated from the SF424 (R&R). It is the first line of the street address of the PI and other Senior Key Personnel. This field is required. |
| Street2 | This field is automatically populated from the SF424 (R&R). It is the second line of the street address of the PI and other Senior Key Personnel, if applicable. This field is optional. |
| City | This field is automatically populated from the SF424 (R&R). It is the city for the address of the PI and other Senior Key Personnel. |
| County/Parish | This field is automatically populated from the SF424 (R&R). It is the county or parish for the address of the PI and other Senior Key Personnel. |
| State | This field is automatically populated from the SF424 (R&R). It is the state where the PI is located. This field is required if the PI and other Senior Key Personnel is located in the United States. |
| Province | This field is automatically populated from the SF424 (R&R). It is the province where the PI and other Senior Key Personnel is located. |
| Country | This field is automatically populated from the SF424 (R&R). It is the country for the PI and other Senior Key Personnel address. |
| ZIP Code | This field is automatically populated from the SF424 (R&R). The nine-digit Postal Code (e.g., ZIP Code) of the PI and other Senior Key Personnel. This field is required if the PI is located in the United States. |

| Field Name | Instructions |
|----------------------------------|---|
| Phone Number | This field is automatically populated from the SF424 (R&R). It is the daytime phone number for the PI and other Senior Key Personnel. This field is required. |
| Fax Number | This field is automatically populated from the SF424 (R&R). It is the fax number for the PI and other Senior Key Personnel. |
| Email | This field is automatically populated from the SF424 (R&R). It is the email address for the PI and other Senior Key Personnel. This field is required for the PI. |
| Credential, e.g., agency login | If you are submitting to an agency (e.g., DOE) where you have an established personal profile, enter the agency ID. If not, leave blank. |
| Project Role | Select one. Use "Other" if a category is not listed in the pick list. Select Program Director/Principal Investigator for the PI. |
| Other Project Role Category | Complete if you selected "Other Professional" or "Other" as a project role; e.g., Engineer, Chemist. |
| Degree Type | Enter the highest academic or professional degree or other credentials (e.g., RN). This is optional information. |
| Degree Year | Enter the year the highest degree or other credential was obtained. This is optional information. |
| Attach Biographical Sketch | Provide a biographical sketch for the PI and other Key Personnel as noted. Recommended information includes: Education and Training, Research and Professional Experience, Collaborators and Affiliations (for conflicts of interest), Publications and Synergistic Activities. Save the information in a single file and attach. This is required information. Biographical sketches should follow the format described below under Profile – Senior/Key Person(s). |
| Attach Current & Pending Support | Provide a list of all current and pending support (both Federal and non-Federal) for ongoing projects and pending applications. |

Profile – Senior/Key Person(s)

The remaining Senior/Key Person Profiles should be listed in alphabetical order. While alphabetical order is preferred, it is not required. However, be aware that these profiles will appear in the application in the order provided by the applicant. Therefore, peer reviewers will see them in the order presented. Those with a postdoctoral role should be included if they meet the definition of Senior/Key Personnel.

Also, use this section to list any Other Significant Contributors (OSCs). OSCs should be listed after all Senior/Key Persons. OSCs are individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (in person months) to the project. These individuals are typically presented at “effort of zero person months” or “as needed” (individuals with measurable effort cannot be listed as Other Significant Contributors). Consultants should be included if they meet this definition.

A bio-sketch, including Research Support information, will be required for these individuals as this highlights their accomplishments as scientists. Reviewers use these pages to address the “investigator” review criterion. However, if an award is to be made, Other Support information will not be required or accepted since considerations of overlap do not apply to these individuals.

Should the level of involvement change for an individual listed as an OSC, the individual should be redesignated as “Senior/Key Personnel.” This change should be made before any compensation is charged to the project.

After providing data for each individual Senior/Key Person, click the **Next Person** button at the bottom of the form to enter data for the next Senior/Key Person. Continue in this manner until data has been provided for up to 40 Senior/Key Persons. To ensure proper performance of this form, after adding 20 additional Senior/Key Persons please save your application, close the Adobe reader, and reopen it. For applications involving more than 40 Senior/Key Persons, the “Additional Senior/Key Person Profiles” fields will become available once data for the first 40 Senior/Key Persons has been provided.

Additional Senior/Key Person Profile(s)

If more than forty Senior/Key Person profiles are proposed, enter the information in a separate file and attach it here.

Additional Biographical Sketch(es) (Senior/Key Person)

Complete a Biographical Sketch for each Senior/Key Person and attach to the “Attach Biographical Sketch” field in each profile. The biographical information for each person must not exceed two (2) pages when printed on 8.5” by 11” paper with 1-inch margins (top, bottom, left, and right) with font not smaller than 11 point and must include:

- **Education and Training:** Undergraduate, graduate and postdoctoral training; provide institution, major/area, degree, and year.
- **Research and Professional Experience:** Beginning with the current position list, in chronological order, professional/academic positions with a brief description.
- **Publications:** Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically. Patents, copyrights, and software systems developed may be provided in addition to or substituted for publications.
- **Current and Pending Support:** Provide a list of all current and pending support (both Federal and non-Federal) for ongoing projects and pending applications.

Once all data have been entered, use the scroll bar to scroll up. You will be returned to the Grant Application Package screen. To remove a document from the Submission box, click the document name

to select it and then click the **Move Form to Delete** button. This will return the document to the Mandatory Documents Submission List or Optional Documents Submission List.

4.6 R&R Budget Form

The R&R Budget component includes three separate data entry screens: (1) Sections A and B; (2) Sections C through E; and (3) Sections F through K. To navigate between the various screens, use the **Previous** and **Next** buttons at the top of the form or use the scroll bar on the side of the screen. Complete the R&R Budget component following the instructions provided. You must complete a separate detailed budget for each year of support requested. The form will generate a cumulative budget for the total project period. You must complete all the required information (i.e., those fields that are highlighted in yellow, outlined in red and noted with an “*”) before the **Next Period** button is activated. If no funds are requested for a required field, enter “0.”

While the dollar fields allow cents to be entered, all dollar fields must be presented in whole numbers. Please round to the nearest whole number.

DOE uses the concept of person-months as a metric for determining percent of effort. You must complete the form in full. For example, in the past, companies have failed to complete the column(s) for the number of person-months to be devoted to the project. Incomplete budgets will create delays if the applicant is selected for award.

A separate budget form must be completed by the applicant and each subawardee for the support requested. The form will generate a cumulative budget for the total project period. You must complete all the mandatory information on the form before the “**NEXT PERIOD**” button is activated. You may request funds under any of the categories (other than “Participant/Trainee Support Costs”) listed as long as the item and amount are necessary to perform the proposed work, meets all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement.

If funds are being requested for more than one budget period, click the **Next Period** button at the top of the third budget screen (Sections F through K) to navigate to screens for the next budget period.

4.6.1 R&R Budget - Section A and B, Budget Period 1 Form

OMB Number: 4040-0001
 Expiration Date: 06/30/2011

RESEARCH & RELATED BUDGET - SECTION A & B, BUDGET PERIOD 1

* ORGANIZATIONAL DUNS:

* Budget Type: Project Subaward/Consortium

Enter name of Organization:

* Start Date: * End Date: Budget Period 1

A. Senior/Key Person

| Prefix | * First Name | Middle Name | * Last Name | Suffix | * Project Role | Base Salary (\$) | Cal. Months | Acad. Months | Sum. Months | * Requested Salary (\$) | * Fringe Benefits (\$) | * Funds Requested (\$) |
|--|-------------------------------|-------------------------------|-------------------------------|-------------------------------|----------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|
| 1. | <input type="text" value=""/> | <input type="text" value=""/> | <input type="text" value=""/> | <input type="text" value=""/> | ED/PI | <input type="text" value=""/> |
| 2. | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 3. | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 4. | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 5. | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 6. | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 7. | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 8. | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 9. Total Funds requested for all Senior Key Persons in the attached file | | | | | | | | | | | | <input type="text" value=""/> |

Total Senior/Key Person

Additional Senior Key Persons:

B. Other Personnel

| * Number of Personnel | * Project Role | Cal. Months | Acad. Months | Sum. Months | * Requested Salary (\$) | * Fringe Benefits (\$) | * Funds Requested (\$) |
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Delete Entry

Reset entries on page.

Start Date

Pre-populated from the R&R SF424. Enter the requested/proposed start date of each budget period. This field is required.

End Date

Enter the requested/proposed end date of each budget period. This field is required.

Budget Period

Identify the specific budget period (for example, 1, 2, 3, 4, 5). If submitting through Grants.gov, the system will automatically generate a cumulative budget for the total project period. This is a required field.

(If the **Reset Entries** button is pressed, please navigate to previous year to enable the submission of the form.)

A. Senior/Key Person

This section must include the names of all Senior/Key Persons at the applicant organization who are involved on the project in a particular budget year. Include all collaborating investigators, and other individuals meeting the Senior/Key Person definition if they are from the applicant organization. Details of collaborators at other institutions will be provided in the Subaward budget for each subaward/consortium organization. Personnel listed as Other Significant Contributors who are not committing any specific measurable effort to the project should not be included in the Personnel section of the budget since no associated salary and/or fringe benefits should be requested for their contribution. Consultant costs must be included in F.3 Consultant Services.

| Field Name | Instructions |
|-------------|--|
| Prefix | Pre-populated from the R&R SF424. Enter the prefix (e.g., Mr., Mrs., Rev.) for the name of each Senior/Key Person. |
| First Name | Pre-populated from the R&R SF424. Enter the first (given) name of each Senior/Key Person. This field is required. |
| Middle Name | Pre-populated from the R&R SF424. Enter the middle name of each Senior/Key Person, if applicable. |
| Last Name | Pre-populated from the R&R SF424. Enter the last (family) name of each Senior/Key Person. This field is required. |
| Suffix | Pre-populated from the R&R SF424. Enter the suffix (e.g., Jr., Sr., and PhD) of each Senior/Key Person. |

| Field Name | Instructions |
|------------------|---|
| Project Role | <p>Identify the project role of each Senior/Key person in this section. This section could also include such roles as Co-PI, Postdoctoral Associates, and Other Professionals.</p> <p>The role of the PI is auto-populated in the 01 year budget only. Do not change or edit this field for the PI. For future year budgets, use consistent terminology.</p> <p>The role of “Co-PI” is not currently used by DOE. Do not assign any individual this role. If applicants wish to use the role of “Co-Investigator” or some other similar role, select “Other” for the Project Role field and then insert the appropriate role descriptor in the Other Project Role Category field.</p> |
| Base Salary (\$) | <p>Enter the annual compensation paid by the employer for each Senior/Key Person. This includes all activities such as research, teaching, patient care, or other. You may choose to leave this column blank.</p> <p>STTR: If the PI is an employee of the Research Institution (RI), the PI salary should be entered on the RI subaward budget page.</p> |
| Cal. Months | <p>Identify the number of months devoted to the project for each Senior/Key Person (i.e., calendar, academic, summer).</p> <p>If effort does not change throughout the year, it is OK to use only the calendar months column. However, you may use both academic and summer month’s columns if your institutional business process requires noting each separately even if effort remains constant. If effort varies between academic and summer months, leave the calendar months column blank and use only the academic and summer month’s columns.</p> <p>STTR: If the PI is an employee of the Research Institution (RI), the PI months devoted should be entered on the RI subaward budget page.</p> |
| Acad. Months | <p>Identify the number of months devoted to the project for each Senior/Key Person (for example, calendar, academic, summer).</p> <p>If your institution does not use a 9-month academic year, indicate your institution’s definition of academic year in the budget justification.</p> <p>STTR: If the PI is an employee of the Research Institution (RI), the PI months devoted should be entered on the RI subaward budget page.</p> |

| Field Name | Instructions |
|---|---|
| Sum. Months | <p>Identify the number of months devoted to the project for each Senior/Key Person (for example, calendar, academic, summer).</p> <p>If your institution does not use a 3-month summer period, indicate your institution's definition of summer in the budget justification.</p> <p>STTR: If the PI is an employee of the Research Institution (RI), the PI months devoted should be entered on the RI subaward budget page.</p> |
| Requested Salary (\$) | <p>Regardless of the number of months being devoted to the project, indicate only the amount of salary being requested for this budget period for each Senior/Key Person. This field is required.</p> <p>STTR: The PI may be paid by either the research institution (RI) or the small business, but not both. If the PI is an employee of the small business, enter the PI's salary on the small business budget. If the PI is an employee of the RI, enter the PI's salary on the RI's subaward budget.</p> |
| Fringe Benefits (\$) | Enter applicable fringe benefits, if any, for each Senior/Key Person. |
| Funds Requested (\$) | Enter the requested salary and fringe benefits for each Senior/Key Person. This field is required. |
| Total Funds requested for all Senior/Key Persons in the attached file | Enter the total funds requested for all Senior/Key persons. This is required information. |
| Total Senior/Key Persons | The total funds requested for all Senior/Key Persons. |
| Additional Senior/Key Persons | <p>If funds are requested for more than eight Senior/Key Persons, include all pertinent budget information as identified in this section and attach as a file here. Enter the total funds requested for all additional Senior/Key Persons in line 9 of Section A. This attachment is required if funds are entered in line 9 of Section A.</p> <p>Use the same format as the budget component and include all required information.</p> |

B. Other Personnel

| Field Name | Instructions |
|---------------------------------|---|
| Number of Personnel | <p>For each project role category, identify the number of personnel proposed.</p> <p>List any additional project role(s) in the blank(s) provided, e.g., Engineer, IT Professionals, etc.</p> <p>For all Postdoctoral Associates and Graduate Students not already named in Section A. Senior/Key Person, individually list names, roles (e.g., Post Doctorate or Graduate Student), associated months, and salary & fringe benefits requested in the Budget Justification.</p> |
| Project Role | <p>If Project Role is other than Post Doctoral Associates, Graduate Students, Undergraduate Students, or Secretarial/Clerical, enter the appropriate project role (for example, Engineer, IT Professional, etc.) in the blanks.</p> <p>Do not include consultants in this section. Consultants are included below in Section F. Other Direct Costs.</p> |
| Cal. Months | Identify the number of months devoted to the project in the applicable box for each project role category (i.e., calendar, academic, summer). |
| Acad. Months | <p>Identify the number of months devoted to the project in the applicable box for each project role category (i.e., calendar, academic, summer).</p> <p>If your institution does not use a 9-month academic year, indicate your institution's definition of academic year in the budget justification.</p> |
| Sum. Months | <p>Identify the number of months devoted to the project in the applicable box for each project role category (i.e., calendar, academic, summer).</p> <p>If your institution does not use a 3-month summer period, indicate your institution's definition of summer in the budget justification.</p> |
| Requested Salary (\$) | Regardless of the number of months being devoted to the project, indicate only the amount of salary/wages being requested for each project role. |
| Fringe Benefits (\$) | Enter applicable fringe benefits, if any, for this project role category. |
| Funds Requested | Enter requested salary/wages & fringe benefits for each project role. |
| Total Number of Other Personnel | This total will auto-calculate. Total Salary, Wages and Fringe Benefits (A+B) |
| Total Other Personnel | Total funds requested for all other Personnel |

| Field Name | Instructions |
|---|---|
| Total Salary, Wages and Fringe Benefits (A+B) | Total Funds requested for all Senior/Key Persons and all Other Personnel. This total will auto-calculate. |

To navigate to the next page (Sections C through E), click the **Next** button at the top of the form or use the scroll bar on the left-hand side of the screen.

4.6.2 R&R Budget – Section C, D, & E, Budget Period 1 Form

Close Form

RESEARCH & RELATED BUDGET - SECTION C, D, & E, BUDGET PERIOD 1

* ORGANIZATIONAL DUNS:

* Budget Type: Project Subaward/Consortium

Enter name of Organization:

Delete Entry
* Start Date: * End Date: Budget Period 1

C. Equipment Description

List items and dollar amount for each item exceeding \$5,000

| | Equipment item | * Funds Requested (\$) |
|-----|---|------------------------|
| 1. | <input type="text"/> | <input type="text"/> |
| 2. | <input type="text"/> | <input type="text"/> |
| 3. | <input type="text"/> | <input type="text"/> |
| 4. | <input type="text"/> | <input type="text"/> |
| 5. | <input type="text"/> | <input type="text"/> |
| 6. | <input type="text"/> | <input type="text"/> |
| 7. | <input type="text"/> | <input type="text"/> |
| 8. | <input type="text"/> | <input type="text"/> |
| 9. | <input type="text"/> | <input type="text"/> |
| 10. | <input type="text"/> | <input type="text"/> |
| 11. | Total funds requested for all equipment listed in the attached file | <input type="text"/> |
| | Total Equipment | <input type="text"/> |

Additional Equipment: Add Attachment Delete Attachment View Attachment

D. Travel

| | Funds Requested (\$) |
|---|----------------------|
| 1. Domestic Travel Costs (Incl. Canada, Mexico and U.S. Possessions) | <input type="text"/> |
| 2. Foreign Travel Costs | <input type="text"/> |
| Total Travel Cost | <input type="text"/> |

E. Participant/Trainee Support Costs

| | Funds Requested (\$) |
|--|----------------------|
| 1. Tuition/Fees/Health Insurance | <input type="text"/> |
| 2. Stipends | <input type="text"/> |
| 3. Travel | <input type="text"/> |
| 4. Subsistence | <input type="text"/> |
| 5. Other <input type="text"/> | <input type="text"/> |
| <input type="text"/> Number of Participants/Trainees | <input type="text"/> |
| Total Participant/Trainee Support Costs | <input type="text"/> |

RESEARCH & RELATED Budget {C-E} (Funds Requested)

The information for Organizational DUNS, Budget Type, Name of Organization, and Start and End Dates is automatically filled in based on the information entered on the first budget screen. To edit this information, return to the initial budget screen (Sections A and B) by clicking the **Previous** button.

C. Equipment Description

List of items and dollar amount for each item exceeding \$5,000.

| Field Name | Instructions |
|---|--|
| Equipment item | Equipment is defined as an item of property that has an acquisition cost of \$5,000 or more (unless the organization has established lower levels) and an expected service life of more than one year. List each item of equipment separately and justify each in the budget justification section. Allowable items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose equipment, such as a personal computer, is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research. |
| Funds Requested | List the estimated cost of each item of equipment including shipping and any maintenance costs and agreements. This is required information. |
| Total funds requested for all equipment listed in the attached file | Total funds requested for all equipment listed in the attached file. Dollar amount for each item should exceed \$5,000. |
| Total Equipment | Total Funds requested for all equipment. |
| Additional Equipment | If the space provided cannot accommodate all the equipment proposed, attach a file in the block provided. List each additional item and the funds requested. For all additional items in the attached file, list the total funds requested on line 11 of this section. |

D. Travel

| Field Name | Instructions |
|--|--|
| Domestic Travel Costs (Incl. Canada, Mexico, and US Possessions) | Identify the total funds requested for domestic travel. Domestic travel includes Canada, Mexico, and US possessions. In the budget justification section, include the purpose, destination, dates of travel (if known), and number of individuals for each trip. If the dates of travel are not known, specify estimated length of trip (e.g., 3 days). See “Notes Regarding Budget” below for more information. |

| Field Name | Instructions |
|----------------------|--|
| Foreign Travel Costs | Enter the total funds requested for foreign travel. Foreign travel includes any travel outside of North America and/or US possessions. In the budget justification section, include the purpose, destination, dates of travel (if known) and number of individuals for each trip. If the dates of travel are not known, specify estimated length of trip (e.g., 3 days). Except in rare and unique circumstances, Foreign Travel Costs are not allowable costs in performance of SBIR/STTR awards. |
| Total Travel Cost | Total funds requested for all travel. See “Notes Regarding Budget” below for more information. |

E. Participant/Trainee Support Costs

Unless specifically stated otherwise in an announcement, DOE applicants should leave blank Section E. Note: Tuition remission for graduate students should continue to be included in Section F. Other Direct Costs when applicable.

| Field Name | Instructions |
|---|--|
| Tuition/Fees/Health Insurance | List total funds requested for Participant/Trainee tuition / fees / health insurance. See “Notes Regarding Budget” below for more information. |
| Stipends | List total funds requested for Participant/Trainee stipends. |
| Travel | List total funds requested for Participant/Trainee travel. See “Notes Regarding Budget” below for more information. |
| Subsistence | List total funds requested for Participant/Trainee subsistence. |
| Other | Describe any other participant trainee funds requested. List total funds requested for any other Participant/Trainee costs described. |
| Number of Participants/Trainees | List total number of proposed Participants/Trainees |
| Total Participant/Trainee Support Costs | Total funds requested for all trainee costs |

4.6.3 R&R Related Budget – Section F-K, Budget Period 1 Form

Close Form

RESEARCH & RELATED BUDGET - SECTION F-K, BUDGET PERIOD 1

Next Period

* ORGANIZATIONAL DUNS:

* Budget Type: Project Subaward/Consortium

Enter name of Organization:

Delete Entry
Start Date:
* End Date:
Budget Period 1

| F. Other Direct Costs | Funds Requested (\$) |
|---|----------------------|
| 1. Materials and Supplies | <input type="text"/> |
| 2. Publication Costs | <input type="text"/> |
| 3. Consultant Services | <input type="text"/> |
| 4. ADP/Computer Services | <input type="text"/> |
| 5. Subawards/Consortium/Contractual Costs | <input type="text"/> |
| 6. Equipment or Facility Rental/User Fees | <input type="text"/> |
| 7. Alterations and Renovations | <input type="text"/> |
| 8. <input type="text"/> | <input type="text"/> |
| 9. <input type="text"/> | <input type="text"/> |
| 10. <input type="text"/> | <input type="text"/> |
| Total Other Direct Costs | <input type="text"/> |

| G. Direct Costs | Funds Requested (\$) |
|--------------------------------------|----------------------|
| Total Direct Costs (A thru F) | <input type="text"/> |

| H. Indirect Costs | Indirect Cost Rate (%) | Indirect Cost Base (\$) | * Funds Requested (\$) |
|-----------------------------|------------------------|-------------------------|------------------------|
| Indirect Cost Type | | | |
| 1. <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 2. <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 3. <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 4. <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Total Indirect Costs | | | <input type="text"/> |

Cognizant Federal Agency
(Agency Name, POC Name, and POC Phone Number)

| I. Total Direct and Indirect Costs | Funds Requested (\$) |
|--|----------------------|
| Total Direct and Indirect Institutional Costs (G + H) | <input type="text"/> |

| J. Fee | Funds Requested (\$) |
|--------|----------------------|
| | <input type="text"/> |

K. * Budget Justification

(Only attach one file.)

RESEARCH & RELATED Budget {F-K} (Funds Requested)

The information for Organizational DUNS, Budget Type, Name of Organization, and Start and End Dates is automatically filled in based on the information entered on the first budget screen. To edit this information, return to the initial budget screen (Sections A and B) by clicking the **Previous** button.

F. Other Direct Costs

| Field Name | Instructions |
|---|---|
| 1. Materials and Supplies | List total funds requested for materials and supplies. In the budget justification, indicate general categories such as glassware, chemicals, animal costs, including an amount for each category. |
| 2. Publication Costs | List the total publication funds requested. The proposal budget may request funds for the costs of documenting, preparing, publishing, or otherwise making available to others the findings and products of the work conducted under the award. In the budget justification include supporting information. |
| 3. Consultant Services | <p>List the total costs for all consultant services. In the budget justification, identify each consultant, the services he/she will perform, total number of days, travel costs, and the total estimated costs.</p> <p>In the budget justification also provide the names and organizational affiliations of all consultants, other than those involved in consortium/contractual arrangements. Include consultant physicians in connection with patient care and persons who are confirmed to serve on external monitoring boards or advisory committees to the project. Describe the services to be performed.</p> |
| 4. ADP/Computer Services | List total funds requested for ADP/computer services. The cost of computer services, including computer-based retrieval of scientific, technical and education information may be requested. In the budget justification, include the established computer service rates at the proposing organization if applicable. |
| 5. Subawards/Consortium/Contractual Costs | <p>List total funds requested for 1) all subaward/consortium organization(s) proposed for the project and 2) any other contractual costs proposed for the project.</p> <p>This line item should include both direct and indirect costs for all subaward/consortium organizations. Contractual costs for support services, such as the laboratory testing of biological materials, clinical services, or data processing, are occasionally sufficiently high to warrant a categorical breakdown of costs. When this is the case, provide detailed information as part of the budget justification.</p> |
| 6. Equipment or Facility Rental/User Fees | List total funds requested for equipment or facility rental/user fees. In the budget justification, identify each rental user fee and justify. |

| Field Name | Instructions |
|--------------------------------|---|
| 7. Alterations and Renovations | <p>List total funds requested for alterations and renovations. In the budget justification, itemize by category and justify the costs of alterations and renovations including repairs, painting, removal or installation of partitions, shielding, or air conditioning. Where applicable, provide the square footage and costs.</p> <p>Under certain circumstances, the public policy requirements that apply to construction activities may also apply to minor Alterations and Renovations (A&R) activities.</p> <p>When requesting minor A&R costs under this policy, please provide detailed information on the planned A&R in the budget justification.</p> |
| 8-10 Other | <p>Add text to describe any “other” direct costs not requested above. Use the budget justification to further itemize and justify.</p> <p>List total funds requested for items 8-10 “Other.”</p> <p>Use lines 8-10 for such costs as patent costs, tuition remission, and DOE technical and commercialization assistance. For Phase II SBIR applications only, the DOE technical and commercialization assistance costs are authorized up to \$4,000 per year and \$8,000 total project authorization.</p> |
| Total Other Direct Costs | Total funds requested for all other direct costs. |

G. Total Direct Costs (A through F)

Total funds requested for all direct costs.

H. Indirect Costs

Indirect costs are defined as costs that are incurred by a grantee for common or joint objectives and that, therefore, cannot be identified specifically with a particular project or program. If the applicant small business concern has a currently effective negotiated indirect cost rate with a Federal agency, that rate should be used when calculating proposed indirect costs.

If applicable, indicate your organization’s most recent indirect cost rate established with the DOE or with another Federal agency. If your applicant organization is in the process of negotiating or renegotiating a rate, use that rate in the application.

If the applicant organization does not have a current negotiated rate, it should develop a provisional rate for application purposes. If the applicant organization has a current negotiated rate with another Federal agency, the negotiated rate must be adjusted to treat any independent research and development (IR&D) costs in accordance with DOE acquisition policy.

| Field Name | Instructions |
|------------|--------------|
|------------|--------------|

| Field Name | Instructions |
|--------------------------|--|
| Indirect Cost Type | Indicate the type of cost (e.g., Salary & Wages, Modified Total Direct Costs, or Other [explain]). Also, indicate if Off-site. If more than one rate/base is involved, use separate lines for each. If you do not have a current indirect rate(s) approved by a Federal agency, indicate, "None--will negotiate" and include information for a proposed rate. Use the budget justification if additional space is needed. |
| Indirect Cost Rate (%) | <p>Indicate the most recent indirect cost rate(s) (also known as Facilities & Administrative Costs [F&A]) established with the cognizant Federal office, or in the case of for-profit organizations, the rate(s) established with the appropriate agency. If you have a cognizant/oversight agency and are selected for an award, you must submit your indirect rate proposal to that office for approval. If you do not have a cognizant/oversight agency, contact the awarding agency.</p> <p>If this field does not allow a figure greater than 100% to be entered, use two lines to show the entire calculation. This field should be entered using a rate such as "55.5."</p> <p>If your organization does not have a current indirect cost rate established with a Federal Government Agency, an indirect cost rate proposal will need to be submitted to the DOE awarding office.</p> |
| Indirect Cost Base (\$) | Enter the amount of the base for each indirect cost type. |
| Funds Requested | Enter funds requested for each indirect cost type. |
| Total Indirect Costs | Total funds requested for indirect costs. |
| Cognizant Federal Agency | Enter the name of the cognizant Federal Agency, name and phone number of the individual responsible for negotiating your rate. If no cognizant agency is known, enter "None." |

I. Total Direct and Indirect Institutional Costs (G + H)

Total funds requested for direct and indirect costs.

Ensure that the direct costs and the indirect costs (G+H) on Section F-K EQUAL the Total Direct and Indirect Costs (G+H) on the Cumulative Budget page.

Generally, SBIR Phase I awards may not exceed \$150,000 total costs (direct costs, indirect costs, and fee) and costs for the entire proposed STTR Phase I period may not exceed \$100,000. Routinely, total costs for the entire proposed SBIR Phase II period may not exceed \$1,000,000 and total costs for the entire proposed STTR Phase II period may not exceed \$750,000.

J. Fee

A reasonable fee, not to exceed 7% of total costs (direct and indirect) for each Phase (I and II) of the project, is available to small business concerns receiving awards under the SBIR/STTR program. The fee is intended to be a reasonable profit factor available to for-profit organizations, consistent with normal profit margins provided to profit-making firms for research and development work.

The basis and the amount requested for the fee must be explained in the budget justification. The amount requested for the fee should be based on the following guidelines: (1) it must be consistent with that paid under contracts by the DOE for similar research conducted under similar conditions of risk; (2) it must take into account the complexity and innovativeness of the research to be conducted under the SBIR/STTR project; and (3) it must recognize the extent of the expenditures for the grant project for equipment and for performance by other than the grantee organization through consultant and subaward agreements.

The fee is not a direct or indirect "cost" item and may be used by the small business concern for any purpose, including additional effort under the SBIR/STTR award. The fee applies solely to the small business concern receiving the award and not to any other participant in the project. However, the grantee may pay a profit/fee to a contractor providing routine goods or non-R&D services in accordance with normal commercial practice.

Note: The electronic system automatically rounds up. If you get an error "The fee must be less than 7%," try using 6.99% as the rate.

K. Budget Justification

Provide the required supporting information for all proposed costs (see R&R Budget instructions). Attach a single budget justification file that includes the hourly rate and number of proposed hours for the principal investigator and senior/key persons for the entire project period in Field K. The file automatically carries over to each budget year. Please note, if your application is selected for an award, additional budget information will most likely be required.

Use the budget justification to provide the additional information requested in each budget category identified above and any other information the applicant wishes to submit to support the budget request. The following budget categories must be justified, where applicable: equipment, travel, participant/trainee support and other direct cost categories. Only one file may be attached.

Use this section to also list the names, role (e.g., PostDoc or Graduate Student), associated months, salary and fringe benefits for all Postdoctoral Associates and Graduate Students included in Budget Section B. Other Personnel.

Include a justification for any significant increases or decreases from the initial year budget. Also, justify budgets with more than a standard escalation from the initial to the future year(s) of support.

If the application includes a sub-award/consortium budget, a separate budget justification is submitted for that budget.

4.6.4 R&R Budget – Cumulative Budget Form

All values on this form are calculated automatically. They present the summations of the amounts that you have entered previously, under Sections A through K, for each of the individual budget periods. Therefore, no data entry is allowed or required, in order to complete this "Cumulative Budget" section.

If any of the amounts displayed on this form appears to be incorrect, you may correct it by adjusting one or more of the values that contribute to that total. To make any such adjustments, you will need to revisit the appropriate budget period form(s), to enter corrected values.

| RESEARCH & RELATED BUDGET - Cumulative Budget | | Totals (\$) |
|---|----------------------|----------------------|
| Section A, Senior/Key Person | | <input type="text"/> |
| Section B, Other Personnel | | <input type="text"/> |
| Total Number Other Personnel | <input type="text"/> | |
| Total Salary, Wages and Fringe Benefits (A+B) | | <input type="text"/> |
| Section C, Equipment | | <input type="text"/> |
| Section D, Travel | | <input type="text"/> |
| 1. Domestic | <input type="text"/> | |
| 2. Foreign | <input type="text"/> | |
| Section E, Participant/Trainee Support Costs | | <input type="text"/> |
| 1. Tuition/Fees/Health Insurance | <input type="text"/> | |
| 2. Stipends | <input type="text"/> | |
| 3. Travel | <input type="text"/> | |
| 4. Subsistence | <input type="text"/> | |
| 5. Other | <input type="text"/> | |
| 6. Number of Participants/Trainees | <input type="text"/> | |
| Section F, Other Direct Costs | | <input type="text"/> |
| 1. Materials and Supplies | <input type="text"/> | |
| 2. Publication Costs | <input type="text"/> | |
| 3. Consultant Services | <input type="text"/> | |
| 4. ADP/Computer Services | <input type="text"/> | |
| 5. Subawards/Consortium/Contractual Costs | <input type="text"/> | |
| 6. Equipment or Facility Rental/User Fees | <input type="text"/> | |
| 7. Alterations and Renovations | <input type="text"/> | |
| 8. Other 1 | <input type="text"/> | |
| 9. Other 2 | <input type="text"/> | |
| 10. Other 3 | <input type="text"/> | |
| Section G, Direct Costs (A thru F) | | <input type="text"/> |
| Section H, Indirect Costs | | <input type="text"/> |
| Section I, Total Direct and Indirect Costs (G + H) | | <input type="text"/> |
| Section J, Fee | | <input type="text"/> |

Notes Regarding Budget:

- Although there is no absolute cap on indirect costs, grant applications will be evaluated for overall economy and value to DOE.
- Tuition expenses are only allowable if requested from a subcontractor that is a University and if the amount requested for tuition is reasonable and comparable to the amount a student would be paid for performing research during the grant period.

- Travel funds must be justified and directly related to the needs of the project. Travel expenses for technical conferences are not permitted unless the purpose of attending the conference directly relates to the project (e.g., to present research results of the project). Funds to cover travel expenses outside of the U.S. is considered an unallowable cost unless written approval has been obtained from the Contracting Officer.
 - Grants may include a profit or fee for the small business.
 - Any commercial and/or in-kind contribution to the project should be reflected in the project narrative and not included on the budget pages.
 - Round all funds to the nearest dollar.
 - Complete level-of-effort worksheet located at:
http://www.sc.doe.gov/sbir/solicitations/FY%202010/Level_of_Effort.doc or
http://www.sc.doe.gov/sbir/solicitations/FY%202010/level_of_effort.xls. Attach this form in Field 12 of the R&R Other Project Information form.
-

Once all data have been entered, use the scroll bar to scroll up. You will be returned to the Grant Application Package screen. To remove a document from the Submission box, click the document name to select it and then click the **Move Form to Delete** button. This will return the document to the Mandatory Documents Submission List or Optional Documents Submission List.

4.7 Special Instructions for Preparing Applications with a Subaward/Consortium

SBIR

In an SBIR Phase I, a minimum of two-thirds or 67% of the research or analytical effort must be carried out by the small business concern. The total amount of all consultant and contractual arrangements to third parties for portions of the scientific and technical effort generally may not exceed 33% of the total amount requested (direct, F&A/indirect, and fee).

In an SBIR Phase II, a minimum of one-half or 50% of the research or analytical effort must be carried out by the small business concern. The total amount of consultant and contractual arrangements to third parties for portions of the scientific and technical effort generally may not exceed 50% of the total Phase II amount requested (direct, F&A/indirect, and fee).

The basis for determining the percentage of work to be performed by each of the cooperative parties in Phase I or Phase II will be the total of the requested costs attributable to each party.

STTR

In both STTR Phase I and Phase II, at least 40% of the work must be performed by the small business concern and at least 30% of the work must be performed by the single partnering research institution. The basis for determining the percentage of work to be performed by each of the cooperative parties will be the total of the requested costs (direct, F&A/indirect, and fee) attributable to each party.

In addition, a small business concern must negotiate a written agreement between the small business and the research institution allocating intellectual property rights to carry out follow-on research, development or commercialization. This agreement is required to receive support under the STTR program but is NOT required to be submitted with the application. A copy of the Agreement must be furnished upon request of the DOE Contract Specialist.

A small business concern may subcontract a portion of its STTR award to a Federally Funded Research and Development Center (FFRDC), either in its capacity as the Research Institution or as a participant in the STTR project in another capacity. **However, STTR funds may not be used to pay for laboratory resources of non-FFRDCs, and no STTR funds may be used to pay for subcontracting any portion of the STTR award back to the issuing agency or to any other Federal government unit unless a waiver is granted by the Small Business Administration.**

OMB Number: 4040-0001
Expiration Date: 06/30/2011

R&R SUBAWARD BUDGET ATTACHMENT(S) FORM

Instructions: On this form, you will attach the R&R Subaward Budget files for your grant application. Complete the subawardee budget(s) in accordance with the R&R budget instructions. Please remember that any files you attach must be a PDF document.

[Click here to extract the R&R Subaward Budget Attachment](#)

Important: Please attach your subawardee budget file(s) with the file name of the subawardee organization. Each file name must be unique.

| | | | | |
|---------------------------------|--|----------------|-------------------|-----------------|
| 1) Please attach Attachment 1 | | Add Attachment | Delete Attachment | View Attachment |
| 2) Please attach Attachment 2 | | Add Attachment | Delete Attachment | View Attachment |
| 3) Please attach Attachment 3 | | Add Attachment | Delete Attachment | View Attachment |
| 4) Please attach Attachment 4 | | Add Attachment | Delete Attachment | View Attachment |
| 5) Please attach Attachment 5 | | Add Attachment | Delete Attachment | View Attachment |
| 6) Please attach Attachment 6 | | Add Attachment | Delete Attachment | View Attachment |
| 7) Please attach Attachment 7 | | Add Attachment | Delete Attachment | View Attachment |
| 8) Please attach Attachment 8 | | Add Attachment | Delete Attachment | View Attachment |
| 9) Please attach Attachment 9 | | Add Attachment | Delete Attachment | View Attachment |
| 10) Please attach Attachment 10 | | Add Attachment | Delete Attachment | View Attachment |

A complete subaward/consortium budget component (including the budget justification section) should be completed by each consortium grantee organization. Separate budgets are required only for subawardee/consortium organizations that perform a substantive portion of the project.

To start the process, the applicant organization should:

- Select the Subaward Budget Attachment Form from the Optional Documents in the Grant Application Package.
- Open the form, and click the **Click here to extract the R&R Subaward Budget Attachment** button in the middle of the form. A “SAVE” dialog box appears.
- Save the file locally using the first ten letters of the consortium organization’s name and use “.pdf” as the file extension. (The extracted file is an Adobe PDF file.) Once you have saved the file there is no need to extract another budget attachment. Doing so may cause you to lose any data already stored in the saved file.
- Email the extracted, saved form to the consortium grantee. Note: consortium grantees must have installed a compatible version of Adobe Reader before they can complete the form. The

consortium grantee should complete all the budget information as instructed in the R&R Budget component instructions. Note: Organizational DUNS and Name of Organization fields must reflect that of the subaward/consortium grantee.

- The consortium grantee must complete the budget component and email it back to the applicant organization.
- A fee cannot be entered for a subaward/consortium budget. Fee is allowable only for the small business applicant organization budget page.
- Return to the Subaward Budget Attachment Form and attach the consortium grantee's budget to one of the blocks provided on the form.
- STTR: If more than one Subaward is included in the STTR application, identify the single, partnering research institution on the RI Subaward budget justification page.

Once all data have been entered, use the scroll bar to scroll up. You will be returned to the Grant Application Package screen. To remove a document from the Submission box, click the document name to select it and then click the **Move Form to Delete** button. This will return the document to the Mandatory Documents Submission List or Optional Documents Submission List.

4.8 SBIR/STTR Information Form

In conjunction with the other SF424 (R&R) components DOE SBIR/STTR grant applicants must also complete and submit the "SBIR/STTR Information" component.

| SBIR/STTR Information | | OMB Number: 4040-0001 Expiration date: 06/30/2011 |
|---|---|--|
| * Program Type (select only one) | | |
| <input type="checkbox"/> SBIR <input type="checkbox"/> STTR <input type="checkbox"/> Both <i>(See agency-specific instructions to determine whether a particular agency allows a single submission for both SBIR and STTR)</i> | | |
| * SBIR/STTR Type (select only one) | | |
| <input type="checkbox"/> Phase I <input type="checkbox"/> Phase II <input type="checkbox"/> Fast-Track <i>(See agency-specific instructions to determine whether a particular agency participates in Fast-Track)</i> | | |
| Questions 1-7 must be completed by all SBIR and STTR Applicants: | | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | * 1a. Do you certify that at the time of award your organization will meet the eligibility criteria for a small business as defined in the funding opportunity announcement? | |
| | * 1b. Anticipated Number of personnel to be employed at your organization at the time of award. <div style="border: 1px solid black; width: 100px; height: 15px; margin: 5px 0;"></div> | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | * 2. Does this application include subcontracts with Federal laboratories or any other Federal Government agencies? * If yes, insert the names of the Federal laboratories/agencies: <div style="border: 1px solid black; width: 100%; height: 40px; margin: 5px 0;"></div> | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | * 3. Are you located in a HUBZone? To find out if your business is in a HUBZone, use the mapping utility provided by the Small Business Administration at its web site: http://www.sba.gov | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | * 4. Will all research and development on the project be performed in its entirety in the United States? If no, provide an explanation in an attached file. * Explanation: <input style="width: 150px;" type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | * 5. Has the applicant and/or Program Director/Principal Investigator submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work? * If yes, insert the names of the other Federal agencies: <div style="border: 1px solid black; width: 100%; height: 40px; margin: 5px 0;"></div> | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | * 6. Disclosure Permission Statement: If this application does not result in an award, is the Government permitted to disclose the title of your proposed project, and the name, address, telephone number and e-mail address of the official signing for the applicant organization, to organizations that may be interested in contacting you for further information (e.g., possible collaborations, investment)? | |
| | * 7. Commercialization Plan: If you are submitting a Phase II or Phase I/Phase II Fast-Track Application, include a Commercialization Plan in accordance with the agency announcement and/or agency-specific instructions. * Attach File: <input style="width: 150px;" type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> | |

Program Type (select only one): SBIR / STTR / Both

If you are applying under the SBIR program, check the “SBIR” box. If you are applying under the STTR program, check the “STTR” box. If you are applying under both STTR & SBIR programs, check the “Both” box. A selection is required.

SBIR/STTR Type (select only one): Phase I / Phase II / Fast-Track

If you are submitting a Phase I application, check the Phase I box. If you are submitting a Phase II application, check the Phase II box. When submitting a Phase II application, please include the Phase I SBIR/STTR grant number in Item #4a (Federal Identifier) on the SF424 (R&R) Cover Component.

1a. Certification of Small Business Eligibility

If you certify that at the time of award, your organization will meet the eligibility criteria for a small business as defined in the FOA, check the “Yes” box. Otherwise, check the “No” box. A selection is required.

1b. Anticipated Number of personnel to be employed at your organization at the time of award.

Enter the number of personnel anticipated to be employed by the small business at the time of award.

2. Does this application include subcontracts with Federal laboratories or any other Federal government agencies?

If this application includes subcontracts with Federal laboratories or any other Federal Government agencies, check the “Yes” box and insert the name of the Federal laboratories/agencies in the space provided. Otherwise, check the “No” box. A selection is required.

3. Are you located in a HUBZone?

If you are located in a HUBZone, check the “Yes” box. To find out if your business is in a HUBZONE, use the mapping utility provided by the Small Business Administration at its web site: <http://www.sba.gov>. Otherwise, check the “No” box. A selection is required.

4. Will all research and development on the project be performed in its entirety in the United States?

If all research and development on the project will be performed in its entirety in the United States, check the “Yes” box. Otherwise, check the “No” box and use the **Add Attachment** button below, to attach an explanation. A selection is required.

If you have answered "No" to question 4 above, please prepare an explanation of the research and development that is being performed outside the United States, in a separate file. Then use the **Add Attachment** button to the right of this field to attach the file and complete this entry. When you click **Add Attachment**, browse to where you saved the file, select the appropriate file and then click **Open** to complete the action.

5. Has the applicant and/or Program Director/Principal Investigator submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work?

If the applicant and/or PI has submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work, check the “Yes” box and insert the names of the other Federal agencies in the space provided. Otherwise, check the “No” box. A selection is required.

6. Disclosure Permission Statement

If this application does not result in an award, and the Government is permitted to disclose the title of your proposed project, and the name, address, telephone number, and e-mail address of the official signing for the applicant organization, to organizations that may be interested in contacting you for further information (e.g., possible collaborations, investment), check the “Yes” box. Otherwise check the “No” box. A selection is required.

Your response will not affect any peer review or funding decisions.

7. Commercialization Plan

A succinct commercialization plan must be included in a Phase I grant application. At this time, Question 7 of the SBIR/STTR Commercialization Form will not accept the attachment for a Phase I grant application submission. To address this form issue, please create a document entitled, “Commercialization Plan” and attach this file in Field 12 of the **Research & Related Other Project Information Form**. The Commercialization Plan will be evaluated under the “Impact” criteria as described in the DOE FOA. The Commercialization Plan should include:

- 1. Company Information:** Describe core competencies; size; specialization areas; products with significant sales; and history of previous Federal and non-Federal funding, regulatory experience, and subsequent commercialization (see Question eight (8) for specific information requested).
- 2. Market:** Analyses of market size and estimated market share after first year sales and after 5 years.
- 3. Intellectual Property:** Patent status, technology lead, trade secrets, or other demonstration of a plan to achieve sufficient protection to realize the commercialization stage.

Question 8, Company Commercialization History

If the answer to the this question is “Yes,” provide your Company Commercialization history in a table which includes:

- Company name;
- Title of the project;
- Source of funding (if Federal, indicate whether SBIR, STTR, or Other);
- Year the funding was received
- Total sales of the resulting product or service (include sales by your company and any licensee-identify the licensee); and
- Total revenues obtained from commercialization (identify sources of these revenues). Attach in the block provided.

Applicants are encouraged to seek commitment(s) of funds and/or resources from an investor or partner organization for commercialization of the product(s) or service(s) resulting from the SBIR/STTR grant.

Your Phase III funding may be from any of a number of different sources including, but not limited to: SBIR/STTR firm itself; private investors or “angels”; venture capital firms; investment companies; joint ventures; R&D limited partnerships; strategic alliances; research contracts; sales of prototypes (built as part of this project); public offering; state finance programs; non SBIR-funded R&D or production commitments from a Federal agency with the intention that the results will be used by the United States government; or other industrial firms.

| SBIR/STTR Information | |
|---|--|
| SBIR-Specific Questions: | |
| <i>Questions 8 and 9 apply only to SBIR applications. If you are submitting ONLY an STTR application, leave questions 8 and 9 blank and proceed to question 10.</i> | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | * 8. Have you received SBIR Phase II awards from the Federal Government? If yes, provide a company commercialization history in accordance with agency-specific instructions using this attachment. * Attach File: <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | * 9. Will the Project Director/Principal Investigator have his/her primary employment with the small business at the time of award? |
| STTR-Specific Questions: | |
| <i>Questions 10 and 11 apply only to STTR applications. If you are submitting ONLY an SBIR application, leave questions 10 and 11 blank.</i> | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | * 10. Please indicate whether the answer to BOTH of the following questions is TRUE: (1) Does the Project Director/Principal Investigator have a formal appointment or commitment either with the small business directly (as an employee or a contractor) OR as an employee of the Research Institution, which in turn has made a commitment to the small business through the STTR application process; AND (2) Will the Project Director/Principal Investigator devote at least 10% effort to the proposed project? |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | * 11. In the joint research and development proposed in this project, does the small business perform at least 40% of the work and the research institution named in the application perform at least 30% of the work? |

SBIR-Specific Questions:**8. Have you received SBIR Phase II awards from the Federal Government? If yes, provide a commercialization history in accordance with agency-specific instructions**

If you have received SBIR Phase II awards from the Federal Government, check the “Yes” box and attach the Company Commercialization History file in Field 12 of the **Research & Related Other Project Information Form**. Otherwise check the No box.

If the applicant small business has received an SBIR Phase II awards issued by DOE or any other Federal Government agency, attach a file that includes either: (1) a statement indicating that the applicant small business *has not received* more than 15 SBIR Phase II awards from the Federal Government during the preceding five fiscal years; or (2) a company commercialization history if the applicant small business *has received* more than 15 Phase II SBIR awards from the Federal Government during the preceding five fiscal years. The history must document the extent to which the company was able to secure Phase III funding to develop concepts resulting from previous Phase II SBIR awards, and for each Phase II award the history must include: (1) name of awarding agency; (2) award number and date; (3) amount of award; (4) title of project; (5) source, date, and amount of Phase III funding agreement; and (6) commercialization status of each Phase II award.

9. Will the Principal Investigator have his/her primary employment with the small business at the time of award?

The PI’s primary employment must be with the small business at the time of award and during the conduct of the proposed research. Primary employment means that NO LESS than 20 hours per week is spent in the employment of the small business during the conduct of the project and no more than 19 hours per week spent in the employment of another organization. If the PI will have his/her primary employment with the small business at the time of award, check the “Yes” box. Otherwise, check the “No” box.

A selection is required for SBIR applications only.

STTR-Specific Questions:

10. Does the Principal Investigator have a formal appointment or commitment either with the small business directly (as an employee or contractor) OR as an employee of the Research Institution, which in turn has made a commitment to the small business through the STTR application process, AND will the Principal Investigator devote at a considerable part of his or her time to the proposed project? “Considerable” means at least 195 hours for both SBIR and STTR Phase I projects, or a minimum of five hours per week for the duration of the project.

Check the “Yes” box **only** if **both** of the following conditions is true:

- The PI's primary employment is with either the small business or the research institution.
- The small business will provide technical control and oversight of the project.

Check the “No” box if either of these two conditions (or both) is false.

11. In the joint research and development proposed in this project, does the small business perform a minimum of 40% of the work and the research institution named in the application perform a minimum of 30% of the work?

If in the joint research and development proposed in this project, the small business performs a minimum of 40% of the work and the research institution named in the application performs a minimum of 30% of the work, check the “Yes” box. Otherwise, check the “No” box.

Once all data have been entered, click the **Close Form** button at the top of the form or use the scroll bar to scroll up. You will be returned to the Grant Application Package screen. To remove a document from the Submission box, click the document name to select it and then click the **Move Form to Delete** button. This will return the document to the Mandatory Documents Submission List or Optional Documents Submission List.

5. Certifications

5.1 Small Business Concern SBIR Verification Statement

Grant Application Number: _____

Organization: _____

Principal Investigator (PI): _____

The Small Business Innovation Research (SBIR) program legislation requires that the applicant small business concern (SBC) be eligible at the time of the award. As the responsible Federal staff for administering DOE grants funds, Grants Management Officials of the DOE must verify eligibility prior to issuing a Notice of Award. If the SBC is affiliated with any other organization (domestic or foreign), see www.sba.gov/size.

If an application is selected for funding under the SBIR program, no award will be issued until the DOE receives and accepts the following information, which may be provided in a format of your choosing or by completing a checklist as in the example below:

1. The above-named organization is a for-profit United States SBC that is at least 51% owned and controlled by one or more *individuals* who are citizens of, or permanent resident aliens in, the United States, or in the case of a publicly-owned business, at least 51% of its voting stock is owned by United States citizens or lawfully admitted permanent resident aliens.

or

The above-named organization is a for-profit business concern that is at least 51% owned and controlled by another (one) for-profit business concern that is at least 51% owned and controlled by one or more *individuals* who are citizens of, or permanent resident aliens in, the United States.

Complete the following part of (1) if relevant: If the above-named applicant organization has been determined by the Small Business Administration (SBA) to be “other than small” for a size standard of not more than 500 employees or for purposes of the SBIR program:

Have you been recertified by SBA? Yes No

If not recertified, have you requested a recertification by SBA for eligibility under the SBIR program? Yes No

2. The above-named organization is independently owned and operated, is not dominant in the field of operation in which it is proposing, has its principal place of business located in the United States, has, including its affiliates, 500 or fewer employees, is not involved in a merger/acquisition that is near complete, and meets the other regulatory requirements found in Title 13, Code of Federal Regulations (CFR), Part 121. (Note that the SBA considers “agreements to merge (including agreements in principle) to have present effect on the power to control a concern” [Section 121.103(d)(1) of 13 CFR 121]).
3. The *research space* occupied by the above-named organization is available to and under the control of the above-named organization *for the conduct of its portion of the proposed project*.
4. All research on the above-referenced grant will be *performed in its entirety* in the United States, unless otherwise approved by the Grants Management Officer prior to issuance of an award.
5. The above-named PI's *primary employment* is with the above-named organization and more than one-half of the above-named PD's/PI's time will be in the employ of the above-named organization at the time of award and for the duration of the project, unless otherwise approved by the Grants Management Officer prior to issuance of an award. For Multiple PI projects, the Contact PI meets the primary employment requirement.
6. It is understood that the DOE will not support any *market research* under its SBIR program (see “[Definitions](#)” or literature searches that will lead to a new or expanded statement of work, and that if an award is made, any such costs, if requested in the application, will be removed prior to award.
7. It is understood that if this project is funded, drawing DOE award funds serves as certification that the above-named organization has in place written policies and procedures for financial and business management systems that comply with 10 CFR 600.311.

My signature is verification that the statements checked () above are true and complete. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties (U.S. Code, Title 18, Section 1001).

(Official Authorized to Sign for the Organization)

(Date)

5.2 Small Business Concern STTR Verification Statement

Grant Application Number: _____

Organization: _____

Principal Investigator (PI): _____

The Small Business Technology Transfer (STTR) program legislation requires that the applicant small business concern (SBC) be eligible at the time of the award. As the responsible Federal staff for administering DOE grant funds, Grants Management Officials must verify eligibility prior to issuing a Notice of Award. If the SBC is affiliated with any other organization (domestic or foreign), see www.sba.gov/size.

If an application is selected for funding under the STTR program, no award will be issued until the DOE receives and accepts the following information, which may be provided in a format of your choosing or by completing a checklist as in the example below:

- The above-named organization is a for-profit United States SBC that is at least 51% owned and controlled by one or more *individuals* who are citizens of, or permanent resident aliens in, the United States, or in the case of a publicly-owned business, at least 51% of its voting stock is owned by United States citizens or lawfully admitted permanent resident aliens.

or

Complete the following part of (1) if relevant: If the above-named applicant organization has been determined by the Small Business Administration (SBA) to be “other than small” for a size standard of not more than 500 employees or for purposes of the STTR program:

Have you been recertified by SBA? Yes No

If not recertified, have you requested a recertification by SBA for eligibility under the STTR program? Yes No

- The above-named organization is independently owned and operated, is not dominant in the field of operation in which it is proposing, has its principal place of business located in the United States, has, including its affiliates, 500 or fewer employees, is not involved in a merger/acquisition that is near complete, and meets the other regulatory requirements found in Title 13, Code of Federal Regulations (CFR), Part 121. (Note that the SBA considers “agreements to merge (including agreements in principle) to have present effect on the power to control a concern” [Section 121.103(d)(1) of 13 CFR 121]).
- The *research space* occupied by the above-named organization is available to and under the control of the above-named organization *for the conduct of its portion of the proposed project*. All research on the above-referenced grant will be *performed in its entirety* in the United States, unless otherwise approved by the Grants Management Officer prior to issuance of an award. The above-named PI’s primary employment is with the above-named organization and more than one-half of the above-named PI’s time will be in the employ of the above-named organization at the time of award and for the duration of the project, unless otherwise approved by the DOE Grants Management Officer prior to issuance of an award. For Multiple PI projects, the Contact PI meets the primary employment requirement. Or, if the PI is employed by the Research Institution
- The above-named PI has a formal appointment with or commitment to the above-named organization, which is characterized by an official relationship between the organization and the PI, whose effort on this project will not be less than 10% of his/her total professional effort.

4. It is understood that the DOE will not support any *market research* under its STTR program (see “[Definitions](#)”) or literature searches that will lead to a new or expanded statement of work, and that if an award is made, any such costs, if requested in the application, will be removed prior to award.
5. In conducting the joint research and development proposed in this project, the above-named applicant SBC will conduct not less than 40% of the work and the single “partnering” research institution named in the application will perform not less than 30% of the work.
6. It is understood that if this project is funded, drawing DOE award funds serves as certification that the above-named organization has in place written policies and procedures for financial and business management systems that comply with 10 CFR 00.311.

My signature is verification that the statements checked () above are true and complete. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties (U.S. Code, Title 18, Section 1001).

(Official Authorized to Sign for the Organization)

(Date)

5.3 Other Certifications

If selected for an award, applicants will be required to sign and submit one or more of the following certifications. The DOE Contract Specialist will provide forms during award negotiation. (The following links are provided for information purposes only. Changes and updates to the forms may be made by the DOE prior to award negotiation.)

- [Principal Investigator Certification](http://www.ascr.doe.gov/ascr/sbir/Files/ManageApp/PI-Certification.pdf)
<http://www.ascr.doe.gov/ascr/sbir/Files/ManageApp/PI-Certification.pdf>
- [Property and Commercialization Rights Agreement Certification](#)
- [DOE STTR Model Agreement for Property and Commercialization Rights](#)

6. Definitions

Applicant: The organizational entity that, at the time of award, will qualify as a Small Business Concern (SBC) and that submits a grant application for a funding agreement under the SBIR or STTR program

6.1 Applicant Organization Types

Federal: A cabinet-level department or independent agency of the Executive Branch of the Federal Government or any component part of such a department or agency that may be assigned the responsibility for carrying out a grant-supported program.

State: Any agency or instrumentality of a state government of any of the United States or its territories

Local: Any agency or instrumentality of a political subdivision of government below the State level

Nonprofit: An institution, corporation, or other legal entity no part of whose net earnings may lawfully inure to the benefit of any private shareholder or individual.

For Profit: An institution, corporation, or other legal entity, which is organized for the profit or benefit of its shareholders or other owners. A “for profit” organization is considered to be a small business if it is

independently owned and operated, if it is not dominant in the field in which research is proposed, and if it employs no more than 500 persons. Also, see definition for Small Business Concern.

Small Business Concern: A small business concern is one that, at the time of award of Phase I and Phase II, meets **all** of the following criteria:

1. Is independently owned and operated, is not dominant in the field of operation in which it is proposing, has its principal place of business located in the United States, and is organized for profit.
2. Is at least 51% owned and controlled by either: (a) one or more natural persons (individuals who are citizens of, or permanent resident aliens in, the United States); or (b) another for-profit business concern that is itself at least 51% owned and controlled by one or more natural persons (individuals who are citizens of, or permanent resident aliens in, the United States)(See 13 CFR 121.105 (defining “business concern”)).
3. Has, including its affiliates, *a number of employees not exceeding 500*, and meets the other regulatory requirements found in 13 CFR Part 121. Business concerns, other than investment companies licensed, or state development companies qualifying under the Small Business Investment Act of 1958, 15 U.S.C. 661, et seq., are affiliates of one another when either directly or indirectly, (a) one concern controls or has the power to control the other; or (b) a third-party/parties controls or has the power to control both.

Control can be exercised through common ownership, common management, and contractual relationships. The term “affiliates” is defined in greater detail in 13 CFR Part 121, as is the process for calculating “number of employees.”

Business concerns include, but are not limited to, any individual (sole proprietorship), partnership, corporation, joint venture, association, or cooperative. Further information may be obtained by contacting the Small Business Administration Size District Office at <http://www.sba.gov/size/>.

Socially and Economically Disadvantaged Small Business Concern: A socially and economically disadvantaged small business concern is one that is at least 51% owned by:

- (a) an Indian tribe or a native Hawaiian organization, or
- (b) one or more socially and economically disadvantaged individuals; **and** whose management and daily business operations are controlled by one or more socially and economically disadvantaged individuals

Women-Owned Small Business Concern: A small business concern that is at least 51% owned by a woman or women who also control and operate it. “Control” in this context means exercising the power to make policy decisions. “Operate” in this context means being actively involved in the day-to-day management.

6.2 Other Definitions

Collaborator: An individual involved with the PI in the scientific development or execution of the project. These individuals would typically devote a specific percent of effort to the project and are identified as Senior/Key Personnel. The collaborator may be employed by, or affiliated with, either the grantee organization or an organization participating in the project under a consortium or contractual agreement.

Commercialization: The process of developing markets and producing and delivering products for profit (whether by the originating party or by others). As used here, commercialization includes both government and private sector markets.

Consortium Agreement: A formalized agreement whereby a research project is carried out by the grantee and one or more other organizations that are separate legal entities. Under the agreement, the grantee must perform a substantive role in the conduct of the planned research and not merely serve as a conduit of funds to another party or parties. These agreements typically involve a specific percent of effort from the consortium organization's PI and a categorical breakdown of costs, such as personnel, supplies, and other allowable expenses, including Facilities and Administrative costs.

Consultant: An individual who provides professional advice or services for a fee, but normally not as an employee of the engaging party. To prevent apparent or actual conflicts of interest, grantees and consultants must establish written guidelines indicating the conditions of payment of consulting fees. Consultants may also include firms that provide paid professional advice or services.

Consulting Fees: The fee paid by a research institution to a salaried member of its faculty is allowable only in unusual cases and only if both of the following conditions exist: (1) the consultation crosses departmental lines or involves a separate operation; and (2) the work performed by the consultant is in addition to his or her regular workload.

Contract: An award instrument establishing a binding legal procurement relationship between a funding agency and the recipient, obligating the latter to furnish an end product or service and binding the agency to provide payment therefore.

Cooperative Agreement: A financial assistance instrument under which substantial Federal scientific and/or programmatic involvement is anticipated between the Federal agency and the recipient during the performance of the contemplated project or activity. "Substantial involvement" means that the recipient can expect Federal programmatic collaboration or participation in carrying out the effort under the award.

Employees: The number of employees of a firm is its average number of persons employed for each pay period over the firm's latest 12 months. Any person on the payroll must be included as one employee regardless of hours worked or temporary status. The number of employees of a firm in business under 12 months is based on the average for each pay period it has been in business.

Equipment: An article of tangible, nonexpendable, personal property that has a useful life of more than one year and an acquisition cost of \$5,000 or more, or the capitalization threshold established by the organization, whichever is less.

Essentially Equivalent Work: This term is meant to identify "scientific overlap," which occurs when (1) substantially the same research is proposed for funding in more than one contract proposal or grant application submitted to the same Federal agency; **or** (2) substantially the same research is submitted to two or more different Federal agencies for review and funding consideration; **or** (3) a specific research objective and the research design for accomplishing that objective are the same or closely related in two or more proposals or awards, regardless of the funding source.

Facilities and Administrative (Indirect) Costs: Facilities and Administrative (F&A) Costs are defined as costs that are incurred by a grantee for common or joint objectives and that, therefore, cannot be identified specifically with a particular project or program.

Feasibility: The extent to which a study or project may be done practically and successfully.

Foreign Component: A component of a grant to a domestic organization that provides support to any significant element or segment to be performed outside the United States (including the involvement of human subjects or laboratory animals; extensive foreign travel for the purpose of data collection, surveying, sampling, and similar activities; and any activity of the recipient that may involve the population, environment, resources, or affairs of a foreign country), either by the recipient's project staff or individuals employed by a foreign organization (for example, under a contract or a consortium agreement). Foreign travel for consultation is not considered a foreign component.

Full-Time Appointment: The number of days per week and/or months per year representing full-time effort at the applicant/grantee organization, as specified in organizational policy. The organization's policy must be applied consistently regardless of the source of support.

Grant: A financial assistance mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity.

Grantee: For purposes of the SBIR and STTR programs, “grantee” means the organization awarded a grant by DOE that is responsible and accountable for the use of the funds provided and for the performance of the grant-supported project or activity. The grantee is the entity legally responsible and accountable to DOE for the performance and financial aspects of the grant-supported project or activity.

Historically Underutilized Business Zone (HUBZone): A small business concern meeting the following criteria:

1. Located in a “historically underutilized business zone” or HUBZone area located in one or more of the following:
 - a. A qualified census tract (as defined in section 42(d)(5)(C)(i)(I) of the Internal Revenue Code of 1986; or
 - b. A qualified “non-metropolitan county” (as defined in section 143(k)(2)(B) of the Internal Revenue Code of 1986) with a median household income of less than 80 percent of the state median household income or with an unemployment rate of not less than 140 percent of the statewide average, based on U.S. Department of Labor recent data; or
 - c. Lands within the boundaries of Federally recognized Indian reservations.
2. Owned and controlled by one or more U.S. Citizens.
3. At least 35% of its employees must reside in a HUBZone.

Innovation: Something new or improved, including research for (1) development of new technologies, (2) refinement of existing technologies, or (3) development of new applications for existing technologies. For the purposes of DOE programs, an example of “innovation” would be new science, engineering, or technical products for improved value, efficiency, or costs.

Institutional Base Salary: The annual compensation paid by an organization for an employee’s appointment, whether that individual’s time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of duties to the applicant/grantee organization. Base salary may not be increased as a result of replacing institutional salary funds with DOE grant funds.

Intellectual Property: The separate and distinct types of intangible property that are referred to collectively as “intellectual property,” including but not limited to: patents, trademarks, copyrights, trade secrets, SBIR/STTR technical data (as defined in this section), ideas, designs, know-how, business, technical and research methods, and other types of intangible business assets, and including all types of intangible assets either proposed or generated by an SBC as a result of its participation in the SBIR program.

Joint Venture: An association of concerns with interests in any degree or proportion by way of contract, express or implied, consorting to engage in and carry out a single specific business venture for joint profit, for which purpose they combine their efforts, property, money, skill, or knowledge, but not on a continuing or permanent basis for conducting business generally. A joint venture is viewed as a business entity in determining power to control its management.

Market Research: For purposes of the SBIR/STTR programs, “market research” is defined as the systematic gathering, editing, recording, computing, and analyzing of data about problems related to the sale and distribution of the subject of the research project. It includes various types of research, such as the size of potential market and potential sales volume, the identification of consumers most apt to purchase the product(s), and the advertising media most likely to stimulate their purchases. However, “market research” does NOT include activities under a research plan or protocol that require a survey of the public as part of the objective of the project to determine the impact of the subject of the research on the behavior of individuals.

Other Significant Contributors: Individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (e.g., person months) to the projects. These individuals are typically presented at “zero percent” effort or “as needed.” Individuals with measurable effort may not be listed as Other Significant Contributors. Consultants should be included if they meet this definition.

Person Months: The metric for expressing the effort (amount of time) that PIs, faculty and other Senior/Key Personnel devote to a specific project. The effort is based on the type of appointment of the individual with an organization, e.g., calendar year (CY), academic year (AY), and/or summer term (SM); and the organization’s definition of such. The effort is expressed as a percentage of the total institutional appointment.

Postdoctoral Scholar: An individual who has received a doctoral degree (or equivalent) and is engaged in a temporary and defined period of mentored advanced training to enhance the professional skills and research independence needed to pursue his or her chosen career path.

Principal Investigator (PI): The individual designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award.

Program Income: Gross income earned by the applicant organization that is directly generated by a supported activity or earned as a result of the award.

Examples of program income include:

- Fees earned from services performed under the grant, such as those resulting from laboratory drug testing;
- Rental or usage fees, such as those earned from fees charged for use of computer equipment purchased with grant funds;
- Third party patient reimbursement for hospital or other medical services, such as insurance payments for patients when such reimbursement occurs because of the grant-supported activity;
- Funds generated by the sale of commodities, such as tissue cultures, cell lines, or research animals;
- Patent or copyright royalties (exempt from reporting requirements); and
- Registration fees generated from grant-supported conferences.

Prototype: A model of something that is to be further developed and includes designs, protocols, questionnaires, software, and devices.

Research or Research and Development (R/R&D): Any activity that is:

- A systematic, intensive study directed toward greater knowledge or understanding of the subject studied; or

- A systematic study directed specifically toward applying new knowledge to meet a recognized need; or
- A systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

Research Institution: A United States research organization that is:

- A nonprofit college or university or
- A nonprofit research institution, including nonprofit medical and surgical hospitals. (A “nonprofit institution” is defined as an organization that is owned and operated exclusively for scientific or educational purposes, no part of the net earnings of which inures to the benefit of any private shareholder or individual.) or
- A contractor-operated, Federally funded Research and Development Center (FFRDC), as identified by the National Science Foundation in accordance with the Government-wide Federal Acquisition Regulation issued in accordance with section 35(c)(1) of the Office of Federal Procurement Policy Act (or any successor legislation thereto).

(Laboratories staffed by Federal employees do not meet the definition of “research institution” for purposes of the STTR program.)

SBIR/STTR Technical Data: All data generated during the performance of an SBIR/STTR award.

SBIR/STTR Technical Data Rights: The rights a small business concern obtains in data generated during the performance of any SBIR/STTR Phase I, Phase II, or Phase III award that an awardee delivers to the Government during or upon completion of a Federally-funded project, and to which the Government receives a license.

Senior/Key Personnel: The PI *and other individuals* who contribute to the scientific development or execution of the project in a substantive, measurable way, whether or not salaries or compensation are requested under the grant.

Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level should be included if their involvement meets the definition of Senior/Key Personnel. Consultants and those with a postdoctoral role should also be included if they meet the definition of Senior/Key Personnel. Senior/Key Personnel must devote measurable effort to the project whether or not salaries or compensation are requested – “zero percent” effort or “as needed” are not acceptable levels for those designated as Senior/Key Personnel.

Socially and Economically Disadvantaged Individual: A member of any of the following groups: Black Americans; Hispanic Americans; Native Americans; Asian-Pacific Americans; Subcontinent Asian Americans; other groups designated from time to time by the Small Business Administration (SBA) to be socially disadvantaged; or any other individual found to be socially and economically disadvantaged by SBA pursuant to Section 8(a) of the Small Business Act, 15 U.S.C. 637(a).

Socially and Economically Disadvantaged Small Business

A socially and economically disadvantaged small business is one:

- a. that is at least 51% owned by (i) an Indian tribe or a native Hawaiian organization, or (ii) one or more socially and economically disadvantaged individuals; and,
- b. whose management and daily business operations are controlled by one or more socially and economically disadvantaged individuals. A socially and economically disadvantaged individual is defined as a member of any of the following groups: African Americans, Hispanic Americans,

Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, other groups designated from time to time by the Small Business Administration (SBA) to be socially disadvantaged, or any other individual found to be socially and economically disadvantaged by SBA pursuant to section 8(a) of the Small Business Act, 15 U.S.C. 637(a).

Summary Statement: The official agency record of the evaluation and recommendations made by peer review groups. It contains the essentially unedited, verbatim critiques of two or more individuals assigned to review the grant application.

United States: The 50 states, District of Columbia territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, , the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau. .

7. General Information

7.1 Government Use of Information under Privacy Act

The Privacy Act of 1974 (5 U.S.C. 552a) is a records management statute and regulates the collection, maintenance, use, and dissemination of personal information by Federal agencies. In accordance with the Act, the DOE is required to provide the following notification to each individual whom it asks to supply information.

The DOE maintains applications and grant records pursuant to its statutory authority for awarding grants. The purpose of the information collection is to aid in the review, award, and administration of DOE programs. Provision of information is voluntary; however, a lack of sufficient information may hinder the ability of the DOE to review applications, monitor grantee performance, or perform overall management of grant programs. Please be aware that no individual will be denied any right, benefit, or privilege provided by law because of refusal to disclose this section of the Social Security Number. All analyses conducted on the date of birth, gender, race, and/or ethnic origin data will report aggregate statistical findings only and will not identify individuals. If you decline to provide this information, it will in no way affect consideration of your application.

The Privacy Act authorizes discretionary disclosure of this information within the DOE and outside the agency to the public, as required by the Freedom of Information Act and the associated DOE regulations (10 CFR 1004), including the Congress acting within its legislative authority, the National Archives, the General Accounting Office, the Bureau of Census, law enforcement agencies, and pursuant to a court order. Information also may be disclosed outside the Department, if necessary, for the following purposes:

1. To a Congressional office at the request of the record subject;
2. To the Department of Justice as required for litigation;
3. To the cognizant audit agency for auditing;
4. To qualified experts not within the definition of Department employees as prescribed in Department Regulations for opinions as part of the application review/award process;
5. For an authorized research purpose under specified conditions;
6. To contractors for the purpose of processing, maintaining, and refining records in the system. Contractors will be required to maintain Privacy Act safeguards with respect to such records;

7. To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the records are relevant and necessary to the requesting agency's decision on the matter; and
8. To the applicant organization in connection with the review of an application or performance or administration under the terms and conditions of the award, or in connection with problems that might arise in performance or administration if an award is made.

7.2 Information Available to the General Public

The DOE makes information about awarded grants available to the public, including the title of the project, the grantee institution, the PI, and the amount of the award. The Project Summary/Abstract of a funded research grant application is sent to members of Congress and the States Governors. DOE also routinely places information about awarded grants, including project title, name of the PI, and project description (abstract) on the DOE SBIR/STTR web site at www.science.doe.gov/sbir.

Freedom of Information Act Requirements

The Freedom of Information Act and implementing DOE regulations (10 CFR Part 100) require the release of certain information about grants upon request, regardless of the intended use of the information. Generally not available for release to the public are: grant progress reports, prospective awardee applications for which awards have not been made; evaluative portions of site visit reports; and summary statements of findings and recommendations of review groups. Trade secrets and commercial, financial, or otherwise proprietary information may be withheld from disclosure. Information, which, if disclosed, would be a clearly unwarranted invasion of personal privacy, may also be withheld from disclosure. Although the PI and/or SBC will be consulted about any such release, the DOE will make the final determination. If a requested document contains both disclosable and nondisclosable information, the nondisclosable information will be redacted and the balance of the document will be released.

7.3 Acknowledgement

A special thanks to the NIH for developing the *Application Guide SF424 (R&R)*: a guide developed and maintained by NIH for preparing and submitting applications via Grants.gov.