



# ***DOE SBIR/STTR Programs Update***

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# Topics

- Section 301 Impact
- FY 2019 changes
  - Award size
  - Technical and Business Assistance
  - Third Phase II awards
  - Phase 0 Application Assistance Program



# DOE Appropriations Law, Section 301(d-g)

- Section 301 (d-g) of DOE appropriations law directs the Department to adhere to Congressional control points
  - In FY 2018, a determination was made of the Office of General Counsel that the SBIR/STTR programs must also adhere to these control points subsequent to funds transfer from DOE Program Offices to the SBIR/STTR Programs Office
- Implications for SBIR/STTR Award Process
  - The smaller funding levels resulting from Congressional control points complicates the administration of the SBIR/STTR programs
  - DOE failed to meet its annual obligation requirements for both the SBIR and STTR programs in FY 2018
  - Changes are being made to our operating procedures in FY 2019 to address the problem and bring us back into compliance



# DOE Appropriations Law, Section 301 (d-g)

- (d) Except as provided in subsections (e), (f), and (g), the amounts made available by this title shall be expended as authorized by law for the programs, projects, and activities specified in the “Final Bill” column in the “Department of Energy” table included under the heading “Title III—Department of Energy” in the explanatory statement described in section 4 (in the matter preceding division A of this consolidated Act).
- (e) The amounts made available by this title may be reprogrammed for any program, project, or activity, and the Department shall notify the Committees on Appropriations of both Houses of Congress at least 30 days prior to the use of any proposed reprogramming that would cause any program, project, or activity funding level to increase or decrease by more than \$5,000,000 or 10 percent, whichever is less, during the time period covered by this Act.
- (f) None of the funds provided in this title shall be available for obligation or expenditure through a reprogramming of funds that— (1) creates, initiates, or eliminates a program, project, or activity; (2) increases funds or personnel for any program, project, or activity for which funds are denied or restricted by this Act; or (3) reduces funds that are directed to be used for a specific program, project, or activity by this Act.
- (g)(1) The Secretary of Energy may waive any requirement or restriction in this section that applies to the use of funds made available for the Department of Energy if compliance with such requirement or restriction would pose a substantial risk to human health, the environment, welfare, or national security.



# FY 2018 Funding By R&D Programs

R&D Program	SBIR Allocation	STTR Allocation
SC		
ASCR	\$19,040,000	\$2,678,000
BES	\$53,652,000	\$7,545,000
BER	\$21,393,000	\$3,007,000
FES	\$11,598,000	\$1,631,000
HEP	\$21,365,000	\$3,004,000
NP	\$16,875,000	\$2,373,000
Non-SC		
NE	\$20,600,000	\$2,873,502
OE	\$5,040,864	\$708,872
EE	\$50,991,599	\$7,170,348
EM	\$1,120,000	\$157,500
NN	\$8,545,804	\$1,201,753
FE	\$14,875,460	\$2,091,862

< \$1.5M



# FY 2018 Funding by Congressional Control Lines

Congressional Control Line	SBIR	STTR
SC		
ASCR	\$19,040,000.00	\$2,678,000.00
BES	\$53,652,000.00	\$7,545,000.00
BER	\$21,393,000.00	\$3,007,000.00
FES	\$11,598,000.00	\$1,631,000.00
HEP	\$21,365,000.00	\$3,004,000.00
NP	\$16,875,000.00	\$2,373,000.00
Non-SC		
NE: STEP R&D	\$160,000.00	\$22,500.00
NE: Nuclear Energy Enabling Tech.	\$5,254,208.00	\$715,500.00
NE: Reactor Concepts RD&D	\$7,584,000.00	\$1,066,500.00
NE: Fuel Cycle R&D	\$7,601,792.00	\$1,069,002.00
OE: Clean Energy Transmission & Rel.	\$1,230,400.00	\$173,025.00
OE: Smart Grid Research & Development	\$1,127,904.00	\$158,612.00
OE: Cyber Security for Energy Del. Sys.	\$1,369,600.00	\$192,600.00
OE: Energy Storage	\$1,088,960.00	\$153,135.00
OE: Transformer Resilience & Adv. Comp.	\$224,000.00	\$31,500.00

Congressional Control Line	SBIR	STTR
EERE: Vehicle technologies	\$9,918,891.00	\$1,604,159.00
EERE: Bioenergy technologies	\$7,589,440.00	\$496,952.00
EERE: Hydrogen and fuel cell technologies	\$3,680,000.00	\$517,500.00
EERE: Solar energy	\$7,850,709.00	\$894,691.00
EERE: Wind energy	\$2,843,403.00	\$362,940.00
EERE: Water power	\$3,227,725.00	\$300,000.00
EERE: Geothermal technologies	\$2,634,403.00	\$318,666.00
EERE: Advanced manufacturing	\$8,148,852.00	\$1,844,848.00
EERE: Building technologies	\$5,098,176.00	\$830,592.00
EM	\$1,120,000.00	\$157,500.00
NN	\$8,545,804.00	\$1,201,753.00
FE: Unconventional Fossil Energy Technologies	\$1,203,840.00	\$169,290.00
FE: Advanced Energy Systems	\$3,370,752.00	\$474,012.00
FE: Carbon Capture	\$3,029,795.00	\$426,065.00
FE: Carbon Storage	\$2,952,297.00	\$415,167.00
FE: STEP Supercritical CO2	\$722,304.00	\$101,574.00
FE: Cross Cutting Research	\$1,640,232.00	\$230,657.00
FE: NETL Coal R&D	\$451,440.00	\$63,484.00
FE: Natural Gas	\$1,504,800.00	\$211,613.00

< \$1.5M



U.S. DEPARTMENT OF  
**ENERGY**

SBIR/STTR Programs  
Office

# Changes to Award Size

- In FY 2018, SBA issued updated guideline award amounts (adjusted for inflation)
- Previous Award levels
  - Phase I/II
    - \$150,000/\$1,000,000 or \$225,000/\$1,500,000 (varies by topic)
  - Sequential Phase II: \$1,000,000
- New Award Levels (beginning with FY 2019 Phase I Release 2)
  - Phase I/II
    - \$200,000/\$1,100,000 or \$200,000/\$1,600,000 (varies by topic)
  - Second and Third Phase II: \$1,100,000



# Changes to Technical and Business Assistance

- FY 2019 NDAA provided for increases to technical and business assistance
- Previous maximum levels
  - Phase I: \$5,000
  - Phase II: \$5,000/year
- New maximum levels
  - Phase I: \$6,500 (implemented in FY 2019)
  - Phase II: \$50,000/project (currently under review; plan to implement change in FY 2019)



# Third Phase II Award

- New mandated SBIR pilot program (FY 2019 NDAA): Commercialization Assistance Pilot Program
  - Must be implemented within one year of becoming law
  - Must terminate by September 30, 2022.
- Agencies must solicit small businesses that have received SBIR Phase II and sequential SBIR Phase II awards to receive a third Phase II award
- This third Phase II award requires matching funds (1:1 minimum)
- Review criteria will be updated to reflect the statutory requirements
- No more than 5% of the SBIR program funds can be awarded
- DOE will include this in its FY 2019 Phase II Release 2 Funding Opportunity Announcement



# Phase 0 Application Assistance Program

- Program had lapsed with the end of the Administrative Funding Pilot Program in FY 2017
  - FY 2019 NDAA extended the pilot program through FY 2022
- Restarting Phase 0 program with FY 2019 Phase I Release 2 FOA
  - Expanding eligibility to include all DOE SBIR/STTR first time applicants (previously limited to under-represented groups)

