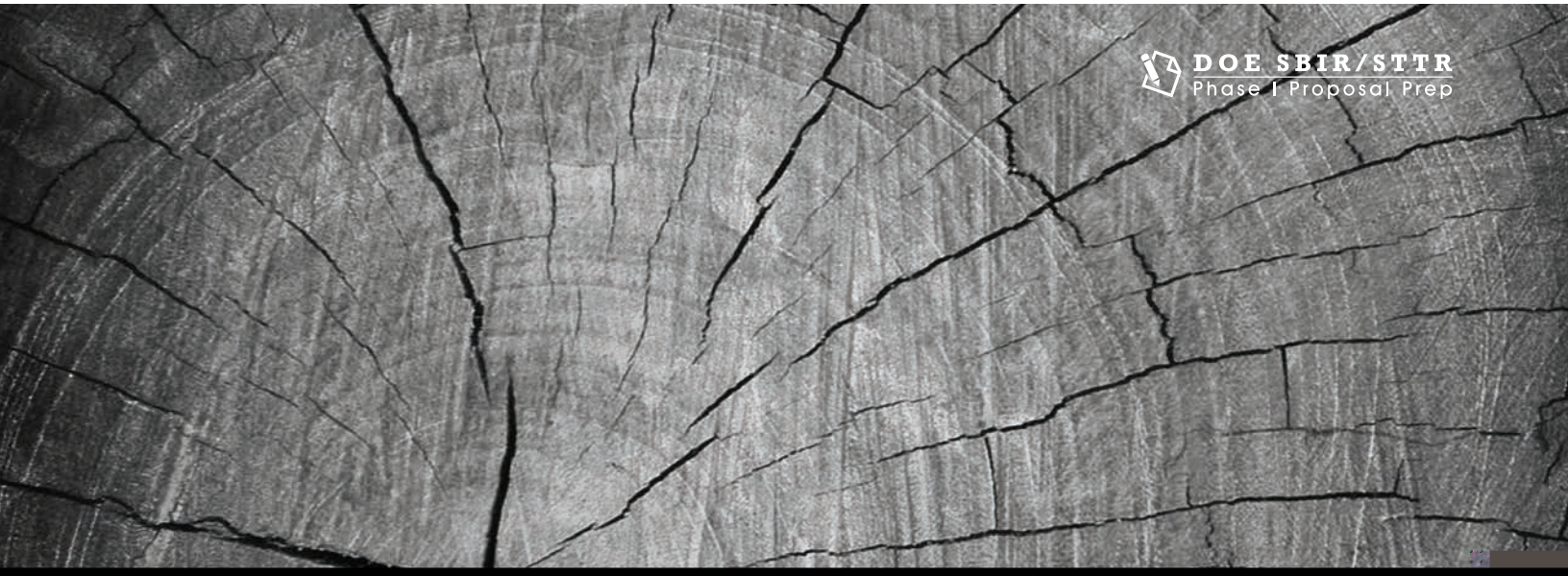

TUTORIAL #9

Proposal Preparation Checklist

SUMMARY OF REQUIRED FORMS AND FILES

The Department of Energy (DOE) provides considerable information to help its applicants – one of which is referred to as the *SBIR/STTR Phase I Application Checklist*. In addition, there is always a *Summary of Required Forms and Files* in the Funding Opportunity Announcement (FOA) itself. It is recommended that you start with the FOA in order to understand the structure of the Phase I proposal submission package. Once you download the appropriate FOA, search for "Checklist". Your search will bring you to the page where the *Summary of Required Forms and Files* can be found. The following is an example used for discussion, but please always search for the one in the current FOA.

Table 1: Example – Summary of Required Forms and Files

Summary of Required Forms and Files
Your Application must include the following documents:

Name of Document	Format	Attach to
Application for Federal Assistance, SF 424 Form	PDF	
SF-LLL, Disclosure of Lobbying Activities, if applicable	PDF	Field 18
Research & Related: Budget Form	PDF	
Additional Senior Key Persons, if applicable	PDF	Field A.9
Additional Equipment, if applicable	PDF	Field C.11
Budget Justification	PDF	Field K

Name of Document	Format	Attach to
Research & Related: Senior/Key Person Profile Form	PDF	
Biographical Sketch for each person	PDF	Appropriate Block
Current & Pending Support for each person, if applicable	PDF	Appropriate Block
Research & Related: Other Project Information Form	PDF	
Project Summary/Abstract	PDF	Field 7
Project Narrative	PDF	Field 8
Bibliography & References Cited, if applicable	PDF	Include in Project Narrative
Facilities & Other Resources, if applicable	PDF	Include in Project Narrative
Equipment, if applicable	PDF	Include in Project Narrative
Other—Data Management Plan	PDF	Field 12
Other—Level of Effort Worksheet	PDF	Field 12
Other—Letter of Commitment for consultant, sub-award, or research institution, if applicable	PDF	Field 12
Other—Letters of Support, if applicable	PDF	Field 12
Other—SBA Company Registration	PDF	Field 12
Authorization for non-DOE/NNSA FFRDCs, if applicable	PDF	Field 12
Authorization for DOE/NNSA FFRDCs, if applicable & if available	PDF	Field 12
Research & Related: Sub-award Budget Form, if applicable	PDF	
Budget Justification for each Sub-award	PDF	Appropriate Block
Project/Performance Site Location(s) Form	PDF	
SBIR/STTR Information Form	PDF	
Phase I Commercialization Plan	PDF	Field 7
Commercialization History, if applicable	PDF	Field 8

The first time an applicant looks at this list they often feel overwhelmed. However, please keep in mind that when you submit an SBIR or STTR proposal to the DOE, you are submitting a package and different parts of the package are merely uploaded into different sections of the grants.gov website.

DOWNLOADING INSTRUCTIONS TO COMPLETE THE GRANT APPLICATION

You are probably beginning to ask yourself now – uploaded? Where does this information get uploaded? What are the fields that are being referenced? To find answers to these questions, follow the link below to the Applicant and Awardee Resources and download the document entitled "Instructions for Completing a DOE SBIR/STTR Phase I Grant Application". This document will guide you through the steps involved with using the Grant Application Package submission process through grants.gov. The process for registering with grants.gov is also demonstrated in a demo for Tutorial 12.

https://science.osti.gov/sbir/Applicant-Resources/Grant-Application

Table 2: Example – Application Checklist

DOE Phase I Application Checklist

Does the Application Satisfy the Following Requirements?		Yes	No
Registrations	SAM Registered		
	PAMS Registered		
	Grants.gov Registered		
Topic & Subtopic	Only one (1) Topic from the Topics Section identified on the SF-424 and Project Narrative		
	Only one (1) Subtopic from the Topics Section identified on the SF-424 and Project Narrative		
Budget	Principal Investigator will work a minimum of 117 hours (equivalent to three (3) hours a week for the duration of the project) on the project. PI hours and rates are clearly indicated in the budget justification		
	Amount requested not in excess of $200,000 (or $250,000; check Phase I Topic document header for funding limit); the total of Section I (Total Direct and Indirect Cost) and Section J (Fee) on Grants.gov budget form should not exceed $200,000 (or $250,000; check Phase I Topic document header for funding limit)		
	Budget justification is provided		
	Level-of-Effort is in compliance (see Level-of-Effort worksheet on DOE SBIR web page)		
	» For SBIR - small business must perform at least ⅔ of the research and analytical effort		
	» For STTR - small business must perform at least 40% and research institution must perform at least 30%		
Project Summary/ Abstract	Project Summary/Abstract contains no proprietary information		

IMPORTANT PHONE NUMBERS & E-MAILS

An important set of phone numbers and e-mail addresses that you should always have handy is provided below.

Grants.gov Help Desk
800-518-4726
support@grants.gov
for questions related to the grants.gov electronic submission process required for a DOE SBIR or STTR proposal

DOE SBIR/STTR Help Desk
301-903-5707
sbir-sttr@science.doe.gov
for questions about the content or format of your DOE SBIR/STTR proposal

DOE SBIR/STTR Program Office
301-903-5707
sbir-sttr@science.doe.gov
for questions about general parameters of the DOE SBIR/STTR programs

Does the Application Satisfy the Following Requirements?		Yes	No
Project Narrative	Project Narrative is no more than 7,500 words as directed in Part IV.C. of the FOA		
	Proprietary information statement is provided. Proprietary information in the narrative is identified and marked according to Part IV.C.		
Subcontractors and Consultants	Subcontracting documentation, if working with any subcontractors:		
	» A letter of commitment is provided;		
	» A complete subaward budget and budget justification are provided		
	Consultant commitment letter is provided, if applicable		
Commercialization Documents	Commercialization Plan is included along with mandatory Revenue statement		
	Commercialization History is included, if applicable		

DOWNLOADING THE APPLICATION CHECKLIST

Before you leave this tutorial, be sure to also download the Application Checklist, which you will also find in the middle of the referenced link. Put the checklist near your computer – so that you always have it available as a quick reference while you are working on your proposal submission package.

If you look at the column on the left hand side – you see that what you are really preparing and submitting as part of the Proposal Application Process are six easily understood components: (1) The SF-424 form; (2) The Budget; (3) The Project Summary/Abstract; (4) The Project Narrative; (5) Subcontractors and Consultants; and, (6) Commercialization Documents. This checklist provides a very useful summary of limits of which you should be mindful. For example, how many words can go in the project narrative, how many pages?

INSTRUCTIONS ON HOW TO SUBMIT AN APPLICATION

Another useful document, and perhaps the most useful as you begin to approach the actual proposal submission deadline, is the document entitled "Instructions for Completing a DOE SBIR/STTR Phase I Grant Application." This document contains complete instructions on how to submit an application through grants.gov and contains many screenshots that demonstrate the steps in the submission process. If you ever find inconsistencies in the field names mentioned in the various documents, always defer to the FOA and always call the help desk at DOE to let them know of the inconsistency.