



DOE SBIR/STTR Programs Update

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Office of Nuclear Physics SBIR/STTR Exchange Meeting

August 9, 2017

FY 2017 Challenges

- The new Administration implemented an additional review for Financial Assistance awards and for contracts
 - Delayed DOE’s planned announcement of SBIR/STTR Awards

Funding Opportunity Announcement	Planned Award Announcement	Actual Award Announcement
Phase I Release 1	January 9, 2017	January 9, 2017
Phase II Release 1	February 27, 2017	May 24, 2017
Phase I Release 2	May 1, 2017	June 20, 2017
Phase II Release 2	June 19, 2017	June 20, 2017

- Delayed DOE award of a new contract for DOE’s Commercialization Assistance Program from April to July

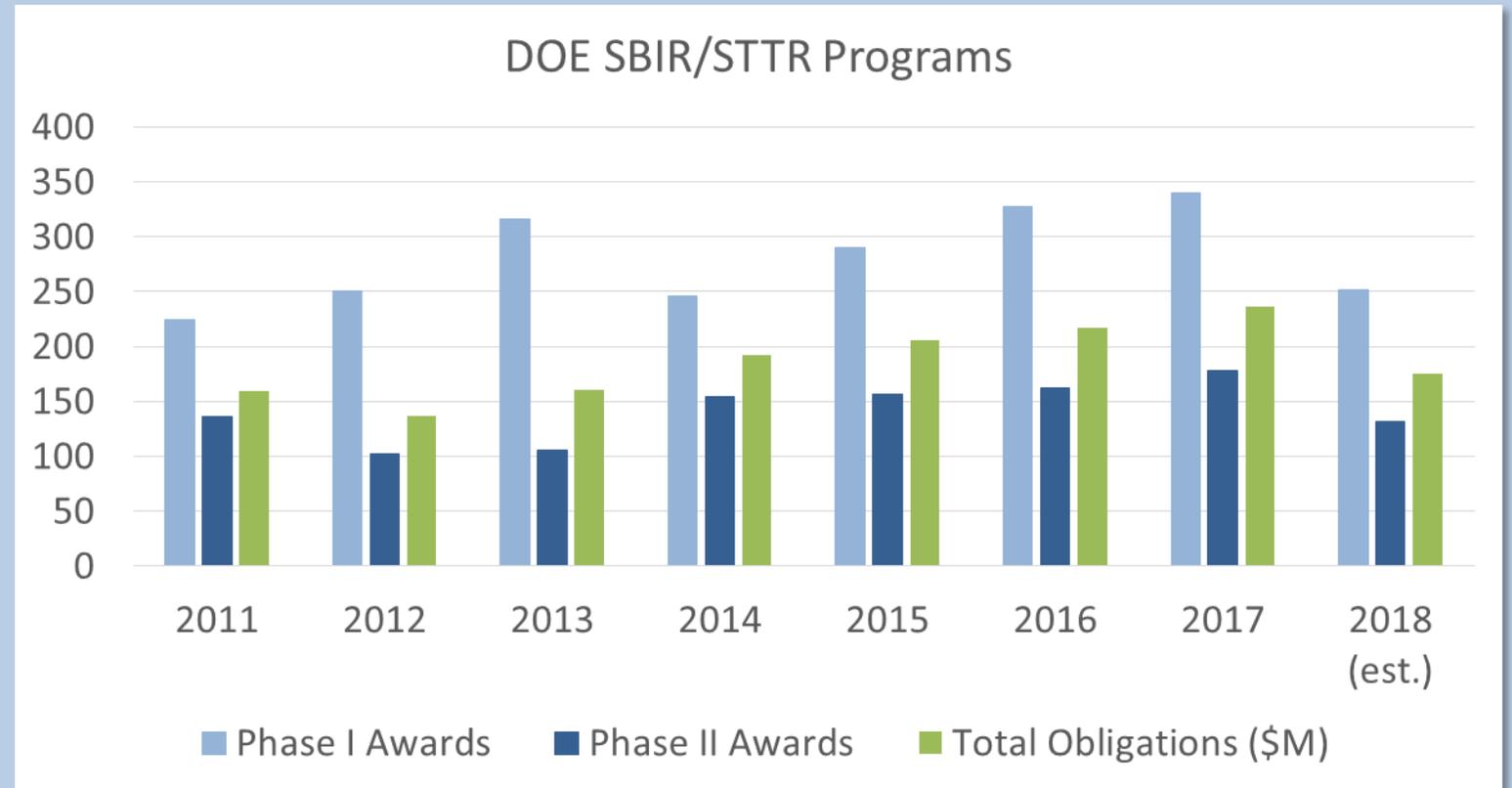
FY 2018

- The new review process for Funding Opportunity Announcements will be updated for FY 2018, but has not been finalized yet
 - Phase I Release 1 Funding Opportunity Announcement is scheduled to post on Monday, August 14, 2017



DOE SBIR/STTR Funding Levels for FY 2018

- The DOE SBIR/STTR programs have experienced significant growth since the 2012 Reauthorization
- The President's budget request projects a reduction of approximately 25% for the SBIR/STTR programs in FY 2018.



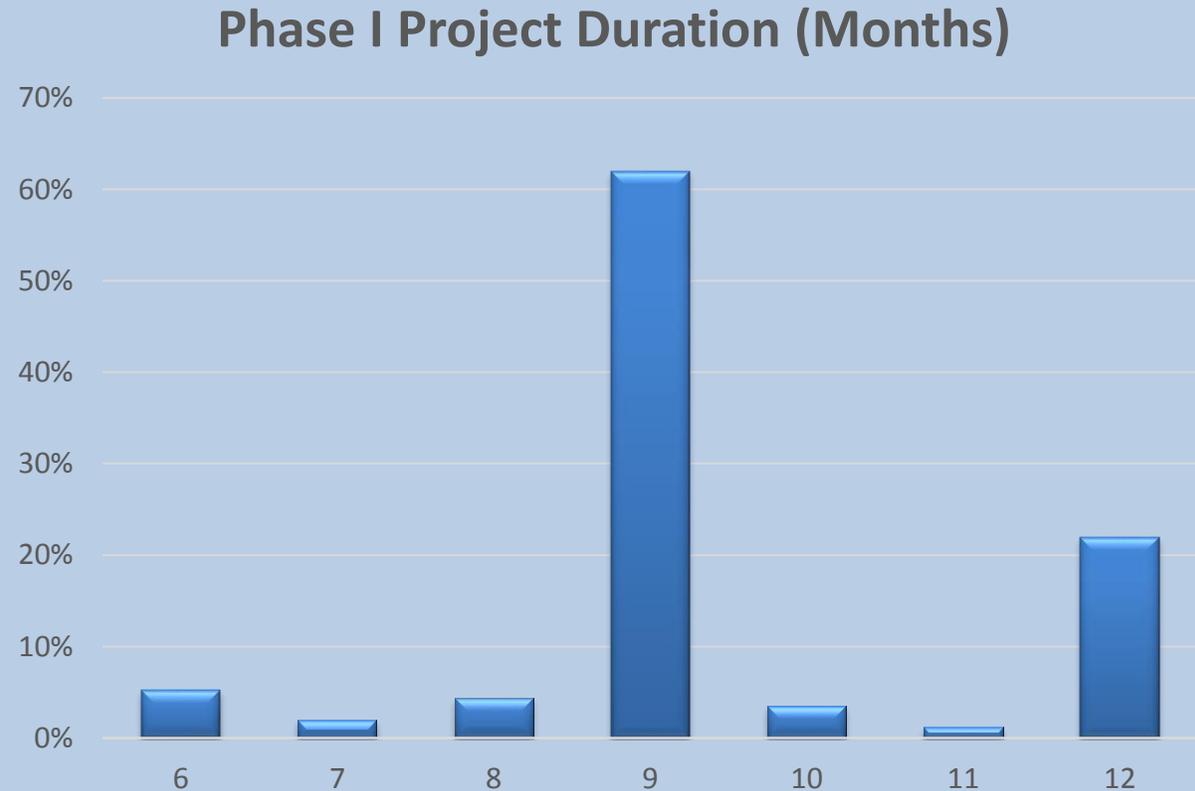
Legislative Update

- Authorization
 - The National Defense Authorization Act of FY 2017 passed in December 2016 extended the authorization of the SBIR/STTR programs from September 30, 2017 to September 30, 2022
 - No other provisions to improve the SBIR/STTR programs were included
- Allocation levels
 - The SBIR/STTR programs receive a percentage of an agency's extramural R&D budget
 - The allocations levels were increased by the last Reauthorization in 2012
 - SBIR: 2.5% in FY 2011 to 3.2% in FY 2017
 - STTR: 0.3% in FY 2011 to 0.45% in FY 2017
 - The allocations levels will remain at their FY 2017 levels through FY 2022



Recent Changes to the DOE SBIR/STTR Programs

- Reducing the Phase I-II Funding Gap
 - Eliminated Fast-Track (combined Phase I/II) grants in FY 2017
 - Increased maximum Phase I project period from 9 to 12 months
 - Phase II applications due after 9.5 months



Recent Changes to the DOE SBIR/STTR Programs

- Collaborative Research Topics
 - Multiple companies collaborate on a single SBIR/STTR project
 - Enables DOE to address technical challenges that require broad expertise
 - Each company submits the same collaborative proposal, but with a budget that reflects its share of the R&D
 - Collaborating companies must have an IP agreement in place prior to award
 - Example: FY 2017 Phase I Release 1
 - 4. COLLABORATIVE DEVELOPMENT PROJECTS (ASCR)
- Multi-program Topics
 - Multiple DOE programs issue a joint topic
 - Example: FY 2018 Phase I Release 1
 - 1. BIGDATA TECHNOLOGIES FOR SCIENCE, ENGINEERING, AND MANUFACTURING (ASCR, BES, BER)



Recent Changes to the DOE SBIR/STTR Programs

- Phase I Principal Investigator Meeting
 - Objectives
 - Face to face meetings between PI and (1) DOE Program Manager and (2) Commercialization Vendor
 - Networking with other small businesses
 - Presentations by DOE (Phase II, contracting, IP) and Other Areas of Interest (Success Stories, Investing, Partnering)
 - Phase I Release 1 Meeting, June 22-23, 2017
 - Phase I Release 2 Meeting, October 24-25, 2017

SBIR-STTR Phase I PI Meeting
Hilton Washington DC/Rockville
June 22-23, 2017

[Home](#) [Agenda](#) [Registration](#) [Lodging](#) [Contacts](#) [CA Vendors](#)

We are happy to announce the first DOE SBIR/STTR Phase I Release 1 PI Meeting to be held at the Hilton Washington DC/Rockville on June 22-23, 2017!

The Phase I PI meeting is a unique opportunity for the small businesses that have been awarded a Phase I grant from DOE SBIR/STTR to:

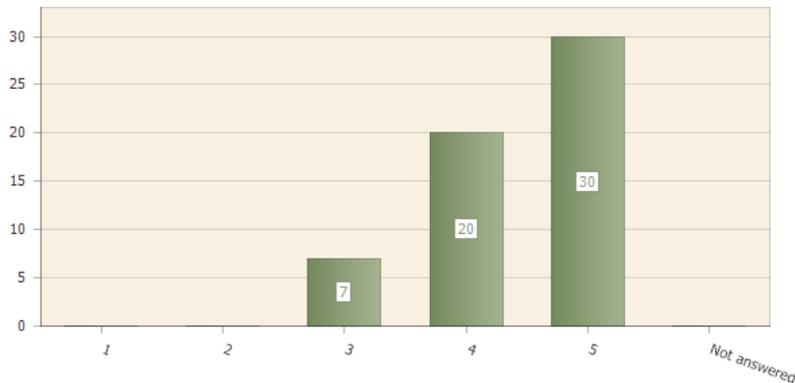
- Meet with your DOE Program Manager and provide a progress report on your Phase I R&D.
- Meet with your DOE Commercialization Vendor.
- Learn about requirements of the DOE Phase II program and grantee responsibilities (intellectual property, reporting).
- Learn about commercialization from past SBIR/STTR awardees, investors, and partners.
- Network with other small businesses.

All FY 2017 Phase I Release 1 PIs are expected to attend the meeting. If a PI is unable to attend, he or she should notify their DOE Program Manager (with a copy to SBIR-STTR@science.doe.gov) to discuss options.

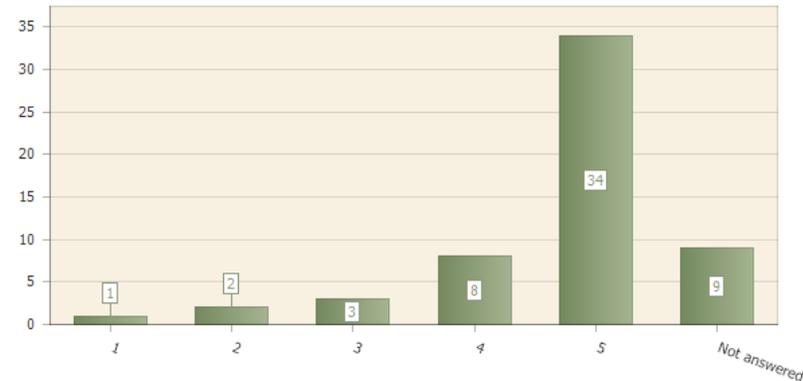
PI Meeting Feedback: Principal Investigators

- Principal Investigators found the agenda and the program manager meetings very useful and would recommend that DOE continue to hold these meetings

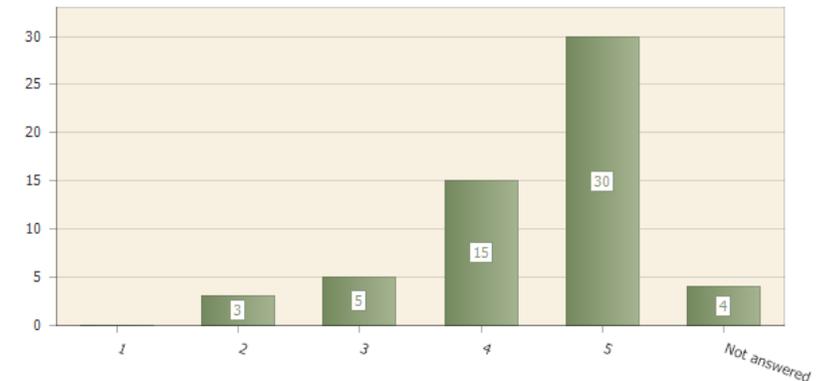
The presentations in the common session were informative and useful



Having a face to face meeting with my DOE program manager was beneficial



I would recommend that DOE continue to hold SBIR/STTR Phase I Principal Investigator Meetings



1=strongly disagree ←→ 5=strongly agree

National Academies Assessment

- Report issued in December 2016
 - Electronic copy available free online: <https://www.nap.edu/catalog/23406/sbirsttr-at-the-department-of-energy>
- 21 recommendations were made in five areas
 - I. Improving Monitoring, Evaluation, and Assessment
 - II. Addressing Underserved Populations
 - III. Improving Commercialization Outcomes
 - IV. Improving Linkages to National Laboratories
 - V. Improving Program Management
- We are working to address these recommendations



QUESTIONS?



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