

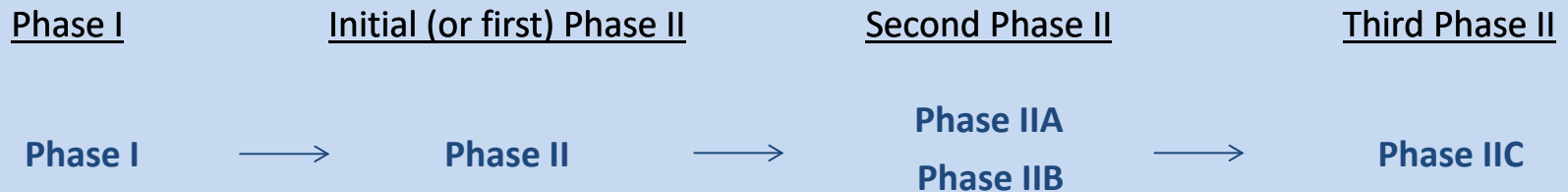


DOE Phase II Webinar: Phase IIA, IIB, and IIC Awards

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Outreach Manager
Office of DOE SBIR/STTR Programs*

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Terminology



- Awards
 - “Phase II” denotes an initial or first Phase II award
 - “Phase IIA” and “Phase IIB” denote a second Phase II award (referred to as “sequential” in statute)
 - “Phase IIC” denotes a third Phase II award (referred to as “subsequent” in statute)
- Funding Opportunity Announcement (FOA)
 - Initial (or first), second and third Phase II applications are submitted through our “Phase II” FOAs

Phase IIA, Phase IIB

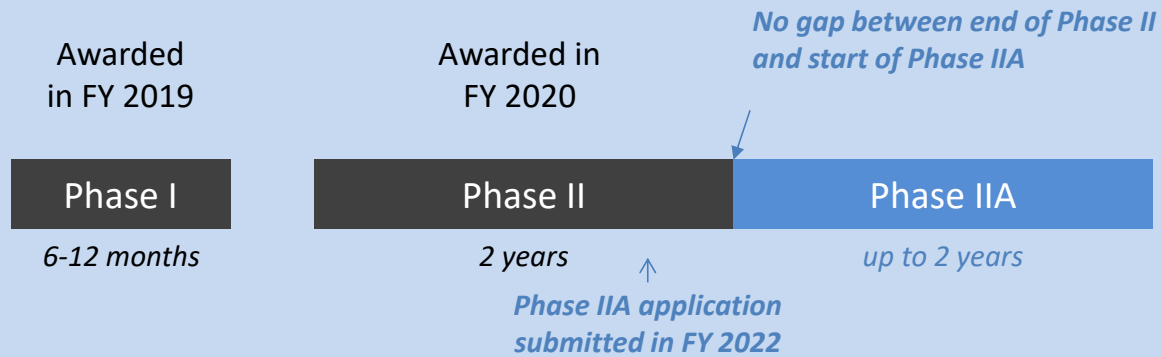
SECOND PHASE II AWARDS

Motivation: Phase IIA

- Some Phase II projects are unable to be completed within two years and require more time and funding
 - DOE program managers select the topics/subtopics for which Phase IIA applications will be accepted.
 - Only a limited number of topics/subtopics will accept Phase IIA applications
- Historically, such projects required small businesses to complete two or more Phase I/II cycles to complete their R&D
- Phase IIA awards will start immediately upon completion of the initial Phase II award

Note: Projects that require additional time, but no additional funding can request No Cost Extensions to their initial Phase II project

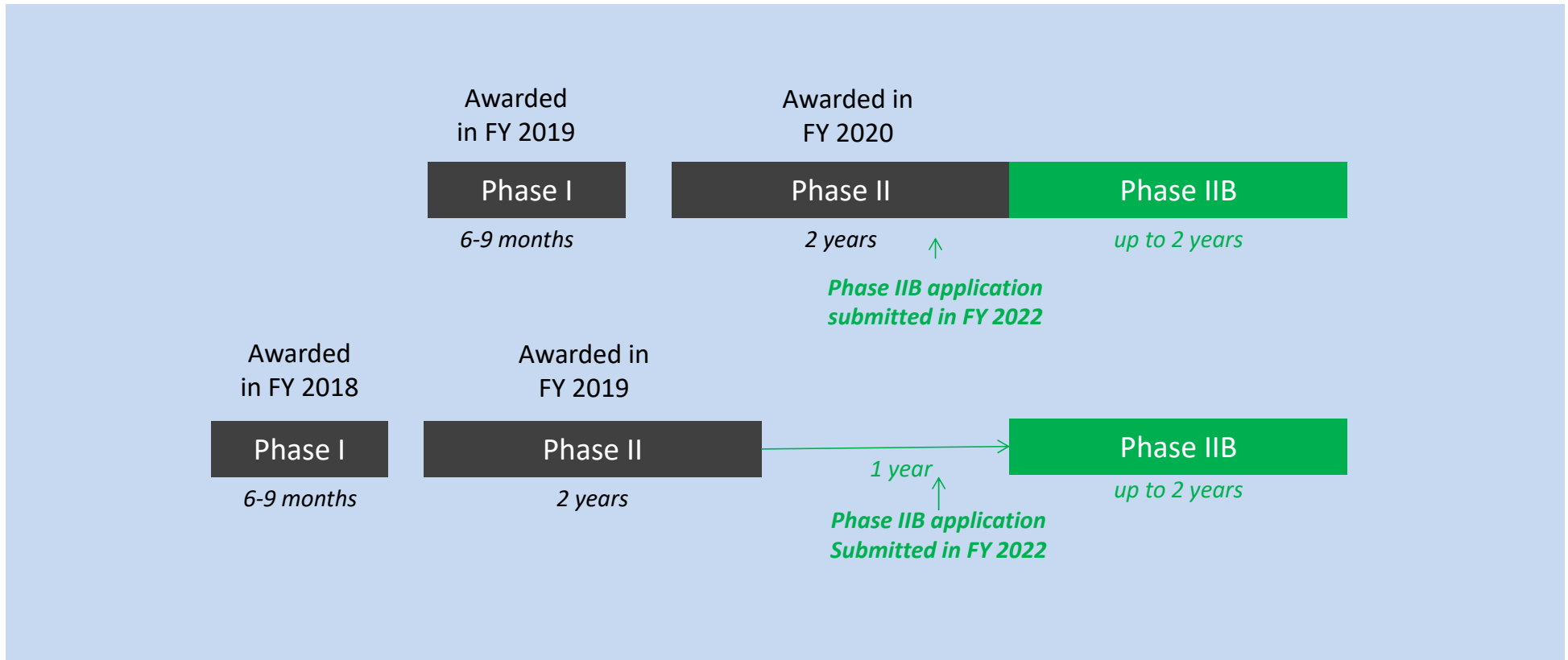
Phase IIA Timeline



Motivation: Phase IIB

- After successfully completing an initial Phase II R&D, some projects may require R&D funding to transition an innovation towards commercialization
- DOE is utilizing Phase IIB to increase the number of positive commercialization outcomes resulting from Phase II awards
- Phase IIB awards will start immediately after completing an initial Phase II or 1 year later

Phase IIB Timeline: Two Options



Funding for Phase IIA & IIB Awards

- Maximum Award Amount and Duration
 - \$1,100,000 up to 2 years
 - Award amounts and duration require justification
- Available Funding
 - Is there separate funding for Phase IIA & IIB awards?
 - NO, second Phase II award funding is obtained from DOE SBIR & STTR allocations used to make Phase I and initial Phase II awards
- Number of Awards
 - There is no target number of awards for Phase IIA or Phase IIB
 - The number will depend on the number and quality of applications received under the FOA

FY 2022 Phase II Release 1 FOA, DE-FOA-0002571

Phase IIA

- Eligibility Criteria

- DOE program managers have selected which topics and subtopics that received Phase II awards in FY 2020 that are eligible to apply
- Eligible Phase II grantees or Fast-Track grantees must complete their Phase II grants (including No Cost Extensions) to be eligible to receive a Phase IIA grant

Eligible FY 2020 Phase II FOA	Eligible Topic(s)	DOE SBIR/STTR Funding Program
DE-FOA-0002155 (refer to DE-FOA-0001940)	1a, 2b, 3a, 3b, 4a, 5a, 6a, 6b, 7b	Advanced Scientific Computing Research
DE-FOA-0002155 (refer to DE-FOA-0001940)	8a, 9a, 9b, 12a, 13a, 14a, 15c, 15d, 16a, 17a, 17b, 18a, 19a, 19b, 19c, 20a, 20e, 21b, 22a, 22c, 22d, 23b	Basic Energy Sciences
DE-FOA-0002155 (refer to DE-FOA-0001940)	24a, 24c, 25b, 26a, 27a	Biological and Environmental Research
DE-FOA-0002155 (refer to DE-FOA-0001940)	28b, 29b, 29d, 30a, 30c, 30e, 30f, 31d, 32b	Nuclear Physics

DE-FOA-0002155 = FY 2020 SBIR/STTR Phase II Release 1 FOA

FY 2022 Phase II Release 1 FOA, DE-FOA-0002571

Phase IIA

- Review Criteria
 - The review criteria for Phase IIA is largely identical to that for initial Phase II with the following difference:
 - Phase IIA: Phase I & II project performance is reviewed
 - Initial Phase II: Only Phase I project performance is reviewed

FY 2022 Phase II Release 1, DE-FOA-0002571
Phase IIB

- Eligibility Criteria

- Only grantees from the following **FY 2019 and FY 2020** SBIR/STTR Phase II FOAs **AND** topics may apply for Phase IIB awards

Eligible FY 2019 Phase II FOA	Eligible Topic(s)	DOE SBIR/STTR Funding Program
DE-FOA-0001975 (refer to DOE-FOA-0001770)	1a, 1c, 1d, 1e, 2a, 3a, 3b, 4a, 6b	Advanced Scientific Computing Research
DE-FOA-0001975 (refer to DOE-FOA-0001770)	8a, 9a, 9b, 10a, 11a, 12a, 12b, 13a, 13d, 14b, 15a, 16b, 17a, 17b, 17c, 17d, 17f, 19b, 19c, 19d, 19e, 20a, 20b	Basic Energy Sciences
DE-FOA-0001975 (refer to DOE-FOA-0001770)	22a, 22b, 23a, 23b	Biological and Environmental Research
DE-FOA-0001975 (refer to DOE-FOA-0001770)	27a, 27b, 28a, 28b, 29e, 29i, 30f, 31b	Nuclear Physics

DE-FOA-0001975 = FY 2019 SBIR/STTR Phase II Release 1 FOA

FY 2022 Phase II Release 1 FOA, DE-FOA-0002571
Phase IIB

Eligible FY 2020 Phase II FOA	Eligible Topic(s)	DOE SBIR/STTR Funding Program
DE-FOA-0002155 (refer to DOE-FOA-0001940)	1a, 2b, 3a, 3b, 4a, 5a, 6a, 6b, 7b	Advanced Scientific Computing Research
DE-FOA-0002155 (refer to DOE-FOA-0001940)	8a, 9a, 9b, 12a, 13a, 14a, 15c, 15d, 16a, 17a, 17b, 18a, 19a, 19b, 19c, 20a, 20e, 21b, 22a, 22c, 22d, 23b	Basic Energy Sciences
DE-FOA-0002155 (refer to DOE-FOA-0001940)	24a, 24c, 25b, 26a, 27a	Biological and Environmental Research
DE-FOA-0002155 (refer to DOE-FOA-0001940)	28b, 29b, 29d, 30a, 30c, 30e, 30f, 31d, 32b	Nuclear Physics

DE-FOA-0002155 = FY 2020 SBIR/STTR Phase II Release 1 FOA

FY 2022 Phase II Release 1 FOA, DE-FOA-0002571

Phase IIB

- Review Criteria

- The weighting of the review criteria for Phase IIB reflects the greater importance placed on **Impact**:

Award	Strength of the Scientific/Technical Approach	Ability to Carry Out the Project in a Cost Effective Manner	Impact
Phase II, Phase IIA	1/3	1/3	1/3
Phase IIB	1/4	1/4	1/2

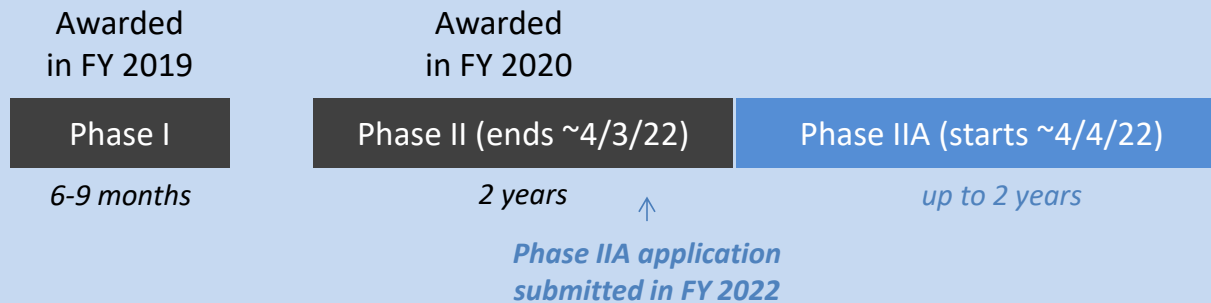
- Applicants are strongly encouraged to include **Phase II Funding Commitments** and **Phase III Follow-on Funding Commitments** in their applications
 - These will receive significant emphasis in the evaluation of **Impact**

Letter of Intent (LOI) Requirement

- **Second** All Phase II applicants are required to submit a LOI through PAMS
 - LOI Deadline: Tuesday, November 9, 2021 by 5:00 pm ET
 - Application Deadline: Tuesday, December 7, 2021 by 11:59pm ET
 - Content:
 - Business Official name and contact information (telephone number and email address)
 - Name(s) of any proposed subcontractor(s) or consultant(s), if any
 - DOE Phase II Award Number DE-SC000XXXX
 - Type of Second Phase II submission: Phase IIA or Phase IIB
 - Second Phase II Project Title (same as your Initial Phase II project title)
 - Phase I topic and subtopic number (same as your Phase I and Initial Phase II)
 - Technical abstract that sufficiently describes your technology and application. The abstract should not exceed 500 words and two pages and it must provide sufficient technical depth to allow DOE to assign technical reviewers for your application. Please note that your abstract should not contain any proprietary information.

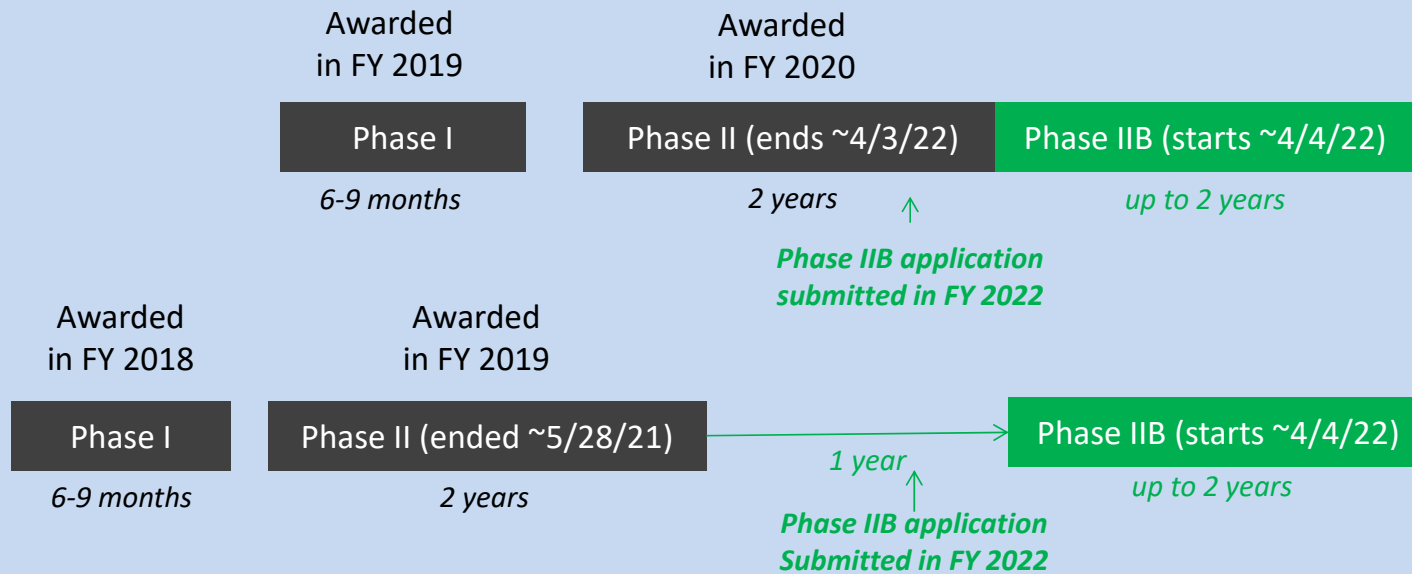
No Cost Extensions

- Please note that a small business is eligible to receive a Phase IIA or IIB award only if their Initial Phase II project has completed
 - Requests for No Cost Extensions should not conflict with the Phase IIA award start date (approximately 8/19/21 to 8/23/21)



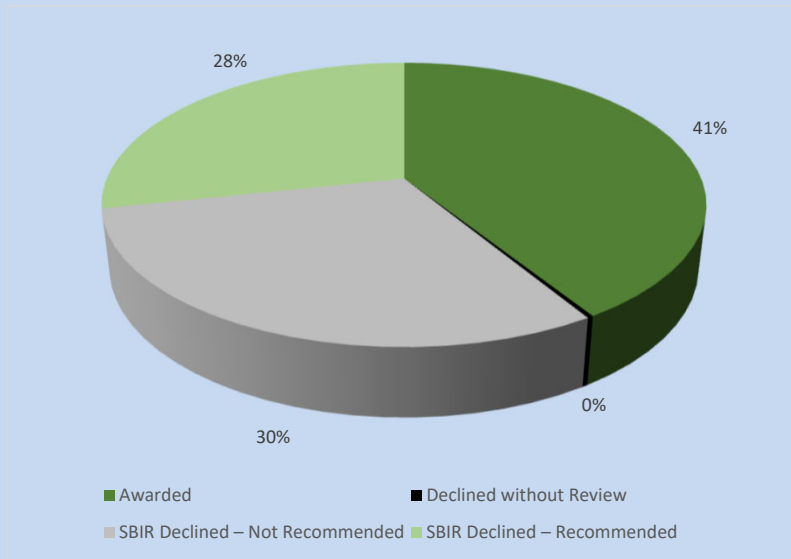
No Cost Extensions

- Phase IIB applicants should not request No Cost Extensions to their Phase II award that would overlap with the anticipated start date of the Phase IIB award (approximately 8/19/21 to 8/23/21)

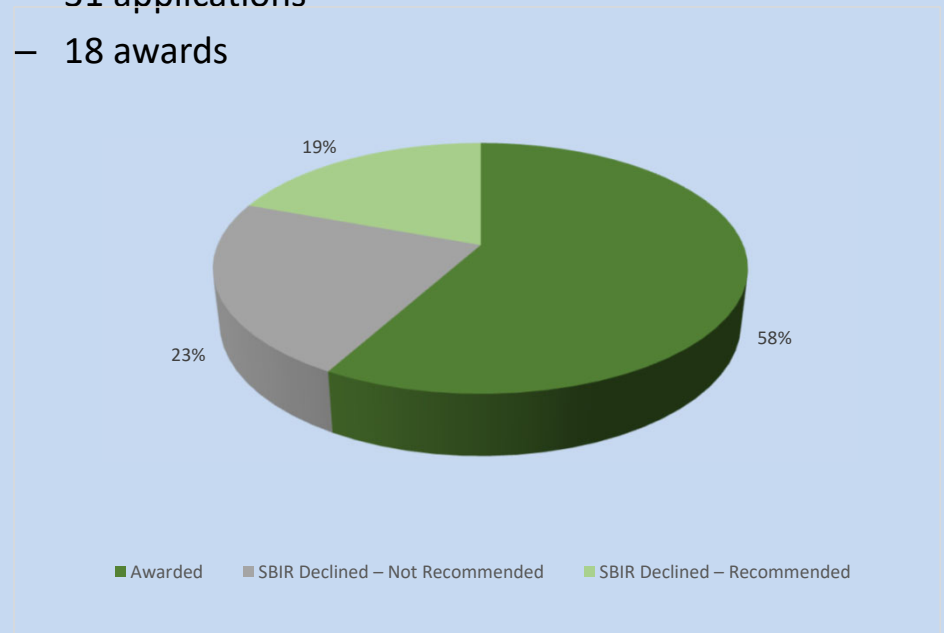


Phase II Application & Award Statistics for FY 2021

- Phase II
 - 356 applications
 - 146 awards

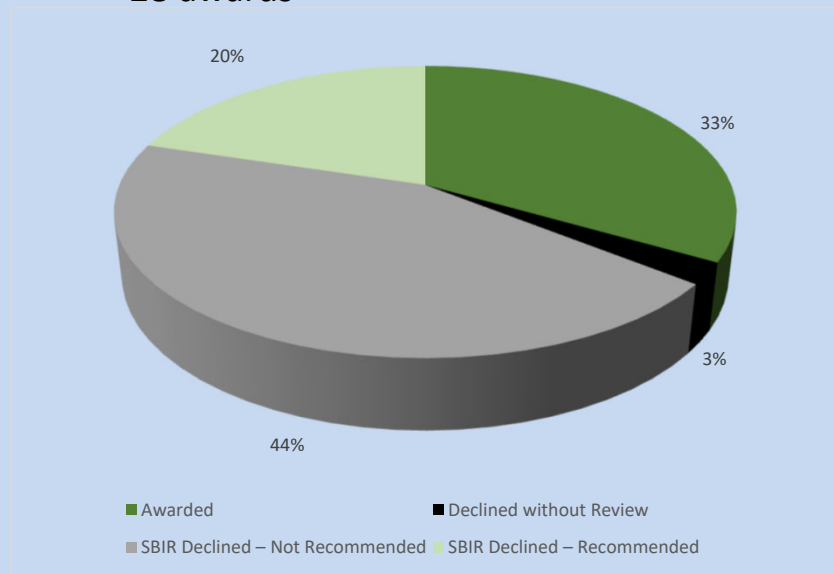


- Phase IIA
 - 31 applications
 - 18 awards

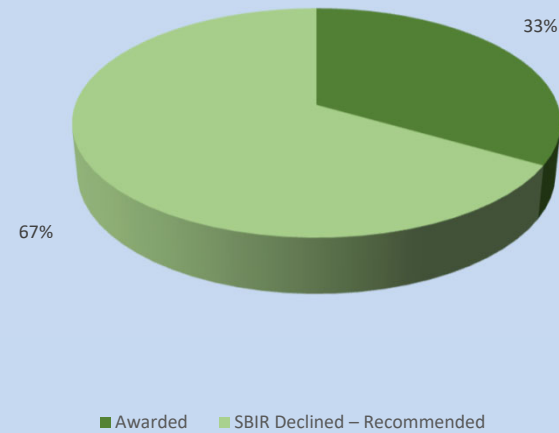


Phase II Application & Award Statistics for FY 2021

- Phase IIB
 - 84 applications
 - 28 awards



- Phase IIC
 - 6 applications
 - 4 awards



FAQ

- If I'm eligible for both Phase IIA and Phase IIB, can I apply for both?
 - NO, you may submit only one Second Phase II application per Phase II project
- If I apply for a Phase IIA award this year and do not receive an award, may I apply for a Phase IIB next year?
 - YES
- If I receive a Phase IIA award, will I be eligible to receive a Phase IIB award in the future as I transition to commercialization?
 - NO, you may receive only one Second Phase II award per Phase II project

Questions?

Please submit any question you may have via the Q&A box, at the bottom of your screen

Partnering needs?

New Tech-2-Market Advisor

Carol.Rabke@science.doe.gov


Application Process Q&A
Webinars

November 3, 2021 @ 2 PM ET

Phase II eligible will receive an
invitation

Email us!

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sttr@science.doe.gov](mailto:sbir-sttr@science.doe.gov)

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