

Improving the DOE SBIR/STTR Programs

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NIH Scientific Management Review Board

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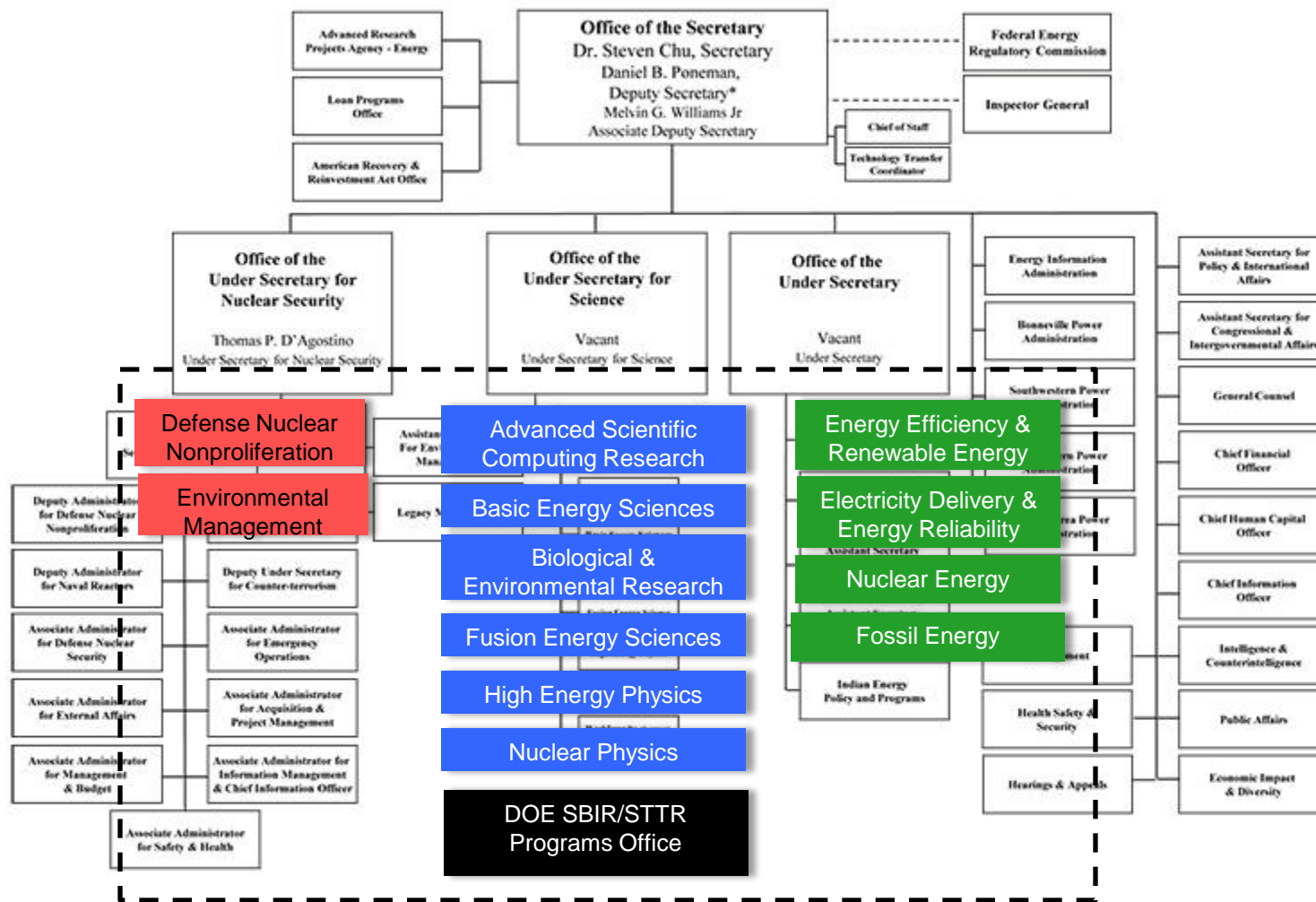
Outline

- Brief Introduction to DOE's SBIR/STTR Programs
- Improving Program Operation
- Improving Outcomes



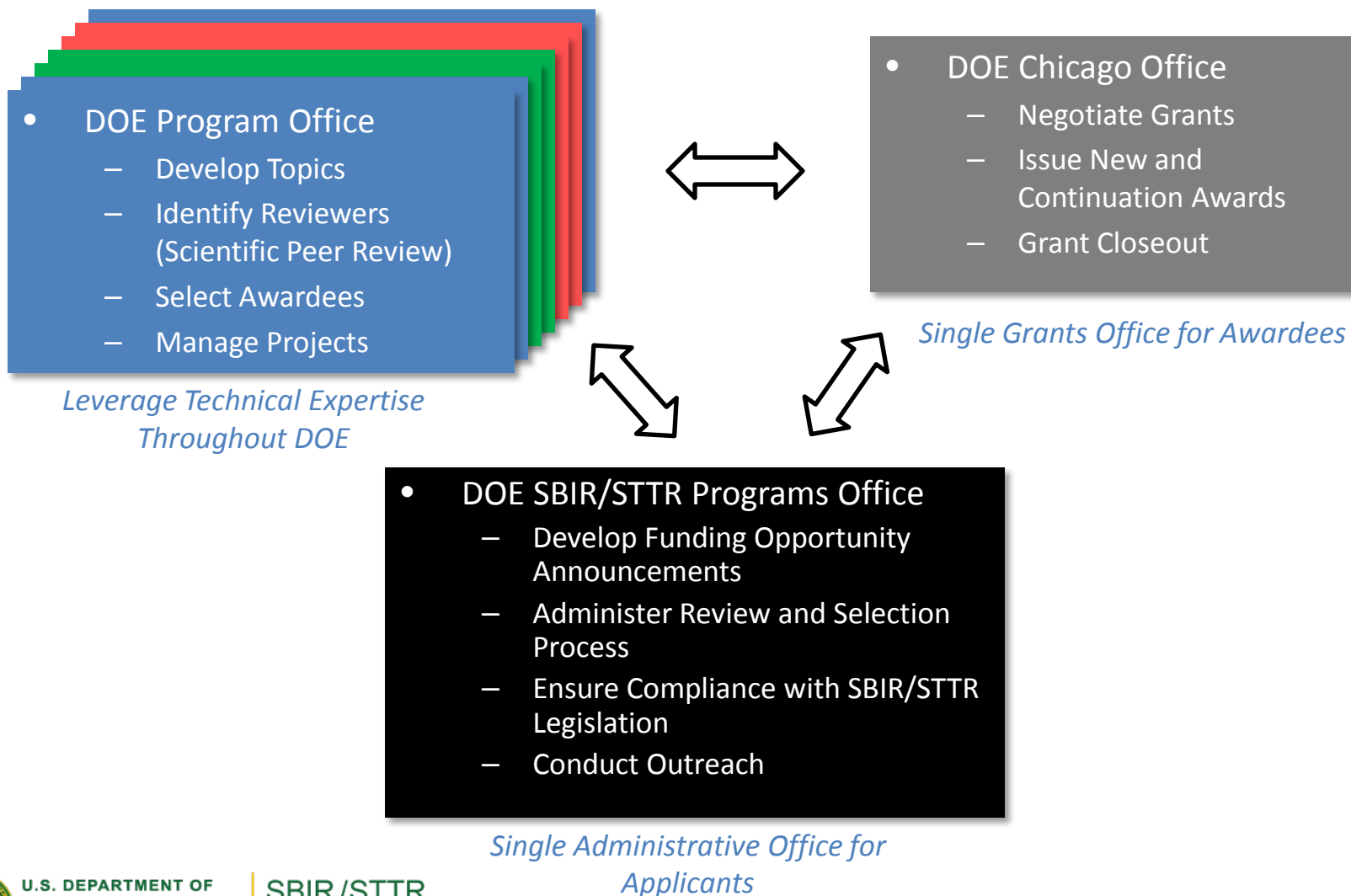
DOE SBIR/STTR Programs

FY12 Budget: \$174M



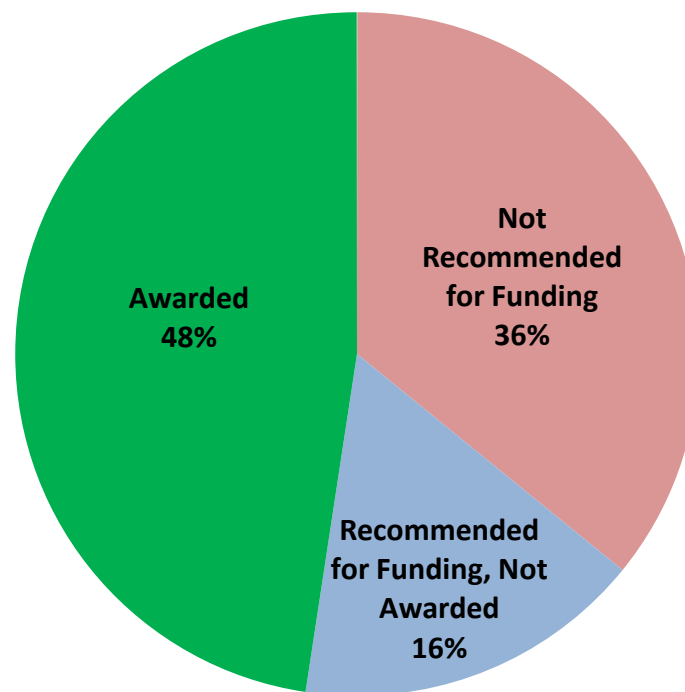
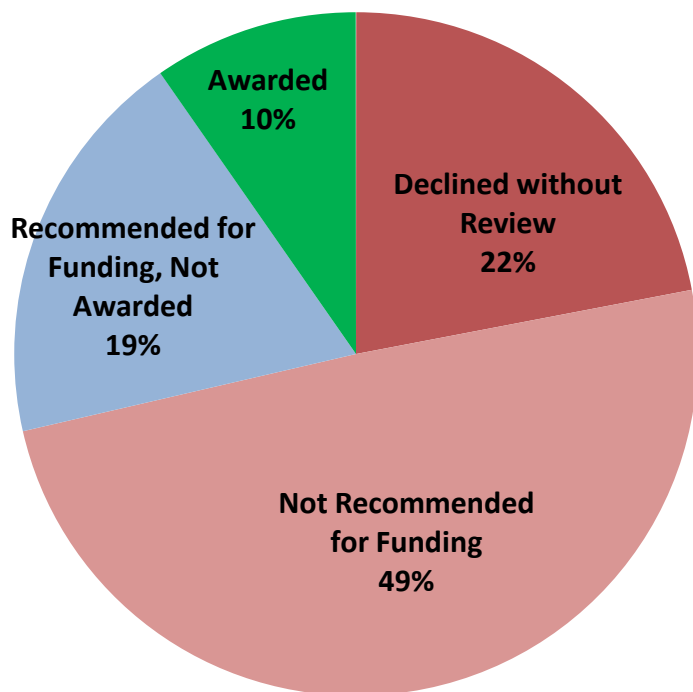
* The Deputy Secretary also serves as the Chief Operating Officer

Operation of the DOE SBIR and STTR Programs

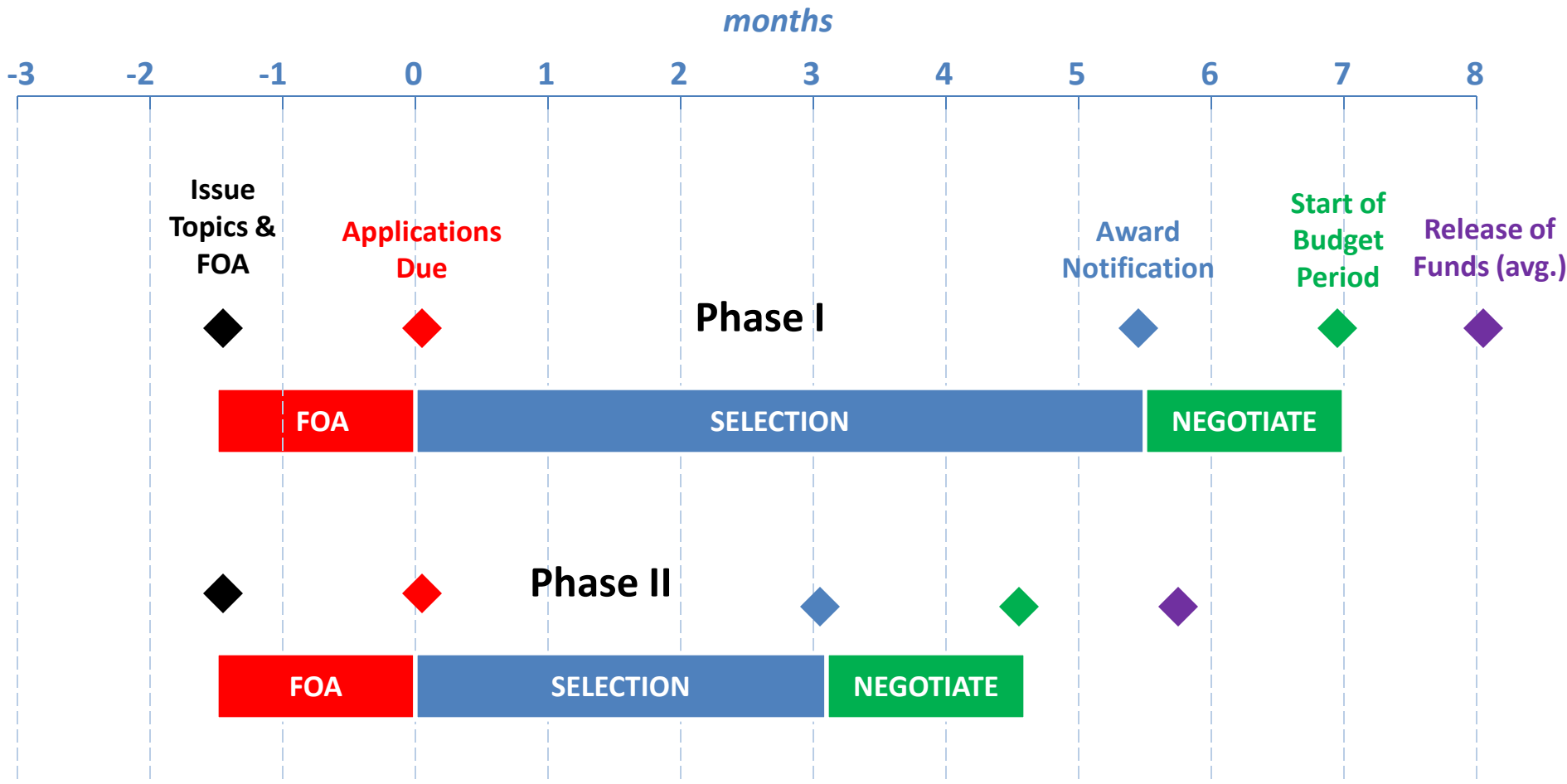


Application Statistics for FY11

- Phase I (\$150K, 9 months)
 - 2190 applications
 - 223 awards
- Phase II (\$1M, 2 years)
 - 290 applications
 - 138 awards

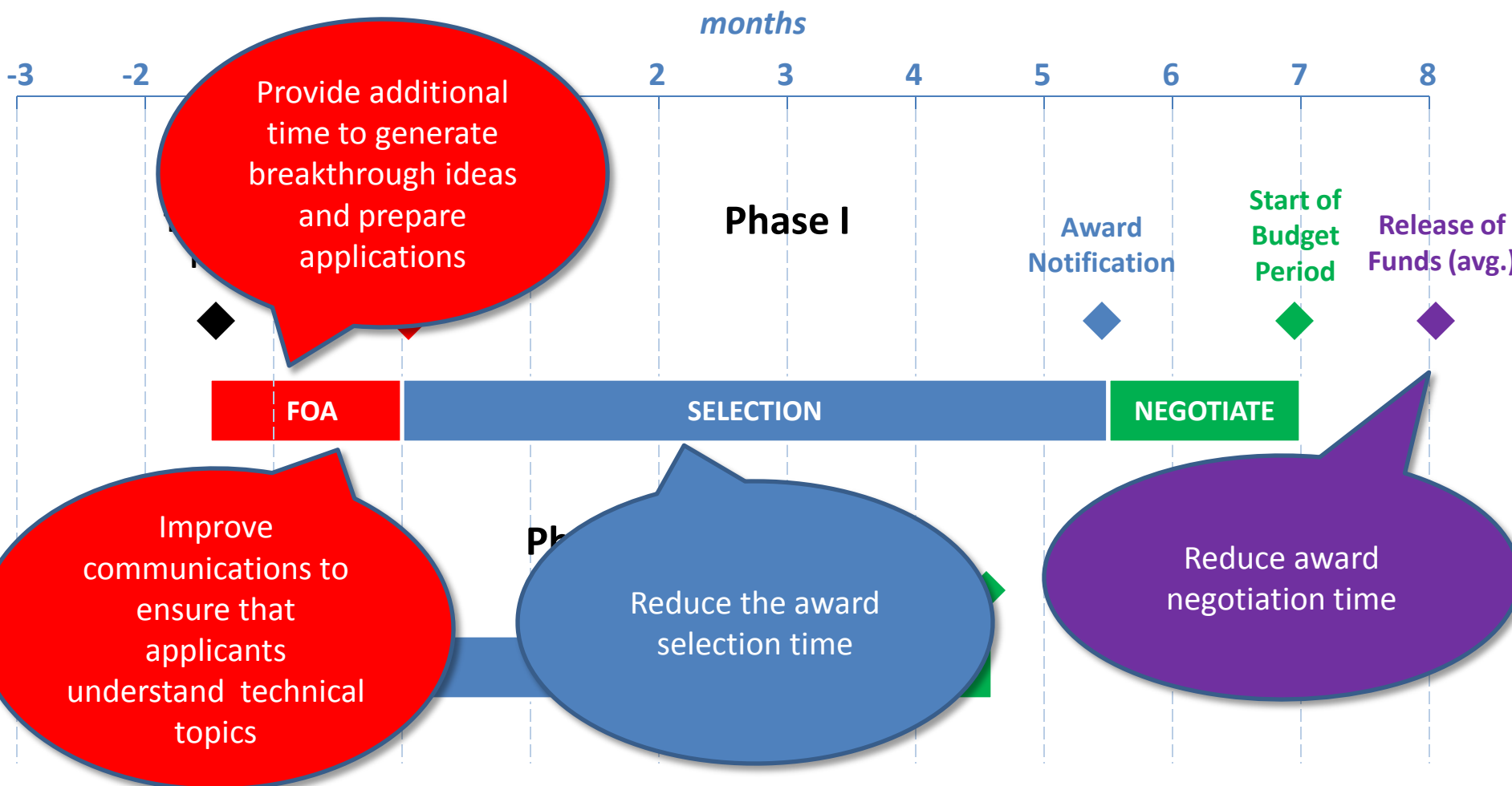


FY 2011 Phase I & II Processes



FOA: Funding Opportunity Announcement

Improvement Opportunities



Topics

- Topics posted 4 weeks in advance of the FOA
 - Allows direct interaction of applicants with DOE Program Managers
 - Provides additional time to develop ideas
- Implemented Topics Webinar
 - Topic Managers briefly discuss their topics and answer questions
 - Very Positive Feedback from Applicants
 - “Very good overview with the right level of detail.”
 - “Very informative, thank you for facilitating and organizing!”
 - “Good coverage of your program areas. Look forward to your future webinars.”
 - “Excellent.”
 - “Fantastic.”
 - “Well organized, informative, interactive presentation.”



FOAs

- Implemented Transition from Single FOA to Multiple FOAs
 - More efficient utilization of resources at DOE SBIR/STTR Programs Office & Chicago Office
 - Provides application opportunities throughout the year for small businesses
- Implemented FOA Webinar (Releases 2 & 3)
 - Discuss changes to the application process
 - Positive feedback from Applicants
 - “Best handling of SBIR administrative communication I've seen by a Federal agency.”
 - “Once again the information was well laid out.”
 - “I am encouraged that we will receive a recording of this Webinar.”



Multiple Phase I FOAs

Phase I Release 1

- “Focused” Topics
- Letter of Intent Required

- Office of Advanced Scientific Computing Research
- Office of Basic Energy Sciences
- Office of Biological and Environmental Research
- Office of Fusion Energy Sciences
- Office of High Energy Physics
- Office of Nuclear Physics

Phase I Release 2

- Office of Defense Nuclear Nonproliferation
- Office of Electricity Delivery and Energy Reliability
- Office of Energy Efficiency and Renewable Energy
- Office of Environmental Management
- Office of Fossil Energy
- Office of Nuclear Energy

- “Broad” Topics
- Pre-Application Required
- Pilot

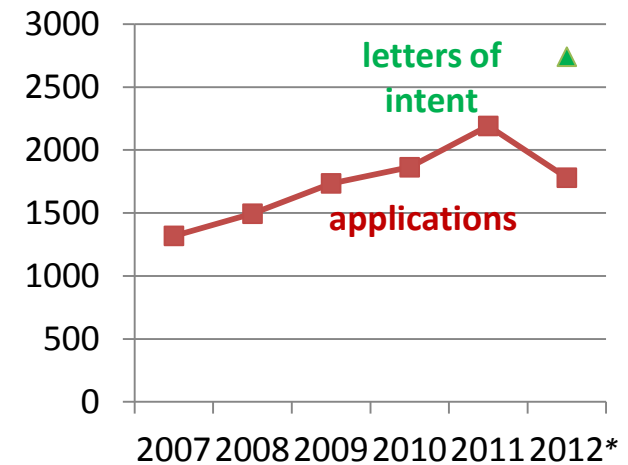
Phase I Release 3

- Office of Energy Efficiency and Renewable Energy



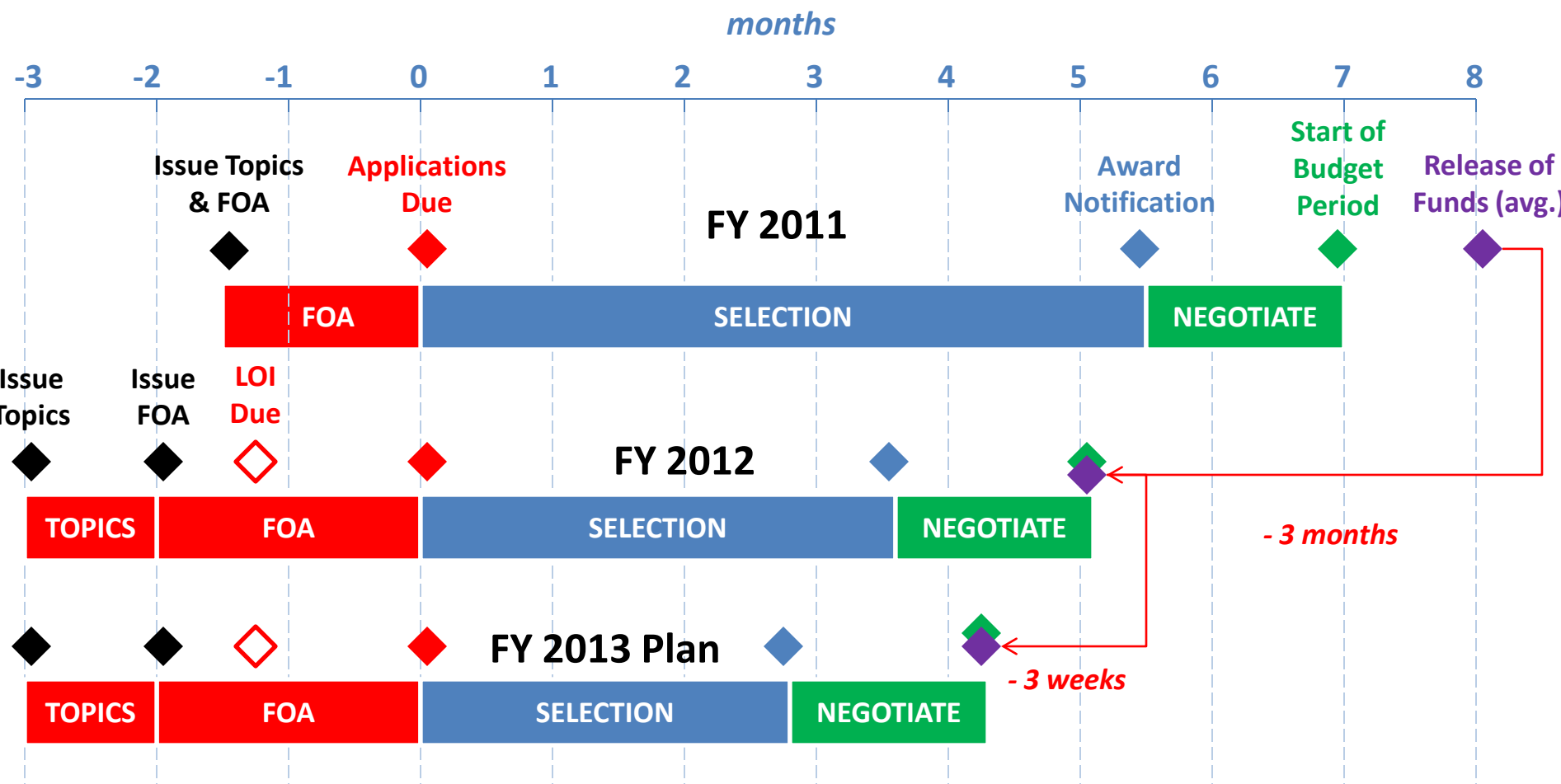
Letters of Intent & Pre-Applications

- Implemented Letters of Intent or Pre-applications
 - Primary purpose: begin reviewer identification prior to receipt of full applications to reduce award selection time
- Letters of Intent (Releases 1&2)
 - Short technical abstract (500 words)
 - Provide feedback on those that “appear” to be non-responsive
 - Useful for identifying reviewer pool
- Pre-applications (Release 3)
 - Project description (2000 words)
 - Only those receiving letters of encouragement may submit a full application



*FY12 data for Releases 1&2

Improvements in Phase I Processes



FOA: Funding Opportunity Announcement
LOI: Letter of Intent

Improving Outcomes

- FY12 Changes
 - Modify the application and selection process to increase emphasis on commercialization potential
 - Modify our commercialization assistance program
- Upcoming Changes
 - Measuring Outcomes: Establish performance metrics for the DOE SBIR & STTR Programs and an annual evaluation process
 - Improving Outcomes: Developing better topics



FY12: Application & Selection Process Changes

- Brief Commercialization Plan Required for Phase I
 - NAS study: 1/3 of DOE awardees stop working on their technologies after Phase II because they discovered the market is too small
- Applications with commercialization issues are highlighted in the selection process to DOE program managers; examples of such issues include:
 - Poor commercialization history
 - Low Revenue Forecast (based on Phase I commercialization plan)
 - Low Commercial Potential review score (based on Phase II commercialization plan)



FY12: Improved Commercialization Assistance Program

- New commercialization assistance contract awarded in FY12
- Commercialization assistance to awardees now includes:
 - Phase I
 - commercialization readiness assessment
 - mentoring to support development of Phase II commercialization plans
 - Phase II
 - Broad menu of options (13) to meet company-specific needs in the area of market research, business planning, and marketing communications
- Allowed companies to select their own commercialization assistance vendors.



Measuring Outcomes

- In FY12 have initiated analysis of historical commercialization data provided by small businesses
 - Commercialization histories (provided with applications)
 - DOE annual survey (through 2007)
 - Received OMB approval to begin conducting survey again this year
- Plan to define metrics for measuring outcomes in FY13
 - Commercialization Success
 - Mission Impact
 - Other Economic Benefits

Developing Better Topics

- Learn from Historical Outcomes
- Input from the Private Sector
- Leverage Technology Transfer Opportunities
 - In FY13 will introduce topics incorporating technology transfer opportunities from DOE Labs
 - In FY14 plan to expand this initiative to include universities

Summary

- Improving Operations
 - Provided greater transparency, improved communications, and more time during the application process
 - Significantly reduced the award selection and negotiation times
- Improving Outcomes
 - Increased emphasis on commercialization in the application and review process
 - Improved utility and flexibility of the commercialization assistance program
 - Initiated review of existing historical commercialization data with goal of defining appropriate performance metrics in FY13.