

SMALL BUSINESS VOUCHERS PILOT: Round 3 Overview

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Oak Ridge National Laboratory



Outline

- SBV Pilot Goals, Purpose, and Background
- Brief Review of Round 2 Results
- Round 3 Schedule and Logistics
- RFA Outline
- Scoring
- RFA Submission Process
- Q&A

SBV Pilot Goals, Purpose, and Background



Source: Council on Small Businesses

Small Business = Big Economic Impact



DOE awarded ~\$15M in Small Business Vouchers in FY16 and has made another \$12M available in FY17.

Eligible Small Businesses are US based and US owned for profit entities with fewer than 500 employees world wide.



Our mission is to significantly increase the industrial impact of DOE national labs on the U.S. clean energy sector.



Increase and enhance lab-private sector partnerships



Increase and streamline access to national lab capabilities

Demonstrate the value of labdeveloped science and technology



Small Business Challenges in Accessing Lab Capabilities:

- Cannot afford it
- Contracting process is too long and burdensome
- Lab system is difficult to navigate (cannot locate right researcher)



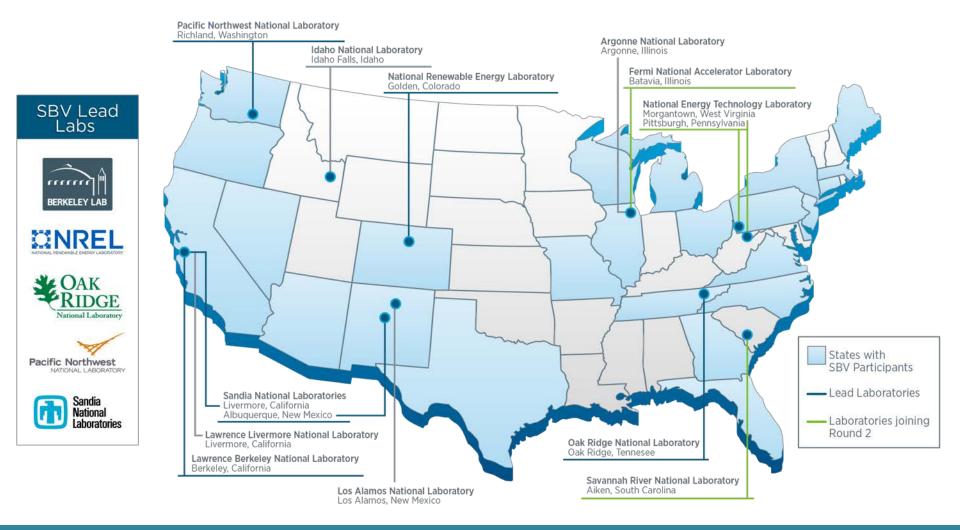


SBV One Stop Shop



The SBV Pilot Addresses Small Business Challenges by:

- ➤ Making funding available for ~100 vouchers.
- Streamlining back end business practices to shorten contracting process.
- Implementing a support network to help small businesses navigate the entire lab system by technology area.



12 DOE national laboratories participating in SBV in 9 tech areas



Voucher R&D Areas and Types of Assistance

Voucher R&D Technology Areas*

- Advanced Manufacturing
- Bioenergy
- Buildings
- Fuel Cells
- Geothermal
- Solar
- Water Power
- Wind
- Vehicles

Example types of work

- Prototyping
- Materials characterization
- High performance computations
- Modeling and simulations
- Intermediate scaling to generate samples for potential customers
- Validation of technology performance
- Designing new ways to satisfy regulatory compliance.

^{*}Specific descriptions available on sbv.org on the Technologies pages.



Brief Review of Round 2 Results



Over 900 Requests for Assistance over 2 rounds

Round 1

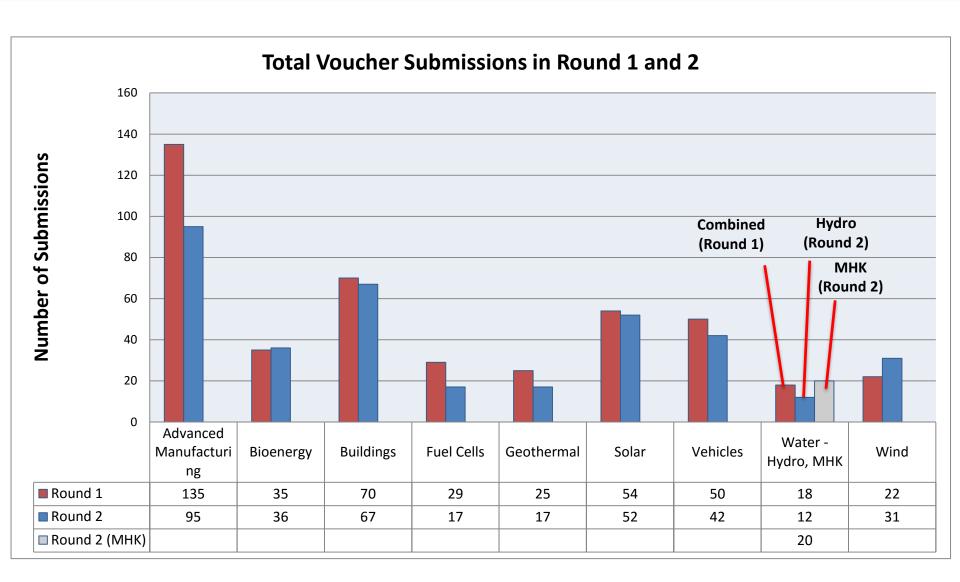
- 33 small businesses selected
- 40% of applicantsnew to the labs
- \$6.7 million in vouchers

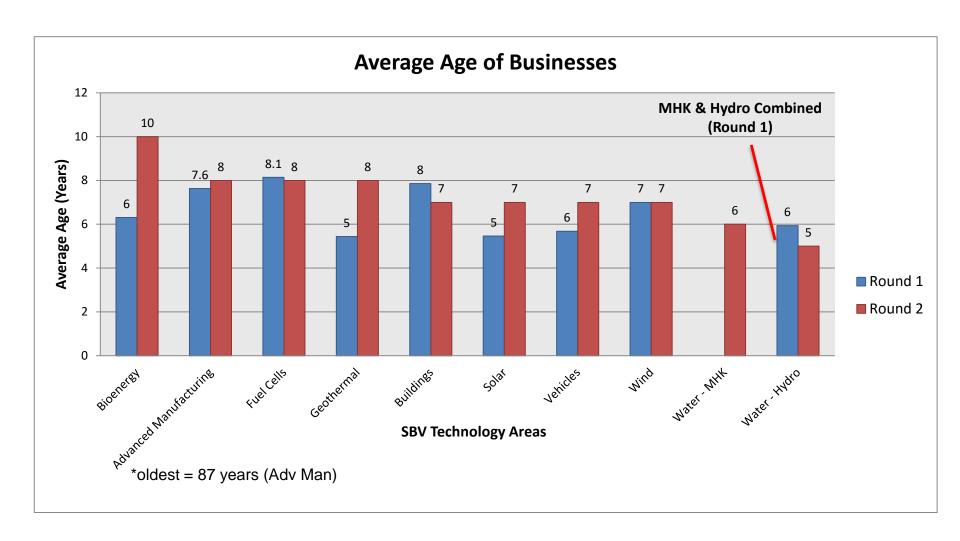
Round 2

- 43 small business selected
- 55% of applicants new to the labs
- \$8 million in vouchers

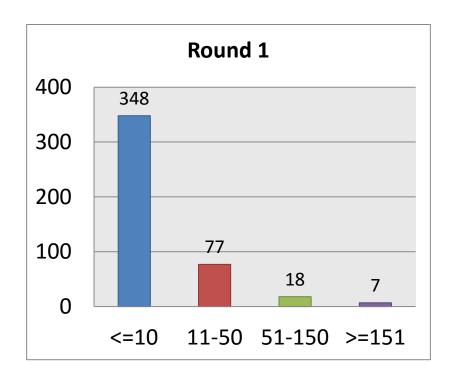


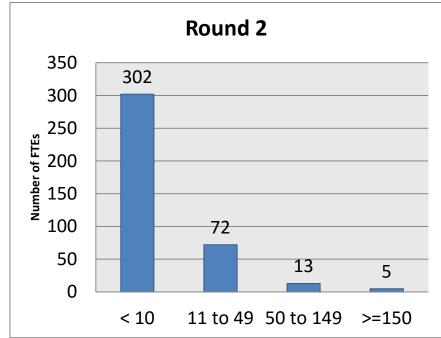




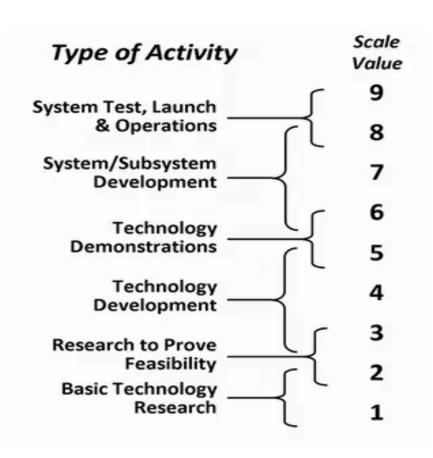


Small Business FTE Count





TRL levels: All Requests – Round 1 vs. Round 2



Round 1

30% of requestors – achieved commercial sales

52% of requestors – pilot technology demonstration

77% of requestors – prototype created/tested

80% of requestors – demonstrated feasibility of the technology in a lab

Round 2

30% of awardees – achieved commercial sales

53% of awardees – pilot technology demonstration

71% of awardees – prototype created/tested

81% of awardees – demonstrated feasibility of the technology in a lab



General Observations from Round 2

- The selection process was very competitive.
- Clear alignment with Technology Areas is critically important.
- In general, team qualifications and experience scored well. If in-kind contributions are planned as cost share, the team must have the expertise and resources to perform the planned work.
- In general, scores for problem definition and impact were somewhat lower than the team and resources scores.



Round 3 Schedule and Logistics

Round 3 Schedule

- October 10, 2016 Round 3 Request for Assistance (RFA) Opens
- November 10, 2016 Round 3 RFA submission closes, 11:59 PM Eastern Standard Time
- Mid-Late January, 2017 Notification of semi-finalist selections
- Late January-Early February 2017 Semi-finalists work with lab staff on statement of work
- Mid-Late February, 2017 Finalists notified for final award negotiation
- March 2017- SBV work can begin

Selection Stages

- Applicant: Submitted Request for Assistance before deadline
- Semi-Finalist: Selected to work with a National Laboratory to develop a Statement of Work (Top ~10-15%)
- Finalist: Selected for CRADA or TAPA Negotiation (~30-35 Vouchers; DOE Program Offices may request modifications to Statements of Work)
- Awardee: Entered CRADA or TAPA



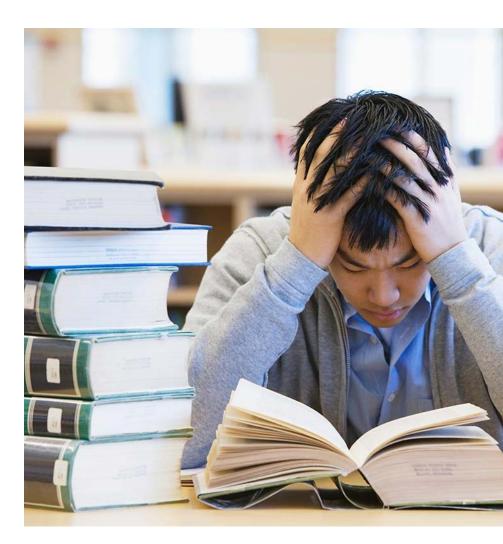
Careful Study of the Notice of Opportunity is Strongly Encouraged

Notice of Opportunity has critical info

- Specific technology areas and funding levels
- Merit review criteria and weighting
- Terms and conditions (standard agreements)
- Reporting requirements
- Cost share
- Request for assistance template

Find the Notice of Opportunity here:

https://www.sbv.org/community-library/accounts/92/925112/Notice-of-Opportunity-SBV-Request-for-Assistance-RFA.pdf





Eligibility

Small Businesses must be a **for-profit business** with fewer than 500 employees worldwide, be **U.S.-based and U.S.-owned, AND...**



Unique Lab Capabilities: Request assistance that is not reasonably available
in the private sector. Projects are intended to make available the specialized
expertise and equipment at the national labs, not compete with the private sector.



Cost Share: Commit to a 20% cost share which can be in-kind. Examples: labor, travel, materials, equipment, or data. Federally funded awards, such as SBIR/STTR, may not be used for small business cost share. More information on cost share is included in the Notice of Opportunity: Request for Assistance, section G.



 Agreements: Sign one of two short, non-negotiable agreements that govern intellectual property and other terms. The agreements are 1) SBV Technology Assistance Pilot Agreement (TAPA) or 2) Short Cooperative Research and Development Agreement (Short CRADA)



• **Reporting:** Commit to providing results during the project and for up to ~5 years after the project start date.

 Release of Information: Agree to allow non-proprietary information about your business and the success of the assistance to be featured in publicly available stories by DOE and the labs.

Standardized Agreements

Two Standard Non-Negotiable Agreements:

- (1) SBV Cooperative Research & Development Agreement (CRADA)
- (2) SBV Technology Assistance Pilot Agreement (TAPA)

Intellectual Property Language in both agreements is the same: The small business is granted a paid-up, royalty-free, nonexclusive license, without the right to sublicense, in a limited Field of Use.

Why standardized agreements? Both labs and small businesses have expressed desire to streamline the SBV agreement process by establishing pre-negotiated terms and conditions, especially on IP.

Why two agreements? To allow for as much flexibility in small business engagement as possible, the SBV Pilot will offer a choice between the TAPA (non-IP generating work) and the CRADA (IP generating work).



Reporting Requirements & Cost Share

Requests selected for Vouchers must agree to provide the following:

Report Data for 5 Years:

A third-party evaluator will request information from small business voucher recipients annually through 2020 (5 years).

Data will be gathered through a web survey expected to take 30 mins of your time each year.

20% Cost Share (cash or in-kind)

Allowable in-kind contributions include, but are not limited to:

- personnel costs,
- indirect costs,
- facilities and administrative costs, the value of a service, other resource, or third party in-kind contribution.
- time incurred to provide evaluation data for 5 years can be included.

Additional Details on Reporting and Cost Share are in the Notice of Opportunity



Page Limits and Formatting

Requests may be deemed non-compliant if the following format is not followed:

Page Limits:

- Maximum of 4 pages of text following the outline in the Notice of Opportunity
- Maximum of 3 pages of supporting documentation consisting of resumes for company personnel and/or support letters

Additional Requirements:

- Use 11 Times New Roman font and 1" margins
- Tables and graphics may have smaller font, as long as the information is legible

A template is provided for your convenience at sbv.org



Request for Assistance



RFA Components

- RFA Word Document (4 pages plus 3 supporting pages)
- Excel File with demographic data for SBV database
- Summary slide
- Data entered into DOE Exchange system

1. RFA Word Document

- Body of RFA limited to 4 pages
- 3 additional supplementary pages may be submitted
 - o Resumes
 - Letters of Support
- Use 11 point Times New
 Roman Font and 1" margins
- More detailed instructions are provided in the RFA Template found on sbv.org and EERE Exchange

SBV-Request-for-Assistance-(RFA)-Template¶

NOTE: This template is provided as a convenient method of documenting the information required to process this Request for Assistance. "The use of this template is not required, but the data-elements within the template are required."

|. Request for Assistance (RFA): Instructions: Do-not-include-any-trade-secrets, confidential-orproprietary-information-in-the-Request-for-Assistance-or-in-supporting-documentation-(<u>including-resumes</u>). -The-U.S. Government-is-not-liable-for-the-disclosure-or-use-of-anyinformation-contained-in-the-Request-for-Assistance-or-in-supporting-documentation-(includingresumes). -¶

Requests for Assistance (RFA) are limited to four pages of text. Graphs, tables, and images must be included in the 4-page RFA. In addition, requesters may include up to three (3) pages of supporting documentation-consisting of resumes for company personner and/or support letters. Please use 11-point Times New Roman font and 1" margins. Tables and graphics may have smaller font, as long as the information is legible. Please save all-pages as one PDF file and save it as "Your Company. Name_SBV pilot" (i.e., Company. XYZ_SBV pilot.PDF). Once all files have been saved, please upload the file on the submission page of the EERE Exchange Website: ¶

·DOE-EERE-Exchange-On-line-Application-Portal¶

- 1. Company Overview: Describe the · mission · and · vision · for · your · company · as · it · relates · to · this · request · for · assistance. ¶
 - a.→ What-differentiates-your-company-from-others-in-this-market?-¶
 - b.→ Discuss the history, successes, and current status of the requester's product-development.¶
 - $c. {\bf \rightarrow } Include relevant, previous work efforts, demonstrated innovations that relate + to the request for assistance. \P$
- 2. <u>Problem Definition:</u> Describe the challenge your company is facing and how this assistance, if granted, will help you overcome that challenge. ¶
 - $a. \rightarrow Include \cdot a \cdot high-level \cdot discussion \cdot introducing \cdot the \cdot technical \cdot challenge \cdot the \cdot business \cdot is \cdot facing. \P$
 - $b. \textbf{--} Describe \textbf{-} any \textbf{-} efforts \textbf{-} your \textbf{-} company \textbf{-} has \textbf{-} made \textbf{-} to \textbf{-} address \textbf{-} this \textbf{-} technical \textbf{-} challenge. \P$
 - c.-> Describe-what-you-envision-as-a-successful-solution-to-this-technical-challenge.···For-example, what-data, experimental-result, or-technical-service-is-needed?¶
- 3.-> <u>Project-Impact</u>: Describe-how-this-project, if-successful, will-contribute-to-one-of-more-of-the-DOE-EERE-mission-areas. ¶
 - a.→ Include: a-quantifiable-baseline. Quantitatively-describe-the-current-"baseline"-status-ofthe-company's-technology, product, or-service-to-be-addressed-by-this-project.¶



RFA Word Document Outline

- Company Overview: Describe the mission and vision for your company as it relates to this request for assistance
- Problem Definition: Describe the challenge your company is facing and how this assistance, if granted, will help you overcome that challenge
- Project Impact: Describe how this project, if successful, will contribute to one of more of the DOE EERE mission areas



RFA Document Outline (cont.)

- Use of Project Results: Describe how the results of the proposed assistance will be used to advance the development of your company's products or services and the impact the requested assistance will have on your business and the market
- **Team:** List the key members of your company's leadership and technical team. Briefly describe their qualifications and experience.
- Cost Share: Describe how your company will provide a minimum of 20% cost share. If providing in-kind cost share, indicate how you plan to contribute to the project.



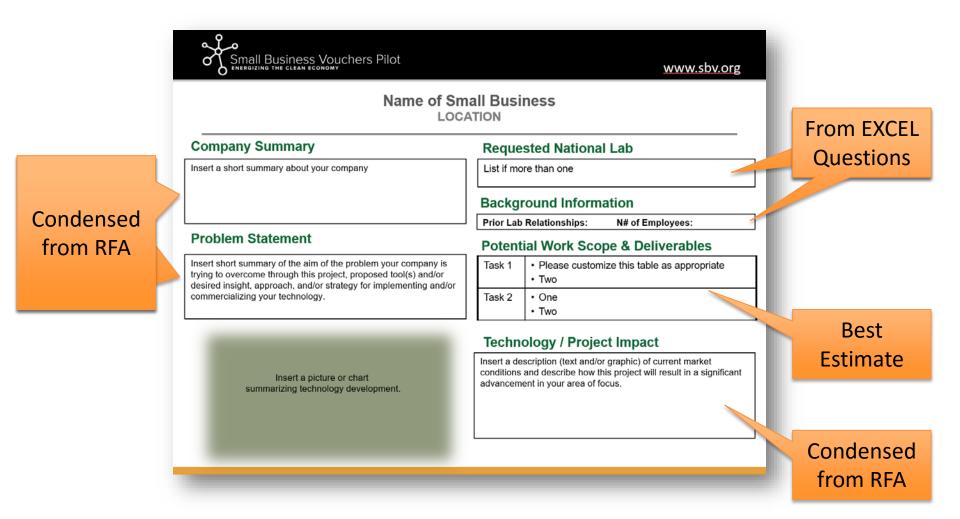
2. Additional Questions Form

Small Business Vouchers Round 3 RFA - Additional Questions		Record responses in this column
1	SBV Request Title:	
2	Author First Name:	
3	Author Last Name:	
4	Author Email:	
5	Number of Full Time Equivalent (FTE) Employees:	
6	Have you attracted private investment?	
7	If so, choose the primary type of investment you have attracted:	
8	Have you achieved sales?	
9	If so, what is your current revenue from the product associated with this SBV?	
##	Has your company worked with a National Laboratory or Federal Government in the past?	
##	If so, please indicate the Laboratory:	
##	If so, please indicate the type of engagement:	
##	How would you rate your knowledge of DOE National Laboratory capabilities and facilities? $(1-10,1)$ is low, 10 is high)	
##	Preferred SBV Lab (Indicate one primary Lab, optional):	
	If known, please indicate the name of your preferred Lab researcher (this will not	

EXCEL Spreadsheet with demographic information that will be added to the SBV database



3. Summary Slide





Scoring



Alignment with Technology Area is Very Important

- SBV funding is provided by specific DOE Program Offices.
- Congress has defined the specific technology areas for which Program Office funds may be used.
- Successful Round 1 RFAs were well aligned with one or more of the technology areas described in Table 1 of the <u>Notice of</u> <u>Opportunity</u>.
- The EERE Strategic Plan
 (energy.gov/eere/downloads/ee
 re-strategic-plan) is a useful
 reference.





















Merit Review Criteria

Potential for Impact (33%)

Problem Definition (33%)



Team and Resources (33%)

Program Policy Factors



Potential for Impact (33%)

- Mission Extent to which solving the stated problem will enable the achievement of the goals as described in "Technology Areas" section of the Notice of Opportunity
- Innovation Extent to which solving the stated problem represents a significant market improvement
- Market Impact
 - Extent to which the solving the stated problem will lead to a commercially successful product and company
 - Adequacy, specificity, and reasonableness of the stated commercial impacts of solving the stated problem
 - Extent to which solving the stated problem will result in a high value product or solution that transforms the industry



Problem Definition (33%)

- Problem Identification— Extent to which applicant discusses and demonstrates understanding of the key technical and commercial challenges involved in the proposed work.
- Quality and Reasonableness Extent to which the requester states a valid technical issue which can reasonably be solved within the budget and scope of this program

Team and Resources (33%)

- Capabilities The extent to which the capability of the proposed requester's team, can address the relevant aspects of the proposed project with a good chance of success, including, but not limited to, qualifications, relevant expertise, and time commitment of the individuals on the team.
- **Resources** Ability of the requester to support the proposed work.



RFA Submission Process

Submit RFA at sbv.org

ROUND 3 - NOW OPEN UNTIL NOVEMBER 10, 2016 AT 11:59 P.M. EASTERN STANDARD TIME Search Subscribe for SBV Updates Small Business Vouchers Pilot U.S. DEPARTMENT OF ENERGY Sign Up Submit Request **TECHNOLOGIES** ELIGIBILITY PROCESS & TIMELINE SBV Technologies Round 1 & 2 Results Click here Advanced Manufacturing Approximately \$15 million awarded on behalf of 76 businesses in Round 1 on sbv.org Bioenergy and 2. Learn more about awardees. Buildings Fuel Cells Geothermal Solar Solar Vehicles million businesses Powering the Clean Energy Economy **@** Water Power The U.S. Department of Energy (DOE) awarded nearly \$15M in Small Business Vouchers (SBVs) in Round 1 and

Small Business Vouchers Pilot

TECHNOLOGIES ELIGIBILITY PROCESS & TIMELINE PROJECTS FAQS CONTACTS

Submit Request

Process & Timeline

Click on the link in step 1 to review eligibility requirements

Click on the link in step 2 to access

EERE exchange online portal and create account

Process & Timeline

How the Small Business Vouchers (SBV) Pilot process works:

SBV will accept requests from qualified small businesses. Here's information on when and how to apply

Submitting a Request

NOTE: The U.S. Department of Energy (DOE) has changed the application process for Round 3. For this se, applications must be submitted through DOE's on-line Application System, EERE Exchange. low the steps below to complete your application.

To request a, tance from the Department of Energy (DOE), register through the Office of Energy Efficiency and Rens able Energy's Funding Opportunity Exchange (EERE Exchange). Please follow these steps when preparing your RFA.

- . Step 1: Confirm your eligibility at SBV Eligibility Check.
- · Step 2: Go to EERE Exchange at EERE Exchange On-line Application Portal.
 - account by clicking on the "Register" link on the left navigation bar of the ge homepage (or login to your existing account).
- . Step 4: Click on the "Funding Opportunity" Link on the left navigation bar.
- . Step 5: Enter DE-SBV-0000999 in the FOA Number Field and hit "enter"
- . Step 6: Click on the orange DE-SBV-0000999 shown in the FOA Number Column. Exchange will take you to the EERE Small Business Vouchers Round 3 Notice
- . Step 7: Click on the "Apply" button in the upper right corner of the Notice Description Page.

Important Dates

Round 1: CLOSED

Round 2: CLOSED

Round 3: Now open until November 10, 2016 at 11:59 p.m. Eastern Standard Time

Important Information

- . Download the Notice of Opportunity: Request for Assistance (RFA) (PDF | M8 Word)
- · Download the Request for Assistance (RFA) Template (PDF I M8 Word)

- . SBV Pilot: Round 2 Overview Webinar and Slide Presentation
- . SBV Pilot: Round 2 Overview for the Manufacturing Webinar and Slide
- 88V Pilot: Round 1 Feedback Weblnar

- . 8/18/16: DOE Awards 43 New **Business Laboratory** Collaborations Under SBV
- * 3/27/18: Kennewick Company

Notice of Opportunity and RFA Template can be found here



Register for an EERE Exchange Account



EERE Funding Opportunity Exchange

EERE » Financial Opportunities » Funding Opportunity Exchange

Funding Opportunity
Funding Archive

Login

Register

Manuals

Questions & Answers

Click Here to Register

Frequently Asked Questions

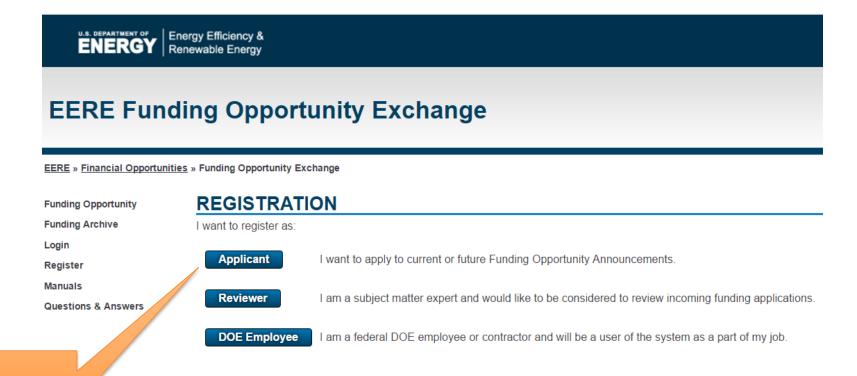
Do you have questions specific to your FOA? Applicants are encouraged to review the Question & Answer tab of your FOA to see if your que

EERE FUNDING OPPORTUNITY ANNOUNCEMENTS

FOA Number	FOA Title	Announcement Type
DE-FOA-0001001	EERE Commercialization	Request for Information (RFI)
DE-FOA-0001070	RFI - Net Benefits and Costs of Distributed Solar Energy and Innovative Solar Deployment Models	Request for Information (RFI)
DE-FOA-0001122	RFI - Clean Energy Manufacturing Topics Suitable for Establishment of a Manufacturing Institute	Request for Information (RFI)
DE-FOA-0001126	SUNSHOT CATALYST PRIZE	Other
DE-FOA-0001133	RFI - Research and Development Needs and Technical Barriers for Fuel Cells	Request for Information (RFI)
DE-FOA-0001158	RFI - Specific Clean Energy Manufacturing Focus Areas Suitable for a Manufacturing Innovation Institute	Request for Information (RFI)
DE-FOA-0001165	RFI - Advanced Manufacturing Office (AMO) Software Tools	Request for Information (RFI)
DE-FOA-0001203	Assisting Federal Facilities with Energy Conservation Technologies, Fiscal Year 2015	Request for Information (RFI)
DE-FOA-0001221	Notice of Intent to issue FOA Next generation of Electrical Machines (DE-FOA-0001208)	Notice of Intent to Publish FOA (NOI)
DE-FOA-0001232	Funding Opportunity Announcement (FOA) Number DE-FOA-0001232: Project Development for Pilot and Demonstration Scale Manufacturing of Biofuels, Bioproducts and Biopower (PD283)	Funding Opportunity Announcement (FC
DE-FOA-0001253	Notice of Intent to Issue FOA: State Energy Program 2015 Competitive Awards	Notice of Intent to Publish FOA (NOI)
DE-EOA-0001262	Manufacturing Innovation Institute for Smart Manufacturing: Advanced Sensors, Controls,	Funding Opportunity Appaulacement (F



Register as an Applicant



Register as Applicant

Click here

to complete

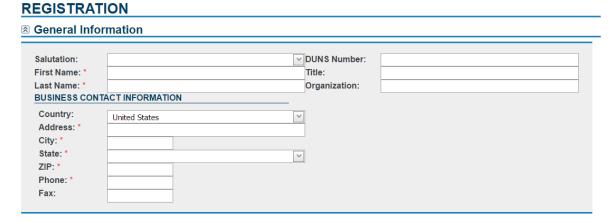
registration



Complete the Registration Form

Notes:

- *FieldsRequired
- 15 character password



Business Email/Username: Your Email address will be your login name. * Business	If you forget your password you will be asked one of the security questions you choose here and prompted to enter the answer you specify below. Answers are NOT case sensitive. Security Question 1: * Security Answer 1: *
Email/Username	Security Question 2: *
Confirmation: *	Security Answer 2: *
Passwords must be at least 15 non-blank characters, not contain three repeating values, not include the	Security Question 3: *
username, and contain 3 of the 4 of the following: a lower case letter, a capital letter, one number, contain one of the following symbols: !, @, #, \$, %, ^, &, *, (,), +	Security Answer 3: *
Password: *	
Confirm	
Password: *	

* - required fields

Register

You will Receive a Long and Chatty Confirmation Email

Welcome to DOE eXCHANGE

From: (EERE-ExchangeSupport@hq.doe.gov)

To: (paulusmj@tds.net)

Dear Michael Paulus

Welcome to the DOE eXCHANGE site at http://eere-exchange.energy.gov/!

Thank you,

DOE eXCHANGE Customer Support

You can Log in Immediately

EERE Funding Opportunity Exchange

EERE » Financial Opportunities » Funding Opportunity Exchange

Funding Opportunity

Funding Archive

Login

Register

Manuals

Questions & Answers

REGISTRATION

Your account was successfully created.

Your email is your username for this site.

You can log in to the site now.

Log In

This is a Federal Web Site

In order to access this Department of Energy (DOE) system, you must read and acknowledge the following Rules of Behavior for the site. You can review previously acknowledged Rules of Behavior on your My Account page.

Rules of Behavior

Use of this system by any user, authorized, or unauthorized, constitutes consent to the auditing, interception, recording, reading, copying, capturing, and disclosure of system activity. There is no right to privacy in using this system.

NOTE: The Rules of Behavior are applicable to all individuals with access to this system and must be read and accepted before they will be granted access privileges to the system.

General Guidelines

The following actions are prohibited:

- Attempting to view, change or delete data unless you are authorized to do so.
- Using your system privileges to obtain information for anyone who is not authorized to access such information.
- Allowing another user to login using your username and password.
- Attempting to perform actions or processes for which you do not have authorization.
- Disabling any security features or alter application settings/configurations unless explicitly authorized to do so.
- Failing to observe software licensing agreements. If you have any questions about copyright or licensing, contact the system <u>Help Desk</u> BEFORE using the material in question.
- $\hfill I$ acknowledge receipt of, understand my responsibilities, and will comply with these rules of behavior for this Department of Energy (DOE) system.

Acknowledge

Cancel

Go to Funding Opportunities



EERE Funding Opportunity Exchange

Click Here for Funding Opportunities

EERE » Financial Opportunities » Funding Opportunity Exchange

Funding Opportunity

Funding Archive

My Submissions

My Account

Logout

Manuals

Questions & Answers

Frequently Asked Questions

Do you have questions specific to your FOA? Applicants are enco

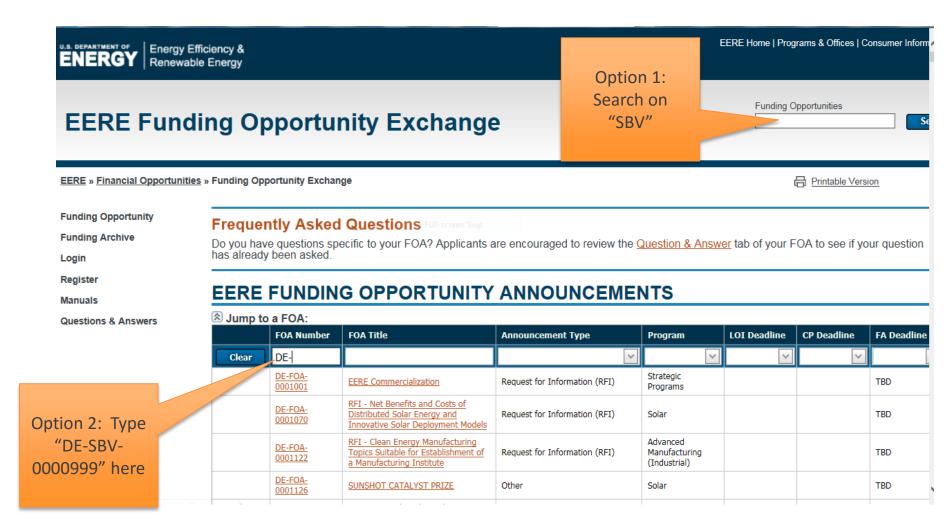
EERE FUNDING OPPORTUNITY ANI

Jump to a FOA:

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DE-FOA-0001126		SUNSHOT CATALYST PRIZE			
DE-FOA-0001133 DE-FOA-0001158		RFI - Research and Development Needs and Tech			
		RFI - Specific Clean Energy Manufacturing Focus /			



Find SBV FOA





Go to the SBV FOA

ENERGY Energy Efficiency & Renewable Energy					EERE Home Prog	ırams & Offices C	onsumer Inform
EERE Funding Opportunity Exchange						Se	
EERE » Financial Opportunities	EERE » Financial Opportunities » Funding Opportunity Exchange					ion_	
Funding Opportunity Funding Archive Login Register Manuela Frequently Asked Questions Do you have questions specific to your FOA? Applicants are encouraged to review the Question & Answer tab of your FOA to see if your question as already been asked. EERE FUNDING OPPORTUNITY ANNOUNCEMENTS						our question	
Manuals Questions & Answers	∃ Jump to a FOA:						
	Clear DE-SBV-0000 DE-SBV-0000999	EERE Small Business Vouchers Round 3	Notice of Technical Assistance (NOTA)	Program Strategic Programs	LOI Deadline	CP Deadline	11/11/2016 05:00 PM ET
Click to access FOA	DE-FOA-0001001: I	EERE COMMERCIALIZA	TION				

https://eere-exchange.energy.gov/Default.aspx assist in further defining the scope and priorities of FFRF's commercialization and entrepreneurship activities. Specifically, this RFI is

The purpose of this RFI is to solicit feedback from industry, academia, research laboratories, government agencies, and other stakeholders



Note Links to Important Documents

DE-SBV-0000999: EERE SMALL BUSINESS VOUCHERS ROUND 3

PLEASE NOTE:

Apply

11 October 2016:

NEW AMENDED NOTICE AND RECOMMENDED FORMS ARE NOW POSTED. APPLICANTS ARE ADVISED TO REVIEW AMENDED NOTICE AND NEW FORMS BEFORE SUBMITTING APPLICATIONS.

DOE's Office of Energy Efficiency and Renewable Energy (EERE) is putting the world-class resources of the national labs at your fingertips with the Small Business Vouchers (SBV) Pilot. During fiscal year 2016, EERE applied almost \$14MM to new projects with 76 small businesses.

Now, EERE is announcing its first call for Small Business Vouchers in fiscal year 2017. EERE has pledged \$12MM in new funding for this round, and one additional round during the fiscal year.

The U.S. Department of Energy's (DOE) enterprise of National Laboratories is an innovation powerhouse full of unique and advanced instruments as well as world class scientists, engineers and other professionals. The Small Business Vouchers (SBV) Pilot is a mechanism structured to allow small businesses engaged in the renewable energy and the energy efficiency sectors greater access to the vast capabilities and resources that exist at the DOE National Laboratories.

Through the SBV Pilot, eligible small businesses can tap into the reserve of National Laboratory intellectual and technical assets to overcome critical technology and commercialization challenges such as:

- Prototyping
- · Materials characterization
- · High performance computations
- Modeling and simulations
- · Intermediate scaling to generate samples for potential customers
- · Validation of technology performance
- Designing new ways to satisfy regulatory compliance

DOCUMENTS

- DE-SBV-0000999 Small Business Voucher Notice of Opportunity-AMENDED 10-19-16
- Small Business Voucher Request for Assistance Application Form
- · Small Business Voucher Notice Of Opportunity Additional Questions
- Summary Slide
- · Non-Negotiable TAPA Agreement
- . Non-Negotiable CRADA Agreement

REQUIRED APPLICATION DOCUMENTS

Pursuant to the FOA, Applicants are required to submit the "Required Application Documents" with their Application. Incomplete applications will not be reviewed or considered.

View Required Application Documents

CONTACT INFORMATION

info@sbv.org

FREQUENTLY ASKED QUESTIONS (FAQS)

Responses to questions are posted to the FAQs webpage.

SUBMISSION DEADLINES

• Full Application Submission Deadline: 11/11/2016 5:00 PM ET

Important Reference Documents



Download Required Application Documents

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The U.S. Department of Energy's (DOE) enterprise of National Laboratories is an innovation powerhouse full of unique and advanced instruments as well as world class scientists, engineers and other professionals. The Small Business Vouchers (SBV) Pilot is a mechanism structured to allow small businesses engaged in the renewable energy and the energy efficiency sectors greater access to the vast capabilities and resources that exist at the DOE National Laboratories.

Through the SBV Pilot, eligible small businesses can tap into the reserve of National Laboratory intellectual and technical assets to overcome critical technology and commercialization challenges such as:

- Prototyping
- · Materials characterization
- · High performance computations
- · Modeling and simulations
- · Intermediate scaling to generate samples for potential customers
- · Validation of technology performance
- · Designing new ways to satisfy regulatory compliance

DOCUMENTS

- DE-SBV-0000999 Small Business Voucher Notice of Opportunity-AMENDED 10-19-16
- Small Business Voucher Request for Assistance Application Form
- Small Business Voucher Notice Of Opportunity Additional Questions
- Summary Slide
- Non-Negotiable TAPA Agreement
- . Non-Negotiable CRADA Agreement

REQUIRED APPLICATION DOCUMENTS

Pursuant to the FOA, Applicants are required to submit the "Required Application Documents" with their Application. Incomplete applications will not be reviewed or considered.

View Required Application Documents

CONTACT INFORMATION

info@sbv.org

FREQUENTLY ASKED QUESTIONS (FAQS)

Responses to questions are posted to the FAQs webpage

SUBMISSION DEADLINES

• Full Application Submission Deadline: 11/11/2016 5:00 PM ET

Click Here to See Required Application Documents

All Three Documents Must be Submitted

Tron trogonable traiting comen

Non-Negotiable CRADA Agreement

REQUIRED APPLICATION DOCUMENTS

Pursuant to the FOA, Applicants are required to submit the "Required Application Documents" w

Full Application

- Small Business Voucher Request for Assistance Application Form
- Small Business Voucher Notice Additional Questions Form
- Summary Slide

Hide Required Application Documents

CONTACT INFORMATION

info@sbv.ora





When Documents are Complete, Click on "Apply"

DE-SBV-0000999: EERE SMALL BUSINESS VOUCHERS ROUND 3

PLEASE NOTE:

11 October 2016:



NEW AMENDED NOTICE AND RECOMMENDED FORMS ARE NOW POSTED. APPLICANTS ARE ADVISED TO REVIEW AMENDED NOTICE AND NEW FORMS BEFORE SUBMITTING APPLICATIONS.

DOE's Office of Energy Efficiency and Renewable Energy (EERE) is putting the world-class resources of the national labs at your fingertips with the Small Business Vouchers (SBV) Pilot. During fiscal year 2016, EERE applied almost \$14MM to new projects with 76 small businesses

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- Materials characterization
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- · Intermediate scaling to generate samples for potential customers



Basic Information

FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUSIN

General			Project Title
Submission Status:	New		
Project Title: *			
Abstract: *		4000 Max Characters	Abstract (4000 char. Max)
This application has been previously submitted to DOE: *	○ Yes ③ No		Resubmission? (No impact
Topic: * Organization Type: *	Advanced Manufacturing		on evaluation)
Lead Organization: *	Bioenergy Buildings Fuel Cells Geothermal Solar	Please do not use acronyms ▼	EERE Technology Area (Pull Down)
Lead Organization Percent Effort (1-100): *	0 🔷 %		(Full Dowll)
Primary Area of Expertise: *	None currently selected	Select Primary Area of Expertise	
Additional Technical Area:	None currently selected	Select Additional Technical Area	



FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUS

General			
Submission Status:	New		
Project Title: *			
Abstract: *		4000 Max Characters	
This application has been previously submitted to DOE: *	◯ Yes ⊙ No		
Topic: *	<u></u>		
Organization Type: *	Academic _		
Lead Organization: *	Business < 500 Employees Business > 1000 Employees Business 500-1000 Employees		Organization Type Should
Lead Organization Percent Effort (1-100): * Primary Area of Expertise: *	Federally Funded Research and Development Center (FFRDC) Government Owned and Operated (GOGO) Indian/Native American Tribal Government	rimary Area of Expertise	be Business < 500 Employees
Additional Technical Area:	None currently selected Select A	dditional Technical Area	



FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUSII

General				
Submission Status: Project Title: *	New			Company Name
Abstract: *		4000 Max Characters		
This application has been previously submitted to DOE: *	Yes • No			
Topic: *		V		
Organization Type: *		V		
Lead Organization: *		Please do not use acronyms	•	Because National Lab is
Lead Organization Percent Effort (1-100): *	0 %			not yet assigned, enter 100%.
Primary Area of Expertise: *	None currently selected	Select Primary Area of Expertise	•	In practice, small
Additional Technical Area: Team Members	None currently selected	Select Additional Technical Area		business must provide
				a minimum of 20% cost share.
				Silaic.



FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUSII

General		
Submission Status:	New	
Project Title: *		
Abstract: *		4000 Max Characters
This application has been previously submitted to DOE: *	○ Yes No	
Topic: *		~
Organization Type: *		Y
Lead Organization: *		Please do not use acronyms
Lead Organization Percent Effort (1-100): *	0 🔊 %	
Primary Area of Expertise: *	None currently selected	Primary Area of Expertise
Additional Technical Area:	None currently selected Select	t Additional Technical Area
Team Members		

Select the area of expertise from list that best describes the technical area of your application.

Optional second topical area





Leave blank.

Matchmaking occurs

after RFA reviews.

To facilitate the identification of actual and potential conflicts of interest, you are required to identify every individual who contributes in a substantive, measurable way to the execution of the proposed project.

At least one point of contact must be added from the applicant organization.

Organization Name

* Title * Salutation | First Name | Last Name |

No data to display

Add Key Participant*

Click to add Key
Participants from your
company only.



Add Key Participant (Technical Point of Contact)

Technical Point of Cor	ntact:
Details	
Salutation:	▼
First Name: *	
Last Name: *	
Title:	
Business Conta	act Information
Email: *	
Country: *	United States ▼
Address: *	
City: *	
State: *	Y
ZIP: *	
Phone: *	
Fax:	

Your Company's point of contact for all RFA-related communications. All communications will be via email.



Create Application

	ı , , , , , , , , , , , , , , , , , , ,		
Country: *	United States ▼		
Address: *	11 elm street		
City: *	Knoxville		
State: *	Tennessee ▼		
ZIP: *	37934		
Phone: *	865-719-4518		
Fax:			
			Create Full Application

- Checks for errors
- Saves data
- Creates application "Control Number"

RFA Control Number Assigned

FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUSINESS VOUCHERS ROUND 3

Your information has been saved. Please continue with the additional tabs to complete your submission.

YOUR CONTROL NUMBER IS: 0999-1521

Return to My Submissions

Continue with Full Application Submission

Click here to complete application



CONTROL NUMBER 0999-1521: FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUSINESS VOUCHERS ROUND 3

General Contact In	formation Team Members Location(s) of	of Work Funds and Costs TRL Upload and S	Submi
Submission Strus:	Not Submitted		
Control ber:	0999-1521		
Title: *	Test Project for ABV		
stract: *	Test Test Test	4000 Max Characters	
This application has bee previously submitted to	I Yes [] No		
Topic: *	Advanced Manufacturing	~	
Organization Type: *	Business < 500 Employees	V	
Lead Organization: *	Small Business	Please do not use acronyms	
Lead Organization Perce Effort (1-100): *	100 🔊 %		
Primary Area of Expertis	e:* Receiver Design	Select Primary Area of Expertise	
Additional Technical Are	a: None currently selected	Select Additional Technical Area	

- Verify technical contact information.
- Add business contact (required).



CONTROL NUMBER 0999-1521: FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUSINESS VOUCHERS ROUND 3

This application has not been submitted. The application must be submitted for evaluation by the Department of Energy.					
General Contact Information	Team Members Location(s) of Work Funds and Costs	TRL Upload and Submit			
Submission Status:	ot Submitted				
Control Number:	0999-1521				
Project Title: *	Test Project for ABV				
Abstract: *	Test Test Test	4000 Max Characters			
his application has been previously submitted to DOE: *	○ Yes ● No				
Topic: *	Advanced Manufacturing				
Organization Type: *	Business < 500 Employees				
Lead Organization: *	Small Business	Please do not use acronyms			
Lead Organization Percent Effort (1-100): *	100 🔷 %				
Primary Area of Expertise: *	Receiver Design Select	Primary Area of Expertise			
Additional Technical Area:	None currently selected Select	Additional Technical Area			
		Save and Continue			

Verify Team Members



CONTROL NUMBER 0999-1521: FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUSINESS VOUCHERS ROUND 3

This application has not been submitted. The application must be submitted for evaluation by the Department of Energy. Contact Information Team Members Location(s) of Work Funds and Costs Upload and Submit Not Submitted Submission Status: **Control Number:** Project Title: ' est Proiect for ABV Test Test Test 4000 Max Characters s application has been Yes No previously submitted to DOE: * Topic: ' Advanced Manufacturing Organization Type: * ~ Business < 500 Employees Lead Organization: * Please do not use acronyms Small Business **Lead Organization Percent** 100 🔷 % Effort (1-100): * Primary Area of Expertise: * Select Primary Area of Expertise Receiver Design Select Additional Technical Area Additional Technical Area: None currently selected Save and Continue

Location of Work

- Open Location(s) of Work Tab.
- Add your company's city, state and zip code.
- Indicate this location is the primary location.
- Enter 100%.



CONTROL NUMBER 0999-1521: FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUSINESS VOUCHERS ROUND 3

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	,
General Contact Informatio	Team Members Location(s) of Work Funds and Costs TRL Upload and Submit
Submission Status:	Not Submitted
Control Number:	0999-1521
Project Title: *	Test Project for ABV
Abstract: *	Test Test Test 4000 Max Characters
	<u>h</u>
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Topic: *	Advanced Manufacturing
Organization Type: *	Business < 500 Employees
Lead Organization: *	Small Business Please do not use acronyms
Lead Organization Percent Effort (1-100): *	100 %
Primary Area of Expertise: *	Receiver Design Select Primary Area of Expertise
Additional Technical Area:	None currently selected Select Additional Technical Area
	Save and Continue

Funds and Costs –
provide estimate only.
Details will be
developed for semifinalists only.

Upload and Submit

Save and Continue

Estimate DOE cost and company cost share. Ensure proposed cost share is at least 20%.

Funds and Cost

Team Members

CONTROL NUMBER 0999-1521: FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUSINESS VOUCHERS ROUND 3

Location(s) of Work

This application has not been submitted. The application must be submitted for evaluation by the Department of Energy.

Not applicable for SBV.

		equirement upon selection for		iou. Troquestors will be required	to provide detail about now it
	Federal Share (DOE) (In Whole Dollars)	Non-Federal Share (In Whole Dollars) *	Total Projected Costs 1	Proposed Cost Share Percentage (i)	Minimum Cost Share
	\$ 200000	\$ 50000	\$250000	20%	20%
□ I certify that I have reviewed the Funding Opportunity Announcement, and this application is eligible for a reduced cost share obligation.					
Proposed Period of Performance (months): * 12					

Estimate project period of performance. 12 months max.

Contact Information

Click to proceed.

Previous Tab



CONTROL NUMBER 0999-1521: FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUSINESS VOUCHERS ROUND 3

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Control Number:	0999-1521	
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Abstract: *	Test Test Test	4000 Max Characters
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Lead Organization: *	Small Business	Please do not use acronyms
Lead Organization Percent Effort (1-100): *	100 🔊 %	
Primary Area of Expertise: *	Receiver Design Select	Primary Area of Expertise
Additional Technical Area:	None currently selected Select	Additional Technical Area
		Save and Continue

Follow link to estimate the current TRL of your technology and the anticipated TRL at the end of the project.

Definitions provided.



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Lead Organization: *	Small Business	Please do not use acronyms
Lead Organization Percent Effort (1-100): *	100 🔊 %	
Primary Area of Expertise: *	Receiver Design Select	Primary Area of Expertise
Additional Technical Area:	None currently selected Select	Additional Technical Area
		Save and Continue

Link to upload files and submit RFA.



Upload and Submit

CONTROL NUMBER 0999-1521: FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUSINESS VOUCHERS ROUND 3

This	application has not been submi	tted. The application n	ust be submitted for evaluation b	y the Department of Energy.		
General Conta	act Information Team Members	Location(s) of Wo	rk Funds and Costs TRL	Upload and Submit		
			the submission deadline, if you decte: Filenames must be 250 character		omission, you	
Title	Description	Allowed File Types	File Name			RFA should be a WORD file.
Request for Assistanc (RFA) *	e Request for Assistance Application	.doc, .docx, .ppt, .pptx	No file uploaded Add New File			
Summary Slide *	Project Summary Slide	.doc, .docx, .ppt, .pptx	No file uploaded Add New File			Please use PPT template provided
Small Business Vouch Additional Questions		.xls, .xlsx	No file uploaded Add New File			
Additional F	Additional Files:					Please use Excel template provided
No Additional Files	were uploaded for this Submission.					<u> </u>
				Upload New Additional F	File	
SBV Terms and Condi	and agree to the terms and condition tions bmit button, I certify that I am autho		fof			No additional files will be reviewed.
Small Business.	on batton, restring that rain daths	nzod to Submit on bond				
					Submit	
				Previo	ous Tab	



Upload and Submit

CONTROL NUMBER 0999-1521: FULL APPLICATION DETAILS FOR FOA #DE-SBV-0000999 EERE SMALL BUSINESS VOUCHERS ROUND 3

This application has not been submitted. The application must be submitted for evaluation by the Department of Energy.

General Contact Information Team Members Location(s) of Work Funds and Costs TRL Upload and Submit

Please upload your submission in the format specified for each file below. Prior to the submission deadline, if you decide to make changes to your submission, you may remove your existing submission and replace it with an updated version. Note: Filenames must be 250 characters or less.

Title	Description	Allowed File Types	File Name
Request for Assistance		.doc, .docx, .ppt, .pptx	0999-1521 Small Business Application (10/24/2016 9:50 AM ET)
(RFA) *			No additional files allowed
Currency Clide	Project Commence Clide	des describes	0999-1521 Small Business Summary Slide (10/24/2016 9:51 AM ET)
Summary Slide *	Project Summary Slide	.doc, .docx, .ppt, .pptx	No additional files allowed
Small Business Voucher	Small Business Voucher Additional	do do	0999-1521 Small Business Additional Questions Form (10/24/2016 9:52 AM ET)
Additional Questions Form	Questions Form	.xls, .xlsx	No additional files allowed

ProvideRequiredcertifications.

Additional Files:

No Additional Files were uploaded for this Submission.

Upload New Additional File

I have reviewed and agree to the terms and conditions in the FOA:

SBV Terms and Conditions

By clicking the Submit button, I certify that I am authorized to submit on behalf of

Small Business

3. Click to Submit RFA.

1. Check for confirmation that files were successfully uploaded.

Submit

Previous Tab



After Submission

- A confirmation page will pop up.
- You will receive email notification that your Full Application has been successfully submitted.
- You may un-submit, edit and resubmit the RFA prior to the application deadline.
- You may share your submission with others, and allow them to edit and resubmit the application.



For More Information...

General Information

David Kistin, info@sbv.org, 505.205.3598

Advanced Manufacturing

Julia Kelley, Oak Ridge National Laboratory sbvpilot@ornl.gov; 865.574.1013

Bioenergy

Corinne Drennan, Pacific Northwest National Laboratory

Corinne.drennan@pnnl.gov; 509.372.6330

Buildings

Dennis Stiles, Pacific Northwest National Laboratory Dennis.stiles@pnnl.gov; 509.375.6374

Fuel Cells

Keith Wipke, National Renewable Energy Laboratory Keith.wipke@nrel.gov; 303.275.4451

Geothermal

David Kistin, Sandia National Laboratory dkistin@sandia.gov; 505.205.3598

Solar

David Kistin, Sandia National Laboratory dkistin@sandia.gov; 505.205.3598

Vehicles

Jodi Bellacicco, Lawrence Berkeley National Laboratory sbv@lbl.gov; 510.486.5445

Water Power (Marine and Hydrokinetic)

Al LiVecchi, National Renewable Energy Laboratory <u>al.livecchi.sbv@nrel.gov</u>; 303.384.6622

Water Power (Hydropower)

TJ Heibel, Pacific Northwest National Laboratory tj.heibel@pnnl.gov; 301.314.6751

Wind

David Kistin, Sandia National Laboratory dkistin@sandia.gov; 505.205.3598

