SMALL BUSINESS INNOVATION RESEARCH
SMALL BUSINESS TECHNOLOGY TRANSFER

SBIR-STTR and NETL

The U.S. Dept. of Energy's Office of Fossil Energy and Carbon Management manages its participation in the Small Business Innovation Research (SBIR) and the Small Business Technology Transfer (STTR) Programs through the National Energy Technology Laboratory (NETL). SBIR and STTR are U.S. government programs in which federal agencies with large research and development budgets allocate a small percentage of their funding for competitions among small businesses. Congress established the SBIR and STTR programs in 1982 to support scientific excellence and technological innovation through the investment of these federal research funds in critical American priorities to build a strong national economy.

SBIR·STTR
America's Seed Fund
POWERED BY DOE

Mikro Systems Ceramic Core
Developed under a Fossil Energy SBIR Award Managed by NETL
Image courtesy of Mikro Systems, Inc.

NETL
NATIONAL ENERGY TECHNOLOGY LABORATORY

HOW DOES IT WORK

Each year the Department of Energy (DOE) issues Funding Opportunity Announcements (FOAs), inviting small businesses to apply for SBIR/STTR grants. The Office of Fossil Energy and Carbon Management (FECM) has historically leveraged its participation in DOE's SBIR/STTR Program by directing its involvement in two mission objectives. One objective has promoted research from small businesses in the area of carbon management. The other has focused on resource sustainability. While these initiatives continue in the near-term, NETL is looking to the future with a goal of minimizing environmental impacts of fossil fuels while working towards net-zero emissions.

DOE's main SBIR Office organizes the solicitation of applications for grants into two distinct activity periods: Release 1 and Release 2. Release 1 includes topics in the areas of Basic Science and Engineering and Nuclear Security. Release 2 includes topics in the areas of Clean Energy and Environmental Management. FECM's Topics are included in Release 2, under Clean Energy. The SBIR/STTR Programs were extended through Sept. 30, 2025 (by Public Law 114-328 and HR S. 4900) keeping the previous percentage from total external research budget at 3.2% for SBIR awards and 0.45% for STTR awards. The total allocation for FECM is approximately $14 million for both Phase I and II awards.

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U.S. DEPARTMENT OF ENERGY

NETL NATIONAL ENERGY TECHNOLOGY LABORATORY

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www.NETL.DOE.gov
science.energy.gov/**SBIR**

SBIR AND STTR DISTINCT PHASES

- Phase I explored the feasibility of innovative concepts with awards of $250,000 for up to 12 months.

- Initial Phase II was the principal R&D effort where the innovative concept was prototyped with awards of $1.6M over a two-year period.

- Sequential Phase II awards are available to completed initial Phase II projects and are comprised of either a Phase IIA or a Phase IIB award. Award size and duration for sequential Phase IIA or Phase IIB are $1.5M for up to two years.

- The Phase IIC award will be used to continue research on the path to commercialization, but it requires matching funds from an industry partner. Funds cannot be provided by the awardee.

- Phase IIA is an award to be used to continue R&D within the scope of the original prototype/process R&D. Program offices recommend topics/subtopics among the Phase II awardees from two years prior to the current fiscal year. Applicants may only apply to those specific topics listed and must have

completed the entire initial Phase II project. A letter of intent is also required.

- Phase IIB is an award to be used to continue R&D beyond the scope of the original prototype/process R&D in preparation for commercialization. The applicant submits a letter of intent when the FOA is issued. Their topic needs not be listed on the FOA. Initial Phase II awardees from two and three years prior to the current fiscal year are eligible to apply.

- Though Phase III is officially part of the SBIR/STTR programs, non-SBIR/STTR funding is used for small businesses to pursue commercial applications of their R&D. Under Phase III, as with other Federal agencies, DOE may award non-SBIR/STTR funded, follow-on awards for products or processes that meet the mission needs of its funding programs. The small business may also pursue private funding and carry on the project under SBIR/STTR guidelines for intellectual property / data protection, reporting requirements, etc.

SBIR AND STTR TOPICS FOR FOSSIL ENERGY

TOPIC I: CARBON MANAGEMENT – NETL's Carbon Management Program, comprised of a world-class team of high-performing leaders, scientists, and engineers, houses the necessary engineering and scientific expertise to manage external R&D projects that further the DOE Fossil Energy and Carbon Management Program's goals. Research in this area supports point source carbon capture, CO_2 removal, CO_2 conversion into products, reliable CO_2 storage, blue hydrogen production, and critical mineral production from industrial and mining waste.

TOPIC II: RESOURCE SUSTAINABILITY – NETL's Resource Sustainability Research Programs, comprised of a world-class team of high-performing leaders, scientists and engineers, house the necessary expertise to support R&D projects that further the DOE Office of Resource Sustainability goals to improve the characterization, production, transportation, and utilization of our nation's abundant oil and natural gas resources. Research focuses on supporting technology innovation and resource development in conjunction with the energy industry. Click here to learn more.

DOE'S SBIR-STTR PROGRAM TYPICAL SCHEDULE

SBIR-STTR FUNDING OPPORTUNITY ANNOUNCEMENTS (FOAS)				
	Phase I		**Phase II (Initial and Sequential)**	
	Release 1	**Release 2**	**Release 1**	**Release 2**
Topics Issued	Mid-July	Late October	N/A	N/A
FOA Issued	Mid-August	Late November	Late October	Mid-February
Letters of Intent	Early September	Mid-December	Mid-November	Mid-March
Applications Due	Mid-October	Early February	Mid-December	Early April
Award Notification	Early January	Late April	Late February	Mid-June
Grant Start Date	Mid-February	Early June	Early April	Late July

ABOUT NETL

NETL is a U.S. Department of Energy national laboratory that drives innovation and delivers technological solutions for an environmentally sustainable and prosperous energy future. By leveraging its world-class talent and research facilities, NETL is ensuring affordable, abundant and reliable energy that drives a robust economy and national security, while developing technologies to manage carbon across the full life cycle, enabling environmental sustainability for all Americans.

Contacts
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