

TUTORIAL #18

Components of Your DOE Phase I Proposal

In Tutorial 9 we introduced the Proposal Preparation Checklist and recommended that you download that document and keep it close to your computer while working on your proposal. This tutorial goes into a little more detail and introduces a companion document on the Department of Energy's (DOE) website entitled **Instructions for Completing a DOE SBIR/STTR Phase I Grant Application**. This document starts with a chart that introduces the components of the documentation applicants need to submit as part of their SBIR or STTR application package. This summary chart can be found towards the beginning of this PDF.

In the list of mandatory and optional forms, it confirms the format in which documents should be submitted and whether the forms are “not applicable”, stand alone, or to be attached to specific fields on the grants.gov site. As an aside, if you find an inconsistency between this information in this document and the Funding Opportunity Announcement (FOA), always follow the guidelines in the FOA. Also, please let DOE know of the inconsistency, so that it can be immediately addressed.

SUMMARY OF DOCUMENTS

In looking at the Summary of Mandatory Documentation, you will notice that the phrase “Not applicable” is used next to headings. This is really just to let you know that this is not a document per se – but a reference to a section of the application. Please also note that this entire 83-page document is a very detailed explanation of how to complete the DOE SBIR or STTR grant application package. Rather than trying to reiterate in detail what is well expressed in this document, let's spend a moment showing you how to use this document.

FINDING INFORMATION OF INTEREST

When you start to assemble your application package, have this document handy. Take a look at the list of components and look at those concepts that may be unfamiliar or confusing. For example, you may want to know where is the “appropriate block” to include information on **“R&R Senior/ Key Persons”**. To find this information, you can search the document for the phrase “R&R Senior/Key Persons”, carefully copying the

exact phrase from the component list. The “find” function immediately takes you to a section heading within this document with the same name.

There, you can find a screen shot from grants.gov showing what to expect and what fields are needed to complete in this section.

The phrase “not applicable” means that this is not a document per se, but a reference to a section of the application.

Name of Document	Format	Attach
SF424 Research & Related (R&R) Application for Federal Assistance	PDF	Not Applicable
<ul style="list-style-type: none"> SFLLL Disclosure of Lobbying Activities, if applicable (Optional) 	PDF	Not Applicable
Project/Performance Site Location(s)	PDF	Not Applicable
R&R Other Project Information	PDF	Not Applicable
<ul style="list-style-type: none"> Project Summary/Abstract 	PDF	Attach to Field 7 of R&R Other Project Information
<ul style="list-style-type: none"> Project Narrative, including required appendices 	PDF	Attach to Field 8 of R&R Other Project Information
<ul style="list-style-type: none"> Level-of-Effort Worksheet 	PDF	Attach to Field 12 of R&R Other Project Information

OMB Number: 4040-0001
Expiration Date: 06/30/2011

RESEARCH & RELATED Senior/Key Person Profile (Expanded)

PROFILE - Project Director/Principal Investigator	
Prefix: <input type="text"/>	* First Name: <input type="text"/> Middle Name: <input type="text"/>
* Last Name: <input type="text"/>	Suffix: <input type="text"/>
Position/Title: <input type="text"/>	Department: <input type="text"/>
Organization Name: <input type="text"/>	Division: <input type="text"/>
* Street1: <input type="text"/>	
Street2: <input type="text"/>	
* City: <input type="text"/>	County/ Parish: <input type="text"/>
* State: <input type="text"/>	Province: <input type="text"/>
* Country: USA: UNITED STATES	* Zip / Postal Code: <input type="text"/>
* Phone Number: <input type="text"/>	Fax Number: <input type="text"/>
* E-Mail: <input type="text"/>	
Credential, e.g., agency login: <input type="text"/>	
* Project Role: <input type="text"/>	Other Project Role Category: <input type="text"/>
Degree Type: <input type="text"/>	
Degree Year: <input type="text"/>	
*Attach Biographical Sketch <input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
Attach Current & Pending Support <input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>

The associated, written explanation can be helpful. For example, you need to complete this section before completing the Budget form, because info in that section is populated with the information that you enter here. The document also contained useful information about the principal investigator, stating for example that, “non-U.S. citizens are

eligible to perform work on SBIR/STTR projects provided they are legally empowered to work in the U.S. and perform the project work in the U. S. at the time that an award is made and throughout its duration.” Once you enter the information in the section on grants.gov – the information is pre-populated in the SF424 form.

Continuing to read the associated supplemental information, you can find useful information about the importance of the biographical sketches that applicants enter and how this information is considered by reviewers. The term **“Other Significant Contributors” (OSC)** is introduced and a definition provided. OSCs, by the way, are individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (in person months) to the project. These individuals are typically presented at “effort of zero person months” or “as needed” since individuals with measurable effort cannot be listed as OSCs. Such an individual might be a mentor or an advisor.

PRIORITIZING ONE’S TIME

What quickly becomes apparent as you review this document, is that it will take you time to learn how to effectively use the grants.gov system. Therefore, avoid the frustration that comes with trying to do this at the last minute. After you have submitted your Letter of Intent (LOI), one of the first things that you must do, is assure that all of your registrations are complete - see Tutorial 12 - especially grants.gov. Follow the instructions regarding how to download the grants.gov submission package that you will find in this same document.

HELP DESK

As you may have difficulty at this point, keep the help desk number for grants.gov handy. One may occasionally need to ask for help with grants.gov because the on-line error messages that arise

when using grants.gov can be frustrating. The help desk is staffed, 24 hours a day, seven days a week.

POINTS TO REMEMBER

To bring this discussion to a close, here are a few points to remember:

The help desk is staffed,
24 hours a day, seven
days a week.

1. When you submit an SBIR or STTR proposal to DOE – you are submitting an application package through grants.gov.
2. The application package has multiple components and it is important that you submit all components so that your application is not eliminated during DOE’s administrative review process for missing attachments.
3. Make use of the document provided by DOE entitled Instructions for Completing a DOE SBIR/STTR Phase I Grant Application and review the list of components at the beginning of this document so that you are aware of each item that you need to submit. This document strives to answer every question that you may have about how to submit your application package.
4. To avoid frustration, register with grants.gov at least 45 days before the application is due and download the appropriate application package, when it becomes available. The application package, by the way, only becomes available once a DOE FOA has been issued.
5. Using this guide gives you an opportunity to learn more about the subtleties of how your application will be reviewed.

IMPORTANT PHONE NUMBERS & E-MAILS

Grants.gov Helpdesk

800-518-4726

support@grants.gov

The Contact Center is available
24 hours a day