



# Dept. of Energy's Small Business Voucher Program Overview

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# The Small Business Vouchers Pilot (SBV)

The Small Business Vouchers Pilot (SBV) is a pilot program sponsored by the Department of Energy's (DOE) Office of Energy Efficiency and Renewable Energy (EERE) [National Lab Impact Initiative](#). There are three pilot components to DOE/Office of Energy Efficiency and Renewable Energy's [National Laboratory Impact Initiative](#): Lab-Corps - launched in 2014, SBV - launched in 2015, and Technologist-in-Residence, currently underway. The goal of the program is to increase engagement between the U.S. small business community and DOE's national laboratories.

# The Small Business Vouchers Pilot (SBV)

- Vouchers support small businesses by providing funding to DOE National Laboratory staff to help small businesses overcome critical technology and commercialization challenges. Vouchers are not financial awards made to small businesses.

# The Small Business Vouchers Pilot (SBV)

- Up to \$20 million is available for administration, outreach and awareness building and the vouchers themselves in the SBV pilot. **The funding is in nine technical areas: advanced manufacturing, wind power, water power, solar power, biofuels, fuel cells, geothermal, buildings, and vehicles.** Individual vouchers will be worth between \$50,000 and up to \$300,000. The voucher is like a coupon that can be redeemed for work at a specific national laboratory. The funding represented by the voucher will not be provided directly to the applicant. The number of vouchers for each area may vary.

## Participating Laboratories



- 10 in Office of Science
- 3 in NNSA
- 1 in Nuclear Energy
- 1 in Fossil Energy
- 1 in EERE
- 1 in Environmental Management

## SBV Lead Labs

	Adv. Manuf.	Buildings	Solar	Wind	Water	Geo.	Vehicles	Fuel Cells	Bio-energy
	X	X					X		
		X			X				X
					X			X	X
	X					X	X	X	
			X	X		X			

## SUMMARY

Through the Department of Energy's Small Business Voucher Pilot Program, eligible small businesses can coordinate with experts and equipment at participating National Laboratories to work collaboratively on solving technology and commercialization challenges such as:

- **Prototyping**
- **Materials characterization**
- **High performance computations**
- **Modeling and simulations**
- **Samples for potential customers**
- **Validation of technology performance**
- **Designing new ways to satisfy regulatory compliance**

## Important Dates

### **Round 1:** CLOSED

Notification of selection/rejection: Mid December 2015.

Lab staff and successfully merit-reviewed companies finalize statement of work and agreement- Mid December-Mid January.

Voucher Work begins in February 2016 and runs for up to 12 months.

**Round 2:** Estimated opening in February 2016.

**Round 3:** Estimated opening in June 2016.

### **Each voucher request round will run on the following time schedule:**

- Request opportunity open for approximately 4 weeks at the beginning of each round.
- Requests will be evaluated, selected and approved within 4-6 weeks of closing the round's request opportunity.
- Lab and company matchmaking and finalize scopes of work and contract agreements within 4 weeks.
- DOE will approve or request more information within 2 weeks.
- Work can begin approximately 12 weeks after closing of request opportunity.
- Vouchers are valid for up to 12 months of work performed at a national laboratory.

## LAB PREFERENCE

**17 national laboratories in the DOE system are available to receive vouchers. If you have a preference for working with a specific national lab for geographic or other reasons, please indicate that in your request for assistance.**

## Submitting a Request

1. Register your company at [SBV.ORG](http://SBV.ORG)
2. Confirm Eligibility
3. Submit a Voucher Request

Individual Vouchers have a period of performance of 12 months.  
Evaluation metrics will be tracked for 5 years.

## How the Small Business Voucher Pilot (SBV) Voucher process

**works:** SBV will accept requests from qualified small businesses in up to three rounds during 2015-16.

### Submitting a Request

To request assistance from the Department of Energy (DOE), undergo a merit review and potentially be paired with a national laboratory:

- **Step 1:** Confirm your [eligibility](#).
- **Step 2:** Read the [Notice of Opportunity: Request for Assistance \(text version\)](#) carefully.
- **Step 3:** Create a login by hitting [Register](#) on the top navigation bar.

## Submitting a Request (continued)

- **Step 4:** Prepare your request. (Instructions are located in Section I of this [Notice of Opportunity: Request for Assistance \(text version\)](#)). A template is available [here \(text version\)](#).
- **Step 5:** Fill out the online form located [here](#) and upload your request as a single PDF document (this must be done in one sitting).
- **Step 6:** Hit the [Submit](#) button at the bottom of the submission page (you will receive an auto-generated confirmation of receipt via email.)

### Extra Information:

- **Non-proprietary info** – Do not provide any proprietary information in the request or in supporting documentation or resumes. Submissions are considered final. In an emergency please send an email to [info@sbv.org](mailto:info@sbv.org).
- **Conflict of interest/fairness of opportunity** – The DOE and the SBV Pilot Labs will broadly circulate the DOE Notice of Opportunity to the small business community in order to ensure fairness of opportunity.
- **The Central Assistance Portal, or CAP**, is designed to be a one-stop shop for submitting requests for assistance (RFA) for the Small Business Vouchers (SBV) Program.

# LAB CONTACTS

## Advanced Manufacturing:

Jennifer Palmer  
Oak Ridge National  
Laboratory  
(865) 241 - 4218  
[sbvpilot@ornl.gov](mailto:sbvpilot@ornl.gov)

## Bioenergy:

Corinne Drennan  
Pacific Northwest National  
Laboratory  
(509) 372 - 6330  
[corinne.drennan@pnnl.gov](mailto:corinne.drennan@pnnl.gov)

## Buildings:

Jennifer Palmer  
Oak Ridge National  
Laboratory  
(865) 241 - 4218  
[sbvpilot@ornl.gov](mailto:sbvpilot@ornl.gov)

## Fuel Cells:

Keith Wipke  
National Renewable Energy  
Laboratory  
(303) 275 - 4451  
[keith.wipke@nrel.gov](mailto:keith.wipke@nrel.gov)

## Geothermal:

David Kistin  
Sandia National Laboratories  
(505) 205 - 3598  
[dkistin@sandia.gov](mailto:dkistin@sandia.gov)

## Solar:

David Kistin  
Sandia National Laboratories  
(505) 205 - 3598  
[dkistin@sandia.gov](mailto:dkistin@sandia.gov)

## Vehicles:

Jennifer Palmer  
Oak Ridge National  
Laboratory  
(865) 241 - 4218  
[sbvpilot@ornl.gov](mailto:sbvpilot@ornl.gov)

## Water Power:

Al LiVecchi  
National Renewable Energy  
Laboratory  
(303) 384 - 6622  
[al.livecchi.sbv@nrel.gov](mailto:al.livecchi.sbv@nrel.gov)

## Wind:

David Kistin  
Sandia National Laboratories  
(505) 205 - 3598  
[dkistin@sandia.gov](mailto:dkistin@sandia.gov)

## Eligible businesses must:

- Be a **for-profit business** with no more than **500 full-time-equivalent employees** worldwide.
- **Be U.S.-based and U.S.-owned.** Products embodying intellectual property developed under the assistance must be substantially manufactured in the United States.
- Request assistance for a clean tech product or process **in one or more of these nine areas:**
  - Advanced manufacturing
  - Bioenergy
  - Building technologies
  - Fuel cells
  - Geothermal power
  - Solar power
  - Water power
  - Wind power
  - Vehicles

**To be considered, eligible businesses must certify that they will adhere to the following:**

- **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.
- **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: section G.

## ELIGIBILITY

- **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 \(TAPA\) \(text version\)](#) or 2) [Short Cooperative Research and Development Agreement \(Short CRADA\) \(text version\)](#)
- **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.

## Cost Share

- Every cost share contribution must be allowable under the applicable Federal cost principles. In addition, cost share must be verifiable upon submission of the Full Application.
- Requesters may provide cost share in the form of cash or in-kind contributions. Allowable in-kind contributions include, but are not limited to: personnel costs, indirect costs, facilities and administrative costs, rental value of buildings or equipment, and the value of a service, other resource, or third party in-kind contribution. Requesters are allowed to estimate the cost to provide metrics data about the SBV for 5 years to the U.S. Department of Energy.

## Cost Share (cont.)

- Project teams may use funding or property received from state or local governments to meet the cost share requirement, so long as the funding was not provided to the state or local government by the Federal Government.

***Requests for assistance are limited to 5 pages of text. Graphs, tables, and images may be included as supporting documentation, limited to 2 pages in an appendix. In addition, respondents may include up to 3 resumes for key personnel.***

## Format

### Technical Merit & Lab Alignment

- 1. *Company Summary*:** Describe the mission and vision for your company. What differentiates your company from others in this market?
- 2. *Problem Statement*:** Describe the challenge your company is facing and how this assistance, if granted, will help you overcome that challenge.
- 3. *National Laboratory Alignment*:** As specifically as possible, describe the National Laboratory capability you plan to utilize.

## Technical Merit & Lab Alignment (cont.)

**4. *Environmental & Energy Impact:*** Describe how this project, if successful, will contribute to one of more of the following areas:

- a. Cost savings
- b. Increased performance
- c. New processes or materials
- d. New products or markets
- e. Reduced greenhouse gas emissions
- f. More efficient energy generation
- g. Reduced life-cycle or process energy use
- h. Increased regulatory acceptance

## Technical Merit & Lab Alignment (cont.)

- 5. *Work Scope*:** Describe the work that you would like completed using the National Laboratory capability.
- 6. *Expected Outcomes from Technical Assistance*:** Describe the impact the requested assistance will have on your business.

## Business & Market Impact

7. ***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.
8. ***Market Analysis:*** Describe the expected impact on the broader market if the project is successful.
9. ***Deployment Approach:*** When and how will these new or improved products or services be introduced to the market or otherwise benefit your company?

## Qualifications & Experience

**10. Team:** List the key members of your company's leadership and technical team. Briefly describe their qualifications and experience. (Respondents may include up to 3 resumes in addition to this 5-pages of text and 2 pages of supporting documentation).

# Merit Review Criteria

1. Extent to which the requester has clearly identified the problem or challenges the company is facing **(10 %)**
2. Extent to which the innovation/concept/technology will contribute in a significant manner in one of more of the areas within the EERE mission space **(20 %)**
3. Quality of the requester's plan to utilize the results or outputs from the assistance in a manner that will lead to advancement of their business, industry or marketplace **(15 %)**

### Merit Review Criteria (cont.)

4. Extent to which the innovation/concept/technology included in the request will contribute to the overall clean energy marketplace or state of technology development **(15 %)**
5. Extent to which the requester has a feasible plan for deploying the innovation/concept/ technology to the market **(10 %)**

### Merit Review Criteria (cont.)

6. Extent to which the team is capable of executing a successful project and subsequent implementation or deployment **(10 %)**
7. Lab Alignment: the extent to which the request is aligned with lab capabilities and priorities **(20 %)**

## Review and Approval

Requests will be evaluated by a merit review committee that includes lab staff and external subject matter experts and may include EERE technology office observers or participants. Reviewers will score each request. The merit review committee will recommend small business requests along with national lab staff to fulfill the request to the DOE. Once approved, national laboratories will notify the requesting small business and begin finalizing a statement of work and budget. At this time, the requestor will be required to provide detail on how it will meet the 20% cost-share requirement of the SBV pilot.