

SBIR/STTR

FY25 Phase II Opportunity Webinar

August 19, 2026



DOE SBIR & STTR Site
CWX Application Hub



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Key Program Staff

DOE Office of Technology Commercialization Program Managers

- Eileen Chant – SBIR/STTR Program Manager, DOE
- Benjamin Shrager – SBIR/STTR Program Manager, DOE
- Felipe Barcia – PIA Program and Management Analyst, DOE

ConnectWerx Support

- Grayson Dorr – Program Manager, ConnectWerx
- Kelsey Hamilton – Sr. Project Manager, ConnectWerx



Who is CWX and what do we do?



ConnectWerx (CWX), managed by Advanced Technology International (ATI) is a non-federal partnership intermediary that works on DOE's behalf under a formal legal agreement with the DOE Office of Technology Commercialization (OTC) called a Partnership Intermediary Agreement (PIA).



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The mission of ConnectWerx is to **Engage, Match, and Collaborate** across the US Industrial and Academic base to help the Department of Energy (DOE) address **energy, environmental** and **nuclear** challenges through transformative science and technology solutions.

Keep Connected:

Join the SBIR/STTR Mailing List: <https://sbir-sttr.connectwerx.org/stay-connected/>

Connect with us on LinkedIn : @Connectwerx

Email us at: sbir-sttr@connectwerx.org

Check out our other CWX opportunities: <https://www.connectwerx.org/>

Join us at the TechConnect 2026 SBIR/STTR Fall Innovation Conference:



September 22-24, 2026 | Washington, D.C.

Gaylord National Harbor Convention Center and Hotel

Booth #615

<https://techconnect.org/2026-sbir-sttr-fall-innovation-conference/>

Program Overview



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SBIR/STTR Program Restructuring

Legacy NOFO

- Managed and Administered by the Office of Science
- FAR-Based Cooperative Agreement or Grant
- Cost reporting and repayment-based model
- Applications and awards made at each Phase

New PIA Program

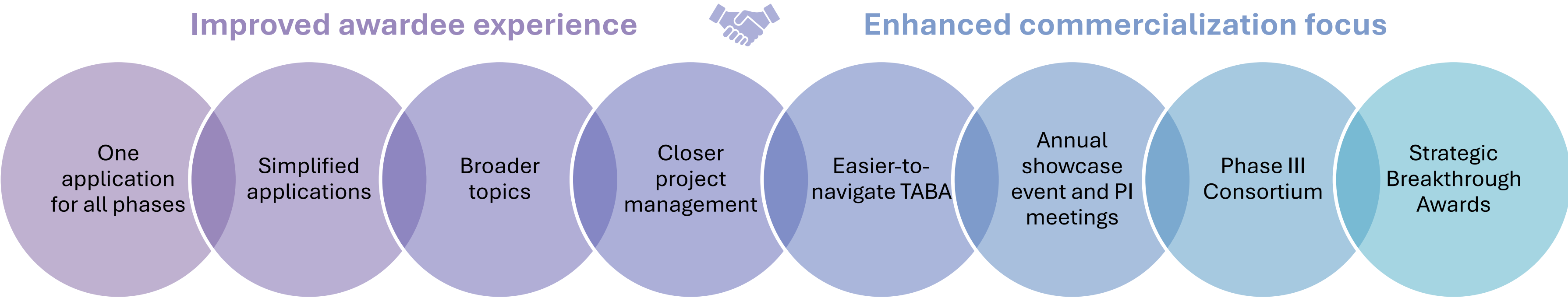
- Managed by the Office of Technology Commercialization (OTC)
- Administered by CWX
- Non-FAR Based Agreement with Firm-Fixed Pricing
- Milestone-based repayment
- Fast-Track model: all phases awarded during initial application and new phases approved with a go/no-go review

The most recent SBIR/STTR reauthorization (S. 3971 - the Small Business Innovation and Economic Security Act) added new focus on commercialization and market offtake. DOE has decided to restructure the program and consolidate it under OTC. Along with this consolidation, DOE is now restructuring the program under a new funding mechanism.

Active projects awarded through solicitations issued by the Office of Science in FY 2025 and earlier will continue to follow the legacy program structure and will continue to be managed by SC. As new awards are made for prior Phase I & II projects, they will be on-ramped into the new program structure.

New PIA Program Overview

OTC is leveraging CWX, a [Partnership Intermediary Organization](#), to administer the SBIR/STTR program (including but not limited to outreach, solicitation management, collaboration events, negotiations, execution of business agreements with selected performers, and invoice management). Along with CWX supporting administration and the change to a PIA funding mechanism, OTC will also be making other program enhancements to help promote commercialization and improve awardee experience.



DOE remains responsible for program design, funding, technical oversight, and award selection. **Eligibility requirements for first, second (previously Phase IIA or IIB), and third Phase II (previously Phase IIC) funding opportunities are unchanged in this release.**

Eligible Prior Awardees

Only awardees from the solicitations in the green box are eligible to apply for this opportunity. Awardees from solicitations in the red box are not eligible for this opportunity but may be eligible for a future opportunity.

FY25 Phase II (this opportunity)

DE-FOA-0003202: FY24 Phase I Release 2

DE-FOA-0002572: FY22 Phase II Release 2

DE-FOA0002991: FY23 Phase II Release 2

FY26 Phase II (future opportunities)

DE-FOA-0003462: FY25 Phase II Release 1

DE-FOA-0003504: FY25 Phase I Release 2

DE-FOA-0003417: FY25 Phase I Release 1

Please note that CWX has already reached out to invite eligible prior awardees to apply to this opportunity. If you believe that you are eligible and have not been contacted, please submit your organization name and award number to sbir-sttr@connectwerx.org.



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Process Details

How to Participate

1. Review [FY25 Phase II Opportunity Page](#) for details on eligibility, evaluation criteria, and how to apply.
2. Attend the virtual Office Hours on August 19th.
3. Download this [Checklist](#) and start gathering materials for the application. This includes developing a Project Narrative and Commercialization Plan from the provided templates and gathering Biosketches and Current and Pending Support documentation from team members.
4. Complete the Submission Form in the AMP application portal ([request access](#), *application link coming soon*). Submissions are due no later than **September 25, 2026 at 12:00 PM ET**.

Timeline:

- **Wednesday, 7/22:** Program announced, opportunity and resources posted, applicants can request access to the Acquisition Management Portal (AMP)
- **Mid August:** AMP Applications Open
- **Wednesday, 8/19 at 3 PM ET:** Virtual [Office Hours](#) session with DOE and CWX representatives
- **Friday, 9/25 at 12 PM ET:** Application Closes



SBIR Specific Requirements

In addition to the core SBC requirements, the SBIR program enforces specific rules regarding employment and the division of work:

- **Primary Employment of the Principal Investigator (PI):** The PI's primary employment must be with the small business at the time of the award and during the entire duration of the project. "Primary employment" means that the PI spends more than 50 percent of their total employment hours with the small business, which generally precludes full-time employment elsewhere (such as at a university or another firm).
- **Performance of Work (Minimum Level of Effort):**
 - Phase II: The proposing small business must perform a minimum of one-half of the research or analytical effort. Up to one-half can be subcontracted.
 - Partnering: Partnering with a university, federal laboratory, or other research institution is completely optional for SBIR

More information on eligibility criteria for all phases can be found here: [Eligibility Criteria - SBIR/STTR Application Hub](#)



STTR Specific Requirements

In addition to the core SBC requirements, the SBIR program enforces specific rules regarding employment and the division of work:

- **Mandatory Research Partner:** The small business must formally partner with a single, US-based, non-profit research institution. Eligible institutions include:
 - Non-profit colleges or universities.
 - Domestic non-profit scientific/research organizations.
 - Federally Funded Research and Development Centers (FFRDCs).
- **Performance of Work (Minimum Level of Effort):** Both the small business and the research institution must perform a statutory minimum amount of work:
 - The proposing small business must perform at least 40 percent of the R&D effort.
 - The partnering research institution must perform at least 30 percent of the R&D effort.
 - The remaining 30 percent of the work can be performed by either partner or outsourced to other subcontractors.

Primary Employment of the PI: For STTR, the PI's primary employment is not strictly restricted to the small business. The PI may be primarily employed by either the proposing small business OR the partnering non-profit research institution.

Intellectual Property (IP) Agreement: Before work begins, the small business and the research institution must establish a formal, written agreement detailing how intellectual property rights and follow-on licensing/commercialization rights will be allocated.

More information on eligibility criteria for all phases can be found here: [Eligibility Criteria - SBIR/STTR Application Hub](#)



Phase II Application Checklist

→ Core Project Proposal

Click [HERE](#) for a downloadable PDF “Application Checklist” of all possible uploads, requirements, and resources.

File Title:	Requirements	Resource(s):	Submission File Type
Commercialization Plan <i>Note: 10 page limit, minimum size 12 font.</i>	Required	Template (.docx)	.pdf
Project Narrative <i>Note: 12 page limit, minimum size 12 font.</i>	Required	Template (.docx)	.pdf
Pitch Video	Required	Guidance	Video Link & .pdf
Project Team Partner Information & Commitments (Organization Level)	Required	Template (.docx) Example Letters of Commitment: Research Institution & Subcontractor	.pdf
Project Team Member CVs/Biosketches (Individuals) <i>Note: DOE strongly recommends that applicants use the SciENCv format approved by the NSF</i>	Required for all covered individuals	Online Generator: Science Experts Network Curriculum Vitae (SciENCv) Manual Template (.pdf) Examples: Private Sector & Academia	.pdf
Project Team Member Current & Pending Support (Individuals) <i>Note: DOE strongly recommends that applicants use the SciENCv format approved by the NSF</i>	Required for all covered individuals	Online Generator: Science Experts Network Curriculum Vitae (SciENCv)	.pdf
Cash Flow Pro Forma	Required	Example Sheets (.xlsx): Licensing, Software, & Manufacturing	.xlsx
Bibliography & References Cited	Optional	None	.pdf

Phase II Application Checklist:

→ *Disclosures & Determinations*

Click [HERE](#) for a downloadable PDF “Application Checklist” of all possible uploads, requirements, and resources.

File Title:	Requirements	Resource(s):	Submission File Type
Authorization for FFRDCs	Required if a FFRDC is included as a subcontractor	Guidance	.pdf
Disclosure of Foreign Relationships	Required form, even if to indicate no Foreign Relationships	Editable Form (.pdf)	.pdf
Disclosure of Lobbying Activities	Required if the applicant or a subawardee is lobbying the SBIR/STTR agency and/or someone in Congress regarding the application.	Editable Form (.pdf)	.pdf
SBA Commercialization Report	Required	Example	.pdf
Data Management Plan Basics	No action during application <i>Future requirement only if awarded and choosing to publicly disseminate any data.</i>	Guidance	N/A

Phase II Application Checklist:

→ Letters of Commitment & Support

Click [HERE](#) for a downloadable PDF “Application Checklist” of all possible uploads, requirements, and resources.

File Title:	Requirements	Resource(s):	Submission File Type
Letters of Funding Commitments (Phase II)	Required only for an applicant’s third SBIR Phase II award (having already received a DOE SBIR Phase II award AND DOE SBIR Phase IIA or IIB award). <i>Note: To be eligible for this award, matching funds from a third-party investor must be equal to the award amount.</i>	Example	.pdf
Letters of Phase III Follow-on Funding Commitments	Optional	None	.pdf
Letters of Support	Optional	Example	.pdf

What is the difference between a Letter of Commitment, Letter of Funding Commitment and a Letter of Support?

Letter of Commitment: Letters of commitment are required for all consultants, subcontractors, research institutions and other sub-awardees of the proposed project. These letters demonstrate commitment by the partner institution to contribute to the proposed project at the level of effort required by the program and **must be included in the Project Team Partner Information upload**.

Letter of Funding Commitment: A letter of funding commitment **is required to demonstrate the matching funds requirement for a Third Phase II award** (formerly known as IIC). Other Phase II and Phase II.2 applicants who have secured matching funds for their projects are welcome to provide letters of funding commitment, but they are not required.

Letter of Support: While a letter of support may be a commitment of funds, most often it is either an endorsement of the proposed work or an offer to provide facilities or data for the small business to carry out its research and development. Though they are not required, for a small business, a letter of support from a recognized expert in the field can present a particularly valuable voice to speak to the significance of the problem and/or the potential value of the approach suggested by the small business. Additionally, a well-known industry expert can be extremely useful in discussing the potential commercialization and market value of the proposed technology. Applicants should also seek letters of support from any State agencies who have promised matching funds should the applicant receive an SBIR/STTR award.

Evaluation Criteria

Applications will be evaluated against three equally weighted core areas. Scores from each area will be averaged to produce the overall proposal score. All application materials will be considered holistically to inform these scores. The core areas are as follows:

1: Technical Promise, evidenced by:



- **Significance:** substantiation of the importance and urgency of the challenge being addressed.
(What customer evidence or market data supports your assessment of the problem's significance?)
- **Innovation:** the novelty of the proposed solution and evidence that it represents a meaningful advancement or breakthrough.
(Has the proposed solution been validated?)
- **Feasibility:** the likelihood of successfully developing a working prototype within the proposed Phase II timeline and budget.
(Is the Phase II work plan realistic and achievable? What are the top technical risks, and how will you mitigate each risk?)

2: Commercialization Potential, evidenced by:



- **Value Proposition:** validation of the technology's ability to meet identified customer needs at a price point customers are willing to pay.
(What feedback have you received from potential customers regarding the technology's value and price point?)
- **Competitive Advantage:** a validated assessment of the competitive landscape, and demonstrable progress toward securing a long-term competitive advantage
(How will you differentiate your business from competitors and secure your position in the market? What is the status of your IP portfolio (e.g., issued patents, pending applications, trade secrets, etc.?)
- **Go-to-Market Strategy:** progress towards implementing your go-to-market roadmap, with concrete customer and partner engagement.
(Have you identified and connected with key partners? What is your customer acquisition strategy?)

3: Team Qualifications, evidenced by:



- **Company:** a balanced team with both technical and commercialization expertise, and access to adequate equipment and facilities.
(Have you scaled your team, facilities, and/or manufacturing capabilities since Phase I? Do you have a clear organizational structure with defined roles and responsibilities?)
- **Partnerships:** the strength and relevance of external partnerships, advisors, subcontractors, or other collaborators that enhance the likelihood of the project's success.
(Have you secured strategic alliances that strengthen your project Are there any strategic investors, corporate/industry partners, or potential acquirers who have expressed interest in your technology?)
- **Financials:** an updated revenue model with realistic and growth projections, a sound allocation of award funds, and a credible plan for securing follow-on funding.
(Do you have a credible vision for growth? Will your use of award funds meaningfully advance your project? What are the key assumptions of your financial projections?)



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Fraud Awareness Briefing - Office of Inspector General

- OIGs were formed by the Inspector General Act of 1978 to increase the economy and efficiency of the federal government through audits and investigations. OIGs exist at each department and most independent agencies.
- DOE OIG Office of Investigations
 - Special Agents who conduct investigations of violations of ***criminal*** and ***civil*** statutes, especially fraud, false claims, and bribery/kickbacks
 - Draft and serve Inspector General (IG) subpoenas
 - Refer matters to the Department of Justice for civil and/or criminal prosecution
 - Apply for and execute search and arrest warrants
 - Work with partners at DCIS, NASA OIG, NSF OIG, HHS OIG, FBI and others



Combating Fraud

Types of fraud found in the SBIR Program

- Duplicative proposals (without informing DOE) or plagiarized proposals
 - False statements regarding the company (size, ownership, affiliations, etc.)
 - False statements regarding the Principal Investigator and Key Personnel (employment, commitment, current and pending support, location)
 - Falsities regarding the work to be performed (by whom, where)
 - Using award funds for personal use or other unallowed uses
 - Submitting false reports or false claims
-
- *False Certifications to DOE, other funding agencies, and SAM.gov*



Certifications

Example DOE Award Certification

I, [Full Name and Title], certify to the best of my knowledge and belief that the information contained in this Current and Pending Support Disclosure Statement is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims, or otherwise. (18 U.S.C. § § 1001 and 287, and 31 U.S.C. § § 3729-3733 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.



Criminal, Civil, and Administrative Outcomes

- Criminal prosecution can result in Incarceration, Probation, Restitution, Fines, etc.
- Violations of the Civil False Claims Act can result in Treble (3x) Damages, Penalties up to \$11,000 per claim, Corporate Integrity Agreements / Certification of Compliance Agreements
- Possible Administrative Remedies include Award Termination, Claw Back of Funds, or ***Suspension and Debarment***



SBIR Fraud Press Release - Nearly \$1.1 Million Paid in Criminal Restitution

United States Attorney Ron Parsons announced that multiple corporate defendants convicted of Conspiracy to Commit Wire Fraud and one individual defendant convicted of Wire Fraud were sentenced on January 14, 2019.

As part of the plea agreements filed with the Court, the defendants paid restitution totaling \$1,084,418.60. The restitution was paid at the time each defendant appeared to plead guilty. All of the corporations, as a result of the successful investigation and prosecution, are now defunct and no longer operational.

The corporate-defendants applied for and received federal awards for essentially equivalent work, or portions thereof, concealing the existence of the awards and the relationships between related companies from the awarding agencies. During the application process, the corporate-defendants misrepresented the existence and use of distinct company facilities, equipment, and operations in South Dakota and North Dakota, and elsewhere outside of California. These representations and statements were false in that all of the companies were co-located in a common facility in Richmond, California, sharing the same resources and performing essentially equivalent work, or portions thereof.

The corporate-defendants' fraudulent conduct included the preparation and submission of proposals for awards under the NSF, NASA, and DOE programs specifically involving costs, employees, the eligibility of principal investigators, suitability of facilities, location of facilities, subcontractors, consultants, letters of support, and certifications submitted to NSF, NASA, and DOE.



How to Report Violations

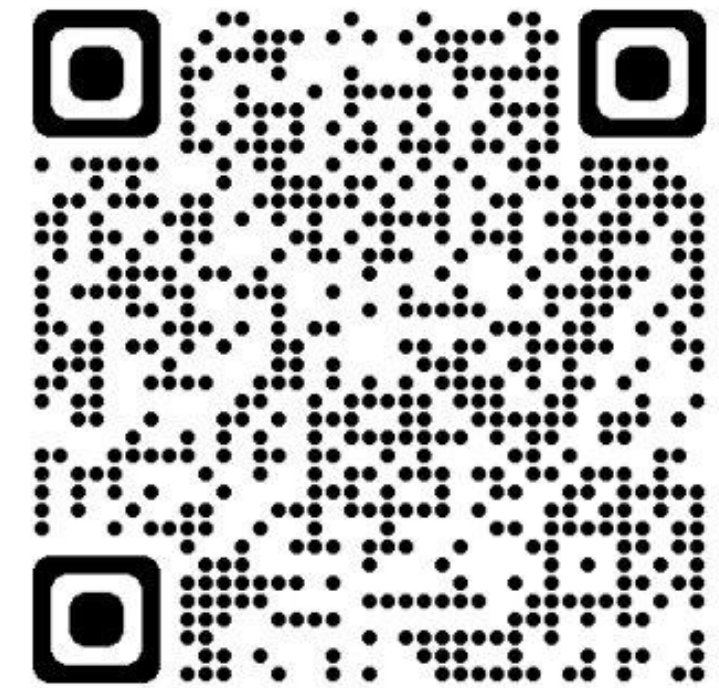
Mandatory Disclosures

Report criminal or civil violations to funding agency *and* the OIG

DOE OIG Hotline

Phone: (800) 541-1625/ (202) 586-4073

Email: ighotline@hq.doe.gov



Qui Tam Whistleblower Lawsuit

Report civil violations to Department of Justice

Whistleblower *can* receive 15% - 30% of recovered funds



Topic Overview



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FY25 Phase II Eligible Participants:

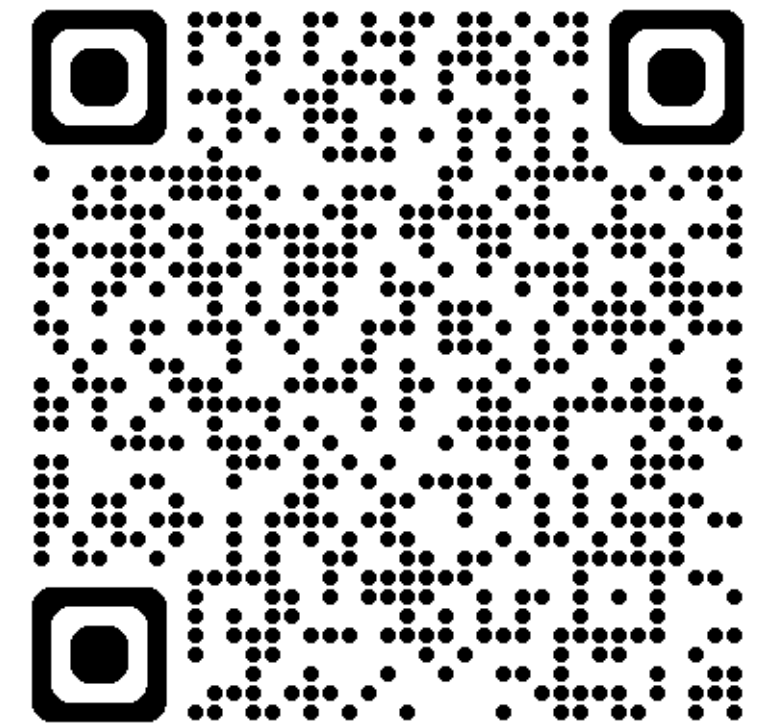
SBIR/STTR Awardees who applied to a subtopic under one of the following topics in DOE's SBIR FY24 Phase I Release 2 Opportunity are eligible to apply for the current Phase II opportunity. If your application is based on a completed project from the DE-FOA-0002572: FY 2022 SBIR/STTR Phase II Release 2 or DE-FOA-0002991: FY 2023 Phase II Release 2, during the application you should select the topic area that is most closely aligned.

- Topic Area 1 - AI, Quantum, Advanced Sensing and Risk Mitigation for Energy Security
- Topic Area 2 - Modernizing the Electricity Grid and Advanced Energy Storage
- Topic Area 3 - Next-Generation Nuclear and Waste Management Solutions
- Topic Area 4 - Industrial Processes and Carbon Innovation
- Topic Area 5 - Critical Minerals and Materials Innovation
- Topic Area 6 - Energy Technology Innovation



National Energy Research Scientific Computing Center (NERSC)

Please note for application planning purposes that DOE SBIR/STTR grant projects requiring high performance computing support are eligible to apply to use DOE NERSC resources. NERSC is the primary scientific computing facility for the DOE. Its systems are reliable, secure, and provide a state-of-the-art scientific development environment with the tools needed by its diverse community of users. If selected for an award, you can apply [here](#).



The Application Process



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Request Access to AMP Application Portal



ATI
ADVANCED TECHNOLOGY INTERNATIONAL

AMP Access Request Form

→ <https://register.ati.org/>

Programs

☐ AMTC *

☐ DIBC *

☐ MCDC *

☐ NSTIC *

☐ SBIRSTTR

☐ BioMaP-Consortium

☐ EMC² *

☐ MSTIC

☐ TReX II *

☐ CWMD *

☐ IWRP *

☐ NEST *

☐ UTIC *

☐ CWX

☐ MATAAC *

☐ NSRP

☐ LETHALITY *

Account Details

First Name

Last Name

Your Organization Email Address

Phone Number

Please use your individual work email address. Shared mailboxes or group aliases are not permitted.

Password

Confirm Password

Must be at least 14 characters and include a lowercase letter, an uppercase letter, a number, and not contain your first name, last name, or parts of your email.

Organization Details

Provide your organization's information below (not your personal details).

Organization Name

Organization Street Address

AMP Application Portal

- AMP portal will open for submissions Thursday, August 20th!
- CWX will send out an email as soon as it opens.
- AMP Resource Guide is posted at [Resources - SBIR/STTR Application Hub](#)



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Welcome to the SBIR/STTR Acquisition Management Portal (AMP)

This site is intended to support the complete funding opportunity process from proposal submissions through to selections for award.

For questions and technical support please email sbir-sttr@connectwerx.org

Open Solicitations

My Submissions

Solicitation Explorer

Actions	Type	ID	Title	Released On	Submission Due By
No results found					

Items per page: 10 < 0 of 0 >

AMP Application Portal

- When it opens, it will look like this!
- The “To Do List” will show 0 pending tasks until you have drafted your first submission.



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Solicitation Explorer

Actions	Type	ID	Title	Released On	Submission Due By
Respond	PI Purchase Order	SBIRSTTR-PPO-26-Ph1GM	FY26 Phase I - Genesis Mission		

Items per page:

10

<< < 1 - 1 of 1 > >>

To Do List

✓

SBIRSTTR-26-Ph1GM-002

Member Submission

No Title

Pending Pitch Submission

Continue

Please fill out our survey!

Thank you!



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Q&A



Q&A Reminders:

Scan the QR Code below!

- All appropriate questions and their answers, including those unanswered live, will be anonymized and posted to the [Application Hub](#) after the webinar.
- Sign up at [Stay Connected - SBIR/STTR Application Hub](#) to receive a notification when Q&As are posted.
- Upvote questions you want answered.
- If you do not see your question, it is for one of the following reasons:



The question is addressed somewhere on Application Hub, and we are prioritizing new questions for the live Q&A.	→ CWX will answer the question in the resource posted to the Application Hub. In the meantime, review the Opportunity Page and Resource/FAQs and sign up for the mailing list to receive an email notification when Q&A material is posted.
The question does not pertain to the FY25 Phase II Opportunity.	→ Please email sbir-sttr@Connectwerx.org so we can connect you to an answer.



SCAN TO APPLY NOW



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