

# SMALL BUSINESS INNOVATION RESEARCH SMALL BUSINESS TECHNOLOGY TRANSFER

## SBIR-STTR and NETL

The U.S. Department of Energy's Office of Fossil Energy and Carbon Management (FECM) participates in the Small Business Innovation Research (SBIR) and the Small Business Technology Transfer (STTR) Programs through NETL. SBIR and STTR are government programs in which federal agencies with large research and development budgets allocate a 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.



AMERICA'S  
SEED FUND  
SBIR • STTR

POWERED BY



U.S. Small Business  
Administration

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## HOW IT WORKS

Each year the Department of Energy (DOE) issues notices of funding opportunity (NOFOs; formerly known as funding opportunity announcements), inviting small businesses to apply for SBIR/STTR grants. FECM, with the Office of Science, has historically leveraged its participation in DOE's SBIR/STTR Program to promote research from small businesses in support of its two mission areas of [Carbon Management](#) and [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 toward 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 \$19 million for both phase I and II awards.



SBIR AND STTR DISTINCT PHASES

- **Phase I** explores the feasibility of innovative concepts with awards of \$250,000 for up to 12 months.
- **Initial Phase II** is the principal R&D effort where the innovative concept is prototyped with awards of \$1.6 million 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 \$1.5 million for up to two years.
- **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 NOFO is issued. Their topic does not need to be listed on the NOFO. Initial phase II awardees from two and three years prior to the current fiscal year are eligible to apply.
- **Phase IIC** is an award 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 III** is officially part of the SBIR/STTR programs, however 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.

MISSION OBJECTIVES FOR FOSSIL  
ENERGY AND CARBON MANAGEMENT

**CARBON MANAGEMENT** — NETL’s Carbon Management Program, comprising 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 advance DOE-FECM goals. Research in this area supports point source carbon capture, CO<sub>2</sub> removal, CO<sub>2</sub> conversion into products, reliable CO<sub>2</sub> storage and blue hydrogen production. Click [here](#) to learn more.

**RESOURCE SUSTAINABILITY** — NETL’s Resource Sustainability Research Programs, comprising 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, resource development in conjunction with the energy industry, and critical mineral production from industrial and mining waste. Click [here](#) to learn more.

DOE’S SBIR-STTR PROGRAM TYPICAL SCHEDULE

|                    | 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          |
| NOFO 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    |

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NETL is a U.S. Department of Energy (DOE) national laboratory dedicated to advancing the nation’s energy future by creating innovative solutions that strengthen the security, affordability and reliability of energy systems and natural resources. With laboratories in Albany, Oregon; Morgantown, West Virginia; and Pittsburgh, Pennsylvania, NETL creates advanced energy technologies that support DOE’s mission while fostering collaborations that will lead to a resilient and abundant energy future for the nation.