



TUTORIAL 33

Where to Place Information on Equipment & Facilities in the Application Package?

There are numerous places in the DOE Phase I SBIR/STTR Application package where equipment and facilities should be addressed. In this Tutorial, we will discuss each of these briefly.

The first place to mention Facilities and Equipment is in the **Work Plan** section of the **Project Narrative**. As part of explaining “how” you are going to conduct the Phase I research, you should mention the equipment being used. By also stating “where” each task or activity will be performed, you can easily indicate the particular facility you are using.

The second place to mention Facilities and Equipment is in the **Facilities/Equipment** section of the Project Narrative. DOE requires that this information is included and your goal is to demonstrate that you have the required tools to conduct the Phase I effort. DOE also states in the FOA that “Items of equipment to be

leased or purchased should be described and justified in this section”. This suggests that your explanation should not be brief, vague or general. Imagine someone asking you to buy them a \$5,000 item; consider what would you want them to say before you agree to do so?

GRANTS.GOV AND PROJECT/PERFORMANCE SITE LOCATION(S) FORM

The third place where this same topic is addressed in the **Project/Performance Site Location(s)** form. This is a separate document that you can download from Grants.gov and is described in the [Instructions for Completing a DOE SBIR/STTR Phase I Grant Application](#).



VIEW GRANT OPPORTUNITY

Mandatory Forms (Click to Preview)	Optional Forms (Click to Preview)
<ul style="list-style-type: none">» SF424 (R & R) [V3.0]» Research & Related Budget [V1.4]» Project/Performance Site Location(s) [V3.0]» Research and Related Senior/Key Person Profile (Expanded) [V3.0]» Research And Related Other Project Information [V1.4]» SBIR/STTR Information [V1.3]	<ul style="list-style-type: none">» Disclosure of Lobbying Activities (SF-LLL) [V2.0]» R & R Subaward Budget Attachment(s) Form [V1.4]

Figure 1: Locating the Project Performance Site Location form

This should include the address of the site(s) where the work will be performed, remembering that at least one of them must be the small business applicant's location. **DOE advises that you should NOT check the box regarding "I am submitting an application as an individual, and not on behalf of a company ..."** because only small businesses can receive SBIR/STTR awards.

View Burden Statement OMB Number: 4040-0010 Expiration Date: 12/31/2022

Project/Performance Site Location(s)

I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name: [Redacted]
DUNS Number: [Redacted]
* Street1: [Redacted]
Street2: [Redacted]
* City: [Redacted] County: [Redacted]
* State: [Redacted]
Province: [Redacted]
* Country: USA: UNITED STATES
* ZIP / Postal Code: [Redacted] * Project/Performance Site Congressional District: [Redacted]

Project/Performance Site Location 1

I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name: [Redacted]
DUNS Number: [Redacted]
* Street1: [Redacted]
Street2: [Redacted]
* City: [Redacted] County: [Redacted]
* State: [Redacted]
Province: [Redacted]
* Country: USA: UNITED STATES
* ZIP / Postal Code: [Redacted] * Project/Performance Site Congressional District: [Redacted]

Delete Entry Next Site

Additional Location(s) [Redacted] Add Attachment Delete Attachment View Attachment

Figure 2: Project/Performance Site Location(s) Form

NOTE: Do NOT check the first box at the top



R&R BUDGET FORMS

In the Research and Related budget form that is part of the Application package there are various places where equipment and facilities need to be addressed.

1. Section C of Research & Related Budget Form. List separately each piece of equipment (meeting the earlier definition) that you propose to buy as a direct cost on the Phase I SBIR/STTR project.

C. Equipment Description

List of items and dollar amount for each item exceeding \$5,000.

Field Name	Instructions
Equipment item	Equipment is defined as an item of property that has an acquisition cost of \$5,000 or more (unless the organization has established lower levels) and an expected service life of more than one year. List each item of equipment separately and justify each in the budget justification section. Allowable items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose equipment, such as a personal computer, is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research.
Funds Requested	List the estimated cost of each item of equipment including shipping and any maintenance costs and agreements. This is required information.
Total funds requested for all equipment listed in the attached file	Total funds requested for all equipment listed in the attached file. Dollar amount for each item should exceed \$5,000.

Figure 3: Section C of R&R Budget: Equipment Description

Source: Instructions for Completing a DOE SBIR/STTR Phase I Grant Application.

2. Section F.6 of Research & Related Budget Form. Include here any other equipment and/or facilities that you will be leasing or renting as a direct cost on the project

The screenshot shows a web-based budget form with the following sections:

- F. Other Direct Costs:** A table with 10 rows for categories like Materials and Supplies, Publication Costs, Consultant Services, ADP/Computer Services, Subawards/Consortium/Contractual Costs, Equipment or Facility Rental/User Fees, Alterations and Renovations, and three blank rows. A 'Total Other Direct Costs' row is at the bottom.
- G. Direct Costs:** A single row for 'Total Direct Costs (A thru F)'.
- H. Indirect Costs:** A table with columns for Indirect Cost Type, Indirect Cost Rate (%), Indirect Cost Base (\$), and Funds Requested (\$). It includes an 'Add Additional Indirect Cost' button and a 'Total Indirect Costs' row.
- I. Total Direct and Indirect Costs:** A row for 'Total Direct and Indirect Institutional Costs (G + H)'.
- J. Fee:** A row for 'Fee'.
- K. Total Costs and Fee:** A row for 'Total Costs and Fee (I + J)'.
- L. Budget Justification:** A section with a text area and buttons for 'Add Attachment', 'Delete Attachment', 'View Attachment', and 'Add Period'.

Figure 4: R&R Related Budget – Section F-K, Budget Period 1 Form

Source: [Instructions for Completing a DOE SBIR/STTR Phase I Grant Application](#).

In closing, remember that with respect to the forms from Grants.gov these are to be used only when equipment and/or facilities are being identified as direct costs. You have the option of paying for this expense in other ways – through profit and/or indirect costs.