

Application For Kentucky SBIR/STTR Phase Double Zero Program

1. Before beginning, please read the [Request for Proposal Instructions](#).
2. Complete this form online. You may save the application at any time and return to complete it using the login and password that were e-mailed to you when you initiated the application.
3. At the bottom of this form is an upload section for: biographies, letters of commitment and diagrams.
4. Upon completion, click the Submit button, print the application, and sign.
5. Paper Copies of the [Biographies](#), and any [original Letters of Commitment](#) and [diagrams](#) must be mailed to KSEF along with the signed application.
(See the [Request for Proposal Instructions](#) above for details and mailing address.)

For Internal Use (Phase II)

Type: Phase II Due
Date:

Agency:
SBIR/STTR
Phase II
Title:

Section A: Company Information

Company Information

1. Business Name:
2. TIN :
3. Date: 02/15/2006
4. Contact Name:
(First, MI, Last)
5. Title:
6. Phone:
7. FAX:
8. Address:
9. City:
10. Zip Code:
11. Applicant's Email:
12. Company Web Site
URL:
13. Date Company
Founded:
14. Company Structure:
 - Sole Proprietorship
 - Partnership
 - Corporation

- S Corporation
- Limited Liability Corporation

- 15** Number of employees:
- 1 to 5
 - 6 to 15
 - 16 to 25
 - 26 to 50
 - 51 to 100
 - 101 to 150
 - 151 to 250
 - 251 to 500

- 16.** Estimated Annual Revenue:
- Less than \$100,000
 - \$100,001 to \$250,000
 - \$250,001 to \$500,000
 - \$500,001 to \$1,000,000
 - \$1,000,000 to \$5,000,000
 - Over \$5,000,000

- 17.** Type of Business:
- Engineering Consulting
 - Manufacturing/Producer
 - Research/Development
 - Service Establishment
 - Wholesale/Retailer
 - Other

- 18.** Technology Cluster:
- Advanced Materials
 - Agriculture
 - Biosciences
 - Communications
 - Education
 - Environmental Technology
 - Human Health & Development
 - Information Technology
 - Manufacturing
 - Other

- 19.** Small Business Certification:
- Socially & Economically
 - Disadvantaged
 - Minority-Owned
 - SBA 8(a) Certified
 - Small Business Concern
 - Veteran Status
 - Woman-Owned

20. Primary & Secondary Standard industrial codes (SIC and NAIC):

21. Will all Phase II efforts be conducted within Kentucky? If not, please explain in Section C.14a

- Yes
- No

22. Has your company previously received a Kentucky SBIR/STTR Phase Zero Award?

- Yes
- No

23. How many SBIR/STTR Phase I or Phase II proposals has your company previously submitted?

Phase I:
Phase II:

24. How many SBIR/STTR Phase I or Phase II awards have your laboratory won?

Phase I:
Phase II:

25. Awarding Federal Agencies:

- Dept of Agriculture
- Dept of Commerce
- Dept of Defense
- Dept of Education
- Dept. of Energy
- Dept of Health & Human Services
- Dept of Homeland Security
- Dept of Transportation
- Environmental Protection Agency
- NASA
- National Science Foundation

26. Briefly describe your company's background and history:

Section B: University/Non-Profit Partner Information (if applicable).

University/Partner Information (If there are other partners, provide in Section C. Line 15 & Section D)

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1. Legal Business Name:
 2. TIN #:
 4. Contact Name:
(First, MI, Last)
 5. Title:
 6. Phone:
 7. FAX:
 8. Address:
 9. City:
 10. State:
 11. Zip Code:
 12. Email Address:
 13. Web Site URL:

Previous SBIR/STTR Experience

14. Has your laboratory previously received a Kentucky SBIR/STTR Phase Zero Grant?

- Yes
 No

15. How many SBIR/STTR Phase I or Phase II proposals has your laboratory previously submitted?

Phase I:
Phase II:

16. How many SBIR/STTR Phase I and Phase II awards have your laboratory won?

Phase I:
Phase II:

17. Awarding Federal Agencies:
- Dept of Agriculture
 - Dept of Commerce
 - Dept of Defense
 - Dept of Education
 - Dept. of Energy
 - Dept of Health & Human Services
 - Dept of Homeland Security

- Dept of Transportation
- Environmental Protection Agency
- NASA
- National Science Foundation

Laboratory Profile

18. Laboratory/Dept. Name:

19. Number of Researchers:

- 20.** Technology Cluster:
- Advanced Materials
 - Agriculture
 - Biosciences
 - Communications
 - Education
 - Environmental Technology
 - Human Health & Development
 - Information Technology
 - Manufacturing
 - Other

21. Briefly describe your laboratory's areas of research:

22. What level of participation does industry seek from your laboratory?

- Assist with proposal writing
- Lease laboratory equipment
- Project consulting
- Conduct part of work

23. List all significant laboratory equipment and capabilities that would interest industry:

Section C: Phase I and Phase II Information

Phase I (Previously Awarded) Information

- 1.** SBIR/STTR Phase I Grant
Awarding Agency:
- 2.** Phase I Grant Number
- 3.** Phase I Grant Title

4. Phase I Grant Type: SBIR
 STTR

5. Phase I Grant Amount:

6. Phase I Award Date:
(MM/DD/YYYY)

7. Phase I Grant Duration:

8. Who was the SBIR/STTR Phase I Agency Project Manager?

Phase II Solicitation Information

9. Phase II Proposal Submission
Due Date: (MM/DD/YYYY)

Your Phase II Concept and Vision of Commercialization

10. SBIR/STTR Phase II Title

11. State the objective of the Phase II proposed research.

12. Identify and specify the significance of the technical problem or opportunity that will be addressed in Phase II.

13. What is innovative in your concept/proposed approach?

14. Summarize your awareness about related R&D and the intellectual property currently published on this subject.

15. Describe your plans to organize project team, lab facilities including equipment and the proposed budget.

16. What are the expected results at the end of Phase II? What is the high risk involved in your approach?

Phase II Work Plan

17. What would you have to accomplish in Phase II to commercialize your technology in Phase III?

18.. Indicate duration for Phase II work.

19. What is the end product for commercialization?
Who are your customers?
When fully developed, how will you commercialize the technology?

20. Identify and discuss the size of the market for your product or technology:

21. Identify potential sources for Phase III funding:

Section D: Phase II Proposal Development Costs

Note: SBIR/STTR Phase Double Zero funds will not be provided to cover **salaries for individuals employed by the applicant's small business** or for **salaries of principal or co-principal investigators** of the proposed project. Please see the [Request for Proposal](#) instructions for more information on funding uses.

Matching Labor

Name:

1a. (Company Personnel
from Section A4) (First, MI, Last)

1b. Role in Proposal
Preparation:

1c. Est. Hours	1d. Hourly Rate	1e. Total Cost
	\$	\$

Name:

2a. Personnel
listed in Section (First, MI, Last)
C15)

2b. Role in Proposal
Preparation:

2c. Est. Hours	2d. Hourly Rate	2e. Total Cost
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14. Cost Justification

*(Briefly describe the need for each of the **Direct Cost** items 6-8)*

Attached Documents

Note: Only one file may be uploaded for each section below. Please combine your documents if you have more than one per section.

Biography:

**Letters of
Commitment:**

Diagrams:

CERTIFICATION AND ACCEPTANCE: I certify that the statements herein are true and accurate to the best of my knowledge. I agree to comply with all requirements of the Kentucky SBIR/STTR Phase Double Zero Program and those of the federal agency to which our SBIR or STTR Phase I proposal is submitted.

Signature of Company Officer/Title: _____

Date: _____