

## Application For Kentucky SBIR/STTR Phase 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 1)

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**Type:** Phase I Due  
**Date:**

**Agency:**

**Topic**

**Number:**

**Topic Title:**

**SBIR/STTR**

**Phase I Title:**

### Section A: Company Information

#### Company Information

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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 \$100,0000
- \$100,001 to \$250,0000
- \$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):

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 Agency:

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:

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

**University/Partner Information** (If there are other partners, provide in Section C. Line 12 & 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**

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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 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

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**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:

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## Section C: Phase I Information

### Solicitation Information

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- 1.** SBIR/STTR Agency Solicitation:
- 2.** Phase I Solicitation Topic Number:

3. Phase I Solicitation Topic Title:
4. Type of Application:  SBIR  
 STTR
5. Phase I Proposal Submission Due Date: (MM/DD/YYYY)
6. Who is the SBIR/STTR Phase I Agency Project Manager?

### **Your Phase I Concept and Vision of Commercialization**

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7. SBIR/STTR Phase I Title
8. State the objective of the Phase I proposed research.
9. Identify and specify the significance of the technical problem or opportunity that will be addressed in Phase I.
10. What is innovative in your concept/proposed approach?
11. Summarize your awareness about related R&D and the intellectual property currently published on this subject.
12. Describe your plans to organize project team, lab facilities including equipment and the proposed budget.
13. What are the expected results at the end of Phase I? What is the high risk involved in your approach?

### **Phase I Work Plan**

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- 14a. What would you have to accomplish in Phase I to commercialize your technology in Phase II?

**14b.** Indicate duration for Phase I work.

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

**16.** List the major milestones and completion dates for the development of your Phase I proposal.

**17.** Identify and discuss the principal hurdle that you must overcome in developing a competitive Phase I proposal. Describe the steps you will take to assure that the finished proposal is well conceived and clearly written.

### Section D: Phase I Proposal Development Costs

**Note:** SBIR/STTR Phase 0 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

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Name:

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

**1b.** Role in Proposal  
Preparation:

<b>1c.</b> Est. Hours	<b>1d.</b> Hourly Rate	<b>1e.</b> Total Cost
	\$	\$

Name:

**2a.** (Other Company  
Personnel  
listed in Section C12) (First, MI, Last)

**2b.** Role in Proposal  
Preparation:

<b>2c.</b> Est. Hours	<b>2d.</b> Hourly Rate	<b>2e.</b> Total Cost
	\$	\$

Name:

**3a.** (University/Non-Profit  
Partner from Section B4) (First, MI, Last)

**3b.** Role in Proposal Preparation:

<b>3c.</b> Est. Hours	<b>3d.</b> Hourly Rate	<b>3e.</b> Total Cost
	\$	\$

Name:  
(Other

**4a.** University/Non-Profit Partner listed in (First, MI, Last) Section C12)

**4b.** Role in Proposal Preparation:

<b>4c.</b> Est. Hours	<b>4d.</b> Hourly Rate	<b>4e.</b> Total Cost
	\$	\$

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**Total Matching Labor**  
**5. Costs**  
(1e-4e)  
\$

**Direct Costs**

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- |   |                 |
|---|-----------------|
| <b>6.</b> Travel (Specify)  | Total           |
|   | \$              |
| <b>7.</b> Materials and Supplies (Itemize)  | \$              |
| <b>8.</b> Labor and Other Direct Costs<br>(Itemize and Specify in the box below.)<br>Examples: Market or Literature Search, Technical Writer, Proposal Reviewer | \$              |
| <b>9. Review of Phase I Proposal by External Service Provider</b> (paid directly by KSEF)   | <b>\$500.00</b> |
| <b>10. Total Indirect Costs</b>   | <b>\$0.00</b>   |
| <b>11. Total Phase I Proposal Preparation Cost</b> (5 thru 10)  | <b>\$</b>       |
| <b>12. Total Cost Paid by the Applicant</b>   | <b>\$</b>       |
| <b>13. Total Amount Requested from KSEF</b> (11-12)<br><i>(Amount Requested Should Not Exceed \$4,000)</i>  | <b>\$</b>       |
| <b>14.</b> Cost Justification<br><i>(Briefly describe the need for each of the <b>Direct Cost</b> items 6-8)</i>  |                 |

**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.

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<b>Biography:</b>	<input type="text"/>	<input type="button" value="Browse..."/>
<b>Letters of Commitment:</b>	<input type="text"/>	<input type="button" value="Browse..."/>
<b>Diagrams:</b>	<input type="text"/>	<input type="button" value="Browse..."/>

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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 0 Program and those of the federal agency to which our SBIR or STTR Phase I proposal is submitted.

**Signature of Company Officer/Title:** \_\_\_\_\_

**Date:** \_\_\_\_\_