

# Phase Double Zero Application Transition: June 2017

Use the Phase Double Zero (DZ) template if you are planning to submit a Federal Phase II, Direct to Phase II (D2PhII), or Fast Track (FT) SBIR/STTR application at least two months from today.

## SECTION A - APPLICANT COMPANY

### COMPANY INFORMATION

Company Name \_\_\_\_\_  
Mailing Address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_  
County \_\_\_\_\_ TIN \_\_\_\_\_ KY SOS# \_\_\_\_\_

### COMPANY SIGNING AUTHORITY (SA)

SA First and Last Name \_\_\_\_\_  
SA Title \_\_\_\_\_ SA Email \_\_\_\_\_ SA Voice \_\_\_\_\_

### PRINCIPAL INVESTIGATOR FEDERAL SUBMISSION (PI)

PI First and Last Name \_\_\_\_\_  
PI Title \_\_\_\_\_ PI Email \_\_\_\_\_ PI Voice \_\_\_\_\_

Has your company received a KY SBIR/STTR Phase Zero and/or Phase Double Zero award this year?

\_\_\_\_\_

Have you or a team member attended a KSEF-sponsored Phase I or Phase II proposal development workshop or writing clinic in the past 12 months? Please list who, when, and where.

\_\_\_\_\_

Have you attended SBIR Connect-Lexington or SBIR Connect-Louisville meetings in the past three months? Please list when and where.

\_\_\_\_\_

If you have never attended SBIR Connect-Lexington or SBIR Connect-Louisville, please explain why.

\_\_\_\_\_

Have you completed the following required registrations?

- Dun and Bradstreet Data Universal Numbering System (DUNS#) \_\_\_\_\_
- System for Award Management (SAM) Registration \_\_\_\_\_
- Small Business Administration (SBA) Company Registration (sbir.gov) \_\_\_\_\_
- Have you confirmed you are up-to-date on all other agency-specific registration requirements (such as grants.gov, eCommons, FastLane, etc.?) \_\_\_\_\_

### PLANNED FEDERAL PHASE APPLICATION II INFORMATION

Phase Level (PII, FT, or D2PhII) \_\_\_\_\_ Federal Target Agency \_\_\_\_\_  
Application Type (SBIR or STTR) \_\_\_\_\_ Federal Due Date \_\_\_\_\_

Federal Agency Solicitation \_\_\_\_\_  
Solicitation Topic Title \_\_\_\_\_  
Solicitation Topic Number \_\_\_\_\_



## SECTION B - NON-PROFIT PARTNER INFORMATION AND PREVIOUS SBIR/STTR EXPERIENCE (Where Applicable)

### UNIVERSITY / NON-PROFIT PARTNER INFORMATION (If Applicable)

University / Non-Profit Partner \_\_\_\_\_

University TIN \_\_\_\_\_

University Contact (UC) First & Last Name \_\_\_\_\_

UC Title \_\_\_\_\_

UC Email \_\_\_\_\_

UC Mailing City \_\_\_\_\_

UC Mailing State \_\_\_\_\_

UC Mailing Zip \_\_\_\_\_

### NON-PROFIT PARTNER INFORMATION AND SBIR/STTR EXPERIENCE (If Applicable)

Briefly describe your non-profit partner's research focus. Include a brief summary on the lead investigator(s)' scientific work as well as any experience with SBIR/STTR programs. List how many Phase I and/or Phase II proposals (including the awarding federal agency) that the partnering individual(s) have been awarded. Also mention if an agreement with the university is already in place.

---

---

---

---

List all significant laboratory equipment and technical capabilities that the collaborators need to successfully complete the potentially subcontracted SBIR/STTR award.

---

---

---

---

## SECTIONS C, D, AND E - PROPOSAL DETAILS

Sections C through E may be prepared as text documents; however, should be converted or printed to PDF, combined with Sections A and B, and emailed as one PDF file to [ksefpm@kstc.com](mailto:ksefpm@kstc.com). Your final compiled PDF application should not exceed 15 pages, including all sections and attachments.

### Section C - Concept and Vision of Commercialization

- C1. Elevator Pitch – 200 words or less
- C2. The Innovation – maximum one page
- C3. Technical Discussion and R&D Plan – maximum one page
- C4. The Commercial Opportunity – maximum two pages
- C5. The Company and Team – one-half page

### Section D - Proposal Development and Strategy Costs

- D1. Competitive Phase I Proposal
- D2. Excel Spreadsheet: Budget Sheet for Phase I Proposal Development Costs – one page
- D3. Proposal Development Justification

### Section E - Supporting Documents

- E1. Biographical Sketches – maximum one page per person
- E2. Letters of Commitment from Non-Employee Service Providers Listed in (D3) Budget Justification
- E3. Proof of "Good" Standing with the Kentucky Secretary of State

Sections C through E may be prepared as text documents; however, should be converted or printed to PDF, combined with Sections A and B, and emailed as one PDF file to [ksefpm@kstc.com](mailto:ksefpm@kstc.com).

Your final compiled PDF application file should not exceed 15 pages. Follow the detailed questions to prepare each section your application.

## SECTION C – PHASE II, FAST TRACK, or DIRECT TO PHASE II CONCEPT AND VISION OF COMMERCIALIZATION

When preparing this Phase Double Zero application, remember that the aim of a Phase II, or Direct to Phase II, project is to further R&D work that demonstrated technical feasibility of the proposed innovation. On the other hand, a Fast Track project differs on the fact that feasibility has not been yet demonstrated, but it could be accomplished in a short period of time. In the latter case,

**C1. Elevator Pitch** – One paragraph of 200 words or less that can be used to publish, should a Phase Double Zero award be made.

- The customer – Describe the expected customer for the innovation. What customer needs, or market pain points, are you addressing?
- The value proposition – What are the benefits to the customer of your proposed innovation? What is the key differentiator of your company or technology?
  - The innovation – Succinctly describe your innovation. This answer may contain proprietary information that could not be discussed in the project summary. What aspects are original, unusual, novel, disruptive, or transformative compared to the current state of the art?

**C2. The Innovation** – To prepare this section, follow the questions below. Answer in paragraph format with a total of no more than one page.

- Briefly describe the innovation.
- Provide a summary description of the research carried out during Phase I, the results and the extent to which the stated Phase I objectives (feasibility) were met.
  - In the case of a Direct to Phase II proposal, define feasibility and how this stage's objectives have been met.
  - In the of a Fast Track proposal, describe your feasibility plan ◦
- Provide a brief description of the remaining or unfilled research objectives and conclusions of the Phase I findings and how these conclusions support a Phase II proposal.

**C3. Technical Discussion and R&D Plan** – To prepare this section, follow the questions below. Answer in paragraph format with a total of no more than one page.

- Describe the key objectives to be accomplished during the Phase II research.
- Describe the critical technical milestones that must be met to get the product to market.

**C4. The Commercial Opportunity & Commercialization Plan** – The commercialization opportunity should describe a compelling picture of a customer's unmet need and how your innovation will fulfill that need. The commercialization plan is the vision of how your company will profit from that opportunity. This is a critical section of a Phase II (D2PhaseII or FastTrack) proposal.

To prepare this section, use the questions below to guide the discussion. Answer in paragraph format with a total of no more than two pages.

- Describe the market and addressable market for the innovation. Discuss the business economics and market drivers in the target industry. Include market entry barriers and possibly projections of market growth, trends, etc.
- Has the market opportunity been validated?
- Describe your customers and your basic business model.
- Describe the competition. How do you expect the competitive landscape to change by the time your product/service enters the market?
- What are the key risks in bringing your innovation to market?
- Describe a vision of your enterprise and how the proposed innovation fits into the future market.
- Include estimates of the revenue potential, detailing your underlying assumptions.
- Describe the resources you expect will be needed to implement your commercialization approach. Describe your plan and expected timeline to secure these resources.

**C5. The Company and Team** – To prepare this section, follow the questions below. Answer in paragraph format with a total of no more than one-half page.

- Describe the company founders or key participants in this proposed project. What level of effort will these persons devote to the proposed Phase II activities?
- How does the background and experience of the team enhance the credibility of the effort? Have they previously taken similar products/services to market?
- Describe your vision for the company and the company's expected impact over the next five years.
- If the company has existing operations, describe how the proposed effort would fit into these activities.
- Describe the revenue history (if any) for the past three years. Include government funding and private investment in this discussion.
- Will you have consultants or sub-awardees working on this project? If so, what are their expertise, affiliations, and contributions to the project?
- How many employees does the company have?

## **SECTION D - PHASE II, FAST TRACK, or DIRECT TO PHASE II PROPOSAL DEVELOPMENT STRATEGY AND COSTS**

...to be prepared as a separate document, printed to PDF, and compiled to sections A, B, C, D, and E.

**D1. Competitive Phase II, FT, or D2PII Proposal** – In this section, you are requested to answer why you are seeking funds to prepare your SBIR/STTR proposal and what needs to be achieved in order to successfully submit a competitive Phase II, D2PII, or FT proposal.

- List the major milestones and completion dates for the development of your Phase II proposal.
- Identify and discuss the principal hurdle that you must overcome in developing a competitive Phase II proposal.
- Describe the steps you will take to assure the finished proposal is well-conceived and clearly written.

## D2. Excel Spreadsheet: Budget sheet for Phase II, FT, or D2P II Proposal Development Costs

- Download the required Budget Sheet XLS (Federal Proposal Preparation and Matching Labor Cost) from <http://ksef.kstc.com/index.php/funding-programs/pddz-program>
- In spreadsheet section A1, enter the company's matching labor costs (company personnel, time, etc).
- In spreadsheet section A2, list the University/Non-profit Partner Personnel (if applicable) in section A2.
- In spreadsheet section B, detail the federal submission proposal development costs – each will have a corresponding item in the budget cost justification following in item D3.

KSEF/STTR		Federal Proposal Preparation & Matching Labor Cost	
ORGANIZATION			
Principal Investigator			
		Personnel	Matching Cost
A1 COMPANY PERSONNEL (list each individual below)			
			\$
			\$
			\$
A2 UNIV & NOT-FOR-PROFIT PARTNER PERSONNEL (if Applicable)			
			\$
			\$
			\$
TOTAL MATCHING LABOR PERSONNEL SALARIES & COST SHARE			
			\$
B FEDERAL SUBMISSION PROPOSAL DEVELOPMENT COSTS (list each below)			
			\$
			\$
			\$
C KSEF CONTRACTED EXTERNAL REVIEW COSTS			
KSEF Contracted External Review (enter \$700 for Phase Zero or \$1,000 for Double Zero)			
Contracted Required Review (if applicable, enter contracted amount)			
			\$
TOTAL ALLOWABLE COSTS REQUEST (B+C)			
			\$
TOTAL COST FEDERAL SUBMISSION APPLICATION PREPARATION (B+B1+B2+C)			
			\$
YOUR REQUEST TO KSEF PHASE ZERO DOUBLE ZERO AMOUNT			
			\$
Please include the KSEF Form to request \$4,000 for the application, and \$2,000 for award if you are awarded one.			
			\$
ORGANIZATION AUTHORIZED REPRESENTATIVE & TITLE			
		SIGNATURE	DATE

## D3. Phase II, FT or D2II Proposal Development Cost Justification

- Provide a brief justification for the request of funds and matching labor costs.
- 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.
- Funds requested must be used to improve the quality of a Phase II, D2PhII or Fast Track proposal.
- Priority in use of funds (or matched labor) must be given to the development of content over simple format.
- It is expected that the applicant(s) will have received private training and/or follow publicly available sources to ensure the submitted proposal follows agency-specific SBIR/STTR program guidelines.
- Please see the Request for Proposal instructions for more information on funding uses.

## SECTION E - REQUIRED DOCUMENTATION

The following required documents below must be included with your Phase Double Zero application.

- E1. Biographical Sketches – maximum one page per person
- E2. Letters of Commitment – from the non-employee service providers listed in Section D3: Budget Justification (not general letters of support)
- E3. Proof of active and “Good” standing with the Kentucky Secretary of State

Convert or print Sections A through E to PDF, combine them into one PDF file, and email that one application file to [ksefpm@kstc.com](mailto:ksefpm@kstc.com). The final complied PDF application of Sections A-E should not exceed 15 pages.