

Phase Zero Application Transition: June 2017

Use the Phase Zero (PZ) template if you are planning to submit a Federal Phase I 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 _____ Federal Target Agency _____
Application Type (SBIR or STTR) _____ Federal Due Date _____

Federal Agency Solicitation _____
Solicitation Topic Title _____
Solicitation Topic Number _____

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. 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.

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

SECTION C - PHASE I CONCEPT AND VISION OF COMMERCIALIZATION

This section of the Phase Zero application will follow guidelines set for an NSF Phase I proposal. You may find additional information at <http://www.nsf.gov/pubs/2015/nsf15546/nsf15546.htm>

Remember: the aim of a Phase I project is to demonstrate technical feasibility of the proposed innovation. You must express how feasibility will be defined in the context of your innovation, and how you intend to test and demonstrate feasibility.

C1. Elevator Pitch – Follow the questions below, answering with one paragraph of 200 words or less that can be used to publish, should a Phase Double Zero award be made. Use the questions below to guide your write-up for #C1.

- 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 **MUST NOT contain proprietary information**. What aspects are original, unusual, novel, disruptive, or transformative compared to the current state of the art?

C2. The Innovation – Follow the questions below, answering in paragraph format with a total of no more than one page for #C2.

- Briefly describe the innovation.
- What are the key challenges and risks in bringing the innovation to market? Which of these will be your focus in the proposed Phase I project?
- What is the current status of the intellectual property associated with this project and how you plan to protect it?

C3. Technical Discussion and R&D Plan – Follow the questions below, answering in paragraph format with a total of no more than one page for #C3.

- At what stage of technical development is the innovation?
- Describe the innovation in sufficient technical depth for a reviewer to understand why it is innovative but **DO NOT DISCLOSE propriety information**.
- Describe the key objectives to be accomplished during the Phase I research, particularly the questions that must be answered to determine the technical AND the commercial feasibility of the proposed concept.
- Describe the critical technical milestones that must be met to get the product to market.

C4. The Commercial Opportunity – Follow the questions below, answering in paragraph format with a total of no more than one page for #C4.

- Is there a broader societal need you are trying to address with this commercial opportunity? Please describe.
- Describe the market and addressable market for the innovation. Discuss the business economics and market drivers in the target industry.
- How 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 your commercial approach. Discuss the potential economic benefits associated with your innovation and provide 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 – Follow the questions below, answering in paragraph format with a total of no more than one-half page for #C5.

- Describe the company founders or key participants in this proposed project. What level of effort will these persons devote to the proposed Phase I 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?

SECTION D - PHASE I PROPOSAL DEVELOPMENT STRATEGY AND COSTS

D1. Competitive Phase I 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 I proposal.

- List the major milestones and completion dates for the development of your Phase I proposal.
- 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 the finished proposal is well-conceived and clearly written.

D2. Phase I 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) | | | |
| | Salary | Time | Matching Cost |
| A1 COMPANY PERSONNEL (list each individual below) | | | |
| 1. | | | \$ |
| 2. | | | \$ |
| 3. | | | \$ |
| A2 UNIV & OTHER NON-PROFIT PARTNER PERSONNEL (if Applicable) | | | |
| 1. | | | \$ |
| 2. | | | \$ |
| TOTAL MATCHING LABOR PERSONEL SALARY & COST SHARE | | | |
| B FEDERAL SUBMISSION PROPOSAL DEVELOPMENT COSTS (list each below) | | | |
| 1. | | | \$ |
| 2. | | | \$ |
| 3. | | | \$ |
| C KSEF CONTRACTED EXTERNAL REVIEW COSTS | | | |
| KSEF Contracted External Review (enter \$700 for Phase Zero or \$1,000 for Double Zero) | | | |
| Contracted Expenses (if applicable, enter contracted amount) | | | |
| TOTAL ALLOWABLE COSTS REQUEST (B+C) | | | |
| TOTAL COST FEDERAL SUBMISSION APPLICATION PREPARATION (A+B+B+C) | | | |
| YOUR REQUEST TO KSEF PHASE ZERO/DOUBLE ZERO AMOUNT | | | |
| Phase I requested (the KSEF will fund \$4,000 for the application, and \$2,000 for award if you are awarded cost) | | | |
| ORGANIZATION AUTHORIZED REPRESENTATIVE & TITLE | | | |
| | TYPE NAME & TITLE | SIGNATURE | DATE |

D3. Proposal Development Cost Justification

- Provide a brief justification for the request of funds and matching labor costs.
- SBIR/STTR Phase 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 I 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. The final complied PDF application of Sections A-E should not exceed 15 pages.