

SBIR/STTR Information

OMB Number: 4040-0001
Expiration date: 06/30/2011

*** Program Type (select only one)**

<input type="checkbox"/> SBIR <input type="checkbox"/> STTR	<input type="checkbox"/> Both <i>(See agency-specific instructions to determine whether a particular agency allows a single submission for both SBIR and STTR)</i>
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*** SBIR/STTR Type (select only one)**

<input type="checkbox"/> Phase I <input type="checkbox"/> Phase II	<input type="checkbox"/> Fast-Track <i>(See agency-specific instructions to determine whether a particular agency participates in Fast-Track)</i>
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Questions 1-7 must be completed by all SBIR and STTR Applicants:

<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 1a. Do you certify that at the time of award your organization will meet the eligibility criteria for a small business as defined in the funding opportunity announcement?</p>
	<p>* 1b. Anticipated Number of personnel to be employed at your organization at the time of award.</p> <div style="border: 1px solid black; height: 20px; width: 150px; margin: 5px 0;"></div>
<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 2. Does this application include subcontracts with Federal laboratories or any other Federal Government agencies?</p> <p>* If yes, insert the names of the Federal laboratories/agencies:</p> <div style="border: 1px solid black; height: 60px; width: 100%; margin: 5px 0;"></div>
<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 3. Are you located in a HUBZone? To find out if your business is in a HUBZone, use the mapping utility provided by the Small Business Administration at its web site: http://www.sba.gov</p>
<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 4. Will all research and development on the project be performed in its entirety in the United States?</p> <p>If no, provide an explanation in an attached file.</p> <p>* Explanation: <input style="width: 200px;" type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/></p>
<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 5. Has the applicant and/or Program Director/Principal Investigator submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work?</p> <p>* If yes, insert the names of the other Federal agencies:</p> <div style="border: 1px solid black; height: 60px; width: 100%; margin: 5px 0;"></div>
<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 6. Disclosure Permission Statement: If this application does not result in an award, is the Government permitted to disclose the title of your proposed project, and the name, address, telephone number and e-mail address of the official signing for the applicant organization, to organizations that may be interested in contacting you for further information (e.g., possible collaborations, investment)?</p>
	<p>* 7. Commercialization Plan: If you are submitting a Phase II or Phase I/Phase II Fast-Track Application, include a Commercialization Plan in accordance with the agency announcement and/or agency-specific instructions.</p> <p>* Attach File: <input style="width: 200px;" type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/></p>

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SBIR-Specific Questions:

Questions 8 and 9 apply only to SBIR applications. If you are submitting ONLY an STTR application, leave questions 8 and 9 blank and proceed to question 10.

<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 8. Have you received SBIR Phase II awards from the Federal Government? If yes, provide a company commercialization history in accordance with agency-specific instructions using this attachment.</p> <p>* Attach File: <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/></p>
<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 9. Will the Project Director/Principal Investigator have his/her primary employment with the small business at the time of award?</p>

STTR-Specific Questions:

Questions 10 and 11 apply only to STTR applications. If you are submitting ONLY an SBIR application, leave questions 10 and 11 blank.

<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 10. Please indicate whether the answer to BOTH of the following questions is TRUE:</p> <p>(1) Does the Project Director/Principal Investigator have a formal appointment or commitment either with the small business directly (as an employee or a contractor) OR as an employee of the Research Institution, which in turn has made a commitment to the small business through the STTR application process; AND</p> <p>(2) Will the Project Director/Principal Investigator devote at least 10% effort to the proposed project?</p>
<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 11. In the joint research and development proposed in this project, does the small business perform at least 40% of the work and the research institution named in the application perform at least 30% of the work?</p>