

## SBIR/STTR Information

\* Agency to which you are applying (select only one)

DOE   
  HHS   
  USDA   
  Other:

\* SBC Control ID:  (This 9 digit code is obtained from the Small Business Administration)

\* Program Type (select only one)

SBIR     STTR  
 Both (See agency-specific instructions to determine whether a particular agency allows a single submission for both SBIR and STTR)

\* Application Type (select only one)

Phase I   
  Phase II   
  Fast-Track   
  Direct Phase I   
  Direct Phase II   
  Phase IIA   
  Phase IIB  
 Commercialization Readiness Program (See agency-specific instructions to determine whether a particular agency participates in Fast-Track, Second/Sequential, Direct Phase II, or Commercialization Pilot Plan.)

Phase I Letter of Intent Number:

\* Agency Topic/Subtopic:

### Questions 1-7 must be completed by all SBIR and STTR Applicants:

<input type="checkbox"/> Yes <input type="checkbox"/> No	* 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?
	* 1b. Anticipated Number of personnel to be employed at your organization at the time of award. <input style="width: 100px;" type="text"/>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 1c. Is your small business majority owned by venture capital operating companies, hedge funds, or private equity firms?
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 1d. Is your small business a Faculty or Student-Owned entity?
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 2. Does this application include subcontracts with Federal laboratories or any other Federal Government agencies? * If yes, insert the names of the Federal laboratories/agencies: <div style="border: 1px solid black; height: 40px; margin-top: 5px;"></div>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 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: <a href="http://www.sba.gov">http://www.sba.gov</a>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 4. Will all research and development on the project be performed in its entirety in the United States? If no, provide an explanation in an attached file. * Explanation: <input style="width: 150px;" type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 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? * If yes, insert the names of the other Federal agencies: <div style="border: 1px solid black; height: 40px; margin-top: 5px;"></div>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 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 email address of the official signing for the applicant organization to state-level economic development organizations that may be interested in contacting you for further information (e.g., possible collaborations, investment)?
	* 7. Commercialization Plan: The following applications require a Commercialization Plan: Phase I (DOE only), Phase II (all agencies), Phase I/II Fast-Track (all agencies). Include a Commercialization Plan in accordance with the agency announcement and/or agency-specific instructions. * Attach File: <input style="width: 150px;" type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>

## SBIR/STTR Information

### 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.

- Yes  
 No

\* 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.

\* Attach File:

Add Attachment

Delete Attachment

View Attachment

- Yes  
 No

\* 9. Will the Project Director/Principal Investigator have his/her primary employment with the small business at the time of award?

### STTR-Specific Questions:

Questions 10 - 12 apply only to STTR applications. If you are submitting ONLY an SBIR application, leave questions 10 - 12 blank.

- Yes  
 No

\* 10. Please indicate whether the answer to BOTH of the following questions is TRUE:

- (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  
(2) Will the Project Director/Principal Investigator devote at least 10% effort to the proposed project?

- Yes  
 No

\* 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?

\* 12. Provide DUNS Number of non-profit research partner for STTR.