

DEPARTMENT OF THE ARMY
SMALL BUSINESS INNOVATION RESEARCH (SBIR) PROGRAM
Phase II Plus Application

Failure to fill in all appropriate spaces may cause your application to be disqualified

To qualify for the SBIR Phase II Plus, a company must submit an application and meet the other requirements detailed in the instructions. This form, when completed and signed by both the company and its investor, should be included as the cover sheet of the SBIR Phase II Plus application. Instructions on where to submit the application are below.

TOPIC #: _____ PH II CONTRACT #: _____ PHASE II EFFECTIVE START DATE: _____
SPONSORING Army Organization: _____ PH I Proposal #: _____ PHASE II COMPLETION DATE: _____

PHASE II PROPOSAL TITLE:

FIRM NAME:

MAIL ADDRESS:

CITY: _____ STATE: _____ ZIP: _____

TAXPAYER IDENTIFICATION NUMBER (If applicable): _____

NAME OF ACQUISITION PROGRAM or OUTSIDE INVESTOR:

MAIL ADDRESS:

CITY: _____ STATE: _____ ZIP: _____

TAXPAYER IDENTIFICATION NUMBER: _____

BUSINESS CERTIFICATION:

Does the outside funding proposed in this application qualify as a "Phase II Plus investment", and does the investor qualify as an "outside investor", as defined in DoD Fast Track Guidance? If you have any questions about this, call the DoD SBIR Help Desk (800-382-4634). The Help Desk will refer any policy and/or substantive questions to appropriate DoD personnel for an official response.

YES

NO

Caution: knowingly and willfully making any false, fictitious, or fraudulent statements or representations above may be felony under the Federal Criminal False Statement Act (18 U.S.C. Sec 1001), punishable by a fine of up to \$10,000, up to five years in prison, or both.

PROPOSED SBIR AND MATCHING FUNDS:

Proposed ARMY SBIR funds for the PH II Plus effort: \$ _____

Amount of matching funds (cash) the investor will provide: \$ _____

By signing below, the parties are stating that the outside investor will provide matching funds, in the amount listed above, contingent on the company's selection for **Phase II Plus** award. If the matching funds are not transferred from the investor to the company within 45 days after Army has notified the company that it has been selected for **Phase II Plus** award, the company will be ineligible to compete for a **Phase II Plus** award.

COMPANY OFFICIAL

OUTSIDE INVESTOR OFFICIAL

NAME: _____

NAME: _____

TITLE: _____

TITLE: _____

TELEPHONE: _____

TELEPHONE: _____

E-MAIL: _____

E-MAIL: _____

SIGNATURE

DATE

SIGNATURE

DATE

INSTRUCTIONS FOR COMPLETING THE PHASE II PLUS APPLICATION

SUBMISSION:

Submit the **Phase II Plus** application, including the following three items, to the technical monitor for your Phase I or II project. In addition, submit a copy of the entire application to the Army Program Manager (address below):

1. A letter from the acquisition program or outside investor to the SBIR Phase II company, containing:
 - a. A commitment to match **Phase II Plus** SBIR funding, in cash, contingent on the company's selection **for Phase II Plus** award, and the execution of a contract modification to the existing Phase II contract.
 - b. A brief statement (one page or less) describing the portion of the **Phase II Plus** effort that will be funded with non-SBIR funds. The acquisition program or outside investor funds may pay for advancing the research and development elements of the company's Phase II project or, alternatively, other activities not included in the Phase II contract statement of work, provided these activities further the development and/or commercialization of the technology (market research, patent applications, etc.).
 - c. In the case of an acquisition program, a brief statement (one page or less) of how the resulting Phase II and **Phase II Plus** technology, if successful, will be integrated into that acquisition program's future activities. In the case of an outside investor, a brief statement (one page or less) of how the resulting technology or product will be commercialized.
2. A concise statement of work (4 pages or less) for the **Phase II Plus** effort (maximum period of one year past the end of the Phase II effort) to be executed with SBIR **Phase II Plus** funds.
3. A detailed cost proposal (1 page or less) for the SBIR-funded portion of the **Phase II Plus** effort, to be completed within one year of the end of the Phase II project.

Where to Apply for Phase II Plus

All Army **Phase II Plus** Applications should be sent to the Army laboratory sponsoring the existing Phase II contract, with a complete copy sent to the Army SBIR Program Management Office:

Via Mail: MAJ Janice M. Baker
U.S. Army Research Office – Washington
Room 8N23
5001 Eisenhower Avenue
Alexandria, Virginia 22333-0001

Via Fax: (703) 617-8274

Via E-Mail: aro-sbir@hqamc.army.mil

REQUEST FOR COPIES OF THIS FORM:

Additional forms may be downloaded from our Home Page (<http://www.aro.army.mil/arrowash/rt>).