

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

Nothing on this page is classified or proprietary information/data

## 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 Fax: (703) 806-2046

Via E-Mail: [Jangela.a.Shumskas@us.army.mil](mailto:Jangela.a.Shumskas@us.army.mil)

### REQUEST FOR COPIES OF THIS FORM:

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