



## Phase 0 Application Instructions

To be eligible for full Phase 0 funding, a Phase 0 Application and a draft SBIR/STTR Phase I proposal must be submitted from Alaska-based companies and projects to the Technology Research and Development Center of Alaska (TREND).

The draft will receive a preliminary review based on SBIR agency criteria to check for compliance, completeness, merit, and potential for SBIR competition. If a draft proposal fails to pass the initial screening, the applicant will be encouraged to address comments, revise, and resubmit. Please contact TREND to review and clarify any information below.

### Proposal Format

#### 1. Cover Page: Alaska Phase 0 Proposal Submission Sheet

- a. Contact Name
- b. Social security number of proposer or Employer Identification Number (EIN)
- c. Address - City, State, Zip Code
- d. Contact phone number
- e. Contact email address
- f. Principal Investigator (Name and Title of Company PI)
- g. Title of project
- h. Company Name
- i. Company phone number
- j. Company email address
- k. Funding amount requested
- l. Keywords to identify research or technology (8 maximum)
- m. Signature of the Principal Investigator (PI)
- n. Date

#### 2. Current SBIR Solicitation

- a. SBIR/STTR Agency
- b. Closing solicitation date
- c. Solicitation topic title and number

#### 3. Application Requirements

- a. Amount Requested. This is the award amount of the Alaska SBIR Phase 0 grant you are applying for. Phase 0 award amounts are up to \$10,000.
- b. Start Date. Enter the start date for the proposed Phase 0 activities.
- c. Provide the end date for the proposed Phase 0 activities. Changes to this date will require written authorization from TREND on or before this date.
- d. The funding requested must have the following documents attached:
  - i. Explanation of how Phase 0 funding will benefit the Phase I project
  - ii. Phase I draft proposal
  - iii. Scope of work for Phase 0 activities
  - iv. A line-item budget



*It is expected that this grant will lead to the submission of an SBIR proposal. Successful applicants must notify the Alaska SBDC and TREND program of your SBIR application submission within 12 months of receiving your grant, or the funds may have to be withdrawn. All information submitted to TREND will be held in strict confidence and will not be released without consent.*

Attach to the application the cover page, any bids from Phase 0 subcontractors or consultants, and the resume of the Principal Investigator. Also include the SBIR proposal draft.

### **Other Conditions**

1. Funds must be used for proposal development. Some examples of allowable expenses include, but are not limited to, organization and analyses of preliminary data, further data collection and feasibility studies, commercialization planning, meetings with collaborators, professional training, literature searches, and technical writing.
  - a. Unallowable expenses include the purchase of equipment\*, rental or lease fees of office space, food and catering services, and legal fees.
2. The review panel may make adjustments and recommendations on the final award amount requested and the scope of work.
3. If the applicant is preparing a resubmission of Phase I or II proposal, provide TREND with a copy of the agency reviewer comments or debriefing notes

### **Proposal Award Information**

TREND will notify the company of award status as soon as possible after receiving the application, usually within five working days. Phase 0 award payment is made in full and issued through the University of Alaska Anchorage (UAA). An IRS W-9 form will accompany the request for payment.

Any deviation from the proposed budget will require written authorization from TREND prior to expenditure. All receipts and invoices must be retained to verify that funds were expended in accordance with the budget set forth in the Phase 0 proposal. Any funds not accounted for or not expended in accordance with the budget must be returned to TREND.

A final report to TREND will be required within 30 days of the official submission of the SBIR/STTR proposal. The report must include a copy of the final version submitted, the email or other notification of receipt from the agency, and receipts and invoices accounting for use of funds.



## Submission Instructions

Your cover letter and all required documents must be uploaded through the Alaska SBDC Client Portal.

### If you are already an Alaska SBDC Client File:

1. Visit <https://aksbdc.ecenterdirect.com/login> and log-in
2. On the left side menu, click on *My Information*
3. Check under *My Companies* to make sure the business you are applying for the Phase 0 grant for is listed.
  - a. **If the business is listed**, click on *Sign Agreement* and update your digital signature verifying understanding of the Alaska SBDC and confidentiality agreements. After updating your digital signature, click on the name of your company to update any outdated information.
  - b. **If the business is not listed**, click on *Add a New Company* and complete the required fields.



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### My Information

Change password

My contact information

### My Companies

**Add a new company**

Sample, John Q. (Not in Business)

Sign Agreement

4. Click on *My Contact Information* (under *My Information*) to update any outdated information.
5. After the Company and Contact Information have been completed and you are ready to upload your Phase 0 grant documents (cover letter and all required documents), click on *My Documents* from the left side menu and upload each document directly into your client file.

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## My Documents

The private documents below are available for download. Changes that you make to down documents with an updated document, please contact your business counselor.

(No documents)

**Upload**

6. Log-out
7. You should receive an automated email confirming your client registration. If necessary, check your spam folder and be sure to mark emails from the Alaska SBDC ([info@aksbdc.org](mailto:info@aksbdc.org)) as “Known Sender” or “Not Spam” to ensure timely receipt of information.

### If you need to become an Alaska SBDC client:

*Not sure if you are already registered as an SBDC client? See 1. (a):*

1. Visit <https://aksbdc.ecenterdirect.com/signup> and create a New Account for the business that is applying for the Phase 0 grant.
  - a. If the database recognizes your information, you will need to retrieve your password and follow the steps outlined in the section above regarding your existing Alaska SBDC Client File.

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- New Client Signup**
- Contact Your Center
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**Your email address is already connected to an account, please sign in below, or click the “Forgot password” link below.**

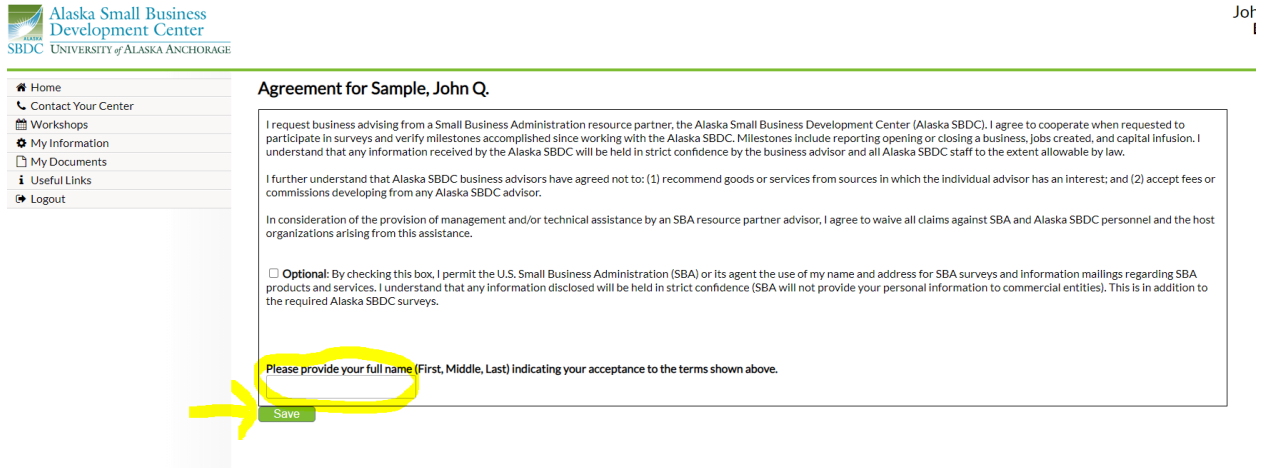
### Please sign into eCenter

Email:

Password:  [Forgot password?](#)

**Sign In** | Cancel

- Complete the entire process for registering your company, including providing your digital signature. It is not necessary to complete the Client Intake Questionnaire.



Alaska Small Business Development Center  
SBDC UNIVERSITY of ALASKA ANCHORAGE

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### Agreement for Sample, John Q.

I request business advising from a Small Business Administration resource partner, the Alaska Small Business Development Center (Alaska SBDC). I agree to cooperate when requested to participate in surveys and verify milestones accomplished since working with the Alaska SBDC. Milestones include reporting opening or closing a business, jobs created, and capital infusion. I understand that any information received by the Alaska SBDC will be held in strict confidence by the business advisor and all Alaska SBDC staff to the extent allowable by law.

I further understand that Alaska SBDC business advisors have agreed not to: (1) recommend goods or services from sources in which the individual advisor has an interest; and (2) accept fees or commissions developing from any Alaska SBDC advisor.

In consideration of the provision of management and/or technical assistance by an SBA resource partner advisor, I agree to waive all claims against SBA and Alaska SBDC personnel and the host organizations arising from this assistance.

**Optional:** By checking this box, I permit the U.S. Small Business Administration (SBA) or its agent the use of my name and address for SBA surveys and information mailings regarding SBA products and services. I understand that any information disclosed will be held in strict confidence (SBA will not provide your personal information to commercial entities). This is in addition to the required Alaska SBDC surveys.

Please provide your full name (First, Middle, Last) indicating your acceptance to the terms shown above.

Save

- After the Company and Contact Information have been completed and you are ready to upload your Phase 0 grant documents (cover letter and all required documents), click on *My Documents* from the left side menu and upload each document directly into your client file.

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Search: (All)

(No documents)

**Upload**

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## SBIR/STTR-Related Webinars and Workshops

We encourage applicants to review the SBIR-related recordings and training we have available. To view this list of recordings, click [here](#). Then change the start date to 10/1/20 and use the keyword: *SBIR*.





### Workshops

🔍 Search: 10/1/20-10/22/21 "SBIR"

All

On demand

Live

	<p><b>ON-DEMAND</b></p> <p><i>Developing a Marketing Strategy</i></p> <p>PRESENTED BY</p> 	<p><b>Developing a Marketing Strategy (SBIR) - On Demand</b></p> <p>TECHNOLOGY</p>
	<p><b>ON-DEMAND</b></p> <p><i>Preparing Your Pitch: How to Develop an Investor Pitch</i></p> <p>PRESENTED BY</p> 	<p><b>Preparing Your Pitch: How to Develop an Investor Pitch (SBIR) - On Demand</b></p> <p>TECHNOLOGY</p>

No Fee
Online Course (Prerecorded)

Titles include: Preparing Your Pitch, Phase 0 Introduction, Success Stories from Previous SBIR Applicants, and more.