User Guide: Submitting a Phase II Enhancement Application
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Getting Started

Navigate to the SBIR/STTR portal via your preferred web browser using the following url: 
https://sbir.defensebusiness.org

Log in to the portal by clicking on the Log in button, located on the home screen.
Starting your Phase II Enhancement Application

Once you have logged in, you are navigated to the ‘My Portal’ page. You will be able to click on the ‘Start New Phase II Enhancement Application’.

1. Beginning the Application

Once you click on the ‘Start New Phase II Enhancement Application’ button you will be navigated to the ‘Start New Phase II Enhancement Application’ page.
2. Blank Phase II Enhancement Application

The ‘Start New Phase II Enhancement Application’ page displays a ‘Blank SBIR/STTR Phase II Enhancement/ Phase II Plus Application Cover Sheet’ link in the upper right-hand corner (see Callout 2 above). Clicking this link will provide you with a blank pdf version of the Phase II Enhancement application:

![Phase II Enhancement Application Cover Sheet](image)

**Phase II Enhancement Application**

**Application Number:**

To qualify for Phase II Enhancement, a company must submit an application and meet the other requirements detailed in section 4.6 of the solicitation. Failure to fill in all appropriate spaces may cause your application to be disqualified. Knowingly and willfully making any false, fictitious, or fraudulent statements or representations may be a 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.

**Proposal Information**

**Topic Number:**

**Phase II Proposal Number:**

**Phase II Contract Number:**

**Phase II Project Title:**

**Original Sponsoring Agency:**

**Sponsoring DOD Component:**

**Phase II Effective Start Date:**

**Phase II Effective End Date:**

**Firm Information**

**Firm Name:**

**Mail Address:**

**Website Address:**

**DUNS Number:**

**CAGE Code:**

**SBA SBC Identification Number:**

**Outside Investor Information**

**Outside Investor Name:**

**Outside Investor Type:**

**Mail Address:**

**DUNS Number:**

**CAGE Code:**

**Business Certification**

Does the outside funding proposed in this application qualify as an "outside investment"?

Does the investor qualify as an "outside investor" as defined in "What Qualifies as Investment"?

- Proposed DOD SBIR/STTR Funds for Phase II Enhancement:
- 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 and the matching funds will be transferred from the investor to the company within 45 days after the company has been notified that it has been selected for Phase II Enhancement.

**Firm Official**

**Name:**

**Title:**

**Phone:**

**Email:**

**Outside Investor Official**

**Name:**

**Title:**

**Phone:**

**Email:**
3. Proposal Selection

3.1 Applying for a Previously Awarded Phase II

If you are applying for Phase II Enhancement funds that is tied to a previously awarded Phase II Proposal then you need to select the Topic Number, the Phase II Proposal Number, and the Sponsoring DOD Component associated with the previously awarded Phase II Proposal from the drop-down menus.

Please note that the options listed in each drop-down menu will pertain to Phase II proposals that have been previously awarded to your firm. If you do not see your Phase II proposal in the drop-down then please contact the SBIR/STTR Help Desk M-F between 9:00 a.m. – 6:00 p.m. ET at 1-800-348-0787 or by email at sbirhelp@bytecubed.com.

Once you have made your selection, click on the ‘Next’ button to proceed with the Phase II Application process.
3.2 Applying for a Non-DOD Award

If you are applying for Phase II Enhancement funds that is tied to a Non-DOD Award then you will need to check the box that indicates that you are applying for a Non-DOD Award, and then manually input the Topic Number, the Phase II Proposal Number, the Phase II Awarding Agency, and the Sponsoring DOD Component associated with the Non-DOD Award for which you are completing the Phase II Enhancement Application. Once you have made your selection, click on the next button to proceed with the Phase II Enhancement application process.

Once you have inputted your information, click on the ‘Next’ button to proceed with the Phase II Application process.
Cover Sheet

1. Basic Information

1.1 Reviewing Basic Information for a Previously Awarded Phase II

The Basic Information page for a Previously Awarded Phase II will show both the Proposal Information and the Firm Information. You are to review both.

If the Proposal Information does not match your records and updates are required, please contact the SBIR/STTR Help Desk M-F between 9:00 a.m. – 6:00 p.m. ET at 1-800-348-0787 or by email at sbirhelp@bytecubed.com.

If your Firm’s Information needs updated, then please click on the ‘Edit Firm Information’ button to update your Firm Information.

When done reviewing your information you can either click the ‘Next’ button or select another menu item from the navigation bar that appears on the left-hand side of the page.
1.2 Completing Basic Information for a Non-DOD Award

The Basic Information page for a Non-DOD Award will show a series of fields that need to be manually filled out for Proposal Information. The system will carry forward and display the values you provided on the previous page for the Topic Number, the Phase II Proposal Number, the Phase II Awarding Agency, and the Sponsoring DOD Component.

You will need to review your Firm’s Information for accuracy. If this information needs updating, then please click on the ‘Edit Firm Information’ button. Once you are done editing the information from the ‘Edit Firm’ page and you click on the ‘Submit’ button, then you will be navigated back to the ‘Basic Information’ page.
2. Outside Investor

On this page you need to input your Outside investor’s name, mailing address, and type of investor:

If your investor is a Private Investor, then you will need to provide both the CAGE Code and DUNS Number of the organization in order to uniquely identify the organization:

Select your investor type:

- Private Investor
  - If the Outside Investor is a private sector investor then provide the following information in order to uniquely identify the organization:
    - CAGE Code:
    - DUNS Number:

- DOD Investor
- Non-DOD Federal Investor

When done with this section you can click on the ‘Next’ button to continue with the rest of the Phase II Enhancement Application.

3. Business Certification

On this page you will have to answer questions about the qualifications of an outside investment and provide the investment amount. Please note that the Proposed DOD SBIR/STTR Funds being requested cannot exceed $500,000 and that the Amount of Matching Funds being provided by an outsider investor must be greater than or equal to the amount being provided by DOD SBIR/STTR. When done with this section of the application you can click on the ‘Next’ button to continue with the Phase II Enhancement application.
4. Contact Information
On this page you will provide both your Firm’s Official contact information and the Outside Investor Official contact information. When done with this section of the application you can click on the ‘Next’ button to continue with the Phase II Enhancement application.
Statement of Work

On this page you will have to read the ‘Online File Submission Guidelines’ to prepare your Statement of Work document in the required format.

Once you have finalized your document you can upload it on this page by clicking on the ‘Upload File’ button.

Once you have successfully uploaded your document you can click on the ‘Next’ button to continue with the Phase II Enhancement application.
Commitment Letter

On this page you will have to read the ‘Online File Submission Guidelines’ to prepare your Commitment Letter / Letter of Support document in the required format.

Once you have finalized your document you can upload it on this page by clicking on the ‘Upload File’ button.

Upload File

All agencies require electronic submission of a commitment letter or letter of support from the Outside Investor for the Phase II Enhancement effort (see the Component instructions for additional information required in the commitment letter). To electronically submit a commitment letter:

- **Step One**: Prepare your commitment letter in PDF format (per submission guidelines stated above).
- **Step Two**: Scan for viruses.
- **Step Three**: Upload file below.

View Commitment Letter Already Uploaded  G  Delete

Date Uploaded on 03/29/2018 at 10:01 AM My Invitation_92547459.pdf

Successfully uploaded file.

Once you have successfully uploaded your document you can click on the ‘Next’ button to continue with the Phase II Enhancement application.
Cost Volume

At the top of this page you will be able to see your Firm Information.

Below your firm information you will see where you can input Cost Volume Rates and choose where to apply G&A Rates.
After adding the Cost Volume Rates, you can add Direct Labor, Direct Material, and Other Direct costs by clicking on the following buttons:

![Cost Volume Rates Table]

Once you click on the ‘+ Add Direct Labor Cost’ button you will see the following pop up:

![Direct Labor Cost Item]

Input the required information and click on the ‘Add Item’ button so that it can be added to your cost volume.
Once you click on the ‘+ Add Direct Material Cost’ button you will see the following pop up:

Input the required information and click on the ‘Add Item’ button so that it can be added to your cost volume.

Once you click on the ‘+ Add Other Costs’ button you will see the following pop up:

Input the required information and click on the ‘Add Item’ button so that it can be added to your cost volume.
Below the Cost Table you will find a series of questions about your cost volume. Once you are done filling out the information, click on the ‘Next’ button to continue with the remainder of the Phase II Enhancement Application.
Green Check Marks and Red X’s

As you navigate through all of the various pages that make up your Phase II Enhancement application, you will notice that either a green check mark or a red X is being placed next to each section of the menu bar that is located on the left side of your screen.

A red X is an indicator that a question was left unanswered. Regardless of the red X, you can proceed with the rest of the application and come back to the section at a later time prior to submitting.

Please note that if you see a red X on the ‘Cost Volume’ section, this indicates that either you left a question unanswered or that the proposed cost on the ‘Business Certification’ page does not match the Cost Volume break down that you provided on the ‘Cost Volume’ page. Please review prior to submission to ensure that these amounts match and that they represent your expected calculations.

A green check mark is simply an indicator that everything was answered and completed. Regardless of seeing a green check mark next to a specific section, please review all of the information you provided prior to submission.
Submit Application

Keep in mind that the Phase II Enhancement application is no longer editable after submission. If any changes or updates are needed you will have to contact your Phase II point of contact or the Help Desk between 9:00 am – 6:00 pm ET at 1-800-348-0787 or via email at sbirhelp@bytecubed.com.

If everything is as you wish, you can go ahead and click on the ‘Submit Application’ button to submit your Phase II Enhancement Application. Once you click this button, a pop-up window will appear that asks you to confirm if you are sure that you want to complete the application submission.

Please note that our system will not allow you to submit your application unless all of the red x’s have been resolved. If you still have errors to resolve then this page will display a red box containing a written summary of what items need to be completed in order for you to submit your application:
My Portal Page

Once you have submitted your application, you will be navigated back to the ‘My Portal’ page. On this page, you will be able to see your most recent proposal or Phase II Enhancement application at the top of the list. This page will also allow you to perform any of the following actions specific to a Phase II Enhancement:

- **History.** Clicking this action will allow you to view the historical record of any action performed such as when the application was created, when a specific section was edited or completed, and when the application was submitted.
- **View.** Clicking this action will allow you to access, view, and download a PDF copy of your completed application package or specific parts of your application such as the Cover Sheet, Cost Volume, Statement of Work, or Commitment Letter.
- **Edit.** This page will display an ‘Edit’ action only if you have not yet completed your Phase II Enhancement Application. This action will no longer be displayed once your application has been submitted.

Email Notifications

Once you have submitted your application, you will also receive an email notification confirming that your Phase II Enhancement Application has been received. Please retain this email for your records.