**APPENDIX A: U.S. DOT SBIR PHASE II/IIB PROPOSAL COVER SHEET**

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| Research Topic No.: |  |
| Research Topic Title:  |  |
| Proposal Title:  |  |
| **This proposal is for a** \_\_\_\_\_\_ Phase II \_\_\_\_\_\_ Phase IIB |
| Submitted by:  |  |  |
| Company Name: |  |  |
| Address: |  |  |
| City, State, Zip: |  |  |
| UEI (Unique Entity Identifier) Number: |  |  |
| Funding Amount Requested $ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Funding limit was provided in Phase II Instruction email)  |  |
| Proposed Duration (in months): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Not to exceed 24 months  |
| By signing below and submitting this coversheet in response to request for Phase II or Phase IIB proposal for topic no. \_\_\_\_\_\_\_, certifies that: |
|  |
| **Offeror Certification** |
| A. | The Principal Investigator proposed in your proposal is employed by your firm/company at the time of award and during the conduct of research. | YES / NO |
| B. | Is a Small Business Concern (SBC) and meets the definition stated in Section I.E; and that it meets the eligibility requirements in I.C.  | YES / NO |
| C. | [Socially](http://www.gpo.gov/fdsys/pkg/CFR-2012-title13-vol1/xml/CFR-2012-title13-vol1-sec124-103.xml) and [economically](http://www.gpo.gov/fdsys/pkg/CFR-2012-title13-vol1/xml/CFR-2012-title13-vol1-sec124-104.xml) disadvantaged SBC | YES / NO |
| D. | Woman-owned SBC | YES / NO |
| E. | HUBZone SBC certified by SBA (https://www.sba.gov/hubzone/) | YES / NO |
| F. | Student/Faculty Owned SBC | YES / NO |
| G. | Minority Owned SBC | YES / NO |
| H. | Will you permit the Government to disclose the title and technical abstract page of your proposed project, plus the name, address, and telephone number of the corporate official of your concern, if your proposal does not result in an award, to the appropriate local and State-level economic development organizations that may be interested in contacting you for further information? | YES / NO |
| I. | Has this proposal been submitted to other US Government agencies or their components? | YES / NO |
|  | *(If yes, list the name(s) of the agency or component and topic number in the space provided below.)*Agency Topic Number |
| J. | Is this project Manufacturing-Related? *Meaning relating to: (i) manufacturing processes, equipment and systems; or (ii) manufacturing workforce skills and protection as defined in Executive Order 13329.)* | YES / NO |
| K. | Is this project related to Energy Efficiency or Renewable Energy? *(As defined in the Energy Independence and* *Security Act of 2007 (Act) P.L. 110-140)* | YES / NO |
| L. | Has your company received Federal & State Technology Partnership Program (FAST) Assistance? | YES / NO |
| M. | Has any individual in your company or your company been convicted of a fraud-related crime involving funding received under the SBIR program or STTR program? | YES / NO |
| N. | Has any individual in your company or your company been found civilly liable for a fraud-related violation involving funding received under the SBIR program or STTR program? | YES / NO |
| O. | Is your company majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms? | YES / NO |
|  | *(Please note that the USDOT’s SBIR Program will not accept proposals from or make awards to small business concerns that are owned by such entities. Small business concerns with such ownership are ineligible to submit proposals under this solicitation.)* |
| By signing and submitting this proposal, I am representing on my own behalf, and on behalf of the SBIR applicant, that the information provided in this certification, the application, and all other information submitted in connection with this application, is true and correct as the date of the submission. I acknowledge that any intentional or negligent misrepresentation of the information contained in this certification may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. § 1001; (2) treble damages and civil penalties under the False Claims Act (31 U.S.C. § 3729 *et seq.*); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. § 3801 *et seq.*); (4) civil recovery of award funds, (5) suspension and/or debarment from all Federal procurement and non-procurement transactions (FAR Subpart 9.4 or 2 C.F.R. part 180); and (5) other administrative penalties including termination of SBIR awards. |
| Principal Investigator Name: | Corporate/Business Official Name: |
| Title: | Title: |
| Address: | Address: |
| Telephone Number: | Telephone Number: |
| Email: | Email: |
| Signature: | Signature: |
| Date: | Date: |

**Appendix B: U.S. DOT SBIR Phase II/IIB Project Summary**

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| Project Summary |
| **Abstract (Limited to two hundred words in this space only. The Project Summary of successful proposals may be published by the U.S. DOT and, therefore, shall not contain classified or proprietary information.)** |
|   |
| **Anticipated Results/Potential Commercial Applications of Results** |
|  |
| **Keywords** |
|  |

**Appendix C: U.S. DOT SBIR Phase II/IIB COST & PRICING PROPOSAL**

**Appendix C** with included **instructions** is emailed to all Phase II/IIB awardees. Please fill out the spreadsheets as directed in the instructions (first two tabs of the spreadsheet). You must submit four separate documents (Technical Proposal, Cost & Pricing Proposal (Appendix C), Cost & Pricing Proposal Supporting Documentation, and Appendices A, B, D, and E (if applicable)).

If you have any trouble accessing the Appendix C spreadsheet please contact the U.S. DOT SBIR Program Office via e-mail dotsbir@dot.gov.

**Appendix D: U.S. DOT SBIR Phase II/IIB Supporting Documentation for Commercialization Strategy Plan**

Please Attach Supporting Documentation for Commercialization Strategy Plan as Appendix D.

(No Template Provided)

**APPENDIX E: U.S. DOT SBIR Phase II/IIB HUMAN FACTORS CHECKLIST (if applicable)**

**Human Subject Research Requirements of 49 C.F.R. Part 11**

Part 11 requires that, “[e]ach institution engaged in research which is covered by this policy and which is conducted or supported by a federal department or agency shall provide written assurance satisfactory to the department or agency head that it will comply with the requirements set forth in this policy.”[[1]](#footnote-2)

In order to comply with Part 11 policy, a vendor must provide assurances[[2]](#footnote-3) to the department which, at a minimum,[[3]](#footnote-4) shall include:

 \_\_\_\_\_ A statement of principles governing the institution on the discharge of its responsibilities for protecting the rights and welfare of human subjects of research conducted at or sponsored by the institution (such as an appropriate existing code, declaration, or statement of ethical principles, or a statement formulated by the institution itself).

\_\_\_\_\_ Designation of one or more IRBs established in accordance with the requirements of 49 CFR Part 11, with sufficient staff and meeting space to support the IRB's review and recordkeeping duties.

\_\_\_\_\_ A list of IRB members identified by name; earned degrees; representative capacity; indications of experience such as board certifications, licenses, etc., sufficient to describe each member's chief anticipated contributions to IRB deliberations; and any employment or other relationship between each member and the institution; for example: full-time employee, part-time employee, member of governing panel or board, stockholder, paid or unpaid consultant.

Written procedures which the IRB will follow:

\_\_\_\_\_ For conducting its initial and continuing review of research and for reporting its findings and actions to the investigator and the institution;

\_\_\_\_\_ For determining which projects require review more often than annually and which projects need verification from sources other than the investigators that no material changes have occurred since previous IRB review; and

\_\_\_\_\_ For ensuring prompt reporting to the IRB of proposed changes in a research activity, and for ensuring that such changes in approved research, during the period for which IRB approval has already been given, may not be initiated without IRB review and approval except when necessary to eliminate apparent immediate hazards to the subject.

Written procedures for ensuring prompt reporting to the IRB, appropriate institutional officials, and the department or agency head of:

\_\_\_\_\_ Any unanticipated problems involving risks to subjects or others or any serious or continuing noncompliance with this policy or the requirements or determinations of the IRB

\_\_\_\_\_ Any suspension or termination of IRB approval.

IRB Membership Requirements of 49 C.F.R. 11.107:

\_\_\_\_\_ At least five members

\_\_\_\_\_ Members with varying backgrounds to promote complete and adequate review of research activities commonly conducted by the institution.

\_\_\_\_\_ Members who are sufficiently qualified through the experience and expertise, and diversity, including consideration of race, gender, and cultural backgrounds and sensitivity to such issues as community attitudes, to promote respect for its advice and counsel in safeguarding the rights and welfare of human subjects.

\_\_\_\_\_ Members with knowledge to ascertain the acceptability of proposed research in terms of institutional commitments and regulations, applicable law, and standards of professional conduct and practice.

\_\_\_\_\_ If an IRB regularly reviews research that involves a vulnerable category of subjects, such as children, prisoners, pregnant women, or handicapped or mentally disabled persons, consideration shall be given to the inclusion of one or more individuals who are knowledgeable about and experienced in working with these subjects.

\_\_\_\_\_ The IRB should not consist entirely of men or entirely of women; however, IRB selection should not be on the basis of gender.

\_\_\_\_\_ IRB may not consist entirely of members of one profession.

\_\_\_\_\_ Must include at least one member whose primary concerns are in scientific areas and at least one member whose primary concerns are in nonscientific areas.

\_\_\_\_\_ Shall include at least one member who is not otherwise affiliated with the institution and who is not part of the immediate family of a person who is affiliated with the institution.

\_\_\_\_\_ No IRB may have a member participate in the IRB's initial or continuing review of any project in which the member has a conflicting interest, except to provide information requested by the IRB.

\_\_\_\_\_ The above assurances shall be executed by an individual authorized to act for the institution and to assume on behalf of the institution the obligations imposed by Part 11.

**U.S. DOT SBIR Disclosure Form (Appendix F/Online form)**

The SBIR and STTR Extension Act of 2022 (P.L. 117-183), Section 4(c), requires each SBC submitting a proposal or application for a federally funded award to disclose information in the proposal or application regarding ties to the People’s Republic of China and other foreign countries. Appendix F serves as the online form for which the SBC must submit this information.

**Disclosure Form:** <https://forms.office.com/g/BmmrYKqhpz>

The SBC must complete and submit the completed form(s) to U.S. DOT along with or prior to proposal submission. At the end of form completion, please click the “submit” button to submit the form through the U.S. DOT’s automated system.

Details on the requirements of the Extension Act and disclosures act can be found at <https://www.congress.gov/bill/117th-congress/senate-bill/4900/text>. The Disclosure Form was also published by the Small Business Administration in the [Federal Register](https://www.federalregister.gov/documents/2023/04/03/2023-06870/small-business-innovation-research-program-and-small-business-technology-transfer-program-policy) on April 4, 2023.

During the period of performance, the Contractor shall submit an updated U.S. DOT SBIR

Foreign Disclosure Form (<https://forms.office.com/g/BmmrYKqhpz>) prior to receiving more than 50% of the total award amount. The Government reserves the right to withhold payment until such time that this requirement is met. Additionally, the Contractor shall submit an updated U.S. DOT SBIR Foreign Disclosure Form at any time upon becoming aware of the following:

1. Any change to the U.S. DOT SBIR Foreign Disclosure Form completed prior to award.
2. Any material misstatement; and/or
3. Any change in ownership, change to entity structure, or other substantial change in circumstances to the Contractor’s business.

In accordance with the Extension Act, the Contractor, among other things, will be required to

repay the amount invoiced and paid to date if the U.S. DOT finds either of the following to pose

a risk to national security.

1. A material misstatement made to the U.S. DOT or
2. Changes in ownership, change to entity structure, or other substantial change in circumstances of the Contractor.
1. Note that in addition to submission of assurances, a contractor must later provide IRB certification of the research before it may commence: “Under no condition shall research covered by § 11.103 of the Policy be supported prior to receipt of the certification that the research has been reviewed and approved by the IRB.” 49 C.F.R. 11.103(f). [↑](#footnote-ref-2)
2. “Departments and agencies will conduct or support research covered by this policy only if the institution has an assurance approved as provided in this section, and only if the institution has certified to the department or agency head that the research has been reviewed and approved by an IRB provided for in the assurance, and will be subject to continuing review by the IRB.” 49 CFR 11.103(b). [↑](#footnote-ref-3)
3. After review of the assurances initially provided, the Volpe Center may require additional assurances specific to the proposed research. [↑](#footnote-ref-4)