

ED/IES Phase I Proposal Template

NOTE: There are two Phase 1 opportunities (IA and IB). Phase IA is for new technologies with now or little pre-existing research, while Phase IB is the an addition to existing research or technologies.

SOLICITATION PHASE IA: #91990024R0010	
A) Phase IA Project Title:	
B) Name of the Small Business:	
C) If applicable, other company names operated under, including DBAs	
D) Unique Entity Identifier (UEI) as registered on SAM.com. If you do not already have a UEI registered on SAM.com please be advised, registration can take several weeks.	
E) Contact Person: For the representative authorized to represent the small business concern in negotiations, fill in the information below:	
i) Contact Name:	
ii) Contact Title:	
iii) Contact Phone: in format 999-999-9999	
iv) Contact Email:	
F) Project Director: For the Project Director, fill in the information below:	
i) Project Director Name:	
ii) Project Director Title:	
iii) Project Director Phone: in format 999-999-9999	
iv) Project Director Email:	
G) HUBZone-owned SBC Certification: Does the offeror qualify as a HUBZone-owned SBC and meet the definition as	

<p>stated in this solicitation as defined by SBA? Enter YES or NO</p> <p><i>The website listed below contains information about the SBA's HUBZone program:</i></p> <p>http://www.sba.gov/hubzone/</p>	
<p>H) Woman-owned SBC Certification:</p> <p>Does the offeror qualify as a woman-owned SBC and meet the definition as stated in this program solicitation as defined by SBA? Enter YES or NO</p>	
<p>I) Socially and Economically Disadvantaged SBC Certification:</p> <p>Does the offeror qualify as a socially and economically disadvantaged SBC and meet the definition as stated in this program solicitation as defined by SBA? Enter YES or NO</p>	
<p>J) Service-Disabled Veteran Owned Small Business Certification:</p> <p>Does the offeror qualify as a Service-Disabled Veteran Owned Small Business as defined SBA? Enter YES or NO</p>	
<p>K) Small Business Address: For the address of the small business, fill in the information below: (Please do not enter address information in ALL CAPS)</p>	
<p>i) Street Address:</p>	
<p>ii) Address Line 2: Enter apartment, suite, or floor (optional).</p>	
<p>iii) City:</p>	
<p>iv) State: Enter the state's current postal abbreviation designated by the U.S. Postal Service.</p> <p><i>The website listed below contains information about postal abbreviations for U.S. states and territories:</i></p> <p>https://about.usps.com/who-we-are/postal-history/state-abbreviations.htm</p>	
<p>v) ZIP Code (5 digits):</p>	

L) Small Business Phone: in format 999-999-9999	
M) Company Website URL:	

For every member of the project team, fill in the below table.

- At a minimum, each project should identify a Project Director and a Contractor Security Liaison.
- See “Section C. Project Team And Company, Resumes And Certifications” and the “Contractor Vetting Security Requirements” section of the Security Requirements for Contractors Doing Business with the Department of Education for more information on Contractor Security Vetting Processes and the role of the Contractor Security Liaison.
- Only one individual can serve as the Project Director. Co-Project Directors are not permitted.
- The Contractor Security Liaison is permitted to serve in more than one role, and other roles can be added in the same box. The ED/IES SBIR program strongly recommends that the Project Director or other key personnel do not serve in the role of the Contractor Security Liaison in addition to the assigned activities during the contract. Please see “Section C. PROJECT TEAM AND COMPANY, RESUMES AND CERTIFICATIONS” for more information on the role of the Contractor Security Liaison.
- As many lines as needed can be added, to reflect additional Project Roles.

Name	Professional Affiliation (list only one affiliation, whether at the small business or another organization, or as an independent consultant)	Project Role	Email
		Principal Investigator <i>(required)</i>	
		Data Security Liaison <i>(required)</i>	

(Add additional lines for more team members)

A) Priority Area (Select only one)

New Education Technology Products Used by Students, or Educators or Administrators (or other School Personnel)

or

New Education Technology Products Used by Infants, Toddlers, or Students With or At Risk for Disabilities, or Teachers (or other Instructional Personnel, Related Services Providers, or Family Members) in Early Intervention or Special Education Settings

B) Indicate whether the proposal is for the R&D of an entirely new product (IA), for R&D to add new and unique components to a prototype that already exists and is functioning (IB), or for R&D to add new and unique components to a product that is already fully developed (IB). (Note: Proposals for projects to continue the development of an existing prototype or product should be submitted under the Phase IB solicitation.) (Select only one)

- for R&D of an entirely new product where no (or very limited) previous technological development work has occurred
- for R&D to add new and unique component to add to an existing prototype of an education technology product that already exists and is functioning
- for R&D to add new and unique component to an educational technology product that is already fully developed

C) Video Demonstration in Support of the Proposal (Optional)

Insert a URL to a video demonstration here:	
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Proposals may include a URL (Uniform Resource Locator) link to a three-minute or shorter video demonstration of the proposed project.

Specifications

- If a video demonstration is included, reviewers will view and evaluate the video as a component of the proposal.
- For this Phase IA solicitation which requests proposals for projects to develop prototype of an entirely new product for which no (or limited) previous technological development work has occurred, offerors are encouraged to provide a video presenting a mockup or plans for the development of the proposed product to give reviewers context for the new innovation being proposed.

- All video demonstrations must be posted to YouTube (<http://www.youtube.com/>) prior to the submission deadline and must remain available during the 90-day review period following submission. If the video demonstration is posted on a website other than YouTube, it is possible reviewers will not be able to watch the video.
- Video demonstrations may not be updated after submission. If the posting date on YouTube for the video is later than the submission date on January 18, 2024, at 11AM eastern standard time, the video will be deemed ineligible for inclusion in the review process.
- Offerors must ensure that a reviewer will be able to click on a “live” URL to watch the video. URLs that are scanned and not clickable may not be able to be viewed by the reviewers.

D) Project Abstract:

Commented [DM1]: Describe the new education technology product that would be fully developed if awards were provided in Phase I and II from the ED/IES SBIR program (200 word maximum).

E) Signatures for the Authorized Representative and the Principal Investigator

Provide the authorized signature for the representative authorized to represent the small business concern in negotiations in the below box:

X _____

Provide the authorized signature for the Principal Investigator in the below box:

X _____

Commented [DM2]: All offerors to the SBIR program are required to register at the SBA Company Registry (<http://sbir.gov/registration>) prior to proposal submission. Below this paragraph, offerors are required to attach a .pdf FILE of the SBIR.gov SBC Registration Control ID Form as proof of registration in this section of the proposal. **Proposals that do not include the .pdf file will be returned without review.** See below a picture of a blank SBIR.gov Registration Control ID Form that offerors will complete, save as a .pdf FILE, and include within the proposal.

F) SBA Company Registry:

SECTION B. PROPOSAL NARRATIVE

I. SIGNIFICANCE

i. Problem Statement

ii. New Product to be Developed if Phase I and II Funds Were Provided

iii. Prior Existing Products/Prototypes and Research that Relates to the New Product to be Developed

iv. Theoretical and empirical support

v. Market Competitors and Potential Commercial Application

II. PHASE I WORKPLAN

i. Development of the prototype

ii. Pilot Research at the End of Phase I

III. CITATIONS

SECTION C. PROJECT TEAM AND COMPANY, RESUMES AND CERTIFICATIONS

i. Project Team and Company

ii. Resumes and Certifications

"I hereby certify that this information is accurate to the best of knowledge and belief."

Individual's Name (TYPED):

Individuals Email:

Electronic Signature: _____

Date:

Commented [DM3]: Guidance for Section B. PROPOSAL NARRATIVE

- All contents that make up "SECTION B. PROPOSAL NARRATIVE" must be ten (10) pages or less. Any content in this section beyond ten (10) pages will not be reviewed.
- Numbering should begin on the first page of the SECTION B. PROJECT NARRATIVE" with "1" in the top right-hand corner.
- Offerors are required to follow the exact format specified in the items below to structure the proposal.

Commented [FAST4]: Succinctly describe the problem that the proposed new education technology product is intended to address, if fully developed in Phase IA and Phase II projects. Cite the most recent data establishing the scope and nature of the problem, to support the significance of the proposal. Describe why this problem persists.

NOTE: About 1 page is recommended for this section.

Commented [FAST5]: Describe the new education technology product that would be fully developed, follow...

Commented [FAST6]: Detail prior research conducted by the project team related to the current project and how this previous research guides and provides a foundation...

Commented [DM7]: Explain the underlying theory and provide any data from relevant studies from the...

Commented [FAST8]: Describe the most commonly used products and practices that are currently being used in this area of education. Describe the shortcomings of the curre...

Commented [FAST9]: The purpose of the Phase I project is to develop a functioning prototype (or initial version) of an entirely new education technology product, and to...

Commented [FAST10]: Describe the initial prototype of the new education technology product that will be...

Commented [FAST11]: Describe the pilot study that will be conducted near the end of the Phase I period, after the prototype is developed and functioning. The pilot study...

Commented [DM12]: All citations should be included on page 11, or the page immediately after the project...

Commented [FAST13]: Describe the company and key partner organizations. Provide an overview of the project...

Commented [DM14]: Each key individual on the project team must include a résumé (one (1) page maximum)...

Commented [FAST15R14]: *NOTE: 1 page maximum for this section.*

Commented [DM16]: On the page following each resume, project team members must provide a Certification...

SECTION D. PHASE I BUDGET

PHASE I BUDGET SPREADSHEET

(\$250,000 FOR 8 MONTHS)

Price Category		HOURS	RATE	TOTAL
Labor				
Name & Title			\$	\$
Name & Title			\$	\$
Name & Title			\$	\$
Name & Title			\$	\$
Name & Title			\$	\$
Labor Overhead	Rate	%		\$
Fringe Benefits		%		\$
Total Direct Costs				\$
Other Direct Costs				
Travel				\$
Copy/print/message				\$
Technical Assistance (maximum of \$6,500)				\$
Consultant				\$
Subcontractors (no more than 33% of the total Phase I price)				\$
Total ODCs				\$
Total Direct Costs				\$
G&A	Rate	%		\$
Total Cost				\$
Profit	Rate	%		\$
TOTAL PRICE				\$

Commented [DM17]: Offerors shall provide a one (1) page (maximum) narrative budget justification and a budget spreadsheet for the Phase I period using the below template.

For the narrative budget justification, the offeror should provide a justification for all pricing associated with the proposed project and describe why the pricing are within the scope of the proposed activities. For the budget spreadsheet:

- information should be displayed in a spreadsheet (SAMPLE BUDGET is below),
- all personnel should be listed by name,
- the number of hours assigned to the project for personnel should be included,
- hourly rates for personnel should be included,
- labor costs per person should be included,
- funds for travel must be justified and related to the needs of the project, and
- cost sharing should not be included.

Note: Use of funds to support a Technical and Business Assistance Plan (TABAs) should be justified in a Section I, and not included in the overall budget justification

The Phase I Budget must equal precisely \$250,000 total for an 8-month project, including subcontracts, indirect costs, and fees, but excluding any proposed cost sharing. (Other than not exceeding the limit, the price of the proposal is not part of the Evaluation Criteria, therefore there is no advantage to be gained by proposing less than \$250,000.)

While a reasonable fee for profit is technically allowable according to the Small Business Administration and the SBIR Policy Directive, and overhead and fringe are allowable, ED strongly encourages first and foremost that sufficient funds be budgeted to cover all of the necessary costs for R/R&D and commercialization planning to ensure that the project is successful and that the small business is in position to be successful in applying for a Phase II award.

Commented [DM18]: You can create this in an Excel Sheet, as long as you set it up in the exact way below

SECTION E: LETTER OF AGREEMENT TO PARTICIPATE IN THE PHASE I R/R&D

SECTION F: LETTERS OF SUPPORT FOR POTENTIAL PATHWAYS TO COMMERCIALIZE THE PROPOSED PRODUCT (Maximum of 3 Letters for Phase I)

SECTION G. DOCUMENTATION AND STATUS OF SBIR PHASE I AND II AWARDS SINCE 2010

SECTION H: SIMILAR OR CLOSELY RELATED AWARDS OR PROPOSALS

SECTION I. TECHNICAL AND ASSISTANCE BUSINESS PLAN (TABA)

SECTION J. REQUIRED CERTIFICATIONS TO COMPLETE NOW AT THE TIME OF THE PROPOSAL

SBIR/STTR Funding Agreement Certification

All small businesses that are selected for award of an SBIR/STTR Funding Agreement must complete this certification at the time of award and any other time set forth in the Funding Agreement that is prior to performance of work under this award. This includes checking all of the boxes and having an authorized officer of the Awardee sign and date the certification each time it is requested.

Please read carefully the following certification statements. The Federal Government relies on the information to determine whether the business is eligible for a Small Business Innovation Research (SBIR) program or Small Business Technology Transfer (STTR) program award. A similar certification will be used to ensure continued compliance with specific program requirements during the life of the Funding Agreement. The definitions for the terms used in this certification are set forth in the Small Business Act, SBA regulations (13 CFR part 121), the SBIR/STTR Policy Directive and also any statutory and regulatory provisions referenced in those authorities.

If the Funding Agreement officer believes that the business may not meet certain eligibility requirements at the time of award, they are required to file a size protest with the U.S. Small Business Administration (SBA), which will determine eligibility. At that time, SBA will request further clarification and supporting documentation in order to assist in the verification of any of the information provided as part of a protest. If the Funding Agreement officer believes, after award, that the business is not meeting certain Funding Agreement requirements, the agency may request further clarification and supporting documentation in order to assist in the verification of any of the information provided.

Even if correct information has been included in other materials submitted to the Federal Government, any action taken with respect to this certification does not affect the Government's right to pursue criminal, civil or administrative remedies for incorrect or incomplete information given in the certification. Each person signing this certification may be prosecuted if they have provided false information.

The undersigned has reviewed, verified and certifies that (all boxes must be checked unless otherwise directed):

Commented [DM19]: In SECTION E, offerors should provide one and only one letter of agreement from a representative of an education or special education setting that will participate in the Phase I research.

Although research is permitted to occur outside of an education or special education setting for products used outside of such settings, a letter from a representative of an education or special education setting is required indicating that research will be conducted under the auspice of their organization.

The letter must not exceed one (1) page in length.

Commented [DM20]: In SECTION F, offerors may include up to three (3) letters of support for potential pathways for the eventual commercial dissemination and sustainability of the proposed product. Each letter must not exceed one (1) page in length. Letters must adhere to the requirements as set forth in the solicitation.

- On average in past years, higher scoring proposals included three (3) letters to support potential pathways toward commercialization, and the letters in these proposals often

Commented [DM21]: If offerors or the principal Investigator has not received any prior Phase I or II (or Fast-Track) awards related to topics in this solicitation, offerors may include a blank page with the heading "SECTION G: No Prior Phase I or Phase II SBIR awards to report."

Commented [FAST22]: If the small business concern has received ANY prior award(s) from ED, or any other U.S. Federal agency for similar or closely related activities, the offeror must provide the name of the awarding agency, the date of award, the funding agreement number, the amount, and the project title. As well, the offeror must describe the technical differences and reasons why the proposed new Phase I (and eventually Phase II) research is different from the research conducted under prior related awards.

Commented [DM23]: Per guidance from the Small Business Administration's Technical and Business Assistance (TABA) Project Working Group in the fall of 2018, ED provides awardees the option to use part of the Phase I and II awards for technical assistance for specialized strategic business training. If offerors choose to utilize a technical assistance provider/vendor, the offeror is required to

Commented [DM24]: All offerors must include a completed the SBIR/STTR Funding Agreement within Section J of the proposal submission

(1) The Awardee business concern meets the ownership and control requirements set forth in 13 CFR 121.702.

(2) If a corporation – all corporate documents (namely: articles of incorporation and any amendments, articles of conversion, by-laws and amendments, shareholder meeting minutes showing director elections, shareholder meeting minutes showing officer elections, organizational meeting minutes, all issued stock certificates, stock ledger, buy- sell agreements, stock transfer agreements, voting agreements, and documents relating to stock options, including the right to convert non-voting stock or debentures into voting stock) must evidence that the corporation meets the ownership and control requirements set forth in 13 CFR 121.702. (Check one box).

Yes N/A Explain why N/A:

(3) If a partnership -- the partnership agreement evidences that it meets the ownership and control requirements set forth in 13 CFR 121.702. (Check one box).

Yes N/A Explain why N/A:

(4) If a limited liability company – the articles of organization and any amendments, and operating agreement and amendments, evidence that it meets the ownership and control requirements set forth in 13 CFR 121.702. (Check one box).

Yes N/A Explain why N/A:

(5) The birth certificates, naturalization papers, or passports show that any individuals it relies upon to meet the eligibility requirements are U.S. citizens or permanent resident aliens in the United States. (Check one box).

Yes N/A Explain why N/A:

(6) The Awardee business concern has no more than 500 employees, including the employees of its Affiliates.

(7) SBA has not issued a size determination currently in effect finding that this business concern exceeds the 500 employee size standard.

(8) During the performance of the award, the Principal Investigator/Project Manager will spend more than one half of his/her time (based on a 40 hour workweek) as an employee of the Awardee (or Research Institution – STTR only) or has requested and received a written deviation from this requirement from the Funding Agreement officer. (Check one box).

Yes Deviation approved in writing by Funding Agreement officer: __%

(9) All Essentially Equivalent Work, or a portion of the work, proposed under this project (check applicable line):

Has not been submitted for funding to this Agency or another Federal agency.

Has been submitted for funding to this Agency or another Federal agency but has not been funded under any other grant, contract, subcontract or other transaction.

A portion has been funded by another grant, contract, or subcontract as described in detail in the proposal and approved in writing by the Funding Agreement officer.

(10) During performance of award, the Awardee will perform the applicable percentage of work unless a deviation from this requirement is approved in writing by the Funding Agreement officer (check applicable line and fill in if needed):

SBIR Phase I: at least two-thirds (66 2/3%) of the research.

SBIR Phase II: at least half (50%) of the research.

STTR Phase I or Phase II: at least forty percent (40%) of the research.

Deviation approved in writing by the Funding Agreement officer (SBIR only): %

(11) During performance of award, the R/R&D will be performed in the United States unless a deviation is approved in writing by the Funding Agreement officer (check one box).

Yes Waiver has been granted

(12) During performance of award, the R/R&D will be performed at the Awardee's facilities by the Awardee's employees, except as otherwise indicated in the SBIR/STTR application and approved in the Funding Agreement.

(13) The SBIR Awardee has registered itself on SBA's database as majority-owned by venture capital operating companies, hedge funds or private equity firms (check one box).

Yes No N/A Explain why N/A:

(14) The SBIR Awardee is a Covered Small Business Concern (a Small Business Concern that: (a) was not majority-owned by multiple venture capital operating companies (VCOs), hedge funds, or private equity firms on the date on which it submitted an application in response to an SBIR solicitation; and (b) on the date of the SBIR award, which is made more than 9 months after the closing date of the solicitation, is majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms). (Check one box).

Yes No

(15) I will notify this Agency immediately if all or a portion of the work authorized and funded under this award is subsequently funded by another Federal Agency.

(16) [For STTR only] The Small Business Concern, and not a partnering Research Institution, is exercising management direction and control of the performance of the STTR Funding Agreement.

Yes No

(17) I understand that the information submitted may be given to Federal, State, and local agencies for determining violations of law and other purposes.

(18) I am an officer of the business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the business concern that the information provided in this certification, the application, and all other information submitted in connection with this application, is true and correct as of the date of 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 nonprocurement transactions (FAR subpart 9.4 or 2 CFR part 180); and (6) other administrative penalties including termination of SBIR/STTR awards.

<i>Signature</i>	<i>Date</i> __/__/__
<i>Print Name (First, Middle, Last)</i>	
<i>Title</i>	
<i>Business Name</i>	

Offerors that are majority-owned by multiple venture operating companies, hedge funds, or private equity firms must also include the following certification. For all others, this certification is not applicable:

Certification for SBIR Applicants that are Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Fund or Private Equity Firms

Any small business that is majority-owned by multiple venture operating companies (VCOCs), hedge funds, or private equity firms and is submitting an application for an SBIR Funding Agreement must complete this certification prior to submitting an application. This includes checking all of the boxes and having an authorized officer of the Applicant sign and date the certification each time it is requested.

Please read carefully the following certification statements. The Federal Government relies on the information to determine whether the business is eligible for a Small Business Innovation Research (SBIR) program award and meets the specific program requirements during the life of the Funding

Agreement. The definitions for the terms used in this certification are set forth in the Small Business Act, SBA regulations (13 CFR part 121), the SBIR/STTR Policy Directive and also any statutory and regulatory provisions referenced in those authorities.

If the Funding Agreement officer believes that the business may not meet certain eligibility requirements at the time of award, he/she is required to file a size protest with the U.S. Small Business Administration (SBA), which will determine eligibility. At that time, SBA will request further clarification and supporting documentation in order to assist in the verification of any of the information provided as part of a protest. If the Funding Agreement officer believes, after award, that the business is not meeting certain Funding Agreement requirements, the agency may request further clarification and supporting documentation in order to assist in the verification of any of the information provided.

Even if correct information has been included in other materials submitted to the Federal Government, any action taken with respect to this certification does not affect the Government's right to pursue criminal, civil or administrative remedies for incorrect or incomplete information given in the certification. Each person signing this certification may be prosecuted if they have provided false information.

The undersigned has reviewed, verified and certifies that (all boxes must be checked):

- (1) The Applicant is NOT more than 50% owned by a single VCOC, hedge fund, or private equity firm.
- (2) The Applicant is more than 50% owned by multiple domestic business concerns that are VCOCs, hedge funds, or private equity firms.
- (3) I have registered with SBA at www.SBIR.gov as a business that is majority owned by multiple VCOCs, hedge funds or private equity firms.
- (4) I understand that the information submitted may be given to Federal, State, and local agencies for determining violations of law and other purposes.
- (5) All the statements and information provided in this form and any documents submitted are true, accurate, and complete. If assistance was obtained in completing this form and the supporting documentation, I have personally reviewed the information and it is true and accurate. I understand that, in general, these statements are made for the purpose of determining eligibility for an SBIR Funding Agreement and continuing eligibility.

(6) I understand that the certifications in this document are continuing in nature. Each SBIR Funding Agreement for which the small business submits an offer or application or receives an award constitutes a restatement and reaffirmation of these certifications.

(7) I understand that I may not misrepresent status as small business to: 1) obtain a contract under the Act; or 2) obtain any benefit under a provision of Federal law that references the SBIR program.

(8) I am an officer of the business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the SBIR Applicant or Awardee, that the information provided in this certification, the application, and all other information submitted in connection with this application, is true and correct as of the date of 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 nonprocurement transactions (FAR subpart 9.4 or 2 CFR part 180); and (6) other administrative penalties including termination of SBIR/STTR awards.

<i>Signature</i>	<i>Date</i> __/__/__
<i>Print Name (First, Middle, Last)</i>	
<i>Title</i>	
<i>Business Name</i>	