



# NSF SBIR/STTR PHASE II PROGRESS REPORT

Division of Industrial Innovation Partnerships, Engineering  
Directorate, National Science  
Foundation

## ABOUT THE REPORT

Progress Reports are used for reporting updates and highlights accomplishments at (typically) the 6, 12, and 18-month performance periods. Per NSF guidelines, Phase II progress reports must be submitted through Research.gov.

**Plimpton, Suzanne H.**

[Note: If you receive a Phase IIB supplement, you are required to provide progress reports, typically at six-month intervals until the grant ends. Introduce the different sections of the form]



# SBIR/STTR Phase II Progress Report



## Guidance & Instructions

**Length of Period.** Progress Reports should be submitted to NSF every 6 months. The length of period, however, can be adjusted based on progress per project with the approval of NSF program directors.

**Sections of the Report.** This report is divided into 7 sections: 1) Guidance & Instructions, 2) Basic Reporting Data, 3) Level of Effort, 4) SBIR-wide Certification, 5) Cooperative Agreement, 6) Technical Narrative, 7) Project Milestone

**How to fill out each section.** In the *Basic Reporting Data* section, provide the name of your company (Awardee's organization), its street address, including city, state, and zip code. In addition, provide the NSF SBIR Phase II award number, the awarded proposal (project) title, project start date, and name of the Principal Investigator (PI).

In the *Level of Effort* section, provide **Level of Effort (in dollars)** by PI and/or key personnel (including consultants and sub-awardees) as well as **Level of Effort (in person-months)**. Also include other non-zero expenditures listed on the award budget. For periods other than Period 1, copy and paste what was reported in previous progress reports.

In the *SBIR-wide Certification* section, review the certification statements, check the appropriate boxes, sign (by the PI and/or the Authorized Company Representative) and date the form.

In the *Cooperative Agreement (NSF-specific Certification)* section, review the certification statements, check the appropriate boxes, sign (by the PI and/or the Authorized Company Representative) and date the form.

In the *Technical Narrative* section, provide an up-to-date progress of your project by summarizing and discussing key technical and commercial activity/results during the reporting period, as well as challenges and key upcoming activities. Save the Technical Narrative as a separate PDF file.

In the *Project Milestone* section, fill in the name of the personnel assigned to each task. Provide a brief description to the task assigned. Use an "X" to denote the timing of each task (each box = 1 month).

**Preparing for Submission.** When finished completing all the sections in this form, save this *Progress Report* as a PDF document, and the *Technical Narrative* as another PDF document.

**Submission Guidelines.** Use your Fastlane UserID and password to log in to Research.gov.

On the Project Reporting Dashboard, select "Annual, Final, and Interim Report" to navigate to the "All Awards" tab. Then, navigate to the appropriate award. Once on the award screen, click on "Create IPR" in the upper hand corner under "Available Actions."

Complete the "Cover" information. Complete the "Products" and "Participants" tabs. This structured information is vital, and it should be completed via the HTML questions and checkboxes (even if the information is presented in the Technical Narrative).

Upload the completed and signed *Progress Report* (PDF) as a supporting file in the “Special Requirements” section.

Upload the *Technical Narrative* (PDF) as a supporting file in the “Accomplishments” section.

**An email must be sent to the Program Director informing them that a report has been submitted via Research.gov.**

For the most up-to-date instructions, please visit:

<https://seedfund.nsf.gov/resources/awardees/phase-2/reporting/>

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## Basic Reporting Data

Awardee Organization	<input type="text"/>	Street Address Including City, State, and ZIP Code	<input type="text"/>
Phase II Award Number	<input type="text"/>	Project Start Date (MM/DD/YYYY)	<input type="text"/>
Project Title	<input type="text"/>		
Name of Principal Investigator (Last, First)	<input type="text"/>		
Today's Date (MM/DD/YYYY)	<input type="text"/>		



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## Level of Effort

**Project Accounting Data.** Indicate below accounting information on your project. Project Expenditures should include all direct and indirect costs other than *Technical and Business Assistance* (TABA) costs and small business fees. TABA Expenditures should include funds spent on technical and business assistance, if applicable.

The length of a period is typically 6 months, but can be adjusted, based on progress per project, with the approval of NSF program directors.

Total Project to-date is the sum of across all 4 periods.

Reporting Period	Period 1	Period 2	Period 3	Period 4	Total Project to-date
Start Date (MM/DD/YYYY)					
End Date (MM/DD/YYYY)					
Project Expenditures (\$)					
Project TABA Expenditures (\$)					

**Example:**

Reporting Period	Period 1
Start Date (MM/DD/YYYY)	04/01/2019
End Date (MM/DD/YYYY)	09/30/2019
Project Expenditures (\$)	\$213, 245
Project TABA Expenditures (\$)	\$15,200



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**Key Personnel Effort Data.** Indicate below effort data from key personnel. **Key Personnel** includes any employees listed on line A of the approved budget, any consultants listed on line G.5 of the approved budget, any subaward personnel listed on line A of a subaward budget, and/or anyone named as a key person in the Phase II award letter.

**One unit of effort is equivalent to 173 working hours.** Total Project Effort to-date is the sum across all 4 periods. Total Project Effort for all key personnel is the sum of all key person efforts across each period. Total Project Effort is similarly computed but include everyone working in the company.

Key Person Name (Last, First) and Affiliation	Period 1 Effort	Period 2 Effort	Period 3 Effort	Period 4 Effort	Total Project Effort to-date

Total Project Effort (Person-Months)	Period 1	Period 2	Period 3	Period 4	Total Project Effort to-date
For all key personnel					
For all personnel					

Example:



Key Person Name (Last, First) and Affiliation	Period 1 Effort
Smith, Jane [Wayne Enterprises]	1.5
Wayne, Bruce [Wayne Enterprises]	1.2
Marx, Groucho [Consultant]	0
Feynman, Richard [Cal Tech]	2.5

# SBIR/STTR Phase II Progress Report



## SBIR-wide Certification

**All SBIR/STTR Phase I and Phase II Awardees must complete this certification** at all times set forth in the Funding Agreement (see § 8(j) of the SBIR/STTR Policy Directive). This includes **checking all of the boxes** (unless otherwise directed) 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 ensure 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, 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 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 certified that (all items must be addressed except where otherwise directed):

**Yes No**

**1. Effort.** The Principal Investigator has spent more than one-half of his/her time (based on a 40 hour workweek) as an employee of the Awardee for the duration of the project to-date, or the Awardee has requested and received a written deviation from this requirement from the Funding Agreement officer.

Deviation approved in writing by Funding Agreement Officer: \_\_\_\_\_  
%

**2. Location.** The R/R&D has been performed in the United States unless a deviation is approved in writing by the Funding Agreement Officer.

If waiver has been granted by Funding Agreement Officer, check  this box:

**3. Facility.** The R/R&D has been 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.

**4. Control - 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.

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**5. Funding Overlap.** All essentially equivalent work, or a portion of the work, performed under this project (*check the 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

**6. Percentage of Work.** Upon completion of the award, the Awardee will have performed the applicable percentage of work, unless a deviation from this requirement is approved in writing by the Funding Agreement officer (*check the applicable line and fill in if needed*):

- SBIR Phase I:** at least two-thirds ( $66\frac{2}{3}$  %) of the research.
- SBIR Phase II:** at least half (50%) of the research.

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

\_\_\_\_\_ %

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

**7. Completion.** The work is completed and the small business Awardee has performed the applicable percentage of work, unless a deviation from this requirement is approved in writing by the Funding Agreement officer (*check the applicable line and fill in if needed*):

- SBIR Phase I:** at least two-thirds ( $66\frac{2}{3}$  %) of the research.
- SBIR Phase II:** at least half (50%) of the research.

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

%



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

**N/A** because work is not completed

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By checking the boxes in items 8 - 10, the undersigned has reviewed, verified and certified the following statements:

- 8.** 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 or non-Federal agency, or by any other public or private entity.
- 9.** I understand that the information submitted may be given to Federal, State, and local agencies for determining violations of law and other purposes.
- 10.** I am an officer of the Awardee 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 the award, 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 9 174 CFR part 180); and (6) other administrative penalties including termination of SBIR/STTR awards.



Signature of the Person Submitting this Form

Name & Title

Name of the Person Submitting this Form (print)

Date of Signature

  
MM  
DD  
YYYY

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## Cooperative Agreement (NSF-specific certification)

In the below certification, check either Yes or N/A (Not Applicable) to each certification statement.

- **“relative”** means an individual who is related as father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, step-brother/sister, half-brother/sister
- **“key personnel”** includes any employees listed on line A of the approved budget, any consultants listed on line G.5 of the approved budget, any subaward personnel listed on line A of a subaward budget, and/or anyone so named as a key person in the Phase II award letter.

The undersigned has reviewed, verified and certified that:

	Yes	N/A

NSF approval has been requested and obtained in writing for any removal, substitution, or significantly reduced involvement (25% or more reduction in effort committed to the project) of any listed key personnel.

NSF approval has been requested and obtained in writing for a reduction of the total level of project effort (as measured by the number of person-months of commitment by

all company employees) of 25% or more

NSF approval has been requested and obtained in writing for any purchase of equipment, not in the original approved budget, totaling \$25,000 or more.

NSF approval has been requested and obtained in writing for any addition or removal of project subawards, or any significant reduction (25% or more) of the amount of an existing subaward.

NSF approval has been requested and obtained in writing for all new commitments (or reallocations) of funds to any employee or consultant who is a relative of any company owner, officer, director, or employee.

NSF approval has been requested and obtained in writing for all new commitments (or reallocations) of funds to any organization with an owner, officer, director, or employee who is a relative of any owner, officer, director, or employee of the small business.

NSF approval has been requested and obtained in writing for all new commitments (or reallocations) of funds to any organization where a company owner, officer, director, or employee (or a relative thereof) has a significant financial interest.

NSF approval has been requested and obtained in writing for all funds spent on technical and business assistance activities.

NSF approval has been requested and obtained in writing for closure of the project with significantly less grant funds expended than expected.

PI  
Signature/Date

Company  
Officer  
Signature/Date

# SBIR/STTR Phase II Progress Report



## Technical Narrative

In this section of the report, provide an up-to-date progress that was made in your company. The narrative should be organized and present in the following order:

- A **1-page executive summary** highlighting key technical and commercial activity/results during the reporting period, as well as key upcoming activities.
- An account on **technical progress** discussing NSF-funded technical R&D activities and project updates. Provide a brief description of each project objective where progress was made. For each Phase II milestone, include an estimate of percentage completion (suggested: 3-5 pages).
- An account on **commercial/other progress** outlining any customer and partner engagements, partnership activities, new team members, investment/fundraising activities, or any other fronts that related to the technical or commercial potential of the underlying effort (suggested: 1-2 pages).



A review of **challenges encountered** describing if your company has engaged in any issues, problems, and/or concerns, technical or otherwise, during the reporting period (suggested:1-2pages).

Save the Technical Narrative as a separate PDF file.

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## Project Milestone

Fill in the name of the personnel assigned to each task. Provide a brief description to the task assigned. Use an "X" to denote the timing of each task (each box = 1 month). Please note: Totals for personnel person-months on all task **should reconcile** with what's being reported in the *Total Project Effort for All Personnel* in the Key Personnel Effort Data page. Add personnel and task to the table as necessary.

	Personnel Assignment (Last, First)	Start Date	End Date	Duration (Months)	Months 0-6	Months 6-12	Months 12-18	Months 18-24
Task 1: Task Description	Personnel 1							
	Personnel 2							
	Personnel 3							

