



ABOUT THE REPORT

Progress Reports are used for reporting updates and highlights accomplishments at (typically) the 6, 12, and 18-month mark of the Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) project. Per NSF guidelines, Phase II progress reports must be submitted through Research.gov.

Note: If you receive a supplement that extends the award duration, such as a Phase IIB or TECP award, you are required to provide progress reports, typically at six-month intervals until the grant ends.

Privacy Act Statement:

Information from this data collection system will be retained by the National Science Foundation (NSF), a Federal agency, and will be an Integral part of its Privacy Act System or Records In accordance with the Privacy Act of 1974. All individually identifiable information supplied by individuals or institutions to a Federal agency may be used only for the purposes outlined in the system of records notice and may not be disclosed or used in identifiable form for any other purpose, unless otherwise compelled by law. These are confidential files accessible only to appropriate NSF officials, their staffs, and their contractors responsible for monitoring, assessing, and evaluating NSF programs. Only data in highly aggregated form or data explicitly requested "for general use" will be made available to anyone outside of NSF for research purposes. Data submitted will be used in accordance with criteria established by NSF for monitoring research and education grants, and in response to Public Law 99-383 and 42 U.S.C. 1885c.

NSF SBIR/STTR PHASE II PROGRESS REPORT

Division of Translational Impacts
Directorate of Technology, Innovation, and Partnerships
National Science Foundation

Burden Statement:

Pursuant to 5 CFR 1320.5 (b), an agency may not conduct or sponsor, and a person is not required to respond to an information collection unless it displays a valid OMB control number. The OMB control number for this collection is 3145-0252. Public reporting burden for this collection of information is estimated to average 45 per response, including the time for reviewing instructions. Send comments regarding this burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to: Suzanne H. Plimpton

Reports Clearance Officer

Policy Office, Division of Institution and Award Support
Office of Budget, Finance, and Award Management
National Science Foundation
Alexandria, VA 22314
Email: splimpto@nsf.gov



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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 (or project expenditures) per project with the approval of the NSF Program Director.

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 person-months) by PI and/or key personnel (including consultants and sub-awardees) as well as Total Project Expenditures (in dollars). For periods other than the first, please include the prior data from earlier project periods based on 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(s) 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 | | | | Street Address Including City, State, and ZIP Code | |
| Phase II Award Number | | | | Project Start Date (MM/DD/YYYY) | |
| Project Title | | | | | |
| Name of Principal Investigator (Last, First) | | | | | |
| Principal Investigator Email Address | | | | | |
| Principal Investigator Phone Number | | | | | |
| Current number of full-time equivalents working at the awardee small business | | | | | |
| Total other funding (in USD) received by the small business in this project period. (Please detail, by source, other funding received by the small business in the project period. Do not include funds from this NSF award, sweat equity, or in- kind support. Do include prizes, grants, product revenue, investment, licensing revenue, royalties, and debt. Please break down major sources of funding by source and state the total amount.) | | | | | |
| Has the company developed any new intellectual property under the NSF-funded work? | Yes | No | | | |
| If YES, has this new intellectual property been registered in iEdison? | Yes | No | N/A | | |
| Has the company established any new subsidiaries, affiliated companies, or joint ventures during this reporting period? | Yes | No | | | |
| If Yes, please give details | | | | | |
| Today's Date (MM/DD/YYYY) | | | | | |



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Level of Effort

Project Accounting Data. Indicate below information on your project, based on the company's current accounting and payroll records. Project Expenditures should include all direct and indirect costs other than *Technical and Business Assistance (TABA)* costs and the awarded small business fee. 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 the NSF Program Director.

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 | Projected Phase II total (from initial approved budget) |
|--------------------------------|----------|----------|----------|----------|-----------------------|---|
| Start Date (MM/DD/YYYY) | | | | | | |
| End Date (MM/DD/YYYY) | | | | | | |
| Project Expenditures (\$) | | | | | | |
| Project TABA Expenditures (\$) | | | | | | |

| Reporting Period | Period 5 | Period 6 | Period 7 | Period 8 | Total Project to-date | Projected Phase II total (from initial approved budget) |
|--------------------------------|----------|----------|----------|----------|-----------------------|---|
| Start Date (MM/DD/YYYY) | | | | | | |
| End Date (MM/DD/YYYY) | | | | | | |
| Project Expenditures (\$) | | | | | | |
| Project TABA Expenditures (\$) | | | | | | |

Has any of the above data for earlier project periods changed from what was reported previously?

If you answered yes to the above, please give details.



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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, plus anyone named as a key person in the Phase II award letter.

One person-month 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 (person- months) | Period 2 Effort (person- months) | Period 3 Effort (person- months) | Period 4 Effort (person- months) | Total Project Effort to- date | Projected Phase II total (from initial approved budget) |
|---|---|---|---|---|--|--|
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| Key Person Name (Last, First) and Affiliation | Period 1 | Period 2 | Period 3 | Period 4 | Total Project Effort to- date | Projected Phase II total (from initial approved budget) |
|--|----------|----------|----------|----------|-------------------------------------|---|
| For all key personnel (exclude consultants and subaward personnel) | | | | | | |
| For all personnel (exclude consultants and subaward personnel) | | | | | | |



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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, plus anyone named as a key person in the Phase II award letter.

One person-month 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 5 Effort (person- months) | Period 6 Effort (person- months) | Period 7 Effort (person- months) | Period 8 Effort (person- months) | Total Project Effort to- date | Projected Phase II total (from initial approved budget) |
|---|---|---|---|---|--|--|
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| Key Person Name (Last, First) and Affiliation | Period 5 | Period 6 | Period 7 | Period 8 | Total Project Effort to- date | Projected Phase II total (from initial approved budget) |
|--|----------|----------|----------|----------|-------------------------------------|---|
| For all key personnel (exclude consultants and subaward personnel) | | | | | | |
| For all personnel (exclude consultants and subaward personnel) | | | | | | |



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SBIR-wide Certifications

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 boxes must be checked except where otherwise directed):

1. The Principal Investigator/Project Manager has spent 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 the Awardee has requested and received a written deviation from this requirement from the Funding Agreement officer.

Yes No

Deviation approved in writing by Funding Agreement Officer: _____ %

2. 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.



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3. 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.
- 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): _____ %

4. 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.
- STTR Phase I or Phase II: at least forty percent (40%) of the research.
- Deviation approved in writing by the Funding Agreement officer: _____ %
- N/A because work is not completed

5. [*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

6. The R/R&D is performed in the United States unless a deviation is approved in writing by the Funding Agreement officer.

- Yes No Waiver has been granted

7. The R/R&D is 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.

- Yes No



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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 Agency.

- 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 9.4 or 2 CFR part 180); and (6) other administrative penalties including termination of SBIR/STTR awards.

Signature

Print Name
(First, Middle, Last)

Signature of the Person Submitting this Form

Name of the Person Submitting this Form (print)

Date of Signature

MM DD YYYY

Title

Business
Name



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Cooperative Agreement (NSF-specific certifications)

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 (check one box for each item):

| | 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. | <input type="checkbox"/> | <input type="checkbox"/> |
| 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 | <input type="checkbox"/> | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> | <input type="checkbox"/> |
| NSF approval has been requested and obtained in writing for all funds spent on technical and business assistance activities. | <input type="checkbox"/> | <input type="checkbox"/> |
| NSF approval has been requested and obtained in writing for closure of the project with significantly less award funds expended than expected. | <input type="checkbox"/> | <input type="checkbox"/> |

Principal Investigator

Company Officer

Signature/Date

Signature/Date



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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, attendance at industrial or related events, intellectual property filings or updates, or any other fronts that are key to the technical or commercial success of the underlying effort (suggested:1-2 pages).
- A review of challenges encountered describing if your company has encountered any major issues, problems, and/or concerns, technical or otherwise, during the reporting period (suggested:1-2pages).
- (Optional) If your project or company has received media attention, has garnered other important awards or recognitions, or has any other great “wins” to share with NSF, please let us know! (suggested: 1 page)

Save the Technical Narrative as a separate PDF file.

