

Phase II Reporting Requirements

If your **Phase II proposal was submitted in the year 2019 or earlier**, please follow the instructions below.

Interim Report

(Interim Progress Reports are used for reporting progress typically at the 6, 12, and 18-month performance periods). Note: If you receive a Phase IIB supplement, you are required to provide progress reports, typically at six-month intervals until the award ends. Phase II progress reports must be submitted through Research.gov.

Cover page

The report cover page is filled out and signed by the PI and the Authorized Company Representative. Once the cover page is filled out and signed, you **MUST** attach it as part of the interim report, using the following steps:

1. Make sure you have [Adobe Reader](#).
2. Download the [Cover Page Document](#).
3. Fill out and print the form.
4. Physically sign the Cover Page in the signature field.
5. Scan the Cover Page as a PDF file.
6. Upload this PDF into Research.gov as described below.

Project milestone chart

[Milestone Information Template, .XLSX](#)

Each progress report must contain updated Project Milestone Information. A template is provided in .XLSX format but **MUST** be converted to PDF upon completion in order to be uploaded into Research.gov. This chart should follow the format used in the Phase II proposal document and reflect the cumulative effort and expenditures. The following are required:

1. Level of effort (in person-months) by the PI and/or key personnel (including subawardees).
2. Level of effort (in dollars) by PI and/or key personnel (including consultants and subawardees).
3. Other non-zero expenditures listed on the award budget.

Technical report

1. A one-page executive summary that highlights key technical and commercial activity/results, and path forward.

2. Details about technical R&D activities and project progress and percentage completion of milestones during the interim reporting period. (Include a brief description of each task worked on during the reporting period.)
3. Problems encountered during the interim reporting period. (If NONE, so state.)
4. Status of commercialization activities and a discussion of any commercialization challenges faced during the interim reporting period. Also provide insight into planned commercialization activities for the next reporting period.

Phase II/IIB final report

Research.gov information/submission

1. Use your FastLane UserID and password to [Log in to Research.gov](#)
2. Use your Project Reporting Dashboard to navigate to the appropriate award and report. Annual and Final Reports that are due will be listed in the “Reports Due” tab.
3. Complete the “Cover” information.
4. Complete the “Products” and “Participants” tabs. **This structured information is vital, and it should be completed via the HTML questions and check boxes (regardless of whether or not it is present in a supplementary PDF)**
5. (Optional) Complete the “Accomplishments”, “Impact”, “Changes/Problems”, and “Special Requirements” tabs with information or use the check boxes to indicate that there is “Nothing to Report”.
6. Upload the COVER PAGE PDF as a supplementary document in the “Special Requirements” section. If “Special Requirements” tab is not visible, please upload the COVER PAGE PDF under the “Accomplishments” tab.
7. Uploaded the PROJECT MILESTONE CHART PDF as a supplementary document in the “Special Requirements” section.
8. Upload the TECHNICAL REPORT PDF as a supplementary document in the “Accomplishments” section.
9. Uploaded the COMMERCIALIZATION REPORT PDF as a supplementary document in the “Special Requirements” section.

Phase II/IIB final report

The electronic submission of the Final Report fulfills the NSF reporting requirements for an SBIR/STTR Phase II/IIB award. The Final Report should be submitted within 90 days following the end date of the award. Each Final Report has four components.

Cover page

The Report Cover page is filled out and signed by the PI and the Authorized Company Representative. Once the cover page is filled out and signed; you **MUST** then attach it as a part of the technical report. To attach the cover page; please follow the following steps:

1. Make sure you have [Adobe Reader](#)
2. Download the [Cover Page Document](#)
3. Fill out and Print the form
4. Physically sign the Cover Page in the signature field
5. Scan the Cover Page as a PDF file
6. Upload this PDF into the technical report

Failure to submit the SIGNED Report Cover Page as a part of the technical report will delay payment

Project milestone chart

[Milestone Information Template, .XLSX](#)

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1. Level of effort (in person-months) by the PI and/or key personnel (including subawardees).
2. Level of effort (in dollars) by PI and/or key personnel (including consultants and subawardees).
3. Other non-zero expenditures listed on the award budget.

Technical report

This section should demonstrate that the research activities were carried out and are consistent with the level of effort originally proposed and the amount of funding received. This section should not exceed 10 pages plus associated reference data, graphics, or tabular data. The technical report will include the following four parts:

1. Summary description of the research carried out, the results and the extent to which the stated Phase II/IIB objectives were met.
2. Problems encountered and methods of resolution used.
3. Problems remaining or unfulfilled research objectives.
4. Unexpected or serendipitous results, information or events which may have altered the direction of the project. The impact these results may have on the potential transition into similar or related research or products.

Commercialization report

[Blank Commercialization Report Format:](#)

The commercialization report section should not exceed 10 pages. The Commercialization Report section has six (6) parts. Awardees are required to prepare the Commercialization Report section in the format shown below:

1. Company Data (Basic data about the company and the SBIR project.) SBIR/STTR Award Number:
 Name of Company:
 Company Address:
 Telephone Number:
 Fax Number:
 Email:
 Name and Title of the person preparing the report:
2. Funding Commitment(s) (Status of any Funding Commitment(s)) Was the original FC exercised?
 If yes, provide the following information:
 Date:
 Amount:
 Source:
 If no, provide explanation. Possible reasons for not exercising the FC:
 a.) Technical Objectives not met. b.) Technology by-passed in market place. c.) Technology not economically viable d.) Other (Explain)
3. Were you awarded a Phase IIB supplement? If yes, describe the commercialization activities related to this supplement.
4. List any products and/or processes currently in the marketplace, or patents resulting from the SBIR project.
5. Please furnish the revenues received from the commercialization of this SBIR project, include: Sales, Manufacturing, Product Licensing, Royalties, Consulting, Contracts, Other.

Revenue Breakdown

	Start of SBIR/STTR Award	Current
Number of Employees		
Revenue (Total \$'s)		
Percent (%) of Revenue from SBIR's (from all agencies)		

6. Briefly describe the company's efforts to commercialize technology resulting from this SBIR award. (This includes customer/potential customer base, overview of marketing and sales strategies, market readiness and/or market window of opportunity and financing strategies for product life cycle.)