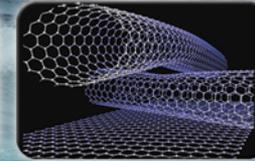
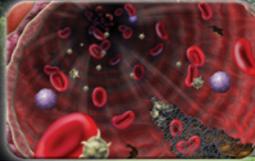




Celebrating
60 *years*
of Discovery

Phase IB Supplement Phase II Submission

Progressing Towards a Phase II Submission





Phase IB Supplement

- Foster relationships with strategic partners and investors
- Advance Phase I research
- Help bridge the Phase I/Phase II gap
- Accelerate commercialization





AWARD INFORMATION

- Awards will be made as supplements to active SBIR/STTR Phase I awards (except those on a no-cost extension);
- The maximum supplemental award is 20 % of the Phase I award
- NSF will provide 50% of the outside investment but not to exceed \$30K
- A minimum of \$30,000 of outside investment is required to be eligible for the supplemental grant;
- When the supplemental grant is awarded, the period of performance of this original grant is extended by up to six months. Important note
 - a Phase IB supplement request does not extend the original eligibility dates for submission of the Phase II proposal;
- If the Phase IB supplement is awarded, the grantee is responsible for submitting an Interim Report six months after the original award date and a Final Report at the conclusion of the award.
- Supplement proposals must be uploaded to FastLane before 11:59PM (Proposer's time)





Phase IB Requirements

- An active SBIR Phase I award
- Funding from a third party investor
 - Cash
 - Liquid assets
 - Tangible financial instrument
- In-kind, loans, self funding, etc. not acceptable
- A third party investor (s) must commit a minimum of \$30,000. NSF will contribute up to 50 percent of the outside investment, with a maximum NSF contribution of 20 percent of the Phase I award amount
- NSF only matches real funds – **Simple scheme**
 - **Funds in hand with no possibility of returning to third party**





Phase IB Checklist

<p>What is the amount of the third party investment?</p>	<p>What is the source of the third party investment? (Name of Investor or Partner)</p>	<p>Show how the partnership (with the third party investor) will/could strengthen the Phase I Project</p>	<p>Is the third party investment a result of the Phase I project? Please explain</p>	<p>Justify the budget request based on "new" tasks proposed (e.g. show how the third party and NSF funds will benefit the project)</p>
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Phase II Submission

- Three major elements to proposal
 - Phase I final report
 - A bad final report will prevent Phase II funding
 - Project description
 - We once thought the technology was innovative enough
 - Commercialization plan





Phase I Final Report –Components

Sections

- A Phase I SBIR/STTR Final Report Cover Page.
- A technical report section documenting the research accomplishments of the Phase I/IB project.
 - **This technical report will be uploaded in the Phase II proposal.**
 - 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.
 - If the completed work did not meet the milestones stated in Phase I proposal it will be almost impossible to convince the reviewing team to go continue funding in the form of a Phase II award





Phase I Final Report –Content

- A Summary description of the research carried out, the results and the extent to which the stated Phase I/IB objectives **were met**.
- Problems encountered and methods of resolution used.
- Problems remaining or unfilled research objectives.
- Conclusions of the Phase I/IB findings and how these conclusions **support a Phase II proposal**.





Phase II - Project Description

Part 1. Results of the Phase I Project

Part 2. Phase II Technical Objectives, Approach,
and Work Plan

Part 3. Organizational Information

Part 4. Consultant and Subaward Agreement

Part 5. Equivalent or Overlapping Proposals to
other Federal Agencies

