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Research • Funding • AI Strategy • Est. 2004
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Phase I-to-Phase II Planner

A practical planning worksheet for converting Phase I results into a focused, evidence-backed, commercially credible Phase II application and development plan.

Company / organization:	_____	**Prepared by:**	_____
Technology / product:	_____	**Date / version:**	_____
Agency / topic:	_____	**Phase I award period:**	_____
Phase II target deadline:	_____	**Primary commercialization pathway:**	☐ Product sales ☐ Licensing ☐ Procurement ☐ Partnership ☐ SaaS ☐ Other
Technical lead:	_____	**Commercialization lead:**	_____

1. Phase I Results Snapshot

Summarize the strongest Phase I evidence first. The goal is to identify what has been proven, what remains uncertain, and what must be positioned as the logical next step for Phase II.

Phase I area	Prompt	Notes
Phase I objective	What was the main technical or feasibility question?	
Completed work	What experiments, prototypes, analyses, customer interviews, designs, or validations were completed?	
Key results	What are the most important quantitative and qualitative findings?	
Evidence of feasibility	What shows the technology can work under realistic conditions?	
Limits or unresolved questions	What remains uncertain and should be addressed in Phase II?	
Most compelling takeaway	What one or two points should reviewers remember?	

2. Phase I Deliverables and Evidence Inventory

Evidence item	Status	Location / file owner	Gap or action needed
Technical report / summary	☐ Complete ☐ Draft ☐ Missing		
Prototype, model, algorithm, assay, device, platform, or workflow	☐ Complete ☐ Partial ☐ Not started		
Performance data or feasibility metrics	☐ Strong ☐ Moderate ☐ Weak		
Customer discovery or stakeholder feedback	☐ Strong ☐ Moderate ☐ Weak		
Competitive or market landscape scan	☐ Updated ☐ Needs update ☐ Missing		

Evidence item	Status	Location / file owner	Gap or action needed
IP status / invention disclosure / patent position	☐ Clear ☐ Needs review ☐ Unknown		
Regulatory, reimbursement, data security, or compliance assumptions	☐ Addressed ☐ Partial ☐ Not addressed		
Letters of support, partner feedback, or user validation	☐ Strong ☐ Partial ☐ Missing		

3. Phase II Readiness Checklist

Readiness item	Status	Evidence / notes	Gap / next action
The Phase I results clearly support a larger Phase II development effort.	☐ Ready ☐ Partial ☐ Not ready		
The technical problem for Phase II is specific, testable, and appropriately scoped.	☐ Ready ☐ Partial ☐ Not ready		
The team can explain what will be built, validated, or demonstrated during Phase II.	☐ Ready ☐ Partial ☐ Not ready		
Milestones are measurable and tied to go/no-go decisions rather than general activity.	☐ Ready ☐ Partial ☐ Not ready		
The commercialization plan is more than a future intention; it includes users, buyers, pathways, and early evidence.	☐ Ready ☐ Partial ☐ Not ready		
The budget supports the technical work plan and avoids vague or unsupported cost categories.	☐ Ready ☐ Partial ☐ Not ready		
Key subcontractors, consultants, collaborators, or facilities are identified early.	☐ Ready ☐ Partial ☐ Not ready		
Regulatory, clinical, procurement, cybersecurity, data, or compliance issues have been considered if relevant.	☐ Ready ☐ Partial ☐ Not ready		
Letters of support or partner conversations align with the proposed Phase II work.	☐ Ready ☐ Partial ☐ Not ready		
The team has a credible post-Phase II pathway toward revenue, licensing, adoption, procurement, investment, or follow-on funding.	☐ Ready ☐ Partial ☐ Not ready		

4. Phase II Technical Aims Planner

Use this section to translate Phase I findings into clear Phase II aims. Each aim should have a purpose, measurable endpoint, method, risk, and decision value.

Aim	Purpose	Method / work package	Measurable endpoint	Risk control
Aim 1	Question or objective:	Approach:	Success metric:	Risk / fallback:
Aim 2	Question or objective:	Approach:	Success metric:	Risk / fallback:
Aim 3	Question or objective:	Approach:	Success metric:	Risk / fallback:
Aim 4 / optional	Question or objective:	Approach:	Success metric:	Risk / fallback:

5. Milestone and Timeline Planner

#	Milestone	Target date	Category	Success criteria	Owner	Dependency
1			☐ Technical ☐ Commercial ☐ Regulatory ☐ Operational			
2			☐ Technical ☐ Commercial ☐ Regulatory ☐ Operational			
3			☐ Technical ☐ Commercial ☐ Regulatory ☐ Operational			
4			☐ Technical ☐ Commercial ☐ Regulatory ☐ Operational			
5			☐ Technical ☐ Commercial ☐ Regulatory ☐ Operational			
6			☐ Technical ☐ Commercial ☐ Regulatory ☐ Operational			

6. Budget Translation Worksheet

Use the budget worksheet to connect dollars to the development plan. Each cost category should support an aim, milestone, or commercialization requirement.

Cost category	Planning prompt	Estimated amount	Linked aim/milestone	Notes / justification
Personnel	Who is needed and for what work?			
Consultants	Technical, commercialization, regulatory, clinical, reimbursement, software, or market experts?			

Cost category	Planning prompt	Estimated amount	Linked aim/milestone	Notes / justification
Subawards / subcontractors	External lab, university, CRO, engineering partner, manufacturing partner, or data provider?			
Equipment / materials	What must be purchased to complete the work?			
Software / cloud / data	AI, cloud, storage, analytics, security, or licensed tools?			
Travel / customer discovery	Conferences, pilot sites, user interviews, agency meetings, or partner meetings?			
TABA / commercialization support	IP, market analysis, investor readiness, customer discovery, business development, or regulatory planning?			

7. Commercialization Bridge from Phase I to Phase II

Commercial area	Prompt	Draft response
Target user / buyer	Who has the problem and who controls the buying decision?	
Current alternative	What are customers doing now without the proposed solution?	
Value proposition	What measurable improvement does the product offer?	
Market entry pathway	How will the company reach first users, partners, pilots, licensees, or customers?	
Commercial evidence needed in Phase II	What evidence will make the product more fundable, adoptable, or partner-ready?	
Phase III path	What happens after Phase II funding?	

8. Partner, Customer, and Letter-of-Support Plan

Stakeholder / organization	Role in Phase II	Needed evidence or commitment	Contact owner	Due date	Status
	☐ Pilot site ☐ Customer ☐ Strategic partner ☐ Investor ☐ Manufacturer ☐ University ☐ Agency ☐ Other				☐ Not contacted ☐ Contacted ☐ Drafting letter ☐ Secured
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9. Risk, Assumption, and Reviewer Concern Matrix

Risk / concern	Assumption to test	Risk level	Mitigation or evidence	Where addressed in proposal
Technical performance risk		☐ Low ☐ Medium ☐ High		
Scale-up / manufacturability risk		☐ Low ☐ Medium ☐ High ☐ N/A		
Regulatory, clinical, data, security, or compliance risk		☐ Low ☐ Medium ☐ High ☐ N/A		
Market adoption or customer access risk		☐ Low ☐ Medium ☐ High		
Team, facilities, subcontractor, or execution risk		☐ Low ☐ Medium ☐ High		
Reviewer concern most likely to appear		☐ Technical ☐ Market ☐ Team ☐ Budget ☐ Scope ☐ Commercialization		

10. Proposal Assembly Action Plan

Action item	Owner	Due date	Status
Update Phase I results summary			☐ Not started ☐ In progress ☐ Done
Define Phase II aims and milestones			☐ Not started ☐ In progress ☐ Done
Build technical work plan			☐ Not started ☐ In progress ☐ Done
Develop budget and justification			☐ Not started ☐ In progress ☐ Done
Update commercialization plan			☐ Not started ☐ In progress ☐ Done
Secure letters of support / partner inputs			☐ Not started ☐ In progress ☐ Done
Review agency instructions and attachments			☐ Not started ☐ In progress ☐ Done
Complete internal review and final edit			☐ Not started ☐ In progress ☐ Done

Priority notes for the next planning meeting

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ScienceDocs Support

Need help applying this tool? ScienceDocs supports commercialization, change management, AI adoption, grant strategy, and operational optimization.