

**NIH SMALL BUSINESS TECHNOLOGY TRANSFER PROGRAM
SMALL BUSINESS CONCERN VERIFICATION STATEMENT**

Grant Application Number: _____

Organization: _____

Project Director(s)/Principal Investigator(s) (PD(s)/PI(s)): _____

The Small Business Technology Transfer (STTR) program legislation requires that the applicant small business concern (SBC) be eligible at the time of the award. As the responsible Federal staff for administering NIH grant funds, Grants Management Officials of the NIH Institutes and Centers (ICs) must verify eligibility prior to issuing a Notice of Grant Award. If the SBC is affiliated with any other organization (domestic or foreign), see www.sba.gov/size.

If an application is selected for funding under the STTR program, no award will be issued until the NIH IC receives and accepts the following information, which may be provided in a format of your choosing or by completing a checklist as in the example below:

- 1 The above-named organization is a for-profit United States SBC that is at least 51% owned and controlled by one or more *individuals* who are citizens of, or permanent resident aliens in, the United States, or in the case of a publicly-owned business, at least 51% of its voting stock is owned by United States citizens or lawfully admitted permanent resident aliens.

Complete the following part of (1) if relevant: If the above-named applicant organization has been determined by the Small Business Administration (SBA) to be "other than small" for a size standard of not more than 500 employees or for purposes of the SBIR program:

Have you been recertified by SBA? Yes No
If not recertified, have you requested a recertification by SBA for eligibility under the SBIR program? Yes No

- 2 The above-named organization is independently owned and operated, is not dominant in the field of operation in which it is proposing, has its principal place of business located in the United States, has, including its affiliates, 500 or fewer employees, is not involved in a merger/acquisition that is near complete, and meets the other regulatory requirements found in Title 13, Code of Federal Regulations (CFR), Part 121. (Note that the SBA considers "agreements to merge (including agreements in principle) to have present effect on the power to control a concern" [Section 121.103(d)(1) of 13 CFR 121]).
- 3 The *research space* occupied by the above-named organization is available to and under the control of the above-named organization *for the conduct of its portion of the proposed project*.
- 4 All research on the above-referenced grant will be *performed in its entirety* in the United States, unless otherwise approved by the Grants Management Officer prior to issuance of an award.
- 5 The above named PD(s)/PI(s) has (have) a formal appointment with or commitment to the above-named organization, which is characterized by an official relationship between the organization and the PD(s)/PI(s), whose effort on this project will be not less than 10% of his or her total professional effort. For Multiple PD/PI projects, each PD/PI must commit a minimum of 1.2 calendar months (10% effort) to the project.
- 6 It is understood that the Public Health Service will not support any *market research* under its STTR program (see "Definitions," [SBIR/STTR SF424 \(R&R\) Application Guide](#)) or literature searches that will lead to a new or expanded statement of work, and that if an award is made, any such costs, if requested in the application, will be removed prior to award.
- 7 In conducting the joint research and development proposed in this project, the above-named applicant SBC will conduct not less than 40% of the work and the single, "partnering" research institution named in the application will perform not less than 30% of the work.
- 8 It is understood that if this project is funded, drawing NIH award funds from the HHS Payment Management System serves as certification that the above-named organization has in place written policies and procedures for financial and business management systems that comply with 45 CFR 74 and the [NIH Grants Policy Statement](#) (12/03) and will follow those policies and procedures.

My signature is verification that the statements checked () above are true and complete. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

(Official Authorized to Sign for the Organization)

(Date)