

## HHS Small Business Technology Transfer Research Program Life Cycle Certification

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. **An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.** Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: NIH, Project Clearance Branch, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-0002). Do not return the completed form to this address.

All STTR Phase I and Phase II awardees must complete this certification at all times set forth in the funding agreement (see §8(h) of the STTR Policy Directive). This includes checking all of the boxes and having an authorized officer of the awardee sign and date the certification each time it is required.

A certification is required at the following times:

- For STTR Phase I Awardees: At the time of receiving final payment or disbursement from the Payment Management System.
- For STTR Phase II Awardees: prior to receiving more than 50% of the total award amount and prior to final payment or disbursement from the Payment Management System.

SBIR grant recipients are required to submit the Life Cycle Certifications within the I-RPPR and the F-RPPR under Section G.1: Special Notice of Award and Funding Opportunity Announcement Reporting Requirements. SBIR recipients should not select the "Nothing to Report" box in this section. The F-RPPR and I-RPPR must be submitted via eRA Commons no later than 120 calendar days from the period of performance end date. I-RPPR or F-RPPR will not be accepted unless all completed Life Cycle Certification(s) are received. Failure to provide all required completed certification(s) may cause NIH to take one or more actions that may include, but are not limited to, corrective actions, withholding of further awards, suspension or termination.

This does not impact the SBIR Funding Agreement Certification required by all SBIR applicants for new or renewal grants that is required prior to award of a new award or a competing renewal award.

In addition, STTR awardees indicate compliance with these certification requirements by drawing or requesting funds from the Payment Management System. If the grantee cannot complete this certification or cannot ensure compliance with the certification process, it should notify the funding agreement officer immediately. If resolution cannot be reached, the funding agreement officer will void or terminate the grant, as appropriate.

Grant Number:

Program Director(s)/Principal Investigator(s) (PD(s)/PI(s)):

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 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 certifies that (all boxes must be checked except where otherwise directed):

1. The Principal Investigator/Project Manager spent more than one half of his/her time (based on a 40 hour work week) as an employee of the Awardee or the Research Institution, or the Awardee has requested and received a written deviation from this requirement from the Grants Management Officer (NIH's Funding Agreement officer).  
 Yes  No Deviation approved in writing by Grants Management 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 Grants Management Officer .
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 Grants Management Officer (check the applicable line and fill in if needed):  
 STTR Phase I: at least forty (40%) of the research.  
 STTR Phase II: at least forty (40%) of the research.  
 Deviation approved in writing by the Grants Management Officer:            %
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 Grants Management Officer (check the applicable line and fill in if needed):  
 STTR Phase I: at least forty percent (40%) of the research.  
 STTR Phase II: at least forty percent (40%) of the research.  
 Deviation approved in writing by the Grants Management Officer:            %  
 N/A because work is not completed
5. The Small Business Concern, and not the single, partnering Research Institution, is exercising management direction and control of the performance of the STTR Funding Agreement.  
 Yes  No
6. The research/research and development is performed in the United States unless a deviation is approved in writing by the Grants Management Officer.  
 Yes  No  Waiver has been granted

7. The research/research and development is performed at the Awardee's facilities by the Awardee's employees,, except as otherwise indicated in the STTR application and approved in the funding agreement.

Yes  No

I will notify the this Agency immediately if all or a portion of the work authorized and funded under this award is subsequently funded by another Federal agency.

I understand that the information submitted may be given to Federal, State and local agencies for determining violations of law and other purposes.

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 C.F.R. part 180); and (6) other administrative penalties including termination of SBIR/STTR awards.

Date

Signature

Printed Name (First, Middle, Last)

Title

Business Name