

Instructions For Completing SF-424 R&R SBIR/STTR Form

Program Type (select only one): SBIR / STTR / Both

If you are applying under the SBIR program, check the SBIR box. If you are applying under the STTR program, check the STTR box. If a particular agency allows a single submission for both STTR & SBIR, check the Both box. A selection is required.

Instruction on Form Page itself: (See agency-specific instructions to determine whether a particular agency allows a single submission for both SBIR and STTR)

SBIR/STTR Type (select only one): Phase I / Phase II / Fast-Track

If you are submitting a Phase I application, check the Phase I box. If you are submitting a Phase II application, check the Phase II box. When submitting a Phase II application, please include the Phase I SBIR/STTR grant number in item #4 (Federal Identifier) on the SF424 (R&R) Cover Component. If you are submitting a Fast-Track application, check the Fast-Track box. A selection is required.

Instruction on Form Page itself: (See agency-specific instructions to determine whether a particular agency participates in Fast-Track)

1.a. Do you certify that at the time of award your organization will meet the eligibility criteria for a small business as defined in the funding opportunity announcement? Yes / No

If you certify that at the time of award, your organization will meet the eligibility criteria for a small business as defined in the funding opportunity announcement, check the Yes box. Otherwise, check the No box. A selection is required.

1b.. Anticipated Number of personnel to be employed at your organization at the time of award.

Enter the number of personnel anticipated to be employed by the small business at the time of award.

2. Does this application include subcontracts with Federal laboratories or any other Federal Government agencies? Yes / No

If this application includes subcontracts with Federal laboratories or any other Federal Government agencies, check the Yes box and insert the name of the Federal laboratories/agencies in the space provided. Otherwise, check the No box. A selection is required.

If yes, insert the names of the Federal laboratories/agencies:

If you have answered "yes" to the question above, then please indicate the names of the applicable Federal laboratories or agencies, in the space provided.

3. Are you located in a HUBZone? To find out if your business is in a HUBZone, use the mapping utility provided by the Small Business Administration at its web site: <http://www.sba.gov> Yes / No

If you are located in a HUBZone, check the Yes box. Otherwise, check the No box. A selection is required.

4. Will all research and development on the project be performed in its entirety in the United States? Yes / No

If all research and development on the project will be performed in its entirety in the United States, check the Yes box. Otherwise, check the No box and use the Add Attachment button below, to attach an explanation. A selection is required.

"If no, provide an explanation in an attached file. Explanation:"

If you have answered "no" to question 4 above, please prepare an explanation of the research and development that is being performed outside the United States, in a separate file. Then use the Add Attachment button to the right of this field to attach the file and complete this entry. When you click Add Attachment, browse to where you saved the file, select the appropriate file and then click Open to complete the action.

5. Has the applicant and/or Program Director/Principal Investigator submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work? Yes / No

If the applicant and/or Program Director/Principal Investigator has submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work, check the Yes box and insert the names of the other Federal agencies in the space provided. Otherwise, check the No box. A selection is required.

If yes, insert the names of the other Federal agencies:

If you have answered "yes" to question 5 above, then please indicate the names of the applicable Federal agencies, in the space provided.

6. Disclosure Permission Statement: If this application does not result in an award, is the Government permitted to disclose the title of your proposed project, and the name, address, telephone number and e-mail address of the official signing for the applicant organization, to organizations that may be interested in contacting you for further information (e.g., possible collaborations, investment)? Yes / No

If this application does not result in an award, and the Government is permitted to disclose the title of your proposed project, and the name, address, telephone number and e-mail address of the official signing for the applicant organization, to organizations that may be interested in contacting you for further information (e.g., possible collaborations, investment), check the Yes box. Otherwise, check the No box. A selection is required.

7-1 7. Commercialization Plan: If you are submitting a Phase II or Phase I/Phase II Fast-Track Application, include a Commercialization Plan in accordance with the agency announcement and/or agency-specific instructions. Attach File:

If you are submitting a Phase II or Phase I/Phase II Fast Track Application, include a Commercialization Plan in accordance with the agency announcement and/or agency-specific instructions. To attach a Commercialization Plan file, click the Add Attachment button to the right of this field, browse to where you saved the file, select the file, and then click Open.

SBIR-Specific Questions:

Questions 8 and 9 apply only to SBIR applications. If you are submitting ONLY an STTR application, leave questions 8 and 9 blank and proceed to question 10.

8. Have you received SBIR Phase II awards from the Federal Government? If yes, provide a company commercialization history in accordance with agency-specific instructions using this attachment. Yes / No

If you have received SBIR Phase II awards from the Federal Government, check the Yes box and use the Add Attachment button below, to attach a company commercialization history in accordance with agency-specific instructions. Otherwise, check the No box.

Attach File

If you have answered "Yes" to question 8 above, please prepare a commercialization history in accordance with agency specific instructions, in a separate file. Then use the Add Attachment button to the right of this field to attach the file and complete this entry. When you click Add Attachment, browse to where you saved the file, select the appropriate file and then click Open to complete the action.

9. Will the Project Director/Principal Investigator have his/her primary employment with the small business at the time of award? Yes / No

If the Project Director/Principal Investigator will have his/her primary employment with the small business at the time of award, check the Yes box. Otherwise, check the No box.

STTR-Specific Questions:

Questions 10 and 11 apply only to STTR applications. If you are submitting ONLY an SBIR application, leave questions 10 and 11 blank.

10. Please indicate whether the answer to BOTH of the following questions is TRUE:

(1) Does the Project Director/Principal Investigator have a formal appointment or commitment either with the small business directly (as an employee or a contractor) OR as an employee of the Research Institution, which in turn has made a commitment to the small business through the STTR application process; AND

(2) Will the Project Director/Principal Investigator devote at least 10% effort to the proposed project?" Yes / No

Check the "Yes" box ONLY if BOTH of the following conditions is TRUE: (1) the Project Director/Principal Investigator has a formal appointment or commitment either with the small business directly (as an employee or a contractor) OR as an employee of the Research Institution, which in turn has made a commitment to the small business through the STTR application process; and (2) the Project Director/Principal Investigator will devote at least 10% effort to the proposed project. Check the "No" box if EITHER of these two conditions (or both) is false.

11. In the joint research and development proposed in this project, does the small business perform at least 40% of the work and the research institution named in the application perform at least 30% of the work? Yes / No

If in the joint research and development proposed in this project, the small business performs at least 40% of the work and the research institution named in the application performs at least 30% of the work, check the Yes box. Otherwise, check the No box.