



DEPARTMENT OF AGRICULTURE

National Institute of Food and Agriculture

**Notice of Intent to Extend and Revise a Previously Approved
Information Collection**

AGENCY: National Institute of Food and Agriculture, USDA.

ACTION: Notice and request for comments.

SUMMARY: In accordance with the Paperwork Reduction Act of 1995 and Office of Management and Budget (OMB) regulations), this notice announces the National Institute of Food and Agriculture's (NIFA) intention to extend and revise a previously approved information collection, entitled *Small Business Innovation Research (SBIR) Funding Agreement Certifications*.

DATES: Written comments on this notice must be received by [INSERT DATE 60 DAYS AFTER DATE OF PUBLICATION IN THE *FEDERAL REGISTER*] to be assured of consideration. Comments received after that date will be considered to the extent practicable.

ADDRESSES: You may submit comments through the Federal eRulemaking Portal: <http://www.regulations.gov>. Follow the instructions for submitting comments.

Instructions: All comments received will be posted without change to <http://www.regulations.gov>, including any personal information provided.

FOR FURTHER INFORMATION CONTACT: Laura Givens, 816-527-5379, Laura.Givens@usda.gov.

SUPPLEMENTARY INFORMATION:

Title of Collection: Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Funding Agreement Certifications.

OMB Control Number: 0524-0052.

Expiration Date of Current Approval: 09/30/2026

Type of Request: Notice of intent to extend and revise a previously approved information collection for three years.

Abstract: NIFA is requesting approval extend and revise a previously approved information collection entitled "Small Business Innovation Research (SBIR) Funding Agreement Certifications." This information collection includes two forms: an "SBIR/STTR Funding Agreement Certification" and a "Certification for SBIR Applicants that are Majority-Owned by Multiple Venture Capital Operating Companies, Hedge Fund or Private Equity Firms." NIFA asks all recipients of SBIR and STTR grants to submit an SBIR/STTR Funding Agreement Certification form after NIFA has provided the grantee notification of the award, as well as any other time that is specified in the funding agreement. NIFA also asks SBIR and STTR applicants that are majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms to submit an additional certification form prior to submitting an application. These certification statements are for the purpose of determining the eligibility of the SBC for an SBIR and STTR awards. NIFA is proposing implementation of these forms to match the guidance provided in the SBA SBIR/STTR Policy Directive effective May 3, 2023.

Abstract: The SBIR and STTR programs at the U.S. Department of Agriculture (USDA) make competitively awarded grants to qualified small businesses to support high quality, advanced concepts research related to important scientific problems and opportunities in agriculture that could lead to significant public benefit if successful.

The objectives of the SBIR and STTR Programs are to: stimulate technological innovations in the private sector; strengthen the role of small businesses in meeting Federal research and development needs; increase private sector commercialization of innovations derived from USDA-supported research and development efforts; and foster and encourage participation of new entrants and emerging states in technological innovations.

In addition to the broad goals of the SBIR program, the statutory purpose of the STTR program is to stimulate a partnership of ideas and technologies between innovative SBCs and non-profit Research Institutions. The USDA SBIR/STTR programs are carried out in three separate phases:

1. Phase I awards to determine, insofar as possible, the scientific and technical merit and feasibility of ideas that appear to have commercial potential.
2. Phase II awards to further develop work from Phase I that meets particular program needs and exhibits potential for commercial application.
3. Phase III awards where commercial applications of SBIR and STTR-funded R(Research)/R&D (Research and Development) are funded by non-Federal sources of capital; or where products, services or further research intended for use by the Federal

Government are funded by follow-on non-SBIR/STTR Federal Funding Agreements.

The USDA SBIR/STTR Programs are administered by the National Institute of Food and Agriculture (NIFA) of the USDA. NIFA exercises overall oversight for the policies and procedures governing SBIR/STTR grants awarded to the U.S. small business community. In 1982, the Small Business Innovation Research (SBIR) Grants Program (Pub. L. 97-219, 96 stat. 217), 15 U.S.C. 638, was authorized. In 1992, the Small Business Technology Transfer (STTR) Grants Program was authorized by the Small Business Research and Development Enhancement Act (15 U.S.C. 638). In 2026, the Small Business Innovation and Economic Security Act reauthorized the SBIR and STTR programs through September 30, 2031.

USDA uses the SBIR/STTR Funding Agreement Certification form to ensure SBCs meet specific eligibility requirements for a Small Business Innovation and Research or Small Business Technology Transfer award. The form asks applicants to certify a series of ten statements in order to ensure the grantee is complying with specific program requirements during the life of the funding agreement. If the SBC is majority-owned by venture capital companies, hedge funds, or private equity firms, then they will be required to fill out an eight-question form in addition to the SBIR/STTR Funding Agreement Certification. The small business concern may be required to update the SBIR/STTR Funding Agreement Certification form to assure continued eligibility and compliance when changes in the SBC apply.

Estimate of Burden: The forms in this collection are required to be completed for Phase I and Phase II awardees and updated when there is a change in the business regarding the contents of the certification form.

Estimated Number of Respondents: 180

Annual Responses: 1

Average time to complete each response: 1 hour

Burden hours: 180 hours

Comments: Comments are invited on: (a) Whether the proposed collection of information is necessary for the proper performance of the functions of the Agency, including whether the information will have practical utility; (b) the accuracy of the Agency's estimate of the burden of the proposed collection of information; (c) ways to enhance the quality, utility and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on those who are to respond, including through the use of appropriate automated, electronic, mechanical, or other technological collection techniques or other forms of information technology.

All responses to this notice will be summarized and included in the request to OMB for approval. All comments will become a matter of public record.

Obtaining a Copy of the Information Collection: A copy of the information collection and related instructions may be obtained free of charge by contacting Laura Givens as directed above.

Done at Washington, DC this day of June 18, 2026.

Drenda Williams,
*Associate Director for Operations,
National Institute of Food and Agriculture,
U.S. Department of Agriculture.*

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