

**PHASE I
SMALL BUSINESS INNOVATION RESEARCH (SBIR) AND
SMALL BUSINESS TECHNOLOGY TRANSFER (STTR) PROGRAMS**

Principal Investigator Certification

The Funding Opportunity Announcement (FOA) states that the PI is expected to devote to the project a considerable part of his or her time. "Considerable" means at least 117 hours for both SBIR and STTR Phase I projects, **or** a minimum of three (3) hours per week for the duration of the project.

PI Restrictions for SBIR – To be awarded a SBIR grant, the PI's primary employment must be with the small business at the time of award and during the conduct of the proposed research. Primary employment means that no less than 20 hours per week is spent in the employment of the small business during the conduct of the project and no more than 19 hours per week spent in the employment of another organization.

PI Restrictions for STTR – To be awarded a STTR grant, the PI's primary employment may be with the small business or the research institution. However, the small business must still provide technical control and oversight of the project.

Please complete the certification below. A DOE Contract Specialist will request this signed and witnessed copy during the award negotiation.

Principal Investigator Certification

SBIR or STTR Grant Application Number: _____

DOE Grant Number: _____

Project Title: _____

I hereby certify that _____ is/will be my primary source of employment at both the time of award and during the conduct of the project. In addition, I will spend at least 195 hours on the project or five (5) hours per week on the project for its duration.

Typed Name of Principal Investigator

(Date)

Signature of Principal Investigator

(Date)

Signature of Witness

If for some reason certification cannot be made by the above mentioned PI, contact the SBIR/STTR office immediately at (301) 903-1414. Inability to certify the PI's primary employment indicated above may make your company ineligible for an award.