

PRINCIPAL INVESTIGATOR CERTIFICATION  
PHASE I  
SMALL BUSINESS INNOVATION RESEARCH AND  
SMALL BUSINESS TECHNOLOGY TRANSFER PROGRAMS

Section C, Part III of the SBIR and STTR 2008 Funding Opportunity Notice states that the PI is expected to devote to the project a considerable part of his or her time. "Considerable" means a minimum average of 3 hours per week for the duration of the project for both SBIR and STTR Phase I projects.

**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. If the PI is employed by the research institution, their primary employment (at least 20 hours per week) must be with the research institution in order to qualify under STTR.

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

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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 \_\_\_\_\_ hours on the project at an hourly rate of \_\_\_\_\_.

\_\_\_\_\_  
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.