

PRINCIPAL INVESTIGATOR CERTIFICATION
PHASE II
SMALL BUSINESS INNOVATION RESEARCH
and
SMALL BUSINESS TECHNOLOGY TRANSFER

The Principal Investigator (PI) is the key individual designated by the applicant to direct the project. Only one PI is acceptable per project. The PI must be knowledgeable of the critical technical aspects of the grant application and be capable of leading the research effort in the United States. The PI must devote a minimum of 520 hours to the project or at least 5 hours per week if the project is less than 24 months in duration.

Additional PI Restrictions for SBIR Only – If the Phase I project was awarded as an SBIR grant, then the Phase II application must be submitted for an SBIR award and 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.

Additional PI Restrictions for STTR Only - If the Phase I project was an STTR grant, then the Phase II application must be submitted for an STTR award and 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.

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

Typed Name of Witness

(Date)

Signature of Witness

If for some reason certification cannot be made by the above mentioned PI, contact the SBIR/STTR office at 301-903-0569 immediately. Inability to certify the PI may make your company ineligible for an award.