

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

Section 1.5 of the SBIR and STTR 2001 Program Solicitations states that the Principal Investigator's (PI) primary source of employment must be with the small business at the time of award and during the conduct of the proposed research. Primary employment means that more than one-half of the PI's time, but no less than 20 hours (average) per week, is spent in the employment of the small business during the conduct of the project. Primary employment with one organization precludes full-time employment with another organization.

Please complete the certification below. A Grant 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 an average of at least 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) 903-0569. Inability to certify the PI's primary employment indicated above may make your company ineligible for an award.