

SBIR/STTR REPORT COVER PAGE (10-17-2012)

NSF Award Number:	Project Title:	
Date:	Period Covered by this Report:	
Company Name:		PI Name:
Telephone Number:		Email Address:
Company Address:		
SBIR/ STTR Program Officer:		

Please check as appropriate:

- Phase I Award Interim Report
- Phase I Award Final Report
- Plan to submit Phase II Proposal
- Phase II Award Interim Report
- Phase II Award Final Report

Report contains Proprietary Information

Acknowledgment of NSF support and disclaimer:

“This material is based upon work supported by the National Science Foundation under Award Number: _____. Any opinions, findings, and conclusions or recommendations expressed in this publication are those of the author(s) and do not necessarily reflect the views of the National Science Foundation.”

SBIR/STTR Funding Agreement Certification – Life Cycle Certification

All SBIR/STTR Phase I and Phase II awardees must complete this certification at all times set forth in the funding agreement (as specified in the 2012 [Small Business Innovation Research Program Policy Directive](#) and [Small Business Technology Transfer Program Policy Directive](#)). This includes checking all of the boxes and having an authorized officer of the awardee sign and date the certification each time it is requested.

Please read carefully the following certification statements. The Federal government relies on the information to ensure compliance with specific program requirements during the life of the funding agreement. The definitions for the terms used in this certification are set forth in the Small Business Act, the SBIR and STTR Policy Directive, and also any statutory and regulatory provisions referenced in those authorities.

If the NSF Program Officer believes that the business is not meeting certain funding agreement requirements, the agency may request further clarification and supporting documentation in order to assist in the verification of any of the information provided.

Even if correct information has been included in other materials submitted to the Federal government, any action taken with respect to this certification does not affect the Government's right to pursue criminal, civil or administrative remedies for incorrect or incomplete information given in the certification. Each person signing this certification may be prosecuted if they have provided false information.

The undersigned has reviewed, verified and certifies that (one box must be checked for each):

(1) The principal investigator is/was "primarily employed" by the awardee as defined in the solicitation during the term of the funding agreement, or the awardee has requested and received a written deviation from this requirement from the NSF Program Officer.

Yes No Deviation approved in writing by the NSF Program Officer .

(2) All, essentially equivalent work, or a portion of the work performed under this project (check the applicable line):

Has not been submitted for funding by another Federal agency.

Has been submitted for funding by another Federal agency but has not been funded under any other Federal grant, contract, subcontract or other transaction.

A portion has been funded by another grant, contract, or subcontract as described in detail in the proposal and approved in writing by the NSF Program Officer.

(3) The work is completed and awardee has performed the applicable percentage of work, unless a deviation from this requirement is approved in writing by the NSF Program Officer (check the applicable line and fill in if needed):

SBIR Phase I: at least two-thirds (66⅔ %) of the research performed by the awardee.

SBIR Phase II: at least half (50%) of the research by the awardee.

STTR Phase I and Phase II: at least 40% of the research performed by the awardee and at least 30% performed by the non-profit research institution

Deviation approved in writing by the NSF Program Officer.

Not applicable because the work has not been completed at this time

(4) The work for which payment is hereby requested was performed in accordance with the award terms and conditions and that payment is due and has not been previously requested.

Yes No payment requested A deviation in payment has been approved in writing by the NSF Program Officer.

(5) All of the funds committed to this award, including all associated supplemental awards, have been fully expended as designated in the grant budget.

Yes

No (Please provide a detailed explanation in the report)

Not applicable because the work has not been completed at this time.

(6) The research/research and development is/was performed in the United States unless a deviation is approved in writing by the NSF Program Officer.

Yes No Waiver has been granted.

(7) The research/research and development is/was performed at the awardee's facilities described in the proposal by the awardee's employees, except as otherwise indicated in the SBIR application and approved in the funding agreement.

Yes No

(8) I will notify NSF immediately if all or a portion of the work proposed is subsequently funded by another Federal agency.

(9) I understand that the information submitted may be given to Federal, State and local agencies for determining violations of law and other purposes.

I certify that to the best of my knowledge (1) the statements herein (excluding scientific hypotheses and scientific opinions) are true and complete, and (2) the text and graphics in this report as well as any accompanying publications or other documents, unless otherwise indicated, are the original work of the signatories or individuals working under their supervision. I understand that the willful provision of false information or concealing a material fact in this report or any other communication submitted to NSF is a criminal offense (U.S. Code, Title 18, Section 1001).

Authorized Company Officer Name: _____

Title: _____

Signature: _____ **Date:** _____

PI Name : _____

P.I. Signature: _____ **Date:** _____