



SBIR/STTR Funding Agreement Certification – Life Cycle Certification

Prime Recipient:
Subrecipient(s):
Award Number:

I. INSTRUCTIONS

Each Prime Recipient under a Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) funding agreement must complete this certification at all times set forth in the funding agreement (see §8(h) of the SBIR Policy Directive and §8(i) of the STTR Policy Directive). In completing the Life Cycle Certification, the Prime Recipient certifies that it remains in compliance with SBIR and STTR program requirements. To complete the certification, please answer all of the questions and have an authorized officer of the Prime Recipient sign and date the certification each time it is requested. Upon completion of the certification, please submit a scanned copy to the DOE Contracting Officer (ARPA-E-CO@hq.doe.gov).

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 Directives, and also any statutory and regulatory provisions referenced in those authorities.

If the DOE Contracting Officer believes that the Prime Recipient is not meeting certain funding agreement requirements, ARPA-E 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.

II. CERTIFICATION

The undersigned has reviewed, verified and certifies that (all boxes must be checked):

- (1) During the performance of the award, at least one principal investigator spent more than one half of his/her time (based on a 40 hour workweek) as an employee of the Prime Recipient or, if a STTR award, the partnering Research Institution. Alternatively, the Prime Recipient has requested and received a written deviation from this requirement from the DOE Contracting Officer.**

☐ Yes € ☐ No

☐ Deviation approved in writing by DOE Contracting Officer: %

- (2) Please check the applicable box:**

☐ Neither the Prime Recipient nor any member of the Project Team has submitted a proposal to DOE or another Federal agency to fund any portion of the work performed under this award or work essentially equivalent to that performed under this award.

☐ € The Prime Recipient and/or another member of the Project Team has submitted a proposal to DOE or another Federal agency to fund all of the work, a portion of the work, or work essentially equivalent to that performed under this award under another grant, contract, cooperative agreement, subcontract, subaward, or other transaction.

☐ € As described in the SBIR/STTR application submitted to ARPA-E and approved in writing by the DOE Contracting Officer, a portion of the work performed under this award has been funded under another Federal grant, contract, cooperative agreement, subcontract, subaward, or other transaction.

- (3) Upon completion of the award, the Prime Recipient and, if a STTR award, a partnering Research Institution, will have performed the applicable percentage of work, as measured as a percentage of total project cost (unless a deviation from this requirement is approved in writing by the DOE Contracting Officer). Please check the applicable line and fill in if needed:**

SBIR

☐ € SBIR Phase I: at least two-thirds (66.7%) of the research.

☐ € SBIR Phase II: at least half (50%) of the research.

☐ €SBIR Phase IIS (if applicable): at least half (50%) of the research.

☐ €Deviation approved in writing by the DOE Contracting Officer: %

STTR

☐ €STTR Phase I: at least forty percent (40%) of the research by the Prime Recipient, and at least 30% of the research performed by a partnering Research Institution.

☐ €STTR Phase II: at least forty percent (40%) of the research by the Prime Recipient, and at least 30% of the research performed by a partnering Research Institution.

☐ €STTR Phase IIS (if applicable): at least forty percent (40%) of the research by the Prime Recipient, and at least 30% of the research performed by a partnering Research Institution.

☐ €Deviation approved in writing by the DOE Contracting Officer: %

(4) The work is completed, and the Prime Recipient and, if a STTR award, a partnering Research Institution, has performed the applicable percentage of work, as measured as a percentage of total project cost (unless a deviation from this requirement is approved in writing by the DOE Contracting Officer). Please check the applicable line and fill in if needed:

☐ € N/A because the work is not completed.

SBIR

☐ €SBIR Phase I: at least two-thirds (66.7%) of the research.

☐ €SBIR Phase II: at least half (50%) of the research.

☐ €SBIR Phase IIS (if applicable): at least half (50%) of the research.

☐ €Deviation approved in writing by the DOE Contracting Officer: %

STTR

☐ €STTR Phase I: at least forty percent (40%) of the research by the Prime Recipient, and at least 30% of the research performed by a partnering Research Institution.

☐ €STTR Phase II: at least forty percent (40%) of the research by the Prime Recipient, and at least 30% of the research performed by a partnering Research Institution.

☐ I STTR Phase IIS (if applicable): at least forty percent (40%) of the research by the Prime Recipient, and at least 30% of the research performed by a partnering Research Institution.

☐ Deviation approved in writing by the DOE Contracting Officer: %

(5) If performing under a STTR award, the Prime Recipient, and not the single, partnering Research Institution, is exercising management direction and control of the work performed under the STTR funding agreement.

☐ Yes € ☐ No

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

☐ Yes € ☐ No ☐ Waiver has been granted

(7) The research/research and development is performed at the Prime Recipient's facilities with the Prime Recipient's employees, except as otherwise indicated in the SBIR/STTR application and approved in the funding agreement.

☐ Yes € ☐ No

III. **ACKNOWLEDGEMENT & SIGNATURE**

☐ I will notify the Federal agency immediately if all or a portion of the work authorized and funded under this award is subsequently funded by another Federal agency.

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

☐ I am an officer of the business concern authorized to represent the Prime Recipient and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the business concern, that the information provided in this certification, the application, and all other information submitted in connection with the award, is true and correct as of the date of submission. I acknowledge that any intentional or negligent misrepresentation of the information contained in this certification may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. § 1001; (2) treble damages and civil penalties under the False Claims Act (31 U.S.C. §3729 *et seq.*); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. §3801 *et seq.*); (4) civil recovery of award funds, (5) suspension and/or debarment from all Federal procurement and nonprocurement transactions (FAR Subpart 9.4 or 2 C.F.R. part 180); and (6) other administrative penalties including termination of SBIR/STTR awards.

Please complete the information below, print the form out, and sign and date following:

<i>Signature</i>	<i>Date</i> __/__/__
<i>Print Name (First, Middle, Last)</i>	
<i>Title</i>	