

2011 Phase II - Interim Certification

Required Certification: As a condition for payment under this contract, the following certification shall be submitted with each invoice. The certification shall include the correct contract number, date, and a legible name of signature of an authorized person of your firm. Any items not applicable shall be marked "not applicable" or "N/A".

- Yes 1. Essentially equivalent work performed under this contract has not been proposed for funding to another Federal agency;
- Yes 2. No other Federal funding award has been received for essentially equivalent work performed under this contract;
- Yes 3. Deliverable items submitted under this contract have not been submitted as deliverable items under another Federal funding award;
- Yes 4. For SBIR contracts: The subcontracting limitation set forth in this contract was not exceeded except as approved in writing by the Contracting Officer on (insert date of approval or modification number.) _____;
- N/A 5. For STTR contracts: The subcontracting limitation set forth in this contract was not exceeded;
- Yes 6. For SBIR contracts: The primary employment of the principal investigator (PI) identified in this SBIR contract was with the Contractor, except as approved in writing by the Contracting Officer on (insert date of approval or modification number.) _____;
- N/A 7. For STTR contracts: The primary employment of the principal investigator (PI) identified in this STTR contract was the SEC/Contractor or the research institution (RI). The PI identified in the STTR contract was considered key in the performance of this contract. The SEC/Contractor whether or not the employer of the PI, did exercise primary management direction and control over the PI and was overall responsible for the PI's performance under this contract. Any substitutions of this individual were approved in writing by the Contracting Officer on (insert date of approval or modification number.) _____;

I understand that the willful provision of false information or concealing a material fact in this representation is a criminal offense under Title 18 USC, Section 1001, False Statements, as well as Title 18 USC, Section 287, False Claims.

2014 Phase I - Interim Certification

Required Certification: As a condition for payment under this contract, the following certification shall be submitted with each invoice. The certification shall include the correct contract number, date, and a legible name of signature of an authorized person of your firm. Any items not applicable shall be marked "not applicable" or "N/A".

- Yes 1. Essentially equivalent work performed under this contract has not been proposed for funding to another Federal agency;
- Yes 2. No other Federal funding award has been received for essentially equivalent work performed under this contract;
- Yes 3. Deliverable items submitted under this contract have not been submitted as deliverable items under another Federal funding award;
- Yes 4. For SBIR contracts: The subcontracting limitation set forth in this contract was not exceeded except as approved in writing by the Contracting Officer on (insert date of approval or modification number.) _____;
- N/A 5. For STTR contracts: The subcontracting limitation set forth in this contract was not exceeded;
- Yes 6. For SBIR contracts: The primary employment of the principal investigator (PI) identified in this SBIR contract was with the Contractor, except as approved in writing by the Contracting Officer on (insert date of approval or modification number.) _____;
- N/A 7. For STTR contracts: The primary employment of the principal investigator (PI) identified in this STTR contract was the SEC/Contractor or the research institution (RI). The PI identified in the STTR contract was considered key in the performance of this contract. The SEC/Contractor whether or not the employer of the PI, did exercise primary management direction and control over the PI and was overall responsible for the PIs performance under this contract. Any substitutions of this individual were approved in writing by the Contracting Officer on (insert date of approval or modification number.) _____;

I understand that the willful provision of false information or concealing a material fact in this representation is a criminal offense under Title 18 USC, Section 1001, False Statements, as well as Title 18 USC, Section 287, False Claims.

Final Certification (2/4/2012)

During performance of this contract, I **certify** that:

1. Essentially equivalent work performed under this contract has not been proposed for funding to another Federal agency.
2. No other Federal funding award has been received for essentially equivalent work performed under this contract.
3. Deliverables submitted under this contract have not been submitted as deliverables under another Federal funding award (Figs. 9, 11, 16 & 17 were included in a progress report dated 12/31/2010 to NSF).
4. Terms and conditions set forth in this contract have not been altered, except approved in writing by the Contracting Officer on (Mod 3).