

Appendix C

PROPOSAL FORMS KIT

1. PROPOSAL COVER SHEET - FORM A
2. ABSTRACT FORM - FORM B
3. BUDGET SUMMARY FORM - FORM C
 - In addition to this form, an organization may include its own budget forms.
4. BUDGET PER YEAR FORM - FORM D
 - In addition to this form, an organization may include its own budget forms.
5. CURRENT AND PENDING SUPPORT FORM - FORM E
6. CERTIFICATION FOR DRUG-FREE WORKPLACE - FORM F
 - This form requires a signature.
7. CERTIFICATION FOR DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITIES - FORM G
 - This form requires a signature.
8. CERTIFICATION REGARDING LOBBYING (if >\$100,000) - FORM H
 - This form requires a signature.
9. MAILING FORM UPDATE

PROPOSAL COVER PAGE

AO#:	AO Title:
Program:	

Principal Investigator			
<i>Title</i>	<i>First Name</i>	<i>Middle Name</i>	<i>Last Name</i>
Department			
Company/Institution			
Street Address		City/Town	
State	Zip/Postal	Country	
Telephone	Fax	E-Mail Address	
Principal Investigator's Signature			Date

Proposal Title

Co-Investigator(s) Name	Institution	E-mail

Institutional Endorsement

Name of Authorizing Official	
Title	
Institution	
Signature	Date

Budget Summary

	Year 1	Year 2	Year 3	Total Funding
Amt. Requested				

ABSTRACT

Principal Investigator			
<i>Title</i>	<i>First Name</i>	<i>Middle Name</i>	<i>Last Name</i>
Proposal Title			

PROPOSAL BUDGET SUMMARY

FROM: _____ to: _____
 (starting date) (ending date)

TITLE OF INVESTIGATION:

PRINCIPAL INVESTIGATOR/ INSTITUTION:

	(NASA USE ONLY)		
	A	B	C
1. Direct Labor (salaries, wages, and fringe benefits)	_____	_____	_____
2. Other Direct Cost:			
a. Subcontracts/grants	_____	_____	_____
b. Consultants	_____	_____	_____
c. Equipment	_____	_____	_____
d. Supplies	_____	_____	_____
e. Travel	_____	_____	_____
f. Other	_____	_____	_____
3. Indirect Costs	_____	_____	_____
4. Other Applicable Costs	_____	_____	_____
5. Subtotal--Estimated Costs	_____	_____	_____
6. Less Proposed Cost Sharing	_____	_____	_____
7. Carryover Funds (if any)			
a. Anticipated amount	_____	_____	_____
b. Amount used to reduce budget	_____	_____	_____
8. Total Estimated Costs	_____	_____	XXXXXXXXXX
APPROVED BUDGET	XXXXXXXXXX	XXXXXXXXXX	_____

Instructions

1. Provide a separate budget form for each year of proposed research and a summary form.
2. Grantee estimated costs should be entered in the first column. Columns B and C are for NASA use only. Column three represents the approved grant budget.
3. Provide in attachments to the budget summary the detailed computations of estimates in each cost category, along with any narrative explanation required to fully explain proposed costs. ***additional Instructions on Next Page***

Specific Costs

1. Direct Labor (salaries, wages, and fringe benefits). Enclosures should list number and titles of personnel, amount of time devoted to the grant, and rates of pay.
2. Other Direct Costs:
 - a. Subcontracts - Enclosures should describe the work to be subcontracted, estimated amount, recipient (if known), and the reason for subcontracting this effort.
 - b. Consultants - Identify consultants to be used, why they are necessary, time to be spent on the project, and rates of pay.
 - c. Equipment - List separately and explain the need for items of equipment exceeding \$1,000. Describe the basis for the estimated cost.
 - d. Supplies - Provide general categories of needed supplies, the methods of acquisition, estimated cost, and the basis for the estimate.
 - e. Travel - List the proposed trips individually, describe their purpose in relation to the grant, provide dates and destinations where known, and explain how the cost for each was derived.
 - f. Other - Enter the total of any other direct costs not covered by 2.a. through 2.e. Enclose an itemized list explaining the need for each item and the basis for the estimate.
3. Indirect Costs - Identify indirect cost rate(s) and base(s) as approved by the cognizant Federal agency, including the effective period of the rate. If unapproved rates are used, explain why and include a computational basis for the indirect expense pool and corresponding allocation base for each rate.
4. Other Applicable Costs - Enter the total of any other applicable costs not covered by 1. through 3. Enclose an itemized list explaining the need for each item and the basis for the estimate.
5. Subtotal - Estimated Costs - Enter the sum of items 1., 2.a., through 2.f., 3., and 4.
6. Less Proposed Cost Sharing (if any) - Enter the amount proposed, if any. If cost sharing is based on specific cost items, identify each item and amount in enclosures.
7. Less Carryover Funds (if any) - Enter the dollar amount of any funds that are expected to be available for carryover from the prior budget period.
8. Total Estimated Costs - Enter the total after subtracting items 6. and 7. from item 5.

PROPOSAL BUDGET PER YEAR

FROM: _____ to: _____
 (starting date) (ending date)

TITLE OF INVESTIGATION:

PRINCIPAL INVESTIGATOR/ INSTITUTION:

	(NASA USE ONLY)		
	A	B	C
1. Direct Labor (salaries, wages, and fringe benefits)	_____	_____	_____
2. Other Direct Costs:			
a. Subcontracts/grants	_____	_____	_____
b. Consultants	_____	_____	_____
c. Equipment	_____	_____	_____
d. Supplies	_____	_____	_____
e. Travel	_____	_____	_____
f. Other	_____	_____	_____
3. Indirect Costs	_____	_____	_____
4. Other Applicable Costs	_____	_____	_____
5. Subtotal--Estimated Costs	_____	_____	_____
6. Less Proposed Cost Sharing	_____	_____	_____
7. Carryover Funds (if any)			
a. Anticipated amount	_____	_____	_____
b. Amount used to reduce budget	_____	_____	_____
8. Total Estimated Costs	_____	_____	XXXXXXXXXX
APPROVED BUDGET	XXXXXXXXXX	XXXXXXXXXX	_____

Instructions

1. Provide a separate budget form for each year of proposed research and a summary form.
2. Grantee estimated costs should be entered in the first column. Columns B and C are for NASA use only. Column three represents the approved grant budget.
3. Provide in attachments to the budget summary the detailed computations of estimates in each cost category, along with any narrative explanation required to fully explain proposed costs. ***additional Instructions on Previous Page***

LIST CURRENT AND PENDING RESEARCH SUPPORT FROM ALL OTHER SOURCES

Include all current research support for all other sources. Also include the proposed project and all other research requiring a part of the PI's time. State the number of person months regardless of the source of the support.

Name of Principal Investigator _____

A. Current Support

- 1. Source of Support _____
- 2. Project Title _____
- 3. Award Amount _____
- 4. Period of Award _____
- 5. Person-Months _____

B. Pending Proposals (including supplement applications)

- 1. Source of Support _____
- 2. Project Title _____
- 3. Award Amount _____
- 4. Period of Award _____
- 5. Person-Months _____

Other Agencies to which this proposal, or parts thereof, has been submitted:

Duplicate this page as many times as needed to provide a complete list.

**Certification Regarding Drug-Free Workplace Requirements
Grantees Other Than Individuals**

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 34 CFR Part 85, Subpart F. The regulations, published in the January 31, 1989 Federal Register, require certification by grantees, prior to award, that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the agency determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment (see 34 CFR Part 85, Sections 85.615 and 85.620).

This grantee certifies that it will provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing a drug-free awareness program to inform employees about -
 - The dangers of drug abuse in the workplace;
 - The grantee's policy of maintaining a drug-free workplace;
 - Any available drug counseling, rehabilitation, and employee assistance programs, and
 - The penalties that may be imposed upon employees for drug abuse violations in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will -
 - Abide by the terms of the statement; and
 - Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2) , with respect to any employee who is so convicted -
 - Taking appropriate personnel action against such an employee, up to and including termination; or
 - Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraph (a), (b), (c), (e), and (f).

Organization Name

PR/Award Number or Proposal Name

Name and Title of Authorized Representative

Signature

Date

**Certification Regarding
Debarment, Suspension, and Other Responsibility Matters
Primary Covered Transactions**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, Section 85.510, Participant's responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

PR/Award Number or Proposal Name

Name and Title of Authorized Representative

Signature

Date

Certification Regarding Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000 for each such failure.

Organization Name

PR/Award Number or Proposal Name

Name and Title of Authorized Representative

Signature

Date