

STANDARD FORMS

- o Proposal Cover Page (example only; see URL <<http://131.182.116.166>> for exact format)
- o Proposal Summary (example only; see URL <<http://131.182.116.166>> for exact format)
- o Budget Summary (one summary sheet for total proposed effort and one additional summary for each year of proposed effort)
- o Current and Pending Support
- o Certification Regarding Debarment, Suspension, and Other Responsibility Matters (signature is required for all proposals)
- o Certification Regarding Drug-Free Workplace Requirements (signature is required for all proposals)
- o Certification Regarding Lobbying, if total funding >\$100,000 (signature is required for all proposals)

REQUIRED CONTENTS OF STANDARD PROPOSAL

- Prefatory Materials

- Cover Page (use printout of electronically submitted form)
- Proposal Summary (use printout of electronically submitted form)
- Budget Summary For Total Period Of Performance
- Budget Summary For Each Year Of Proposed Effort
- Current And Pending Support
- Table Of Contents (optional)

- Main Body of Proposal (limited to 15 pages)

- Research Objectives
- Detailed Work Plan
- Expected Results
- Relevance Of Proposed Work
- Role Of Pi, Co-I's, And Other Personnel
- Supporting Facilities
- References

- Resumes of Principal Investigator and Co-Investigators (one page each)

- Detailed Budgetary and Administrative Information (no page limit; in format of proposing institution's own choosing)

- Certifications (signed originals with signed original of proposal; U.S. Government agency proposers exempted):

- Certification Regarding Drug Free Workplace
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters
- Certification Regarding Lobbying (required for proposals >\$100,000)

COVER PAGE

All proposals must have a Cover Page that contains certain key, required information and that is to be submitted electronically through the form found at the World Wide Web site <<http://131.182.116.166>>. See Section VII.1 for further details.

Changes (such as whiteout or strikethrough) to the printed Cover Page are not permitted. Any changes needed to the information on this page after its original electronic submission may be made only by editing the form on the Web by using the “Edit” option and the Proposal Number that was assigned when the material was first submitted electronically. The proposer should then print a corrected version for securing the necessary signatures for submission with the proposal.

Information typically required for Cover Page:

- Alpha-numeric identifier of NRA to which proposal will be submitted (e.g., 97-OSS-16).
- Full name of NASA Research Announcement (NRA).
- Name of Subprogram within NRA (if appropriate and applicable).
- Title and name (including initial as appropriate) of proposing Principal Investigator (PI).
- Full PI address, including Department/Division (as appropriate), name of employing institution, internal institutional Mail Code (if appropriate), street address, city, state, Zip Code, and country (if other than U.S.).
- For the hard copy submitted with the proposal, an original PI signature and date.
- PI telephone and facsimile numbers and E-mail address.
- Full, descriptive title of proposed investigation.
- Names, institutional affiliations, and E-mail addresses of all Co-Investigators (may only list as Co-I’s those who are also identified by function in text of proposal).
- Institutional Endorsement, including name and title of the Authorizing Official, name of institution, and for the hard copy submitted with the proposal, an original signature and date.
- A summary of the proposed costs both by year and for the total proposed period of performance.

PROPOSAL SUMMARY

All proposals must include a Proposal Summary that contains certain key, required information and that is to be submitted electronically through the form found at the World Wide Web site <<http://131.182.116.166>>. See Section VII.1 for further details.

The Proposal Summary should include the following key information:

- A statement of the key, central objectives of the proposed research;
- An outline of methods proposed to accomplish the research objectives;
- The significance of the proposed work to NASA OSS interests;
- If the proposed is continuation of work performed under a previous NASA award, a list of articles published or in press derived from that award; and
- If the proposal contains a Education/Public Outreach component, a two or three sentence summary of the intended activity.

Changes (such as whiteout or strikethrough) to the printed Proposal Summary are not permitted. Any changes needed to the information on this page after its original electronic submission may be made only by editing the form on the Web by using the “Edit” option and the Proposal Number that was assigned when the material was first submitted electronically. The proposer should then print a corrected version for submission with the proposal.

Note: It is NASA’s intention that the PI name, institution and Proposal Summary for all selected proposals will be posted in a publicly accessible data base. Therefore, the Proposal Summary should not contain any proprietary or confidential information that the PI wishes to protect from public disclosure.

BUDGET SUMMARY

FROM: _____ TO: _____

(For Multiple Year Proposal: YEAR ____ OF ____)

Title Of Investigation:

Principal Investigator / Institution:

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

INSTRUCTIONS FOR BUDGET SUMMARY

- Provide a complete Budget Summary sheet for the entire proposed effort as well as a Summary sheet for each year of a multiple year proposal.
- Enter the proposed estimated costs in Column A (Columns B & C are for NASA use only).
- Provide detailed computations of estimates as attachments for each cost category with narratives as required to fully explain each Specific Cost as follows:
 1. Direct Labor (salaries, wages, and fringe benefits): Attachments should list the number and titles of personnel, amounts of time to be devoted to the grant, and rates of pay.
 2. Other Direct Costs:
 - a. Subcontracts: Attachments should describe the work to be subcontracted, estimated amount, recipient (if known), and the reason for subcontracting.
 - b. Consultants: Identify consultants to be used, why they are necessary, the time they will spend on the project, and rates of pay (not to exceed the equivalent of the daily rate for Level IV of the Executive Schedule, exclusive of expenses and indirect costs).
 - c. Equipment: List separately. Explain the need for items costing more than \$5,000. Describe basis for estimated cost. General purpose equipment such as personal computers, copiers, etc. is not allowable as a direct cost unless specifically approved by the Award Officer.
 - d. Supplies: Provide general categories of needed supplies, the method of acquisition, and the estimated cost.
 - e. Travel: List proposed trips individually and describe their purpose in relation to the grant. Also provide dates, destination, and number of travelers where known.
 - f. Other: Enter the total of direct costs not covered by 2a through 2e. Attach 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. Provide the name, address, and telephone number of the Federal agency official having cognizance. If unapproved rates are used, explain why, and include the computational basis for the indirect expense pool and corresponding allocation base for each rate.
 4. Other Applicable Costs: Enter total of other applicable costs (e.g., an Education/Public Outreach Proposal) with an itemized list explaining the need for each item and basis for the estimate.
 5. Subtotal-Estimated Costs: Enter the sum of items 1 through 4.
 6. Less Proposed Cost Sharing (if any): Enter any amount proposed. If cost sharing is based on specific cost items, identify each item and amount in an attachment.
 7. Carryover Funds (if any): Enter the amount of any funds expected to be available for carryover from the prior budget period. Identify how the funds will be used if they are not used to reduce the budget. NASA officials will decide whether to use all or part of the anticipated carryover to reduce the budget. Not applicable to 2nd-year and subsequent-year budgets submitted for award of a multiple year award.
 8. Total Estimated Costs: Enter the total after subtracting items 6 and 7b from item 5.

CURRENT AND PENDING RESEARCH SUPPORT

Provide the following information for all current research support from all sources being conducted or currently proposed by the Principal Investigator and key Co-Investigators:

- Name of Investigator

A. Current Support (i.e., in any of the period that will overlap with the proposed period of performance of this proposal):

- Project Title
- Sponsoring agency or institution (including point of contact)
- Period of performance and amount of award
- Commitment by Investigator in terms of Full Time Equivalent (FTE) Work Year

B. Pending Support (including continuations of multiple year awards and this current proposal):

- Project Title
- Sponsoring agency or institution (including point of contact)
- Proposed period of performance and amount of award
- Commitment by Investigator in terms of Full Time Equivalent (FTE) Work Year

C. Other institutions, including point of contact with telephone number, to which this proposal, or any part thereof, has been contemporaneously submitted for consideration of funding.

**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. 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, 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