

APPENDIX E

PROPOSAL FORMS AND CERTIFICATIONS

E.1 Overview

Starting in calendar year 2001 the five program offices at NASA Headquarters that issue solicitations for research proposals are now using a unified procedures based on inputs of certain key materials through the World Wide Web for new proposals, as well as for Yearly and Final Progress Reports of the selected tasks. In all cases, the Web address for all of these inputs will be specified in the NRA or award document as appropriate.

Upon accessing the specified Web site, the user is presented with a series of menus that allows the submission of any of following four items:

- Notice of Intent (NOI) to propose for a newly released solicitation (typically due about 30 days after the release date of the solicitation and 60 days before the proposal itself);
- Cover Page/Proposal Summary for a proposal that will be submitted by the stated due date in response to an open program solicitation (typically 90 days after release of the solicitation);
- Yearly Progress Report in support of the request for a funding supplement to an existing multiple year award (due 60 days in advance of the anniversary date of the award); and
- Summary of Research for an award that has completed its period of performance, which is due 90 days after the end of the award period.

Note that when first entering this Web site the user will be asked to identify him/herself in order to receive a unique password that will enable his/her quick entry and use of this master site on subsequent occasions. Likewise, once a proposer has entered a Notice of Intent for a given solicitation, he/she will be issued a unique identification number for that proposal that will enable the generation of the Cover Page/Proposal Summary using the NOI information as a base (although full editing capability is allowed). Once an award is issued by NASA in response to a submitted proposal, NASA's award identification number will serve as a password to allow the submission of the Yearly Progress Reports and the Summary of Research.

E.2 Notice of Intent to Propose

The Notice of Intent (NOI) to propose enables NASA to prepare for and expeditiously carry out the peer review process (see also Section 3.1 in this Guidebook). Therefore, interested proposers are encouraged to submit as accurate an NOI as possible on the schedule specified in the NRA. Upon entering the master proposal Web site noted in Section 1 above, the potential proposal will be find a menu for open NRA's for which the

NOI due date has not passed. Upon selecting the NRA of interest, at a minimum the following information will be requested (note: occasionally additional information may be requested based on the nature of the NRA):

- Reference to the NRA by its alpha-numeric identifier (e.g., NRA 99-OSS-50; note: this information will appear automatically upon selection from the menu);
- The name, postal and E-mail addresses, and telephone number of the Principal Investigator and all Co-Investigator(s);
- A brief, descriptive title of the anticipated investigation; and
- A brief description of the primary research area(s) and objective(s) of the anticipated investigation.

E.3 Cover Page/Proposal Summary

A fully completed and accurate *Cover Page/Proposal Summary* is required as the preface to every proposal submitted to a NRA. It is produced by entering the master proposal Web site, entering the identification number received when the NOI was submitted, and filling in the requested information. Note that if an NOI was entered, the information entered on the NOI will be carried over as a base for the Cover Page, although full editing capability will exist. If a NOI was not previously submitted, the instructions will enable the user to begin with a completely blank form. In either case, at a minimum the following information will be requested for the Cover Page (note: occasionally additional information may be requested based on the nature of the NRA):

- The alpha-numeric identifier and name of the NRA (note: these items will typically already be included on the electronic form on the Web site).
- The full legal name and physical address of the proposing organization, including specific division or campus identification if part of a larger organization;
- The designation of the type of proposing institution (using the definitions in Section 1.4.1 of this Guidebook).
- Full institutional physical mailing address, telephone and facsimile numbers, and E-mail address for the following individuals/offices:
 - i) The Principal Investigator (note: the printed hard copy also provides a block for the original PI signature and date).
 - ii) All Co-Investigator(s) who are identified by function in the proposal (see Section 1.2.2 and their organizational affiliation(s)).
 - iii) Office of Sponsored Programs at the proposing institution.
 - iv) Name and Title of the Authorizing Institutional Official (note: the printed hard copy provides a block for the original institutional signature).
- An abbreviated title of the proposed investigation (limit of 50 characters).
- The full title of the proposed investigation (of any length or may be same as abbreviated title) intelligible to a scientifically literate reader and suitable for use in the public press.

- The Award Number of any existing NASA award for which the newly proposed work is submitted as a logical successor activity.
- The proposed costs both by 12-month periods and for the total proposed period of performance.
- The date of proposal submission, desired starting date of the effort (not any sooner than 200 day after the proposal due date), and total duration of the project.
- An identification of other organizations that are currently evaluating a proposal for the same or substantially the same effort.

In addition, block of space, limited to 2500 characters including spaces (about half a page using the default formats in Section 2.2) is provided in the Web site for a self-contained *Proposal Summary* of the proposed research activity that is to include the following key information:

- A description of the key, central objectives of the proposal in terms that allow a nonspecialist to grasp its essence;
- A concise statement of the methods/techniques proposed to accomplish those objectives; and
- A statement of the perceived significance of the proposed work to NASA interests and programs.

Once the *Cover Page/Proposal Summary* is fully filled out, it is submitted electronically and also printed in hard copy in order to secure the signatures of the Principal Investigator and the Authorized Institutional Representative. This item is then reproduced for submission with the hard copies of the proposals.

E.4 Budget Summary

The *Budget Summary* is used by NASA's Program and Procurement personnel as an overview of the proposed costs for a limited number of categories. This form is also provided on the Web site specified in the NRA directly following the *Cover Page/Proposal Summary* for downloading by the proposer. It is to be submitted in hard copy as part of the proposal in the place indicated in the table of Parts of a Proposal in Section 2.3 of this Guidebook.

Column A of the *Budget Summary* is to be completed by the proposer after the detailed budget for the proposal is developed and requires knowledge of the following summary information for the total period of performance (specified by month/day/year), as well as for each year of the proposed period of performance:

Items Requested on the NASA Budget Summary

1. Direct Labor (salaries, wages, and fringe benefits)
2. Other Direct Costs:
 - a. Subcontracts
 - b. Consultants
 - c. Equipment
 - d. Supplies
 - e. Travel
 - f. Other
3. Facilities and Administrative Costs
4. Other Applicable Costs
5. SUBTOTAL--Estimated Costs
6. Less Proposed Cost Sharing (if any)
7. Carryover Funds (if any)
 - a. Anticipated amount
 - b. Amount used to reduce budget
8. Total Estimated Costs

The instructions and definitions for this *Budget Summary* are as follows (also repeated on the Web site):

- Provide a complete *Budget Summary* for the total as well as each individual year of the proposed period of performance.
 - Enter the proposed estimated costs in Column A (Columns B & C for NASA use only).
 - Provide, as attachments, detailed computations of all estimates in each cost category with narratives as required to fully explain each proposed 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 is not allowable as a direct cost unless specifically approved by the NASA Grant Officer. Any equipment purchase requested to be made as a direct charge under this award must include

the equipment description, how it will be used in the conduct of the basic research proposed and why it cannot be purchased with indirect funds.

- d. Supplies: Provide general categories of needed supplies, the method of acquisition, and the estimated cost.
 - e. Travel: Describe the purpose of the proposed travel in relation to the grant and provide the basis of estimate, including information on 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. Facilities and Administrative (F&A) Costs: Identify F&A 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 explaining the need for each item.
 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 dollar 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.

E.5 Certifications

In accordance with U.S. Code there are currently three certifications required from every institution, except from U.S. Federal institutions, submitting a proposal, namely,

- Debarment, Suspension, and Other Responsibility Matters;
- Lobbying for Contracts, Grants, Loans and Cooperative Agreements (required only for proposals seeking a cumulative total in excess of \$100,000); and
- Compliance with NASA Regulations Pursuant to Nondiscrimination in Federally Assisted Programs.

In order to reduce paper work required by the submitting institutions, language is now included on the printout of the proposal *Cover Page* that confirms that these certification requirements are met by the proposing institution once that printed item is signed by the

Authorizing Institutional Representative and submitted with the proposal. Therefore, these three Certifications are included in this Guidebook only for reference and information; they should not be submitted with the proposal.

In addition, proposals for programs in some NASA program offices will require specialized certifications, for example, the impact of research including environmental, human or animal care provisions, or other topics required by statute, Executive Order, or Government policies. If so, details will be given in the individual NRA's.

**Certification Regarding Debarment, Suspension, and
Other Responsibility Matters**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 14 CFR Part 1265, 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:

- Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- 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;
- 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
- 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.

Certification Regarding Lobbying

- 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.
- 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.
- 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.

**Assurance of Compliance with the National Aeronautics and Space Administration
Regulations Pursuant to Nondiscrimination in Federally Assisted Programs**

The _____
(Institution or organization on whose behalf this assurance is signed, hereinafter called "Applicant.")

HEREBY AGREES THAT it will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352), Title IX of the Education Amendments of 1972 (20 U.S.C. 1680 et seq.), Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), and the Age Discrimination Act of 1975 (42 U.S.C. 16101 et seq.), and all requirements imposed by or pursuant to the Regulation of the National Aeronautics and Space Administration (14 CFR Part 1250) (hereinafter called "NASA") issued pursuant to these laws, to the end that in accordance with these laws and regulations, no person in the United States shall, on the basis of race, color, national origin, sex, handicapped condition, or age be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives federal financial assistance from NASA; and HEREBY GIVES ASSURANCE THAT it will immediately take any measure necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of federal financial assistance extended to the Applicant by NASA, this assurance shall obligate the Applicant, or in the case of any transfer of which the federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the Applicant for the period during which the federal financial assistance is extended to it by NASA.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all federal grants, loans, contract, property, discounts or other federal financial assistance extended after the date hereof to the Applicant by NASA, including installment payments after such date on account of applications for federal financial assistance which were approved before such date. The Applicant recognizes and agrees that such federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign on behalf of the Applicant.

E.6. Sample Nondisclosure Agreement

PROPOSAL PEER REVIEW NONDISCLOSURE AGREEMENT,
AND CONFLICT OF INTEREST AVOIDANCE

In the performance of peer review of proposals submitted to NASA, the undersigned may have access to or be furnished with information that contains unpublished research results, unpublished research ideas, and/or proprietary plans, information, and budgetary data. All NASA supervisory and management personnel and reviewers, and all non-NASA participants, are bound by Federal regulations to maintain the confidentiality of such information and to avoid conflicts of interest in the review process. (Note that Federal law prohibits Federal employees from making unauthorized disclosure of confidential information (18 U.S.C. 1905)). Therefore, with respect to any proposals that may be furnished to or discussed in the presence of the undersigned, or that the undersigned may have access to or learns about, the undersigned agrees:

- 1) to use such data and information only for the purpose of carrying out the requested proposal review;
- 2) to refrain from disclosing or discussing such data and information with submitters of proposals, other reviewers, non-NASA support personnel, or NASA personnel outside the meetings of any designated peer review sessions;
- 3) to refrain from copying in part or all of any proposals that may be provided;
- 4) to return to NASA all proposals that may be provided along with all review sheets and other forms that have been generated in the course of the review process, or to make other disposition of such materials as directed by NASA;
- 5) to exercise due care to avoid any real or apparent conflict of interest in carrying out any reviews (in particular, a reviewer is not permitted to take part in the review of a proposal that originates from his/her home institution; or if any of the proposal's personnel are closely related to the reviewer, e.g., household family members, partners, or professional associates; or if the reviewer has a financial interest in the proposing institution, e.g., ownership of stock or securities, employment, or arrangements for employment); and
- 6) to advise NASA of the disclosure of any information obtained from NASA that is disclosed, used, or handled in a manner inconsistent with this agreement.

Name (print/type)
Date

Institution