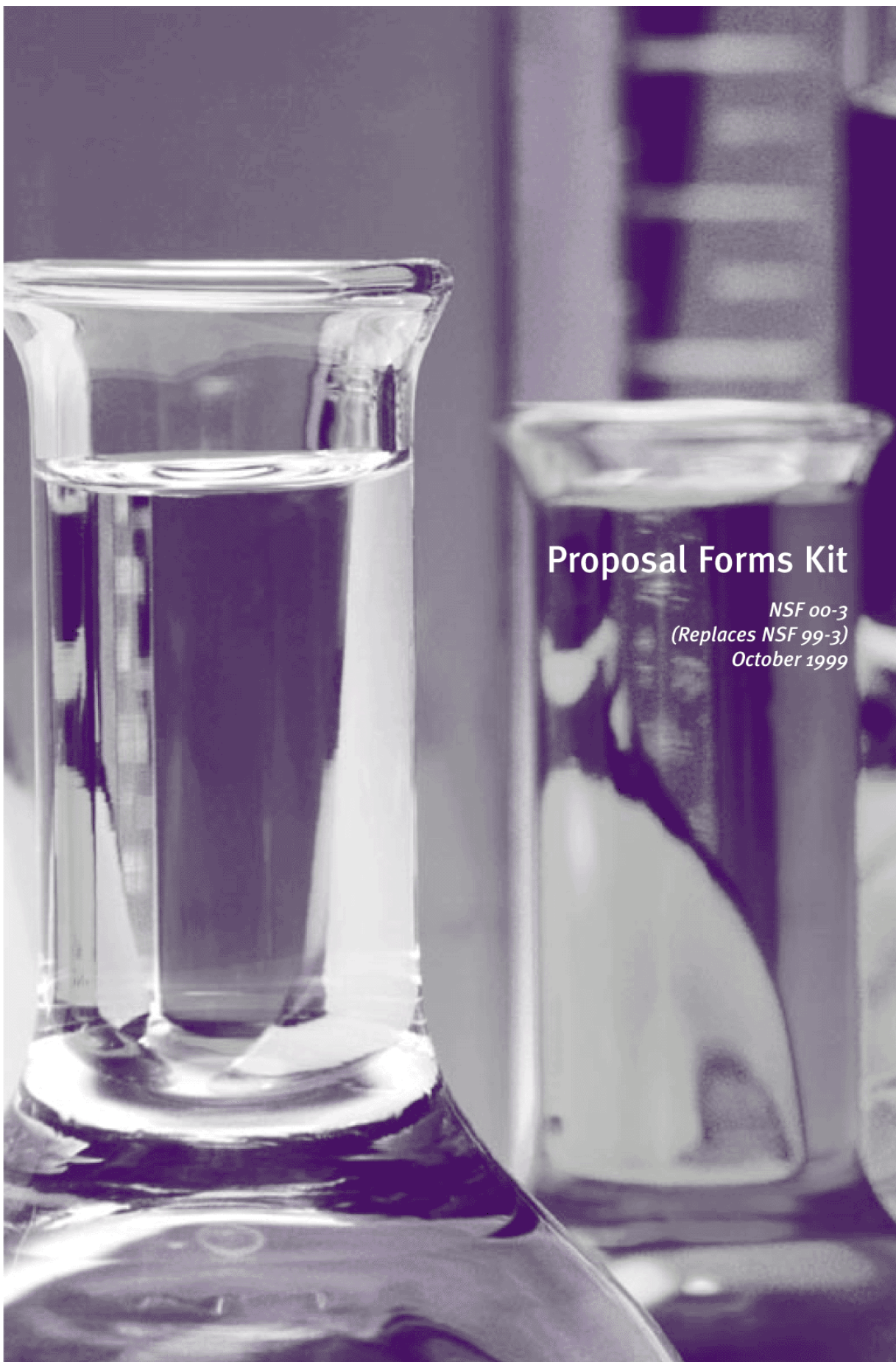


# National Science Foundation



## Proposal Forms Kit

*NSF 00-3  
(Replaces NSF 99-3)  
October 1999*

# Proposal Forms Kit

## A. INTRODUCTION

This Proposal Forms Kit supplements the Grant Proposal Guide (GPG), the NSF Guide that provides guidance for the preparation of unsolicited proposals to NSF. An unsolicited proposal is prepared by a Principal Investigator and submitted by an organization on its own initiative and not in response to a formal written solicitation from NSF. Contact with appropriate NSF program personnel is encouraged to help determine if preparation of a formal proposal is appropriate.

The Kit contains the forms necessary for preparation of unsolicited proposals. While these forms are generally applicable, some NSF programs use specific program announcements which may require additional forms for submission of proposals to NSF or which may modify the general guidance in the GPG.

Please give careful attention to the requirements established in the GPG and the instructions provided on each form. Proposals that do not meet such requirements may be returned without further consideration by NSF. Of particular importance are the page limitations, format and content requirements that are identified on the forms and/or established throughout the GPG. Proposers should ensure that, where required, the submitted documents are signed and dated. A properly prepared proposal will facilitate the administrative processing and merit review that must occur before an award can be made.

## B. FORMS PROVIDED

**Codes:**        <sup>A</sup>=Use of format required  
                  <sup>B</sup>=Use of format optional

The NSF Proposal Forms Kit includes one copy of each of the following forms:

- ❖ NSF Form 1225, Information About Principal Investigators/Project Directors (PI/PD) and co-Principal Investigators/co-Project Directors<sup>A</sup>
- ❖ NSF Form 1207, Cover Sheet for Proposal to the National Science Foundation<sup>A</sup>
- ❖ NSF Form 1359, Table of Contents<sup>A</sup>
- ❖ NSF Form 1030, Summary Proposal Budget<sup>A</sup>
- ❖ NSF Form 1239, Current and Pending Support<sup>B</sup>
- ❖ NSF Form 1363, Facilities, Equipment and Other Resources<sup>B</sup>

## C. FORM PREPARATION INSTRUCTIONS

Each form is self-explanatory or provides specific completion instructions; additional information is located in the GPG as follows:

- ❖ NSF Form 1225, Information About Principal Investigators/Project Directors (PI/PD) and co-Principal Investigators/co-Project Directors, Page 5

- ❖ NSF Form 1207, Cover Sheet for Proposal to the National Science Foundation, Page 6
- ❖ NSF Form 1359, Table of Contents, Page 8
- ❖ NSF Form 1030, Summary Proposal Budget, Page 9
- ❖ NSF Form 1239, Current and Pending Support, Page 13
- ❖ NSF Form 1363, Facilities, Equipment and Other Resources, Page 13

Follow the instructions in the GPG regarding completion of the following sections of the proposal:

- ❖ Project Summary, Page 7
- ❖ Project Description, Page 8
- ❖ References Cited, Page 9
- ❖ Biographical Sketches, Page 9

## D. FORMS ACCEPTANCE POLICY

NSF Proposal Forms Kit — Paper copy forms provided in the Proposal Forms Kit may be used. Additional copies of this Kit, in paper and electronic medium, are available as indicated in Section G below.

*Computer-generated facsimiles* — Computer-generated facsimiles may be substituted for any of the forms contained in the Kit. The categories or information requested, however, should not be rearranged or altered.

*Photocopies* — Forms may be reproduced but must be clear and readable. NSF two-sided forms may be copied and submitted either on one two-sided sheet of paper or on single separate sheets of paper.

Note: NSF is in the process of recording all the contents of a proposal in electronic format. Therefore the various forms contained in the Proposal Forms Kit now include barcodes as part of the form. All paper proposals submitted to NSF must include the bar codes provided on each NSF required format.

Barcodes are not relevant to proposals prepared via FastLane.

*FastLane* — The NSF FastLane system uses Internet/Web technology to facilitate the way NSF does business with the research, education, and related communities. The NSF FastLane system is available for proposal preparation; submission and status checking; project reporting; and post-award administrative activities. All FastLane functions are accessed by using a web browser on the Internet. There is a link to FastLane on the NSF Web site, or FastLane can be accessed directly at: <<http://www.fastlane.nsf.gov>>.

Access to proposal and post-award functions is limited to staff from FastLane-registered organizations and is secured through the use of Personal Identification Numbers (PINs). To register an organization, authorized organizational representatives must complete the registration form that is available through the

Registration Information hyperlink on the FastLane Web site. Once an organization is registered, individual staff should contact the organization's sponsored projects office (or equivalent) for assignment of a PIN and information about how to access and use the system for most grant-related activities.

In the future, the Federal Commons project <<http://www.fedcommons.gov>> will provide a common interface for grantees in accessing electronic business functions from a variety of federal grant-funding agencies. The Foundation is an active participant in the Federal Commons project and as this project develops, FastLane registration and security will be integrated with the Federal Commons. In anticipation of this, the FastLane PIN system will be moving to a password system. At that time, all references to PINs will be changed to passwords.

Detailed information about the FastLane system is available from the FastLane Web site at: <<http://www.fastlane.nsf.gov>>.

## E. WHEN TO SUBMIT PROPOSALS

Many NSF programs accept proposals any time. Other programs, however, establish target dates or deadlines for submission of proposals to allow time for their consideration by review panels which meet periodically. These target dates and deadlines are published in specific program announcements or solicitations, which can be obtained from the NSF Clearinghouse at: <[pubs@nsf.gov](mailto:pubs@nsf.gov)> or electronically through the NSF Web site at: <<http://www.nsf.gov>>. Lists of deadlines and target dates also are available electronically on the NSF Web site.

Unless otherwise specified in a program announcement or solicitation, proposals must be received by the specified date. A proposal received after a deadline, however, may be acceptable if it carries a legible proof-of-mailing date assigned by the carrier and the proof-of-mailing date is not later than one week prior to the deadline date. If the deadline date falls on a weekend, it will be extended to the following Monday; if the date falls on a holiday, it will be extended to the following work day. The deadline date will be waived only in extenuating circumstances. Inquiry about submission may also be made to the appropriate program. For information about receipt of proposals submitted electronically, see Section F.

## F. HOW TO SUBMIT PROPOSALS

In September 1998, the NSF Director issued Important Notice 123, *Working Towards a Paperless Proposal and Award System* <<http://www.nsf.gov/cgi-bin/getpub?iin123>> that describes NSF's vision for the future in electronic business and outlines the schedule for implementation. As stipulated in this Notice, all proposals will be required to be submitted via FastLane **effective October 1, 2000**. Some NSF programs may **require** electronic submission of all or part of a proposal, including unsolicited proposals prior to this date. Please check the FastLane Web site prior to proposal submission for a listing of programs and program announcements and solicitations that require submission via FastLane. NSF recommends that all proposers and grantee organizations review Important Notice 123 to be aware of the implementation timelines stipulated in this document.

In the interim, for standard unsolicited proposals, electronic proposal submission via FastLane is the preferred method and is strongly encouraged.<sup>1</sup> Unless otherwise specified by a program or in a program announcement or solicitation, however, proposals may continue to be submitted in paper form.

A proposal needs to be submitted only once to NSF, even if the proposer envisions review by multiple programs. The submission of duplicate or substantially similar proposals concurrently for review by more than one program without prior NSF approval may result in the return of the redundant proposals. (See Section IV.B for further information on proposal return.)

The following are specific instructions regarding the submission and receipt of electronic and paper proposals to NSF:

1. **Electronic submission.** A proposal is considered complete when the proposal, including the Project Description, has been submitted to NSF. If the Project Description is included in the electronic submission, unless otherwise specified in a program solicitation, the receipt date will be the date the sponsored projects office transmits the proposal to NSF. The signed proposal Cover Sheet (NSF Form 1207) must be postmarked (or provide a legible proof of mailing date assigned by the carrier) within five working days following the electronic submission of the proposal and forwarded to the following address:

National Science Foundation  
DIS-FastLane Cover Sheet  
4201 Wilson Blvd.  
Arlington, VA 22230

A proposal may not be processed until the complete proposal (including signed Cover Sheet) has been received by NSF.

2. **Paper submission.** The delivery address **must clearly identify the NSF announcement or solicitation number** under which the proposal is being submitted, if applicable. If the proposal is not submitted in response to a specific announcement, proposers should enter the NSF Program(s), using Appendix A as a guide, to which the proposal should be directed. Appendix A also indicates the required number of copies of proposals to be forwarded to NSF, including the original signed copy. NSF will determine which program(s) will evaluate each proposal.

Unless stated otherwise in a program solicitation, proposals should not be addressed or sent directly to the cognizant Program Officer. If copies of the proposal are mailed or delivered in more than one package, the number of packages and the NSF announcement or solicitation number, if applicable, should be marked on the outside of each package. Proposals must be sent prepaid, not collect. Proposals sent by special messenger or courier should be delivered to the address listed below, weekdays, except Federal holidays, between the hours of 8:30 a.m. and 5:00 p.m. ET. Contact the NSF Mail Room, 703.306.0657, with any questions regarding the mailing or delivery of proposals.

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<sup>1</sup>Detailed instructions for proposal preparation and submission via FastLane are available at: <<https://www.fastlane.nsf.gov/a1/newstan.htm>>.

Proposals must be addressed **exactly** as follows:

ANNOUNCEMENT/SOLICITATION NO \_\_\_\_\_  
NATIONAL SCIENCE FOUNDATION PPU  
4201 WILSON BLVD. ROOM P60  
ARLINGTON VA 22230

3. Acknowledgment of proposal receipt. The acknowledgment of the receipt of the proposal will reference both the NSF proposal number and the cognizant NSF program to which the proposal has been assigned. Once the proposal is submitted, PIs can access the proposal number via the "View Submitted Proposal" list in the FastLane proposal preparation module.

When the proposal is assigned to a NSF program, the cognizant program information is available through the FastLane "Proposal Status Inquiry" function for PIs and through the "Recent Proposals" report for sponsored projects offices. Communications about the proposal should be addressed to the cognizant Program Officer with reference to the proposal number. Proposers are encouraged to use FastLane to verify the status of their submission to NSF.

#### **G. ADDITIONAL COPIES OF THIS PROPOSAL FORMS KIT**

Additional copies of the Proposal Forms Kit (NSF 00-3) or the GPG (NSF 00-2), which contains the Proposal Forms Kit, may be ordered from:

NSF Clearinghouse  
P.O. Box 218  
Jessup, MD 20794-0218

Telephone: 301.947.2722  
e-mail: <pubs@nsf.gov>

The GPG or the Proposal Forms Kit may be obtained by accessing documents NSF 00-2 or NSF 00-3 electronically on the NSF Web site at: <<http://www.nsf.gov>>.

**INFORMATION ABOUT PRINCIPAL INVESTIGATORS/PROJECT DIRECTORS (PI/PD) and  
co-PRINCIPAL INVESTIGATORS/co-PROJECT DIRECTORS**

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Submit ONE copy of this form for each PI/PD and co-PI/PD identified on the proposal. The form(s) should be attached to the original proposal as specified in GPG Section II.B. Submission of this information is voluntary and is not a precondition of award. The information will not be disclosed to external peer reviewers. **DO NOT INCLUDE THIS FORM WITH ANY OF THE OTHER COPIES OF YOUR PROPOSAL AS THIS MAY COMPROMISE THE CONFIDENTIALITY OF THE INFORMATION.**

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**PI/PD Name:** \_\_\_\_\_

- Gender:**  Male  Female
- Ethnicity:** (Choose one response)  Hispanic or Latino  Not Hispanic or Latino
- Race:** (Select one or more)  American Indian or Alaska Native  
 Asian  
 Black or African American  
 Native Hawaiian or Other Pacific Islander  
 White
- Disability Status:** (Select one or more)  Hearing Impairment  
 Visual Impairment  
 Mobility/Orthopedic Impairment  
 Other  
 None
- Citizenship:** (Choose one)  U.S. Citizen  Permanent Resident  Other non-U.S. Citizen
- Check here if you do not wish to provide any or all of the above information (excluding PI/PD name):**
- REQUIRED: Check here if you are currently serving (or have previously served) as a PI, co-PI or PD on any federally funded project.**
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**Ethnicity Definition:**

**Hispanic or Latino.** A person of Mexican, Puerto Rican, Cuban, South or Central American, or other Spanish culture or origin, regardless of race.

**Race Definitions:**

**American Indian or Alaska Native.** A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.

**Asian.** A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

**Black or African American.** A person having origins in any of the black racial groups of Africa.

**Native Hawaiian or Other Pacific Islander.** A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

**White.** A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

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**WHY THIS INFORMATION IS BEING REQUESTED:**

The Federal Government has a continuing commitment to monitor the operation of its review and award processes to identify and address any inequities based on gender, race, ethnicity, or disability of its proposed PIs/PDs. To gather information needed for this important task, the proposer should submit a single copy of this form for each identified PI/PD with each proposal. Submission of the requested information is voluntary and will not affect the organization's eligibility for an award. However, information not submitted will seriously undermine the statistical validity, and therefore the usefulness, of information received from others. Any individual not wishing to submit some or all the information should check the box provided for this purpose. (The exceptions are the PI/PD name and the information about prior Federal support, the last question above.)

Collection of this information is authorized by the NSF Act of 1950, as amended, 42 U.S.C. 1861, et seq. Demographic data allows NSF to gauge whether our programs and other opportunities in science and technology are fairly reaching and benefiting everyone regardless of demographic category; to ensure that those in under-represented groups have the same knowledge of and access to programs and other research and educational opportunities; and to assess involvement of international investigators in work supported by NSF. The information may be disclosed to government contractors, experts, volunteers and researchers to complete assigned work; and to other government agencies in order to coordinate and assess programs. The information may be added to the Reviewer file and used to select potential candidates to serve as peer reviewers or advisory committee members. See Systems of Records, NSF-50, "Principal Investigator/Proposal File and Associated Records," 63 Federal Register 267 (January 5, 1998), and NSF-51, "Reviewer/Proposal File and Associated Records," 63 Federal Register 268 (January 5, 1998).



## COVER SHEET FOR PROPOSAL TO THE NATIONAL SCIENCE FOUNDATION

PROGRAM ANNOUNCEMENT/SOLICITATION NO./CLOSING DATE/If not in response to a program announcement/solicitation enter NSF 00-2					<b>FOR NSF USE ONLY</b>	
FOR CONSIDERATION BY NSF ORGANIZATIONAL UNIT(S) (Indicate the most specific unit known, i.e., program, division, etc.)					NSF PROPOSAL NUMBER	
DATE RECEIVED	NUMBER OF COPIES	DIVISION ASSIGNED	FUND CODE	DUNS # (Data Universal Numbering System)	FILE LOCATION	
EMPLOYER IDENTIFICATION NUMBER (EIN) OR TAXPAYER IDENTIFICATION NUMBER (TIN)		SHOW PREVIOUS AWARD NO. IF THIS IS <input type="checkbox"/> A RENEWAL  <input type="checkbox"/> AN ACCOMPLISHMENT-BASED RENEWAL		IS THIS PROPOSAL BEING SUBMITTED TO ANOTHER FEDERAL AGENCY? YES <input type="checkbox"/> NO <input type="checkbox"/> IF YES, LIST ACRONYM(S)		
NAME OF ORGANIZATION TO WHICH AWARD SHOULD BE MADE			ADDRESS OF AWARDEE ORGANIZATION, INCLUDING 9 DIGIT ZIP CODE			
AWARDEE ORGANIZATION CODE (IF KNOWN)						
NAME OF PERFORMING ORGANIZATION, IF DIFFERENT FROM ABOVE			ADDRESS OF PERFORMING ORGANIZATION, IF DIFFERENT, INCLUDING 9 DIGIT ZIP CODE			
PERFORMING ORGANIZATION CODE (IF KNOWN)						
IS AWARDEE ORGANIZATION (Check All That Apply) (See GPG II.D.1 For Definitions) <input type="checkbox"/> FOR-PROFIT ORGANIZATION <input type="checkbox"/> SMALL BUSINESS <input type="checkbox"/> MINORITY BUSINESS <input type="checkbox"/> WOMAN-OWNED BUSINESS						
TITLE OF PROPOSED PROJECT						
REQUESTED AMOUNT	PROPOSED DURATION (1-60 MONTHS)	REQUESTED STARTING DATE	SHOW RELATED PREPROPOSAL NO., IF APPLICABLE			
\$	months					
CHECK APPROPRIATE BOX(ES) IF THIS PROPOSAL INCLUDES ANY OF THE ITEMS LISTED BELOW						
<input type="checkbox"/> BEGINNING INVESTIGATOR (GPG I.A.3)		<input type="checkbox"/> VERTEBRATE ANIMALS (GPG II.D.12) IACUC App. Date _____				
<input type="checkbox"/> DISCLOSURE OF LOBBYING ACTIVITIES (GPG II.D.1)		<input type="checkbox"/> HUMAN SUBJECTS (GPG II.D.12) Exemption Subsection____or IRB App. Date _____				
<input type="checkbox"/> PROPRIETARY & PRIVILEGED INFORMATION (GPG I.B, II.D.7)		<input type="checkbox"/> INTERNATIONAL COOPERATIVE ACTIVITIES: COUNTRY/COUNTRIES _____				
<input type="checkbox"/> NATIONAL ENVIRONMENTAL POLICY ACT (GPG II.D.10)		<input type="checkbox"/> FACILITATION FOR SCIENTISTS/ENGINEERS WITH DISABILITIES (GPG V.G.)				
<input type="checkbox"/> HISTORIC PLACES (GPG II.D.10)		<input type="checkbox"/> RESEARCH OPPORTUNITY AWARD (GPG V.H)				
<input type="checkbox"/> SMALL GRANT FOR EXPLOR. RESEARCH (SGER) (GPG II.D.12)						
PI/PD DEPARTMENT		PI/PD POSTAL ADDRESS				
PI/PD FAX NUMBER						
NAMES (TYPED)		High Degree	Yr of Degree	Telephone Number	Electronic Mail Address	
PI/PD NAME						
CO-PI/PD						
CO-PI/PD						
CO-PI/PD						
CO-PI/PD						

## CERTIFICATION PAGE

### Certification for Principal Investigators and Co-Principal Investigators

I certify to the best of my knowledge that:

- (1) the statements herein (excluding scientific hypotheses and scientific opinions) are true and complete, and
- (2) the text and graphics herein as well as any accompanying publications or other documents, unless otherwise indicated, are the original work of the signatories or individuals working under their supervision. I agree to accept responsibility for the scientific conduct of the project and to provide the required project reports if an award is made as a result of this proposal.

I understand that the willful provision of false information or concealing a material fact in this proposal or any other communication submitted to NSF is a criminal offense (U.S. Code, Title 18, Section 1001).

Name (Typed)	Signature	Social Security No.*	Date
PI/PD			
Co-PI/PD			
Co-PI/PD			
Co-PI/PD			
Co-PI/PD			

### Certification for Authorized Organizational Representative or Individual Applicant

By signing and submitting this proposal, the individual applicant or the authorized official of the applicant institution is: (1) certifying that statements made herein are true and complete to the best of his/her knowledge; and (2) agreeing to accept the obligation to comply with NSF award terms and conditions if an award is made as a result of this application. Further, the applicant is hereby providing certifications regarding Federal debt status, debarment and suspension, drug-free workplace, and lobbying activities (see below), as set forth in the *Grant Proposal Guide (GPG)*, NSF 00-2. Willful provision of false information in this application and its supporting documents or in reports required under an ensuing award is a criminal offense (U.S. Code, Title 18, Section 1001).

In addition, if the applicant institution employs more than fifty persons, the authorized official of the applicant institution is certifying that the institution has implemented a written and enforced conflict of interest policy that is consistent with the provisions of *Grant Policy Manual* Section 510; that to the best of his/her knowledge, all financial disclosures required by that conflict of interest policy have been made; and that all identified conflicts of interest will have been satisfactorily managed, reduced or eliminated prior to the institution's expenditure of any funds under the award, in accordance with the institution's conflict of interest policy. Conflicts that cannot be satisfactorily managed, reduced or eliminated must be disclosed to NSF.

#### Debt and Debarment Certifications (If answer "yes" to either, please provide explanation.)

Is the organization delinquent on any Federal debt?

Yes

No

Is the organization or its principals presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency?

Yes

No

#### Certification Regarding Lobbying

This certification is required for an award of a Federal contract, grant or cooperative agreement exceeding \$100,000 and for an award of a Federal loan or a commitment providing for the United States to insure or guarantee a loan exceeding \$150,000.

#### 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, and 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 of Lobbying Activities," 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.

AUTHORIZED ORGANIZATIONAL REPRESENTATIVE	SIGNATURE	DATE
NAME/TITLE (TYPED)		
TELEPHONE NUMBER	ELECTRONIC MAIL ADDRESS	FAX NUMBER

\*SUBMISSION OF SOCIAL SECURITY NUMBERS IS VOLUNTARY AND WILL NOT AFFECT THE ORGANIZATION'S ELIGIBILITY FOR AN AWARD. HOWEVER, THEY ARE AN INTEGRAL PART OF THE NSF INFORMATION SYSTEM AND ASSIST IN PROCESSING THE PROPOSAL. SSN SOLICITED UNDER NSF ACT OF 1950, AS AMENDED.

## DO NOT DUPLICATE THIS PAGE AS PART OF THE PROPOSAL

Every prospective grantee must complete the section on certification on the Cover Sheet (NSF Form 1207 (Rev. 10/99) submitted with each proposal. Instructions for the two certifications are below:

### INSTRUCTIONS ON CERTIFICATION OF NON-DELIQUENCY BY APPLICANTS FOR FEDERAL ASSISTANCE

The certification of non-delinquency applies only to the organization requesting financial assistance and not to the individual Principal Investigator.

For the purposes of this certification, the following definitions of delinquency apply:

**Direct loans** — a debt more than 31 days past due on a scheduled payment

**Grants** — recipients of a "Notice of Grants

Cost Disallowance" who have not repaid the disallowed amount or who have not resolved the disallowance.

**Guaranteed and insured loans** — recipients of a loan guaranteed by the Federal Government that the Federal Government has repurchased from a lender because the borrower breached the loan agreement and is in default.

Examples of debts include delinquent taxes, audit disallowances, guaranteed and direct student loans, housing loans, farm loans, business loans, Department of Education institutional loans, benefit overpayments and other miscellaneous administrative debts.

### INSTRUCTIONS ON CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is any material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has

become erroneous by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended ineligible, lower tier-covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

### CERTIFICATION

(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 a 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.



## Instructions for Certification

1. By signing the NSF Proposal Cover Sheet, NSF Form 1207, and submitting this proposal, the grantee is providing the certifications set out below.
2. The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.

### Certification Regarding Drug-Free Workplace Requirements

#### Alternate I (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to 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 an ongoing drug-free awareness program to inform employees about —
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring 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 —
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace, no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction.  
Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted —
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) 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 paragraphs (a), (b), (c), (d), (e) and (f).

#### Alternate II (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

(For NSF, grantee notification should be made to the Cost Analysis/Audit Resolution Branch, Division of Contracts, Policy & Oversight, NSF, Arlington, VA 22230)

# TABLE OF CONTENTS

For font-size and page-formatting specifications, see GPG Section II.C.

Section	Total No. of Pages in Section	Page No.* (Optional)*
Cover Sheet (NSF Form 1207) (Submit Page 2 with original proposal only)	_____	_____
A Project Summary (not to exceed 1 page)	_____	_____
B Table of Contents (NSF Form 1359)	_____	_____
C Project Description (including Results from Prior NSF Support) (not to exceed 15 pages) <b>(Exceed only if allowed by a specific program announcement/solicitation or if approved in advance by the appropriate NSF Assistant Director or designee)</b>	_____	_____
D References Cited	_____	_____
E Biographical Sketches (Not to exceed 2 pages each)	_____	_____
F Budget (NSF Form 1030, plus up to 3 pages of budget justification)	_____	_____
G Current and Pending Support (NSF Form 1239)	_____	_____
H Facilities, Equipment and Other Resources (NSF Form 1363)	_____	_____
I Special Information/Supplementary Documentation	_____	_____
J Appendix (List below) <b>Include only if allowed by a specific program announcement/ solicitation or if approved in advance by the appropriate NSF Assistant Director or designee)</b>	_____	_____

Appendix Items:

\*Proposers may select any numbering mechanism for the proposal. The entire proposal, however, must be paginated. Complete both columns only if the proposal is numbered consecutively.





### SUMMARY PROPOSAL BUDGET

**FOR NSF USE ONLY**

ORGANIZATION				PROPOSAL NO.		DURATION (MONTHS)	
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR				AWARD NO.		Proposed	Granted
A. SENIOR PERSONNEL: PI/PD, Co-PIs, Faculty and Other Senior Associates List each separately with name and title. (A.7. Show number in brackets)				NSF-Funded Person-months		Funds Requested By Proposer	Funds Granted by NSF (If Different)
				CAL	ACAD	SUMR	
1.							\$
2.							
3.							
4.							
5.							
6. ( ) OTHERS (LIST INDIVIDUALLY ON BUDGET EXPLANATION PAGE)							
7. ( ) TOTAL SENIOR PERSONNEL (1-6)							
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)							
1. ( ) POSTDOCTORAL ASSOCIATES							
2. ( ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)							
3. ( ) GRADUATE STUDENTS							
4. ( ) UNDERGRADUATE STUDENTS							
5. ( ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)							
6. ( ) OTHER							
TOTAL SALARIES AND WAGES (A + B)							
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)							
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)							
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)							
TOTAL EQUIPMENT							
E. TRAVEL 1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)							
2. FOREIGN							
F. PARTICIPANT SUPPORT							
1. STIPENDS \$ _____							
2. TRAVEL _____							
3. SUBSISTENCE _____							
4. OTHER _____							
TOTAL NUMBER OF PARTICIPANTS ( )				TOTAL PARTICIPANT			
G. OTHER DIRECT COSTS							
1. MATERIALS AND SUPPLIES							
2. PUBLICATION/DOCUMENTATION/DISSEMINATION							
3. CONSULTANT SERVICES							
4. COMPUTER SERVICES							
5. SUBAWARDS							
6. OTHER							
TOTAL OTHER DIRECT COSTS							
H. TOTAL DIRECT COSTS (A THROUGH G)							
I. INDIRECT COSTS (F&A) (SPECIFY RATE AND BASE)							
TOTAL INDIRECT COSTS (F&A)							
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)							
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECT SEE GPG II.D.7.j.)							
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)						\$	\$
M. COST SHARING: PROPOSED LEVEL \$				AGREED LEVEL IF DIFFERENT: \$			
PI/PD TYPED NAME AND SIGNATURE*				DATE		<b>FOR NSF USE ONLY</b>	
ORG. REP. TYPED NAME & SIGNATURE*				DATE		INDIRECT COST RATE VERIFICATION	
						Date Checked	Date of Rate Sheet
						Initials-ORG	

# INSTRUCTIONS FOR USE OF SUMMARY PROPOSAL BUDGET (NSF FORM 1030)

## 1. General

- a. Each grant proposal, including requests for supplemental funding, must contain a Budget in this format unless a pertinent program announcement/solicitation specifically provides otherwise. A Budget need not be submitted for incremental funding unless the original grant letter did not indicate specific incremental funding or if adjustments to the planned increment exceeding the greater of 10% or \$10,000 are being requested.
- b. Copies of NSF Form 1030 and instructions may be reproduced locally.
- c. A separate form should be completed for each year of support requested. An additional form showing the cumulative budget for the full term requested should be completed for proposals requesting more than one year's support. Identify each year's request (e.g., "First year," or "Cumulative Budget," etc.) in the margin at the top right of the form.
- d. Completion of this summary does not eliminate the need to document and justify the amounts requested in each category. Such documentation should be provided on additional page(s) immediately following the budget in the proposal and should be identified by line item. The documentation page(s) should be titled "Budget Justification."
- e. If a revised budget is required by NSF, it must be signed and dated by the Authorized Organizational Representative and Principal Investigator and submitted in at least the original and two copies.

## 2. Budget Line Items

A full discussion of the budget and the allowability of selected items of cost is contained in the *Grant Proposal Guide* (GPG), *NSF Grant Policy Manual* (GPM) (NSF 95-26, periodically revised), and other NSF program announcements/solicitations. The following is a brief outline of budget documentation requirements by line item. (NOTE: All documentation or justification required on the line items below should be provided on the Budget Justification page(s).)

**A., B., and C. Salaries, Wages and Fringe Benefits (GPM 611).** See definitions in GPG Appendix C. List individually, all senior personnel who were grouped under Part A, the requested person-months to be funded, and rates of pay.

**D. Equipment (GPM 612).** Items exceeding \$5,000 and 1 year's useful life are defined as permanent equipment (unless lower thresholds are established by the organization). List item and dollar amount for each item. Justify.

**E. Travel (GPM 614 and GPM 760).** Address the type and extent of travel and its relation to the project. Itemize by destination and cost and justify travel outside the United States and its possessions, Puerto Rico, Canada and Mexico. Include dates of foreign visits or meetings. Air fares are limited to round trip, jet-economy rates.

**F. Participant Support (GPM 618).** Normally, participant support costs only may be requested for grants supporting conferences, workshops, symposia or training activities. Show number of participants in brackets. Consult GPG or specific program announcement/solicitation for additional information.

### G. Other Direct Costs.

1. Materials and Supplies (GPM 613). Indicate types required and estimate costs.
2. Publication, Documentation and Dissemination (GPM 617). Estimate costs of documenting, preparing, publishing, disseminating, and sharing research findings.
3. Consultant Services (GPM 616). Indicate name, daily compensation (limited to individual's normal rate or daily rate paid for Level IV of the Executive Schedule, whichever is less), and estimated days of service, and justify. Include travel costs, if any.
4. Computer Services (GPM 615). Include justification based on estimated computer service rates at the proposing institution. Purchase of equipment should be included under D.
5. Subawards (GPM 313). Also include a complete signed budget NSF Form 1030 for each subaward and justify details.
6. Other. Itemize and justify. Include computer equipment leasing and tuition remission. (GPG II.D.7.f and II.D.7.a.ii)

**I. Indirect Costs (GPM 630)** (Also known as Facilities and Administrative Costs for colleges and universities). Specify current rate(s) and base(s). Use current rate(s) negotiated with the cognizant Federal negotiating agency. See GPM for special policy regarding grants to individuals, travel grants, equipment grants, doctoral dissertation grants and grants involving participant support costs (GPM, Chapter VI).

**K. Residual Funds (GPG II.D.7.j).** This line is used only for budgets for incremental funding requests on continuing grants. Grantees should provide a rationale for residual funds in excess of 20% as part of the project report. (See GPG VII.G)

**L. Amount of Request.** Line L will be the same as Line J unless the Foundation disapproves the carryover of funds. If disapproved, Line L will equal J minus K.

**M. Cost Sharing (GPM 330).** Include any specific cost sharing amounts in excess of the minimum one percent required under unsolicited research proposals. Include the estimated value of any in-kind contributions. Discuss the source, nature, amount and availability of any proposed cost sharing on the Budget Justification page. If a proposal budget includes a specific cost sharing level, the identified cost sharing level is expected to be included as a requirement in the award.

**PROPOSERS MUST NOT ALTER OR REARRANGE THE COST CATEGORIES AS THEY APPEAR ON THIS FORM, WHICH HAS BEEN DESIGNED FOR COMPATIBILITY WITH DATA CAPTURE BY NSF'S MANAGEMENT INFORMATION SYSTEM. IMPROPER COMPLETION OF THIS FORM MAY RESULT IN RETURN OF PROPOSAL.**

## Current and Pending Support

(See GPG Section II.D.8 for guidance on information to include on this form.)

The following information should be provided for each investigator and other senior personnel. Failure to provide this information may delay consideration of this proposal.			
Investigator:	Other agencies (including NSF) to which this proposal has been/will be submit-		
Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support			
Project/Proposal Title:			
Source of Support:			
Total Award Amount: \$		Total Award Period Covered:	
Location of Project:			
Person-Months Per Year Committed to the Project.		Cal:	Acad:
		Sumr:	
Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support			
Project/Proposal Title:			
Source of Support:			
Total Award Amount: \$		Total Award Period Covered:	
Location of Project:			
Person-Months Per Year Committed to the Project.		Cal:	Acad:
		Sumr:	
Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support			
Project/Proposal Title:			
Source of Support:			
Total Award Amount: \$		Total Award Period Covered:	
Location of Project:			
Person-Months Per Year Committed to the Project.		Cal:	Acad:
		Sumr:	
Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support			
Project/Proposal Title:			
Source of Support:			
Total Award Amount: \$		Total Award Period Covered:	
Location of Project:			
Person-Months Per Year Committed to the Project.		Cal:	Acad:
		Sumr:	
*If this project has previously been funded by another agency, please list and furnish information for immediately preceding funding period.			



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## FACILITIES, EQUIPMENT & OTHER RESOURCES

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**FACILITIES:** Identify the facilities to be used at each performance site listed and, as appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Use "Other" to describe the facilities at any other performance sites listed and at sites for field studies. Use additional pages if necessary.

**Laboratory:**

**Clinical:**

**Animal:**

**Computer:**

**Office:**

**Other:** \_\_\_\_\_

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**MAJOR EQUIPMENT:** List the most important items available for this project and, as appropriate, identify the location and pertinent capabilities of each.

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**OTHER RESOURCES:** Provide any information describing the other resources available for the project. Identify support services such as consultant, secretarial, machine shop, and electronics shop, and the extent to which they will be available for the project. Include an explanation of any consortium/contractual/subaward arrangements with other organizations.



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## ABOUT THE NATIONAL SCIENCE FOUNDATION

NSF funds research and education in most fields of science and engineering. Grantees are wholly responsible for conducting their project activities and preparing the results for publication. Thus, the Foundation does not assume responsibility for such findings or their interpretation.

NSF welcomes proposals on behalf of all qualified scientists, engineers and educators. The Foundation strongly encourages women, minorities and persons with disabilities to participate fully in its programs. In accordance with Federal statutes, regulations and NSF policies, no person on grounds of race, color, age, sex, national origin or disability shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NSF (some programs may have special requirements that limit eligibility).

*Facilitation Awards for Scientists and Engineers with Disabilities* provide funding for special assistance or equipment to enable persons with disabilities to work on NSF-supported projects. (For more information, see Section V.G.)

The National Science Foundation has Telephonic Device for the Deaf (TDD) and Federal Information Relay Service (FIRS) capabilities that enable individuals with hearing impairments to communicate with the Foundation about NSF programs, employment or general information. TDD may be accessed at (703) 306-0090, FIRS at 1-800-877-8339.

We want all of our communications to be clear and understandable. If you have suggestions on how we can improve this document or other NSF publications, please email [plainlanguage@nsf.gov](mailto:plainlanguage@nsf.gov).

### PRIVACY ACT AND PUBLIC BURDEN STATEMENTS

The information requested on proposal forms and project reports is solicited under the authority of the National Science Foundation Act of 1950, as amended. The information on proposal forms will be used in connection with the selection of qualified proposals; and project reports submitted by awardees will be used for program evaluation and reporting within the Executive Branch and to Congress. The information requested may be disclosed to qualified reviewers and staff assistants as part of the proposal review process; to proposer institutions/grantees to provide or obtain data regarding the proposal review process, award decisions, or the administration of awards; to government contractors, experts, volunteers and researchers and educators as necessary to complete assigned work; to other government agencies needing information as part of the review process or in order to coordinate programs; and to another Federal agency, court or party in a court or Federal administrative proceeding if the government is a party. Information about Principal Investigators may be added to the Reviewer file and used to select potential candidates to serve as peer reviewers or advisory committee members. See Systems of Records, NSF-50, "Principal Investigator/Proposal File and Associated Records," 63 *Federal Register* 267 (January 5, 1998), and NSF-51, "Reviewer/Proposal File and Associated Records," 63 *Federal Register* 268 (January 5, 1998). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of receiving an award.

An agency may not conduct or sponsor, and a person is not required to respond to an information collection unless it displays a valid OMB control number. The OMB control number for this collection is 3145-0058. Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions. Send comments regarding the burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to:

Suzanne H. Plimpton  
Reports Clearance Officer  
Division of Administrative Services  
National Science Foundation  
Arlington, VA 22230

### YEAR 2000 REMINDER

In accordance with Important Notice No. 120 dated June 27, 1997, Subject: *Year 2000 Computer Problem*, NSF awardees are reminded of their responsibility to take appropriate actions to ensure that the activity being supported by NSF is not adversely affected by the Year 2000 problem. Potentially affected items include computer systems, databases, and equipment. The National Science Foundation should be notified if an awardee concludes that the Year 2000 will have a significant impact on its ability to carry out an NSF-funded activity. Information concerning Year 2000 activities can be found on the NSF Web site at: <http://www.nsf.gov/oirm/y2k/start.htm>.