



**NATIONAL SCIENCE FOUNDATION**  
**Arlington, Virginia 22230**

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# ***Proposal Forms Kit***

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**NSF 98-3**  
**October 1997**  
**(Replaces NSF 95-28)**



## 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/solicitations 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>1</sup>=Use of format required

<sup>2</sup>=Use of format optional

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

- ◆ NSF Form 1207, Cover Sheet for Proposal to the National Science Foundation<sup>1</sup>
- ◆ NSF Form 1359, Table of Contents<sup>1</sup>
- ◆ NSF Form 1030, Summary Proposal Budget<sup>1</sup>
- ◆ NSF Form 1239, Current and Pending Support<sup>2</sup>
- ◆ NSF Form 1363, Facilities, Equipment and Other Resources<sup>2</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 1207, Cover Sheet for Proposal to the National Science Foundation, Page 5
- ◆ NSF Form 1359, Table of Contents, Page 6
- ◆ NSF Form 1030, Summary Proposal Budget, Page 8
- ◆ NSF Form 1239, Current and Pending Support, Page 12
- ◆ NSF Form 1363, Facilities, Equipment and Other Resources, Page 12

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

- ◆ Project Summary, Page 6
- ◆ Project Description, Page 7
- ◆ References Cited, Page 8
- ◆ Biographical Sketch, Page 8

## 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 paragraph E of this section.

*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.

*FastLane*: The NSF FastLane Project is an experimental program utilizing advanced information technology to explore methods to redesign and streamline the way NSF does business with the research, education and related communities. The FastLane Project is available for proposal preparation, submission and for post-award administrative activities. The FastLane functions are accessed by using World Wide Web browsers that support file upload and forms capabilities (Netscape Navigator 3.0 or later). The FastLane home page is located at [www.fastlane.nsf.gov](http://www.fastlane.nsf.gov).

Access to proposal and post-award functions is limited to staff from NSF FastLane registered organizations and is secured through the use of Personal Identification numbers (PINs). To register an organization, authorized organization representatives must complete the registration form which can be accessed through the Registration Information hyperlink on the FastLane homepage. Once an organization is registered, PINs for individual staff are available from the organization's sponsored projects office. Detailed information about the FastLane project is available from the FastLane home page.

## E. WHEN TO SUBMIT PROPOSALS

Many NSF programs accept proposals any time. However, other programs 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 the *NSF Bulletin* and in specific program announcements and solicitations. They are also available electronically via the NSF home page.

Unless otherwise specified in a program announcement or solicitation, proposals must be received by the specified date. However, a proposal received after a deadline 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 receipt 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 receipt 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 I.F.

## F. HOW TO SUBMIT PROPOSALS

For standard proposals, electronic proposal submission via the NSF FastLane Project is the preferred method. Unless otherwise specified in a program announcement or solicitation, however, proposals may continue to be submitted in paper form.

A proposal only needs to be submitted once to NSF, even if review by multiple programs is envisioned by the proposer. 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 announcement or solicitation, the receipt date will be the date the sponsored projects office transmits the proposal to NSF. If the Project Description is submitted separately in paper form, it should accompany the signed NSF Form 1207 and the receipt date will be the date the Project Description and signed *Cover Sheet for Proposal to the National Science Foundation* are received by the NSF Proposal Processing Unit (or to the cognizant program office if so directed in a program announcement or solicitation.) In either case, 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/solicitation, proposers should enter the NSF Program(s), using Appendix A of this document as a guide, to which the proposal should be directed. NSF will determine which program(s) will evaluate each proposal.

Unless stated otherwise in a program announcement, 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/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 below address, weekdays, except Federal holidays, between the hours of 8:30 a.m. and 5:00 p.m. ET. Please contact the NSF Mail Room, (703) 306-0657, with any questions regarding the mailing or delivery of proposals.

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

ANNOUNCEMENT/SOLICITATION NO \_\_\_\_\_  
NATIONAL SCIENCE FOUNDATION PPU  
NSF PROGRAM \_\_\_\_\_  
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. Communications about the proposal should be addressed to the cognizant Program Officer with reference to the proposal number. Proposers are encouraged to use the NSF FastLane system described in GPG Section I.C. to verify the status of their submission to NSF.

## G. ADDITIONAL COPIES OF THIS PROPOSAL FORMS KIT

Additional copies of the NSF Proposal Forms Kit (NSF 98-3) or the GPG (NSF 98-2), which contains the Proposal Forms Kit, may be ordered from:

NSF Clearinghouse  
PO Box 218  
Jessup, MD 20794-0218

Telephone: 301-947-2722  
e-mail: pubs@nsf.gov

The NSF Proposal Forms Kit or the GPG may be obtained by accessing documents NSF 98-3 or NSF 98-2 electronically on the NSF home page via location <http://www.nsf.gov/>.

## INFORMATION ABOUT PRINCIPAL INVESTIGATORS/PROJECT DIRECTORS

Submit only ONE copy of this form with your proposal. Attach it on top of the cover page of the copy of your proposal that bears the original signatures. Leave the back of the page blank. *Do not include this form with any of the other copies of your proposal, as this may compromise the confidentiality of the information.*

Please check the appropriate answers to each question for all principal investigator(s)/project director(s) listed on the cover page, using the same order in which they were listed there:

	Principal Investigator/ Project Director	First Additional PI/PD	Second Additional PI/PD	Third Additional PI/PD	Fourth Additional PI/PD
1. Is this person					
Female	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Male	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is this person a					
U.S. Citizen	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Permanent Resident	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other non-U.S. Citizen	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Which one of these categories best describes this person's ethnic/racial status? (If more than one category applies, use the category that most closely reflects the person's recognition in the community.)					
American Indian or Alaskan Native	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asian	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Black, not of Hispanic Origin	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hispanic	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pacific Islander	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
White, not of Hispanic Origin	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does this person have a disability* which limits a major life activity?					
Yes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Check here if this person does not wish to provide some or all of the above information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Required: Check here if this person is currently serving (or has previously served) as PI, Co-PI or PD on any Federally funded project.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**AMERICAN INDIAN OR ALASKAN NATIVE:** A person having origins in any of the original peoples of North America and who maintains cultural identification through tribal affiliation or community recognition.

**ASIAN:** A person having origins in any of the original peoples of East Asia, Southeast Asia or the Indian subcontinent. This area includes, for example, China, India, Indonesia, Japan, Korea and Vietnam.

**BLACK, NOT OF HISPANIC ORIGIN:** A person having origins in any of the black racial groups of Africa.

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

**PACIFIC ISLANDER:** A person having origins in any of the original peoples of Hawaii; the U.S. Pacific territories of Guam, American Samoa, and the Northern Marianas; the U.S. Trust Territory of Palau; the islands of Micronesia and Melanesia; or the Philippines.

**WHITE, NOT OF HISPANIC ORIGIN:** A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

\*Disabled: A person having a physical or mental impairment that substantially limits one or more major life activities; who has a record of such impairment; or who is regarded as having such impairment.

### 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 the proposed principal investigators/project directors and co-principal investigators. To gather the information needed for this important task, you should submit a single copy of this form with each proposal; however, submission of the requested information is not mandatory and is not a precondition of award. Any individual not wishing to submit the information should check the box provided for this purpose. (The exception is information about previous Federal support, the last question above.)

Information from this form will be retained by Federal agencies as an integral part of their Privacy Act Systems of Records in accordance with the Privacy Act of 1974. These are confidential files accessible only to appropriate Federal agency personnel and will be treated as confidential to the extent permitted by law. Data submitted will be used in accordance with criteria established by the respective Federal agency for awarding grants for research and education, and in response to Public Law 99-383 and USC 1885c.

## 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 98-2					<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 OR <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 ZIP CODE			
AWARDEE ORGANIZATION CODE (IF KNOWN)						
NAME OF PERFORMING ORGANIZATION, IF DIFFERENT FROM ABOVE			ADDRESS OF PERFORMING ORGANIZATION, IF DIFFERENT, INCLUDING 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) months			REQUESTED STARTING DATE		
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 II.D.10)		<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)						
<input type="checkbox"/> GROUP PROPOSAL (GPG II.D.12)						
PI/PD DEPARTMENT		PI/PD POSTAL ADDRESS				
PI/PD FAX NUMBER						
NAMES (TYPED)		Social Security No.*	High Degree, Yr	Telephone Number	Electronic Mail Address	
PI/PD NAME						
CO-PI/PD						
CO-PI/PD						
CO-PI/PD						
CO-PI/PD						
<b>NOTE: THE FULLY SIGNED CERTIFICATION PAGE MUST BE SUBMITTED IMMEDIATELY FOLLOWING THIS COVER SHEET</b>						
*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.						

## 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 progress reports if an award is made as a result of this application.

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	Date
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, drugfree workplace, and lobbying activities (see below), as set forth in the *Grant Proposal Guide (GPG)*, NSF 98-2. 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 which 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

## 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. 10/97)) submitted with each proposal. Instructions for the two certifications are below:

### INSTRUCTIONS ON CERTIFICATION OF NON-DELINQUENCY 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 transaction 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 application or grant agreement, 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)

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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>		
<input type="checkbox"/> Please check if Results from Prior NSF Support already have been reported to NSF via the NSF FastLane System, and list the Award Number for that Project	NSF Award No.	
D References Cited		
E Biographical Sketches (Not to exceed 2 pages each)		
F Summary Proposal Budget (NSF Form 1030, including 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, however, the entire proposal must be paginated. Complete both columns only if the proposal is numbered consecutively.

**SUMMARY  
PROPOSAL BUDGET**

ORGANIZATION				FOR NSF USE ONLY				
				PROPOSAL NO.	DURATION (MONTHS)			
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR				AWARD NO.	Proposed	Granted		
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. Show number in brackets)				NSF-Funded Person-months			Funds Requested By Proposer	Funds Granted by NSF (If Different)
				CAL	ACA	SUMR	\$	\$
1.								
2.								
3.								
4.								
5.								
6. ( ) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)								
7. ( ) TOTAL SENIOR PERSONNEL (1-6)								
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)								
1. ( ) POST DOCTORAL 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 COSTS								
1. STIPENDS \$ _____								
2. TRAVEL _____								
3. SUBSISTENCE _____								
4. OTHER _____								
( ) TOTAL PARTICIPANT COSTS								
G. OTHER DIRECT COSTS								
1. MATERIALS AND SUPPLIES								
2. PUBLICATION COSTS/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		FOR NSF USE ONLY		
						INDIRECT COST RATE VERIFICATION		
ORG. REP. TYPED NAME & SIGNATURE*				DATE		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 Summary Proposal Budget in this format unless a pertinent program announcement/solicitation specifically provides otherwise. A Summary Proposal 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 Page."

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, 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, 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).** 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 (including consultant 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. Fare allowances are limited to round trip, jet-economy rates.

**F. Participant Support (GPM 618).** Normally, participant support costs may only be requested for grants supporting conferences, workshops or symposia. 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.

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 budget NSF Form 1030 for each subaward and justify details.

6. Other. Itemize and justify. Include computer equipment leasing.

**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 progress report. (See NSF Form 1328.)

**L.** Item L will be the same as Item J unless the Foundation disapproved the carryover of funds. If disapproved, Item 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.**



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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.

## NSF PUBLICATIONS OF GENERAL INTEREST

*NSF Bulletin*  
*Catalogue of National Science Foundation Publications*  
*Guide to Programs*  
*Frontiers* (monthly newsletter, except August)

**Single copies** of these and other publications (except the *NSF Grant Policy Manual*) are available from the NSF Clearinghouse, PO Box 218, Jessup, MD 20794-0218, telephone 301-947-2722, e-mail pubs@nsf.gov. The *Grant Policy Manual* (NSF 95-26) is obtainable **is available for a fee** from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. GPO subscription prices and terms are subject to change without notice. The NSF documents referenced above, may also be accessed electronically. (See inside cover.)

The Foundation provides awards for research in the sciences 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.

*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. See the program announcement or contact the program coordinator at (703) 306-1636.

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 regarding NSF programs, employment or general information. To access TDD phone (703) 306-0090; FIRS 1-800-877-8339.

### **PRIVACY ACT AND PUBLIC BURDEN**

#### 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; 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 application review process; to applicant institutions/grantees to provide or obtain data regarding the application review process, award decisions, or the administration of awards; to government contractors, experts, volunteers and researchers 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 NSF reviewers or advisory committee members. See Systems of Records, NSF-50, "Principal Investigator/Proposal File and Associated Records," 60 *Federal Register* 4449 (January 23, 1995), and NSF-51, "Reviewer/Proposal File and Associated Records," 59 *Federal Register* 8031 (February 17, 1994). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of your receiving an award.

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 this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to:

Gail McHenry  
Reports Clearance Officer  
Division of Administrative Services  
National Science Foundation  
Arlington, VA 22230