

**Appendix A:
Budget Summary**



BUDGET SUMMARY (Example)

From _____ To _____ (Performance Period)

Proposed Project Cost

	A: Total Project Cost	B: Company/University Contribution	C: NASA Contribution
Direct Labor: (salaries, wages, fringe benefits)	\$6.00	\$4.00	\$2.00
Other Direct Costs: Subcontracts Consultants Cost of Equipment use Supplies/consumables Materials Travel Other (describe) Other Other	 \$4.00 \$1.00 \$2.00 \$1.00	 \$2.00 \$1.00 \$1.00	 \$2.00 \$1.00 \$1.00
Facilities & Administrative Overhead Costs:	\$1.00	\$1.00	\$0.00
Other Applicable Costs (describe): A. Example: B. Cash contributions from NASA to company/university (e.g., Grad student tuition Company labor)	 \$2.00	 \$0.00	 \$2.00
SUBTOTAL – Estimated Costs:	\$17.00	\$9.00	\$8.00
TOTAL BUDGET:	\$17.00	\$9.00	\$8.00

Instructions

1. Provide a completed budget summary sheet for the Project performance period.
2. Recipient's total estimated project costs should be entered in Column A. Columns B shall reflect the amount of the project cost to be contributed by the company/university and Column C shall reflect the amount of the cost to be contributed by NASA.
3. Provide as attachments detailed computations of estimates in each cost category with narratives required to fully explain proposed costs. See page, A-2, Appendix A

NOTICE: INFORMATION CONTAINED ON THIS FORM IS NOT TO BE RELEASED OUTSIDE OF THE GOVERNMENT WITHOUT THE EXPRESS WRITTEN CONSENT OF THE RECIPIENT.

**Appendix A:
Budget Summary, Continued**

SPECIFIC COSTS

1. Direct Labor (salaries, wages, and fringe benefits): Attachments shall list number and titles of personnel, amounts of time to be devoted to the grant, and rates of pay.
2. Other Direct Costs:
 - a. Subcontracts: Attachments shall describe the work to be subcontracted, estimated amount, offeror (if known), and the reason for subcontracting.
 - b. Consultants: Identify consultants to be used, why they are necessary, the time they will spend on the project, and rates of pay.
 - c. Equipment: List separately. Explain the need for items costing more than \$5,000, unless a lower threshold has been established by your institution for classifying such purchases as equipment. Describe the basis for estimated cost. General purpose equipment is not allowable as a direct cost unless specifically approved by the grant officer. Any equipment purchase requested to be made as a direct charge under this grant shall include the equipment description, how it will be used in the conduct of the basic research proposed, why it cannot be purchased with indirect funds, and a statement certifying that the equipment will be used exclusively for research and not for general business or administrative purposes.
 - d. Supplies/materials: Provide the general description of needed supplies or materials, the method of acquisition and the estimated cost.
 - e. Travel: Describe the purpose of the proposed travel in relation to the agreement and provide the basis of the estimate, including information on destination and number of travelers where known.
 - f. Other: Enter the total of direct costs not covered by 2a through 2e. Attach an itemized list explaining the need for each item and the basis for the estimate.
3. Facilities and Administrative (F&A) Costs: Identify F&A cost rate(s) and base(s) including the effective period of the rate.
4. Other Applicable Costs: Enter total, explaining the need for each item.
 - a) If applicable, include any NASA cash contributions to the partner. Describe the items and associated costs covered by the cash contribution.

**Appendix B:
Example of Milestone Costing Schedule**

Required if NASA is providing a direct cash resource contribution of the Offeror

Milestones	Date or *Time (end of)	NASA funding to Offeror (\$)
A. Kickoff meeting	1 week	2,000
B. Preliminary Design	5 weeks	7,000
C. Materials Procurement	9 weeks	5,000
D. Fabrication of Prototype I	15 weeks	15,000
E. Testing of Prototype, I	22 weeks	8,000
F. Modification and Fabrication of Prototype II	29 weeks	10,000
G. Closeout Briefing, Delivery of Prototype II and all final reporting requirements	39 weeks	5,000
Total NASA Funding		\$52,000

*-Time, in weeks, from effective date of agreement.

Example

Appendix C:
Cooperative Agreement Collaboration Statement

The Cooperative Agreement Collaboration Statement is a mutually agreed-upon list which summarizes the project responsibilities and contributions of both parties. The Offeror is expected to provide the description of the NASA responsibilities and contributions as well as their own. This Collaboration Statement will be included as a part of the final cooperative agreement content. The Collaboration Statement shall include the following:

Cooperative Agreement Collaboration Statement

Project Title: Project Name

Project Objective: Provide a concise summary description of the objective(s) of the project.

NASA/GSFC shall be responsible for the following contributions to the joint activity:

1. Numerically list NASA/GSFC's significant responsibilities/contributions for the project.
- 2.

(Name of Offeror organization) shall be responsible for the following contributions to the joint activity:

1. Numerically list the Offeror organization's significant responsibilities/contributions for the project.
- 2.

Where relevant, Tasks listed should include a reference to the corresponding Technical Schedule/Milestone(s).

See Page C-2 for an example of the Collaboration Statement.

Appendix C:
Cooperative Agreement Collaboration Statement
Example

Project Title: “The Design, Development, and Test of XYZ Prototype”

Project Objective: The primary object of the project is to design, develop, and test a prototype unit. The performance test results of the developed XYZ prototype will be analyzed against performance objectives, and the analysis results and conclusions shall be provided in a closeout briefing.

NASA MSFC shall be responsible for the following contributions to the joint activity:

1. GSFC will provide engineering consultation and support to (Offeror name) for the development efforts for the XYZ Prototype unit
2. GSFC will provide sample materials to (Offeror name) for prototype development NLT Milestone C of the technical Schedule
3. GSFC will develop the prototype test plans and test procedures 1week s prior to the test start date.
4. GSFC will perform the testing of the developed prototype using the GSFC XXXX & YYYY test facilities. Testing will be complete at Milestone E.
5. GSFC will...

(Offeror name) shall be responsible for the following contributions to the joint activity:

1. (Offeror name) will design and build the XYZ prototype during Technical Schedule Milestones B-D.
2. (Offeror name) will work with MSFC to develop the prototype test plans and test procedures, and will observe the MSFC testing of the XYZ prototype (Milestone E)
3. (Offeror name) will perform the data analysis on the performance test results within 2 weeks after test completion.
4. (Offeror name) will ...
5. (Offeror name) will provide a final report detailing the XYZ prototype development and the results of the performance test at Milestone G

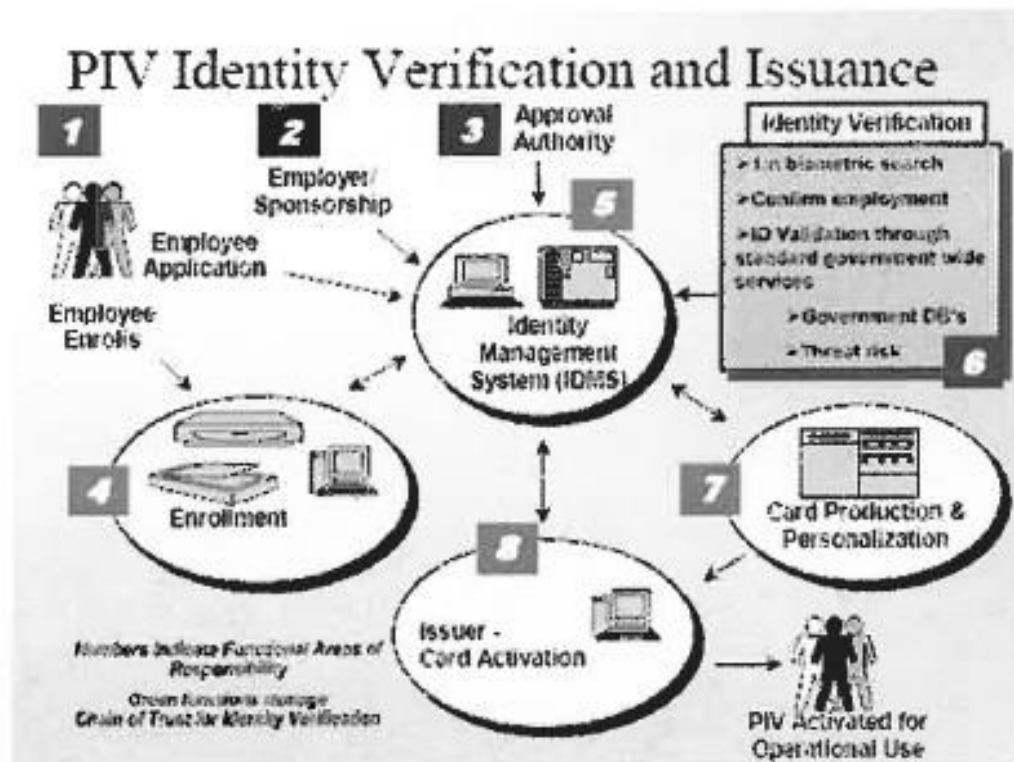
Appendix D:
Enclosure to GIC 06-02

PERSONAL IDENTITY VERIFICATION (PIV) PROCEDURES

PIV Card Issuance Procedures (in accordance with FAR Clause 52.204-9, *Personal Identity Verification of Contractor Personnel*):

Overview

The NASA Identity Management and Credential Management Processes are designed to conform to the system-based model for identity proofing, registration and issuance process that is described in NIST FIPS 201-1 and is represented diagrammatically in that document via the figure below:



Chain of Trust

A chain of trust is followed which simultaneously captures the biometrics, photograph, identity source documents, and background investigation of the applicant, and can be tied to the identity of that applicant at any point in the identity management process.

The credential is released to the applicant only after completion of the chain of trust by verifying that the biometric information contained on the credential matches the applicant.

NASA Credential Types

NASA uses both PIV credentials and non-PIV credentials. Access is granted via NASA PIV Credentials. NASA PIV Credentials allow physical only, logical only, and both physical and logical access to resources at NASA. Each NASA credential is linked to an established identity and shall go through the appropriate issuance steps as outlined in this chapter. See NPR 2810.1, Security of Information Technology for policy and procedures regarding NASA non-PIV credentials that allow access to only logical systems. NASA visitor badges are NASA non-PIV badges which allow only physical access to NASA Centers. For short-term visitors, Centers are authorized to issue Center-specific badges (i.e. NASA non-PIV badges) for physical access to that Center based on a risk-based determination documented as part of the permanent record.

NASA PIV credentials shall be issued to all persons who have been deemed as needing access to NASA Centers, Facilities, and IT systems and resources for a period exceeding 179 days in a 365-day period. These persons include all NASA employees, all NASA contractors, agreement partners, as well as non-NASA tenants in NASA facilities. NASA PIV credentials will be issued to both U.S. citizens and foreign nationals. NASA PIV credentials will be issued following the complete identity-proofing, registration, and issuance processes defined in this document for the management of identities of all new and current employees, contractors, and affiliates including foreign nationals. NASA PIV credentials will be issued only after completion of a Federal Bureau of Investigation (FBI) fingerprint check and submission of a background investigation which will be a National Agency Check with inquiries (NACI) background investigation at a minimum. NASA PIV credentials will have an expiration date set for a period not to exceed 5 years from the Card Production Request (CPR) generation date. NASA PIV credentials will not be issued to individuals holding a federal PIV credential issued by another federal entity or to individuals holding a PIV-I credential issued by an organization whose PIV-I credentials conform to the federal PIV-I standard. Exceptions to this policy may be made only when the exception has been formally documented and approved. The exception request will specifically explain why a non-NASA credential is not usable in the NASA Identity Credential and Access Management (ICAM) services.

Any person (i.e., NASA employee, NASA contract personnel, non-NASA tenant, or other category of individuals such as volunteers, guest researchers, interns, grantees, etc.) who will be affiliated with NASA and its Centers or Facilities for a period of less than 180 days shall be issued a NASA non-PIV badge (i.e., a NASA temporary badge). The 180-day period begins the first day of affiliation and ends 180 calendar days later regardless of the work schedule. If an individual's affiliation extends for 180 days in a 365-day period, the individual will be issued a NASA PIV credential if the individual is a NASA employee (either a civil servant or a federal contractor employee). All other individuals (volunteers, construction workers, guest researchers, interns, grantees, etc.) determined to need intermittent access with no IT access may be exempted from the 180-day limit on use of a NASA non-PIV badge consistent with risk-based assessments by Center Chief of Security/Center Protective Services (CCS/CPS). Issuance of NASA non-PIV badges requires at minimum a favorable adjudication of a National Crime Information Center (NCIC) name query and completion of steps 1-4: On-Site Enrollment and Issuance Procedures. Escort requirements for individuals with a NASA non-PIV badge will be based on risk-determination by the CCS.

NASA visitor badges shall be issued to individuals requiring access to a NASA Center for a period less than 30 days in any single visit and not more than a cumulative total of 29 days in a 365-day period. Individuals needing access for 30 days or more will be issued a NASA Non-PIV Temporary badge. Issuance of NASA visitor badges requires completion of below steps 1-3: Enrollment and Issuance, and will include capture of the visitor's photograph below Step 4: Enrollment Process. Visitors requiring access to a NASA Center for more than 5 days will undergo a minimum of a National Crime Information Center name query prior to receiving a visitor badge. Escort requirements for individuals with visitor badges will be based on risk-determination by the Center Chief of Security.

NASA Center-specific badges shall be issued to accommodate unique situations of the Center not otherwise accommodated by NASA PIV credentials, and NASA visitor badges. All NASA Center-specific badge templates will have the approval of the Agency Identity Management Official prior to their creation and utilization. NASA Center-specific badges will be issued upon completion of a favorable adjudication of a National Crime Information Center (NCIC) name query. This is a minimum requirement and additional security measures may be employed at the discretion of the CCS/CPS. Issuance of these badges will be based on a risk-based access determination by the Center Chief of Security. NASA Center-specific badges may be issued to individuals who hold a PIV credential issued by another federal government agency or department if their current non-NASA PIV credential does not work at the NASA Center. This may include contractors from another NASA Center in the event that electronic verification of a need to be on the NASA Center is not available at a point of entry. Issuance of NASA Center-specific badges requires completion of below steps 1-3: On-Site Enrollment and Issuance Procedures, verification of a favorably adjudicated investigation, and capture of the individual's photograph, below Step 4: Enrollment Process.

Logical access credentials and their usage are addressed by NPR 2810.1, *Security of Information Technology*, and include but are not limited to username and password, RSA tokens, digital certificates.

Applicant Types

NASA employees are Federal civil servants employed and paid by NASA. NASA Employees also includes individuals employed and paid by another entity but working for NASA under an Intergovernmental Personnel Act (IPA) agreement. NASA Employees include all Non-Appropriated Funds Instrumentality (NAFI) Employees. These employees shall be issued a Civil Servant badge with the affiliation of NAFI.

NASA contractors are individuals working under contract with the responsibility to perform activities for NASA. NASA grantees are individuals who are working under grant and performing activities for and/or at NASA Centers and Facilities. Detailees are either Federal employees from other-Federal Agencies, or U. S. military personnel, or non-Federal employees working at NASA through an Intergovernmental Personnel Act (IPA) assignment. Any badges issued to a detailee shall be designated with an affiliation of "NASA" and will appear as a federal employee badge. The Center PIF Manager will coordinate with the Center Human Resources Office (HRO) to validate investigative and suitability results for detailees from other-agency partners. Government employees from other departments and agencies who do not have

a PIV credential issued by their Agency or Department, and require identity verification and access at NASA, may be issued a NASA PIV credential or NASA temporary badge by NASA.

International Partners are individuals, working for agencies or organizations of foreign governments, foreign education institutions, foreign companies, or international organizations, engaged in a program of international cooperation in work done pursuant to a Space Act Agreement as defined by NPD 1050.1, *Authority To Enter Into Space Act Agreements*. A signed international agreement shall first be in effect for international partners to receive a foreign national NASA PIV credential.

Tenants are individuals who require physical access to a NASA facility but do not work directly for NASA. There may or may not be a "Formal" agreement associated with a tenant (example: Credit Union). The tenant may require logical access to certain NASA applications. A tenant may work for another government agency as either a civil servant or contractor and may have a PIV badge from this other agency. Tenants include those entities and their contractors and employees under Economy Act, Space Act, Commercial Space Competitiveness Act (CSCA) or Commercial Space Launch Act (CSLA) agreements are those individuals needing physical or logical access based on the above authorities. The tenant may work for a company that is leasing space on a NASA facility but does not work on a NASA-related project.

Transients are individuals (i.e., construction workers, club members, childcare drop off/pickup, delivery drivers, retirees, Center transits, and others approved by Center Chiefs of Protective Services/Security) who requires intermittent access for 180 days or more. Transients shall be issued Center-specific badge.

On-Site Enrollment and Issuance Procedures for NASA Credentials

Step 1:

Credential Request - A requester completes a credential request within IdMAX for an applicant. The requester submits the request to the sponsor via IdMAX. The information submitted includes the following:

- a. Name of the applicant;
- b. Date of Birth of the applicant;
- c. Position of the applicant;
- d. Contact information for the applicant;
- e. Name of the requester;
- f. Organization of the requester; and
- g. Contact information for the requester.

Step 2:

Sponsorship - The sponsor validates the receipt of the request from the requester. The sponsor reviews the data in the request. The sponsor reviews the Position Risk Determination. The sponsor approves or denies the request, establishing the need for a relationship between the applicant and NASA, and the applicant's need for a PIV credential

Step 3:

Check for Background Investigation or database checks - The authorizer or Investigation Reviewer validates the receipt of the request from the sponsor. The authorizer and supporting staff review the Office of Personnel Management (OPM) and other federal databases and take appropriate steps to validate the applicant's investigation status with regard to a current investigation.

If the applicant has an investigation on file or in progress that meets the investigative and reciprocity requirements, the authorizer submits the request to the Enrollment Official and the applicant proceeds to enrollment, Step 4: Enrollment Process, for capture of enrollment data with flat fingerprints.

If no investigation is on file or in progress, the authorizer coordinates initiation of an invitation in the OPM e-QIP for the applicant to complete the appropriate background investigation form and authorizes the Enrollment Official to obtain the applicant's flat and rolled fingerprints, I-9 documents, and photograph.

If the applicant is requesting a non-PIV badge then the authorizer or designee conducts the appropriate database check.

Step 4:

Enrollment Process - The Enrollment Official validates the receipt of the request from the authorizer. The sponsor advises the applicant that they will appear in-person before the Enrollment Official and present two forms of identity source documents in original form. The applicant appears in-person before the authorized Enrollment Official and presents two forms of identity source documents in original form per Form I-9, one of which will be a Federal or state issued picture identification. The Enrollment Official inspects the source document for authenticity and validates the source document through visual or electronic scrutiny and, when necessary, with the authority or entity which issued it.

Enrollment fingerprints - The applicant's fingerprints are captured. If the applicant currently has a favorable background investigation on file or in progress, only flat fingerprints are required to be captured. If no background investigation is on file or in progress, both flat and rolled fingerprints are required to be captured. In cases where there is difficulty in collecting fingerprints due to damage, injury or deformity, NASA shall perform authentication using asymmetric cryptography for authentication. The facial image collected from the applicant during enrollment can also be used for authenticating badge recipients covered under Section 508 of the Rehabilitation Act.

Enrollment Photograph - The applicant's photograph is captured which will include the entire face, from natural hairline to the chin, and may not be obscured by dark glasses, coverings, etc. The facial expression shall be neutral (non-smiling) with a closed mouth. Eye patches that do not obscure an excessive portion of the face need not be removed. Individuals with temporary eye patches should be issued a temporary badge until such time as the patch is no longer necessary and an un-obscured full-facial photograph can be captured. Waivers for religious reasons may be obtained by written application to the AA for Protective Services who may refer the matter for a recommendation to a NASA Headquarters Access Appeals Panel.

Enrollment I-9 Documentation - The Enrollment Official obtains and maintains a legible photocopy or scan copy of the original I-9 documentation. Any document that appears invalid (e.g., absence of security hologram, or other known security features, on a State issued driver's license; security features on a birth certificate or passport; smeared ink, etc.) is to be rejected by the Enrollment Official and reported to the proper authority for review. Photocopies of rejected documents are to be made and retained for a period not to exceed one year, or until any appeal process is completed. I-9 documents that do not pass electronic examination, if available, are rejected and another approved I-9 document will be obtained and subjected to electronic scrutiny. In the event the applicant is required to provide documentation to resolve discrepancies or omissions in data collected, the Enrollment Official shall review the information with the applicant as necessary. The information submitted by the applicant will be used to update the applicant identity record.

Enrollment Subscriber Agreement - The Enrollment Official shall provide the applicant with the Subscriber Agreement and obtains an electronic signature of the applicant attesting to their reading and acceptance of the Subscriber Agreement.

Step 5:

Adjudication Process - If no investigation is on file or in progress, the fingerprints captured during enrollment shall be submitted to OPM with a request for a background investigation. The authorizer receives the results of the fingerprint check. If the fingerprint check comes back with a status of unclassifiable, the Center will use the results of a NCIC to process the PIV credential request. The authorizer makes a determination based upon receipt of the fingerprint check results, or evidence of an acceptable existing background investigation in Step 3: Check for Background Investigation, if the applicant is eligible to receive a PIV credential. If the adjudication of the available background investigation is favorable, the authorizer submits a PIV credential issuance request to authorize the creation and issuance of a PIV credential. In instances where a badge is to be issued, the authorizer notifies the sponsor and requester that the badge issuance has been authorized. Final adjudication of the record is performed in compliance with NASA personnel security policies.

Step 6:

Badge Production Process - The PIV Authorizer submits a request for badge printing if the badge is to be printed remotely at a commercial facility or a shared service provider. The necessary information is included in a batch card creation request. The initialized and printed badges are returned to NASA and forwarded to the appropriate Issuance Officials where the credentials shall be held in a secure location. If the badge is to be produced locally, the Issuance Official

prints the identity information onto the card and compares the photo to the identity database. The badge will be encoded with the identity and biometric data of the applicant. The encoded badge will be tested. The applicant will be notified when the badge has been successfully encoded.

Step 7:

Issuance Process - The applicant appears before the Issuance Official, who establishes whether the badge was printed in a batch job, previously printed on-site, or is to be printed on-site: If printed in a batch job or previously printed on-site, the Issuance Official obtains the card stock from storage. If the badge is to be printed on-site, the Issuance Official obtains a blank badge from storage, verifies the identity of the applicant against the database, and prints the badge. The Issuance Official checks the printed badge to verify the identity of the applicant, conducts a biometric match and encodes the badge with an applicant entered PIN number. Upon completion of the badge printing and encoding, the badge is officially released to the applicant. An approved electronically shielded badge holder shall be offered to the applicant in order to protect the badge and the privacy of information on the badge.

Appendix E:
Certifications, Assurances, and Representations

Certifications, Assurances, and Representations

Certification of Compliance on Proposal Cover Page

By submitting the proposal identified in the Cover Sheet/Proposal Summary in response to this CAN, the Authorizing Official of the proposing organization as identified below:

- certifies that the statements made in this proposal are true and complete to the best of his/her knowledge;
- agrees to accept the obligation to comply with NASA award terms and conditions if an award is made as a result of this proposal; and
- confirms compliance with all applicable provisions, rules, and stipulations set forth in the Certifications, Assurances, and Representations contained in this NRA or CAN. Willful provision of false information in this proposal and/or its supporting documents, or in reports required under an ensuing award, is a criminal offense (U.S. Code, Title 18, Section 1001).

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

- “The Organization, corporation, firm, or other organization on whose behalf this assurance is made, hereinafter called “Applicant,”
- “HEREBY acknowledges and agrees that it must comply (and require any subgrantees, contractors, successors, transferees, and assignees to comply) with applicable provisions of national laws and policies prohibiting discrimination, including but not limited to:
- Title VI of the Civil Rights Act of 1964, as amended, which prohibits recipients of federal financial assistance from discriminating on the basis of race, color, or national origin (42 U.S.C. 2000d et seq.), as implemented by NASA Title VI regulations, 14 C.F.R. Part 1250.
- As clarified by Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI, the Applicant must take reasonable steps to ensure that LEP persons have meaningful access to its programs in accordance with NASA Title VI LEP Guidance to Grant Recipients (68 Fed. Reg. 70039). Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. The Applicant is encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities. Assistance and information regarding LEP obligations may be found at <http://www.lep.gov>.
- Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in education programs or activities (20 U.S.C. 1681 et seq.) as implemented by NASA Title IX regulations, 14 C.F.R. Part 1253. If the Applicant is an educational institution:
- The Applicant is required to designate at least one employee to serve as its Title IX coordinator (14 C.F.R. § 1253.135(a)).
- The Applicant is required to notify all of its program beneficiaries of the name, office, address, and telephone number of the employee(s) designated to serve as the Title IX coordinators. (14 C.F.R. §1253.135(a)).
- The Applicant is required to publish internal grievance procedures to promptly and equitably resolve complaints alleging illegal discrimination in its programs or activities (14 C.F.R. §1253.135(b)).

- The Applicant is required to take specific steps to regularly and consistently notify program beneficiaries that The Applicant does not discriminate in the operation of its programs and activities. (14 C.F.R. §1253.140).
- Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits The Applicant from discriminating on the basis of disability (29 U.S.C. 794) as implemented by NASA Section 504 regulations, 14 C.F.R. Part 1251.
 - a. The Applicant is required to designate at least one employee to serve as its Section 504 coordinator (14 C.F.R. §1251.106(a)).
 - b. The Applicant is required to notify all its program beneficiaries of the name, office, address, and telephone number of the employee(s) designated to serve as the Section 504 coordinator (14 C.F.R. §1251.106(a)).
 - c. The Applicant is required to publish internal grievance procedures to promptly and equitably resolve complaints alleging illegal discrimination in its programs or activities (14 C.F.R. §1251.106(b)).
 - d. The Applicant is required to take specific steps to regularly and consistently notify program beneficiaries that the Applicant does not discriminate in the operation of its programs and activities. (14 C.F.R. §1251.107).
- The Age Discrimination Act of 1975, as amended, which prohibits the Applicant from discriminating on the basis of age (42 U.S.C. 6101 et seq.) as implemented by NASA Age Discrimination Act regulations, 14 C.F.R. Part 1252.

The Applicant also acknowledges and agrees that it must cooperate with any compliance review or complaint investigation conducted by NASA and comply (and require any subgrantees, contractors, successors, transferees, and assignees to comply) with applicable provisions governing NASA access to records, accounts, documents, information, facilities, and staff. The Applicant must keep such records and submit to the responsible NASA official or designee timely, complete, and accurate compliance reports at such times, and in such form and containing such information, as the responsible NASA official or his designee may determine to be necessary to ascertain whether the Applicant has complied or is complying with relevant obligations and must immediately take any measure determined necessary to effectuate this agreement. The Applicant must comply with all other reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.

The United States shall have the right to seek judicial enforcement of these obligations. This assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign on behalf of the Applicant.”

Under penalty of perjury, the undersigned officials certify that they have read and understand their obligations as herein described, that the information submitted in conjunction with this document is accurate and complete, and that the recipient is in compliance with the nondiscrimination requirements set out above.

Certification Regarding Lobbying

“No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

“If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

“The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

“Pursuant to Executive Order 12549, Debarment and Suspension, and implemented at 2 CFR Parts 180 and 1880:

- (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.”

Assurance and Representation on China Restrictions

By submission of its proposal, the proposer represents that the proposer is not China or a Chinese-owned company, and that the proposer will not participate, collaborate, or coordinate bilaterally with China or any Chinese-owned company, at the prime recipient level or at any subrecipient level, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.

Certification of Tax Compliance

For awards exceeding \$5 million, proposer certifies it has filed the Federal tax returns required during the three years preceding this certification, has not been convicted of a criminal offense under the Internal revenue Code of 1986, and has not, more than 90 days prior to certification, been notified of any unpaid Federal tax assessment for which the liability remains unsatisfied, unless the assessment is the subject of an installment

agreement or offer in compromise that has been approved by the Internal Revenue Service and is not in default, or the assessment is the subject of a non-frivolous administrative or judicial proceeding.

Representation Regarding Corporate Felony Convictions

If a corporation, the prospective recipient represents that it has not been convicted, or had an officer or agent acting on behalf of the corporation convicted, of a felony criminal violation under a Federal law within the preceding 24 months.

Representation Regarding Unpaid Corporate Tax Liabilities

If a corporation, the prospective recipient represents that it has no unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; unless an agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government.

Representation Regarding Restrictions on Reporting Waste, Fraud, and Abuse

The prospective recipient represents that it does not and will not require employees or its contractors—who seek to report fraud, waste, or abuse—to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a federal department or agency authorized to receive such information.

Note: Procurement personnel may obtain updates at time of award if needed. Procurement personnel will also obtain any outdated certifications needed on an annual basis (e.g., at time of annual funding).

