

PROFILE AND CERTIFICATIONS

Must accompany Center for the Advancement of Science in Space (CASIS) Proposal Submissions

Proposed Project Title:		
Principal Investigator (PI):		
Proposing Organization Legal Name:		
Proposing Organization Type: <input type="checkbox"/> Commercial <input type="checkbox"/> Academic <input type="checkbox"/> Government <input type="checkbox"/> Nonprofit		
Proposing Organization Size: <input type="checkbox"/> < 100 employees <input type="checkbox"/> < 500 employees <input type="checkbox"/> > 500 employees		
State of Incorporation (if applicable):		
Physical Address:		Mailing Address:
Web Address:		
DUNS Number:		CAGE Code:
Technical Contact Name:	Telephone:	Email:
Contracting Contact Name:	Telephone:	Email:

Please provide answers to all questions below regardless of whether or not the accompanying proposal is seeking funding from the Center for the Advancement of Science in Space (CASIS).

"U.S. Person" Status

Both the principal investigator (PI) and proposing organization qualify as "U.S. Persons" under 22 U.S. Code §6010.

YES ☐ NO ☐

Research Misconduct Policies

The proposing organization has established policies governing scientific or research misconduct compliant with 42 C.F.R. part 93, "Public Health Service Policies on Research Misconduct."

YES ☐ NO ☐

All "YES" answers to the following questions must be explained on a separate page submitted with this questionnaire.

Ethics and Research/Data Integrity

Prior Violations

Indicate whether the PI has been accused or convicted of engaging in any ethics violations, or research or data integrity violations, including any instances of fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

YES ☐ NO ☐

Terminations

Indicate whether the PI or proposing organization have, in the past five years, had any federal grant, cooperative agreement, subaward, or federal contract or subcontract terminated for cause or default.

YES ☐ NO ☐

Regulatory Compliance

Non-Delinquency on Federal Debt

The Federal Debt Collection Procedure Act, 28 U.S.C. 3201(e), provides that an organization or individual that is indebted to the U.S., and has a judgment lien filed against it, is ineligible to receive a federal grant. Indicate whether the proposing organization is delinquent in repaying any federal debt.

YES ☐ NO ☐

Prior Regulatory Violations

Indicate whether the PI or the proposing organization has, in the past five years, been accused or convicted of engaging in any violation of law in connection with the award or performance of any federal grant, cooperative agreement, subaward, or federal contract or subcontract.

YES ☐ NO ☐

All “NO” answers to the following questions must be explained on a separate page submitted with this questionnaire.

Regulatory Compliance Programs

Indicate whether the proposing organization has established programs and procedures to ensure compliance with regulatory requirements applicable to work performed under federal grants. If “NO,” explain how the proposing organization will ensure compliance with applicable regulatory requirements in the absence of such programs or procedures.

YES ☐ NO ☐

Debarment or Suspension

The PI and the proposing organization certify that they are eligible to do business with the U.S. federal government; they are not debarred; they do not have criminal convictions or civil judgments against them for fraud, embezzlement, theft, forgery, bribery, or misrepresentation; and they have not had a federal or state government contract terminated for cause or default. If “NO,” please explain.

YES ☐ NO ☐

Certifications

Certification Regarding Lobbying for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies that 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 such federal appropriated funds have been paid or will be paid, please contact the CASIS Contracts and Compliance Department at contracts@issnationallab.org for a disclosure form.

Certifications to Implement Restrictions in Appropriations Acts

The undersigned certifies that it will comply with the funding and administrative requirements in the Consolidated and Further Continuing Appropriations Act, and further certifies that, to the best of his or her knowledge and belief, that the proposing organization:

1. Has filed all federal tax returns required during the three years preceding the 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 (Sec. 523);
2. Has not been convicted of a felony criminal violation under any federal law within the preceding 24 months (Sec. 745);
3. Does not require employees or contractors to sign internal confidentiality agreements or statements which prohibit them from reporting fraud, waste, or abuse to a designated investigative or law enforcement representative of a federal department or agency authorized to receive such information (Sec. 743); and
4. Will not make funds available to develop, design, plan, promulgate, implement, or execute a bilateral policy, program, order, or contract of any kind to participate, collaborate, or coordinate bilaterally in any way with China or any Chinese-owned company unless such activities are specifically authorized by a law enacted after the date of enactment of this Act or used to effectuate the hosting of official Chinese visitors at facilities belonging to or utilized by NASA (Sec. 532).

Conflicts of Interest

The proposing organization is subject to, and in compliance with, the financial Conflict of Interest (FCOI) standards and requirements set forth in 42 C.F.R. 50.601-50.606, applicable to Public Health Service (PHS) grants or cooperative agreements. As such, the undersigned further certifies:

1. Compensation. No entities, other than the proposing organization, that provide Grant Workers or Family Members with compensation or income, including wages, salaries, commissions, Board fees, professional fees, fees for business referrals, licensing fees or royalties, or other payments derived from intellectual property interests, might be directly or indirectly benefited by the grant activities.
2. Board Memberships. No entities, other than the proposing organization, for which any Grant Worker or Family Member serves as a Board member, might be directly or indirectly benefited by the grant activities.
3. Consulting Relationships. No entities, other than the proposing organization, with which Grant Workers or Family Members have a paid or non-paid consulting relationship, including commercial and professional consulting and service arrangements, scientific and technical advisory board relationships, or expert witness relationships, might be directly or indirectly benefited by the grant activities.
4. Other Reimbursements. No entities, other than the proposing organization, that in the past 12 months have provided Grant Workers or Family Members with honoraria or reimbursements for travel expenses, or that you have reason to believe might do so in the next 12 months, might be directly or indirectly benefited by the grant activities.
5. Research Support. No entities, other than the proposing organization, that in the past 12 months have provided Grant Workers or Family Members with research funding or other forms of research support, or that you have reason to believe might do so in the next 12 months, might be directly or indirectly benefited by the grant activities.
6. Business ownership. No entities, other than the proposing organization, in which Grant Workers or Family Members have an ownership interest, might be directly or indirectly benefited by the grant activities.

Below, please provide the names, affiliation, role/association, and applicable conflict category paragraph number(s) of any individuals with financial interests proposed to work under the grant ("Grant Workers") or their

spouses or immediate family members ("Family Members") that could cause or create an actual or a perceived conflict of interest.

<i>Full Name of Individual</i>	<i>Organizational Affiliation</i>	<i>Role or Association With Proposal/Project</i>	<i>Paragraph Reference (1-6)</i>

7. Investments. Please complete the table below or submit a bank or other statement that discloses the requested information concerning financial holdings and interests in entities, other than the proposing organization, that might be directly or indirectly benefited by the grant activities. Provide information for Grant Workers and Family Members. Do not disclose information concerning diversified mutual funds. Do not disclose the amount or value of the financial holding or interest. Use additional pages as necessary. The financial and other information provided in this Disclosure Statement will be held by CASIS in confidence and disseminated within CASIS only on a need-to-know basis.

<i>Name of Holding or Entity (Company or Entity Name)</i>	<i>Type of Holding or Interest (e.g., stock, bond, etc.)</i>	<i>Owner of Holding or Interest and Relationship (e.g., PI, spouse, etc.)</i>

Certification

Is the undersigned aware of any fact or circumstance not otherwise disclosed in its proposal or in response to this questionnaire that might pose a risk to its ability to successfully perform under an agreement, if awarded? If "YES," please explain.

YES ☐ NO ☐

By the signature of the authorized representative below, the proposing organization certifies that the representations and certifications made herein are accurate and current as of the date of signature. If any representations and certifications contained herein change prior to entering an agreement with the CASIS, the proposing organization shall immediately notify the CASIS Contracts and Compliance office at contracts@issnationallab.org.

This certification constitutes material representations of fact upon which reliance is placed by CASIS regarding acceptance of a proposal and entering into an agreement with the proposing organization.

Signature: _____

Date: _____

Printed Name: _____

Title: _____

Organization: _____