



# ISS NATIONAL LABORATORY®

CENTER FOR THE ADVANCEMENT OF SCIENCE IN SPACE®

## PRINCIPAL INVESTIGATOR (PI) PROFILE AND CERTIFICATIONS

**Must be submitted, completed and signed, during the Center for the Advancement of Science in Space™ Step 2 Proposal Submission Process**

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:		
Unique Entity ID:		CAGE Code:
Technical Contact Name and Title:		Email: Phone:
Administrative Contact Name and Title:		Email: Phone:

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™.

### 1. **“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 ☐

### 2. **NASA Designated Countries List**

Indicate whether the PI holds citizenship with any of the listed designated countries as set forth by the current NASA OIIR Designated Countries List document found here

<https://www.nasa.gov/oiir/export-control/>.

YES ☐ NO ☐ If “YES,” please explain on a separate page submitted with this questionnaire.

### 3. **Research Misconduct Policies**

The proposing organization has established policies governing scientific or research misconduct compliant with NASA regulations, 14 C.F.R. Part 1275, “Research Misconduct.”

YES ☐ NO ☐

#### **4. Ethics and Research/Data Integrity**

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 ☐ If "YES," please explain on a separate page submitted with this questionnaire.

#### **5. 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 ☐ If "YES," please explain on a separate page submitted with this questionnaire.

#### **6. Regulatory Compliance Program**

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 ☐ If "NO," please explain on a separate page submitted with this questionnaire.

#### **7. Debarment or Suspension**

The PI and the proposing organization certify that they:

- a. are eligible to do business with the U.S. federal government;
- b. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal agency;
- c. have not within the past three years been convicted of or had civil judgments 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;
- d. 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 above; and
- e. have not in the past five years had any federal grant, cooperative agreement, subaward, or any federal or state contract or subcontract terminated for cause or default.

YES ☐ NO ☐ If "NO," please explain on a separate page submitted with this questionnaire.

## **8. 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 Compliance Officer at [hqmckinney@issnationallab.org](mailto:hqmckinney@issnationallab.org) for a disclosure form.

## **9. 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:

- a. 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, does not have a judgment lien filed against it, and has not, 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;
- b. Has not been convicted, or had an officer or agent acting on behalf of the organization convicted, of a felony criminal violation under any federal law within the preceding 24 months;
- c. Does not, and will 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; and
- d. 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, 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.

## **10. Conflicts of Interest**

The proposing organization maintains procedures to identify, disclose, and mitigate and eliminate conflict of interest. The PI and proposing organization certify that, to the best of their knowledge, there are no relevant facts or circumstances that could give rise to any actual or apparent conflicts of interest related to the proposed project, and that they have disclosed all such relevant information if such a conflict of interest appears to exist to a reasonable person with knowledge of the relevant facts. The PI and proposing organization certify that they will disclose in writing any identified actual or apparent conflicts of interest to CASIS.

## **11. Other Facts or Circumstances Impacting Performance**

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?

YES ☐ NO ☐ If “YES,” please explain on a separate page submitted with this questionnaire.

## **12. Mandatory Disclosure**

The undersigned PI and the proposing organization understand that 2 CFR § 200.113 requires an applicant, recipient, or subrecipient of a federal award to report, via disclosure, “credible evidence” of the commission of a violation of:

a. A Federal criminal law involving fraud, conflict of interest, bribery, or gratuity violations found in Title 18 of the United States Code; or a violation of the civil False Claims Act.

Disclosures must be made in writing and shared with the awarding agency and its Office of Inspector General. Recipients and subrecipients are also required to report matters related to recipient integrity and performance in accordance with Appendix XII to part 200.

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 Compliance officer at [hqmckinney@issnationallab.org](mailto:hqmckinney@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:

International Space Station (ISS) National Laboratory

Managed by the Center for the Advancement of Science in Space® (CASIS)

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