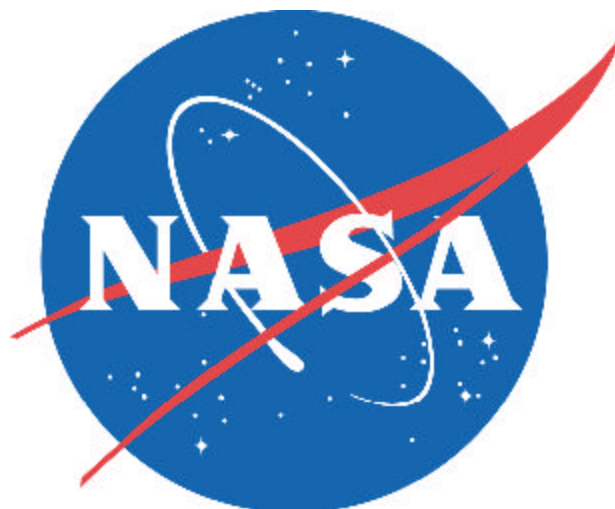


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

**Subject: NASA Research Announcement (NRA) and  
Cooperative Agreement Notice (CAN) for R&A  
Investigations**

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**NASA Headquarters  
Office of Space Science (OSS)**

**Office Work Instruction**

**NASA Research Announcement (NRA)  
and Cooperative Agreement Notice  
(CAN) for R&A Investigations**

Approved by: (Original signed by Christopher J. Scolese) Date: (3/8/04)  
Christopher J. Scolese  
Deputy Associate Administrator for Space Science

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

**Subject: NASA Research Announcement (NRA) and  
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STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/02/1999	<ul style="list-style-type: none"> <li>Initial "baseline" version of the OWI.</li> </ul>
Revision	A	05/10/1999	<ul style="list-style-type: none"> <li>Incorporates modifications responsive to NCRs #293, #302, #303, #311, #315, #317, and #324 from the NASA HQ ISO-9001 Pre-Assessment audit.</li> </ul>
Revision	B	11/16/1999	<ul style="list-style-type: none"> <li>Incorporates revised list of disciplines into Section 2.3.</li> <li>Incorporates modifications from SSE Process Owner (e.g., NPG 7120.5 certification) into Section 5, Section 6, and Section 7.</li> <li>Revises set of quality records in Section 5 and Section 7.</li> <li>Revises quality-record information in Section 7.</li> <li>Incorporates recent terminology and format standardization.</li> </ul>
Revision	C	05/11/2001	<ul style="list-style-type: none"> <li>Incorporates new entries and new title of HCP3410-4B into Section 4.</li> <li>Incorporates url's for referenced documents into Section 4.</li> <li>Incorporates linkage with HQOWI7100-I003A "Support of NASA Research Opportunities" via addition of new steps in Section 5 and Section 6.</li> <li>Indicates linkage of specific paragraphs of NASA FAR Supplements with steps in Section 5 and Section 6.</li> <li>Revises "footer" to indicate both "internal" and "external" web sites for NASA HQ ISO 9001 Documentation Master List.</li> </ul>
Revision	D	10/26/2001	<ul style="list-style-type: none"> <li>Incorporates impact of OSS reorganization (effective 07/01/2001).</li> </ul>
Revision	E	01/15/2003	<ul style="list-style-type: none"> <li>Replaces all references to "Commerce Business Daily (CBD)" with "Federal Business Opportunities (FBO)".</li> <li>Replaces all references to "Technical, Management, and Cost (TMC)" with "Technical, Management, Cost, and Other (TMCO)".</li> <li>Replaces all references to "HOWI..." with "HQOWI...".</li> <li>Incorporates reference document <u>SSE Management Handbook</u> into Section 4.</li> <li>Incorporates <u>Handbook for Writing NASA Research Solicitations for the Office of Space Science</u> into Section 4, Section 5, and Section 6.</li> <li>Revises "footer" to indicate new NODIS web site for all NASA HQ ISO 9001 documents.</li> </ul>
Revision	F	3/8/04	<ul style="list-style-type: none"> <li>Incorporates use of CANS into NRA process</li> </ul>

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**1. PURPOSE**

The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) generates and issues Broad Agency Announcements (BAA's) of solicitations of investigations in the category of NASA Research Announcements (NRA's) and Cooperative Agreement Notices (CAN's), reviews and selects submitted proposals, and monitors and manages the resulting financial awards through to the end of their periods of performance.

**2. SCOPE AND APPLICABILITY**

- 2.1 One of the most important activities of a science manager in OSS is the solicitation and selection of research investigations for NASA funding. The distinguishing characteristic of all NASA BAA's is that they solicit ideas for basic research investigation, the end result of which is new knowledge and sometimes data that are to be made publicly available at the conclusion of the investigation.
- 2.2 NRA's solicit relatively low-cost (typically \$50,000 to \$200,000) supporting Research and Analysis (R&A) investigations for repetitive programs funded by NASA's on-going R&A budget. R&A support is used to help understand natural space phenomena and their related technologies, including theoretical studies and ground-based laboratory developments.
- 2.3 CAN's solicit a large range of R&A investigations, ranging from \$100Ks/year up to several \$Ms/year, based on the nature of the solicited activity. CAN's are used for activities in which substantial interaction and cooperation is anticipated and expected between NASA and the investigator during performance of the solicited activity in order to achieve NASA's objective (e.g., establishing and running a science research institute or activities related to the SSE education and public outreach program).
- 2.4 Most OSS NRA's and CAN's are for basic research of a continuing nature in various science disciplines that are subject to revision in accordance with the evolving OSS science objectives.
- 2.5 Education and public-outreach programs are required components of all proposals submitted in response to OSS NRA's and CAN's. Program Scientists are responsible for ensuring that NRA's and CAN's contain appropriate

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**2. SCOPE AND APPLICABILITY (*continued*)**

education and public-outreach language that has been coordinated with the OSS Education and Public Outreach Director.

- 2.6 NRA's and CAN's must conform to high standards for completeness, clarity, and style and must comply with applicable Federal Acquisition Regulations (FAR's) and NASA FAR Supplements (NFS's).
- 2.7 NRA's and CAN's must be publicly announced in advance of their formal release and must be openly available to the public on their advertised release date.
- 2.8 Proposals submitted in response to NRA's and CAN's are subjected to full peer review for scientific, technical, fiscal, and programmatic merits.
- 2.9 An OSS Designated Selecting Official selects qualified proposals of merit that satisfy the advertised program requirements and that can be accommodated within the available program budget.
- 2.10 The OSS Executive Director for Science oversees the preparation, approval, and release of all OSS NRA's and CAN's.
- 2.11 Basic research investigations do not lend themselves to specific performance or engineering specification. Consequently, standard Requests for Proposals (RFP's) are not used to solicit OSS research proposals.

**3. DEFINITIONS**

- 3.1 Code GK. Associate General Counsel for Contracts in the NASA Headquarters Office of the General Counsel.
- 3.2 Code HS. Program Operations Division of the NASA Headquarters Office of Procurement.
- 3.3 Code IS. Space Science and Aeronautics Division of the NASA Headquarters Office of External Relations.
- 3.4 Code S. NASA Headquarters Office of Space Science.

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3.5 Code SE. Solar System Exploration Division of the NASA Headquarters Office of Space Science.

**3. DEFINITIONS (*continued*)**

3.6 Code SP. Resources Management Division of the NASA Headquarters Office of Space Science.

3.7 Code SS. Sun-Earth Connection Division of the NASA Headquarters Office of Space Science.

3.8 Code SZ. Astronomy and Physics Division of the NASA Headquarters Office of Space Science.

3.9 Cooperative Agreement. Legal instrument reflecting a relationship between the United States Government and a State, a local government, or other recipient when: (1) the principal purpose of the relationship is to transfer a thing of value to the State, local government, or other recipient to carry out a public purpose or support or stimulation authorized by a law of the United States instead of acquiring (by purchase, lease, or barter) property or services for the direct benefit or use of the United States Government and (2) **substantial involvement is expected** between the Executive agency and the State, local government, or other recipient when carrying out the activity contemplated in the agreement (see [31 U.S.C. 6305](#)).

3.9 Designated Program Official. The NASA official who may be designated by the Associate Administrator for Space Science to approve the release of an NRA or CAN (should the Associate Administrator for Space Science choose not to perform this function).

3.10 Designated Selecting Official. The NASA official designated by the Associate Administrator for Space Science to determine the source for award of a contract or grant.

3.11 GSFC. NASA's Goddard Space Flight Center.

3.12 NASA Research Announcement (NRA). A general research opportunity that solicits relatively non-specific research, technology, or education projects that are funded by NASA's yearly, ongoing budgets.

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3.13 Non-conflicted Reviewer. Scientific peers who have no real or apparent financial interests, institutional affiliations, professional biases and associations, or familiar relationships with NRA or CAN proposers or their institutions.

**3. DEFINITIONS (*concluded*)**

3.14 Notice of Intent. A notice submitted by a potential investigator indicating the intent to submit a proposal in response to an NRA or CAN.

3.15 NPRS. NASA (Headquarters) Peer Review Services (contractor).

3.16 OSS. NASA Headquarters Office of Space Science.

3.17 Peer Review. The process of proposal review utilizing a group of the proposers' peers (by mail and/or meeting in panel), in accordance with the evaluation criteria stated in an NRA or CAN.

3.18 Principal Investigator. A person who proposes an investigation and is responsible for carrying it out and reporting its results.

3.19 Program Executive. In accordance with delegation authority from the Associate Administrator for Space Science, responsible for: (a) providing program policy, strategy, and standards that support OSS goals and standards; (b) determining program objectives, goals, and requirements; (c) approving principal program documents; (d) allocating funds to ensure successful implementation of the program; and (e) assessing program performance.

3.20 Program Scientist. In accordance with delegation authority from the Associate Administrator for Space Science, responsible for: (a) providing science policy, strategy, and standards that support OSS goals and standards; (b) determining science objectives, goals, and requirements; (c) approving principal program documents; (d) providing science leadership for the program; and (e) assessing science performance.

3.21 Research Program Plan. This plan includes a listing of all proposals from the current NRA or CAN recommended for selection or rejection, along with all continuing multi-year tasks and the required funding for each. This document fulfills the "selection statement" requirement in NFS Part 1835.016-71(d)(6).

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3.22 TMCO. The series of Technical, Management, Cost, and Other evaluation factors against which proposals are graded (in addition to their scientific merit).

**4. REFERENCES**

- 4.1 HQOWI7100-I003 Support of NASA Research Opportunities  
[\[http://nodis3.gsfc.nasa.gov/library/hq\\_list.cfm\]](http://nodis3.gsfc.nasa.gov/library/hq_list.cfm)
- 4.2 NFS 1835 NASA FAR Supplement "Research and Development Contracting"  
[\[http://www.hq.nasa.gov/office/procurement/regs/1835.htm\]](http://www.hq.nasa.gov/office/procurement/regs/1835.htm)
- 4.3 NFS 1852.235-72 NASA FAR Supplement "Instructions for Responding to NASA Research Announcements"  
[\[http://www.hq.nasa.gov/office/procurement/regs/5228-41.htm\]](http://www.hq.nasa.gov/office/procurement/regs/5228-41.htm)
- 4.4 14 CFR 1260 Code of Federal Regulations, Chapter V, NASA, "Grants and Cooperative Agreements"  
[\[http://www.access.gpo.gov/nara/cfr/waisidx\\_03/14cfr1260\\_03.html\]](http://www.access.gpo.gov/nara/cfr/waisidx_03/14cfr1260_03.html)
- 4.5 OMB Cir. A-110 "Uniform Administrative Guidelines for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"  
[\[http://www.whitehouse.gov/omb/circulars/a110/a110.html\]](http://www.whitehouse.gov/omb/circulars/a110/a110.html)
- 4.6 14 CFR 1274 Code of Federal Regulations, Chapter V, NASA, "Cooperative Agreements with Commercial Firms"  
[\[http://www.access.gpo.gov/nara/cfr/waisidx\\_02/14cfr1274\\_02.html\]](http://www.access.gpo.gov/nara/cfr/waisidx_02/14cfr1274_02.html)
- 4.7 NPD 1360.2 Initiation and Development of International Cooperation in Space and Aeronautics Programs  
[\[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=1\\_\\_\\_\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)
- 4.8 NPG 1441.1 NASA Records Retention Schedules (NRRS)  
[\[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=1\\_\\_\\_\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)
- 4.9 NPG 5800.1 Grant and Cooperative Agreement Handbook



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[\[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=5\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=5)

4.10 PN 97-34 NASA Procurement Notice "Implementing Foreign Proposals to NASA Research Announcements on a No-Exchange-of-Funds Basis"

[\[http://www.hq.nasa.gov/office/procurement/regs/pn97-34.html\]](http://www.hq.nasa.gov/office/procurement/regs/pn97-34.html)

**4. REFERENCES (continued)**

4.11 SSE MH2002 Space Science Enterprise Management Handbook

[\[http://spacescience.nasa.gov/admin/pubs/handbook/OSSHandbook.pdf\]](http://spacescience.nasa.gov/admin/pubs/handbook/OSSHandbook.pdf)

4.12 Handbook for Writing NASA Research Solicitations for the Office of Space Science

4.13 NASA Budget

4.14 NASA Guidebook for Proposers Responding to a NASA Research Announcement (NRA)

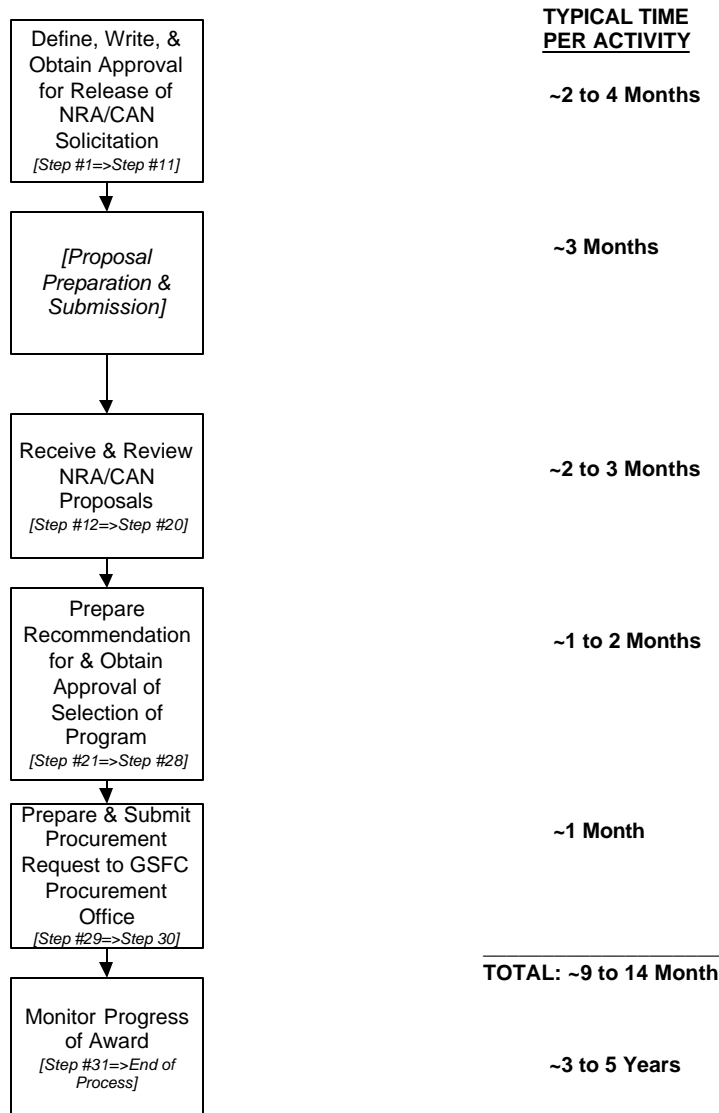
[\[http://www.hq.nasa.gov/office/procurement/nraguidebook/\]](http://www.hq.nasa.gov/office/procurement/nraguidebook/)

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### 5. FLOWCHART

#### 5.1 Overview Flowchart



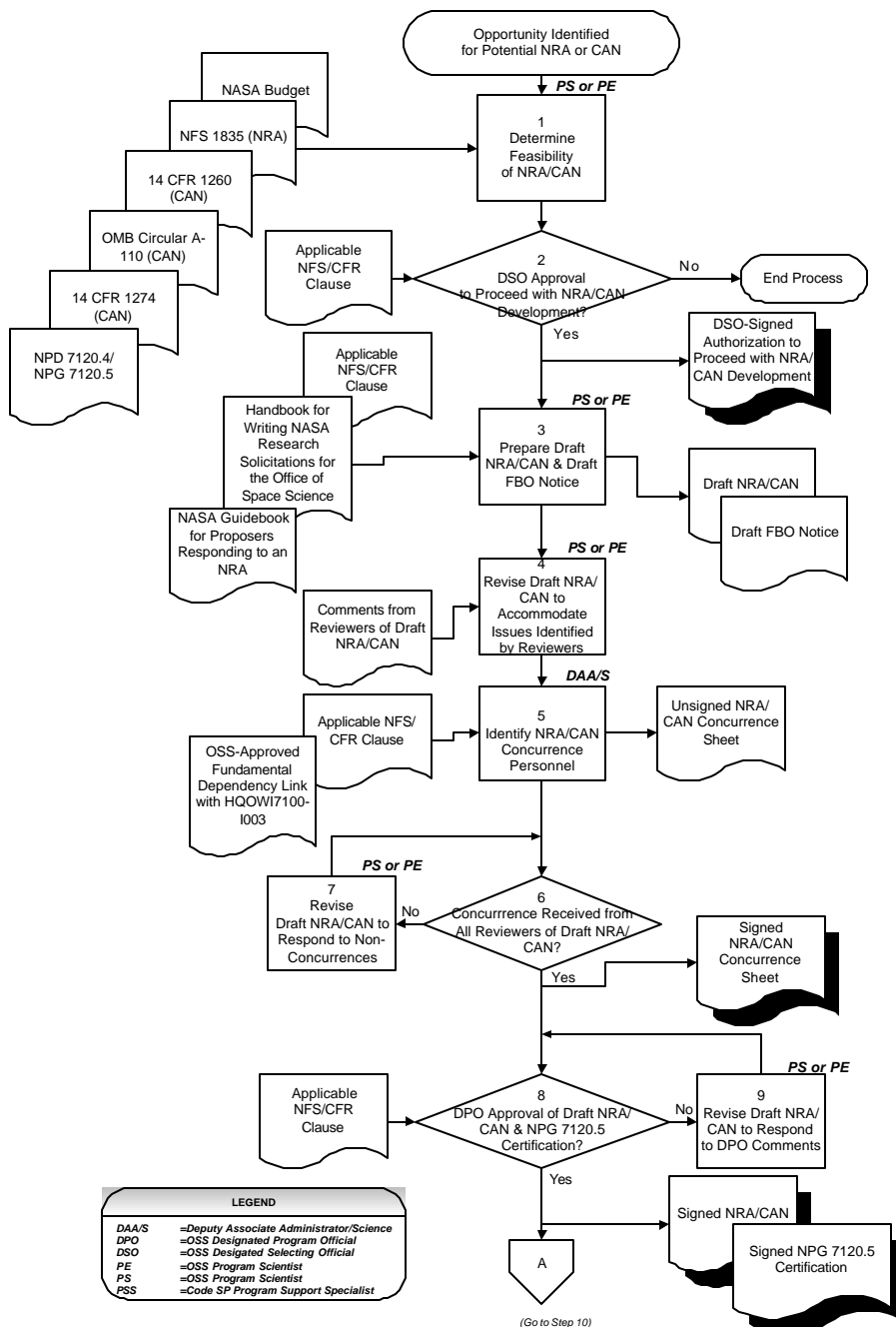
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## 5.2 Nominal Flowchart (without Code IS-interface or Code S TMC0 subprocesses)

[NOTE #1: Process steps are numbered in accordance with their corresponding step numbers in Section 6.]

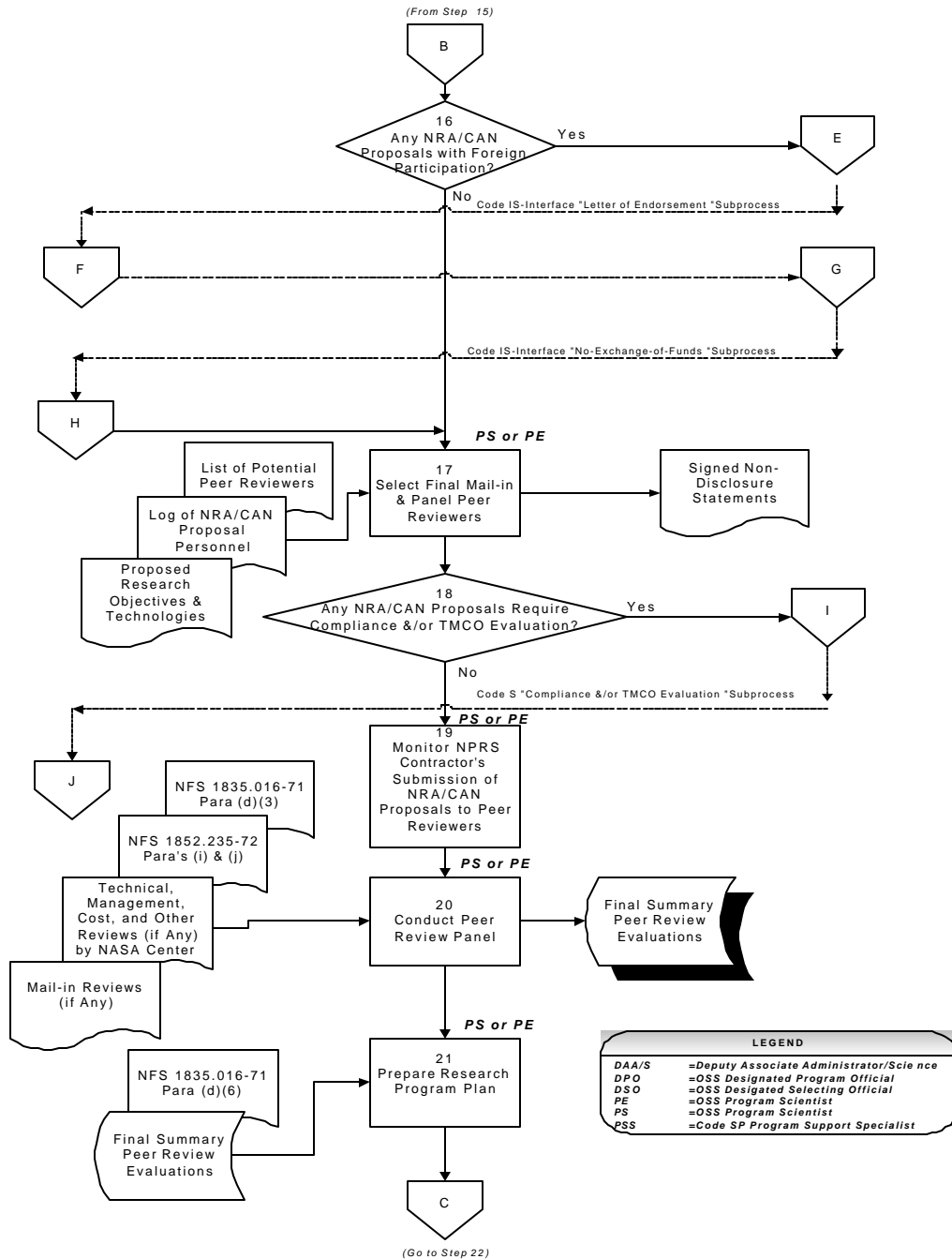
[NOTE #2: "Quality records" are identified via bold-text titles and shadowing of the border of their symbols.]



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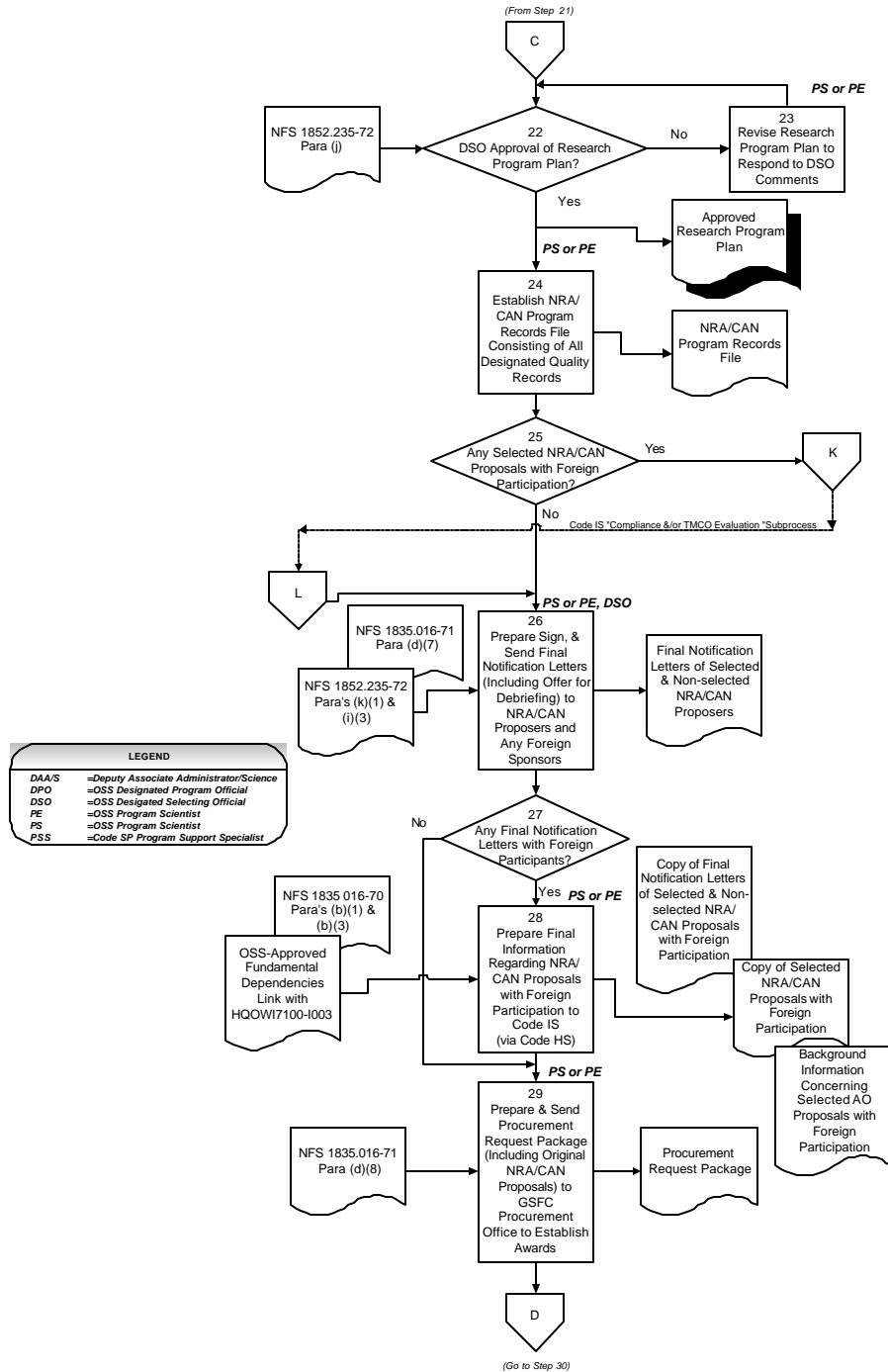
## 5.2 Nominal Flowchart (without Code IS-interface or Code S TCMO subprocesses) (continued)



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**5.2 Nominal Flowchart (without Code IS-interface or Code S TMC0 subprocesses)**

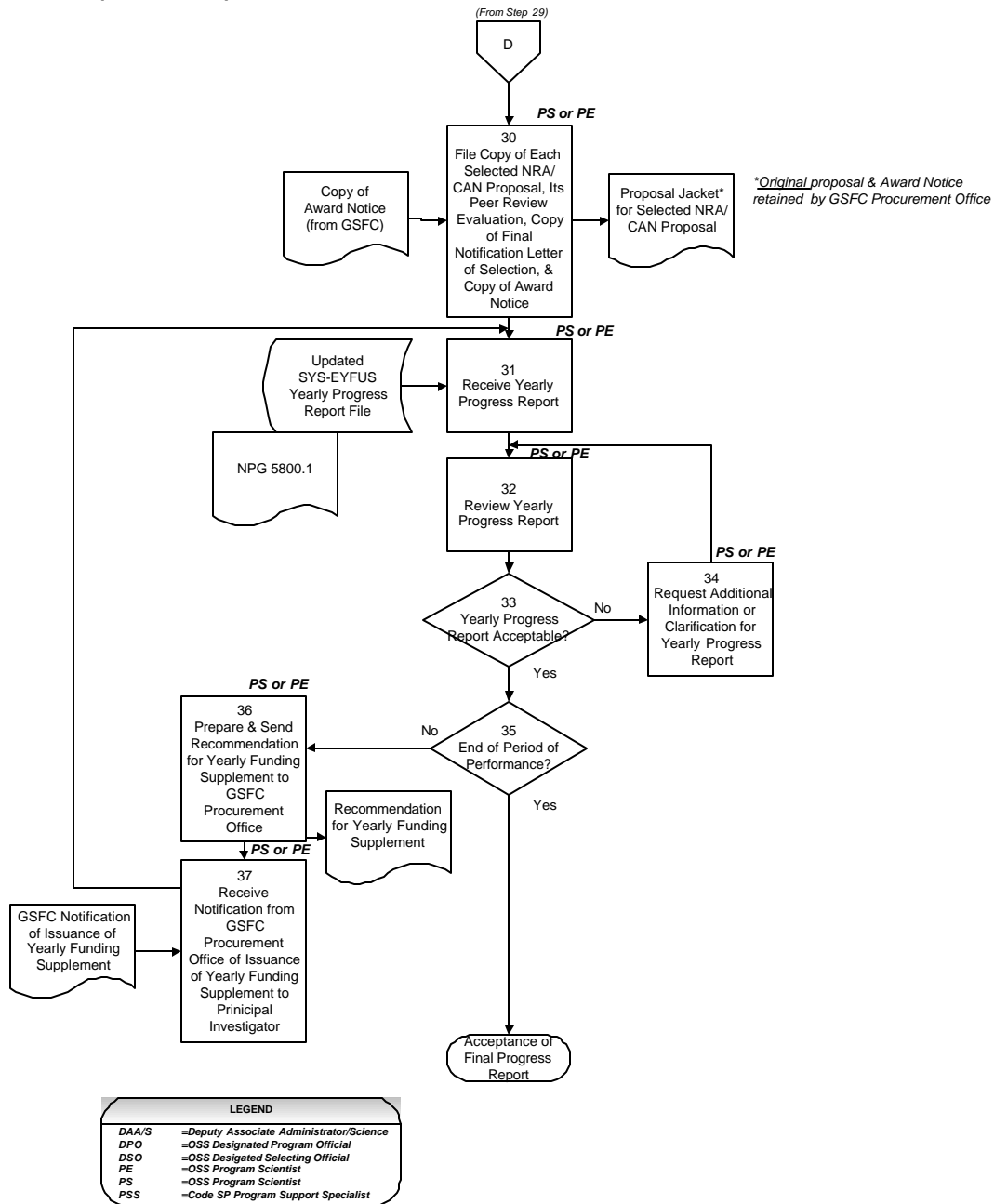


(continued)

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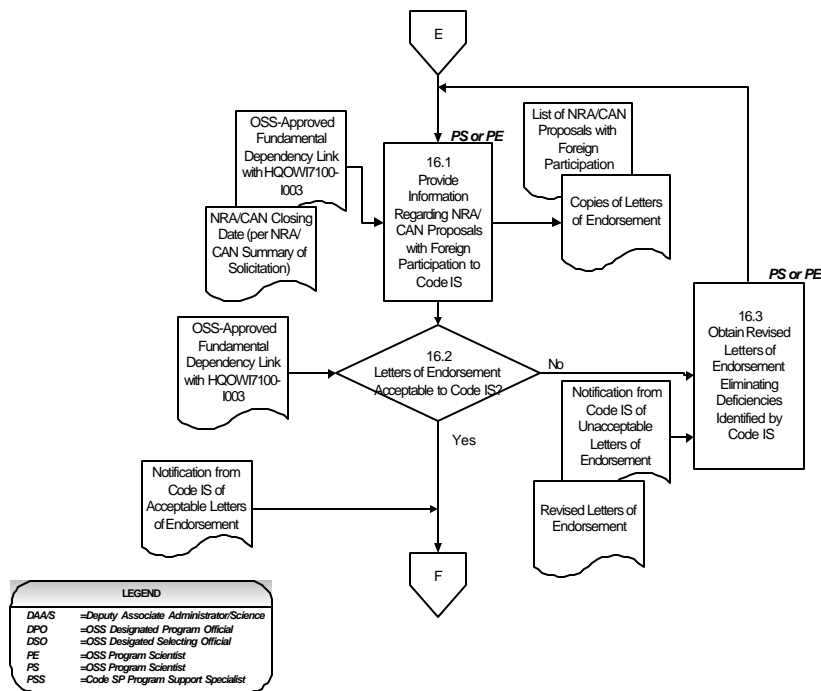
## 5.2 Nominal Flowchart (without Code IS-interface or Code S TMC0 subprocesses) (concluded)



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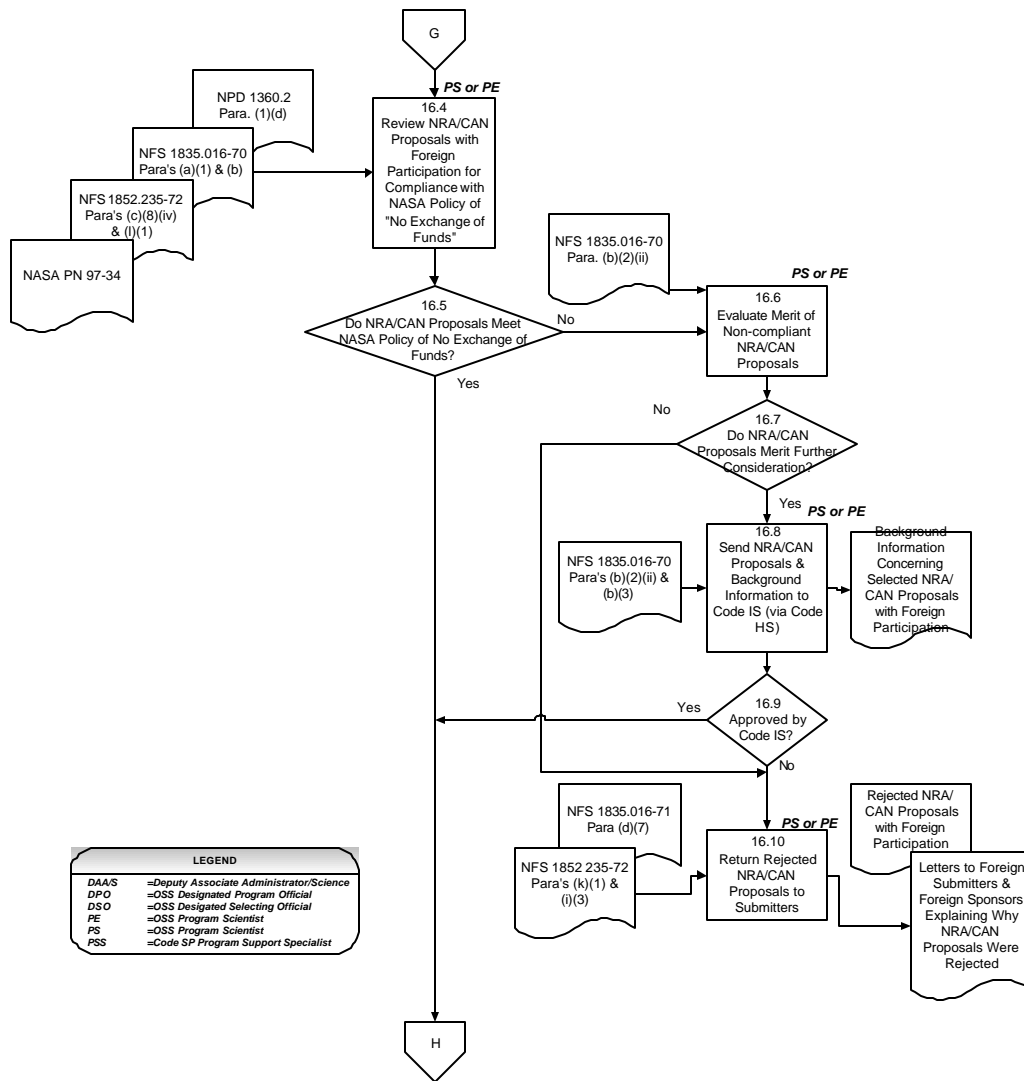
**5.3 Code IS-Interface “Letter of Endorsement” Subprocess Flowchart**



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**5.4 Code IS-Interface “No-Exchange-of-Funds” Subprocess Flowchart**



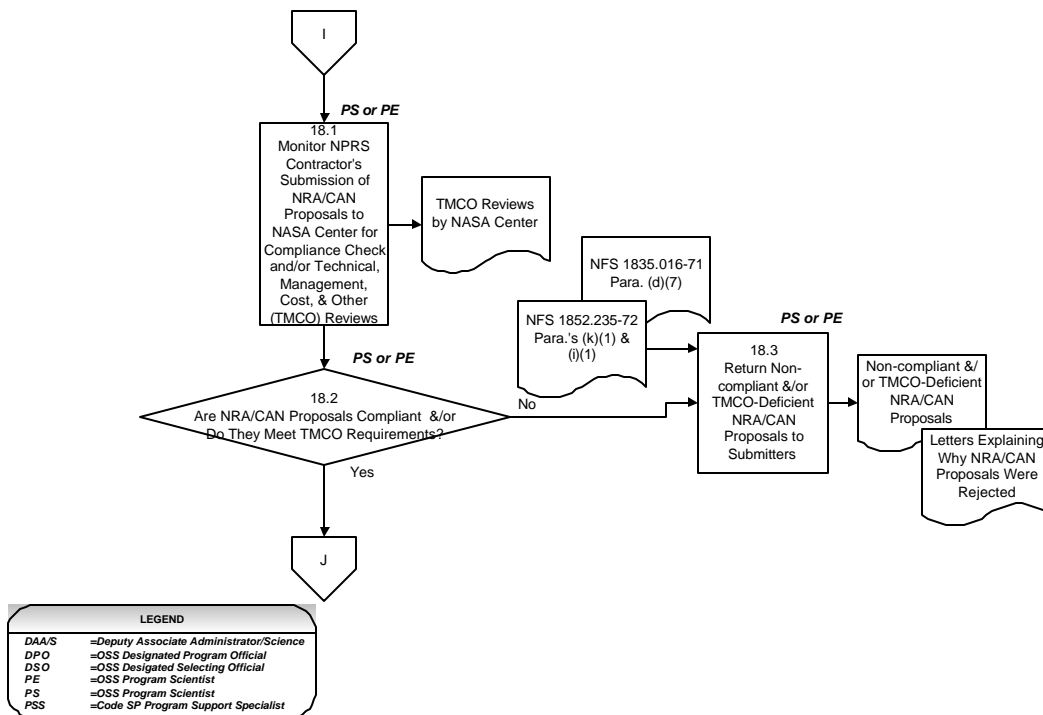
LEGEND	
DAA/S	=Deputy Associate Administrator/Science
DPO	=OSS Designated Program Official
DSO	=OSS Designated Selecting Official
PE	=OSS Program Scientist
PS	=OSS Program Scientist
PSS	=Code SP Program Support Specialist



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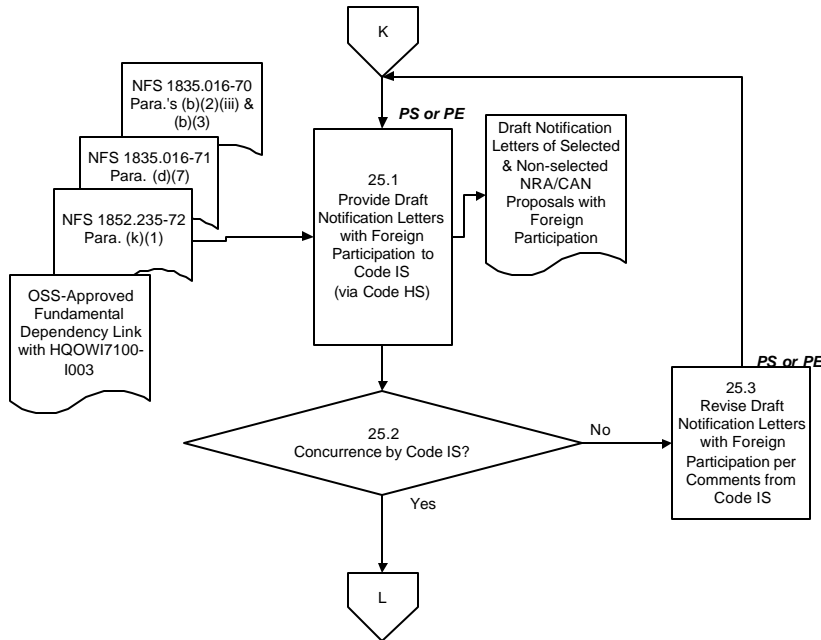
**5.5 Code S “Compliance &/or TCMO Evaluation” Subprocess Flowchart**



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**5.6 Code IS-Interface “Draft Notification Letter” Subprocess Flowchart**



LEGEND	
DAA/S	=Deputy Associate Administrator/Science
DPO	=OSS Designated Program Official
DSO	=OSS Designated Selecting Official
PE	=OSS Program Scientist
PS	=OSS Program Scientist
PSS	=Code SP Program Support Specialist

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## 6. PROCEDURE

*[NOTE: The following sequence of process steps is numbered in accordance with the number assigned to each corresponding function block in the flowchart in Section 5.]*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
		<i>This process is initiated when an opportunity is identified for potential creation of a new NRA or CAN.</i>
1	Program Scientist or Program Executive	<p>Determine the feasibility of a proposed NRA or CAN by iterating the following activities:</p> <ul style="list-style-type: none"> <li>• Review NASA FAR Supplement Part 1835 &amp; OSS information about the NRA process</li> <li>• Review 14 CFR 1260 and OMB Circular A-110 for CANs with educational or nonprofit organizations, 14 CFR 1274 for CANs with commercial firms, 14 CFR 1274.105 for approval of CANs and cooperative agreements, &amp; OSS information on cooperative agreements and CAN's.</li> <li>• Define NASA research objectives</li> <li>• Define the scope of a possible program</li> <li>• Solicit comments from the science community</li> <li>• Determine the availability of needed technologies</li> <li>• Verify budgetary authority for the program</li> <li>• Initiate NPR 7120.4 and NPR 7120.5 compliance activities</li> <li>• Identify the Designated Selecting Official (per consultation with the Associate Administrator for Space Science, in accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (b)(1)] for the NRA). Follow the same process for a CAN.</li> </ul>

*[NOTE: These activities occur in parallel in an iterative manner.]*

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**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
2		In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (b)(4)], if the Designated Selecting Official (who may be the cognizant Director of Code SE, Code SS, or Code SZ) signs the authorization to proceed with development of the NRA or CAN (which is created by the Program Scientist or the Program Executive) and designates the cognizant Program Scientist (for science-related research) or Program Executive (for technology-related research), proceed to Step #3. If authority to proceed is denied, end the process. Follow the same process for the CAN.
3	Program Scientist or Program Executive	In accordance with NASA FAR Supplement Part 1835.016-71 [paragraphs (a), (b)(2), and (c)], the "Handbook for Writing NASA Research Solicitations for the Office of Space Science", and the "NASA Guidebook for Proposers Responding to a NASA Research Announcement (NRA)", prepare the draft NRA or CAN and the draft notice summarizing the purpose and content of the NRA or CAN for publication via the <i>Federal Business Opportunities</i> (FBO).
4	Program Scientist or Program Executive	In accordance with the content of the draft NRA or CAN, solicit comments and recommendations from cognizant personnel within Code S (at a minimum, the OSS Executive Director for Science), Code IS, Code HS, and Code GK. Revise the draft NRA or CAN to incorporate the results of this review.
5	Executive Director for Science	In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (b)(1)] and an OSS-approved fundamental-dependency link with HQOWI7100-I003, select NASA Headquarters personnel to review the draft NRA or CAN in accordance with the subject matter of the NRA or CAN (i.e., cognizant OSS personnel plus, at a minimum, Code IS, Code HS, and Code GK). Create an NRA or CAN Concurrence Sheet to document the results of this review. Provide the draft NRA or

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- CAN to each reviewer identified on the NRA or CAN Concurrence Sheet.
- 6 If all reviewers of the draft NRA or CAN have concurred upon it and have signed the NRA or CAN Concurrence Sheet, proceed to Step #8. If any reviewer has non-concurred upon the draft NRA or CAN, proceed to Step #7.
- 7 Program Scientist  
or  
Program Executive Revise the draft NRA or CAN to address the issues identified via any non-concurrences received, and repeat the review cycle at Step #6.
- 8 In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (b)(1)] and NASA FAR Supplement Part 1835.016 [paragraph (a)(iii)(A)], if the Designated Program Official (e.g., the Associate Administrator for Space Science or the designated cognizant Director of Code SE, Code SS, or Code SZ) approves and signs the NRA or CAN and the NPR 7120.5 Certification document, proceed to Step #10. If not, proceed to Step #9.
- 9 Program Scientist  
or  
Program Executive Revise the draft NRA or CAN in accordance with the comments provided by the Designated Program Official, and repeat the review cycle at Step #8.
- 10 Code SP Program Support Specialist Send the *Federal Business Opportunities* (FBO) Notice and the NPG 7120.5 Certification document to the Goddard Space Flight Center (GSFC) Procurement Office, which then publicly announces the forthcoming NRA or CAN via the FBO at least fifteen calendar days prior to formal release of the NRA or CAN. Send the notice through the OSS Electronic Notification System to all subscribers. Submit an electronic copy of the NRA or CAN to the NASA Headquarters Peer Review Services (NPRS) Contractor for conversion into Web-compatible formats.

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| 11 | Program Scientist<br>or<br>Program Executive | The NPRS Contractor posts the NRA or CAN on its advertised date of release on the OSS World-Wide Web home page. The Program Scientist or Program Executive verifies compliance with this requirement and notifies the NPRS Contractor to correct any instances of noncompliance.   |
| 12 | Program Scientist<br>or<br>Program Executive | Arrange with the NPRS Contractor the NRA or CAN proposal-evaluation logistics and procedures (at a minimum, the timeline for activities, format of the peer-review forms, use of mail-in reviews, and details of logistics for the peer-review panels) in accordance with NASA FAR Supplement Part 1852.235-72 [paragraph (j)] and with Appendix C of the "NASA Guidebook for Proposers Responding to a NASA Research Announcement (NRA)". |
| 13 | Program Scientist<br>or<br>Program Executive | Receive from the NPRS Contractor a log of Notices of Intent (NOI's) to submit NRA or CAN proposals. OSS requests all interested proposers to submit NOI's. Although these NOI's are not mandatory, they facilitate OSS selection of non-conflicted peer reviewers of submitted proposals.  |
| 14 | Program Scientist<br>or<br>Program Executive | Prepare a list of a tentative group of non-conflicted Peer Reviewers of proposals that are expected to be submitted in response to the NRA or CAN, based upon NOI's and upon research areas expected in proposals.   |
| 15 | Program Scientist<br>or<br>Program Executive | Receive from the NPRS Contractor a log of all submitted NRA or CAN proposals and associated personnel.   |
| 16 |  | If any of the NRA or CAN proposals involves foreign participation, proceed to Step #16.1. If not, proceed to Step #17.   |

**Code IS-Interface "Letter of Endorsement" Subprocess**

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|------|----------------|--|
| 16.1 | <i>Program</i> | <i>In accordance with an OSS-approved fundamental-dependency</i> |
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*Scientist or Program Executive link with HQOWI7100-I003, provide a list of all NRA or CAN proposals with foreign participation and copies of the associated Letters of Endorsement to Code IS after the closing date of the NRA or CAN (as specified in the NRA's or CAN's Summary of Solicitation).*

16.2 *If Code IS notifies the OSS Program Scientist or Program Executive that the Letters of Endorsement are acceptable, proceed to Step #16.4. If Code IS notifies the OSS Program Scientist or Program Executive that one or more of the Letters of Endorsement are unacceptable (in accordance with an OSS-approved fundamental-dependency link with HQOWI7100-I003), proceed to Step #16.3.*

16.3 *Program Scientist or Program Executive Contact the foreign-sponsor author of each Letter of Endorsement that is unacceptable to Code IS, negotiate receipt by OSS of a revised Letter of Endorsement that eliminates the deficiency(ies) identified by Code IS, and resubmit the revised Letter of Endorsement for review by Code IS at Step #16.1.*

### **Code IS-Interface "No-Exchange-of-Funds" Subprocess**

16.4 *Program Scientist or Program Executive Review the NRA or CAN proposals with foreign participation for compliance with the NASA policy of "no exchange of funds" as stated in NPD 1360.2 [paragraph (1)(d)], NASA FAR Supplement Part 1835.016-70 [paragraphs (a)(1) and (b)], NASA FAR Supplement Part 1852.235-72 [paragraphs (c)(8)(iv) and (l)(1)], and NASA Procurement Notice 97-34.*

### **Code IS-Interface "No-Exchange-of-Funds" Subprocess (concluded)**

16.5 *If an NRA or CAN proposal with foreign participation meets the NASA policy of "no exchange of funds", proceed to Step #17. If not, proceed to Step #16.6.*

16.6 *Program Scientist or Program Executive In accordance with NASA FAR Supplement Part 1835.016-70 [paragraph (b)(2)(i)], evaluate whether NRA or CAN proposals with foreign participation that do not meet the NASA policy of*

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|-------|---|---|
|       | <i>Program Executive</i>                      | <i>“no exchange of funds” merit further consideration.</i>  |
| 16.7  |   | <i>If a non-compliant NRA or CAN proposal with foreign participation merits further consideration, proceed to Step #16.8; if not, proceed to Step #16.10.</i>   |
| 16.8  | <i>Program Scientist or Program Executive</i> | <i>In accordance with NASA FAR Supplement Part 1835.016-70 [paragraphs (b)(2)(ii) and (b)(3)], send to Code IS (via Code HS) for review: (a) NRA or CAN proposals with foreign participation that do not currently meet the NASA policy of “no exchange of funds” but nevertheless merit further consideration, and (b) background information concerning the selected NRA or CAN proposals with foreign participation.</i> |
| 16.9  |   | <i>If an NRA or CAN proposal is approved by Code IS as being worthy of further consideration in spite of its not currently meeting the NASA policy of “no exchange of funds”, proceed to Step #17. If not, proceed to Step #16.10.</i>  |
| 16.10 | <i>Program Scientist or Program Executive</i> | <i>In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (d)(7)] and NASA FAR Supplement Part 1852.235-72 [paragraphs (k)(1) and (l)(3)], return rejected NRA or CAN proposals with foreign participation to their submitters, with letters explaining why the proposals are unacceptable. Send copies of the rejection letters to the cognizant foreign sponsors.</i>   |
| 17    | <i>Program Scientist or Program Executive</i> | Select the final mail-in reviewers and Peer Review panel members, based upon the list of potential Peer Reviewers created at Step #14, the log of NRA or CAN proposal personnel, and the proposed research objectives and technologies. Obtain a signed Non-Disclosure Statement from each selected reviewer.   |
| 18    |   | If any NRA or CAN proposal requires compliance and/or Technical, Management, Cost, and Other (TMCO) evaluation, proceed to Step #18.1. If not, proceed to Step #19.   |

### Code S “Compliance &/or TMCO Evaluation” Subprocess



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- 18.1 *Program Scientist or Program Executive* *In accordance with the content of the received NRA or CAN proposals, monitor the NPRS Contractor's activity of sending the proposals to a NASA Center to check on their compliance with requirements stated in the NRA or CAN and/or to conduct TMC0 reviews of the proposals.*
- 18.2 *Program Scientist or Program Executive* *Based upon the results of the activity in Step #18.1, if the Program Scientist or Program Executive determines that an NRA or CAN proposal is not compliant with the requirements stated in the NRA or CAN or that it does not meet TMC0 requirements, proceed to Step #18.3. For compliant and non-deficient NRA or CAN proposals, proceed to Step #19.*
- 18.3 *Program Scientist or Program Executive* *In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (d)(7)] and NASA FAR Supplement Part 1852.235-72 [paragraphs (k)(1) and (l)(3)], return non-compliant and/or TMC0-deficient NRA or CAN proposals to their submitters, with letters explaining why the proposals are unacceptable. If a non-compliant or deficient NRA or CAN proposal involves foreign participation, send a copy of the rejection letter to the cognizant foreign sponsor.*
- 19 *Program Scientist or Program Executive* Monitor the NPRS Contractor's activity of sending copies of NRA or CAN proposals to selected Peer Reviewers. Some of these reviewers may conduct a "remote" review and submit their evaluations via postal or electronic mail. Other reviewers will participate in an "on-site" Peer Review Panel.
- 20 *Program Scientist or Program Executive* In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (d)(3)], NASA FAR Supplement Part 1852.235-72 [paragraphs (i) and (j)], and the NRA or CAN proposal-evaluation logistics and procedures generated at Step #12, conduct the Peer Review Panel to review and evaluate each NRA or CAN proposal. Any TMC0 review inputs (generated in Step #18.1) from a NASA Center are examined by the Peer Review Panel. The Panel incorporates the inputs submitted from any mail-in reviewers into a set of final summary peer-review evaluations for

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the proposals. These evaluations are entered into the NASA Headquarters SYS-EYFUS electronic database by the NPRS Contractor.

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| 21 | Program Scientist<br>or<br>Program Executive | In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (d)(6)] and the results of the final summary peer review evaluations, prepare the Research Program Plan (i.e., "selection statement"), and present it to the OSS Designated Selecting Official. |
| 22 |  | In accordance with NASA FAR Supplement Part 1852.235-72 [paragraph (j)], if the OSS Designated Selecting Official approves the Research Program Plan (via signature within the document), proceed to Step #24. If not, proceed to Step #23.                        |
| 23 | Program Scientist<br>or<br>Program Executive | Revise the Research Program Plan to address the issues identified by the OSS Designated Selecting Official, and repeat the review cycle at Step #22.   |
| 24 | Program Scientist<br>or<br>Program Executive | Establish an NRA/CAN Program Records File consisting of all NRA/CAN-related quality records listed in Section 7 of this Office Work Instruction (OWI).   |
| 25 |  | If any of the selected NRA/CAN proposals involves foreign participation, proceed to Step #25.1. If not, proceed to Step #26.   |

**Code IS-Interface "Draft Notification Letter" Subprocess**

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|------|--|--|
| 25.1 | Program Scientist<br>or<br>Program Executive | <i>In accordance with NASA FAR Supplement Part 1835.016-70 [paragraphs (b)(2)(iii) and (b)(3)], NASA FAR Supplement Part 1835.016-71 [paragraph (d)(7)], NASA FAR Supplement Part 1852.235-72 [paragraph (k)(1)], and an OSS-approved fundamental-dependency link with HQOWI7100-I003, provide draft OSS notification letters of selected and non-selected</i> |
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*NRA/CAN proposals with foreign participation to Code IS (via Code HS) for review prior to sending the letters to the cognizant proposers and their foreign sponsors.*

25.2 *If Code IS concurs with the content of draft OSS notification letters of selected and non-selected NRA/CAN proposals with foreign participation, proceed to Step #26. If not, proceed to Step #25.3.*

25.3 *Program Scientist or Program Executive* *Revise the draft OSS notification letters of selected and non-selected NRA or CAN proposals with foreign participation in accordance with issues raised by Code IS via its non-concurrence, and repeat the review cycle at Step #25.1.*

26 *Program Scientist or Program Executive Designated Selecting Official* In accordance with NFS 1835.016-71 [paragraph (d)(7)] and NASA FAR Supplement Part 1852.235-72 [paragraphs (k)(1) and (l)(3)], the Program Scientist or Program Executive prepares and the OSS Designated Selecting Official signs the final notification letters of selected and non-selected NRA or CAN proposals. These letters either include an offer to provide a debriefing of the reasons why a given proposal was selected or not selected, or incorporate a copy of the final summary peer-review evaluation for the proposal. The Program Scientist or Program Executive sends one of these letters to each NRA or CAN proposal submitter (and to the foreign sponsor of any NRA or CAN proposal with foreign participation).

27 If any OSS final notification letter of selected and non-selected NRA or CAN proposals involves proposals with foreign participation, proceed to Step #28. If not, proceed to Step #29.

28 *Program Scientist or Program Executive* In accordance with NASA FAR Supplement Part 1835.016-70 [paragraphs (b)(1) and (b)(3)] and an OSS-approved fundamental-dependency link with HQOWI7100-I003, provide to Code IS (via Code HS) a copy of OSS final notification letters of selected and non-selected NRA or CAN proposals with foreign participation, a copy of selected NRA or CAN proposals with foreign participation, and background information concerning the

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selected NRA or CAN proposals with foreign participation.

- 29 Program Scientist  
or  
Program Executive In accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (d)(8)], prepare the Procurement Request package (incorporating the original selected NRA or CAN proposals). Send the Procurement Request package to the Procurement Office at the Goddard Space Flight Center (GSFC), which issues the signed Award Notice (in accordance with NASA FAR Supplement Part 1835.016-71 [paragraph (e)]) and returns a copy of it to OSS.
- 30 Program Scientist  
or  
Program Executive File a copy of each selected NRA or CAN proposal, its peer-review evaluation, a copy of its final notification letter of selection, and a copy of its Award Notice in a Proposal Jacket. (The original selected NRA or CAN proposal and its Award Notice are retained by the GSFC Procurement Office.)
- 31 Program Scientist  
or  
Program Executive In accordance with NPG 5800.1, at a minimum of 60 calendar days prior to the anniversary date of the award of a program resulting from an NRA or CAN, receive a Yearly Progress Report from the Principal Investigator via the NASA Headquarters SYS-EYFUS electronic database.
- 32 Program Scientist  
or  
Program Executive Monitor and evaluate the progress of the awarded program by reviewing the Yearly Progress Report.
- 33 If the Yearly Progress Report is acceptable to the Program Scientist or Program Executive, proceed to Step #35. If not, proceed to Step #34.
- 34 Program Scientist  
or  
Program Executive Request that the Principal Investigator provide additional information or clarification regarding the submitted Yearly Progress Report, and repeat the review cycle at Step #32.

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- 35 If the program has reached the end of its period of performance, the Program Scientist or Program Executive ends the process by accepting the Final Progress Report. If not, proceed to Step #36.
- 36 Program Scientist  
or  
Program Executive Prepare a recommendation for award to the Principal Investigator of a yearly funding supplement. Send this recommendation to the GSFC Procurement Office.
- 37 Program Scientist  
or  
Program Executive Receive notification from the GSFC Procurement Office of its issuance of the yearly funding supplement to the Principal Investigator. Repeat Step #31 through Step #37 throughout the period of performance of the awarded program.

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### 7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
DSO-signed Authorization to Proceed with NRA or CAN Development	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Signed NRA or CAN Concurrence Sheet	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Signed NASA Research Announcement (NRA) or Cooperative Agreement Notice (CAN)	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.

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### 7. QUALITY RECORDS *(concluded)*

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Signed NPG 7120.5 Certification	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Copy of GSFC-published <i>Federal Business Opportunities</i> (FBO) Notice	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Copy of E-mail Notification to OSS Subscribers	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Final Summary Peer Review Evaluations	Code SP Program Support Specialist	SYS-EYFUS Database	Electronic	Schedule 7, Item 9A1	File documentation with the related grant or contract file; destroy accordingly.
Approved Research Program Plan	Code SP Program Support Specialist	Code SP Division Files	Hardcopy	Schedule 5, Item 37A	Retire to FRC 2 years after completion of grant. Destroy when 6 years, 3 months old.

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via bold-text titles and shadowing of the border of their symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]