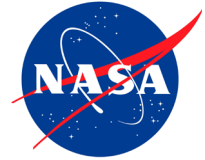


National Aeronautics and Space Administration



**Headquarters**

Washington, DC 20546-0001

September 10, 2021

Reply to attn. of: Office of Communications

Gene P. Hamilton  
America First Legal Foundation  
Via Email: [info@aflegal.org](mailto:info@aflegal.org)

Re: NASA FOIA Tracking Number 21-HQ-F-00558

Dear Mr. Hamilton,

This is our **second** interim response to your Freedom of Information Act (FOIA) request to the National Aeronautics and Space Administration (NASA), dated June 23, 2021, and received by the Headquarters (HQ) FOIA Office on June 25, 2021. Your request was assigned FOIA Case Number 21-HQ-F-00558, and seeks:

A. "All records, including but not limited to electronic mail, texts, memoranda, and handwritten notes, of, regarding, referring, or relating to Executive Order 13985, including but not limited to the development and implementation of programs pursued in response to that order, from, to, or in the possession of each of the following NASA components:

1. Headquarters
2. Ames Research Center
3. Armstrong Flight Research Center
4. Glenn Research Center
5. Goddard Space Flight Center
6. Jet Propulsion Laboratory
7. Johnson Space Center
8. Kennedy Space Center
9. Langley Research Center
10. Marshall Space Flight Center
11. NASA Shared Services
12. Stennis Space Center

The timeframe for this request is January 20, 2021, to date the records request is processed.

B. All records and communications regarding, referring, or relating to the decision to implement anti-racism programs. This request includes any

materials used in the referenced programs, to the extent applicable. The timeframe for this request is January 20, 2021, to date, the records request is processed.

- C. All communications regarding, referring, or relating to the Request for Information on Advancing Racial Equity and Support for Underserved Communities in NASA Programs, Contracts and Grants Process, published by NASA on June 15, 2021, in the Federal Register. The timeframe for this request is January 20, 2021, to date the records request is processed.
- D. All records or communications regarding, referring, or relating to policies in place that favor some job or program applicants over others based on social disadvantage, equity, race, minority status, or religion. The timeframe for this request is January 20, 2021, to date the records request is processed.
- E. All records or communications regarding, referring, or relating to policies in place that favor some grant recipients or contractors over others based on social disadvantage, equity, race, minority status, or religion. The timeframe for this request is January 20, 2021, to date the records request is processed.
- F. All communications between NASA staff and any staff working for the Executive Office of the President, relating to the implementation of EO 13985. The timeframe for this request is January 20, 2021, to date the records request is processed.”

In a letter dated August 25, 2021, this office provided some records from NASA’s Office of Diversity and Equal Opportunity (ODEO) at NASA HQ. In that letter, we asked to have a phone call with your office to clarify the portions of your request seeking information from all NASA centers.

On August 27, 2021, we received from NASA’s Mission Support Directorate notice of that office’s reversal of our initial determination regarding your fee category and fee waiver request. Thus, because you were granted fee benefits with that determination, we started our searches for items D and E of your request. We would, however, like to speak to you about the information we learned regarding Executive Order 13985 and OMB’s requirement for agency responses to its questions. This will help us better understand your request and help us determine where we should direct our searches for the other items in your request, namely items A, B, C, and F.<sup>1</sup>

Regarding items D and E of your request, the FOIA unit searched all of NASA’s published policy directives located within NASA’s Online Directive Information System (NODIS), available at [https://nodis3.gsfc.nasa.gov/main\\_lib.cfm](https://nodis3.gsfc.nasa.gov/main_lib.cfm), using the search terms “Executive Order 13985,” “underserved community,” “socially disadvantaged,” “racist,” and “racism.” That search located several published directives that include the terms “underserved community,” and “socially disadvantaged.” A list of those directives is attached for your review and research which also includes the percentage of relevancy for each directive.

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<sup>1</sup> In our first interim response, we explained that NASA formed a steering committee to respond to OMB’s request for agency actions and assessment reports pursuant to E.O. 13985. We have learned that NASA’s Office of Procurement was the lead office to obtain and compile NASA’s information for these reports.

However, please note that they appear to have been created before January 20, 2021, and not in response to Executive Order 13985. The FOIA unit then sent a search request to NASA's Directive and Regulations team under the Mission Support Directorate. As with our search of NODIS, the team lead in the Directive and Regulations office searched NODIS and also located directives with the search terms provided. The team lead provided us with the attached table of those directives for your review. Other than the policy directives already in place prior to January 20, 2021, this office did not locate any new directives (either published or in the review process) as a result of E.O. 13985.<sup>2</sup>

The FOIA unit further tasked searches, as discussed below, to several offices most likely to be in a position to create policies related to hiring, or awarding contracts and/or grants to see if any new policy was created or put in place in response to Executive Order 13985.

Regarding item D of your request – records pertaining to policies in place that favor some job or program applicants over others based on social disadvantage, equity, race, minority status, or religion – we tasked searches in the Office of the Chief Human Capital Officer (OCHCO), and the Office of STEM Engagement (OSTEM) using the information provided in this portion of your request.<sup>3</sup> Those searches located no responsive records. The program official at OCHCO explained the office has in the past and continues to follow the Office of Personnel Management's rules, regulations and authorities published on personnel matters dealing with all of its recruiting actions.<sup>4</sup> The program official for OSTEM also explained that they increased their outreach efforts but do not have any policies for selecting one group over another based on the categories referenced in your request.

Regarding item E of your request – records pertaining to policies in place that favor some grant recipients or contractors over others based on social disadvantage, equity, race, minority status, or religion – we tasked searches in the following offices using the information provided in this portion of your request:<sup>5</sup> the Office of Procurement (OP) which is in charge of agency's acquisition process, the Office of the Chief Financial Officer (OCFO) which is in charge of the Grants Policy and Compliance Unit, and the Office of Small Business Administration Program (SBAP) which is in charge of promoting and integrating small businesses into the competitive base contractors that pioneer the future of space exploration, scientific discovery and aeronautics research.

The search from NASA's OP did not locate any responsive records. The program official explained that OP has an Operating Guide for Developing and Publishing Procurement Policy and Regulations. All new procurement policies begin as a Procurement Information Circular (PIC) or as a Procurement Notice (PN). A PIC is temporary (duration shall not exceed one year) and is used to disseminate procurement-related information and/or clarify existing

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<sup>2</sup> The program team lead provided a list of directives issued before and since January 20, 2021. The directives issued since January 20, 2021 do not appear to be related to the subject of your request and EO 13985. A list of those directives are also enclosed for your review.

<sup>3</sup> The FOIA unit identified these two offices as the only offices likely to have records responsive to item D in your request. If you wish to have any other office(s) searched, please identify that office(s) so we can task additional searches.

<sup>4</sup> Please see NASA's Policy Directives for Human Resources and Personnel 3000-3999 available at [https://nodis3.gsfc.nasa.gov/lib\\_docs.cfm?range=3](https://nodis3.gsfc.nasa.gov/lib_docs.cfm?range=3)

<sup>5</sup> The FOIA unit identified these three offices as the only offices likely to have records responsive to item E in your request. If you wish to have any other offices searched, please identify those offices so we can task additional searches.

policy that is generally not suitable for inclusion in the NASA FAR Supplement. A PN is used to convey revisions to the NFS and/or to convey regulatory revisions to the NFS via a Final Rule Federal Register notice. In response to this request, OP checked the database of PICs and PNs. None have been developed that include the identified search terms. The OP further explained that other than what is on NASA's NODIS website, they have in the past and continue to follow the requirements provided in the Federal Acquisition Regulations to award contracts.

The search from the Office of Small Business Program also did not locate any records for this item. The program official explained that their policy directives are available in NODIS for the Small Business Programs. The program official further explained that to establish new Policy or Directives OSBP follows NPD 1400.1H NASA Directives and Charters Procedural Requirements (effective date March 29, 2019). OSBP also follows the requirements in the Federal Acquisition Regulations (FAR). In particular, FAR part 19. The Office of Small Business programs also follows the requirements of the Code of Federal Regulation (CFR). In particular 13 CFR 124 and 13 CFR 125.

The OCFO's search produced **215 pages** of documents many of which are also publicly available. The Grant Policy and Compliance (GPC) program office under the OCFO division explained that their office has not created any policies that favor grant recipients over others based on social disadvantage, equity, race, minority status or religion. However, in response to EO 13985, GPC revised NASA's Assistance Listings as well as the Notice of Funding Opportunities checklist to only include language previously found within NASA's Proposers Guidebook that explicitly expresses NASA's commitment to nondiscrimination and encourages applications from applicants in underserved communities.

GPC further explained that one grant regulatory policy that may be perceived as favoring financial assistance recipients based on social disadvantage, race or minority status is 2 CFR 200, which includes a requirement for grant recipients to take all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible. (See [§200.321](#).)

We reviewed the responsive records from the OCFO division under the FOIA to determine whether they may be disclosed to you. Based on that review, this office is providing the following:

198 page(s) are released in full (RIF);<sup>6</sup>  
17 page(s) are released in part (RIP);

NASA redacted from the enclosed documents certain information pursuant to the following FOIA exemptions:

**Exemption 6, 5 U.S.C. § 552(b)(6)**

Exemption 6 allows withholding of "personnel and medical files and *similar files* the disclosure of which would constitute a clearly unwarranted invasion of personal privacy."

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<sup>6</sup> All page counts are approximate numbers.

5 U.S.C. § 552(b)(6)(emphasis added). NASA invokes exemption 6 to protect NASA employees' cell phone numbers referenced in the attached emails.

### **Unusual Circumstances**

As explained in our first interim response, your request is highly complex, seeking an extremely high volume of information for a topic that is ongoing and developing. The agency must review voluminous material and conduct consultations with an outside entity (OMB) to process these documents. When a request involves unusual circumstances, the FOIA unit is required to provide written notice to the requester to inform him/her that an extension of time of more than ten working days is required for the FOIA unit to complete the processing of the request. We ask that you or Mr. Block contact us to discuss the scope of your current request so that it can be processed as quickly and efficiently as possible. Please feel free to either contact me or our Chief FOIA Public Liaison, Stephanie Fox, whose contact information is provided below.

### **Clarification of Records Sought**

As stated above and in our first interim response, under FOIA, an agency will identify the offices most likely to have the responsive records and task a search requesting those offices complete a reasonable search. Because NASA's Office of Procurement took the lead in compiling NASA's 90-day and 200-day reports for OMB pursuant to Executive Order 13985, we would like to discuss our search for records from that office related to items A, B, C and F. We would also like to discuss scoping the request to only include final versions of the referenced reports. As explained before, we also need to obtain the names/titles of the officials you believe may maintain responsive records at our centers, so targeted searches can be initiated.

### **Appeal**

You have the right to appeal my action regarding this interim response to your request. Your appeal must be received within 90 days of the date of this response. Please send your appeal to:

Administrator  
NASA Headquarters  
Executive Secretariat  
ATTN: FOIA Appeals  
MS 9R17  
300 E Street S.W.  
Washington, DC 20546

Both the envelope and letter of appeal should be clearly marked, "Appeal under the Freedom of Information Act." You must also include a copy of your initial request, the adverse determination, and any other correspondence with the FOIA office. In order to expedite the appellate process and ensure full consideration of your appeal, your appeal should contain a brief statement of the reasons you believe this initial determination should be reversed. Additional information on submitting an appeal is set forth in the NASA FOIA regulations at 14 C.F.R. § 1206.700.

**Assistance and Dispute Resolution Services**

If you have any questions or wish to discuss the narrowing of the scope of your request, please feel free to contact me at [Nikki.N.Gramian@NASA.gov](mailto:Nikki.N.Gramian@NASA.gov), or (202) 358-0625. For further assistance and to discuss any aspect of your request or concerning the unusual circumstance we identified for processing your request, you may also contact:

Stephanie Fox  
Chief FOIA Public Liaison  
Freedom of Information Act Office  
NASA Headquarters  
300 E Street, S.W., 5P32  
Washington D.C. 20546  
Phone: 202-358-1553  
Email: [Stephanie.K.Fox@nasa.gov](mailto:Stephanie.K.Fox@nasa.gov)

Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services it offers. The contact information for OGIS is as follows: Office of Government Information Services, National Archives and Records Administration, 8601 Adelphi Road-OGIS, College Park, Maryland 20740-6001, e-mail at [ogis@nara.gov](mailto:ogis@nara.gov); telephone at 202-741-5770; toll free at 1-877-684-6448; or facsimile at 202-741-5769. Thank you and I look forward to hearing from you.

Sincerely,

*Nikki Gramian*

Nikki Gramian  
Principal Agency FOIA Officer

Enclosures

**From:** [Diallo, Christiane S. \(HQ-IM030\)](#)  
**To:** [Bernstein, Max](#); [Sladek, Mary F. \(HQ-DA000\)](#)  
**Subject:** SMD FY 2021 Assistance Listings Review and Update  
**Date:** Tuesday, June 1, 2021 3:21:00 PM  
**Attachments:** [SMD 2020 Assistance Listing.pdf](#)  
[Assistance Listing Template.doc](#)

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Good afternoon Max and Mary

As noted in the May e-Blast, OMB has requested Agencies to review and update its existing Assistance to ensure compliance with the Federal Program Information Act (Public Law 95-220 and Public Law-169). To assist GPC in this effort, I am providing for your review a copy of SMD's 2020 Assistance listing; which is also accessible in [sam.gov](http://sam.gov), as well as a template that you may use to include any additional updates.

As you review the information from prior year, please note that the following elements must reflect accurate information, as they are integral to the complete display of spending transparency information required by the Data Accountability and Transparency Act (DATA ACT) available on USASpending.gov.

- Description of the program, objectives of the program, types of activities funded by the program,
- Eligibility requirements, uses, and restrictions on the use of assistance, duties of recipients under the program,
  - **Note:** In response to the President's [Executive Order 13985](#) "*Advancing Racial Equity and Support for Underserved Communities Through the Federal Government*", GPC is requesting that Mission Directorates include a statement highlighting NASA's commitment to Diversity & Inclusion as reflected on page 3 of the [Guidebook for Proposers](#).
- Financial information, including the amount of funds appropriated for the current fiscal year,
- General description of any application requirements and Procedures; and
- Agency points of contact

We request that you provide your updates or response no later than **Friday July 1st**. In the meantime, if you have questions or would like to setup a meeting to discuss, please let me know.

Thank you!

Christiane Diallo

NASA HQ  
OCFO|Policy Division|Grants Policy & Compliance  
300 E St., SW|Room 8025|Washington, DC 20546  
Office: 202-358-5179

Mobile: b6 [REDACTED]  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)



**From:** [Diallo, Christiane S. \(HQ-IM030\)](#)  
**To:** [Springer, Tony \(HQ-ED000\)](#); [Nijhawan, Anil K. \(HQ-ED000\)](#)  
**Subject:** ARMD FY 2021 Assistance Listings Review and Update  
**Date:** Wednesday, June 2, 2021 9:58:00 AM  
**Attachments:** [ARMD 2020 Assistance Listing.pdf](#)  
[Assistance Listing Template.doc](#)

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Good morning Tony and Neal,

As noted in the Grants Policy and Compliance' May e-Blast, OMB has requested Agencies to review and update its existing Assistance Listings to ensure compliance with the Federal Program Information Act (Public Law 95-220 and Public Law-169). To assist GPC with this effort, I am providing for your review a copy of ARMD's 2020 Assistance listing; which is also accessible in [sam.gov](#), as well as a template that you may use to include any additional updates.

As you review the information from prior year, please note that the following elements must reflect accurate information, as they are integral to the complete display of spending transparency information required by the Data Accountability and Transparency Act (DATA ACT) available on USASpending.gov.

- Description of the program, objectives of the program, types of activities funded by the program,
- Eligibility requirements, uses, and restrictions on the use of assistance, duties of recipients under the program,
  - **Note:** In response to the President's **Executive Order 13985 "Advancing Racial Equity and Support for Underserved Communities Through the Federal Government"**, GPC is requesting that Mission Directorates include a statement highlighting NASA's commitment to Diversity & Inclusion as reflected on page 3 of the [Guidebook for Proposers](#)
- Financial information: - Actuals for Fiscal Year 2020; Estimates for FY 2021 and (FY 2022 if available)
- General description of any application requirements and Procedures; and
- Agency points of contact

We request that you provide your updates or response no later than **Friday July 2<sup>nd</sup>**. In the meantime, if you have questions or would like to setup a meeting to discuss, please let me know.

Thank you!

*Christiane Diallo*

Mary W. Jackson NASA HQ Bldg.

OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: **b6**  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

**From:** [Nijhawan, Anil K. \(HQ-ED000\)](#)  
**To:** [Diallo, Christiane S. \(HQ-IM030\)](#)  
**Subject:** ARMD FY 2021 Assistance Listings Review and Update  
**Date:** Tuesday, June 15, 2021 2:52:34 PM  
**Attachments:** [Assistance listing Response to Christiane Diallo.docx](#)

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Hi Christian:

Please find attached the updates as desired by you on Assistance listings. As we discussed. I have highlighted the updates in yellow.

Thanks

Neal

## ASSISTANCE LISTINGS

# Aeronautics

## Objectives

The NASA Mission draws support from NASA's world-class capability for aeronautical research founded on a tradition of expertise in aeronautical engineering and core research areas from within the Aeronautics Research Mission Directorate (ARMD). ARMD maintains and advances U.S. global leadership in aviation through applications of new concepts and technologies pioneered by NASA and developed in partnership with U.S. Industry that lead to transformative improvements in mobility, efficiency, and safety.

Major Program Areas of the Aeronautics Research Mission Directorate:

- The Advanced Air Vehicles Program (AAVP) - conducts cutting-edge research that will generate innovative concepts, technologies, capabilities, and knowledge to enable revolutionary advances for a wide range of air vehicles. AAVP's goal is to enable new aircraft to fly safer, faster, cleaner, quieter, and use fuel far more efficiently.
- The Airspace Operations and Safety Program (AOSP) - develops and explores fundamental concepts, algorithms, and technologies to increase throughput and efficiency of the National Airspace System (NAS) safely. AOSP-developed NextGen methods and means will provide advanced automated support to air navigation service providers and aircraft operators to reduce air-travel times and delays, and ensure greater safety in all weather conditions.
- The Integrated Aviation Systems Program (IASP) - conducts flight-oriented, system-level research and technology development to effectively mature and transition advanced aeronautic technologies into future air vehicles and operational systems.
- The Transformative Aeronautics Concepts Program (TCAP) – cultivates multi-disciplinary revolutionary concepts, creates the environment for researchers to

experiment with new ideas, and drives rapid turnover into potential future concepts to enable aviation transformation. Research is organized to engage both the traditional aeronautics community and non-traditional partners.

## **Applicant Eligibility**

Basic Research, Educational Outreach, or Training Opportunities in the area of Aeronautics. Review funding opportunity announcement for additional information.

NASA recognizes and supports the benefits of having diverse and inclusive scientific, engineering, and technology communities and fully expects the reflection of such values in the composition of all panels and teams, including peer review panels, proposal teams, science definition teams, and mission and instrument teams. Per Federal statutes and NASA policy, no eligible applicant shall experience exclusion from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NASA on the grounds of their race, color, creed, age, sex, national origin, or disability. NASA welcomes proposals from all qualified and eligible sources, and especially encourages proposals from Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), small disadvantaged businesses (SDBs), veteran-owned small businesses, service-disabled veteran-owned small businesses (SDVOSB), HUBZone small businesses, and women-owned small businesses (WOSBs), as eligibility requirements apply.

**From:** [Diallo, Christiane S. \(HO-IM030\)](#)  
**To:** [Brooks, Chuck \(HO-LA010\)](#)  
**Subject:** SSMS FY 2021 Assistance Listing Update  
**Date:** Wednesday, June 2, 2021 10:41:00 AM  
**Attachments:** [SSMS 2020 Assistance Listing.pdf](#)  
[Assistance Listing Template.doc](#)

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RIF 1 page  
RIF 1 page (b6)

Good morning Chuck,

OMB has requested Agencies to review and update its existing Assistance Listings to ensure compliance with the Federal Program Information Act (Public Law 95-220 and Public Law-169). To assist GPC with this effort, I am providing for your review a copy of SSMS's 2020 Assistance listing; which is also accessible in [sam.gov](#), as well as a template that you may use to include any additional updates.

As you review the information from prior year, please note that the following elements must reflect accurate information, as they are integral to the complete display of spending transparency information required by the Data Accountability and Transparency Act (DATA ACT) available on USASpending.gov.

- Description of the program, objectives of the program, types of activities funded by the program,
- Eligibility requirements, uses, and restrictions on the use of assistance, duties of recipients under the program,
  - **Note:** In response to the President's **Executive Order 13985** "*Advancing Racial Equity and Support for Underserved Communities Through the Federal Government*", GPC is requesting that Mission Directorates include a statement highlighting NASA's commitment to Diversity & Inclusion as reflected on page 3 of the [Guidebook for Proposers](#)
- Financial information: - Actuals for Fiscal Year 2020; Estimates for FY 2021 and (FY 2022 if available)
- General description of any application requirements and Procedures; and
- Agency points of contact

We request that you provide your updates or response no later than **Friday July 2<sup>nd</sup>**. In the meantime, if you have questions or would like to setup a meeting to discuss, please let me know.

Thank you!

Christiane Diallo

Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: **b6**  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

**From:** [GATLING, JOVONDA PETTIS \(HQ-HA010\)](#)  
**To:** [Diallo, Christiane S. \(HQ-IM030\)](#)  
**Cc:** [Ortiz Collazo, Nylsevalis \(HQ-1556\)](#)  
**Subject:** RE: OSTEM FY 2021 Assistance Listings Review and Update - July 2nd Due Date  
**Date:** Thursday, July 8, 2021 5:34:28 PM  
**Attachments:** [OSTEM Assistance Listing 2021-Final.doc](#)

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Hi Christiane,

Please find attached the OSTEM FY21 Assistance Listing. Let us know if you have any questions.

Thanks,  
Jovonda

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**From:** GATLING, JOVONDA PETTIS (HQ-HA010)  
**Sent:** Thursday, July 1, 2021 10:32 AM  
**To:** HQ-DL-Grants-Policy-Compliance <[hq-dl-grants-policy-compliance@mail.nasa.gov](mailto:hq-dl-grants-policy-compliance@mail.nasa.gov)>  
**Cc:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Subject:** RE: OSTEM FY 2021 Assistance Listings Review and Update - July 2nd Due Date

Hi,

I received a follow up question from an OSTEM PM working the grant fact sheet action that came from your office. Could clarify whether OCFO is pulling the financial data for all missions and we are verifying the numbers as with the Assistance Listings or are we responsible for updating the financials for the fact sheet?

Thanks,  
Jovonda

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**From:** GATLING, JOVONDA PETTIS (HQ-HA010)  
**Sent:** Friday, June 25, 2021 3:29 PM  
**To:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Subject:** RE: OSTEM FY 2021 Assistance Listings Review and Update - July 2nd Due Date

That's perfect. Thanks!

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**From:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Sent:** Thursday, June 24, 2021 4:52 PM  
**To:** GATLING, JOVONDA PETTIS (HQ-HA010) <[jovonda.pettis-gatling@nasa.gov](mailto:jovonda.pettis-gatling@nasa.gov)>  
**Subject:** RE: OSTEM FY 2021 Assistance Listings Review and Update - July 2nd Due Date

Hi Jovonda,

Will a one week extension work? I want to make sure our office has sufficient time to consolidate and perform a quality review of all the updates prior to submitting to OMB. If I receive your updates



no later than July 9<sup>th</sup>, we would be able to meet our deadline of July 23.

*Christiane Diallo*

Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: **b6**  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

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**From:** GATLING, JOVONDA PETTIS (HQ-HA010) <[jovonda.pettis-gatling@nasa.gov](mailto:jovonda.pettis-gatling@nasa.gov)>  
**Sent:** Thursday, June 24, 2021 12:06 PM  
**To:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Subject:** RE: OSTEM FY 2021 Assistance Listings Review and Update - July 2nd Due Date

Hi Christiane,

Thanks for taking time to discuss this action with me. Is July 2<sup>nd</sup> a hard deadline? In speaking with my OSTEM team there are currently several competing priorities as we are in the thick of PPBE. We unfortunately have the same folks involved in the completion/review of all the deliverables. Is there a possibility for an extension?

Thanks,  
Jovonda

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**From:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Sent:** Tuesday, June 22, 2021 1:46 PM  
**To:** GATLING, JOVONDA PETTIS (HQ-HA010) <[jovonda.pettis-gatling@nasa.gov](mailto:jovonda.pettis-gatling@nasa.gov)>  
**Subject:** FW: OSTEM FY 2021 Assistance Listings Review and Update - July 2nd Due Date  
**Importance:** High

Good afternoon Jovonda,

It was great talking to you and walking through the Assistance Listing update requirements. As promised, below is the initial email that went out and include the information on NASA commitment to Diversity and Inclusion.

I am also attaching OSTEM Grants Facts sheet; which is also accessible on the Grants Policy & Compliance [website](#).

Christiane Diallo

Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: b6  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

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**From:** Allen, Lenell (HQ-HA010) <[lenell.allen@nasa.gov](mailto:lenell.allen@nasa.gov)>  
**Sent:** Monday, June 14, 2021 6:47 AM  
**To:** Alston, Erica J (LARC-B411A) <[erica.j.alston@nasa.gov](mailto:erica.j.alston@nasa.gov)>; Doreswamy, Rajiv N. (MSFC-HP10) <[rajiv.doreswamy@nasa.gov](mailto:rajiv.doreswamy@nasa.gov)>; Compton, Jeppie R. (KSC-HA010) <[jeppie.r.compton@nasa.gov](mailto:jeppie.r.compton@nasa.gov)>; Krell, Mitch (SSC-UA00) <[mitch.krell@nasa.gov](mailto:mitch.krell@nasa.gov)>; Johnson, Torry A. (HQ-HA010) <[torry.johnson@nasa.gov](mailto:torry.johnson@nasa.gov)>; Olsen, Carrie D. (MSFC-HA010) <[carrie.olsen@nasa.gov](mailto:carrie.olsen@nasa.gov)>; Girten, Beverly E. (HQ-HA020) <[beverly.e.girten@nasa.gov](mailto:beverly.e.girten@nasa.gov)>  
**Cc:** Ho, Elaine P. (HQ-HA010) <[elaine.p.ho@nasa.gov](mailto:elaine.p.ho@nasa.gov)>; Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>; Allen, Lenell (HQ-HA010) <[lenell.allen@nasa.gov](mailto:lenell.allen@nasa.gov)>  
**Subject:** FW: OSTEM FY 2021 Assistance Listings Review and Update - July 2nd Due Date  
**Importance:** High

Hi All,

I'm forwarding Christiane's email I received while I was out of the office on personal leave. As noted in her email, she's requesting each OSTEM Program Manager to review and update their FY2021 Assistance Listings data. If you have any questions please follow-up with Christiane.

Thanks!

Lenell...

**Lenell Allen, Ph.D.**  
Grants Policy Manager  
The STEM Engagement Program

**E:** [lenell.allen@nasa.gov](mailto:lenell.allen@nasa.gov)  
**P:** 202-358-1762  
**M:** b6

---

**From:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Sent:** Tuesday, June 1, 2021 3:39 PM  
**To:** Allen, Lenell (HQ-HA010) <[lenell.allen@nasa.gov](mailto:lenell.allen@nasa.gov)>

**Subject:** OSTEM FY 2021 Assistance Listings Review and Update

Good afternoon Lenell,

As noted in the May e-Blast, OMB has requested Agencies to review and update its existing Assistance to ensure compliance with the Federal Program Information Act (Public Law 95-220 and Public Law-169). To assist GPC in this effort, I am providing for your review a copy of OSTEM's 2020 Assistance listing; which is also accessible in [sam.gov](http://sam.gov), as well as a template that you may use to include any additional updates.

As you review the information from prior year, please note that the following elements must reflect accurate information, as they are integral to the complete display of spending transparency information required by the Data Accountability and Transparency Act (DATA ACT) available on USASpending.gov.

- Description of the program, objectives of the program, types of activities funded by the program,
- Eligibility requirements, uses, and restrictions on the use of assistance, duties of recipients under the program,
  - **Note:** In response to the President's [Executive Order 13985](#) "*Advancing Racial Equity and Support for Underserved Communities Through the Federal Government*", GPC is requesting that Mission Directorates include a statement highlighting NASA's commitment to Diversity & Inclusion as reflected on page 3 of the [Guidebook for Proposers](#).
- Financial information: - Actuals for Fiscal Year 2020; Estimates for FY 2021 and (FY 2022 if available)
- General description of any application requirements and Procedures; and
- Agency points of contact

We request that you provide your updates or response no later than **Friday July 2<sup>nd</sup>**. In the meantime, if you have questions or would like to setup a meeting to discuss, please let me know.

Thank you!

*Christiane Diallo*

Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: **b6**  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

# Assistance Listing Template

## Header Information

### Title (Required)

Spell out any acronyms and limit to 144 characters.

### Popular Name

Many listings do not have a popular name, but if one exists, it may be a name less descriptive than the listing title, an acronym, or a reference to legislation by name or number. The listing title should not be repeated as the popular name.

### Federal Agency (Required)

List the administering department or independent agency. For Cabinet-level departments, the National Foundation on the Arts and the Humanities, Environmental Protection Agency, and the Federal Emergency Management Agency, the primary organizational subunit name should precede the departmental name.

### CFDA Number

Provide a unique three digit CFDA number (for example, enter 244 for CFDA number 10.244)

### Related Federal Assistance Listing

Are there any related assistance listings?

## Overview

### Objectives (Required)

Provide a plain text description highlighting assistance listing goals. Use specific terms that will help public users find this listing.

Basic Research, Educational Outreach, or Training Opportunities in the area of Education.  
Review funding opportunity announcement for additional information.

### Examples of Funded Projects

Provide examples that demonstrate how funding might be used. Describe the subject area without using program names or locations.

Not Applicable

Year	Examples of Funded Projects
Past Fiscal Year: 2020	National Space Grant College and Fellowship Program Minority University Research and Education Program Next Generation STEM Established Program to Stimulate Competitive Research
Current Fiscal Year: Projections	National Space Grant College and Fellowship Program Minority University Research and Education Program Next Generation STEM Established Program to Stimulate Competitive Research
Budget Fiscal Year: Projection	National Space Grant College and Fellowship Program Minority University Research and Education Program Next Generation STEM Established Program to Stimulate Competitive Research

### Assistance Listing Description

Provide an introduction to the listing that tells the public in plain, clear language its purpose, who it serves, and what makes it unique.

NASA's Office of STEM Engagement offers funding programs that reflect the diversity of the United States by targeting higher education, non-profit organizations, and K-12 institutions by offering student hands-on learning opportunities, basic and applied research, and faculty development.

**Functional Codes** (Required)

Enter one or more Functional Codes to help public users search for this listing.

**Subject Terms** (Required)

Enter one or more Functional Codes to help public users search for this. Listing.

**Authorizations**

This section should include the legal authority upon which a program is based. Copy and paste the Authorization/Amendments if you need to add multiple authorizations or Amendments. The system has buttons to Add additional Authorizations and Amendments.

**Authorization/Amendment** (Required)

Please select all that apply:

- Act
- Executive Order
- Public Law
- Statute
- USC

Act

**Title**

**Part**

**Section**

**Description**

Executive Order

**Title**

EO 13779: Historically Black Colleges and Universities (HBCUs) EO 13592: Tribal Colleges and Universities (TCUs)/American Indian and Alaskan Native Serving Institutions (AIANSI) EO 13555: Hispanic Serving Institutions (HSIs) EO 13515: Asian

**Part**

**Section**

**Description**

Public Law

**Congress**

100

**Law Number**

100-147 Title II Section 202

Statute

**Volume**

**Page**

USC

**Title**

**Section**

**Description**

Provide additional information about the Authorizations in the text box if necessary

**Obligations**

Select if applicable

This listing is funded for the current fiscal year?

Select if applicable

Is this a Recovery and Reinvestment Act obligation?

Assistance Type / Salaries and Expenses) (Required)	Obligation Value	Past Fiscal Year (20YY)	Current Fiscal Year (20YY)	Budget Fiscal Year (20YY)	Additional Information
	Choose an item.				
	Choose an item.				
	Choose an item.				

Copy and insert existing row to add additional obligations

**Other Financial Info**

**Range and Average of Financial Assistance**

Enter Amounts for Past, Current and Budget Fiscal Years. Provide additional information in the text box if necessary.

Varies by program. Review funding opportunity announcement(s) for additional information



**Assistance Listing Accomplishments** (Required)

x  Not Applicable

<b>Year</b>	<b>Accomplishments</b>
Past Fiscal Year (20YY)	
Current Fiscal Year (20YY)	
Budget Fiscal Year (20YY)	

**Account Identification** (Required)

**Code** (Required)

80-0128-0-1-252-Education

**Description**

Optionally add a description for this account number

Multiple Account Identifications are allowed. Copy and paste the Code and Description for each Account Identification each TAF. The system has an Add TAFs Code button that will allow for multiple entries.

**TAFS Codes Unique Treasury Appropriation Fund Symbols (Required)**

Enter as many components as possible. Treasury Dept Code and Treasury Account Main Code are required.

**Treasury Dept. Code (Required)**

**Treasury Account Main Code (Required)**

**TAFS Sub Account**

**Allocation Transfer Agency**

**FY 1**

**FY 2**

Multiple TAFS are allowed. Copy and paste the Treasury Dept Code through FY 2 for each TAF. The system has an Add TAFs Code button that will allow for multiple entries.

## Criteria for Applying

### Credentials and Documentation (Required)

No credentials or documentation required.

Financial Assistance Use of Unique Entity Identifier & SAM requirements. Review NASA Proposers Guide and NASA Grant and Cooperative Agreement Manual (GCAM) for specific certifications and assurance requirements. Review funding opportunity announcement for additional information. 2 CFR 200, Subpart E - Cost Principles applies Space Grant and EPSCoR programs. 2 CFR 200, Subpart E - Cost Principles applies to this program.

### Eligibility Requirements (Required)

Applicant Eligibility (Enter all that apply)

Describe who may apply for the assistance. Use specific terms that will help public users find this listing.

### Beneficiary Eligibility

Beneficiary eligibility is the same as applicant eligibility

Beneficiary Eligibility (Enter all that apply)

Describe who may apply for the assistance. Use specific terms that will help public users find this listing.

Review funding opportunity or contact the headquarters (or regional office, as appropriate) for application deadlines.

Review funding opportunity announcement for additional information.

### Length and Time Phasing of Assistance (Required)

Describe the period of time when assistance is available. Also, the period of time when funding must be spent.

**How is this assistance awarder and/or released?** (Required)

Select the value that best represent how funding is released.

**Method of awarding/releasing assistance: letter.**

**Use and Use Restrictions**

Use of Assistance

Describe how assistance may be used. Use specific terms that will help public users find this listing.

Pre-application coordination is required. An environmental impact assessment is required for this listing. This program is excluded from coverage under E.O. 12372. Pre-application coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. See individual funding opportunity announcements to

**Use Restrictions** (Required)

List any restrictions on how assistance may be used. Only provide restrictions specific to your organization or this listing.

Not Applicable

Please describe if applicable

Standard Form (SF) 425

**Are there discretionary funds available?** (Required)

Not Applicable

Please describe if applicable

Evaluation of intrinsic merit includes consideration of the following factors: (i) Overall scientific or technical merit of the proposal and/or unique and innovative methods, approaches, concepts, or advanced technologies demonstrated by the proposal; (ii) Proposer's capabilities, related experience, facilities, techniques, or unique combination of these which are integral factors for achieving the

**Are loans a type of assistance in this assistance listing?** (Required)

Not Applicable

Please describe if applicable

Standard Form (SF) 425

**Applying for Assistance**

**Deadlines (Required)**

By what date(s) or between what dates must an application be received by the Federal agency? If the deadline for submission of application is not available, a statement such as the following should be entered: Contact the headquarters (or regional office, as appropriate) for application deadlines. Where this information is not available, agencies should inform GSA as soon as possible after it becomes available. The phrase "See the Federal Register for deadline dates" is not sufficient. Specific dates must be given. If there are no deadlines, select "Deadlines do not apply."

Choose an item.

**From Date**

Click or tap to enter a date.

**To Date**

Click or tap to enter a date.

**Describe this Deadline**

Copy and paste From Date, To Date, and Describe this Deadline fields if you need to add multiple Deadlines. The system has buttons to Add individual deadlines.

**Other Deadline Information**

The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of

**Pre-Application Coordinator**

Select all that apply

- An environmental impact statement is required for this listing.
- X  An environmental impact assessment is required for this listing.
- Executive Order 12372, "Intergovernmental Review of Federal Programs," applies to this listing.
- X  Other pre-application coordinator is required.

**Additional Information**

Required if "Other pre-application coordinator is required" is selected.

NASA follows the requirements from 2 CFR 200.333

**Application Procedures**

For eligible applicants (including intermediate levels), identified under the Applicant Eligibility section, what are the basic procedural steps required by the Federal agency in the application process, beginning with the lowest level and ending eventually with the Federal government? Do any of the 2 CFR 200 uniform guidance apply? Are there any Other Application Procedures?

Notice of Funding Opportunities (NOFO) for this listing will be posted on Grants.gov

Please list the steps for applying for assistance. Only include instructions not already covered by 2 CFR 200.

General and Special Conditions (Award Terms) 2 CFR 180014 CFR 127414CFR 1259 NASA Grant & Cooperative Agreement Manual

**Criteria for Selecting Proposals**

Select if applicable

There are criteria for selection proposals.

Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. NASA has a New Technology Reporting requirement. See NASA Grants and Cooperative Agreement for interim and final reporting requirements. Some funding opportunities may had additional reporting requirements.

Please describe

**Award Procedure (Required)**

Describe how assistance is awarded. Include who approves the award and how assistance is distributed.

Standard Form (SF) 425

**Date Range for Approval/Disapproval (Required)**

Select the range that best represents how much time the approval process takes.

From 90 to 120 days.

**Other Approval Information**

Provide additional information if appropriate.

EPSCoR uses the Research Performance Progress Report (RPPR). MUREP, NextGen STEM and Space Grant uses a modified RPPR.

**Renewals (Required)**

Select the range that best represents when an awardee may apply for a renewal or extension.  
From 30 to 60 days.

**Other Renewal Information**

Describe renewal or extension procedures.

Standard Form (SF) 425

**Appeals (Required)**

Select the range that best represents how long an applicant has to appeal a decision.  
Not Applicable.

**Other Appeals Information**

Describe appeal, rework, or other options for applications that are not approved.

The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of

**Compliance Requirements**

**Policy Requirements**

Does 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards apply to this assistance listing?

- X  Subpart B, General provisions
- X  Subpart C, Pre-Federal Award Requirements and Contents of Federal Awards
- X  Subpart D, Post Federal; Award Requirements
- X  Subpart E, Cost Principles
- X  Subpart F, Audit Requirements

Additional Information

**Reports**

What reports does the funding agency require?

- X  Program Reports
- X  Cash Reports
- X  Progress Reports
- X  Expenditure Reports
- X  Performance Reports

Program Reports (Required if Program Reports is selected)

Cash Reports (Required if Cash Reports is selected)

General and Special Conditions (Award Terms) 2 CFR 1800 14 CFR 1274 14CFR 1259 NASA Grant & Cooperative Agreement Manual

Progress Reports (Required if Progress Reports is selected)

Expenditure Reports (Required if Expenditure Reports is selected)



Performance Reports (Required if Performance Reports is selected)

**Audits** (Required)

Other Audit Requirements

Describe audit procedures for this program. Only include requirements not already covered by 2 CFR 200

Not Applicable

Please describe if applicable

**Records**

Describe required records. Include the time period when the records must be kept.

**Regulations, Guidelines, and Literature**

List the reference to all official published information pertinent to the program in the order indicated below.

Not Applicable

Please describe if applicable

**Formula Matching Requirements Maintenance of Effort**

This listing has statutory formula/or administrative rule reference in the CFR

**Title**

Matching requirements are not applicable to this assistance listing for MUREP and NextGen STEM.

**Chapter**

**Part**

None. Varies by program. Review funding opportunity announcement(s) for additional information

**Subpart**

Deputy Associate Administrator- Office of STEM Engagement

**Public Law**

Elaine Ho

**Additional Info**

[elaine.p.ho@nasa.gov](mailto:elaine.p.ho@nasa.gov)

This listing has statutory formula/or administrative rule reference in the CFR

Matching Requirements are mandatory

Matching Requirements are voluntary

Matching Requirements are voluntary and part of the rating criteria

**Matching Requirements**

Select the percentage below

**Describe**

202-358-1474

This listing has statutory formula/or administrative rule reference in the CFR

**Maintenance of Effort Requirements and Total Allocations**

MOE requirements are not applicable to this assistance listing.

**Contact Information**

**Regional or local Office**

See Regional Agency Offices

**Additional Information**

Identify Federal regional or local offices that may be contacted about this listing.

300 E Street SW

**Headquarters Office**

**Point of Contact 1 (Required)**

**Title**

**Name (Required)**

Washington

**Email Address (Required)**

DC

**Business Phone (Required)**

20546

**Fax**

**Street Address 1 (Required)**

**Street Address 2**

**City (Required)**

**State (Required)**

**Zip Code (Required)**

**Country (Required)**

**Point of Contact 2 (Optional)**

**Title**

**Name**

**Email Address**

**Business Phone**

**Fax**

**Street Address 1**

**Street Address 2**

**City**

**State**

**Zip Code**

**Country**

**Website**

Provide the primary web page URL for this listing. When possible, the web page should be specific to this listing. List the Website address of the administering office at the headquarters office.

General award processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement(s) and updates for any deviations that may apply to

**From:** [Granell, Irma A. \(KSC-CH000\)](#)  
**To:** [Diallo, Christiane S. \(HQ-IM030\)](#)  
**Subject:** RE: POC for HEO Assistance Listing Update - Past Due to GPC  
**Date:** Thursday, July 22, 2021 11:30:44 PM  
**Attachments:** [HEOMD - Space Operations CFDA Number 43.007.docx](#)  
[HEOMD - Exploration CFDA Number 43.003.docx](#)

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Christiane,

Per previous conversation, Enclosed please find the HEO (Exploration & Space Operations) Assistance Listing update. I may have to add another POC for Exploration at HQ. Checking into that. Let me know if I missed any of the fields that you asked me to update.

Irma

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**From:** Granell, Irma A. (KSC-CH000)  
**Sent:** Thursday, July 22, 2021 5:42 PM  
**To:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Subject:** RE: POC for HEO Assistance Listing Update - Past Due to GPC

Understood. I am actually working it.

---

**From:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Sent:** Thursday, July 22, 2021 5:40 PM  
**To:** Granell, Irma A. (KSC-CH000) <[irma.a.granell@nasa.gov](mailto:irma.a.granell@nasa.gov)>  
**Subject:** RE: POC for HEO Assistance Listing Update - Past Due to GPC  
**Importance:** High

Hi Irma,

Just following up as we are running behind schedule. Please let me know when you can get the updates to me. As previously mentioned our office needs to conduct a quality review and work with you to address any questions we may have before it is submitted to OMB.

Thank you!

*Christiane Diallo*

Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: **b6**  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

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**From:** Diallo, Christiane S. (HQ-IM030)  
**Sent:** Thursday, July 22, 2021 1:35 PM  
**To:** Granell, Irma A. (KSC-CH000) <[irma.a.granell@nasa.gov](mailto:irma.a.granell@nasa.gov)>  
**Subject:** RE: POC for HEO Assistance Listing Update - Past Due to GPC

Thanks Irma. I am looking forward to the updates.

*Christiane Diallo*

Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: **b6**  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

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**From:** Granell, Irma A. (KSC-CH000) <[irma.a.granell@nasa.gov](mailto:irma.a.granell@nasa.gov)>  
**Sent:** Tuesday, July 20, 2021 11:31 AM  
**To:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Subject:** RE: POC for HEO Assistance Listing Update - Past Due to GPC

Hi Christiane,

I expect to send you updates by Thursday.

Irma

---

**From:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Sent:** Tuesday, July 20, 2021 9:27 AM  
**To:** Granell, Irma A. (KSC-CH000) <[irma.a.granell@nasa.gov](mailto:irma.a.granell@nasa.gov)>  
**Subject:** RE: POC for HEO Assistance Listing Update - Past Due to GPC

Good morning Irma,

I was out of the office last week and catching up on emails, and did not see HEO Assistance Listings updates. Can you please confirm when we can expect it so that we can submit to OMB? It is due to OMB on Friday July 23.

*Christiane Diallo*



Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: b6  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

---

**From:** Diallo, Christiane S. (HQ-IM030)  
**Sent:** Thursday, June 24, 2021 4:42 PM  
**To:** Granell, Irma A. (KSC-GGG00) <[irma.a.granell@nasa.gov](mailto:irma.a.granell@nasa.gov)>  
**Subject:** RE: POC for HEO Assistance Listing Update

Hi Irma,

Unfortunately, since the establishment of the GPC's office in 2018, we have not had any luck getting updates from HEO; so we've been reporting the same information with the exception of the obligations and expenditures. If it is any help, I am attaching a copy of what SMD submitted last year as a point of reference.

I am also available tomorrow and Monday if you would like to discuss further.

Thank you!

*Christiane Diallo*

Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: b6  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

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**From:** Granell, Irma A. (KSC-GGG00) <[irma.a.granell@nasa.gov](mailto:irma.a.granell@nasa.gov)>  
**Sent:** Thursday, June 24, 2021 4:07 PM  
**To:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Subject:** RE: POC for HEO Assistance Listing Update

Hi Christiane,

Do you have any examples of what has been submitted in the past by HEO?

- Per 2CFR 200.203, NASA is required to provide public notice of Federal financial assistance programs in sam.gov. These listings provide the public with important information on NASA grant programs, and are updated annually.
- On June 2, 2021 GPC sent an email requesting updates from the designated POCs. A review and update is being requested for the following:
  - Description and objectives of the programs, types of activities funded by the program
  - Eligibility requirements
  - Financial Information
  - General description of any application requirements and procedures
  - Agency Points of Contacts
- **Requested updates are due no later than Friday July 2<sup>nd</sup>.**

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**From:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Sent:** Thursday, June 3, 2021 11:45 AM  
**To:** Granell, Irma A. (KSC-GGG00) <[irma.a.granell@nasa.gov](mailto:irma.a.granell@nasa.gov)>  
**Subject:** RE: POC for HEO Assistance Listing Update

That makes sense. Thank you!

*Christiane Diallo*

Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: **b6**  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

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**From:** Granell, Irma A. (KSC-GGG00) <[irma.a.granell@nasa.gov](mailto:irma.a.granell@nasa.gov)>  
**Sent:** Thursday, June 3, 2021 11:09 AM  
**To:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Subject:** RE: POC for HEO Assistance Listing Update

Thanks. I will follow up. It seems that the AAO is actually pulling actuals not estimates and that is why you do not have numbers for FY 21.

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**From:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Sent:** Thursday, June 3, 2021 11:07 AM  
**To:** Granell, Irma A. (KSC-GGG00) <[irma.a.granell@nasa.gov](mailto:irma.a.granell@nasa.gov)>  
**Subject:** RE: POC for HEO Assistance Listing Update

Thanks for the quick response Irma, and I appreciate you giving Toni a heads up. As for the financial information, we would prefer for the MDs to provide this. In the past we received the budget information from the AAO (office responsible for usa.spending.gov reporting), and there were always some discrepancy between their numbers with what the MDs had on file.

Below is the list of POCs that we have identified for the other MDs.

Mission Directorates	POCs
Science	Max Bernstein & Mary Sladek
Aeronautics	Tony Springer & Anil Nijhawan
OSTEM	Lenell Allen
Safety, Security & Mission Services	Chuck Brooks
Space Technology	Patrick Murphy & Claudia Meyer

*Christiane Diallo*

Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: **b6**  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

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**From:** Granell, Irma A. (KSC-GGG00) <[irma.a.granell@nasa.gov](mailto:irma.a.granell@nasa.gov)>  
**Sent:** Thursday, June 3, 2021 10:51 AM  
**To:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Subject:** RE: POC for HEO Assistance Listing Update

Hi Christiane,

I saw this request in the E-Blast so I gave Toni a heads up that she may get some emails. I did send a note to HEO RMO to determine who would be the appropriate POC. I believe this just felt through the cracks due to FY22 PBR and PPBE 23 PMR actions. Could you send me the names of the other MD POCs? That may inform our management on who to assign as the POC. IMHO it will probably be Brian Dewhurst as the Head of HEO RMO but need to verify.

I don't think there are any changes to the information except the POC. Is the MD expected to provide a FY 21 dollar estimate for awards?

Irma

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**From:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Sent:** Thursday, June 3, 2021 9:34 AM  
**To:** Granell, Irma A. (KSC-GGG00) <[irma.a.granell@nasa.gov](mailto:irma.a.granell@nasa.gov)>  
**Subject:** POC for HEO Assistance Listing Update

Good morning Irma,

Our office is currently coordinating updates to NASA Assistance Listings, which primary purpose is to assist potential applicants in identifying programs that meet their specific objectives while providing general information on federal assistance programs. NASA Assistance Listings are aligned with the Mission Directorates and Appropriations, and published in [sam.gov](http://sam.gov). The updates are done annually to ensure compliance with the Federal Program Information Act (Public Law 95-220 and Public Law-169). Assisting Listing information that must be reviewed and updated are as follows:

- Description of the program, objectives of the program, types of activities funded by the program,
- Eligibility requirements, uses, and restrictions on the use of assistance, duties of recipients under the program,
- Financial information, including the amount of funds appropriated for the current fiscal year,
- General description of any application requirements and Procedures; and
- Agency points of contact

During last year's update, we identified Toni Mumford as the POC for HEO; and sent a couple of emails requesting updated information. Unfortunately we didn't receive a response and was unable to provide a complete update to OMB. We recognize that Toni may not be the correct POC for this task; therefore, I am reaching out to you as someone who we've worked with from HEO, and also hoping that you may be able to point me in the right direction. For your reference, I have attached what was published last year for HEO.

Please let me know if you have questions or would like to set up some time to discuss.

Thank you!

*Christiane Diallo*

Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: **b6**

Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

# Space Operations

## Assistance Listing

### Popular Name

Space Operations

### Department/Ind. Agency

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

### CFDA Number

43.007

### Related Federal Assistance

Not Applicable.

## Overview

### Objectives

Space Operations account consists of four areas: International Space Station (ISS), Space Transportation, Space and Flight Support (SFS), and Commercial LEO Development. NASA is working to foster a robust commercial ecosystem in low-Earth orbit (LEO) in which NASA will be one of many customers. Through the ISS, NASA currently meets its own requirements for research and technology development, while also supporting a burgeoning community of non-NASA users. Over time, NASA has been and will be transitioning various aspects of human spaceflight operations in LEO to the private sector. As the world's only crewed space-based multinational research laboratory and technology test bed, ISS supports the emerging commercial ecosystem in LEO, as well as the future of deep space human exploration.

The ISS promotes commerce in space through public-private partnerships as new commercialization concepts are explored and stimulates non-NASA demand to support commercial destinations being developed under the Commercial LEO Development program; Advances exploration of the solar system and enables scientists to identify and quantify risks to human health and performance, develop countermeasures, and develop and test technologies that protect astronauts during extended human space exploration; Supports unique research and development opportunities in the areas of biological and physical science; Supports current and planned Earth and Space Science observation missions.

## **Examples of Funded Projects**

- Ground and Flight investigations within applied research and development; technology readiness level maturation; and technology demonstrations to be performed on the International Space Station.

## **Authorizations**

Aeronautics and Space Act of 1958

## **Financial Information**

### **Range and Average of Financial Assistance**

-The range in award value depends on the research opportunity's objectives and the number of meritorious proposals accepted.

### **Accomplishments**

Not Applicable.

### **Account Identification**

80-0115-0-1-252-Space Operations

## **Criteria for Applying**

### **Types of Assistance**

B - Cooperative Agreements (Discretionary Grants), B - Cooperative Agreements, B - Project Grants, B - Project Grants (Cooperative Agreements or Contracts), B - Project Grants (Cooperative Agreements), B - Project Grants (Discretionary), B - Project Grants (Fellowships), B - Project Grants (for collaborative design of curriculum, production of, B - Project Grants (for specified projects), B - Project Grants (including individual awards), B - Project Grants (including travel grants)

### **Credentials and Documentation**

No Credentials or Documentation are required.  
2 CFR 200, Subpart E - Cost Principles applies to this program.

### **Applicant Eligibility**

## **Designations**

Government - General, Federal, Interstate, Intrastate, State (includes District of Columbia, public institutions of higher education and hospitals), Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals), Sponsored organization, Public nonprofit institution/organization (includes institutions of higher education and hospitals), Other public institution/organization, Federally Recognized Indian Tribal Governments, U.S. Territories and possessions (includes institutions of higher education and hospitals), Non-Government - General, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business (less than 500 employees), Profit organization, Private nonprofit institution/organization (includes institutions of higher education and hospitals), Quasi-public nonprofit institution/organization, Other private institutions/organizations, State, Anyone/general public, Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, associations)

Basic Research, Educational Outreach, and Training Opportunities in the area of Space Operations. Review funding opportunity announcement for additional information.

## **Beneficiary Eligibility**

### **Designations**

U.S. Territories, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business, Profit organization, Private nonprofit institution/organization, Quasi-public nonprofit organization, Other private institution/organization, Anyone/general public, Interstate, Native American Organizations, Health Professional, Education Professional, Student/Trainee, Graduate Student, Scientist/Researchers, Engineer/Architect, Intrastate, Industrialist/ Business person, Small Business Person, State, U.S. Citizen, Local, Preschool, School, Child (6-15), Youth (16-21), Sponsored organization, Major Metropolis (over 250,000), Other Urban, Suburban, Rural, Education (0-8), Education (9-12), Education (13+), Public nonprofit institution/organization, Other public institution/organization, Federally Recognized Indian Tribal Governments

See funding opportunity announcement for additional information.

## **Length and Time Phasing of Assistance**



Generally, up to three years but no more than five years. Review funding opportunity announcement for additional information. Method of awarding/releasing assistance: letter

## **Use of Assistance**

### **Designations**

Elementary/Secondary Education, Higher Education (includes Research), Libraries/Information/Statistics, Science and Technology, Training, Youth Development

Basic Research, Educational Outreach, and Training Opportunities in the area of Space Operations. Review funding opportunity announcement for additional information. Review funding opportunity announcement for additional information. 85 Percent

## **Applying for Assistance**

### **Deadlines**

Contact the headquarters or regional location, as appropriate for application deadlines

Review funding opportunity announcement for specific deadlines and other key dates.

### **Preapplication Coordination**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. - See individual funding opportunity announcements to determine if Notice of Intent and/or Phase 1 proposals are required. All Principle Investigators and Co-Investigators are required to register in NASA Solicitation and Proposal Integration and Review System (NSPIRS) <https://nspires.nasaprs.com/external>.

### **Application Procedures**

2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards applies to this program.

Notice of Funding Opportunities (NOFO) for this listing will be posted on [Grants.gov](https://www.grants.gov) ([opens in new window](#))([opens in new window](#)).

General application processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for specific application procedures, including requirements for intent to apply and phase 1/phase 2 applications.

### **Criteria for Selecting Proposals**

Evaluation of intrinsic merit includes consideration of the following factors: (i) Overall scientific or technical merit of the proposal and/or unique and innovative methods, approaches, concepts, or advanced technologies demonstrated by the proposal; (ii) Proposer's capabilities, related experience, facilities, techniques, or unique combination of these which are integral factors for achieving the proposal's objectives; (iii) The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel critical in achieving the proposal objectives; and (iv) Evaluation against the state-of-the-art. Review panels are instructed not to compare proposals to each other; all comparative evaluations are conducted by NASA program personnel.

### **Award Procedure**

General award processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for any deviations that may apply to that funding opportunity.

### **Date Range for Approval/Disapproval**

From 90 to 120 days.

### **Renewals**

From 30 to 60 days.

### **Appeals**

Not Applicable.

### **Compliance Requirements**

### **Policy Requirements**

# Exploration

## Assistance Listing

### Department/Ind. Agency

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

### CFDA Number

43.003

### Related Federal Assistance

Not Applicable.

## Overview

### Objectives

Deep Space Exploration Systems consists of two areas, Exploration Systems Development (ESD) and Exploration Research and Development (ERD), which provide for the development of systems and capabilities needed for the human exploration of the Moon and Mars. Exploration Systems Development (ESD) programs work together to build many of the key space transportation systems that will enable the Agency's Artemis Program to land the first woman and first person of color on the Moon and extend human presence into the solar system. The systems include the Orion crew vehicle, Space Launch System (SLS) launch vehicle, and Exploration Ground Systems (EGS). The overarching goal of ERD is to infuse technologies and research into the development of human exploration capabilities using a combination of unique in-house activities, competed research, and public-private partnerships. ERD is developing and testing prototype systems, as well as planning and developing flight missions to lunar orbit and the Moon; and conducting and enabling human research that will form the basis for future human spaceflight missions. ERD is comprised of five programs: Human Landing System (HLS), Advanced Cislunar Surface Capabilities (ACSC), Gateway, Advanced Exploration Systems (AES), and Human Research Program (HRP). AES works to identify and address knowledge gaps and deliver fundamental capabilities to provide astronauts a place to live and work with integrated life support systems, radiation protection, food, fire safety, avionics and software, logistics management, and waste management systems. HRP is responsible for understanding and mitigating the highest risks to astronaut health and performance to ensure crews

remain healthy and productive during long-duration missions beyond low-Earth orbit (LEO).

### **Examples of Funded Projects**

- Human Exploration Research Opportunities (HERO): Solicits applied research in support of NASA's Human Research Program (HRP). The research falls into one or more categories corresponding to HRP's five Elements: Space Radiation, Human Health Countermeasures, Exploration Medical Capability, Human Factors and Behavioral Performance, and Research Operations and Integration. Solicitation covers all aspects of research to provide human health and performance countermeasures, knowledge, technologies, and tools to enable safe, reliable, and productive human space exploration.

- Ground and Flight investigations within applied research and development; technology readiness level maturation; and technology demonstrations.

### **Authorizations**

Aeronautics and Space Act of 1958

### **Financial Information**

#### **Range and Average of Financial Assistance**

The range in award value depends on the research opportunity's objectives and the number of meritorious proposals accepted. Awards will generally range from under \$100K per year for focused, limited efforts (e.g., data analysis) to \$1M per year for extensive activities (e.g., development of scientific hardware) and will be made as a grant, cooperative agreement, or contract.

#### **Accomplishments**

Not Applicable.

#### **Account Identification**

80-0124-0-1-252-Exploration

#### **Criteria for Applying**

## **Types of Assistance**

B - Cooperative Agreements (Discretionary Grants), B - Cooperative Agreements, B - Project Grants, B - Project Grants (Cooperative Agreements or Contracts), B - Project Grants (Cooperative Agreements), B - Project Grants (Discretionary), B - Project Grants (Fellowships), B - Project Grants (for specified projects), B - Project Grants (including individual awards), B - Project Grants (including travel grants), C - Direct Payments for Specified Use, C - Direct Payments for Specified Use (Cooperative Agreements), I - Use of Property, Facilities, and Equipment, J - Provision of Specialized Services, L - Dissemination of Technical Information, M - Training

## **Credentials and Documentation**

Financial Assistance Use of Unique Entity Identifier & SAM requirements. Review NASA Proposers Guide and NASA Grant and Cooperative Agreement (GCAM) for specific certifications and assurance requirements, Review funding opportunity announcement for additional information. 2 CFR 200, Subpart E - Cost Principles applies to this program.

## **Applicant Eligibility**

### **Designations**

Government - General, Federal, Interstate, Intrastate, State (includes District of Columbia, public institutions of higher education and hospitals), Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals), Sponsored organization, Public nonprofit institution/organization (includes institutions of higher education and hospitals), Other public institution/organization, Federally Recognized Indian Tribal Governments, U.S. Territories and possessions, U.S. Territories and possessions (includes institutions of higher education and hospitals), Non-Government - General, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business (less than 500 employees), Profit organization, Private nonprofit institution/organization (includes institutions of higher education and hospitals), Quasi-public nonprofit institution/organization, Other private institutions/organizations, State, Anyone/general public, Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, associations)

Basic Research, Educational Outreach, or Training Opportunities in the area of space exploration. Review funding opportunity announcement for additional information.

## **Beneficiary Eligibility**

## **Designations**

U.S. Territories, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business, Profit organization, Private nonprofit institution/organization, Quasi-public nonprofit organization, Other private institution/organization, Anyone/general public, Interstate, Native American Organizations, Health Professional, Education Professional, Student/Trainee, Graduate Student, Scientist/Researchers, Engineer/Architect, Intrastate, Industrialist/ Business person, Small Business Person, State, U.S. Citizen, Local, Preschool, School, Child (6-15), Youth (16-21), Sponsored organization, Major Metropolis (over 250,000), Other Urban, Suburban, Rural, Education (0-8), Education (9-12), Education (13+), Public nonprofit institution/organization, Other public institution/organization, Federally Recognized Indian Tribal Governments

Review funding opportunity announcement for additional information.

## **Length and Time Phasing of Assistance**

Generally, up to three years but no more than five years. Review funding opportunity announcement for additional information. Method of awarding/releasing assistance: lump sum

## **Use of Assistance**

### **Designations**

Elementary/Secondary Education, Higher Education (includes Research), Libraries/Information/Statistics, Science and Technology, Training, Youth Development

Basic Research, Educational Outreach, or Training Opportunities in the area of space exploration. Review funding opportunity announcement for additional information. Basic Research, Educational Outreach, or Training Opportunities in the area of Exploration. Review funding opportunity announcement for additional information.85 Percent

## **Applying for Assistance**

### **Deadlines**

[Review funding opportunities announcements for specific deadlines and other key dates.](#)

### **Preapplication Coordination**

Preapplication coordination is required. An environmental impact statement is required for this listing. This program is excluded from coverage under E.O. 12372. See individual funding opportunity announcements to determine if Notice of Intent and/or Phase 1 proposals are required. All Principle Investigators and Co-Investigators are required to register in NASA Solicitation and Proposal Integration and Review System (NSPIRS) <https://nspires.nasaprs.com/external>.

## **Application Procedures**

2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards applies to this program.

General application processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for specific application procedures, including requirements for intent to apply and phase 1/phase 2 applications.

## **Criteria for Selecting Proposals**

Evaluation of intrinsic merit includes consideration of the following factors: (i) Overall scientific or technical merit of the proposal and/or unique and innovative methods, approaches, concepts, or advanced technologies demonstrated by the proposal; (ii) Proposer's capabilities, related experience, facilities, techniques, or unique combination of these which are integral factors for achieving the proposal's objectives; (iii) The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel critical in achieving the proposal objectives; and (iv) Evaluation against the state-of-the-art. Review panels are instructed not to compare proposals to each other; all comparative evaluations are conducted by NASA program personnel.

## **Award Procedure**

General award processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for any deviations that may apply to that funding opportunity.

## **Date Range for Approval/Disapproval**

From 90 to 120 days.

## Renewals

From 30 to 60 days.

## Appeals

Not Applicable.

## Compliance Requirements

### Policy Requirements

The following 2CFR policy requirements apply to this assistance listing:

Subpart B, General provisions

Subpart C, Pre-Federal Award Requirements and Contents of Federal Awards

Subpart D, Post Federal; Award Requirements

Subpart E, Cost Principles

Subpart F, Audit Requirements

The following 2CFR policy requirements are excluded from coverage under this assistance listing:

*Not Applicable*

Additional Information:

## Reports

**Program Reports:** Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. NASA has a New Technology Reporting requirement. See NASA Grants and Cooperative Agreement for interim and final reporting requirements. Some funding opportunities may have had additional reporting requirements.

**Cash Reports:** Standard Form (SF) 425.

**Progress Reports:** NASA uses the Research Performance Progress Report.

**Expenditure Reports:** Standard Form (SF) 425

**Performance Reports:** The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful



completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

### **Audits**

Not Applicable.

### **Records**

NASA follows the requirements from 2 CFR 200.333

### **Regulations, Guidelines, and Literature**

General and Special Terms and Conditions (Award Terms) Grants and Cooperative Agreement Manual 2 CFR 1800 14 CFR 1274

### **Formula and Matching Requirements**

Statutory formula is not applicable to this assistance listing.  
Matching requirements are not applicable to this assistance listing.  
MOE requirements are not applicable to this assistance listing.

### **Contact Information**

#### **Regional or Local Locations:**

[See Regional Assistance Locations.](#)

#### **Headquarters Office:**

John R. Allen  
Management and Program Analyst (HRP)- 300 E St., SW,  
Washington, DC 20546

[john.r.allen@nasa.gov](mailto:john.r.allen@nasa.gov)

202.358.4740

**Website:** <http://www.nasa.gov>

**From:** [Kubendran, Lk \(HQ-OA000\)](#)  
**To:** [Diallo, Christiane S. \(HQ-IM030\)](#)  
**Cc:** [Meyer, Claudia M. \(GRC-OA000\)](#); [Murphy, Patrick \(HQ-OC000\)](#); [Lowry, Alesyn \(HQ-IN020\)](#)  
**Subject:** Re: STMD FY 2021 Assistance Listing Review and Update - Past Due  
**Date:** Thursday, July 22, 2021 12:31:48 PM  
**Attachments:** [image001.png](#)  
[image002.png](#)  
[image003.png](#)  
[Assistance Listings STMD Kubendran 2021-07-22.docx](#)

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Christiane,  
Enclosed is the STMD write-up. Apologies for the delay. I didn't make changes to several regulatory sections, as I wasn't familiar with them. Please let me know if you have any questions.

Best Regards,

LK



LK Kubendran, PhD, MBA  
Lead/Commercial Space Technology Partnerships  
Space Technology Mission Directorate/6W40  
NASA Headquarters, Washington, DC 20546  
(202) 358-2528 (office)/(b6) (mobile)  
[lk@nasa.gov](mailto:lk@nasa.gov)  
<https://www.linkedin.com/in/kubendran/>

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**From:** "Diallo, Christiane S. (HQ-IM030)" <christiane.diallo@nasa.gov>  
**Date:** Wednesday, July 21, 2021 at 2:10 PM  
**To:** "Lowry, Alesyn (HQ-IN020)" <alesyn.lowry@nasa.gov>, Laguduva Kubendran <laguduva.r.kubendran@nasa.gov>  
**Cc:** Claudia Meyer <claudia.m.meyer@nasa.gov>, "Murphy, Patrick (HQ-OC000)" <patrick.murphy@nasa.gov>  
**Subject:** RE: STMD FY 2021 Assistance Listing Review and Update - Past Due

Good afternoon all,

I am following up on my email below regarding STMD's assistance Listings update. As a reminder, All NASA Assistance Listings updates are due for GPC's leadership review prior to submission to OMB on

**Friday July 23<sup>rd</sup>**

Thank you!

Christiane Diallo

Mary W. Jackson NASA HQ Bldg.  
OCFO|Policy Division|Grants Policy & Compliance  
300 Hidden Figures Way, SW|Room 8025|Washington, DC 20546  
Office: 202-358-5179

Mobile: b6

Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

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**From:** Lowry, Alesyn (HQ-IN020) <[alesyn.lowry@nasa.gov](mailto:alesyn.lowry@nasa.gov)>  
**Sent:** Monday, June 28, 2021 9:50 AM  
**To:** Kubendran, Lk (HQ-OA000) <[laguduva.r.kubendran@nasa.gov](mailto:laguduva.r.kubendran@nasa.gov)>; Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Cc:** Meyer, Claudia M. (GRC-OA000) <[claudia.m.meyer@nasa.gov](mailto:claudia.m.meyer@nasa.gov)>; Murphy, Patrick (HQ-OC000) <[patrick.murphy@nasa.gov](mailto:patrick.murphy@nasa.gov)>  
**Subject:** RE: STMD FY 2021 Assistance Listing Review and Update

Thank you so much LK!

Alesyn

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**From:** Kubendran, Lk (HQ-OA000) <[laguduva.r.kubendran@nasa.gov](mailto:laguduva.r.kubendran@nasa.gov)>  
**Sent:** Monday, June 28, 2021 9:48 AM  
**To:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Cc:** Meyer, Claudia M. (GRC-OA000) <[claudia.m.meyer@nasa.gov](mailto:claudia.m.meyer@nasa.gov)>; Lowry, Alesyn (HQ-IN020) <[alesyn.lowry@nasa.gov](mailto:alesyn.lowry@nasa.gov)>; Murphy, Patrick (HQ-OC000) <[patrick.murphy@nasa.gov](mailto:patrick.murphy@nasa.gov)>  
**Subject:** Re: STMD FY 2021 Assistance Listing Review and Update

Christiane,

July 9<sup>th</sup> would be very helpful. It will give me adequate time to gather relevant information.

Thank you.

LK



LK Kubendran, PhD, MBA  
Lead/Commercial Space Technology Partnerships  
Space Technology Mission Directorate/6W40  
NASA Headquarters, Washington, DC 20546  
(202) 358-2528 (office) b6 (mobile)  
[lk@nasa.gov](mailto:lk@nasa.gov)  
<https://www.linkedin.com/in/kubendran/>

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**From:** "Diallo, Christiane S. (HQ-IM030)" <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Date:** Monday, June 28, 2021 at 9:45 AM  
**To:** Laguduva Kubendran <[laguduva.r.kubendran@nasa.gov](mailto:laguduva.r.kubendran@nasa.gov)>  
**Cc:** Claudia Meyer <[claudia.m.meyer@nasa.gov](mailto:claudia.m.meyer@nasa.gov)>, "Lowry, Alesyn (HQ-IN020)" <[alesyn.lowry@nasa.gov](mailto:alesyn.lowry@nasa.gov)>, "Murphy, Patrick (HQ-OC000)" <[patrick.murphy@nasa.gov](mailto:patrick.murphy@nasa.gov)>  
**Subject:** RE: STMD FY 2021 Assistance Listing Review and Update

Good morning LK and Claudia,

Patrick provided the response for STMD last year; however I am not sure if he or someone else completed the template. With regards to the due date, would July 9<sup>th</sup> work?

Christiane Diallo

Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: b6  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

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**From:** Kubendran, Lk (HQ-OA000) <[laguduva.r.kubendran@nasa.gov](mailto:laguduva.r.kubendran@nasa.gov)>  
**Sent:** Monday, June 28, 2021 8:22 AM  
**To:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Cc:** Meyer, Claudia M. (GRC-OA000) <[claudia.m.meyer@nasa.gov](mailto:claudia.m.meyer@nasa.gov)>; Lowry, Alesyn (HQ-IN020) <[alesyn.lowry@nasa.gov](mailto:alesyn.lowry@nasa.gov)>; Murphy, Patrick (HQ-OC000) <[patrick.murphy@nasa.gov](mailto:patrick.murphy@nasa.gov)>  
**Subject:** Re: STMD FY 2021 Assistance Listing Review and Update

Christiane,  
I am not sure who within STMD completed this document in the past. I will be happy to review and complete it. But, I may not be able to get it done before sometime next week.  
Thank you.  
LK



LK Kubendran, PhD, MBA  
Lead/Commercial Space Technology Partnerships  
Space Technology Mission Directorate/6W40  
NASA Headquarters, Washington, DC 20546  
(202) 358-2528 (office) / b6 (mobile)  
[lk@nasa.gov](mailto:lk@nasa.gov)  
<https://www.linkedin.com/in/kubendran/>

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**From:** Claudia Meyer <[claudia.m.meyer@nasa.gov](mailto:claudia.m.meyer@nasa.gov)>  
**Date:** Sunday, June 27, 2021 at 9:16 PM  
**To:** "Murphy, Patrick (HQ-OC000)" <[patrick.murphy@nasa.gov](mailto:patrick.murphy@nasa.gov)>, "Lowry, Alesyn (HQ-IN020)" <[alesyn.lowry@nasa.gov](mailto:alesyn.lowry@nasa.gov)>, "Diallo, Christiane S. (HQ-IM030)" <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Cc:** Laguduva Kubendran <[laguduva.r.kubendran@nasa.gov](mailto:laguduva.r.kubendran@nasa.gov)>  
**Subject:** FW: STMD FY 2021 Assistance Listing Review and Update

Christiane –

Patrick Murphy is not with STMD at the moment and I did not fill this out last year. I do not know if he forwarded this to Alesyn.

I am not sure who filled it out last year (I did not).

This was buried deep in my inbox. We had PMR and then I was on leave for 2 weeks. I AM SO SORRY I AM JUST LOOKING AT THIS TODAY and the deadline is 7/2.

Alesyn – I am not sure who filled this out last year. LK, do you know if Bonnie did?

Christiane – it looks like only updates are needed?

Thanks.

Claudia

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**From:** Diallo, Christiane S. (HQ-IM030) <[christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)>  
**Sent:** Wednesday, June 2, 2021 8:25 AM  
**To:** Murphy, Patrick (HQ-OC000) <[patrick.murphy@nasa.gov](mailto:patrick.murphy@nasa.gov)>; Meyer, Claudia M. (GRC-OA000) <[claudia.m.meyer@nasa.gov](mailto:claudia.m.meyer@nasa.gov)>  
**Subject:** STMD FY 2021 Assistance Listing Review and Update

Good morning Patrick and Claudia,

As noted in the Grants Policy and Compliance' May e-Blast, OMB has requested Agencies to review and update its existing Assistance Listing to ensure compliance with the Federal Program Information Act (Public Law 95-220 and Public Law-169). To assist GPC in this effort, I am providing for your review a copy of STMD's 2020 Assistance listing; which is also accessible in [sam.gov](http://sam.gov), as well as a template that you may use to include any additional updates.

As you review the information from prior year, please note that the following elements must reflect accurate information, as they are integral to the complete display of spending transparency information required by the Data Accountability and Transparency Act (DATA ACT) available on USASpending.gov.

- Description of the program, objectives of the program, types of activities funded by the program,
- Eligibility requirements, uses, and restrictions on the use of assistance, duties of recipients under the program,
  - **Note:** In response to the President's [Executive Order 13985](#) "Advancing Racial

*Equity and Support for Underserved Communities Through the Federal Government*", GPC is requesting that Mission Directorates include a statement highlighting NASA's commitment to Diversity & Inclusion as reflected on page 3 of the [Guidebook for Proposers](#)

- Financial information: - Actuals for Fiscal Year 2020; Estimates for FY 2021 and (FY 2022 if available)
- General description of any application requirements and Procedures; and
- Agency points of contact

We request that you provide your updates or response no later than **Friday July 2<sup>nd</sup>**. In the meantime, if you have questions or would like to setup a meeting to discuss, please let me know.

Thank you!

*Christiane Diallo*

Mary W. Jackson NASA HQ Bldg.  
OCFO | Policy Division | Grants Policy & Compliance  
300 Hidden Figures Way, SW | Room 8025 | Washington, DC 20546  
Office: 202-358-5179  
Mobile: **b6**  
Email: [christiane.diallo@nasa.gov](mailto:christiane.diallo@nasa.gov)

**Popular Name**

STMD, Space Tech

**Department/Ind. Agency**

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

**CFDA Number**

43.012

**Related Federal Assistance**

[43.001](#), [43.002](#), [43.003](#)

[View available opportunities on Grants.gov related to this Assistance Listing \(opens in new window\)](#)

**Overview****Objectives**

The Space Technology Mission Directorate (STMD) is dedicated to developing transformative, cross-cutting technologies that enable NASA's missions while also supporting commercial and other government agencies' needs where appropriate. The Space Technology account supports the Administration's priorities of developing new technologies to enable human and robotic exploration of the Moon, Mars, and beyond and enhancing research and development to contribute to U.S. leadership in space technology. Through STMD, NASA invests in high-risk, high-reward activities across the technology development spectrum through partnerships with academia, entrepreneurs, and small and large businesses.

**Examples of Funded Projects**

[https://www.nasa.gov/directorates/spacetech/niac/NIAC\\_funded\\_studies.html](https://www.nasa.gov/directorates/spacetech/niac/NIAC_funded_studies.html)

<https://www.nasa.gov/directorates/spacetech/strg/nstgro>

[https://www.nasa.gov/directorates/spacetech/strg/archives\\_stro.html](https://www.nasa.gov/directorates/spacetech/strg/archives_stro.html)

<https://www.nasa.gov/directorates/spacetech/strg/early-stage-innovations-esi>

<https://www.nasa.gov/directorates/spacetech/strg/lustr>

<https://www.nasa.gov/directorates/spacetech/strg/stri>

<https://www.nasa.gov/features/nasa-selects-31-promising-space-technologies-for-commercial-flight-tests>

<https://www.nasa.gov/feature/ames/nasa-selects-universities-for-collaborative-development>

Fiscal Year 2021 and 2022: STMD anticipates awards to continue the focus on lunar surface technologies in addition to other opportunities.

**Assistance Listing Description**

STMD actively engages its many stakeholders to identify opportunities of common interest to better leverage government investments. Through its Public-Private Partnerships, STMD invests in industry-developed space technologies that can advance the commercial space sector and

benefit future NASA missions. STMD also promotes equity supporting underserved communities through its programs by increasing participation of women and socially or economically disadvantaged businesses, historically black colleges (HBCU), and minority serving institutions (MSI).

Space Technology investments keep NASA's technology pipeline growing with emerging, innovative technologies that benefits a wide range of users, ensuring the nation realizes the full economic value and societal benefit of these innovations. STMD's technology portfolio includes broad technology applications addressing multiple stakeholder needs. Technologies such as autonomous landing and hazard avoidance, advanced cryogenic fluid management, rapid and efficient transit propulsion, advanced materials, and in-space manufacturing and assembly technologies benefit both human and robotic exploration and spur economic growth in the space industry. Robotics, On-orbit Servicing, Assembly, and Manufacturing (OSAM), Small Spacecraft technologies, and Flight Opportunities are specific examples of technologies that support industry needs, thereby enhancing U.S. competitiveness for R&D, innovation, and technology advancement.

Early-Stage Innovation and Partnerships spur collaboration with innovators across the Nation to capitalize on the ideas, talent, and experience of a diverse set of contributors to achieve NASA's Agency objectives. STMD funds early-stage research and development (TRL 1-3) sourced from academia, industry, entrepreneurs, and from the NASA workforce to generate pioneering approaches to the Agency's difficult and far-reaching exploration challenges. It also puts emphasis on increasing participation by women and socially or economically disadvantaged businesses and historically black colleges (HBCU) and minority serving institutions (MSI). NASA sustains these Early-Stage investments at seven to eight percent of the overall Exploration Technology budget which includes Space Technology Research Grants (STRG), NASA Innovative Advanced Concepts (NIAC), Center Innovation Fund (CIF), and Early Career Initiative (ECI). In addition, NASA funds STMD partnership activities including technology transfer and technology commercialization activities, and the Agency's Prizes and Challenges activities (including Centennial Challenges and the NASA Tournament Lab). NASA's Technology Transfer Program ensures NASA's inventions can be utilized to provide U.S. commercial benefit by tracking, analyzing, and reporting investments and progress, as well as managing patent licenses and software releases.

STMD is working with Minority University Research & Education Project (MUREP) to better engage Minority Serving Institutions (MSIs) and Historically Black Colleges & Universities (HBCUs). MUREP, administered by the Office of STEM Engagement, provides financial assistance via competitive awards to MSIs & HBCUs. MUREP's Space Technology Artemis Research (M-STAR) grants offer up to \$500,000 over 2 years for MSIs and HBCUs to strengthen and develop their research capacity and infrastructure in alignment with STMD's technology capability priorities. The initiative's goals, more generally, are to: (1) Expand the nation's base for space technology; (2) Promote MSI/HBCU participation in STMD opportunities; (3) Strengthen participation of faculty, researchers, and students in MSIs/HBCUs in STMD research and related opportunities; and (4) Support a diverse workforce at NASA and in aerospace.



## Authorizations

Aeronautics and Space Act of 1958

## Financial Information

Fiscal Year	FY2020	FY2021 (est)	FY2022 (est)
Grants/Cooperative Agreements	\$ 56,590,000	\$56,590,000	\$60,000,000

## Range and Average of Financial Assistance

Total individual award sizes will vary based on scope from tens of thousands to millions of dollars per award.

## Accomplishments

## Account Identification

80-0131-0-1-252

## Criteria for Applying

## Types of Assistance

Grants; Cooperative Agreements

## Credentials and Documentation

Financial Assistance Use of Unique Entity Identifier and SAM Requirements, Copy of Negotiated Indirect Cost Rate Agreement is required for all entities requesting indirect costs. Check each funding announcement to determine if other credentials, certifications or documentation are required. 2 CFR 200, Subpart E – Cost Principles applies to this program.

## Applicant Eligibility

### Designations

Government - General, Sponsored organization, Public nonprofit institution/organization (includes institutions of higher education and hospitals), Other public institution/organization, Federally Recognized Indian Tribal Governments, Small business (less than 500 employees),

Profit organization, Private nonprofit institution/organization (includes institutions of higher education and hospitals), Quasi-public nonprofit institution/organization

Generally, applications are solicited from institutions of higher learning and non-profit organizations. All applicants should review the appropriate funding announcement to determine eligibility for a specific opportunity.

NASA welcomes proposals from all qualified and eligible sources, and especially encourages proposals from Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), small, disadvantaged businesses (SDBs), veteran-owned small businesses, service-disabled veteran-owned small businesses (SDVOSB), HUBZone small businesses, and women-owned small businesses (WOSBs), as eligibility requirements apply.

## **Beneficiary Eligibility**

### **Designations**

Anyone/general public, Scientist/Researchers

Review funding opportunity announcement for additional information.

### **Length and Time Phasing of Assistance**

Generally, up to three years but no more than five years. Method of awarding/releasing assistance: letter

### **Use of Assistance**

#### **Designations**

Science and Technology

Basic research, applied research, technology development, or training opportunities in the area of space technology. Review funding announcements for specific restrictions. All Space Technology funds are available via discretionary appropriations. No research grants are awarded without full and open competition.

### **Applying for Assistance**

#### **Deadlines**

For the latest opportunities to work with STMD, see our current and upcoming solicitations. Review individual solicitations for specific deadlines.

#### **Preapplication Coordination**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. See individual funding opportunity announcements to determine if Notice of Intent and/or multi-phase proposals are required. All Principal Investigators and Co-Investigators are required to register in NASA

Solicitation and Proposal Integration and Review System (NSPIRES)  
<https://nspires.nasaprs.com/external>.

### **Application Procedures**

2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards applies to this program.

General application processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for specific application procedures, including requirements for intent to apply and multi-phase applications.

### **Criteria for Selecting Proposals**

Please refer to individual solicitations for specific criteria. Generally, evaluation of intrinsic merit includes consideration of the following factors: (i) Overall scientific or technical merit of the proposal and/or unique and innovative methods, approaches, concepts, or advanced technologies demonstrated by the proposal; (ii) Proposer's capabilities, related experience, facilities, techniques, or unique combination of these which are integral factors for achieving the proposal's objectives; (iii) The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel critical in achieving the proposal objectives; and (iv) Evaluation against the state-of-the-art. Review panels are instructed not to compare proposals to each other; all comparative evaluations are conducted by NASA program personnel.

### **Award Procedure**

General award processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for any deviations that may apply to that funding opportunity.

### **Date Range for Approval/Disapproval**

From 90 to 120 days. Review the individual funding opportunity announcement and updates for any deviations that may apply to that funding opportunity.

### **Renewals**

From 60 to 90 days.

### **Appeals**

Not Applicable.

### **Compliance Requirements**

#### **Policy Requirements**

The following 2CFR policy requirements apply to this assistance listing:

Subpart B, General provisions

Subpart C, Pre-Federal Award Requirements and Contents of Federal Awards

Subpart D, Post Federal; Award Requirements

Subpart E, Cost Principles

Subpart F, Audit Requirements

The following 2CFR policy requirements are excluded from coverage under this assistance listing:

Not Applicable

Additional Information:

### **Reports**

Program Reports: Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. NASA has a New Technology Reporting requirement. See NASA Grants and Cooperative Agreement for interim and final reporting requirements. Some funding opportunities may have had additional or alternative reporting requirements.

Cash Reports: A Federal Cash Transactions Report (SF 425), and, when applicable, a Continuation Sheet (SF 425) electronically to DHHS/PMS within 30 working days following the end of each Federal Fiscal quarter

Progress Reports: NASA uses the Research Performance Progress Report.

Expenditure Reports: A final SF 425 in electronic or paper form to NASA within 90 calendar days after the expiration date of the grant.

Performance Reports: The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

### **Audits**

In accordance with the provisions of 2 CFR 200, Subpart F - Audit Requirements, nonfederal entities that expend financial assistance of \$750,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-Federal entities that expend less than \$750,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 2 CFR 200.503 2 CFR 1800 NASA Grants and Cooperative Agreements Manual

### **Records**

Records shall be retained in accordance with 2 CFR §200.333.

### **Regulations, Guidelines, and Literature**

Not Applicable.

### **Formula and Matching Requirements**

Statutory formula is not applicable to this assistance listing.

Matching requirements are not applicable to this assistance listing.

MOE requirements are not applicable to this assistance listing.

## Contact Information

### Regional or Local Locations:

[See Regional Assistance Locations.](#)

### Headquarters Office:

LK Kubendran  
Strategic Planning & Integration - 300 E Street, SW,  
Washington, DC 20546  
[laguduva.r.kubendran@nasa.gov](mailto:laguduva.r.kubendran@nasa.gov)  
202.358.2528

### Website:

<https://www.nasa.gov/directorates/spacetech/home/index.html>  
<https://www.nasa.gov/directorates/spacetech/programs>

**From:** [Murguia, Christopher E. \(HQ-IM030\)](#)  
**To:** [Agency-DL-GPC-e-Blast-Subscription](#)  
**Cc:** [HQ-DL-Grants-Policy-Compliance](#)  
**Subject:** GPC Update - Changes to NOFO Checklist, e-Blast, and Monthly Meetings  
**Date:** Thursday, August 5, 2021 4:28:34 PM  
**Attachments:** [GIC 21-08 NASA NOFO Checklist Update.pdf](#)  
[NASA NOFO Checklist - 8-5-2021.xlsx](#)

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Dear All,

The Grants Policy and Compliance Branch (GPC) would like to provide a few updates regarding the notice of funding opportunity (NOFO) checklist as well as our e-Blast newsletter and monthly meetings. Please find the updates below.

### **NOFO Checklist Update**

As you all know, all NOFOs (also referred to as NASA Research Announcements, Cooperative Agreement Notices, and solicitations) are required to be sent to GPC for review prior to being posted to NSPIRES and Grants.gov. To assist with the NOFO development and review process, GPC has created a checklist that outlines required language that must be in all NOFOs per Federal regulation and NASA policy. The latest version of the checklist can always be found on GPC's Max.gov [website](#), and the policy describing the NOFO approval requirement can be found in the [Grant and Cooperative Agreement Manual \(GCAM\)](#), section 5.8.2. We have also created a NOFO development process [quick reference guide](#) for your convenience.

In response to Executive Order (EO) 13985, *Advancing Racial Equity and Support for Underserved Communities Through the Federal Government*, GPC has updated the NOFO checklist to include new language on nondiscrimination. This language explicitly expresses NASA's commitment to nondiscrimination and encourages applications from underserved communities. The attached Grant Information Circular (GIC) describes the required language, and the language has been added to the checklist under Part C, Eligibility Information. This GIC is effective August 19, 2021, and it will be posted to our GIC [website](#) soon. This language will also be added to the GCAM's NOFO template when a revised version of the document is released later this year.

### **GPC Monthly Meeting & e-Blast Updates**

GPC has a few changes we would like to make to our monthly meetings and e-Blast newsletter. As such, we will neither be hosting our monthly meeting in August nor will we be releasing an e-Blast in August. **We kindly ask those that have the meeting invitation titled "2021 GPC Monthly Meetings" on their calendars to delete the entire meeting series.** We look forward to resuming the monthly meetings and e-Blast in September, and we will send out a new meeting invitation later this month.

Please let me know if you have any questions.

Thank you,

Chris Murguia

Senior Analyst

NASA Headquarters | OCFO | Grants Policy & Compliance Branch

Mobile: b6 [REDACTED]



National Aeronautics and  
Space Administration  
Washington, DC 20546

RIF

## Grant Information Circular

**GIC 21-08**  
**August 5, 2021**

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**PURPOSE:** To inform NASA programs, Grant Officers, and Technical Officers of new language that shall be inserted into all NASA notice of funding opportunities (NOFO). The new language is applicable to all NASA NOFOs published on or after this Grant Information Circular's (GIC) effective date.

**BACKGROUND:** On January 25, 2021, President Biden issued Executive Order (EO) 13985, *Advancing Racial Equity and Support for Underserved Communities Through the Federal Government*, outlining a comprehensive approach to advancing equity for all, including people of color and others who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality. Given that advancing equity requires a systematic approach to embedding fairness in the decision-making process, the EO instructs agencies to recognize and work to redress inequities in their policies and programs that serve as barriers to equal opportunity.

In response to EO 13985, NASA is working to identify and address barriers that underserved communities and individuals may face in taking advantage of procurement, contracting, or grant opportunities. As such, the Grants Policy and Compliance Branch (GPC) has reviewed NASA's grants management policies and procedures to identify actions that can be taken to reduce barriers for and enhance outreach to underserved communities. A first step in addressing barriers to equity is ensuring that all NASA NOFOs explicitly express NASA's commitment to nondiscrimination and encourage applications from underserved communities.

**GUIDANCE:** In accordance with EO 13985, NASA program offices shall ensure that all newly issued NOFOs for grants and cooperative agreements include the following language in the NOFO's eligibility section:

“NASA recognizes and supports the benefits of having diverse and inclusive scientific, engineering, and technology communities and fully expects the reflection of such values in the composition of all panels and teams, including peer review panels, proposal teams, science definition teams, and mission and instrument teams. Per Federal statutes and NASA policy, no eligible applicant shall experience exclusion from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NASA on the grounds of their race, color, creed, age, sex, national origin, or disability. NASA welcomes proposals from all qualified and eligible sources, and strongly encourages proposals from Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), small disadvantaged businesses (SDBs), veteran-owned small businesses, service-disabled veteran-owned small businesses (SDVOSB), HUBZone small businesses, and women-owned small businesses (WOSBs), as eligibility requirements allow.”

GPC has updated the relevant section of the NASA NOFO Checklist to reflect the language above, and the checklist is available to NASA personnel on GPC's [Max.gov website](#).



**EFFECTIVE DATE:** This GIC is effective August 19, 2021.

**REGULATION OR TERM AND CONDITION CHANGES:** No.

**HEADQUARTERS CONTACTS:** Chris Murguia, OCFO, Policy Division, Grants Policy & Compliance Branch, e-mail: [christopher.e.murguia@nasa.gov](mailto:christopher.e.murguia@nasa.gov).



**NATIONAL AERONAUTICS  
AND  
SPACE ADMINISTRATION (NASA)**

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**GUIDEBOOK FOR PROPOSERS  
RESPONDING TO A  
NASA NOTICE OF FUNDING OPPORTUNITY (NOFO)**

**Revised as of April 28, 2021**

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## PREFACE

The Guidebook for Proposers Responding to a NASA Notice of Funding Opportunity (NOFO) (hereafter referred to as the Guidebook) outlines the policies and processes for submitting responses to a NASA NOFO, which are also known as NASA Research Announcement (NRA), or a Cooperative Agreement Notice (CAN). The NRA is used by the program offices to request proposals for basic and applied science and technology research and for science, technology, engineering, and mathematics (STEM) education programs. NOFOs will specify the anticipated award instrument (e.g., grant, cooperative agreement, and/or contract). All proposers applying to a NASA NOFO should adhere to the guidelines contained in this Guidebook to the extent invoked in the NOFO. NASA NOFOs are located in NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES): <https://nspires.nasaprs.com> and Grants.gov: <https://www.grants.gov>.

The order of precedence is the following:

1. Provisions of law
2. Title 2 of the Code of Federal Regulations (CFR) Part 200
3. Title 2 of the Code of Federal Regulations (CFR) Part 1800
4. The NASA Grant and Cooperative Agreement Manual (GCAM)
5. The requirements noted in the NOFO
6. The Guidebook for Proposers

NASA recognizes and supports the benefits of having diverse and inclusive scientific, engineering, and technology communities and fully expects the reflection of such values in the composition of all panels and teams, including peer review panels, proposal teams, science definition teams, and mission and instrument teams. Per Federal statutes and NASA policy, no eligible applicant shall experience exclusion from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NASA on the grounds of their race, color, creed, age, sex, national origin, or disability. NASA welcomes proposals from all qualified and eligible sources, and especially encourages proposals from Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), small disadvantaged businesses (SDBs), veteran-owned small businesses, service-disabled veteran-owned small businesses (SDVOSB), HUBZone small businesses, and women-owned small businesses (WOSBs), as eligibility requirements apply.

The Guidebook may be reproduced in part or total without restriction. The Guidebook can be found at: [NASA Grants Policy and Compliance Branch](#).

## 1. INTRODUCTION TO NASA'S PROGRAMS

NASA is an independent Federal agency of the United States (U.S.) created by the National Aeronautics and Space Act of 1958. NASA has four Mission Directorates, each assigned responsibility for implementing NASA's vision, mission, and values as outlined in the latest NASA Strategic Plan. The Mission Directorates are listed below:

- Science
- Human Exploration and Operations
- Aeronautics Research
- Space Technology

The Mission Directorates pursue NASA's goals using a wide variety of ground-, aeronautical-, and space-based programs, and any of these may issue NOFOs that will incorporate this Guidebook by formal reference.

NASA's Office of STEM Engagement, in collaboration with the Mission Directorates and Offices, issue NOFOs that solicit evidence-based projects that: Foster formal and/or informal STEM education; and/or Contribute to participation by underrepresented or underserved students and education organizations that predominantly (or historically) serve individuals traditionally underrepresented in STEM careers or underserved in STEM higher education, including but not limited to minorities, women, and persons with disabilities. Visit the NASA STEM Engagement website for the most up to date information on performance and priorities:

<https://www.nasa.gov/stem/about.html>.

## 2. PROPOSAL PREPARATION AND ORGANIZATION

Proposers responding to a NASA NOFO are responsible for submitting proposals relevant to the latest NASA Strategic Plan, which is accessible at:

[https://www.nasa.gov/sites/default/files/atoms/files/nasa\\_2018\\_strategic\\_plan.pdf](https://www.nasa.gov/sites/default/files/atoms/files/nasa_2018_strategic_plan.pdf).

If proposed activities are described or understood to be a type of education, proposers are also responsible for submitting proposals relevant to the latest Federal STEM Education Five-Year Strategic Plan, a report from the Committee on STEM (Co-STEM) Education of the National Science and Technology Council (<https://www.whitehouse.gov/ostp/documents-and-reports/>).

The requirements of this Guidebook shall be applicable to the extent invoked by the NOFO. NOFOs may provide other instructions, under which NASA may reject, without review, proposals that do not follow the NOFO instructions.

## **2.1. Submission Guidance**

To assist with the submission of a valid, complete proposal, proposers shall:

- Carefully read the entire NOFO before preparing the proposals. The NOFO includes but is not limited to, key dates, eligibility, program goals and objectives, funding restrictions, evaluation criteria, and submission information. The NOFO also provides information for points of contact and help desks that can answer questions regarding the NOFO and the submission process. Follow the instructions outlined in each NOFO as NASA is legally obligated to review and select proposals per the published NOFO.
- Address the objectives listed in the NOFO with an implementation plan that clearly outlines a detailed breakdown of all tasks the proposer will complete by the period of the performance end date.
- Identify pivotal milestones, knowledge of key publications in the field, and how the proposed activities will extend or build on those accomplishments. If offering innovative work in a new or emerging field, the proposers should strive to balance the provision of tutorial material and the description of new activities.
- Choose non-color-dependent ways of conveying critical information when designing graphics, as reviewers may not be able to differentiate colors or hues.
- Propose fresh, new ideas rather than slight modifications of previously submitted proposals. Simply revising a proposal to meet deficiencies identified in a previous review(s) does **not** guarantee a higher rating or selection of that proposal.
- Propose costs that are reasonable, allowable, and allocable according to 2 CFR 200.405 to the proposed work. Be sure that budgets are thoroughly prepared as they shall provide all the details necessary to justify and facilitate an understanding of the proposed costs. During the non-technical review process, NASA may request the proposer to provide additional information to explain specific items of expenses.
- Familiarize themselves with the proposal submission process and the NSPIRES or Grants.gov websites well before the deadline. If possible, submit proposals well in advance of the proposal submission deadline to minimize the impact of technical difficulties that may arise. Some systems, such as the System for Award Management (SAM), may require extended periods (up to 15 business days) to receive the necessary credentials for submitting a proposal.
- Proofread the proposal carefully before submission and strive for the quality and clarity of the text.

## **2.2. Submission Requirements and Restrictions**

- Proposals that are not submitted by the required deadline(s) and/or do not meet the eligibility, page length, line spacing, font size, and other administrative requirements, as listed in the NOFO, may be returned without review. Electronic submission of only the NSPIRES proposal cover page or the Grants.gov.

- Reprints and/or preprints are not permitted to be appended to a proposal unless accommodated within the proposal page limit.
- Proposals containing unsolicited appendices/attachments may be returned without review
- Proposers are solely responsible for ensuring NASA receives their proposals before the deadline.

### **2.2.1 Special Restrictions for Non-U.S. Organizations**

- In general, per 2 CFR 1800.3, research with foreign organizations will not be conducted through grants or cooperative agreements. Typically, NASA conducts research with non-U.S. organizations on a cooperative, no-exchange-of-funds basis. Although Co-Investigators (Co-Is) or collaborators employed by non-U.S. organizations may identify as part of a proposal submitted by a U.S. organization, NASA funding does not normally support research efforts by non-U.S. organizations and Collaborators at any level, including travel by investigators at non-U.S. organizations. This policy pertains to the nature of the proposing organization and not the nationality or citizenship of the individuals listed in the proposal. The direct purchase of supplies and/or services, which do not constitute research, from non-U.S. sources with NASA-awarded funds is permitted.
- In accordance with Public Law 113-235, Division B, Title V, Section 532, NASA is prohibited from funding any work that involves the bilateral participation, collaboration, or coordination with China or any Chinese-owned company or entity, at the prime recipient level or at any subrecipient level, whether funded or performed under a no-exchange-of-funds basis. Accordingly, proposals shall not include bilateral participation, collaboration, or coordination with China or any Chinese-owned company or entity, whether funded or performed under a no-exchange-of-funds basis. Proposals involving bilateral participation, collaboration, or coordination in any way with China or any Chinese-owned company, whether funded or performed under a no-exchange-of-funds basis, will be ineligible for award.

### **2.3. Notice of Intent (NOI) to Propose**

In some cases, NASA requires submission of the NOI prior to the submission of a complete proposal. In these cases, a proposer's failure to submit the NOI by the specified time may result in non-acceptance of the NOI and any subsequent proposal. If an NOI is required prior to the submission of the proposal the NOFO will state that explicitly.

The material in a NOI is confidential and will be used for NASA planning purposes only unless stated in the NOFO. NOIs shall be submitted via NSPIRES (<https://nspires.nasaprs.com>). Once logged in, proposers will access the "Proposals/NOIs" module and select "Create an NOI", selecting the NOFO to which the NOI will be submitted. Unlike a proposal, submission of an NOI does not require that files be uploaded nor any action by the proposer's Authorized Organizational Representative (AOR).

NOIs allow proposers to submit the following information:



- Title of the anticipated proposal (not to exceed 254 characters). The title shall be readily understandable by a scientifically trained person;
- A brief description of the primary work or research area(s) and objective(s) of the anticipated work or research;
- The names of any Co-Is and/or Collaborators known at the time that the NOI is submitted. To enter these names, those team members **shall** have previously registered in NSPIRES; a Principal Investigator (PI) cannot register on their behalf; and
- Answers to any “Program Specific Data” questions that may be asked, such as a shortened version of the title.

After completing the indicated fields, proposers shall submit the NOI electronically.

## **2.4. Submission Process**

Whether or not an NOI (see above) is required or simply requested, proposals shall be submitted electronically by the AOR at the PI's organization. This submission serves as the required original signature of the proposing organization. NOFOs may specify two options for the submission process, the 1-Step Approach and the 2-Step Approach.

### **2.4.1. One-Step Approach**

Organizations may submit proposals via either of two different electronic proposal submission systems: NSPIRES and Grants.gov; however, all team members and the submitting organization shall be registered in NSPIRES. If submitting a proposal via Grants.gov, the proposer shall ensure that all of the required Grants.gov forms are included (e.g., see Sections 3.8, 3.10, 3.11, 3.17, 3.18 below). The components of the proposal, including the page-limited Science/Technical/Management Plan (see Section 3.13) are provided below in Section 3 of this Guidebook. All team members shall confirm their participation either via NSPIRES or, for Grants.gov submissions, by providing a letter of commitment. Proposals shall be submitted by the due date and time set forth in the NOFO. Failure to do so may result in NASA rejecting the proposal.

### **2.4.2. Two-Step Approach**

Some NOFOs require a two-step submission process, which proceeds as follows:

Step-1 Proposal:

- A complete Step-1 proposal is a minimum prerequisite for submission of a Step-2 proposal;
- The NOFO will outline all the required content needed for the Step-1 proposal;
- The NOFO will specify if there are additional requirements or obligations for Step-2 proposal submission; and
- The AOR shall submit the abbreviated presentation of the intended research or work effort by the required due date.

Step-2 Proposal:

- The NOFO will outline the process for submitting a Step-2 Proposal;
- The NOFO will specify what changes to the proposal are permitted between Step-1 and Step-2;
- The NOFO will also specify whether feedback will be provided in response to the Step-1 Proposal, e.g., changes to incorporate into the Step-2 proposal;
- The NOFO will stipulate if there are additional requirements, such as documentation or explanations needed for the evaluation process; and
- The AOR shall submit the Step-2 proposal by the required due date.

## **2.5. Renewal Proposals**

Recipients of existing awards are permitted to submit "renewal proposals" to continue an ongoing research or work effort to its next logical step in response to NOFOs that include the same NASA program objectives. However, to ensure equitable treatment of all submitted proposals, NASA does not extend any special consideration or preference to such renewal proposals. Therefore, NASA will consider all proposals received in response to a NOFO as new proposals and will review them impartially.

Renewal proposals are welcomed and encouraged and shall describe relevant achievements made during the previous award(s) in their Scientific/Technical/Management Plan. Also, for proposers using the NSPIRES electronic submission system, the proposal cover page provides space for entering the NASA Financial Assistance Identification Number (award number) of any existing award that is the predecessor to the renewal proposal being submitted. If a renewal proposal is selected, NASA may fund the proposal as a new award or by issuing a supplement/modification to the existing award. In either case, the starting date of a renewal award will follow the period of the performance end date of the preceding award (i.e., a renewal award may not overlap the predecessor award). All renewal proposals require a different title from the previous award. A change as simple as adding "Phase 2" is sufficient.

## **2.6. Standard Proposal Style Formats**

Unless otherwise stated in the NOFO, NASA requires electronic submission of proposals and does not accept hard-copy proposals. If a NOFO requires only the electronic submission of proposals, then the AOR's submission of a proposal serves as the required original signature by an authorized official of the proposing organization.

If the NOFO allows or requires both an electronic submission and a paper copy submission, consisting of an original and a specific number of copies, the original and all required copies shall be received at the designated address, time, and date specified in the NOFO. If a paper copy submission is required, the hard copy proposal shall be signed in accordance with the NOFO instructions.

Unless otherwise specified in the NOFO, the standard formats for all types of proposals submitted in response to NOFOs are below:

- Required page size is 8.5x11 inches.

- Pages shall have at least 1-inch (2.5 cm) margins on all sides.
- Proposals shall adhere to the page limits listed in the NOFO.
- Proposals shall be single-spaced, in 12-point font, English-language text, and formatted using one column.
- The font size for symbols in equations shall be consistent with this guideline.
  - Proposers may not adjust or otherwise condense a font or line from its default appearance.
- While text within figures and tables may use a smaller font, it shall, in the reviewers' judgment, be legible without magnification.
- Figure and table captions shall follow the same font requirements and restrictions as the main proposal text.
- Expository text necessary for the proposal may not be located solely in figures or tables, or in their captions.
- Units shall report in the common standard for the relevant discipline.
  - Fold-out pages, illustrations, and/or photographs are allowed, for the display of unique and critically essential proposal data. Fold-out pages will count as multiple pages, dependent on the number of fold-out sections, against the required page limit. For example, a three-section fold-out is considered equal to three pages counted towards the page limitation.
- Only non-proposal material, e.g., page numbers, section titles, disclaimers, are permitted in headers and footers.
- Proposals shall include references to published papers and other products to demonstrate, for example, that the methodology has passed peer review, but shall not include references to materials outside the proposal (e.g., published articles and sites on the internet) for information or material needed to either complete or understand the proposal. Peer reviewers have no obligation to read materials outside of the proposal.

In addition to the above formatting requirements, for any required hard copies of the proposal, the proposer shall submit an easily disassembled single-sided, original version. Any additional copies needed may be printed double-sided. The copies shall be on white 8.5 x 11-inch paper with at least 1-inch (2.5 cm) margins on all sides. Loose-leaf binders, plastic, or permanent covers shall not be submitted.

## **2.7. Overview of Proposal**

Unless specified in the NOFO, proposals shall be assembled according to the sections in the following table in the order shown and within the listed page limits. NASA may reject proposals without review that omit required sections or exceed the page limits (Exemption: If a NOFO specifies exceptions to page limits for certain parts, e.g., the Scientific/Technical/Management Plan). A description of each section follows this table.

<b><u>Required Parts of a Proposal (in order of assembly)</u></b>	<b><u>Page Limit</u></b>
Proposal Cover Page (NSPIRES web forms or Grants.gov forms) including: <ul style="list-style-type: none"> <li>• Proposal Summary – limit to 4,000 characters (including spaces)</li> <li>• Data Management Plan (per the NOFO) – limit to 4,000 characters (including spaces)</li> <li>• NSPIRES cover page budget</li> <li>• Proposal team members</li> <li>• Other required elements</li> </ul>	Constrained by NSPIRES and Grants.gov
Table of Contents	As needed
Scientific/Technical/Management Plan	15*
References and Citations	As needed
Biographical Sketches for: See Section 3.15	
The Principal Investigator(s)	2 (per PI)
Each Co-Investigator	1
Current and Pending Support	As needed
Statements of Commitment and Letters of Support	As needed
<sup>1</sup> Proposal Budget (budget) – both the budget narrative and budget details	As needed
Facilities and Equipment	As needed
Table of Personnel and Work Effort	As needed

## **2.8. Proposal Cover Page**

Proposers submitting their proposals through NSPIRES shall use the NSPIRES proposal cover page that is available at <https://nspires.nasaprs.com/>. Proposers shall complete all elements of the cover page, including the program-specific data element. One or more (per the NOFO) PDF files shall be uploaded to complete the proposal assembly. Once the PI completes the assembly, the AOR shall access the proposal in the NSPIRES system and submit it electronically.

Proposers submitting their proposals through Grants.gov shall complete the required Grants.gov forms, including the SF 424 (R&R) Application for Federal Assistance, R&R Other Project Information, R&R Senior/Key Person Profile, and R&R Budget. Additionally,

<sup>1</sup> NOFOs may require more information in a separate section.

\* Includes all illustrations, tables, and figures, where each "n-page" fold-out counts as n-pages and each side of a sheet containing text or an illustration counts as a page. This page limit may be superseded by instructions in the NOFO.

proposers shall complete the required NASA-specific forms: NASA Other Project Information, NASA PI and Authorized Representative Supplemental Data Sheet, and the Program Specific Data and Proposal Summary PDF forms. These last two forms are part of the instructions file provided for every NOFO on the Grants.gov website. The required PDF file(s) shall also be provided, per the Grants.gov instructions.

Incomplete proposals, including those that omit the required NASA- and program-specific forms or any required PDF file, may be rejected by NASA as noncompliant and not reviewed.

## **2.9. Certifications, Assurances, and Representations**

According to 2 CFR Part 200, Subpart C, Section 200.209 Certifications and Representations, Federal agencies are authorized to require non-Federal entities to submit certifications and representations required by Federal statutes or regulations on an annual basis.

To streamline this data collection and to reduce burdens on award recipients, effective February 1, 2019, the SF-424B Assurances – Non-Construction Programs is optional. Effective January 1, 2020, the System for Award Management (SAM) is the central repository for the standard Government-wide assurances, including financial assistance information collected in the SF-424B. The Office of Management and Budget (OMB), in conjunction with the Federal assistance community, developed standard Government-wide certifications and representations to be certified by the non-Federal entity when registering in SAM. This will reduce the duplicative practice of Federal-awarding agencies requesting certifications and representations with the submission of each Federal financial assistance application per the September 5, 2018, OMB memorandum M-18-24, "[Strategies to Reduce Grant Recipient Reporting Burden](#)." NASA also requires proposers to complete NASA specific certifications, assurances, and agreements in NSPIRES as part of the proposal submission process. Proposers are required to disclose any lobbying activities and shall complete and submit SF- LLL, "[Disclosure of Lobbying Activities](#)," in accordance with the requirements in 31 United States Code (U.S.C.) 1352.

Each registered entity shall renew and revalidate its SAM registration at least every 12 months from the date it previously registered to maintain an active status in SAM. Renewing registration will avoid expiration. An expired registration negatively affects an applicant's ability to apply for and receive NASA awards.

## **2.10 Proposal Summary/Abstract**

The proposal summary (or abstract) shall provide an overview of the proposed investigation that the proposer consents to release through a publicly accessible archive if the proposal is selected for funding. The proposal summary shall be concise and not contain any special characters or formatting. The proposal summary is an NSPIRES cover page element. Grants.gov users shall use a writeable PDF form (downloadable as part of the NOFO instructions zip file from Grants.gov) named "proposalsummary.pdf" to submit this document. The proposal summary document is limited to 4,000 characters (including spaces).

## **2.11 Data Management Plan**

All proposals submitted under a funding opportunity shall submit a Data Management Plan (DMP), per [NASA Plan for Increasing Access to the Results of Scientific Research](#). Proposals for work that will not generate any data or qualify for an exemption, as defined in the NASA Plan, shall specifically demonstrate this in the DMP. Unless instructed in the NOFO, the DMP is part of the NSPIRES cover page or is submitted via the program-specific data form, available as part of the instructions document for a proposal submitted through Grants.gov. Proposers shall refer to the NOFO for any NOFO-specific DMP requirements and information on the evaluation of the DMP.

NASA's Open Data portal at [data.nasa.gov](http://data.nasa.gov) is a registry of NASA dataset metadata, which enables machine-readable dataset discovery. Making information resources accessible, discoverable, and usable by the public helps to fuel entrepreneurship, innovation, and scientific discovery. This portal is a collection of descriptions of datasets; each description is a metadata record. A data catalog intends to facilitate data access by users who are searching for particular types of data. The portal hosts both metadata records and/or original datasets. See [Appendix J](#).

## **2.12 Table of Contents**

Proposers shall include a Table of Contents that provides a guide to the organization and contents of the proposal.

## **2.13 Scientific/Technical/Management Plan**

As the main body of the proposal, this section shall cover the following topics, all within the specified page limit. The NOFO may stipulate additional and/or more specific requirements. This section shall address:

- The goals and expected significance of the proposed work, especially as related to the objectives set forth in the NOFO;
- The perceived impact of the proposed work to the state of knowledge in the field. If the proposal is submitted as a successor to an existing NASA award, the proposal shall include:
  - How the proposed work expects to build upon and extend the previous accomplishments that NASA has supported;
  - The relevance of the proposed work to the specific objectives set forth in the NOFO, and/or to present and/or future NASA programs and interests, such as described in current versions of the [NASA Strategic Plan](#) and/or documents from the soliciting directorate, office, or program (e.g., the [Science Plan](#), the [Strategic Technology Investment Plan](#), the [Strategic Implementation Plan](#), [Voyages: Charting the Course for Sustainable Human Space Exploration](#));
- The technical approach and methodology to be employed in conducting the proposed work, including:

- Proposed experimental designs, methods, techniques, and approaches for achieving the proposed goals and objectives of the NOFO;
  - A description of any hardware or software development, construction or fabrication required to carry out the effort;
  - Sources of error and uncertainties and what effect they may have on the robustness of potential results or conclusions;
  - The resilience of the approach and methodology, e.g., complementary measurements, confirming tests, and likely pitfalls of various approaches;
  - Any special capabilities and advantages of facilities and equipment (a basic description list is in the facilities and equipment section);
  - Technical approach and methodology impact on the budget, and <sup>2</sup>; and
  - The flow of the different tasks and how they feed into one another
- A general implementation plan, including:
    - A project schedule that identifies anticipated key milestones for accomplishments and dependencies between tasks;
    - The management structure for the proposed personnel;
    - Any substantial collaboration(s);
    - Any proposed use of consultant(s); and
    - A description of the expected contribution to the proposed effort, by task and sub-task, by the PI and each person identified in one of the additional categories set forth in [Appendix B](#), regardless of whether or not they derive support from the proposed budget, but not including the information required in the table of personnel and work effort.

The Scientific/Technical/Management Plan section may contain illustrations and figures that amplify and demonstrate key points of the proposal (including milestone schedules, as appropriate). However, they shall be of an easily viewed size and resolution and have self-contained captions that do not contain critical information not provided elsewhere in the proposal.

If an acronym used in the page limited Scientific/Technical/Management (S/T/M) section needs to be defined, it shall be defined within the S/T/M section the first time it is used. Proposers may not define acronyms solely in a list outside of the page-limited S/T/M section. If and only if acronyms are defined within the S/T/M section may an acronym list also be provided outside of the S/T/M section for the reviewer's convenience.

## **2.14 References and Citations**

All references and citations provided in the Scientific/Technical/Management Plan shall use easily understood, standard abbreviations for journals and complete names for books. Also, it

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<sup>2</sup> See the proposal budget section for further discussion of costing details needed for proposals involving significant hardware, software, and/or ground systems development, and, if allowed by a NOFO, proposals for flight instruments.

is highly preferred but not required that these references include the full title of the cited paper or report.

### **2.15 Biographical Sketch(es)**

The proposal shall demonstrate that the personnel and/or participants who will have critical management or technical roles in the effort have the appropriate qualifications, capabilities, and expertise to provide confidence that the proposed objectives will be achieved.

- PIs, Co-PIs, and any Co-I serving in one of the three special Co-I categories and (if the person is known) graduate student participant/trainees defined in Appendix B shall include a biographical sketch that includes their professional experiences, positions and a bibliography of publications, especially those relevant to the proposed effort, as well as, a description of scientific, technical, and management experience on relevant prior efforts.
- Co-Is who are proposing to spend 10% or more of their time (in any given year) to the proposed effort are limited to a one-page sketch.
- PIs, Co-PIs, and any Co-Is who are serving in one of the three special Co-I categories are permitted two pages each for their CV.
- No biographical sketches are required for Co-Is or other team members who are spending less than 10% of their time in any given year on the proposed work unless specified in the NOFO.

### **2.16 Current and Pending Support**

PIs and Co-PIs shall provide all ongoing and pending projects and proposals (regardless of salary support) in which they are performing or will perform any part of the work. Co-Is proposing to spend 10% or more of their time in any given year to the proposed effort shall provide a list of ongoing and pending projects and proposals (regardless of salary support) that require more than 10% of their time in any given year. Proposals do not need to include the current proposal on the list of pending proposals unless it has been submitted in response to another funding opportunity (i.e., NASA or another sponsor).

PIs and Co-PIs also shall list their current and pending support with Chinese universities and other similar institutions or a Chinese-owned company at the prime recipient level and at all subrecipient levels, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement<sup>3</sup>. (See paragraph 2.2.1) For those investigators for whom it is required (see above), the proposal shall provide the following information for each current and pending project:

- Title of funded project or proposal title;
- Name of PI on award or proposal;
- Program name (if appropriate) and sponsoring agency or organization, including a point of contact with their telephone number and email address;

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<sup>3</sup> "China or Chinese-owned Company" means the People's Republic of China (PRC), any company owned by the PRC, or any company incorporated under the laws of the PRC. Chinese universities and other similar institutions are considered to be incorporated under the laws of the PRC and, therefore, the funding restrictions apply to grants and cooperative agreements that include bilateral participation, collaboration, or coordination with Chinese universities.



- Performance period;
- Total amount proposed (if pending) or received by that PI (including indirect costs) for that award or the amount per year if uniform (e.g., \$50k/year); and
- Time commitment by the PI for each year of the period of performance.

The proposing PI shall notify the NASA Program Officer identified in the NOFO immediately of any successful proposals that are awarded for substantially overlapping work as proposed to NASA, any time after the proposal due date and until the announcement of NASA's selections.

Current and pending support is not required for Co-Is at non-U.S. institutions. Current and pending support is usually not required for students, but it may be requested, depending on the requirements of the NOFO. Proposers may request student funding in one of three different ways:

- As a direct labor cost, the same as a key or other personnel;
- As a scholarship or other student aid that shall comply with the requirements in 2 CFR 200.466, Scholarships and student aid costs; or
- As a participant support cost as defined in 2 CFR 200.75 Participation support costs.

## **2.17 Statements of Commitment and Letters of Support**

Every Co-PI, Co-I, and Collaborator identified as personnel on the proposal's cover page and/or in the proposal's Scientific/Technical/Management Plan shall acknowledge their intended participation in the proposed effort. This acknowledgement of commitment is completed through NSPIRES.

Proposers shall include participation statements in the body of the proposal if:

- Team members are unable to confirm their participation through NSPIRES;
- Proposers are directed to do so by the NOFO; or
- A proposer is submitting its proposal through Grants.gov.

Each written statement shall address the PI, may be a facsimile of an original statement or the copy of an email (the latter shall have sufficient information to identify the sender unambiguously), and is required even if the Co-PI, Co-I, or Collaborator is from the proposing organization.

An example of such a statement follows:

"I (we) acknowledge that I (we) am (are) identified by name as Co-Principal Investigator(s), Co-Investigator(s) [and/or Collaborator(s)] to the investigation, entitled <name of proposal>, that is submitted by <name of Principal Investigator> to the NASA funding announcement<alpha-numeric identifier>, and that I (we) intend to carry out all responsibilities identified for me (us) in this proposal. I (we) understand that the extent and justification of my (our) participation, as stated in this proposal, will be considered during peer review in determining in part the merits of this proposal. I (we) have read the entire proposal, including

the management plan and budget, and I (we) agree that the proposal correctly describes my (our) commitment to the proposed investigation.” To conduct work for this investigation, my participating organization is <<insert name of organization>>.”

Letters of support are only required if there is a facility or resource essential to the implementation of the proposal, and a proposal team member does not have guaranteed access to such facility or resource. By submitting a statement of commitment, the team member confirms that any facilities or resources needed for the proposal are readily available for the proposal team members(s) who require its use.

If the proposal involves the conduct of research by a non-U.S. organization, the proposer shall include a signed letter(s) of certification. Such letters shall verify that funding for the research will be provided by a responsible organization(s) or government agency(ies) if NASA selects the proposal. An authorized official of the organization or agency shall sign the letter of certification to make such a commitment.

Statements of commitment and letters of support do not include "letters of affirmation" (i.e., letters that endorse the intrinsic merit, including significance or impact, of a proposal). NASA neither solicits nor evaluates such affirmations or endorsements for proposals. NASA determines, with input from the peer review panel, whether a proposal fully meets the evaluation criteria.

## **2.18 Proposal Budget with Budget Narrative and Budget Details (see [Appendix C for details](#))**

### **2.18.1 Proposal Budget**

The proposal budget consists of two parts: 1) the budget narrative and 2) the budget details. Each proposal shall provide a proposed budget for each year of the proposed effort supported by an appropriate budget narrative and specifics. There shall be a direct parallel between the items described in the budget narrative (written description of purchase), those set forth in the budget details (actual estimates of costs, in whole dollars, for the purchase), and the figures entered in the proposal cover page/Grants.gov forms.

- All proposers from U.S. organizations shall submit a thoroughly detailed cost breakdown (see below for instructions for non-U.S. proposers with U.S. Co-Is).
- All proposed costs shall be directly related to the project and scope of work.
- All proposed costs shall be allowable, allocable, and reasonable.

The NOFO describes the availability or limitation on funds for a proposer’s potential NASA partner (e.g., civil servants, salaries, travel, facilities). If the NOFO provides instructions on how to request a budget for a NASA partner, including the Jet Propulsion Laboratory (JPL), proposers shall list NASA key personnel by name on the NSPIRES cover sheet as team members and any non-key-personnel costs under other direct costs as consulting services, subawards, equipment, etc., as appropriate.

The proposed budget shall include an itemized list detailing expenses within major budget categories, detailed subawards, and a summary of personnel ([Appendix C](#)). The Table of Personnel and Work Effort (Table) shall immediately follow the proposal budget; however, the Table is not to be included in the budget.

#### 2.18.2 Budget Narrative

The budget narrative shall not include any information that belongs in the Scientific/Technical/Management Plan. Instead, it shall:

- Cite the basis of estimate and rationale for each proposed component of cost, including direct labor, subawards, consultants, tuition, other direct costs (including travel), and facilities and equipment;
- Present the rationale for planned work commitments set forth in the table of personnel and work effort based upon the assigned tasks;
- Provide the source of cost estimates (e.g., based on quote, previous purchases for same or similar item(s), cost data obtained from internet research) including the company name and/or URL and date, if known, but need not include the actual price quote or screen captures from the website;
- Describe the need to acquire items costing more than \$5,000 and include the source of the cost estimates as described above; and
- Explain the purpose of any proposed travel concerning the award and provide the basis of estimate, including:
  - Destination (if the destination is not known, the narrative shall include reasonable assumptions about the potential destination and use historical cost data based on previous trips taken or conferences attended),
  - Number of travelers;
  - Number of days;
  - Conference fees;
  - Airfare;
  - Per diem; and
  - Miscellaneous travel expenses (e.g., car rental, airport parking).

#### 2.18.3 Budget Details

The budget details are the actual or estimated costs that correspond with the budget narrative. In this section, proposers shall break out the costs, as needed, for the items listed in the general budget found on the proposal cover page.

#### 2.18.4 Joint Proposals Involving Both U.S. Government and Non-Government Organizations or U.S. Organizations and Non-U.S. Organizations

- Unless specified in the NOFO, if a PI from any private or public organization proposes to team with a Co-I and/or use a facility at a U.S. Government organization (including NASA Centers and JPL), the budget for the proposal shall include all funding requested from NASA for the proposed work effort, including all costs of Government personnel or

facilities to be paid by NASA. This shall be reflected in the budget totals that appear in the budget forms (e.g., proposal cover page, Grants.gov forms, and budget details). Also, the budget narrative and the budget details – other applicable costs shall include any required budget for such Government Co-I and/or facility. If selected, NASA will execute an inter- or intra-agency transfer of funds, as appropriate, to cover the applicable costs at that Government organization.

- If a PI from a U.S. Government organization (including NASA Centers and JPL) proposes to team with a Co-I from a non-Government organization, then the proposing Government organization shall issue a subaward for the costs of the Co-I. Such non-Government Co-I costs shall be entered as a "Subaward" in the budget and identify which Co-I organization is to receive the funding.
- If a PI from a non-U.S. organization proposes to team with a Co-I from a U.S. organization, the proposer shall submit a budget for the U.S. Co-I and identify which Co-I organization is to receive the funding.

#### 2.18.5 Responsibility of the Proposing Organization to Place Subawards for Co-Is at Other Organizations

Other than the special cases discussed above, or unless it is not legally permitted, or unless specifically noted otherwise in the NOFO, the proposing PI organization shall issue a subaward, through an approved funding mechanism, to fund all proposed Co-Is who reside at other non-Government organizations, even though this may result in higher proposal costs because of subcontracting fees.

#### 2.18.6 Full-Cost Accounting at NASA Centers

Regardless of whether functioning as a team member, NASA Center personnel shall propose budgets based on full-cost accounting. Proposal budgets from NASA Center shall include all costs to be paid out of the resulting award. Costs that will not be paid from the resulting award, but that will be paid from a separate NASA budget (e.g., Center Management and Operations, (CM&O)), and that are not based on the success of the specific award, shall not be included in the proposal budget. For example, CM&O shall not be included in the proposal budget, while direct civil service labor, travel, service pools, and other charges to the proposed work effort or research task shall be included. Proposal budgets including JPL participation shall include all costs except for the JPL fixed-fee award amount (formerly the award fee).

### **2.19 Facilities and Equipment**

The technical narrative for facilities and equipment describes any special facilities and equipment that are required for the recipient to complete the project (the Facilities and Administration cost pool shall be provided in the budget section). This section shall:

- Describe any required existing facilities and equipment for the proposed work effort and whether the team already has access to items that are in good working order or if such items need to be repaired, upgraded or acquired (see letters of resource support for facilities and equipment not controlled by a member of the proposal team); and

- Not include any text that belongs in the page-limited Scientific/Technical/Management Plan (e.g., description of the work plan, arguments of perceived impact of the work, descriptions of proposal team roles and responsibilities)

Proposals submitted via Grants.gov shall include facilities and equipment as a separate PDF document to be uploaded to the Grants.gov application and titled "Facilities and Other Resources."

## **2.20 Table of Personnel and Work Effort**

The Table of Personnel and Work Effort (Table) summarizes the proposed work effort, whether performed at the proposing or other organization, and whether NASA funds the work. This section of the proposal shall not describe the work each member will be performing nor include any other technical details that belong in the Scientific/Technical/Management Plan.

- Proposals shall not include the Table in the budget narrative section; instead, this Table shall follow the budget narrative section.
- The table of personnel and work effort shall include the following:
- A listing of the planned work commitment, by person's name or role without any additional technical details of what work they will be doing
- Only those resources that are directly applicable to the proposed research or work effort (as opposed to technical details); The names and/or titles of all personnel necessary to perform the proposed effort, including the planned work funded by NASA, as well as the planned work not funded by NASA;
- Position (i.e., postdoc or technician) if names are not known; and
- Planned work not funded by NASA that is listed in the Table is not considered cost sharing as defined in 2 CFR 200.29, Cost sharing or matching.

## **2.21 Special Notifications and/or Certifications**

Some NOFOs may require proposals to include special notifications or certifications regarding the impact of research concerning the environment, human, or animal care provisions; conflicts of interest; or other topics as may be required by statute, Executive Order, or Government policies. Compliance with such requirements is necessary to ensure the submission of a complete and responsive proposal.

### **2.21.1 Environmental Impact**

All awards shall comply with the National Environmental Policy Act (NEPA). Under NEPA, NASA is required to consider the potential environmental effects of proposed projects. This includes projects NASA funds that are implemented by grant recipients. Most grant-related activities categorically exclude research and development projects that do not pose any adverse environmental impact, which the NASA Grants Record of Environmental Consideration (REC) covers. The following questions enable NASA to identify proposals that do not fall within this blanket REC. Proposals that could result in a potential adverse environmental effect

may require additional NEPA analysis if awarded (e.g., preparation of an Environmental Assessment). "Yes" responses are not proposal review or selection criteria.

		Yes	No
1	Will the proposal involve any activity that includes? <ul style="list-style-type: none"> <li>○ Construction of new facilities or modification to the footprint of an existing facility; or</li> <li>○ Ground disturbance (e.g., excavation, clearing of trees, installation of equipment, etc.); or</li> <li>○ Outdoor discharges of water (e.g., wastewater runoff), air emissions (e.g., ozone-depleting substances), or generation of noise exceeding 115 dBA (excluding those associated with aircraft operations)?</li> </ul>		
2	Will the proposal involve any field activity that will? <ul style="list-style-type: none"> <li>○ Release equipment (e.g., dropsondes, sensors) or chemicals (e.g., dyes, tracers) into the air, bodies of water or on the ground; or</li> <li>○ Release a parachute or use equipment that will not be recovered; or</li> <li>○ Involve equipment or a payload that contains hazardous (e.g., petroleum, hypergolic, oxidizers, solid propellants) or radioactive materials?</li> </ul>		
3	Will the proposal involve the launch of a payload, equipment, or instrument (e.g., via launch vehicle, sounding rocket, balloon)?		
4	Will the proposal involve any activity to be conducted outside the United States or its territories?		

If a proposer anticipates an environmental impact associated with its proposal, it shall plan and budget accordingly. Proposers shall also document the environmental impacts in the program-specific data element of the proposal cover page submitted to NASA. For questions concerning environmental compliance requirements, please address Tina Norwood, NASA NEPA Manager, at [tina.norwood-1@nasa.gov](mailto:tina.norwood-1@nasa.gov).

### 2.21.2 Flight Activities

Proposals that include flight activities (not regular passenger travel) such as aircraft or helicopter flight services, including Unmanned Aircraft Systems (UAS)/Drones operations or the acquisition or construction of such flight vehicles, shall comply with [NASA Policy Directive 7900.4D](#). For questions concerning flight compliance requirements, please contact Norman Schweizer at [norman.s.schweizer@nasa.gov](mailto:norman.s.schweizer@nasa.gov).

### 2.22 Assembly of Electronic Proposals

For proposals submitted electronically, the required parts of the proposal are submitted as one or more unlocked (i.e., without secure digital signature), searchable PDF files. NASA will not accept proposal sections and forms in any other formats. Required and permitted appendices may be included either in the PDF file containing the Scientific/Technical/Management Plan or as separate PDF files attached to the electronic submission, but not both. The NOFO will specify the required number of files to upload to NSPIRES; Grants.gov proposals may provide PDF files as instructed by that application package.

Sections of proposals transferred from Grants.gov to NSPIRES may appear in a slightly different order.

## **2.23 NASA Requirements for Uploaded PDF Files**

PDF files that do not meet the following requirements may be rejected as noncompliant and not submitted to peer review for evaluation.

The file size limit for proposals submitted electronically to NASA through either NSPIRES or Grants.gov is 20 MB, unless otherwise stated in the NOFO. Any embedded photos and graphic files shall be compressed and cropped to an appropriate size and resolution to facilitate the review of the proposal.

Also, any proposer that creates files using TeX or LaTeX is required first to create a DVI file and then convert the DVI file to Postscript and then to PDF. Please see the following link: [https://nspires.nasaprs.com/tutorials/PDF\\_Guidelines.pdf](https://nspires.nasaprs.com/tutorials/PDF_Guidelines.pdf) for more information on creating PDF documents compliant with NSPIRES.

It is the responsibility of each proposer to verify that:

- All PDF files are unlocked, and that edit permission is enabled;
- All fonts are embedded in the PDF file; and
- The proposal is accurate and complete, including all text, figures, tables, and required forms.

NSPIRES provides the "Generate" function (found on the "View Proposal" page within NSPIRES), which allows proposers the ability to verify that all information contained in the proposal PDF file(s) is complete and accurate before submission to NSPIRES. Proposals submitted via Grants.gov will be entered into NSPIRES, usually within a few days of the proposal due date, and checked for completeness and accuracy. The proposer shall immediately contact the NSPIRES Help Desk for assistance with any proposal that is not complete and correct. However, proposers shall submit their proposals by the due date even if a proposal does not properly generate. Tutorials, registration assistance, and other NSPIRES help topics are accessible through the NSPIRES on-line help site at <https://nspires.nasaprs.com/external/help.do>. For any questions and answers that are not available on-line help menus, requests for assistance may be directed by email to [nspires-help@nasaprs.com](mailto:nspires-help@nasaprs.com) or by telephone to (202) 479-9376, Monday through Friday, 8:00 a.m. – 6:00 p.m. (Eastern), excluding Federal holidays.

## **3. PROPOSAL SUBMISSION**

Unless otherwise stated in the NOFO, all proposals shall be submitted electronically, through either NSPIRES or Grants.gov. If the NOFO requires other submission options (e.g., e-mail), proposal shall follow the requirements in that NOFO for which forms or cover page information to submit.

The AOR for the proposing entity shall submit proposals. It is the proposed PI's responsibility to coordinate changes and updates to the proposal with the AOR. In instances where one individual serves as both the PI and the AOR, that individual shall take separate actions for each role to ensure that the proposal is properly submitted.

### **3.1 NSPIRES and SAM Registration Requirements and Instructions**

All organizations and individuals named in the proposal shall register in NSPIRES. NASA is able to issue grant awards only to organizations (including sole proprietorships), and not to individuals. Therefore, NASA does not award grants to PIs in their individual capacity. All organizations participating in a proposal shall use the NSPIRES registration module to affiliate with a PI. Affiliation is a two-way relationship that requires the approval of the targeted organization. Organizations may take some time to respond to requests from PIs for affiliations, which may introduce extra time into the proposal preparation and submission cycle, and the organization's registration process can take more than ten working days, depending on the organization. NASA will not evaluate proposals submitted via Grants.gov if the organization submits its proposal to Grants.gov before the entity registers in NSPIRES.

A prerequisite for registering an organization in NSPIRES is registration in the System for Award Management (SAM). It may take up to 15 business days before an entity's registration is active in SAM. Therefore, NASA advises proposers to start the SAM and NSPIRES registration processes well in advance of the proposal deadline.

Registration for NSPIRES require organizations to have the following:

- Unique Entity Identifier (UEI) (for additional information related to the Unique Entity Identifier, visit: <https://interact.gsa.gov/blog/entity-validation-services-frequently-asked-questions-faqs>); and
- Valid registration with SAM.gov (<https://www.sam.gov/SAM/pages/public/index.jsf>). An organization's electronic business point-of-contact shall perform SAM registration.

Every individual named on the proposal's electronic proposal cover page form or in the Grants.gov forms as a proposing team member in any role, including Co-Is and Collaborators, shall be registered in NSPIRES. Such individuals shall perform this registration themselves; no one else may register a second party, even the PI of a proposal for which that person is committed to participating. The NSPIRES website is secure and all information entered is strictly for NASA's evaluation purposes only.

### **3.2 Submitting Proposals Through NSPIRES**

Proposals may be submitted electronically via NSPIRES at <https://nspires.nasaprs.com>. NASA strongly encourages potential proposers to access the site well in advance of the proposal due date(s) to familiarize themselves with its structure and enter the requested identifier information.

NSPIRES automatically assigns a unique proposal number after the proposal is successfully submitted. NASA uses this NSPIRES number throughout the proposal review and selection process to identify the proposal and its associated electronic data. If an NSPIRES number does not appear on the proposal cover page, this means the proposal was not correctly submitted through the NSPIRES system.

All proposals submitted via NSPIRES shall include the required electronic proposal cover page and one or more uploaded PDF files. The cover page consists of:



- General information about the proposal, the submitting organization, team members that contain the identifier information for the proposing institution and personnel;
- Certification and Authorization;
- A proposal summary that provides an overview of the proposed investigation that is suitable for release through a publicly accessible archive if the proposal is selected;
- Other project information including international collaboration, environmental impact, and historic site impact;
- Program-specific data questions with answers that are unique to each NOFO; and
- The budget for the proposed work effort.

The cover page and PDF upload option is available for access to both the AOR and the PI, notifying them via email of the successful submission of the proposal by the AOR within minutes of that action.

All electronic proposals are due unless otherwise stated in the NOFO, prior to 11:59 pm (Eastern) on the due date listed in the NOFO. The NSPIRES help desk closes at 6 pm (Eastern).

### **3.3 Submission of Proposals Through Grants.gov**

Proposers have the option to use Grants.gov to prepare and submit proposals. Grants.gov allows organizations to electronically find and apply for competed discretionary grant/cooperative agreement opportunities offered by the 26 Federal grant-making agencies. As a reminder, to submit applications on Grants.gov, the AOR shall complete a [one-time registration process](#). Proposers shall access the Grants.gov website well in advance (registration may take longer than ten working days) of the proposal due date(s) to familiarize themselves with its structure and download the appropriate application packages and tools. Registration checklists are included on the Grants.gov website.

All proposals submitted through Grants.gov will be transferred to the NSPIRES system for evaluation by NASA. All individuals and organizations named in the proposal shall register in NSPIRES to enable the transfer. If there are multiple proposals submitted via Grants.gov with the same title and PI, NASA will attempt to accept and review the version with the latest time and date stamp.

Instructions for the use of Grants.gov may be found at <https://www.grants.gov/>. Instructions for NASA specific forms and NASA program-specific forms may be found in the “Instructions” that accompany the specific NOFO application package. For any questions and answers that are not available on-line, requests for assistance may be directed by email to [support@grants.gov](mailto:support@grants.gov) or by telephone to (800) 518-4726. The Contact Center is available 24 hours a day, seven days a week, except for Federal holidays.

To submit a proposal via Grants.gov, the PI shall download the application package from Grants.gov. Identifying the appropriate application package requires using the “Search Grant Opportunities” function within Grants.gov and/or using the funding opportunity number for the specific program. The funding opportunity number is in the NOFO. For omnibus NOFOs, such as

Research Opportunities in Space and Earth Science (ROSES) or Research Opportunities in Aeronautics (ROA), each program element will have a separate funding opportunity number.

Submitting a proposal via Grants.gov requires the following additional steps:

- Proposers shall register in NSPIRES even if they submit their proposal through Grants.gov (proposals are transferred to NSPIRES for review). Grant researchers (PIs) do NOT need to register with Grants.gov;
- To find open and current NASA NOFOs, use "Search Grant Opportunities" at <https://www.grants.gov/web/grants/search-grants.html>. Using the Basic Search function, enter the Funding Opportunity Number to retrieve the application package;
- Download and install any required Grants.gov software applications or tools;
- Download the application package from Grants.gov at <https://www.grants.gov>;
- Complete the required Grants.gov forms, including the SF 424 (R&R) Application for Federal Assistance, R&R Other Project Information, R&R Senior/Key Person Profile, and R&R Budget;
- Complete the required NASA-specific forms: NASA Other Project Information, NASA PI and Authorized Representative Supplemental Data Sheet, NASA Senior/Key Person Supplemental Data Sheet (required only if there are Senior/Key Persons other than the PI), and the proposal summary form. For instructions for program-specific forms, view the "Application Instructions" that accompany the application package. Complete any NASA program-specific forms required for a specific program element. NASA program-specific forms, which are required by many NOFOs, including all ROSES program element submissions, are included as PDF forms within the proposal package downloaded from Grants.gov. The forms, once completed, are attached to the NASA Other Project Information form;
- Create a proposal in PDF, including the Science/Technical/Management plan and all other required sections. Attach the proposal and any allowed or required appendices/attachments (also in PDF) to the appropriate Grants.gov form(s); and
- Submit the proposal via the AOR; the PI may not submit the proposal to Grants.gov unless they are the AOR.

It is the proposer's responsibility to ensure the successful submission of its proposal and to ensure that all required parts of the proposal, as described in the NOFO, are incorporated. Proposers should expect to receive notification from NSPIRES of a successful submission to that system. Contact the NSPIRES Help Desk if notification is not received within two to three business days before the proposal due date.

### **3.4 Other Submission Options**

If a hard copy submittal is also required, proposers shall print the NSPIRES cover page or SF 424 (R&R), as appropriate, and have it signed by the AOR. Submit the signed cover page with the original version of the proposal on or before the proposal due date. Also, use reproductions of the signed proposal cover page to preface the required printed copies of the proposal.

When a hard-copy submission is required, the requisite number of copies of the proposal (as specified in the NOFO), including an original signed by the AOR, shall be received (not postmarked) by 4:30 pm (Eastern) of the submission due date. The address for the delivery of hard-copy proposals, including a telephone number and point-of-contact for commercial delivery, is given in the summary of each NOFO that allows for hard-copy submission.

If both an electronic and hard copy submission is required, the proposer shall submit the required number of copies of the proposal (as specified in the NOFO), along with the original signature of the AOR on the printed proposal cover page, to the address specified in the NOFO by 4:30 pm (Eastern) of the submission due date.

### **3.5 Proposal Receipt**

The PI and AOR will both receive an email from the NSPIRES system indicating that a proposal was successfully submitted. This email is sent shortly after the submission activity. If a proposer does not receive such an email, they should contact the NSPIRES Help Desk. Proposers can also verify that their proposals were submitted by logging into NSPIRES and verifying that the proposal record appears in the "Submitted Proposals" (versus "Unsubmitted Proposals") section of their accounts.

## **4. PROPOSAL REVIEW AND SELECTION**

All proposals submitted in response to a NOFO are evaluated by the same peer-review process regardless of the submitting organization, including NASA Centers. All proposals will have administrative, technical, and financial reviews performed.

### **4.1 Administrative Review**

Proposals that are submitted late or fail to meet the minimum administrative requirements may be returned to the proposer without further review. NSPIRES automatically identifies any late proposals.

NASA's initial review of each proposal determines if it meets the minimum administrative requirements listed in the NOFO. These requirements usually include but are not limited to, the following factors:

- Proposal submitted by the due date(s) and time;
- Proposer and proposing organization were eligible to submit a proposal;
- Proposal met the page, font and spacing limits; and
- Proposer or key personnel are not suspended or debarred from receiving Federal funding.

### **4.2 Technical and Programmatic Review**

[Appendix D](#) lists the basic evaluation criteria for proposals. However, the NOFO may supplement and/or modify specific criteria. NASA always seeks the best possible evaluations by qualified, unconflicted peers of the proposer who are knowledgeable, though not necessarily specialists, in the objective(s) addressed in the proposals. Characteristics of successful proposals are technical

merit, logical structure, completeness, readability, compliance with any published funding limits in the NOFO, and responsiveness to the advertised NASA program. NASA will consider proposals that the reviewers identify as fully meeting the evaluation criteria for funding. NASA peer review members may also participate in determining the relevance of a proposal to the NOFO and the reasonableness of proposed costs.

Following peer evaluation, the cognizant Program Officer will evaluate the competitively rated proposals in the context of the programmatic objectives and financial limitations. The Program Officer will present a recommendation for selection based on the entirety of these factors to the NASA Selection Official identified in the NOFO. The Selection Official will select proposals as judged against the evaluation criteria, the objectives of the NOFO, programmatic considerations, and available financial resources.

### **4.3 Selection**

The announcements of the selections are typically between 150 days and 220 days after the proposal due date. NASA usually does not announce new selections until after the approval of NASA funding through the Federal budget process. Delays in the Federal budget process may delay new selections and their announcements.

After completion of the selection process, each proposer will receive notification regarding the disposition of its proposal. Such notification will be sent via (fill in method of notification).

If a proposal is selected to receive federal assistance funding, the NASA Shared Service Center (NSSC) will work with appropriate personnel at the proposing organization to initiate actions required to support awards. The Grant Officer has the authority to obligate Federal funds and to make awards. Until the issuance of the award, there is no guarantee that financial resources will be available.

Awards are made directly to the proposing organization and not to the PI. Thus, any change in PI affiliation between proposal submission and decision announcements shall be brought to the attention of the NASA official in charge of the NOFO as soon as possible.

### **4.4 Budget, Cost Analysis, and Financial Capability Reviews**

Following the review and selection process, documents are submitted to the NASA Grant Officer for a review to determine if proposed costs are allowable, allocable, and reasonable for the proposed work. Additionally, for grants and cooperative agreements, the Grant Officer will review the risk posed by applicants as required in 2 CFR 200.205. To complete these required reviews, NASA may request proposers to submit additional documentation.

### **4.5 Withdrawal of Proposal**

The proposer may withdraw a proposal at any time for any reason, such as if another organization has agreed to fund the proposal. Proposals submitted using NSPIRES may be

withdrawn electronically by the AOR, or the proposer may send a signed written request to withdraw a proposal to the NASA technical contact listed in the NOFO.

#### **4.6 Proposal Rejected by NASA Without Review**

NASA reserves the right to reject a proposal without review for the following reasons:

- The proposal is nonresponsive to the objectives and/or provisions of the NOFO;
- The proposal does not meet the requirements for proposal format, content, and organization as specified in this Guidebook and/or the NOFO itself;
- The proposal is not submitted by the due date/time set forth in the NOFO;
- The hard copy proposal is not delivered to the specified delivery address by the due date/time set forth in the NOFO;
- The proposal consists of PDF files that do not meet NASA requirements or otherwise cannot be captured by the NSPIRES system; or
- The proposal is submitted through Grants.gov, but the proposer did not register with NSPIRES.

#### **5. AWARD NOTIFICATION**

Soon after the selections are announced, NASA will issue award notices to the proposers as soon as practicable. However, delays may be caused by:

- The need for additional materials from the proposer (e.g., revised budgets and/or budget details) before NASA may legally obligate Federal funding; and
- A delay in Congressional approval of NASA's yearly appropriation/funding.

#### **6. AWARD MANAGEMENT**

For the management of grant or cooperative agreement awards, recipients primarily manage their own research or work efforts with minimal oversight by the Agency. Throughout the entire process—starting with the identification of program objectives, the preparation and peer review of submitted proposals, the conduct of the research or work itself, and, finally, the exposition of new knowledge through publications, public outreach, and education—NASA views itself as a partner with the scientific, engineering, and educational communities in making its programs relevant and productive. Post-award activities are addressed in the NASA Grants and Cooperative Agreement Manual, 2 CFR 200, and 2 CFR 1800 for grant and cooperative agreement awards; and the Federal Acquisition Regulation (FAR) and the NASA FAR Supplement (NFS) for contract research awards.

## **Appendix A**

### **Statements of General Policy**

#### **Awards to NASA Centers**

A selected proposal submitted from a NASA Center is funded directly by NASA Headquarters (HQ) through the Agency's funding mechanism called a Research and Technology Operating Plan (RTOP). Awards made to JPL are funded through the contract between NASA and the California Institute of Technology, which operates and manages JPL.

#### **Awards to Non-NASA Organizations**

NASA determines the most appropriate funding vehicle, which can be a grant, a cooperative agreement, or a contract based upon the nature of the work proposed.

- **Grant** – A legal instrument of financial assistance between a Federal awarding agency or pass-through entity and a non-Federal entity (31 U.S.C. 6302, 6304). It is distinguished from a cooperative agreement in that it does not provide for substantial involvement between the Federal awarding agency or pass-through entity and the non-Federal entity in carrying out the activity contemplated by the Federal award (2 CFR 200.51).
- **Cooperative Agreement** – A legal instrument of financial assistance between a Federal awarding agency or pass-through entity and a non-Federal entity (31 U.S.C. 6302, 6305). A cooperative agreement is distinguished from a grant in that it provides for substantial involvement between the Federal awarding agency or pass-through entity and the non-Federal entity in carrying out the activity contemplated by the Federal award (2 CFR 200.24).
- **Contract** – A mutually binding legal commitment between the Government and a non-Federal entity the principal purpose of which is the acquisition by purchase, lease, or barter of property or services for the direct benefit of or use by the Government (FAR 2.101).

A NASA grant or cooperative agreement award may be signed only by a NASA Grant Officer and is addressed to the proposing organization. Only an appointed NASA Grant Officer is authorized to make commitments, obligations, or awards on behalf of the Agency and approve the expenditure of funds. It is important to note that no commitment on the part of NASA or the Federal Government is legally binding unless a NASA Grant Officer has signed off on the request.

#### **Award Governance:**

**Grant and Cooperative Agreement awards are governed by the following:**

- The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR 200) at: [https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)
- The NASA supplement to 2 CFR 200, 2 CFR 1800, at: <https://www.ecfr.gov/cgi-bin/text-idx?SID=a742969f637a69b85ae9174705ae9d4a&mc=true&tpl=/ecfrbrowse/Title02/2cha>

[pterXVIII.tpl](#)

- NASA Grants and Cooperative Agreement Manual at: [NASA Grants Policy and Compliance Branch](#)

**Contract Awards will be governed by the following:**

- **Title 48 Chapter 1:** Federal Acquisition Regulations (FAR) found at <https://www.acquisition.gov/?q=browsefar>
- **Title 48 Chapter 18:** NASA FAR Supplement (NFS) found at <https://www.hq.nasa.gov/office/procurement/regs/NFS.pdf>

**Contact with NASA Personnel:** While NASA program personnel may be contacted to discuss general program objectives with prospective proposers, to the extent authorized by the NOFO, they are forbidden from providing specific advice on budgetary or technical issues beyond those published in the NOFO that may provide an unfair competitive advantage to any proposer unless this same information is available to all interested proposers.

**Restriction on the Use of Classified Material**

It is NASA policy that proposals are not to contain security-classified material. However, if the project's proposed approach requires access to classified information, or if the project will result in the generation of such material, the proposer shall comply with all Government security laws, regulations, and policies.

**Pre-Award Costs**

For grants or cooperative agreements, expenses that a recipient incurs within the 90-day period preceding the effective date of the award may be authorized; however, such expenses are made at the recipient's risk. NASA will not pay any pre-award costs incurred for unfunded proposals.

**Limited Release of Proposers' Confidential Business Information**

For proposal evaluation and other administrative processing, NASA may find it necessary to release information submitted by the proposer to individuals not employed by NASA. Business information that is entitled to confidential treatment may be included in the information released to these individuals subject to protective measures including non-disclosure forms and firewalls as appropriate. Accordingly, by submission of this proposal the proposer hereby consents to such limited release of its confidential business information (CBI).

**Proposals Involving Non-U.S. Organizations**

Except as outlined in the certification regarding restriction on doing business with certain countries, NASA welcomes proposals from non-U.S. organizations and proposals that include the participation of non-U.S. organizations. Proposals that propose research to be performed by a non-U.S. organization or with a non-U.S. organization as part of a proposal submitted by a U.S.

organization typically are supported on a no-exchange-of-funds basis. The policy pertains to the nature of the proposing organization and does not relate to the nationality or citizenship of the individuals listed in the proposal. If a proposal with a non-U.S. partner is selected, NASA will determine whether such participation should be covered by and implemented through an international agreement between NASA and the sponsoring foreign agency or funding/sponsoring institution under which the parties agree to each bear their own costs to carry out their respective responsibilities.

**Export Control:** Information regarding U.S. export regulations is available at [https://www.pmddtc.state.gov/ddtc\\_public](https://www.pmddtc.state.gov/ddtc_public) and at <https://www.bis.doc.gov>.

The following important provision may apply to proposals that involve the participation of non-U.S. organizations, as well as proposals that include personnel who are not U.S. citizens and do not have status as legal permanent U.S. residents.

### **Export-Control Guidelines Applicable to Foreign Proposals and Proposals Including Foreign Participation**

"Foreign proposals and proposals including foreign participation shall include a section discussing compliance with U.S. export laws and regulations, e.g., 22 CFR Parts 120-130 and 15 CFR Parts 730-774, as applicable to the circumstances surrounding the particular foreign participation. The discussion shall describe in detail the proposed foreign involvement and is to include, but not be limited to, whether or not the foreign participation may require the prospective proposer to obtain the prior approval of the Department of State or the Department of Commerce via a technical assistance agreement or an export license, or whether a license exemption/exception may apply. If prior approvals are necessary via licenses, discuss whether the license is applied for, if not, the projected timing of the application, and any implications for the schedule. Information regarding U.S. export regulations is available at the U.S. Department of State Web site at [https://www.pmddtc.state.gov/ddtc\\_public](https://www.pmddtc.state.gov/ddtc_public) and through the U.S. Department of Commerce's Bureau of Industry and Security Web site at <https://www.bis.doc.gov>. Under U.S. law and regulations, spacecraft and the specifically designed, modified, or configured systems, components, and parts are generally considered "Defense Articles" on the United States Munitions List and subject to the provisions of the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120-130."

Because of these legal provisions and requirements, proposers and institutions whose proposals involve non-U.S. participants or personnel should be aware that such participation can add to management complexity and risk, and, therefore, proposers are encouraged to limit such cooperative arrangements to those offering significant benefits while maintaining the most transparent and simplest possible technical and management interfaces.

### **Export-Controlled Material in Proposals**

Explicit inclusion of export-controlled material in proposals is not prohibited. However, under U.S. law and regulations, spacecraft and their specifically designed, modified, or configured systems, components, and parts may be considered "Defense Articles" on the United States Munitions List and subject to the provisions of the International Traffic in Arms Regulations



(ITAR), 22 CFR Parts 120-130. Other items or information may be subject to the Export Administration Regulations (EAR), 15 CFR Parts 730 – 774. This may, in some circumstances, complicate NASA’s ability to evaluate the proposal, since occasionally NASA may use the services of foreign nationals who are neither U.S. citizens nor lawful permanent residents of the U.S. to review proposals submitted in response to the NOFO.

Proposers to NOFOs are strongly encouraged not to include export-controlled material in their proposals, although the effort proposed may itself be export controlled. If it is essential to include any export-controlled information in a proposal, a notice to that effect shall be prominently displayed on the first pages of the proposal and shall state:

“The information (data) contained in [insert page numbers or other identification] this proposal is (are) subject to U.S. export control laws and regulations. It is furnished to the Government with the understanding that it will not be exported without the prior approval of the Proposer under the terms of an applicable export license or technical assistance agreement.”

Reference the following URL for guidance on NASA’s Export Control Program and NASA Center Points of Contact:

<https://www.hq.nasa.gov/office/oer/nasaecp/contacts.html>

For proposals submitted via NSPIRES or Grants.gov, the first pages listing export-controlled information should precede the table of contents, do not count against the page limits, and may also be used to provide the proprietary notification, if applicable. It is the proposer’s responsibility to determine whether any proposal information is subject to export-control regulations. Many NOFOs will also include program-specific data questions about the inclusion of export-controlled material in the proposal; proposers shall answer these questions.

# **Appendix B**

## **General Information Regarding Organization and Personnel**

### **Categories of Proposal Organizations**

NASA accepts proposals submitted in response to its NOFOs by most types of U.S. organizations acting on behalf of the PI(s). The designation of one of the following organizational categories is required on the proposal cover page.

The NSPIRES cover page does not offer subcategory organization types (e.g., museums or public K-12 schools). Some NOFOs may request subcategory organization type using a program specific data form. Also, certain NOFOs may specifically disallow some or all the following broad categories and/or may add sub-categories not cited below.

The proposing organization type shall be identical to that listed in SAM and tied to the Unique Entity Identifier (UEI) (currently the Data Universal Numbering System (DUNS) number; to be used until April 2022). Regardless of what proposing organization type is designated, any resulting award and its reporting requirements will be consistent with applicable NASA and Federal regulations.

**Institutions of Higher Education (IHE)** – A two- or four-year university or college (including U.S. community colleges), public or private, accredited to confer degrees beyond that of the K-12 grade levels.

**Educational Institutions** – Non-higher-education entities, such as K-12 education groups or institutions of informal education, are classified as Education Institutions. Since NSPIRES does not have a listing for Education Institutions, institutions falling under this category shall propose as non-profit or commercial organizations or as agencies of state, local, or Federally recognized tribal governments as described below.

**Non-profit Organization** – A non-profit organization is generally defined as any private corporation, trust, association, cooperative, or other organization that:

- Is operated primarily for scientific, engineering, educational, research, or similar purposes in the public interest;
- Is not organized primarily for profit; and
- Is an entity incorporated or unincorporated as a non-profit organization under Federal, state, or local law.

Non-profit organizations generally exclude (i) colleges and universities; (ii) hospitals; and (iii) state, local and Federally recognized Indian tribal governments.

**Commercial Organization** – An organization of any size that is organized primarily for profit.

**NASA Center** – Any NASA Center, e.g., Johnson Space Center (JSC).

**Other Federal Agency** – Any non-NASA, U.S. Federal executive agency.

**Federally Funded Research and Development Center (FFRDC)** – FFRDCs are under a broad charter by a Government agency for performing, analyzing or research for the United States Government. NASA sponsors the Jet Propulsion Laboratory (JPL) as the Agency’s sole FRDC.

**Non-U.S. Organizations** – Organizations outside the U.S. that propose on a no-exchange-of-funds basis in accordance with NASA policy. Some NOFOs may be issued jointly with a non-U.S. organization (e.g., those concerning guest observing programs for jointly sponsored space science programs) that will contain additional special guidelines for non-U.S. participants.

**State, Local, or Federally-Recognized Tribal Government Agency** –

**State Government** means any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of its local governments.

**Local Government** means a county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (whether or not incorporated as a non-profit corporation under state law), any other regional or interstate government entity, or any agency or instrumentality of a local government.

**Federally-Recognized Indian Tribal Government** means the governing body or a governmental agency of any Indian tribe, band, nation, or other organized group or community (including any native village as defined in Section 3 of the Alaska Native Claims Settlement Act, 85 Stat. 688) certified by the Secretary of the Interior as eligible for the special programs and services provided through the Bureau of Indian Affairs.

### **Categories of Proposal Personnel**

Every person expected to have a significant role (i.e., assigned responsibilities appropriate to a defined category of personnel) in the execution of the proposed effort shall be identified on the proposal cover page, using one of the below listed seven categories of personnel. Each individual shall also identify the organization through which they are participating in the investigation, which may differ from their primary employer or preferred mailing address, to facilitate organizational conflict of interest checks that are required as part of the evaluation process. Any organization requesting NASA funds through participation in the proposed project shall list each team member on the proposal cover page. Other than the category of Principal Investigator (PI), some NOFOs may explicitly disallow some or all of the below categories and/or may add other categories.

**Principal Investigator (PI)** – The PI is the individual whom an organization designates as having an appropriate level of authority and responsibility for the proper conduct of proposed work effort, including the appropriate use of funds and administrative requirements such as the submission of progress reports to the agency. Every proposal shall identify a PI who is responsible for the quality and direction of the proposed work effort and for the proper use of awarded funds regardless of whether or not the PI receives support through the award. The proposing organization has the

authority to designate the PI and to designate a replacement if that becomes necessary. After the proposal selection, the replacement of a PI requires NASA's prior written approval.

**Contact PI** – To facilitate communication with NASA when proposing multiple PIs, the submitting organization shall designate a "Contact PI" in the proposal. The Contact PI is referred to as the "PI." Any other PIs are referred to as "Co-PIs." The NASA Grant or Contracting Officer and Program Officer will communicate with the Contact PI, who will be responsible for relaying communications between the Co-PIs and NASA.

**Co-Principal Investigator (Co-PI)** – When multiple PIs are proposed, the Co-PI(s) share the responsibilities of the PI.

NASA strongly encourages PIs to specify only the most critically important personnel to aid in the execution of their proposed work efforts. Such personnel shall be designated as being in one of the following categories:

**Co-Investigator (Co-I)** – A Co-I is a member of the team who is a critical "partner" for the conduct of the investigation through the contribution of expertise and/or capabilities. A Co-I will serve under the direction of the PI and generally will have a continuing role in the proposed investigation. The Co-I may or may not receive funding through the award. Each Co-I, even if not funded, shall demonstrate their commitment to participate in the proposed investigation by way of a brief signed statement, which may be the electronic confirmation through NSPIRES, even if they are from the proposing organization. In NSPIRES the PI may also designate one of the following roles for a Co-I who will carry additional responsibilities, as appropriate for the following unique circumstances:

- One Co-I may be designated as the "Science PI" for those cases in which the proposing organization does not permit that individual, affiliated with that organization in NSPIRES, to formally serve as a PI as defined above (e.g., non-tenured faculty, postdoctoral personnel). In such a case, NASA understands that the Co-I/Science PI is to oversee the scientific direction of the proposed work, although the formally designated PI will still be responsible for the overall direction of the effort and use of funds.
- A Co-I at an organization other than that of the PI institution who is making a major contribution to the proposal (e.g., providing a significant piece of hardware) and who serves as the point of contact at that Co-I's organization, may also be designated as the "Institutional PI" for that Co-I's organization. If stated explicitly in the NOFO, NASA may elect to provide a separate award directly to the organization of the Co-I. In this case, the Co-I will serve as the "PI" for this separate award for their organization.
- A Co-I from a non-U.S. organization may also be designated as a "Co-Principal Investigator" (Co-PI) if such a designation is required to fulfill administrative requirements of that Co-I's organization and/or to enable the acceptance of funding by that Co-I from their sponsoring funding authority.

**Collaborator** – A Collaborator is an individual who is not critical to the proposal but committed to providing a focused but unfunded contribution for a specific task. If funding support, including travel costs, is requested in the proposal, such individual shall be identified in one of the other categories. For a proposal submitted via Grants.gov, Collaborators shall be listed on the Project Role “Other” line of the Senior/Key Person portion of the SF 424 (R&R) form.

**Postdoctoral Associate** – A Postdoctoral Associate holds a Ph.D. or equivalent terminal degree, is identified as a major contributor (but not explicitly as a Co-I) for the execution of the proposed work effort and receives funding through the proposal’s budget. Such a Postdoctoral Associate shall be identified by name, if known, but may be identified only by their designated function in those cases where recruitment depends on the successful selection of the proposal. Postdoctoral Associates need not be named on the proposal cover page, but their effort(s) shall be included in the technical description of work assignments and the proposed budget.

**Other Professional** – This category is appropriate for an individual who supports a proposal in a critical manner, e.g., a key Project Engineer and/or Manager, but who is not identified as a Co-I or Postdoctoral Associate. This individual's role in the proposal shall be described in the budget narrative.

**Graduate and/or Undergraduate Students** – A proposal may incorporate students working for graduate or undergraduate degrees who will be paid through the proposal’s budget to help carry out the proposed work effort under the direction of the PI or one of the designated Co-Is. Such students shall be identified by name, if known, but may be identified only by function in those cases where their recruitment depends on the successful selection of the proposal. These students need not be named on the proposal cover page, but their effort(s) shall be included in the technical description of work assignments and the proposed budget.

**Consultant** – A Consultant is an individual who possesses a special skill, receives a fee for their services, which may include travel to consult with the PI or another member of the team, and is not an officer or employee of the proposing organization. A consultant provides services that support the proposed activities but is not responsible for project oversight and completion. As compared to a Co-I who is actively engaged in the proposed activities, a consultant provides information, advice, engages in discussions, and serves as a resource—a person with whom the PI and Co-Is confer. The proposal’s budget shall include the identification, justification, and complete breakdown of all costs proposed for all consultants.

**Participant/Trainee** – This category is not an option in NSPIRES as a personnel category because these individuals are not employees. A participant or trainee conducts research, and/or receives research or other training, e.g., travel support and/or tuition as described in the funding opportunity. Depending on the funding opportunity or appropriation, this participant often may be enrolled in a degree program as undergraduate or graduate students; however, not all NOFOs require participants to be enrolled as higher education students. NASA may require graduate students to be named on the proposal’s cover page.

## **APPENDIX C**

### **Required Budget Details**

The regulations at 2 CFR 200, Subpart E, Cost Principles identify and describe certain costs that may not be included (unallowable costs) in a proposed budget. The use of appropriated funds for such purposes is unallowable and may lead to cancellation of the award and possible criminal charges. Furthermore, grants and cooperative agreements shall not provide for the payment of fee or profit to the recipient.

In addition to the budget narrative, proposers shall include detailed budgets, including detailed subaward budgets, in a format of their choosing that is clear and understandable. Regardless of the format chosen, the following information shall be included in the budget details.

**Direct Labor (salaries, wages, and fringe benefits):** A list of the names (if known) and titles of personnel, level of effort for each position, and rates of pay. The annual salary shall be clearly noted for each position. Labor shall clearly be broken out from fringe benefits. The fringe benefit rate/percent shall be clearly noted on the budget for each labor category for ease of review. An unknown proposer may be identified only by its designated function along with the level of effort and estimated rate of pay.

**Fringe rates:** In accordance with 2 CFR 200.414, NASA is required to apply the applicable negotiated rate for all grants and cooperative agreements awarded to the recipient. If fringe benefits comprise part of that negotiated rate, NASA will use this rate for all grants and cooperative agreements awarded to the recipient. If a proposing organization does not have a negotiated rate for fringe benefits, recipients shall use their rates for fringe benefits that are applied to funds from all funding sources.

**Subawards:** Attachments shall describe the work to be sub-awarded, estimated amount, and the recipient (if known). Itemized budgets are required for all subawards, regardless of dollar value.

**Consultants:** Identify consultants to be used and provide the amount of time they will spend on the project and rates of pay to include annual salary, and overhead.

**Equipment:** List all equipment items separately.

Capital expenditures for general purpose equipment (2 CFR 200.48), buildings, and land are unallowable as direct charges, except with the prior written approval of the NASA Grant Officer.

Capital expenditures for special purpose equipment (2 CFR 200.89) are allowable as direct costs, provided that items with a unit cost of \$5,000 or more have the prior written approval of the NASA Grant Officer. Equipment and other capital expenditures are unallowable as indirect costs.

**Supplies:** Provide general categories of needed supplies, the method of acquisition, and the estimated cost.

**Travel:** Provide a detailed breakout of costs for any proposed travel. Detailed budget data shall include the following:

- Destination (if the destination is not known, the narrative shall provide reasonable assumptions about the potential destination and, use historical cost data based on previous trips taken or conferences attended);
- Number of travelers;
- Number of days;
- Conference fees;
- Airfare;
- Per diem; and
- Miscellaneous travel expenses (car rental, airport parking, etc.).

Every effort shall be made to estimate and detail travel costs accurately. Missing or minimum data is not acceptable for budget evaluation and award purposes. If destinations are not known at the time of proposal preparation, use reasonable assumptions and historical data for destinations and length of stay, however, use current pricing for the applicable categories listed above.

**Tuition:** Provide basis of estimate for tuition costs such a tuition remission percentage applied or semester rates per hour.

**Other:** List and enter the total of direct costs not covered by in the above sections.

**Facilities and Administrative (F&A)/Indirect Costs:** Identify F&A cost rate(s) and basis(es) as approved by the cognizant Federal agency, including the effective period of the rate. Provide the name, address, and telephone number of the Federal agency official having cognizance. If approved audited rates are not available, provide the computational basis for the indirect expense pool and the corresponding allocation base for each proposed rate. All budgets shall be prepared using the most current “approved” indirect rates for estimating and award purposes. Proposers shall not use unapproved “future” rates.

For grants and cooperative agreements: Any non-federal entity that does not have a current negotiated indirect cost rate, except for these non-federal entities described in Appendix VII to Part 200—paragraph D.1.b, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. For all types of institutions other than institutions of higher education, if the negotiated rates change throughout the period of performance, the grant recipient shall apply the adjusted rate to any direct funds expended during the timeframe stated on the modified agreement.

F&A costs are not permitted for fellowship and scholarship awards.

**Other Applicable Costs:** Enter the total amount, explaining the need for each item and itemized lists detailing expenses within significant budget categories. Also, enter the required funding for any Co-Is who cannot be funded as a subaward (e.g., because the PI is at a non-Government organization and a Co-I is at a U.S. Government organization)

**Subtotal-Estimated Costs:** Enter the sum of all items.

**Cost Sharing (if offered):** Neither NSPIRES nor Grants.gov allows for notating cost-sharing on the standardized budget form. However, if cost-sharing is proposed, it shall be discussed in detail in the budget narrative. Further, if cost-sharing is based on specific cost items, identify each item and amount in the budget detail with a full explanation provided in the Budget Narrative.

Under grants or cooperative agreements, cost-sharing is only required if so stated in the NOFO. However, NASA may accept cost-sharing from any organization if it is voluntarily offered (2 CFR 200.306).

**Total Estimated Costs:** Enter the total amount of funding requested from the Government.



## APPENDIX D

### Proposal Processing, Review, and Selection

**Overview:** As a matter of policy and practice, proposals submitted to NASA are principally reviewed by panels composed of the proposer's professional peers who have been screened in advance for conflicts of interest. In addition, panel reviews may be augmented by one or more non-panelist reviews solicited by the NASA Program Officer that are made available to the panel reviewers once they convene. As a rule, and based on its deliberations, a peer panel is authorized to wholly or partially accept or reject any such individual reviews. There are generally at least three readers of each proposal. In all cases, however, copies of every proposal are available for inspection by the members of the panel while it is in session. The panel's final proposal evaluation is reviewed and approved for completeness and clarity by the attending NASA Program Officer and, if appropriate, by the chair of the panel.

The evaluation forms that are provided to reviewers will list (perhaps in abbreviated form) all criteria for which their opinion is requested. Reviewers are instructed to evaluate each proposal against the evaluation criteria stated in the NOFO and not to compare proposals to which they have access, even if those proposals propose similar objectives. Only the NASA Program Officer may make binding comparisons of proposals during the process of developing recommendation for selection.

**Conflicts of Interest and Confidentiality:** The issue of conflicts of interest and confidentiality is of critical importance to the peer-review process. All reviewers are directed to avoid not only actual but also any apparent conflicts of interest and to maintain confidentiality about all activities involved in the review process. Reviewers are personally responsible for identifying and calling to the attention of the cognizant NASA Program Officer any conflict of interest situations. The presiding NASA Program Officer addresses and adjudicates conflicts of interest based on the following general guidelines:

- Every reviewer agrees to avoid conflicts of interest (both actual and apparent) and to maintain the confidentiality of their participation in and the results of the review process. Non-federal reviewers are required to sign a Nondisclosure Agreement in advance of being given access to any proposals. U.S. Government employees are governed by the Ethics in Government Act. If an unanticipated conflict arises or otherwise becomes known during the course of proposal reviews, the reviewer shall immediately inform the cognizant NASA Program Officer and cease participation pending a NASA decision on the issue.
- Disclosure by a reviewer of the proposals, their evaluation materials, and discussions is never condoned by NASA under any circumstances at any time, including after the selections are announced. Since the review process is not complete until selections are announced, a breach of confidentiality of the review process may result in the entire selection process for that specific funding opportunity being declared invalid.
- In certain situations, NASA may ask individuals to participate as reviewers even if such individuals are identified in a competing proposal. In such situations, NASA takes appropriate measures to ensure the objectivity and integrity of the evaluation process, including, excusing the individual from panel discussions of proposals for which a conflict exists. In some cases, the individual may also be excused from the discussion of proposals

other than those giving rise to the conflict of interest if these proposals are in direct programmatic competition with those proposals giving rise to the conflict.

Proposal titles, project summaries, and project team personnel and participants may be disclosed to potential reviewers who ultimately decline to act as reviewers because the presence of conflicts or a lack of expertise pertaining to specific proposal topics.

## **Overview of the Selection Process**

An overview of the process from proposal submission through selection is as follows:

- The Program Officer selects reviewers based on their known expertise relevant to the content of each proposal and the avoidance of conflicts of interest. While in-person panel reviewers generally have access to all proposals reviewed by the panel, access is not provided in the cases of identified conflict of interest.
- Non-panelist reviewers only see the proposals to which they are assigned.
- The scientific and technical merits of each proposal are evaluated by the peer reviewers while meeting as a panel. The peer reviewers may also be asked to comment on the perceived programmatic relevancy, the cost reasonableness of the proposals, and other evaluation criteria specified in the NOFO.
- The Program Officer develops a recommendation for which proposals to fund based on the science/technical merit peer review, any program-unique criteria stated in the NOFO, relevance to the objectives stated in the NOFO, programmatic balance/comparison to competing proposals of equal merit, and the available budget resources. Selections are then made by the NASA Selection Official, as identified in the NOFO.
- After selection, each proposer is notified of the disposition of its proposal. However, notice of selection, does not constitute an award of funds. All proposers may request a debriefing from NASA regarding the evaluation of their proposal.
- Notification of selection is then forwarded by the Program Officer to a NASA Award Office that will contact the proposing organization to negotiate funding through an appropriate award instrument.
- NASA may notify Members of Congress of award selections.
- Following notification to proposers, a list of selected proposals are posted at <https://nspires.nasaprs.com/>. NASA considers the Proposal Title, the Principal Investigator's name and organization, and the proposal summary to be in the public domain and will post that information on an appropriate publicly accessible location. Selected proposers are free to release any additional information about their proposals that they may choose. However, this additional release is not required by NASA.

It is NASA policy not to release any information about proposals that are not selected.

## **Evaluation Criteria**

Unless otherwise specified in the NOFO, the evaluation criteria considered in evaluating a proposal are its relevance to NASA's objectives, intrinsic merit, and cost. The failure of a proposal to be rated highly in any one of these factors may cause the proposal not to be selected.

Evaluation of a proposal's relevance includes the consideration of the potential contribution to NASA's mission, as expressed in its most recent NASA Strategic Plans and the permitted scope and specific objectives and goals given in the NOFO. If a NOFO describes the program's relevance to the NASA Strategic Plans, it is not necessary for proposals to show relevance to NASA's broader goals and objectives but rather only to demonstrate relevance to the specific goals and objectives set forth in the NOFO.

Evaluation of Intrinsic Merit includes the consideration of the following factors, as applicable to the particular proposal:

- The scientific quality of the proposed project, including, but not limited to, the scientific rationale and the expected significance and/or impact of the proposed work;
- Overall technical quality of the proposed work, including, but not limited to, the quality of the management plan and project timeline for carrying out the work and the effectiveness and resilience of the proposed experimental designs, methods, techniques, and approaches for achieving the proposed goals and/or objectives;
- The qualifications, capabilities, and related expertise of personnel demonstrated by the proposal (e.g., publications, delivered products, and other measures of productivity and/or expertise) that will affect the likelihood of achieving the objectives; and
- Facilities, instruments, equipment, and other resources or support systems presented in the proposal that will affect the likelihood of achieving the proposed objectives.

Review panels are instructed not to compare proposals to each other; any comparative evaluations are conducted as appropriate by NASA program personnel.

Evaluation of the cost of a proposed effort may include the reasonableness of the proposed cost, as well as whether costs are allowable and allocable to the project. The comparison of the proposed cost to available funds is performed by NASA program personnel and is not part of the peer-review process.

The combined significance of a proposal's strengths and weaknesses determines its final summary evaluation. This may be given for each criterion or as a single overall evaluation. In the absence of a criterion-specific scale, the evaluation is based on the following adjectival scale.

<b>Summary Evaluation</b>	<b>Basis for Summary Evaluation</b>	<b>Relationship of Summary Evaluation to Potential for Selection</b>
<u>Excellent</u>	A thorough and compelling proposal of exceptional merit that fully responds to the objectives of the NOFO as documented by numerous or significant strengths and with no major weaknesses.	A top priority for selection in the absence of any issues of funding availability, suspension or debarment, past performance, or programmatic priorities.
<u>Very Good</u>	A competent proposal of high merit that fully responds to the objectives of the NOFO, with strengths fully outweighing any weaknesses, and none of those weaknesses constitute fatal flaws.	A second priority for selection in the absence of any issues of funding availability, suspension or debarment, past performance, or programmatic priorities.
<u>Good</u>	A competent proposal representing a credible response to the NOFO, with strengths and weaknesses, essentially balances each other.	May be selected as funds permit based on programmatic priorities.
<u>Fair</u>	A proposal that provides a nominal response to the NOFO but with weaknesses outweighing any strengths.	Not selectable regardless of the availability of funds or programmatic priorities.
<u>Poor</u>	A seriously flawed proposal, having one or more major weaknesses that constitute fatal flaws.	Not selectable regardless of the availability of funds or programmatic priorities.

To help ensure uniformity of the reviews, NASA requires its reviewers to document their findings using clear, concise language that is understandable to the non-specialist by means of perceived strengths and weaknesses, which may each be designated as a “major” or “minor” finding.

A strength is a finding that increases a proposal’s suitability for funding by a given criterion. A major strength significantly increases a proposal’s suitability, and a minor strength increases, but not significantly, a proposal’s suitability. A reviewer may conclude, however, that multiple minor strengths together are equivalent to a major strength.

A weakness is a finding that decreases a proposal’s suitability for funding by a given criterion. A major weakness significantly decreases a proposal’s suitability, and a minor weakness decreases, but not significantly, a proposal’s suitability. For a weakness to be minor, it shall not significantly affect an appreciable portion of the proposed work or the final outcome. A reviewer may conclude, however, that multiple minor weaknesses together are equivalent to a major weakness. A fatal flaw is any single weakness or collection of weaknesses that would effectively prevent, in part or in whole, the proposed objectives from being accomplished or that otherwise may render the proposal unsuitable for consideration for funding (e.g., the proposal fails to address the NOFO’s objectives,

will have no impact, has a plan of research that is incapable of succeeding, proposes an unrealistic level of effort).

If proposals are rated equally, the Program Officer and Selection Official may use other factors to determine final selections. These factors include, but are not limited to, the balance of the research objectives addressed by other tasks within the program and available program funds.

Occasionally a proposal may include tasks that rate low on one or more evaluation criteria or have other aspect(s) that is(are) considered undesirable or unnecessary (e.g., tasks not permitted by a NOFO, plans for excessive travel, the support of certain personnel). In such a case, and at the option of the cognizant NASA Program Officer, a proposal may be evaluated more than once: first as originally proposed, and then again as "descoped" of one or more of its original provisions. In such a case, the rating of the descoped proposal may justify its consideration for funding consistent with the policy for partial selections (see below), and NASA may request a revised proposal.

Although a peer review may rate a proposal as having high Intrinsic Merit, it still may not be selected due to budget limitations, lack of relevance to the NOFO, or for programmatic balance.

### **Partial Selections**

NASA may elect to fund only a portion of a proposal. Partial selections also may offer tentative selections where NASA invites investigators to a joint investigation. In such a case, the proposer will have the opportunity to accept or decline such selection. If the proposer accepts such an offer, a revised budget and statement of work may be required from the proposer, if this reduction will be greater than 20 percent of the originally proposed budget. However, as a rule, if the reduction is less than 20 percent of the originally proposed budget, the adjustment to the budget and statement of work can be extracted from the original proposal, and no further submission will be required.

If NASA partially select a proposal, the proposer may have the opportunity to modify the proposal summary so that it correctly describes the funded research.

If the proposer declines the offer of a partial selection or participation in a joint investigation, NASA may withdraw its selection in its entirety.

### **Debriefings for Proposers**

A proposer has the right to be informed of the major factor(s) that led to the acceptance or rejection its proposal. Debriefings will be available upon request. Again, it is emphasized that non-selected proposals should be aware that proposals of nominally high intrinsic and programmatic merits may be declined for reasons entirely unrelated to any scientific or technical weaknesses.

### **Resubmission of a Non-Selected Proposal**

Non-selected proposals may not be submitted as an unsolicited proposal. However, the non-selection of a proposal does not restrict the submission of a similar (or even the same effort) by the proposer(s) in response to appropriate future NASA NOFOs or to other appropriate funding

agencies or organizations. If a proposal submission to NASA is contemplated, proposers are strongly urged to carefully consider the entirety of comments offered during their debriefing, as well as the proposal guidelines, before making the decision to resubmit the same, or substantially the same, proposal. Merely correcting any perceived deficiencies in a proposal, as noted by a review process for one NOFO in no way guarantees a higher rating or selection in response to a different NOFO.

## **APPENDIX E**

### **Conflicts of Interest for NASA Peer Reviewers**

(This is a list of examples and is not an exhaustive list of disqualifying affiliations and relationships.)

You may have a disqualifying conflict of interest or appearance of a conflict of interest if you have a relationship or affiliation identified in any of the three categories listed below:

#### **Your Affiliations with a Proposing or Applicant Institution or Company**

- Current employment at the proposing organization as a professor, adjunct professor, visiting professor, employee, or similar position.
- Other current employment with the proposing organization (such as a consulting or advisory arrangement)
- Seeking or negotiating for employment with the proposing organization.
- Formal or informal arrangement for future employment with the proposing organization.
- A financial interest in the proposing organization (e.g., ownership of securities).
- Serving as an officer, director, trustee, general partner, or in another role of authority in the proposing organization. (Ordinary membership in a professional society or association is not considered an office.)
- Current enrollment as a student with a proposing organization. (This is only a conflict for proposals or applications that originate from the department or school where one is a student.)
- Previous employment with the proposing organization within the last 12 months.
- Any award, honoraria, or other payment received from a proposing organization within the last 12 months.

#### **Your Relationship with an Investigator, Project Director, or Other Person who is a Participant in the Proposal or Other Application**

- Family relationship as a spouse, child, sibling, or parent
- Business or professional general partnership (An ordinary scientific collaboration is not considered a partnership).
- Association as thesis advisor (major professor) or thesis student or acting in a similar role within the past 12 months.
- Professional or personal relationship which may prevent you from being impartial or viewed as impartial.

#### **Your Other Affiliations or Relationships**

The following interests may create a conflict or the appearance of a conflict for you:

- Any financial interest or professional affiliation or relationship of your spouse, your minor child, anyone living in your immediate household, or anyone who is legally your general

partner. (e.g., if a proposing organization employs your spouse, this may create an actual conflict or the appearance of a conflict for you.)

- Other relationships, such as close personal friendships that you think may tend to affect your judgment or be seen as doing so by a reasonable person having knowledge of the facts.
- Other financial interests and relationships, such as those related to persons or organizations in competition with a proposing organization, which you think may tend to affect your judgment or be seen as doing so by a reasonable person having knowledge of the facts.

If you identify a potential or actual conflict of interest or appearance of such a conflict at the beginning or at any time during your tenure as a NASA peer reviewer, please immediately stop your review of the proposal and contact the NASA Program Officer who asked you to serve as a peer reviewer. This official will determine whether you may continue to serve as a reviewer and may recommend that you consult your local legal counsel or ethics official. If at any time during the review process, you need legal advice, then consult your local legal counsel or ethics official. When local legal or ethics advice impacts your ability to review proposal(s), promptly inform the NASA Program Officer who asked you to serve as a peer review, so that the proposal(s) can be reassigned.



## **APPENDIX F**

### **Security Requirements**

If award recipients require access to a NASA Center, facility, computer system, or to NASA technical information, then the recipient shall meet certain security requirements.

#### **Requirement for Grant and Cooperative Agreement Awards**

- Recipients that require access to a NASA Center, facility, computer system, or to NASA technical information shall comply with agency personal identity verification procedures identified in the award that implements the Homeland Security Presidential Directive-12 (HSPD-12), Office of Management and Budget (OMB) guidance M-05-24 and Federal Information Processing Standards Publication (FIPS PUB) Number 201.
- The recipient shall account for all forms of Government-provided identification issued to the recipient employees in connection with performance under the grant and cooperative agreement awards. The recipient shall return such identification to the issuing agency at the earliest of any of the following unless the Government determines otherwise:
  - When no longer needed for grant performance;
  - Upon completion of the recipient's employee's employment; or
  - Upon grant completion or termination.
- The Grant Officer may delay the final payment under a grant if the recipient fails to comply with the above-stated requirements.

## **APPENDIX G**

### **Funding Continuation of Multiple-Year Awards**

Continuation funding for multiple-year awards is dependent on several factors, including satisfactory performance progress and the availability of funds.

When the period of performance is for multiple years of funding, those funding levels are fixed at the time of the award. When funding is released for a multiple-year award, new proposals and technical evaluations are not required if the Agency reviewed and approved this information for the multiple-year period as part of the original proposal. A revised budget for the next year of a multiple-year award is required only if: (i) the anticipated expenditures are greater than that stated in the award, (ii) the research has appreciably changed in scope, or (iii) changes have been made to the planned purchases of equipment.

Requests to fund work that is beyond the scope of the originally approved proposal may require additional technical evaluations by NASA.

NASA reserves the right to terminate any multiple-year grant or cooperative agreement as set forth under 2 CFR 200.

#### **Reports for Multiple-Year Awards**

See the NASA Grant and Cooperative Agreement Manual (GCAM) [NASA Grants Policy and Compliance Branch](#), Appendix F, for a list of the required reports.

#### **Performance Reports**

An Annual Performance Report is due 60 days prior to the anniversary date the of award except for the final year when a final performance report is due within 120 days of the end of the award period of performance. Investigations with a period of performance exceeding three years may be subject to a full peer evaluation after the first three years in order to qualify for the next level of funding. Information on the required contents of a performance report can be found in the Section 7.5, Performance Report Requirements, of the GCAM.

#### **Financial Reports**

Federal Financial Reports – SF 425 are due quarterly and within 120 days of the end of the award period of performance.

#### **Completing an Award**

At the completion of a grant or cooperative agreement, NASA requires certain reports; these will be specified in the award document. For research grants, generally the following final reports are required:

- Federal Financial Report (SF 425)

- Final Performance Report
- Final Inventory Report of Federally Owned Property
- New Technology Summary Report
- Management Plan
- Any peer-reviewed articles published or planned
- Any data sets or other products (including code) published or planned

## **APPENDIX H**

### **Appealing NASA's Decision to Decline a Proposal for Financial Assistance**

This section describes the types of reconsideration that NASA may make available for grant and cooperative agreement proposals that entities have submitted to NASA. This section does not apply to proposals returned without review by NASA for an applicant's failure to:

1. Submit the proposal with enough lead time before the activity is to commence.
2. Submit a late proposal where information regarding the proposal deadline (i.e., date, time, and location) for submission had been previously specified.
3. Meet the NASA proposal preparation requirements, such as page limitations, formatting, instructions, and electronic submission as specified in the Guidebook for Proposers Responding to a NASA Notice of Funding Opportunity (NOFO).

#### **Appeals Policy**

1. When a proposal for a NASA federal assistance award is declined or returned by the Agency without review, NASA provides the applicant the opportunity to dispute the Agency's decision and present information and documentation to request reconsideration of this decision per the NASA Guidebook for Proposers, Appendix H. For a declined or returned proposal to be reconsidered for funding, the applicant shall, within 30 calendar days of receiving the synopsis of reviewers' comments, submit a written Request for Reconsideration to the Selecting Official. If the applicant did not receive a synopsis of the reviewers' comments, the Request for reconsideration shall be submitted within 60 calendar days of receiving the notification that the proposal has been declined or returned. The Selecting Official will respond to the Request for Reconsideration within 30 calendar days of receiving it. If additional time is required to prepare a response, the Selecting Official will provide an explanation to the applicant of the need for more time to the applicant by the deadline for a response.
2. The goal of the reconsideration process is to ensure that NASA's review of the proposal has been fair and reasonable, both substantively and procedurally. The scientific and technical merits may be examined within the context of budget availability and program priorities. Reconsideration may also address any procedural errors in peer review or other aspects of proposal review, including unidentified conflicts of interest.
3. All NASA awards are discretionary, and reconsideration is not an adversarial process. Therefore, a formal hearing will not be held as part of the reconsideration process. Because factors such as program budget and priorities factor into the decision to select or not select each proposal, NASA cannot ensure proposers that reconsideration will result in an award even if it is discovered that an error occurred in the initial review.
4. After declining or returning a proposal, NASA will not consider any revisions that the applicant has made to its original proposal. However, this does not preclude an applicant from

sending a substantially revised proposal to the Agency in response to a subsequent and different (new) NOFO. NASA reserves the right to return without review a proposal that is substantially the same as one that was previously reviewed and declined or returned, regardless of whether a request for reconsideration was made.

### **Appeals Above the Selecting Official**

If the applicant is dissatisfied with the explanation provided by the NASA Selecting Official, they may request in writing an appeal of the Selecting Official's decision. This appeal shall be submitted to the Assistant or Associate Administrator of the Mission Directorate or Office issuing the NOFO or one of their authorized designees. This appeal request shall explain why the applicant believes that the decision to decline or return the proposal was unwarranted. Appeal requests will be considered only if two conditions are met: (1) the applicant has first sought and obtained an explanation from the NASA Selecting Official, and (2) the appeal request is received by NASA within 60 days after the applicant received notice of the declination or return. Appeals of the Selecting Official's reconsideration decision shall be filed within 30 calendar days of the applicant receiving that decision. NASA will provide a response to the applicant regarding the appeal within 30 calendar days of receipt.

## APPENDIX I

### GUIDE TO KEY DOCUMENTS

Guidance for the Preparation and Submission of Unsolicited Proposals:  
[NASA Grants Policy and Compliance Branch](#)

NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES):  
<https://nspires.nasaprs.com>

Grants.gov: <http://www.grants.gov>

The following items may be found through active links from the NASA homepage:

- 2018 NASA Strategic Plan:  
[https://www.nasa.gov/sites/default/files/atoms/files/nasa\\_2018\\_strategic\\_plan.pdf](https://www.nasa.gov/sites/default/files/atoms/files/nasa_2018_strategic_plan.pdf)
- Links to all NASA Headquarters Mission Directorates, Centers and the Jet Propulsion Laboratory: [https://www.nasa.gov/about/org\\_index.html](https://www.nasa.gov/about/org_index.html)
- The NASA Technology Taxonomy: <https://www.nasa.gov/offices/oct/taxonomy/index.html>

The following URL can be used to track the status of a grant and/or cooperative agreement prepared by the NASA Shared Services Center (NSSC): <https://www.nssc.nasa.gov/grantstatus>

## **APPENDIX J**

### **INTELLECTUAL PROPERTY**

**Data Rights:** NASA wishes to disseminate data and material produced under this award as broadly as possible with minimal restrictions. While recipients are not restricted in their own use and distribution of data first produced in the performance of an award, NASA's goal is to reduce restrictions on dissemination and use of data to the greatest extent possible, consistent with the terms and conditions of the award. Data rights differ based on whether data is first produced under an award or instead was developed at private expense outside the award, and the particular instrument under which the award is made.

**Invention Rights:** Recipients that are small businesses or nonprofit organizations may elect to retain title to their inventions pursuant to the Bayh-Dole Act (35 U.S.C. § 202). Large business recipients are subject to section 20135 of the National Aeronautics and Space Act (51 U.S.C. § 20135) relating to property rights in inventions. Title to inventions by large business award recipients initially vests with NASA. However, these recipients may request a waiver to obtain title to inventions made under the award. Such a request may be made in advance of the award or within 30 days thereafter. However, even if an advance waiver request is not made, or is denied, a large business award recipient may request a waiver on individual inventions made during award performance.

For grants and cooperative agreements, intellectual property provisions are subject to the terms and conditions set forth in 2 CFR 200 and 2 CFR 1800.

# Appendix K

## Publishing Datasets on the NASA Open Data Portal

### **What is the NASA Open Data portal?**

NASA's Open Data portal at [data.nasa.gov](https://data.nasa.gov) is a registry of NASA dataset metadata, which enables machine-readable dataset discovery. Making information resources accessible, discoverable, and usable by the public can help fuel entrepreneurship, innovation, and scientific discovery.

This portal is a collection of descriptions of datasets; each description is a metadata record. The intention of a data catalog is to facilitate data access by users who are searching for particular types of data. The portal hosts both metadata records and/or original datasets.

### **What is a dataset?**

A dataset is an identifiable collection of data products unified by a set of criteria, also referred to as a Dataset Metadata Record (i.e., contains information on authorship, subject, scope, location, and/or time). The NASA Open Data Portal contains two types of datasets: 1) Dataset Metadata Records, and 2) Data files hosted on the platform. All Dataset Metadata Records cataloged on data.nasa.gov conform to a metadata schema described here: <https://project-open-data.cio.gov/v1.1/schema>.

### **How do I host my data on the Open Data portal?**

- Contact the Open Data mailing list ([nasa-data@lists.arc.nasa.gov](mailto:nasa-data@lists.arc.nasa.gov)) and describe your data products and whether or not you have a Data Management Plan.
- Consider where your data currently resides. If you would like to host it through the data.nasa.gov server, consider data transport options such as the Large File Transfer for NASA personnel.
- Be prepared to provide the metadata about your dataset(s) that conform to the requirements of the [Project Open Data Schema v1.1](#).

### **What data are accepted for hosting on the Open Data portal?**

[Data.nasa.gov](https://data.nasa.gov) can support any file type (machine-readable formats are preferable). NASA may limit file size in some cases. For certain types of data, NASA may specify a more appropriate archive. The portal offers the capability to create visualization and RESTFUL APIs if your data is in a tabular format.

Please note: The Open Data team cannot host any data that contain [Personally-Identifiable Information \(PII\)](#).

### **If I host my data on the Open Data portal, what other information is required?**

For each dataset you want to host, you shall provide the following metadata to the Open Data team:

- Title of dataset



- Description of dataset
- Point of contact (full name and email)
- Keywords or tags that describe or categorize your data
- Proposal number, award number, and/or ORCID
- Area of proposal research area or name of supporting NASA program (if known)
- Number, size, and format/type of data products
- URLs to
  - Related documents
  - Publication(s) related to this dataset
  - Web pages on the datasets/research
- Information about any software or code that is needed to work with your data
- Any temporal information about your dataset, such as date ranges for when the research was conducted
- Any spatial information about your datasets, such as latitude and longitude coordinates or geographic regions for which the data is relevant
- Any other supporting documentation, such as a data dictionary



# ASSISTANCE LISTINGS

## Science

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### Assistance Listing

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Assistance Listing

#### Popular Name

SMD

#### Department/Ind. Agency

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

#### CFDA Number

43.001

#### Related Federal Assistance

[43.009](#) , [43.012](#) , [43.003](#) , [43.002](#) , [43.008](#)

[View available opportunities on Grants.gov related to this Assistance Listing](#) ↗

## Overview

### Objectives

The NASA Science Mission Directorate (SMD) pursues NASA's strategic objectives using a variety of aircraft, balloon, and spaceflight programs that enable the execution of both remote-sensing and in-situ investigations. Investigations can include the flight of space missions in Earth orbit, as well as to or even beyond objects in the Solar System, and through ground-based research activities that directly support these space missions. SMD also supports basic and applied research and technology investigations in order to understand naturally

research and technology investigations in order to understand naturally occurring space and Earth phenomena, human-induced changes in the Earth system, and to develop Earth and space science-related technologies. In July 2020, 1) the Physical Sciences and 2) Space Biology research programs moved to SMD from another NASA organization, i.e., appropriation. Fundamental and applied physical sciences research supports the objective of enabling exploration and pioneering scientific discovery. NASA's experiments in the various disciplines of physical science reveal how physical systems respond to the space environment and the near absence of gravity. The main objective of Space Biology research is to build a better understanding of how spaceflight affects living systems in spacecraft such as the International Space Station (ISS), or in ground-based experiments, and to prepare for future human exploration missions far from Earth. SMD's research grants and cooperative agreements support national goals for robotic and human exploration of space and ground-based investigations that contribute to SMD's science, technology and exploration goals.

## Examples of Funded Projects

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**Fiscal Year 2021:** Award selection abstracts are published on the internet for each NASA Research Announcement (NRA) or Cooperative Agreement Notice (CAN). For example, the NRA entitled: "Research Opportunities in Space and Earth Sciences" (ROSES) has award abstracts available starting from January 1, 2005 to the present. Find the ROSES abstracts by Fiscal Year at <http://nspires.nasaprs.com>. Step one: click "Closed/Past. Then when you reach the "Solicitations" Page choose "Science Mission Directorate" to begin a search. Beneath the "Solicitation #" column is a hyperlink for each Notice of Funding opportunity. When you reach a "solicitations" specialized page, you will be able to download the abstracts in a PDF file under the heading "Selections". ===== Information from 2004 to the present about the Biology and Physical Sciences awards are located within the "Task Book" database established by the Space Life and Physical Sciences Research and Applications Division once supported by Human Exploration and Operations Mission Directorate (HEO) at <https://taskbook.nasaprs.com/tbp/welcome.cfm>. The Task Book has searchable archives for biology and physical science projects from 1995-2003.

## Assistance Listing Description

The Science Mission Directorate (SMD) invites the nation's science, technology, engineering and mathematics community to use NASA's space observatories to

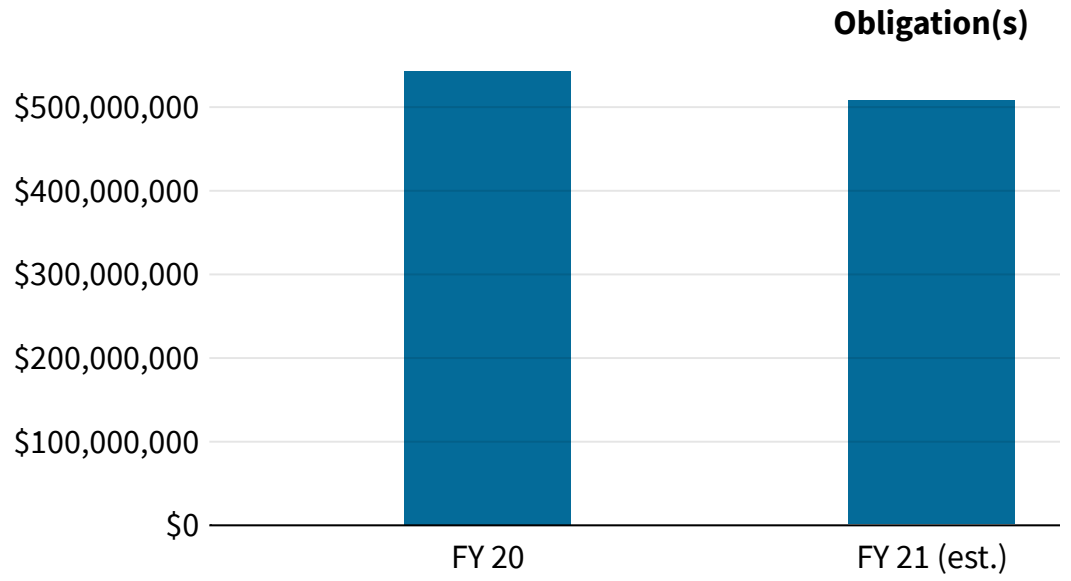
conduct scientific studies of the Earth from space, of other bodies in the solar system, and to observe our Galaxy and beyond. The STEM research community also may propose to participate in scientific studies conducted via spacecraft missions to visit other bodies in the solar system and return samples. Until mid-July 2020, SMD competitively solicited or invited proposals only in Earth Science, Planetary Science, Heliophysics and Astrophysics. Research in these four science areas is essential to the fulfillment of national priorities embodied in Presidential initiatives, Congressional legislation, and also scientific priorities identified by the nations' scientific community and the National Academies. SMD's purpose is to deepen scientific understanding of our planet, other planets and solar system bodies, the interplanetary environment, the Sun and its effects on the solar system, and the universe beyond. SMD supports both basic and applied research that is the foundation for the robotic and human expeditions of the future while meeting today's needs for scientific information to address national concerns, while meeting today's needs for scientific information to address national concerns, such as climate change and space weather. Congress authorized the reassignment of part of the Space Life and Physical Sciences research programs from the Exploration Assistance Listing creating a new SMD division for Biological and Physical Sciences effective mid-July 2020. The division investigates the effects on biological and physical science phenomena in a space environment and/or reduced gravity.

## **Authorizations**

National Aeronautics and Space Act of 1958

## **Financial Information**

*These funding amounts do not reflect the award amounts that are displayed on USASpending.gov*



Obligation(s)	FY 20	FY 21 (est.)	FY 22 (est.)
<input type="checkbox"/> <b>Cooperative Agreements (Discretionary Grants) Total</b>	\$541,835,264	\$506,617,223	<b>Estimate Not Available</b>
<b>Totals</b>	\$541,835,264	\$506,617,223	<b>Estimate Not Available</b>

## Range and Average of Financial Assistance

Total individual award sizes will vary based on scope from a minimum of about \$5,000 to multi-year awards in the tens of millions of dollars.

## Accomplishments

Not Applicable.

## Account Identification

# Criteria for Applying

## Types of Assistance

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B - Cooperative Agreements (Discretionary Grants), B - Cooperative Agreements, B - Project Grants, B - Project Grants (Capacity Building and Complaint Processing, Training), B - Project Grants (Cooperative Agreements), B - Project Grants (Discretionary), B - Project Grants (Fellowships), B - Project Grants (for collaborative design of curriculum, production of, B - Project Grants (for specified projects), B - Project Grants (including individual awards), B - Project Grants (including travel grants), C - Direct Payments for Specified Use, C - Direct Payments for Specified Use (Cooperative Agreements), I - Use of Property, Facilities, and Equipment, M - Training

## Credentials and Documentation

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An official who is authorized to commit the proposing institution or organization in business and financial affairs and who can commit the organization to certain certifications must electronically sign proposals. Review NASA's NOFO Proposer's Guidebook for specific certifications language and assurance requirements. Download the most recent NASA Proposer's Guidebook from [https://www.nasa.gov/offices/ocfo/gpc/regulations\\_and\\_guidance](https://www.nasa.gov/offices/ocfo/gpc/regulations_and_guidance) 2 CFR 200, Subpart E - Cost Principles applies to this program.

## Applicant Eligibility

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### Designations

Government - General, Federal, Interstate, Intrastate, State (includes District of Columbia, public institutions of higher education and hospitals), Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals, Sponsored organization, Public nonprofit institution/organization (includes institutions of higher education and hospitals), Other public institution/organization, Federally Recognized Indian Tribal Governments U.S. Territories and possessions U.S. Territories and

Governments, U.S. Territories and Possessions, U.S. Territories and Possessions (includes institutions of higher education and hospitals), Non-Government - General, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business (less than 500 employees), Profit organization, Private nonprofit institution/organization (includes institutions of higher education and hospitals), Quasi-public nonprofit institution/organization, Other private institutions/organizations, State, Anyone/general public, Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, associations)

NASA recognizes and supports the benefits of having diverse and inclusive scientific, engineering, and technology communities and fully expects the reflection of such values in the composition of all panels and teams, including peer review panels, proposal teams, science definition teams, and mission and instrument teams. Per Federal statutes and NASA policy, no eligible applicant shall experience exclusion from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NASA on the grounds of their race, color, creed, age, sex, national origin, or disability. NASA welcomes proposals from all qualified and eligible sources, and strongly encourages proposals from Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), small disadvantaged businesses (SDBs), veteran-owned small businesses, service-disabled veteran-owned small businesses (SDVOSB), HUBZone small businesses, and women-owned small businesses (WOSBs), as eligibility requirements apply.

## Beneficiary Eligibility

### Designations

Federal, Interstate, Intrastate, State, Local, Public nonprofit institution/organization, Other public institution/organization, Federally Recognized Indian Tribal Governments, U.S. Territories, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business, Profit organization, Private nonprofit institution/organization, Quasi-public nonprofit organization, Other private institution/organization, Native American Organizations, Sponsored organization, Spanish Origin, Health Professional, Education Professional, Student/Trainee, Graduate Student,

Scientist/Researchers, Engineer/Architect, Small Business Person, American Indian, Asian, Other Non-White, Veteran/Service

person/Reservist (including dependents, Women, Disabled (e.g. Deaf, Blind, Physically Disabled), Physically Afflicted (e.g. TB, Arthritis, Heart Disease), Preschool, School

Institutions apply on behalf of individuals. All SMD financial assistance complies with 14 CFR 1250, i.e., the provisions of Title VI of the Civil Rights Act of 1964, that ensures that no person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any SMD-funded research or research-related activities. As a condition of receipt of NASA funding, the institution acknowledges and agrees that it must comply (and require any beneficiaries, e.g., subgrantees, contractors, successors, transferees, and assignees to comply) with applicable provisions of national laws and policies prohibiting discrimination.

## **Length and Time Phasing of Assistance**

Notwithstanding no cost extensions that may exceed the general maximum award duration of five years, funding is available as long as the appropriation has not expired. A three-year spending period is most typical. NASA may require final spending occur at least 60 days prior to the appropriation's expiration. Once obligated on the award and depending on the appropriation's expiration, funding may be available for almost seven years. Method of awarding/releasing assistance: letter

## **Use of Assistance**

### **Designations**

Elementary/Secondary Education, Energy, Environment (water, air, solid waste, pesticides, radiation), Health/Medical, Higher Education (includes Research), Libraries/Information/Statistics, Natural Resources (mineral, water, wildlife, land), Planning, Science and Technology, Training, Youth Development

Assistance is for basic and applied research, Technology, Citizen Science, etc. in



the area(s) of Astrophysics, Biological Sciences Earth Science, Heliophysics, Physical Sciences and Planetary Science. SMD may establish more use in a

particular funding announcement or notice of funding opportunity (NOFO). SMD funds (Treasury Account Symbol = 80 0120) will be used to fund NASA Federal Financial Assistance awards. Review funding opportunity for specific eligibility requirements. When SMD sets restrictions on how assistance may be used, such restrictions are predicated on appropriations and other legislation; International Traffic in Arms Regulations (ITAR) and other regulations; or to address recommendations from the Government Accountability Office. All SMD grants are discretionary. When SMD sets restrictions on how assistance may be used, such restrictions are predicated on appropriations and other legislation; International Traffic in Arms Regulations (ITAR) and other regulations; or to address recommendations from the Government Accountability Office. All SMD grants are discretionary.

## Applying for Assistance

### Deadlines

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Jan 01, 2021 to Apr 15, 2022 Jan 01, 2021 to Apr 15, 2022 SMD publishes deadline dates on Grants.gov and <https://nspires.nasaprs.com/>. Annually, SMD traditionally publishes the summary of solicitation for its collective, flagship solicitation, ROSES, in February. Individual competitions, i.e., program elements, such as but not limited to, “Future Investigators in Earth and Space Science and Technology” –FINESST-- within ROSES most often are open for 90 days or more following the release of a due date or deadline. ROSES also may first release a program element in draft for community comment prior to opening proposal submission. Rarely, circumstances may require that proposals be submitted in as few as 30 days after the release of a specific ROSES program element. Some ROSES elements accept proposals year round without a fixed deadline date. SMD calls elements within ROSES without deadlines “No Due Date (NoDD) programs” as explained at <https://science.nasa.gov/researchers/nodd>. On an occasional basis SMD also may use stand-alone cooperative agreement notices (CAN) for NASA institutes and other complex activities. SMD releases stand-alone CANs, NRAs, or other NOFOs as needed. These are typically open for 90 days.

## Preapplication Coordination

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Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. Preapplication coordination is required. Environmental impact information is not required for most SMD programs. This program is excluded from coverage under E.O. 12372. All proposing organizations and all named team members (including collaborators) must be registered in NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES) <https://nspires.nasaprs.com/> and confirm their participation for the proposal to be submitted via NSPIRES. See NSPIRES help pages.

## Application Procedures

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2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards applies to this program.

Notice of Funding Opportunities (NOFO) for this listing will be posted on [Grants.gov](https://www.grants.gov).

Notice of Funding Opportunities (NOFO) for this listing will be posted on Grants.gov. General application processes and procedures are found in the NASA Proposer's Guidebook. It is necessary to refer to the individual SMD notice of funding opportunity (NOFO) for specific application procedures that may or may not include requirements for 1) a notice of intent (NOI) to apply; or 2) Two-phase (step) proposals; or 3) White Papers. SMD posts NOFO summaries on Grants.gov. While SMD accepts proposals via grants.gov, in order for SMD to review grants.gov proposals in the NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES) <https://nspires.nasaprs.com/>, Grants.gov users, MUST ALSO have a valid registration in NSPIRES in order to compete for SMD funding. Any NSPIRES required program-specific-data (PSD) questions will not be available as a built-in function of grants.gov. Therefore, grants.gov users also must include answers to the PSD questions as an appendix.

## Criteria for Selecting Proposals

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Not Applicable.

## **Award Procedure**

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Unless otherwise specified in the NOFO, the evaluation criteria considered in evaluating a proposal are: intrinsic merit, relevance, and cost. Intrinsic Merit includes the consideration of the following factors, as applicable to the particular proposal

- 1) The scientific quality of the proposed project, including, but not limited to, the scientific rationale and the expected significance and/or impact of the proposed work.
- 2) Overall, technical quality of the proposed work, includes, but is not limited to, the quality of the management plan and project timeline for carrying out the work and the effectiveness and resilience of the proposed experimental designs, methods, techniques, and approaches for achieving the proposed goals and/or objectives.
- 3) The qualifications, capabilities, and expertise of personnel demonstrated by the proposal (e.g., publications, delivered products, and other measures of productivity and/or experience) that would affect the likelihood of achieving the objectives.
- 4) Facilities, instruments, equipment and other resources or support systems presented in the proposal that would affect the likelihood of achieving the proposed objectives.

A proposal's relevance includes the consideration of the potential contribution to NASA's mission as expressed in its most recent NASA strategic plans and the permitted scope and specific objectives and goals given in the funding announcement. Cost of a proposed effort includes the reasonableness of the proposed cost, as well as whether costs are allowable and allocable to the project.

## **Date Range for Approval/Disapproval**

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From 120 to 180 days.

## **Renewals**

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From 120 to 180 days.

## **Appeals**

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From 60 to 90 days. From 90 to 120 days. SMD has a process for requesting a debrief and/or reconsideration of the declination of a proposal submitted in response to an SMD NASA Research Announcement and Cooperative Agreement Notice. Reconsideration may be requested if the PI believes that the proposal

NOTICES. Reconsideration may be requested if the PI believes that the proposal was not handled correctly. This process may be found at in the SMD Reconsideration Policy document available in the Library section of the SARA (Acronym stands for Senior Advisor for Research and Analysis) website at <https://sara.nasa.gov> or <https://science.nasa.gov/researchers>

## Compliance Requirements

### Policy Requirements

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The following 2CFR policy requirements apply to this assistance listing:

Subpart B, General provisions

Subpart C, Pre-Federal Award Requirements and Contents of Federal Awards

Subpart D, Post Federal; Award Requirements

Subpart E, Cost Principles

Subpart F, Audit Requirements

The following 2CFR policy requirements are excluded from coverage under this assistance listing:

*Not Applicable*

Additional Information:

### Reports

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**Program Reports:** Program Reports: Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. NASA has a New Technology Reporting requirement. See NASA Grants and Cooperative Agreement for interim and final reporting requirements. Some funding opportunities may have additional reporting requirements.

**Cash Reports:** SF-425

**Progress Reports:** SMD uses the basic federal Research Performance Progress Report format unless the NOFO specifies another format.

**Expenditure Reports:** SF-425

**Performance Reports:** SMD is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On time delivery of progress reports and other required documentation

## Audits

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Not Applicable.

## Records

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NASA follows the requirements and time period described in § 200.334 “Retention requirements for records”

## Regulations, Guidelines, and Literature

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NASA uses General and Special Conditions (Award Terms) 2 CFR 1800. NASA also makes Grant Information Circulars (GICs), the Grant and Cooperative Agreement Manual (GCAM), and Proposer’s Guidebook available for download at [https://www.nasa.gov/offices/ocfo/gpc/regulations\\_and\\_guidance](https://www.nasa.gov/offices/ocfo/gpc/regulations_and_guidance) NASA uses its Shared Services Center (NSSC) to provide support for NASA research, science, engineering, and education communities in the award and administration of research, education, training, and facility type grants and cooperative agreements. <https://www.nssc.nasa.gov/grants> SMD encourages proposers to download and read Science 2020-2024: A Vision for Scientific Excellence published at <https://science.nasa.gov/about-us/science-strategy>. Researchers interested in NASA science data and planning to propose to a SMD research NOFO will find frequently asked questions and similar resources linked to the Overview page <https://science.nasa.gov/researchers>

## Formula and Matching Requirements

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Statutory formula is not applicable to this assistance listing.

Matching requirements are not applicable to this assistance listing.

MOE requirements are not applicable to this assistance listing.

## Contact Information

### Regional or Local Locations:

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See [Regional Assistance Locations](#). SMD has no regional or local offices outside of Washington, DC.

### Headquarters Office:

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Max Bernstein

Mary W. Jackson NASA Headquarters Building 300 Hidden Figures Way SW,,  
Washington, DC 20546

✉ [HQ-SARA@nasa.gov](mailto:HQ-SARA@nasa.gov)

☎ 202.358.0879

Mary Frances Sladek

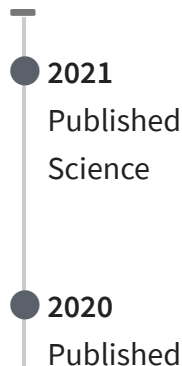
Mary W. Jackson NASA Headquarters Building 300 Hidden Figures Way SW,,  
Washington, DC 20546

✉ [Mary.F.Sladek@nasa.gov](mailto:Mary.F.Sladek@nasa.gov)

☎ 202-358-0861

Website: <https://science.nasa.gov/>

## History







## Feedback

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**General Services Administration**

This is a U.S. General Services Administration Federal Government computer system that is **"FOR OFFICIAL USE ONLY."** This system is subject to monitoring. Individuals found performing unauthorized activities are subject to disciplinary action including criminal prosecution.





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## ASSISTANCE LISTINGS

# Aeronautics

### Assistance Listing

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Assistance Listing

#### Popular Name

Aeronautics

#### Department/Ind. Agency

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

#### CFDA Number

43.002

#### Related Federal Assistance

[43.001](#)

[View available opportunities on Grants.gov related to this Assistance Listing](#)

## Overview

### Objectives

The NASA Mission draws support from NASA's world- class capability for aeronautical research founded on a tradition of expertise in aeronautical engineering and core research areas from within the Aeronautics Research

engineering and core research areas from within the Aeronautics Research Mission Directorate (ARMD). ARMD maintains and advances U.S. global leadership in aviation through applications of new concepts and technologies pioneered by NASA and developed in partnership with U.S. Industry that lead to transformative improvements in mobility, efficiency, and safety.

## Examples of Funded Projects

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Not Applicable.

## Assistance Listing Description

The Aeronautics Mission Directorates support the following major programs:

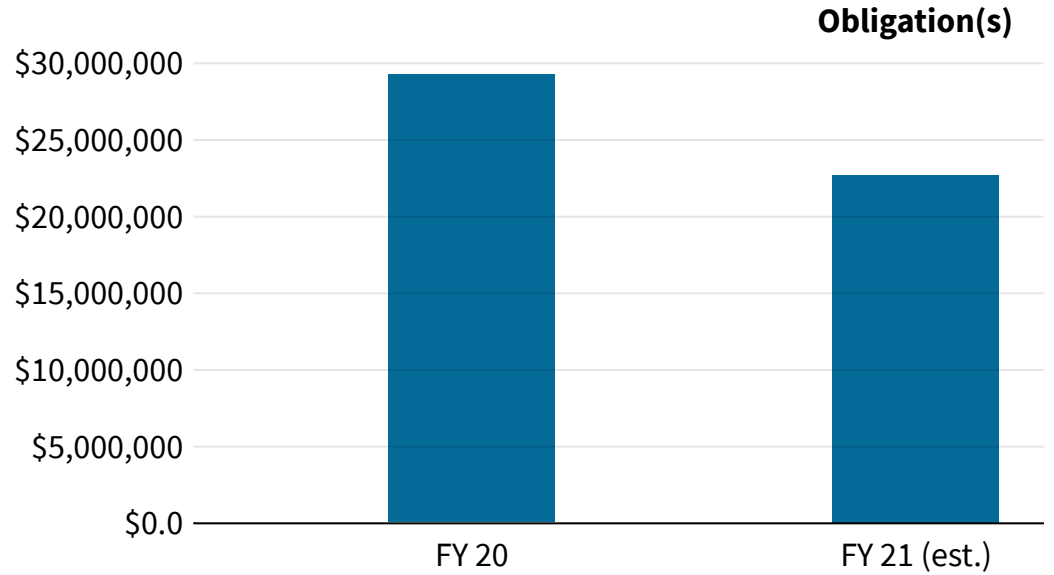
- The Advanced Air Vehicles Program (AAVP) - conducts cutting-edge research that will generate innovative concepts, technologies, capabilities, and knowledge to enable revolutionary advances for a wide range of air vehicles. AAVP's goal is to enable new aircraft to fly safer, faster, cleaner, quieter, and use fuel far more efficiently.
- The Airspace Operations and Safety Program (AOSP) - develops and explores fundamental concepts, algorithms, and technologies to increase throughput and efficiency of the National Airspace System (NAS) safely. AOSP-developed NextGen methods and means will provide advanced automated support to air navigation service providers and aircraft operators to reduce air-travel times and delays, and ensure greater safety in all weather conditions.
- The Integrated Aviation Systems Program (IASP) - conducts flight-oriented, system-level research and technology development to effectively mature and transition advanced aeronautic technologies into future air vehicles and operational systems.
- The Transformative Aeronautics Concepts Program (TCAP) – cultivates multi-disciplinary revolutionary concepts, creates the environment for researchers to experiment with new ideas, and drives rapid turnover into potential future concepts to enable aviation transformation. Research is organized to engage both the traditional aeronautics community and non-traditional partners.

## Authorizations

Aeronautics and Space Act of 1958

## Financial Information

These funding amounts do not reflect the award amounts that are displayed on USASpending.gov



Obligation(s)	FY 20	FY 21 (est.)	FY 22 (est.)
<input type="checkbox"/> <b>Cooperative Agreements (Discretionary Grants) Total</b>	<b>\$29,196,851.03</b>	<b>\$22,651,012</b>	<b>Estimate Not Available</b>
<b>Totals</b>	<b>\$29,196,851.03</b>	<b>\$22,651,012</b>	<b>Estimate Not Available</b>

## Range and Average of Financial Assistance

---

### Accomplishments

---

Not Applicable.

### Account Identification

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80-0126-0-1-402-Aeronautics

# Criteria for Applying

## Types of Assistance

B - Cooperative Agreements (Discretionary Grants), B - Cooperative Agreements, B - Project Grants, B - Project Grants (Capacity Building and Complaint Processing, Training), B - Project Grants (Contracts), B - Project Grants (Cooperative Agreements or Contracts), B - Project Grants (Cooperative Agreements), B - Project Grants (Discretionary), B - Project Grants (Fellowships), B - Project Grants (for administration projects authorized under Section, B - Project Grants (for collaborative design of curriculum, production of, B - Project Grants (for specified projects), B - Project Grants (including individual awards), B - Project Grants (including travel grants), B - Project Grants (Rehabilitation of existing indoor and outdoor recreat, B - Project Grants (Special), B - Project Grants (to capitalize loan funds), B - Project Grants (with Formula Distribution), L - Dissemination of Technical Information

## Credentials and Documentation

Financial Assistance Use of Unique Entity Identifier & SAM requirements. Review NASA Proposers Guide and Grant and Cooperative Agreement (GCAM) for specific certifications and assurance requirements. 2 CFR 200, Subpart E - Cost Principles applies to this program.

## Applicant Eligibility

### Designations

Government - General, Federal, Interstate, Intrastate, State (includes District of Columbia, public institutions of higher education and hospitals), Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals, Sponsored organization, Public nonprofit institution/organization (includes institutions of higher education and hospitals), Other public institution/organization, Federally Recognized Indian Tribal Governments, U.S. Territories and possessions, U.S. Territories and possessions (includes institutions of higher education and hospitals), Non-Government - General, Individual/Family, Minority group,

Specialized group (e.g. health professionals, students, veterans), Small business (less than 500 employees), Profit organization, Private nonprofit institution/organization (includes institutions of higher education and hospitals), Quasi-public nonprofit institution/organization, Other private institutions/organizations, State, Anyone/general public, Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, associations)

NASA recognizes and supports the benefits of having diverse and inclusive scientific, engineering, and technology communities and fully expects the reflection of such values in the composition of all panels and teams, including peer review panels, proposal teams, science definition teams, and mission and instrument teams. Per Federal statutes and NASA policy, no eligible applicant shall experience exclusion from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NASA on the grounds of their race, color, creed, age, sex, national origin, or disability. NASA welcomes proposals from all qualified and eligible sources, and strongly encourages proposals from Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), small disadvantaged businesses (SDBs), veteran-owned small businesses, service-disabled veteran-owned small businesses (SDVOSB), HUBZone small businesses, and women-owned small businesses (WOSBs), as eligibility requirements apply.

## **Beneficiary Eligibility**

### **Designations**

U.S. Territories, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business, Profit organization, Private nonprofit institution/organization, Quasi-public nonprofit organization, Other private institution/organization, Anyone/general public, Interstate, Native American Organizations, Health Professional, Education Professional, Student/Trainee, Graduate Student, Scientist/Researchers, Engineer/Architect, Intrastate, Industrialist/ Business person, Small Business Person, State, U.S. Citizen, Local, Preschool, School, Child (6-15), Youth (16-21), Sponsored organization, Major Metropolis (over 250,000), Other Urban, Suburban, Rural, Education (0-8), Education (9-12), Education (13+), Public nonprofit institution/organization, Other public

institution/organization, Federally Recognized Indian Tribal Governments

Institutions apply on behalf of individuals. All ARMD financial assistance complies with 14 CFR 1250, i.e., the provisions of Title VI of the Civil Rights Act of 1964, that ensures that no person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any ARMD - funded research or research-related activities. As a condition of receipt of NASA funding, the institution acknowledges and agrees that it must comply (and require any beneficiaries, e.g., subgrantees, contractors, successors, transferees, and assignees to comply) with applicable provisions of national laws and policies prohibiting discrimination.

## Length and Time Phasing of Assistance

---

Generally, up to three years but no more than five years. Review funding opportunity announcement for additional information. Method of awarding/releasing assistance: letter

## Use of Assistance

---

### Designations

Elementary/Secondary Education, Higher Education (includes Research), Libraries/Information/Statistics, Science and Technology, Training, Youth Development

Basic Research, Educational Outreach, or Training Opportunities in the area of Aeronautics. Review funding opportunity announcement for additional information. Review funding opportunity announcement for additional information.85 Percent

## Applying for Assistance

### Deadlines

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Contact the headquarters or regional location, as appropriate for application deadlines

See the Funding Opportunity for specific deadline information.

## Preapplication Coordination

---

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. See individual funding opportunity announcements to determine if Notice of Intent and/or Phase 1 proposals are required. All Principle Investigators and Co-Investigators are required to register in NASA Solicitation and Proposal Integration and Review System (NSPIRS) <https://nspires.nasaprs.com/external>.

## Application Procedures

---

2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards applies to this program.

Notice of Funding Opportunities (NOFO) for this listing will be posted on [Grants.gov](https://www.grants.gov).

General application processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for specific application procedures, including requirements for intent to apply and phase 1/phase 2 applications.

## Criteria for Selecting Proposals

---

Evaluation of intrinsic merit includes consideration of the following factors: (i) Overall scientific or technical merit of the proposal and/or unique and innovative methods, approaches, concepts, or advanced technologies demonstrated by the proposal; (ii) Proposer's capabilities, related experience, facilities, techniques, or unique combination of these which are integral factors for achieving the proposal's objectives; (iii) The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel

experience of the proposed principal investigator, team leader, or key personnel critical in achieving the proposal objectives; and (iv) Evaluation against the

state-of-the-art. Review panels are instructed not to compare proposals to each other; all comparative evaluations are conducted by NASA program personnel.

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## **Award Procedure**

General award processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for any deviations that may apply to that funding opportunity

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## **Date Range for Approval/Disapproval**

From 90 to 120 days. See the Funding Opportunity for specific deadline information

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## **Renewals**

From 30 to 60 days. Renewal and extension information can be found in the NASA Grants and Cooperative Agreement Manual (GCAM) and the NASA NSSC website at <https://www.nasa.gov/centers/nssc/grants>

---

## **Appeals**

From 30 to 60 days. Additional information regarding NASA appeals policy and process can be found in the NASA Grant and Cooperative Agreement Manual

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# **Compliance Requirements**

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## **Policy Requirements**

The following 2CFR policy requirements apply to this assistance listing:  
Subpart B, General provisions



Subpart C, Pre-Federal Award Requirements and Contents of Federal Awards

Subpart D, Post Federal; Award Requirements

Subpart E, Cost Principles

Subpart F, Audit Requirements

The following 2CFR policy requirements are excluded from coverage under this assistance listing:

*Not Applicable*

Additional Information:

## Reports

---

**Program Reports:** Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. NASA has a New Technology Reporting requirement. See NASA Grants and Cooperative Agreement for interim and final reporting requirements. Some funding opportunities may have additional reporting requirements.

**Cash Reports:** SF-425

**Progress Reports:** NASA uses the Research Performance Progress Report.

**Expenditure Reports:** SF-425

**Performance Reports:** The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

## Audits

---

Not Applicable.

## Records

---

NASA follows the requirements from 2 CFR 200.333

## Regulations, Guidelines, and Literature

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General and Special Conditions (Award Terms) 2 CFR 1800 NASA Grant & Cooperative Agreement Manual Research Terms and Conditions

## Formula and Matching Requirements

---

Statutory formula is not applicable to this assistance listing.

Matching requirements are not applicable to this assistance listing.

MOE requirements are not applicable to this assistance listing.

## Contact Information

### Regional or Local Locations:

---

None. ARMD does not have any regional or local offices outside of Washington, DC

### Headquarters Office:

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Anil Nijhawan

Program Manager 300 E Street, SW,

Washington, DC 20546

✉ [nnijhawa@nasa.gov](mailto:nnijhawa@nasa.gov)

☎ 202.358.2305

**Website:** <https://www.nasa.gov/aeroresearch>

## History

- 
- 2021**  
Published  
Aeronautics
  - 2020**  
Published  
Aeronautics
  - 2019**  
Published  
Aeronautics
  - 2010**  
Title Changed  
Aeronautics
  - 1993**  
Title Changed  
Technology Transfer
  - 1984**  
Title Changed  
Technology Utilization
  - 1978**  
Title Changed  
Technology Transfer
  - 1970**  
Title Changed  
Technology Utilization

- 1969  
Number Changed  
Transferred to Private Sector of Aerospace Technology
- 1967  
Published  
Technology Utilization



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## ASSISTANCE LISTINGS

# Space Operations

### Assistance Listing

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Assistance Listing

#### Popular Name

Space Operations

#### Department/Ind. Agency

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

#### CFDA Number

43.007

#### Related Federal Assistance

Not Applicable.

[View available opportunities on Grants.gov related to this Assistance Listing](#)

## Overview

### Objectives

The Space Operations Mission Directorate provides assistance for Basic Research, Educational Outreach, or Training Opportunities in the area of space operations. Applicants should review funding opportunity announcement for

operations. Applicants should review funding opportunity announcement for additional information

## Examples of Funded Projects

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**Fiscal Year 2021:** Ground and Flight investigations within applied research and development; technology readiness level maturation; and technology demonstrations to be performed on the International Space Station.

## Assistance Listing Description

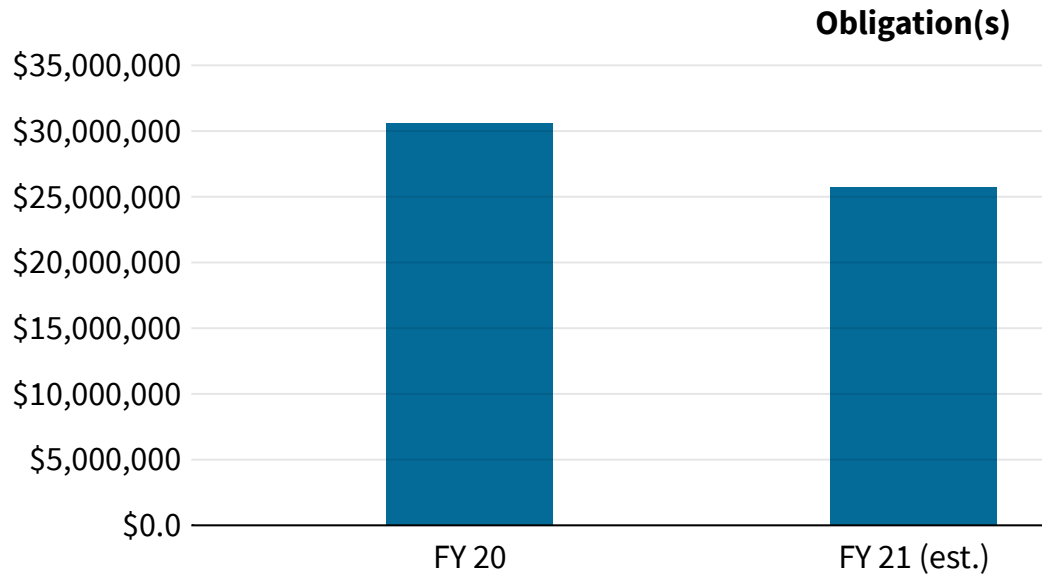
Space Operations account consists of four areas: International Space Station (ISS), Space Transportation, Space and Flight Support (SFS), and Commercial LEO Development. NASA is working to foster a robust commercial ecosystem in low-Earth orbit (LEO) in which NASA will be one of many customers. Through the ISS, NASA currently meets its own requirements for research and technology development, while also supporting a burgeoning community of non-NASA users. Over time, NASA has been and will be transitioning various aspects of human spaceflight operations in LEO to the private sector. As the world's only crewed space-based multinational research laboratory and technology test bed, ISS supports the emerging commercial ecosystem in LEO, as well as the future of deep space human exploration. The ISS promotes commerce in space through public-private partnerships as new commercialization concepts are explored and stimulates non-NASA demand to support commercial destinations being developed under the Commercial LEO Development program; Advances exploration of the solar system and enables scientists to identify and quantify risks to human health and performance, develop countermeasures, and develop and test technologies that protect astronauts during extended human space exploration; Supports unique research and development opportunities in the areas of biological and physical science; Supports current and planned Earth and Space Science observation missions.

## Authorizations

Aeronautics and Space Act of 1958

## Financial Information

*These funding amounts do not reflect the award amounts that are displayed on [USASpending.gov](https://USASpending.gov)*



Obligation(s)	FY 20	FY 21 (est.)	FY 22 (est.)
<input type="checkbox"/> <b>Cooperative Agreements (Discretionary Grants) Total</b>	<b>\$30,519,591</b>	<b>\$25,686,977</b>	<b>Estimate Not Available</b>
<b>Totals</b>	<b>\$30,519,591</b>	<b>\$25,686,977</b>	<b>Estimate Not Available</b>

## Range and Average of Financial Assistance

The range in award value depends on the research opportunity's objectives and the number of meritorious proposals accepted.

## Accomplishments

Not Applicable.

## Account Identification

80-0115-0-1-252-Space Operations

## Criteria for Applying

### Types of Assistance

---

B - Cooperative Agreements (Discretionary Grants), B - Cooperative Agreements, B - Project Grants, B - Project Grants (Cooperative Agreements or Contracts), B - Project Grants (Cooperative Agreements), B - Project Grants (Discretionary), B - Project Grants (Fellowships), B - Project Grants (for collaborative design of curriculum, production of, B - Project Grants (for specified projects), B - Project Grants (including individual awards), B - Project Grants (including travel grants)

### Credentials and Documentation

---

No Credentials or Documentation are required.

2 CFR 200, Subpart E - Cost Principles applies to this program.

### Applicant Eligibility

---

#### Designations

Government - General, Federal, Interstate, Intrastate, State (includes District of Columbia, public institutions of higher education and hospitals), Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals), Sponsored organization, Public nonprofit institution/organization (includes institutions of higher education and hospitals), Other public institution/organization, Federally Recognized Indian Tribal Governments, U.S. Territories and possessions (includes institutions of higher education and hospitals), Non-Government - General, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business (less than 500 employees), Profit organization, Private nonprofit institution/organization (includes institutions of higher education and hospitals), Quasi-public nonprofit institution/organization, Other private institutions/organizations, State, Anyone/general public, Native American Organizations (includes Indian groups cooperatives



Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, associations)

NASA recognizes and supports the benefits of having diverse and inclusive scientific, engineering, and technology communities and fully expects the reflection of such values in the composition of all panels and teams, including peer review panels, proposal teams, science definition teams, and mission and instrument teams. Per Federal statutes and NASA policy, no eligible applicant shall experience exclusion from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NASA on the grounds of their race, color, creed, age, sex, national origin, or disability. NASA welcomes proposals from all qualified and eligible sources, and strongly encourages proposals from Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), small disadvantaged businesses (SDBs), veteran-owned small businesses, service-disabled veteran-owned small businesses (SDVOSB), HUBZone small businesses, and women-owned small businesses (WOSBs), as eligibility requirements apply .

## Beneficiary Eligibility

### Designations

U.S. Territories, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business, Profit organization, Private nonprofit institution/organization, Quasi-public nonprofit organization, Other private institution/organization, Anyone/general public, Interstate, Native American Organizations, Health Professional, Education Professional, Student/Trainee, Graduate Student, Scientist/Researchers, Engineer/Architect, Intrastate, Industrialist/ Business person, Small Business Person, State, U.S. Citizen, Local, Preschool, School, Child (6-15), Youth (16-21), Sponsored organization, Major Metropolis (over 250,000), Other Urban, Suburban, Rural, Education (0-8), Education (9-12), Education (13+), Public nonprofit institution/organization, Other public institution/organization, Federally Recognized Indian Tribal Governments

White Institutions apply on behalf of individuals. All Space Operations financial assistance complies with 14 CFR 1250, i.e., the provisions of Title VI of the Civil

Rights Act of 1964, that ensures that no person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any Space Operations -funded research or research-related activities. As a condition of receipt of NASA funding, the institution acknowledges and agrees that it must comply (and require any beneficiaries, e.g., subgrantees, contractors, successors, transferees, and assignees to comply) with applicable provisions of national laws and policies prohibiting discrimination.

## **Length and Time Phasing of Assistance**

---

Generally, up to three years but no more than five years. Applicants should review funding opportunity announcement for additional information. Method of awarding/releasing assistance: letter

## **Use of Assistance**

---

### **Designations**

Elementary/Secondary Education, Higher Education (includes Research), Libraries/Information/Statistics, Science and Technology, Training, Youth Development

Basic Research, Educational Outreach, and Training Opportunities in the area of Space Operations. Review funding opportunity announcement for additional information. Review funding opportunity announcement for additional information. 85 Percent

## **Applying for Assistance**

### **Deadlines**

---

Contact the headquarters or regional location, as appropriate for application deadlines

Review funding opportunity announcement for specific deadlines and other key dates.

## Preapplication Coordination

---

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. - See individual funding opportunity announcements to determine if Notice of Intent and/or Phase 1 proposals are required. All Principle Investigators and Co-Investigators are required to register in NASA Solicitation and Proposal Integration and Review System (NSPIRES) <https://nspires.nasaprs.com/external>.

## Application Procedures

---

2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards applies to this program.

Notice of Funding Opportunities (NOFO) for this listing will be posted on [Grants.gov](https://www.grants.gov).

General application processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for specific application procedures, including requirements for intent to apply and phase 1/phase 2 applications.

## Criteria for Selecting Proposals

---

Evaluation of intrinsic merit includes consideration of the following factors: (i) Overall scientific or technical merit of the proposal and/or unique and innovative methods, approaches, concepts, or advanced technologies demonstrated by the proposal; (ii) Proposer's capabilities, related experience, facilities, techniques, or unique combination of these which are integral factors for achieving the proposal's objectives; (iii) The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel critical in achieving the proposal objectives; and (iv) Evaluation against the state-of-the-art. Review panels are instructed not to compare proposals to each other; all comparative evaluations are conducted by NASA program personnel.

## **Award Procedure**

---

General award processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for any deviations that may apply to that funding opportunity.

## **Date Range for Approval/Disapproval**

---

From 90 to 120 days.

## **Renewals**

---

From 30 to 60 days. Renewal and extension information can be found in the NASA Grant and Cooperative Manual (GCAM) and the NSSC website at <https://www.nasa.gov/centers/nssc/grants>

## **Appeals**

---

From 30 to 60 days. Information on NASA appeals policy and process can be found in the NASA Grant and Cooperative Agreement Manual (GCAM)

# **Compliance Requirements**

## **Policy Requirements**

---

The following 2CFR policy requirements apply to this assistance listing:

Subpart B, General provisions

Subpart C, Pre-Federal Award Requirements and Contents of Federal Awards

Subpart D, Post Federal; Award Requirements

Subpart E, Cost Principles

Subpart F, Audit Requirements

The following 2CFR policy requirements are excluded from coverage under this assistance listing:

*Not Applicable*

Additional Information:

## Reports

---

**Program Reports:** Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. NASA has a New Technology Reporting requirement. See NASA Grants and Cooperative Agreement for interim and final reporting requirements. Some funding opportunities may have had additional reporting requirements.

**Cash Reports:** Standard Form (SF) 425

**Progress Reports:** NASA uses the Research Performance Progress Report.

**Expenditure Reports:** Standard Form (SF) 425

**Performance Reports:** The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

## Audits

---

Not Applicable.

## Records

---

## Regulations, Guidelines, and Literature

---

## Formula and Matching Requirements

---

Statutory formula is not applicable to this assistance listing.

Matching requirements are not applicable to this assistance listing.

MOE requirements are not applicable to this assistance listing.

## Contact Information

### Regional or Local Locations:

---

[See Regional Assistance Locations.](#)

### Headquarters Office:

---

Robyn Gatens

Director, ISS - 300 E Street, SW,  
Washington, DC 20546

✉ [robyn.gatens@nasa.gov](mailto:robyn.gatens@nasa.gov)

☎ 202.358.4593

Website: <http://www.nasa.gov>

## History

● 2021

Published  
Space Operations

● 2020

Published  
Space Operations

- 2019  
Published  
Space Operations
- 2019  
Published  
Space Operations
- 2010  
Published  
Space Operations



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## ASSISTANCE LISTINGS

# Exploration

### Assistance Listing

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Assistance Listing

### Department/Ind. Agency

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

### CFDA Number

43.003

### Related Federal Assistance

Not Applicable.

[View available opportunities on Grants.gov related to this Assistance Listing](#) ↗

## Overview

### Objectives

The Exploration Mission Directorate provides financial assistance for Basic Research, Educational Outreach, or Training Opportunities in the area of space exploration. Applicants should review funding opportunity announcement for additional information.

## Examples of Funded Projects

---

**Fiscal Year 2021:** - Human Exploration Research Opportunities (HERO): Solicits applied research in support of NASA's Human Research Program (HRP). The research falls into one or more categories corresponding to HRP's five Elements: Space Radiation, Human Health Countermeasures, Exploration Medical Capability, Human Factors and Behavioral Performance, and Research Operations and Integration. Solicitation covers all aspects of research to provide human health and performance countermeasures, knowledge, technologies, and tools to enable safe, reliable, and productive human space exploration. Ground and Flight investigations within applied research and development; technology readiness level maturation; and technology demonstrations.

## Assistance Listing Description

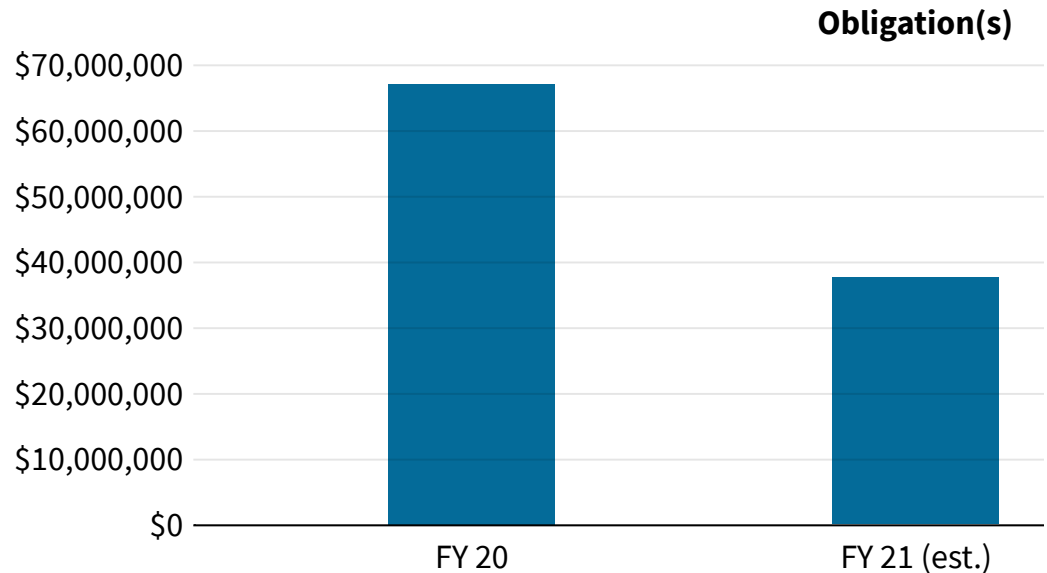
Deep Space Exploration Systems consists of two areas, Exploration Systems Development (ESD) and Exploration Research and Development (ERD), which provide for the development of systems and capabilities needed for the human exploration of the Moon and Mars. Exploration Systems Development (ESD) programs work together to build many of the key space transportation systems that will enable the Agency's Artemis Program to land the first woman and first person of color on the Moon and extend human presence into the solar system. The systems include the Orion crew vehicle, Space Launch System (SLS) launch vehicle, and Exploration Ground Systems (EGS). The overarching goal of ERD is to infuse technologies and research into the development of human exploration capabilities using a combination of unique in-house activities, competed research, and public-private partnerships. ERD is developing and testing prototype systems, as well as planning and developing flight missions to lunar orbit and the Moon; and conducting and enabling human research that will form the basis for future human spaceflight missions. ERD is comprised of five programs: Human Landing System (HLS), Advanced Cislunar Surface Capabilities (ACSC), Gateway, Advanced Exploration Systems (AES), and Human Research Program (HRP). AES works to identify and address knowledge gaps and deliver fundamental capabilities to provide astronauts a place to live and work with integrated life support systems, radiation protection, food, fire safety, avionics and software, logistics management, and waste management systems. HRP is responsible for understanding and mitigating the highest risks to astronaut health and performance to ensure crews remain healthy and productive during long-duration missions beyond low-Earth orbit (LEO).

# Authorizations

Aeronautics and Space Act of 1958

## Financial Information

*These funding amounts do not reflect the award amounts that are displayed on USASpending.gov*



Obligation(s)	FY 20	FY 21 (est.)	FY 22 (est.)
<input type="checkbox"/> <b>Cooperative Agreements (Discretionary Grants) Total</b>	<b>\$67,035,535</b>	<b>\$37,568,665</b>	<b>Estimate Not Available</b>
<b>Totals</b>	<b>\$67,035,535</b>	<b>\$37,568,665</b>	<b>Estimate Not Available</b>

## Range and Average of Financial Assistance

The range in award value depends on the research opportunity's objectives and the number of meritorious proposals accepted. Awards will generally range from under \$100K per year for focused, limited efforts (e.g., data analysis) to \$1M per year for extensive activities (e.g., development of scientific hardware) and will be made as a grant, cooperative agreement, or contract.

## Accomplishments

---

Not Applicable.

## Account Identification

---

80-0124-0-1-252-Exploration

## Criteria for Applying

### Types of Assistance

---

B - Cooperative Agreements (Discretionary Grants), B - Cooperative Agreements, B - Project Grants, B - Project Grants (Cooperative Agreements or Contracts), B - Project Grants (Cooperative Agreements), B - Project Grants (Discretionary), B - Project Grants (Fellowships), B - Project Grants (for specified projects), B - Project Grants (including individual awards), B - Project Grants (including travel grants), C - Direct Payments for Specified Use, C - Direct Payments for Specified Use (Cooperative Agreements), I - Use of Property, Facilities, and Equipment, J - Provision of Specialized Services, L - Dissemination of Technical Information, M - Training

### Credentials and Documentation

---

Financial Assistance Use of Unique Entity Identifier & SAM requirements. Review NASA Proposers Guide and NASA Grant and Cooperative Agreement (GCAM) for specific certifications and assurance requirements, Review funding opportunity announcement for additional information. 2 CFR 200, Subpart E - Cost Principles applies to this program.

### Applicant Eligibility

---

#### Designations

Government - General, Federal, Interstate, Intrastate, State (includes District of Columbia, public institutions of higher education and

hospitals), Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals, Sponsored organization, Public nonprofit institution/organization (includes institutions of higher education and hospitals), Other public institution/organization, Federally Recognized Indian Tribal Governments, U.S. Territories and possessions, U.S. Territories and possessions (includes institutions of higher education and hospitals), Non-Government - General, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business (less than 500 employees), Profit organization, Private nonprofit institution/organization (includes institutions of higher education and hospitals), Quasi-public nonprofit institution/organization, Other private institutions/organizations, State, Anyone/general public, Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, associations)

NASA recognizes and supports the benefits of having diverse and inclusive scientific, engineering, and technology communities and fully expects the reflection of such values in the composition of all panels and teams, including peer review panels, proposal teams, science definition teams, and mission and instrument teams. Per Federal statutes and NASA policy, no eligible applicant shall experience exclusion from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NASA on the grounds of their race, color, creed, age, sex, national origin, or disability. NASA welcomes proposals from all qualified and eligible sources, and strongly encourages proposals from Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), small disadvantaged businesses (SDBs), veteran-owned small businesses, service-disabled veteran-owned small businesses (SDVOSB), HUBZone small businesses, and women-owned small businesses (WOSBs), as eligibility requirements apply

## **Beneficiary Eligibility**

### **Designations**

U.S. Territories, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business, Profit organization, Private nonprofit institution/organization, Quasi-public nonprofit organization, Other private institution/organization,

Anyone/general public, Interstate, Native American Organizations, Health Professional, Education Professional, Student/Trainee,

Graduate Student, Scientist/Researchers, Engineer/Architect, Intrastate, Industrialist/ Business person, Small Business Person, State, U.S. Citizen, Local, Preschool, School, Child (6-15), Youth (16-21), Sponsored organization, Major Metropolis (over 250,000), Other Urban, Suburban, Rural, Education (0-8), Education (9-12), Education (13+), Public nonprofit institution/organization, Other public institution/organization, Federally Recognized Indian Tribal Governments, Black, American Indian, Spanish Origin, Asian, Other Non-White, Women, Veteran/Service person/Reservist (including dependents, Disabled (e.g. Deaf, Blind, Physically Disabled)

Institutions apply on behalf of individuals. All Human Exploration financial assistance complies with 14 CFR 1250, i.e., the provisions of Title VI of the Civil Rights Act of 1964, that ensures that no person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any Human Exploration -funded research or research-related activities. As a condition of receipt of NASA funding, the institution acknowledges and agrees that it must comply (and require any beneficiaries, e.g., subgrantees, contractors, successors, transferees, and assignees to comply) with applicable provisions of national laws and policies prohibiting discrimination

## **Length and Time Phasing of Assistance**

Generally, up to three years but no more than five years. Review funding opportunity announcement for additional information. Method of awarding/releasing assistance: lump sum

## **Use of Assistance**

### **Designations**

Elementary/Secondary Education, Higher Education (includes Research), Libraries/Information/Statistics, Science and Technology, Training, Youth Development

This financial assistance is used for Basic Research, Educational Outreach, or Training Opportunities in the area of space exploration. Applicants should

review funding opportunity announcement for additional information. This financial assistance is used for Basic Research, Educational Outreach, or Training Opportunities in the area of space exploration. Applicants should review funding opportunity announcement for additional information. 85 Percent

## **Applying for Assistance**

### **Deadlines**

---

Oct 01, 2020 Applicants should review funding opportunity announcement for specific deadlines and other key dates.

### **Preapplication Coordination**

---

Preapplication coordination is required. An environmental impact statement is required for this listing. This program is excluded from coverage under E.O. 12372. Applicants should review individual funding opportunity announcements to determine if Notice of Intent and/or Phase 1 proposals are required. All Principle Investigators and Co-Investigators are required to register in NASA Solicitation and Proposal Integration and Review System (NSPIRES) <https://nspires.nasaprs.com/external>.

### **Application Procedures**

---

2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards applies to this program.

General application processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for specific application procedures, including requirements for intent to apply and phase 1/phase 2 applications.

### **Criteria for Selecting Proposals**

## Criteria for Selecting Proposals

---

Evaluation of intrinsic merit includes consideration of the following factors: (i) Overall scientific or technical merit of the proposal and/or unique and innovative methods, approaches, concepts, or advanced technologies demonstrated by the proposal; (ii) Proposer's capabilities, related experience, facilities, techniques, or unique combination of these which are integral factors for achieving the proposal's objectives; (iii) The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel critical in achieving the proposal objectives; and (iv) Evaluation against the state-of-the-art. Review panels are instructed not to compare proposals to each other; all comparative evaluations are conducted by NASA program personnel.

## Award Procedure

---

General award processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for any deviations that may apply to that funding opportunity.

## Date Range for Approval/Disapproval

---

From 90 to 120 days.

## Renewals

---

From 30 to 60 days. Renewal and extension information can be found in the NASA Grant and Cooperative Manual (GCAM) and the NSSC website at <https://www.nasa.gov/centers/nssc/grants>

## Appeals

---

From 30 to 60 days. Information on NASA appeals policy and process can be found in the NASA Grant and Cooperative Agreement Manual (GCAM)



# Compliance Requirements

## Policy Requirements

---

The following 2CFR policy requirements apply to this assistance listing:

Subpart B, General provisions

Subpart C, Pre-Federal Award Requirements and Contents of Federal Awards

Subpart D, Post Federal; Award Requirements

Subpart E, Cost Principles

Subpart F, Audit Requirements

The following 2CFR policy requirements are excluded from coverage under this assistance listing:

*Not Applicable*

Additional Information:

## Reports

---

**Program Reports:** Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. NASA has a New Technology Reporting requirement. See NASA Grants and Cooperative Agreement for interim and final reporting requirements. Some funding opportunities may have had additional reporting requirements.

**Cash Reports:** Standard Form (SF) 425.

**Progress Reports:** NASA uses the Research Performance Progress Report.

**Expenditure Reports:** Standard Form (SF) 425

**Performance Reports:** The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2)

Successful completion of significant activities or objectives identified, and/or (3)  
On-time delivery of reports and other required documentation.

## Audits

---

Not Applicable.

## Records

---

NASA follows the requirements from 2 CFR 200.333

## Regulations, Guidelines, and Literature

---

General and Special Terms and Conditions (Award Terms) Grants and  
Cooperative Agreement Manual 2 CFR 1800 Research Terms and Conditions

## Formula and Matching Requirements

---

Statutory formula is not applicable to this assistance listing.  
Matching requirements are not applicable to this assistance listing.  
MOE requirements are not applicable to this assistance listing.

## Contact Information

### Regional or Local Locations:

---

[See Regional Assistance Locations.](#)

### Headquarters Office:

---

John R. Allen  
Management and Program Analyst - 300 E St., SW,  
Washington, DC 20546

✉ [john.r.allen@nasa.gov](mailto:john.r.allen@nasa.gov)

☎ 202.358.4740

## History

- **2021**  
Published  
Exploration
- **2020**  
Published  
Exploration
- **2019**  
Published  
Exploration
- **2019**  
Published  
Exploration
- **2010**  
Published  
Exploration



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## Assistance Listing

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## ASSISTANCE LISTINGS

# Safety, Security and Mission Services

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Assistance Listing

### Popular Name

Safety, Security and Mission Services

### Department/Ind. Agency

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

### CFDA Number

43.009

### Related Federal Assistance

[43.002](#) , [43.003](#) , [43.007](#) , [43.001](#) , [43.012](#) , [43.008](#)

[View available opportunities on Grants.gov related to this Assistance Listing](#)

## Overview

## Objectives

Provides effective and efficient institutional support to enable successful

accomplishment of NASA mission objectives by integrating resources, infrastructure, processes, and advocates for institutional capabilities and needs for NASA, and optimizing mission support services through strategic analysis and Business Services Assessments to enable more efficient operations for NASA.

## Examples of Funded Projects

Not Applicable.

## Assistance Listing Description

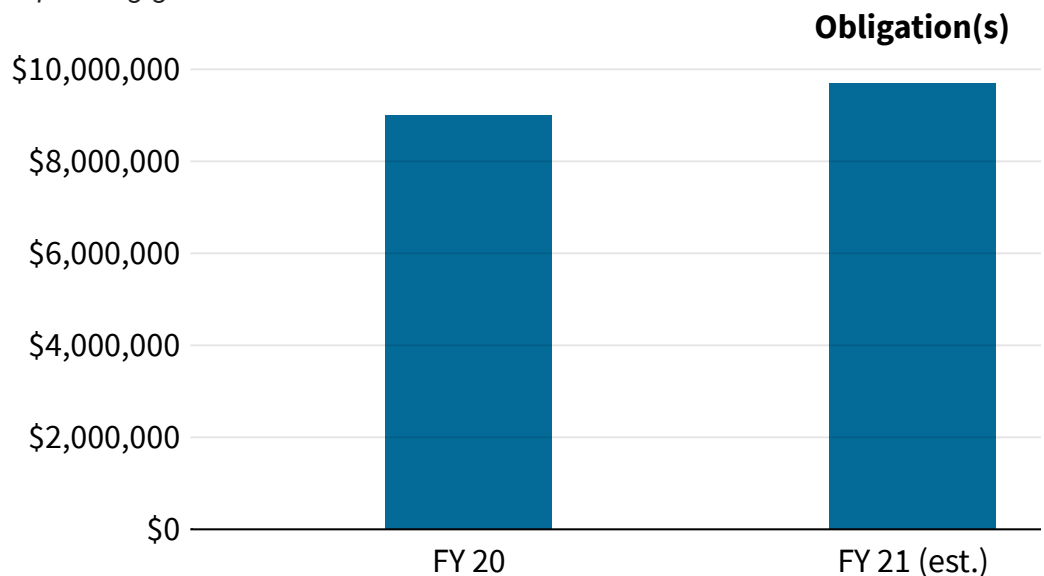
The Safety, Security and Mission Services Assistance listing supports NASA Mission Directorates in the areas of Basic Research, Educational Outreach, or Training Opportunities. Applicants should review funding opportunity announcement for additional information

## Authorizations

Aeronautics and Space Act of 1958

## Financial Information

*These funding amounts do not reflect the award amounts that are displayed on USASpending.gov*



Obligation(s)	FY 20	FY 21 (est.)	FY 22 (est.)
<input type="checkbox"/> <b>Cooperative Agreements (Discretionary Grants) Total</b>	<b>\$8,988,118.59</b>	<b>\$9,684,867</b>	<b>Estimate Not Available</b>
<b>Totals</b>	<b>\$8,988,118.59</b>	<b>\$9,684,867</b>	<b>Estimate Not Available</b>

## Range and Average of Financial Assistance

---

### Accomplishments

---

Not Applicable.

### Account Identification

---

80-0122-0-1-252-Safety, Security and Mission Services

## Criteria for Applying

### Types of Assistance

---

B - Cooperative Agreements (Discretionary Grants), B - Cooperative Agreements, B - Project Grants, B - Project Grants (Contracts), B - Project Grants (Cooperative Agreements or Contracts), B - Project Grants (Cooperative Agreements), B - Project Grants (Discretionary), B - Project Grants (Fellowships), B - Project Grants (for collaborative design of curriculum, production of, B - Project Grants (for specified projects), B - Project Grants (including individual awards), B - Project Grants (including travel grants)

### Credentials and Documentation

---

No Credentials or Documentation are required.

This program is excluded from coverage under 2 CFR 200, Subpart E - Cost Principles.

## **Applicant Eligibility**

### **Designations**

Government - General, Federal, Interstate, Intrastate, State (includes District of Columbia, public institutions of higher education and hospitals), Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals, Sponsored organization, Public nonprofit institution/organization (includes institutions of higher education and hospitals), Other public institution/organization, Federally Recognized Indian Tribal Governments, U.S. Territories and possessions (includes institutions of higher education and hospitals), Non-Government - General, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business (less than 500 employees), Profit organization, Private nonprofit institution/organization (includes institutions of higher education and hospitals), Quasi-public nonprofit institution/organization, Other private institutions/organizations, State, Anyone/general public, Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, associations), U.S. Territories and possessions

NASA recognizes and supports the benefits of having diverse and inclusive scientific, engineering, and technology communities and fully expects the reflection of such values in the composition of all panels and teams, including peer review panels, proposal teams, science definition teams, and mission and instrument teams. Per Federal statutes and NASA policy, no eligible applicant shall experience exclusion from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NASA on the grounds of their race, color, creed, age, sex, national origin, or disability. NASA welcomes proposals from all qualified and eligible sources, and strongly encourages proposals from Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), small



disadvantaged businesses (SDBs), veteran-owned small businesses, service-disabled veteran-owned small businesses (SDVOSB), HUBZone small businesses, and women-owned small businesses (WOSBs), as eligibility requirements apply.

## **Beneficiary Eligibility**

### **Designations**

U.S. Territories, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business, Profit organization, Private nonprofit institution/organization, Quasi-public nonprofit organization, Other private institution/organization, Anyone/general public, Interstate, Native American Organizations, Health Professional, Education Professional, Graduate Student, Scientist/Researchers, Engineer/Architect, Intrastate, Industrialist/Business person, Small Business Person, State, U.S. Citizen, Local, Preschool, School, Child (6-15), Youth (16-21), Sponsored organization, Major Metropolis (over 250,000), Other Urban, Suburban, Rural, Education (0-8), Education (9-12), Education (13+), Public nonprofit institution/organization, Other public institution/organization, Federally Recognized Indian Tribal Governments, Black, American Indian, Spanish Origin, Asian, Other Non-White, Women, Disabled (e.g. Deaf, Blind, Physically Disabled)

Institutions apply on behalf of individuals. All NASA financial assistance complies with 14 CFR 1250, i.e., the provisions of Title VI of the Civil Rights Act of 1964, that ensures that no person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any NASA - funded research or research-related activities. As a condition of receipt of NASA funding, the institution acknowledges and agrees that it must comply (and require any beneficiaries, e.g., subgrantees, contractors, successors, transferees, and assignees to comply) with applicable provisions of national laws and policies prohibiting discrimination

## **Length and Time Phasing of Assistance**

Generally, up to three years but no more than five years. Review funding opportunity announcement for additional information. Method of awarding/releasing assistance: letter

## Use of Assistance

### Designations

Elementary/Secondary Education, Higher Education (includes Research), Science and Technology, Training

Basic Research, Educational Outreach, or Training Opportunities. Applicants should review funding opportunity announcement for additional information. Basic Research, Educational Outreach, or Training Opportunities. Applicants should review funding opportunity announcement for additional information. 85 Percent.

## Applying for Assistance

### Deadlines

Oct 01, 2021 Applicants should review funding opportunity announcement for specific deadlines and other key dates  
Review funding opportunity announcement for additional information.


### Preapplication Coordination

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. See individual funding opportunity announcements to determine if Notice of Intent and/or Phase 1 proposals are required. All Principle Investigators and Co-Investigators are required to register in NASA Solicitation and Proposal Integration and Review System (NSPIRS)  
<https://nspires.nasaprs.com/external>.

## Application Procedures

---

2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards applies to this program.

Notice of Funding Opportunities (NOFO) for this listing will be posted on [Grants.gov](https://www.grants.gov) .

General application processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for specific application procedures, including requirements for intent to apply and phase 1/phase 2 applications.

## Criteria for Selecting Proposals

---

Evaluation of intrinsic merit includes consideration of the following factors: (i) Overall scientific or technical merit of the proposal and/or unique and innovative methods, approaches, concepts, or advanced technologies demonstrated by the proposal; (ii) Proposer's capabilities, related experience, facilities, techniques, or unique combination of these which are integral factors for achieving the proposal's objectives; (iii) The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel critical in achieving the proposal objectives; and (iv) Evaluation against the state-of-the-art. Review panels are instructed not to compare proposals to each other; all comparative evaluations are conducted by NASA program personnel.

## Award Procedure

---

General award processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for any deviations that may apply to that funding opportunity.

## Date Range for Approval/Disapproval

---

From 90 to 120 days.

## Renewals

## Renewals

---

From 30 to 60 days. Renewal and extension information can be found in the NASA Grant and Cooperative Manual (GCAM) and the NSSC website at <https://www.nasa.gov/centers/nssc/grants>

## Appeals

---

From 30 to 60 days. Information on NASA appeals policy and process can be found in the NASA Grant and Cooperative Agreement Manual (GCAM)

# Compliance Requirements

## Policy Requirements

---

The following 2CFR policy requirements apply to this assistance listing:

Subpart B, General provisions

Subpart C, Pre-Federal Award Requirements and Contents of Federal Awards

Subpart D, Post Federal; Award Requirements

Subpart F, Audit Requirements

The following 2CFR policy requirements are excluded from coverage under this assistance listing:

Subpart E, Cost Principles

Additional Information:

## Reports

---

**Program Reports:** Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly

Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. NASA has a New Technology Reporting requirement. See NASA Grants and Cooperative Agreement for interim and final reporting requirements. Some funding opportunities may have had additional reporting requirements.

**Cash Reports:** Standard Form (SF) 425

**Progress Reports:** NASA uses the Research Performance Progress Report.

**Expenditure Reports:** Standard Form (SF) 425

**Performance Reports:** in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

## Audits

---

Not Applicable.

## Records

---

NASA follows the requirements from 2 CFR 200.333

## Regulations, Guidelines, and Literature

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General and Special Conditions (Award Terms) 2 CFR 200 NASA Grant & Cooperative Agreement Manual Research Terms and Conditions

## Formula and Matching Requirements

---

Statutory formula is not applicable to this assistance listing.

Matching requirements are not applicable to this assistance listing.

MOE requirements are not applicable to this assistance listing.

MOL requirements are not applicable to this assistance listing.

## Contact Information

### Regional or Local Locations:

---

[See Regional Assistance Locations.](#)

### Headquarters Office:

---

Chuck Brooks

Deputy Director- Resources & Perf. Mgmt 300 E Street, SW,,  
Washington, DC 20546

✉ [charles.e.brooks@nasa.gov](mailto:charles.e.brooks@nasa.gov)

☎ 202.358.2582

Website: <http://www.nasa.gov>

## History

● 2021

Published

Safety, Security and Mission Services

● 2020

Title Changed

**To:** Safety, Security and Mission Services

**From:** Cross Agency Support

● 2020

Published

Cross Agency Support

● 2019

Published

Cross Agency Support

2010  
Published  
Cross Agency Support



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## Assistance Listing

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ASSISTANCE LISTINGS

# Space Technology

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Assistance Listing

### Popular Name

STMD, Space Tech

### Department/Ind. Agency

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

### CFDA Number

43.012

### Related Federal Assistance

[43.001](#) , [43.002](#) , [43.003](#)

[View available opportunities on Grants.gov related to this Assistance Listing](#)

## Overview

### Objectives

The Space Technology Mission Directorate (STMD) is dedicated to developing transformative, cross-cutting technologies that enable NASA's missions while also supporting commercial and other government agencies' needs where



also supporting commercial and other government agencies' needs where appropriate. The Space Technology account supports the Administration's priorities of developing new technologies to enable human and robotic exploration of the Moon, Mars, and beyond and enhancing research and development to contribute to U.S. leadership in space technology. Through STMD, NASA invests in high-risk, high-reward activities across the technology development spectrum through partnerships with academia, entrepreneurs, and small and large businesses.

## Examples of Funded Projects

---

### Fiscal Year 2020:

[https://www.nasa.gov/directorates/spacetech/niac/NIAC\\_funded\\_studies.html](https://www.nasa.gov/directorates/spacetech/niac/NIAC_funded_studies.html)  
<https://www.nasa.gov/directorates/spacetech/strg/nstgro>  
[https://www.nasa.gov/directorates/spacetech/strg/archives\\_stro.html](https://www.nasa.gov/directorates/spacetech/strg/archives_stro.html)  
<https://www.nasa.gov/directorates/spacetech/strg/early-stage-innovations-esi>  
<https://www.nasa.gov/directorates/spacetech/strg/lustr>  
<https://www.nasa.gov/directorates/spacetech/strg/stri>  
<https://www.nasa.gov/features/nasa-selects-31-promising-space-technologies-for-commercial-flight-tests> <https://www.nasa.gov/feature/ames/nasa-selects-universities-for-collaborative-development>

### Fiscal Year 2021:

[https://www.nasa.gov/directorates/spacetech/niac/NIAC\\_funded\\_studies.html](https://www.nasa.gov/directorates/spacetech/niac/NIAC_funded_studies.html)  
<https://www.nasa.gov/directorates/spacetech/strg/nstgro>  
[https://www.nasa.gov/directorates/spacetech/strg/archives\\_stro.html](https://www.nasa.gov/directorates/spacetech/strg/archives_stro.html)  
<https://www.nasa.gov/directorates/spacetech/strg/early-stage-innovations-esi>  
<https://www.nasa.gov/directorates/spacetech/strg/lustr>  
<https://www.nasa.gov/directorates/spacetech/strg/stri>  
<https://www.nasa.gov/features/nasa-selects-31-promising-space-technologies-for-commercial-flight-tests> <https://www.nasa.gov/feature/ames/nasa-selects-universities-for-collaborative-development>

**Fiscal Year 2022:** STMD anticipates awards to continue the focus on lunar surface technologies in addition to other opportunities.

## Assistance Listing Description

STMD actively engages its many stakeholders to identify opportunities of common interest to better leverage government investments. Through its Public-Private Partnerships, STMD invests in industry- developed space

technologies that can advance the commercial space sector and benefit future NASA missions. STMD also promotes equity supporting underserved

communities through its programs by increasing participation of women and socially or economically disadvantaged businesses, historically black colleges (HBCU), and minority serving institutions (MSI). Space Technology investments keep NASA's technology pipeline growing with emerging, innovative technologies that benefits a wide range of users, ensuring the nation realizes the full economic value and societal benefit of these innovations. STMD's technology portfolio includes broad technology applications addressing multiple stakeholder needs. Technologies such as autonomous landing and hazard avoidance, advanced cryogenic fluid management, rapid and efficient transit propulsion, advanced materials, and in-space manufacturing and assembly technologies benefit both human and robotic exploration and spur economic growth in the space industry. Robotics, On-orbit Servicing, Assembly, and Manufacturing (OSAM), Small Spacecraft technologies, and Flight Opportunities are specific examples of technologies that support industry needs, thereby enhancing U.S. competitiveness for R&D, innovation, and technology advancement. Early-Stage Innovation and Partnerships spur collaboration with innovators across the Nation to capitalize on the ideas, talent, and experience of a diverse set of contributors to achieve NASA's Agency objectives. STMD funds early-stage research and development (TRL 1-3) sourced from academia, industry, entrepreneurs, and from the NASA workforce to generate pioneering approaches to the Agency's difficult and far-reaching exploration challenges. It also puts emphasis on increasing participation by women and socially or economically disadvantaged businesses and historically black colleges (HBCU) and minority serving institutions (MSI). NASA sustains these Early-Stage investments at seven to eight percent of the overall Exploration Technology budget which includes Space Technology Research Grants (STRG), NASA Innovative Advanced Concepts (NIAC), Center Innovation Fund (CIF), and Early Career Initiative (ECI). In addition, NASA funds STMD partnership activities including technology transfer and technology commercialization activities, and the Agency's Prizes and Challenges activities (including Centennial Challenges and the NASA Tournament Lab). NASA's Technology Transfer Program ensures NASA's inventions can be utilized to provide U.S. commercial benefit by tracking, analyzing, and reporting investments and progress, as well as managing patent licenses and software releases. STMD is working with Minority University Research & Education Project (MUREP) to better engage Minority Serving Institutions (MSIs) and Historically Black Colleges & Universities (HBCUs). MUREP, administered by the Office of STEM Engagement, provides financial assistance via competitive awards to MSIs

& HBCUs. MUREP’s Space Technology Artemis Research (M-STAR) grants offer up to \$500,000 over 2 years for MSIs and HBCUs to strengthen and develop their

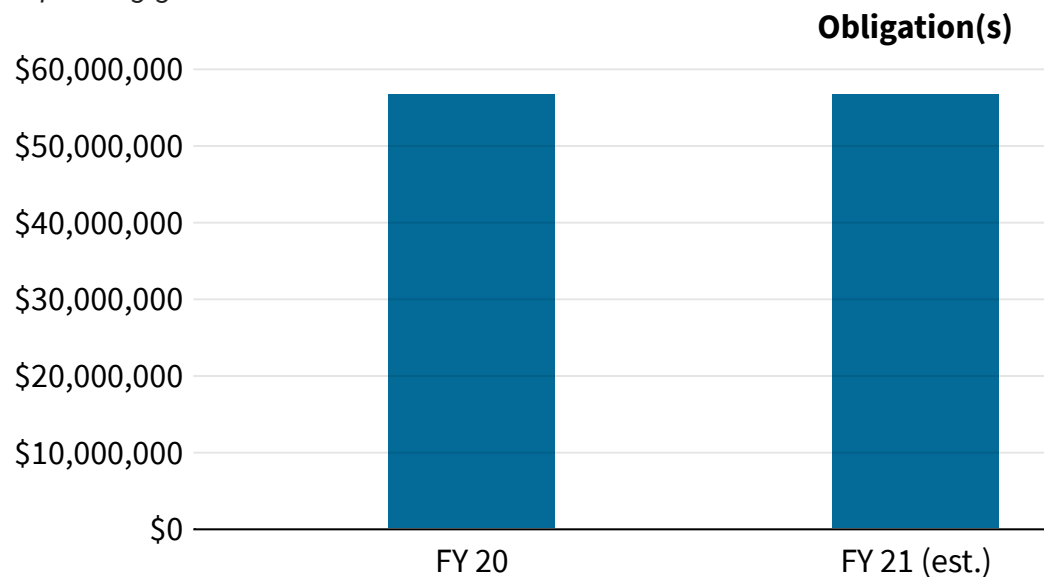
research capacity and infrastructure in alignment with STMD’s technology capability priorities. The initiative’s goals, more generally, are to: (1) Expand the nation’s base for space technology; (2) Promote MSI/HBCU participation in STMD opportunities; (3) Strengthen participation of faculty, researchers, and students in MSIs/HBCUs in STMD research and related opportunities; and (4) Support a diverse workforce at NASA and in aerospace.

## Authorizations

Aeronautics and Space Act of 1958

## Financial Information

*These funding amounts do not reflect the award amounts that are displayed on USASpending.gov*



Obligation(s)	FY 20	FY 21 (est.)	FY 22 (est.)
<input type="checkbox"/> <b>Cooperative Agreements (Discretionary Grants) Total</b>	\$56,590,000	\$56,590,000	\$60,000,000
<b>Totals</b>	\$56,590,000	\$56,590,000	\$60,000,000

## **Range and Average of Financial Assistance**

---

Total individual award sizes will vary based on scope from tens of thousands to millions of dollars per award.

## **Accomplishments**

---

Not Applicable.

## **Account Identification**

---

80-0131-0-1-252

## **Criteria for Applying**

### **Types of Assistance**

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B - Cooperative Agreements (Discretionary Grants), B - Cooperative Agreements, B - Project Grants, B - Project Grants (Capacity Building and Complaint Processing, Training), B - Project Grants (Cooperative Agreements), B - Project Grants (Discretionary), B - Project Grants (Fellowships), B - Project Grants (for collaborative design of curriculum, production of, B - Project Grants (for specified projects), B - Project Grants (including individual awards), B - Project Grants (including travel grants), C - Direct Payments for Specified Use (Cooperative Agreements), I - Use of Property, Facilities, and Equipment, M - Training

### **Credentials and Documentation**

---

Financial Assistance Use of Unique Entity Identifier and SAM Requirements, Copy of Negotiated Indirect Cost Rate Agreement is required for all entities requesting indirect costs. Check each funding announcement to determine if other credentials, certifications or documentation are required. 2 CFR 200, Subpart E - Cost Principles applies to this program.

### **Applicant Eligibility**

## Applicant Eligibility

---

### Designations

Government - General, Sponsored organization, Public nonprofit institution/organization (includes institutions of higher education and hospitals), Other public institution/organization, Federally Recognized Indian Tribal Governments, Small business (less than 500 employees), Profit organization, Private nonprofit institution/organization (includes institutions of higher education and hospitals), Quasi-public nonprofit institution/organization, Minority group, Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, associations), Anyone/general public, U.S. Territories and possessions (includes institutions of higher education and hospitals), Non-Government - General, State (includes District of Columbia, public institutions of higher education and hospitals), Other private institutions/organizations

NASA recognizes and supports the benefits of having diverse and inclusive scientific, engineering, and technology communities and fully expects the reflection of such values in the composition of all panels and teams, including peer review panels, proposal teams, science definition teams, and mission and instrument teams. Per Federal statutes and NASA policy, no eligible applicant shall experience exclusion from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NASA on the grounds of their race, color, creed, age, sex, national origin, or disability. NASA welcomes proposals from all qualified and eligible sources, and strongly encourages proposals from Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), small disadvantaged businesses (SDBs), veteran-owned small businesses, service-disabled veteran-owned small businesses (SDVOSB), HUBZone small businesses, and women-owned small businesses (WOSBs), as eligibility requirements apply.

## Beneficiary Eligibility

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### Designations

Federal, Interstate, Intrastate, State, Local, Public nonprofit

institution/organization, Other public institution/organization, Federally Recognized Indian Tribal Governments, U.S. Territories,

Minority group, Specialized group (e.g. health professionals, students, veterans), Small business, Profit organization, Private nonprofit institution/organization, Quasi-public nonprofit organization, Other private institution/organization, Native American Organizations, Sponsored organization, Individual/Family, Anyone/general public, Health Professional, Education Professional, Student/Trainee, Graduate Student, Scientist/Researchers, Engineer/Architect, Small Business Person, Black, American Indian, Spanish Origin, Asian, Other Non-White, U.S. Citizen, Women, Disabled (e.g. Deaf, Blind, Physically Disabled), Physically Afflicted (e.g. TB, Arthritis, Heart Disease)

Institutions apply on behalf of individuals. All STMD financial assistance complies with 14 CFR 1250, i.e., the provisions of Title VI of the Civil Rights Act of 1964, that ensures that no person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any STMD-funded research or research-related activities. As a condition of receipt of NASA funding, the institution acknowledges and agrees that it must comply (and require any beneficiaries, e.g., subgrantees, contractors, successors, transferees, and assignees to comply) with applicable provisions of national laws and policies prohibiting discrimination

## Length and Time Phasing of Assistance

Generally, up to three years but no more than five years. Method of awarding/releasing assistance: letter

## Use of Assistance

### Designations

Science and Technology

Basic research, applied research, technology development, or training opportunities in the area of space technology. Review funding announcements for specific restrictions. All Space Technology funds are available via discretionary

appropriations. No research grants are awarded without full and open competition.

## Applying for Assistance

### Deadlines

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For the latest opportunities to work with STMD, see our current and upcoming solicitations. Review individual solicitations for specific deadlines.

### Preapplication Coordination

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Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. See individual funding opportunity announcements to determine if Notice of Intent and/or multi-phase proposals are required. All Principal Investigators and Co-Investigators are required to register in NASA Solicitation and Proposal Integration and Review System (NSPIRES) <https://nspires.nasaprs.com/external>.

### Application Procedures

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2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards applies to this program.

Notice of Funding Opportunities (NOFO) for this listing will be posted on [Grants.gov](https://www.grants.gov).

General application processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for specific application procedures, including requirements for intent to apply and multi-phase applications.

### Criteria for Selecting Proposals

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Please refer to individual solicitations for specific criteria. Generally, evaluation of intrinsic merit includes consideration of the following factors: (i) Overall

scientific or technical merit of the proposal and/or unique and innovative methods, approaches, concepts, or advanced technologies demonstrated by the proposal; (ii) Proposer's capabilities, related experience, facilities, techniques, or unique combination of these which are integral factors for achieving the proposal's objectives; (iii) The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel critical in achieving the proposal objectives; and (iv) Evaluation against the state-of-the-art. Review panels are instructed not to compare proposals to each other; all comparative evaluations are conducted by NASA program personnel.

---

## **Award Procedure**

General award processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for any deviations that may apply to that funding opportunity.

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## **Date Range for Approval/Disapproval**

From 90 to 120 days. Review the individual funding opportunity announcement and updates for any deviations that may apply to that funding opportunity.

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## **Renewals**

From 60 to 90 days.

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## **Appeals**

From 30 to 60 days. NASA appeals policy and process can be found in the NASA Grant and Cooperative agreement manual.

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## **Compliance Requirements**

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## **Policy Requirements**



The following 2CFR policy requirements apply to this assistance listing:  
Subpart B, General provisions

Subpart C, Pre-Federal Award Requirements and Contents of Federal Awards

Subpart D, Post Federal; Award Requirements

Subpart E, Cost Principles

Subpart F, Audit Requirements

The following 2CFR policy requirements are excluded from coverage under this assistance listing:

*Not Applicable*

Additional Information:

## Reports

---

**Program Reports:** Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. NASA has a New Technology Reporting requirement. See NASA Grants and Cooperative Agreement for interim and final reporting requirements. Some funding opportunities may have had additional or alternative reporting requirements.

**Cash Reports:** A Federal Cash Transactions Report (SF 425), and, when applicable, a Continuation Sheet (SF 425) electronically to DHHS/PMS within 30 working days following the end of each Federal Fiscal quarter

**Progress Reports:** NASA uses the Research Performance Progress Report.

**Expenditure Reports:** A final SF 425 in electronic or paper form to NASA within 90 calendar days after the expiration date of the grant.

**Performance Reports:** The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation

on-time delivery of reports and other required documentation.

## Audits

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In accordance with the provisions of 2 CFR 200, Subpart F - Audit Requirements, nonfederal entities that expend financial assistance of \$750,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-Federal entities that expend less than \$750,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 2 CFR 200.503 2 CFR 1800 NASA Grants and Cooperative Agreements Manual

## Records

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Records shall be retained in accordance with 2 CFR §200.333.

## Regulations, Guidelines, and Literature

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Not Applicable.

## Formula and Matching Requirements

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Statutory formula is not applicable to this assistance listing.  
Matching requirements are not applicable to this assistance listing.  
MOE requirements are not applicable to this assistance listing.

## Contact Information

### Regional or Local Locations:

---

[See Regional Assistance Locations.](#)

### Headquarters Office:

---

LK Kubendran  
Strategic Planning & Integration - 300 E Street, SW,

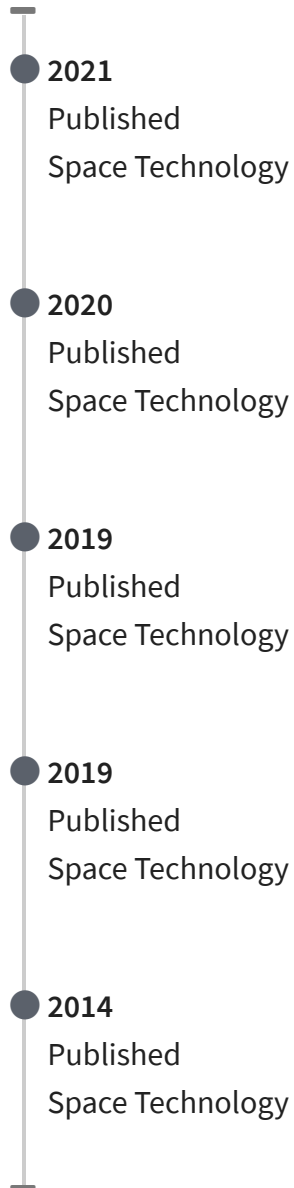
Washington, DC 20546

✉ [laguduva.r.kubendran@nasa.gov](mailto:laguduva.r.kubendran@nasa.gov)

☎ 202.358.2528

**Website:** <https://www.nasa.gov/directorates/spacetech/home/index.html>

## History





## Feedback

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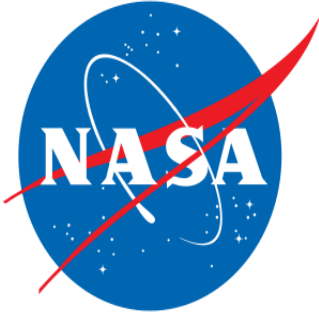
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## Assistance Listing

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## ASSISTANCE LISTINGS

# Office of Stem Engagement (OSTEM)

Edit

Authenticated

Public

Requests▼

Assistance Listing

### Popular Name

OSTEM

### Department/Ind. Agency

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

### CFDA Number

43.008

### Related Federal Assistance

Not Applicable.

[View available opportunities on Grants.gov related to this Assistance Listing](#)

## Overview

## Objectives

NASA's journeys have propelled technological breakthroughs, pushed the

frontiers of scientific research, and expanded our understanding of the universe. These accomplishments, and those to come, share a common genesis:

education in STEM. NASA's Office of STEM Engagement (OSTEM) delivers tools for young Americans and educators to learn and succeed. OSTEM seeks to: (1) create unique opportunities for students and the public to contribute to NASA's work in exploration and discovery, (2) build a diverse future STEM workforce by engaging students in authentic learning experiences with NASA people, content, and facilities, and (3) strengthen public understanding by enabling powerful connections to NASA's mission and work.

## Examples of Funded Projects

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**Fiscal Year 2020:** National Space Grant College and Fellowship Program Minority University Research and Education Program Next Generation STEM Established Program to Stimulate Competitive Research

**Fiscal Year 2021:** National Space Grant College and Fellowship Program Minority University Research and Education Program Next Generation STEM Established Program to Stimulate Competitive Research

**Fiscal Year 2022:** National Space Grant College and Fellowship Program Minority University Research and Education Program Next Generation STEM Established Program to Stimulate Competitive Research

## Assistance Listing Description

NASA's Office of STEM Engagement offers funding programs that target higher education, non-profit organizations and K-12 institutions by offering student hands-on learning opportunities, basic research and faculty development.

## Authorizations

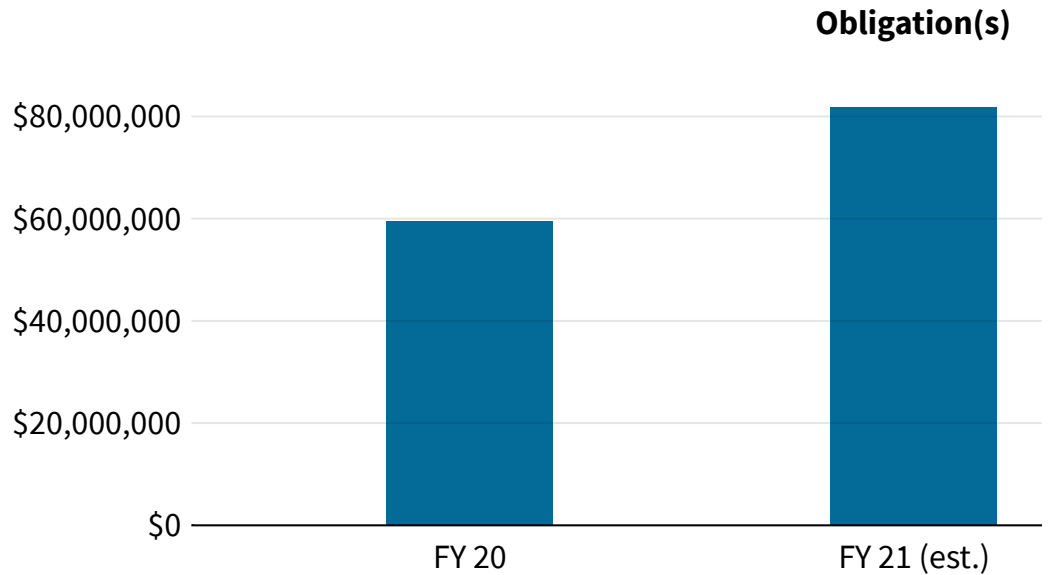
Aeronautics and Space Act of 1958

Title EO 13779: Historically Black Colleges and Universities (HBCUs) EO 13592: Tribal Colleges and Universities (TCUs)/American Indian and Alaskan Native Serving Institutions (AIANSI) EO 13555: Hispanic Serving Institutions (HSIs) EO 13515: Asian American and Native American Pacific Islander – Serving Institutions (AANAPISIs) EO 13621: Predominantly Black Institutions (PBIs)

Public Law 100-100-147 Title II Section 202

## Financial Information

*These funding amounts do not reflect the award amounts that are displayed on USASpending.gov*



Obligation(s)	FY 20	FY 21 (est.)	FY 22 (est.)
<input type="checkbox"/> <b>Cooperative Agreements (Discretionary Grants) Total</b>	<b>\$59,290,430.19</b>	<b>\$81,590,683</b>	<b>Estimate Not Available</b>
<b>Totals</b>	<b>\$59,290,430.19</b>	<b>\$81,590,683</b>	<b>Estimate Not Available</b>

## Range and Average of Financial Assistance

Varies by program. Review funding opportunity announcement(s) for additional information

## Accomplishments

Not Applicable.

## Account Identification

---

80-0128-0-1-252-Education

## Criteria for Applying

### Types of Assistance

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B - Cooperative Agreements (Discretionary Grants), B - Cooperative Agreements, B - Project Grants, B - Project Grants (Contracts), B - Project Grants (Cooperative Agreements or Contracts), B - Project Grants (Cooperative Agreements), B - Project Grants (Discretionary), B - Project Grants (Fellowships), B - Project Grants (for specified projects), B - Project Grants (including individual awards), B - Project Grants (including travel grants)

### Credentials and Documentation

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Financial Assistance Use of Unique Entity Identifier & SAM requirements. Review NASA Proposers Guide and NASA Grant and Cooperative Agreement Manual (GCAM) for specific certifications and assurance requirements. Review funding opportunity announcement for additional information. 2 CFR 200, Subpart E - Cost Principles applies Space Grant and EPSCoR programs. 2 CFR 200, Subpart E - Cost Principles applies to this program.

### Applicant Eligibility

---

#### Designations

Interstate, Intrastate, State (includes District of Columbia, public institutions of higher education and hospitals), Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals, Sponsored organization, Public nonprofit institution/organization (includes institutions of higher education and hospitals), Other public institution/organization, Federally Recognized Indian Tribal Governments, U.S. Territories and possessions (includes



institutions of higher education and hospitals), Non-Government - General, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business (less than 500 employees), Profit organization, Private nonprofit institution/organization (includes institutions of higher education and hospitals), Quasi-public nonprofit institution/organization, Other private institutions/organizations, State, Anyone/general public, Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, associations)

NASA recognizes and supports the benefits of having diverse and inclusive scientific, engineering, and technology communities and fully expects the reflection of such values in the composition of all panels and teams, including peer review panels, proposal teams, science definition teams, and mission and instrument teams. Per Federal statutes and NASA policy, no eligible applicant shall experience exclusion from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NASA on the grounds of their race, color, creed, age, sex, national origin, or disability. NASA welcomes proposals from all qualified and eligible sources, and strongly encourages proposals from Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), small disadvantaged businesses (SDBs), veteran-owned small businesses, service-disabled veteran-owned small businesses (SDVOSB), HUBZone small businesses, and women-owned small businesses (WOSBs), as eligibility requirements apply

## Beneficiary Eligibility

### Designations

U.S. Territories, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business, Profit organization, Private nonprofit institution/organization, Quasi-public nonprofit organization, Other private institution/organization, Anyone/general public, Interstate, Native American Organizations, Health Professional, Education Professional, Student/Trainee, Graduate Student, Scientist/Researchers, Engineer/Architect, Intrastate, Industrialist/ Business person, Small Business Person, State, U.S. Citizen, Local, Preschool, School, Child (6-15), Youth (16-21), Sponsored organization, Major Metropolis (over 250,000), Other Urban, Suburban, Rural, Education (0-8), Education (9-12), Education

(13+), Public nonprofit institution/organization, Other public institution/organization, Federally Recognized Indian Tribal

Governments, Women, Black, American Indian, Asian, Disabled (e.g. Deaf, Blind, Physically Disabled), Spanish Origin, Other Non-White

Institutions apply on behalf of individuals. All OSTEM financial assistance complies with 14 CFR 1250, i.e., the provisions of Title VI of the Civil Rights Act of 1964, that ensures that no person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any OSTEM - funded research or research-related activities. As a condition of receipt of NASA funding, the institution acknowledges and agrees that it must comply (and require any beneficiaries, e.g., subgrantees, contractors, successors, transferees, and assignees to comply) with applicable provisions of national laws and policies prohibiting discrimination

## Length and Time Phasing of Assistance

Generally, up to two years but no more than five years. Review funding opportunity announcement(s) for additional information. Method of awarding/releasing assistance: letter

## Use of Assistance

### Designations

Elementary/Secondary Education, Higher Education (includes Research), Libraries/Information/Statistics, Science and Technology, Training, Youth Development

Basic Research, Educational Outreach, or Training Opportunities in the area of Education. Review funding opportunity announcement for additional information. Basic Research, Educational Outreach, or Training Opportunities in the area of Education. Review funding opportunity announcement(s) for additional information.85 Percent

# Applying for Assistance

## Deadlines

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Jan 01, 2021 to Dec 31, 2022 Application deadlines are published in the notice of funding opportunity found in grants.gov and <https://nspires.nasaprs.com/>

## Preapplication Coordination


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Preapplication coordination is required. An environmental impact assessment is required for this listing. This program is excluded from coverage under E.O. 12372. All Principal Investigators and Co-Investigators are required to register in NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES) <https://nspires.nasaprs.com/>. See NASA Proposer's Guidebook.

## Application Procedures

---

2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards applies to this program.

Notice of Funding Opportunities (NOFO) for this listing will be posted on [Grants.gov](https://www.grants.gov) .

General application processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement and updates for specific application procedures, including requirements for intent to apply and phase 1/phase 2 applications.

## Criteria for Selecting Proposals

---

Evaluation of intrinsic merit includes consideration of the following factors: (i) Overall scientific or technical merit of the proposal and/or unique and innovative methods, approaches, concepts, or advanced technologies demonstrated by the proposal; (ii) Proposer's capabilities, related experience, facilities, techniques, or unique combination of these which are integral factors for achieving the proposal's objectives; (iii) The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel critical in achieving the proposal objectives; and (iv) Evaluation against the

state-of-the-art. Review panels are instructed not to compare proposals to each other; all comparative evaluations are conducted by NASA program personnel.

## **Award Procedure**

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General award processes and procedures are found in the NASA Proposers Guide. Review the individual funding opportunity announcement(s) and updates for any deviations that may apply to that funding opportunity.

## **Date Range for Approval/Disapproval**

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From 90 to 120 days.

## **Renewals**

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From 30 to 60 days. Renewal and extension information can be found in the NASA Grant and Cooperative Manual (GCAM) and the NSSC website at <https://www.nasa.gov/centers/nssc/grants>

## **Appeals**

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From 30 to 60 days. Information on NASA appeals policy and process can be found in the NASA Grant and Cooperative Agreement Manual (GCAM)

# **Compliance Requirements**

## **Policy Requirements**

---

The following 2CFR policy requirements apply to this assistance listing:

Subpart B, General provisions

Subpart C, Pre-Federal Award Requirements and Contents of Federal Awards

Subpart D, Post Federal; Award Requirements

Subpart E, Cost Principles

Subpart F, Audit Requirements

The following 2CFR policy requirements are excluded from coverage under this assistance listing:

*Not Applicable*

Additional Information:

## Reports

---

**Program Reports:** Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. NASA has a New Technology Reporting requirement. See NASA Grants and Cooperative Agreement for interim and final reporting requirements. Some funding opportunities may have additional reporting requirements.

**Cash Reports:** Standard Form (SF) 425

**Progress Reports:** EPSCoR uses the Research Performance Progress Report (RPPR). MUREP, NextGen STEM and Space Grant uses a modified RPPR.

**Expenditure Reports:** Standard Form (SF) 425

**Performance Reports:** The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

## Audits

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Not Applicable.

## Records

NASA follows the requirements from 2 CFR 200.333

## Regulations, Guidelines, and Literature

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General and Special Conditions (Award Terms) 2 CFR 1800 14CFR 1259 NASA Grant & Cooperative Agreement Manual Research Terms and Conditions

## Formula and Matching Requirements

---

Statutory formula is not applicable to this assistance listing.

Matching Requirements: Statutory formula is not applicable to this assistance listing. Matching requirements are not applicable to this assistance listing for MUREP and NextGen STEM. Matching requirements are applicable to this assistance listing for EPSCoR and Space Grant MOE requirements are not applicable to this assistance listing.

Matching requirements are mandatory.

MOE requirements are not applicable to this assistance listing.

## Contact Information

### Regional or Local Locations:

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None. Varies by program. Review funding opportunity announcement(s) for additional information

### Headquarters Office:

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Elaine Ho

Deputy Associate Administrator - Office of STEM Engagement,

300 E Street SW

Washington, DC 20546

✉ [elaine.p.ho@nasa.gov](mailto:elaine.p.ho@nasa.gov)

☎ (202)358-1474

📠 (202)358-3472

🌐 **Website:** <https://www.nasa.gov/stem>

# History

- 
- **2021**  
Published  
Office of Stem Engagement (OSTEM)
  - **2020**  
Published  
Office of Stem Engagement (OSTEM)
  - **2020**  
Published  
Office of Stem Engagement (OSTEM)
  - **2019**  
Title Changed  
**To:** Office of Stem Engagement (OSTEM)  
**From:** Education
  - **2019**  
Published  
Education
  - **2019**  
Published  
Education
  - **2010**  
Published  
Education



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## FOIA Tracking #21-HQ-F-00558

Keyword searches were to conducted in the NASA Online Directives Information System on the search terms “Executive Order 13938,” “EO 13985,” “E.O. 13985,” “Socially Disadvantaged,” “Underserved “Communities,” “Anti-racist,” and “Anti-racism” to determine if there were any NASA directives issued between January 2021 to present in response to actions described in EO 13985, Advancing Racial Equity and Support for Underserved Communities Through the Federal Government. These results are summarized below.

NASA issued the 15 directives listed in the table below between January 20, 2021 to present and none contain these terms in the context for which EO 13985 describes.

DIRECTIVE	SUBJECT	Effective	Expiration
<a href="#">NPD 1090.2</a>	Citizen Science	1/28/21	1/28/26
<a href="#">NPD 1210.7</a>	NASA Evaluation Policy	6/23/21	6/23/26
<a href="#">NPR 1600.6A</a>	Communications Security (COMSEC)	7/12/21	7/12/26
<a href="#">NPD 1600.9A</a>	NASA Insider Threat Program	9/3/21	9/3/26
<a href="#">NPR 1620.2B</a>	Facility Security Level Determinations	6/21/21	6/21/26
<a href="#">NPR 2081.1B</a>	Nondiscrimination in Federally Assisted and Conducted Programs	6/23/21	6/23/26
<a href="#">NPR 3319.1C</a>	Management of Scientific and Professional (ST) and Senior-Level (SL) Positions	9/2/21	9/2/26
<a href="#">NPD 3511.1A</a>	Classification, Position Management and Promotions	7/12/21	7/12/26
<a href="#">NPR 4320.1</a>	Identification and Recovery of NASA Personal Property	6/23/21	6/23/26
<a href="#">NPR 7120.5F</a>	NASA Space Flight Program and Project Management Requirements	8/3/21	8/3/26
<a href="#">NPR 8705.4A</a>	Risk Classification for NASA Payloads	4/29/21	4/29/26
<a href="#">NPR 8715.1B</a>	NASA Safety and Health Programs	2/1/21	2/1/26
<a href="#">NPR 8735.2C</a>	Hardware Quality Assurance Program Requirements for Programs and Projects	3/12/21	3/12/26
<a href="#">NPD 8900.15</a>	To Research, Evaluate, Assess, and Treat (TREAT) Astronauts Policy	5/13/21	5/13/26
<a href="#">NPR 9130.1A</a>	NASA Financial Information Systems	7/8/21	7/8/26

Terms in question were also used to search documents issued prior to January 20, 2021, and results generated only for the terms “Socially Disadvantage” and “Underserved Communities” as indicated below.

**Socially disadvantaged** – Each term searched separately generated the following results:

- For the term “Socially,” there were 100 hits as indicated in the documents listed table below, but the term was used in a different context for which EO 13985 describes.

DIRECTIVE	SUBJECT	EFFECTIVE/EXPIRATION
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<a href="#">NPR 1441.1E</a>	NASA Records Management Program Requirements (Updated w/Change 3) Chapter5 :	January 29, 2015 to November 30, 2021
<a href="#">NID 1600.46</a>	<b>Refer to NID 1600-95</b> NASA Interim Directive: Security Identification System Requirements	Jan 19, 2007
<a href="#">NPR 1382.1A</a>	NASA Privacy Procedural Requirements AppendixA :	July 10, 2013 to November 30, 2021
<a href="#">NPR 2200.2D</a>	Requirements for Documentation, Approval and Dissemination of Scientific and Technical Information AppendixK :	September 7, 2016 to September 7, 2021
<a href="#">NPR 7100.1B</a>	Protection of Human Research Subjects Chapter2 :	February 15, 2019 to February 15, 2024
<a href="#">NPR 9660.1A</a>	Vital Financial Records for Emergency Operations (Revalidated on September 17, 2018) AppendixA :	December 19, 2013 to December 19, 2023
<a href="#">NPR 1387.1A</a>	NASA Exhibits Program AppendixA :	April 11, 2018 to April 11, 2023
<a href="#">NPR 1450.10D</a>	NASA Correspondence Management and Communications Standards and Style Revalidated (6/21/2021) AppendixD :	March 24, 2006 to March 24, 2026
<a href="#">NPR 3790.1</a>	NASA's Domestic Violence, Sexual Assault, and Stalking Response Plan (Revalidated with Change 1) Chapter1 :	June 11, 2014 to June 11, 2024
<a href="#">NPR 8910.1C</a>	Care and Use of Animals (updated w/Change 2 on 3/20/14) AppendixC :	December 2, 2011 to June 2, 2021
<a href="#">NPR 1441.1E</a>	NASA Records Management Program Requirements (Updated w/Change 3)	January 29, 2015 to November 30, 2021
<a href="#">NPD 1490.6</a>	Business Cards	July 12, 2015 to November 30, 2021
<a href="#">NPR 3790.1</a>	NASA's Domestic Violence, Sexual Assault, and Stalking Response Plan (Revalidated with Change 1) AppendixA :	June 11, 2014 to June 11, 2024
<a href="#">NPD 1382.17J</a>	NASA Privacy Policy	June 29, 2016 to November 30, 2021
<a href="#">NPR 1600.3A</a>	Personnel Security AppendixC :	August 3, 2020 to August 3, 2025
<a href="#">NPR 2800.2A</a>	Information and Communication Technology Accessibility AppendixA :	August 5, 2020 to August 5, 2025
<a href="#">NPD 9050.1B</a>	Official Representational Fund (Revalidated "As Is" 01/11/21)	February 11, 2003 to January 11, 2026
<a href="#">NPR 9420.1A</a>	Budget Formulation Chapter2 :	September 7, 2016 to September 7, 2021
<a href="#">NPR 9610.1A</a>	Accounts Receivable, Billing, and Collection AppendixB :	October 29, 2015 to December 29, 2021
<a href="#">NPD 2521.1B</a>	Communications and Material Review	August 18, 2015 to February 18, 2022
<a href="#">NC 1000.31</a>	<b>SUPERSEDED BY NC 1000-31A</b> NASA CHARTER: Communications Coordinating Council Charter	Jun 18, 2012
<a href="#">NPD 2540.1I</a>	Acceptable Use of Government Office Property Including Information Technology	August 19, 2019 to August 19, 2024
<a href="#">NPR 9660.1A</a>	Vital Financial Records for Emergency Operations (Revalidated on September 17, 2018) AppendixB :	December 19, 2013 to December 19, 2023
<a href="#">NC 1000.31A</a>	NASA CHARTER: Communications Coordinating Council Charter	Feb 04, 2017
<a href="#">NPD 1380.1</a>	Managing Agency Communications	August 14, 2013 to February 14, 2022
<a href="#">NPR 1382.1A</a>	NASA Privacy Procedural Requirements AppendixB :	July 10, 2013 to November 30, 2021
<a href="#">NPD 1388.1</a>	Employee Participation in NASA Education and Communications Activities (w/Change 1)	May 21, 2012 to May 21, 2022
<a href="#">NPR 1441.1E</a>	NASA Records Management Program Requirements (Updated w/Change 3) Chapter1 :	January 29, 2015 to November 30, 2021

<a href="#">NPR 1600.4A</a>	Identity and Credential Management AppendixC :	April 8, 2016 to May 8, 2022
<a href="#">NPR 9050.1A</a>	Official Representational Fund (Revalidated 12/11/2020) Chapter2 :	November 4, 2002 to November 4, 2025
<a href="#">NID 1371 2</a>	<b>SUPERSEDED BY NPR 1371.2A on 04/07/2003</b> - Coordination and Authorization of Access to NASA Headquarters by Foreign Nationals and Foreign Representatives	Nov 04, 2002
<a href="#">NM 1371-2</a>	<b>SUPERSEDED BY NPR 1371.2A on 04/07/2003</b> - Coordination and Authorization of Access to NASA Headquarters by Foreign Nationals and Foreign Representatives	Nov 04, 2002
<a href="#">NPD 1420.1A</a>	NASA Forms Management	July 25, 2012 to February 25, 2023
<a href="#">NPR 1441.1E</a>	NASA Records Management Program Requirements (Updated w/Change 3) AppendixA :	January 29, 2015 to November 30, 2021
<a href="#">NPR 1600.2A</a>	NASA Classified National Security Information (CNSI) AppendixA :	September 11, 2019 to September 11, 2024
<a href="#">NID 7100 133</a>	NASA Interim Directive: Protection of Human Research Subjects	Jan 29, 2021
<a href="#">NPR 1600.4A</a>	Identity and Credential Management AppendixB :	April 8, 2016 to May 8, 2022
<a href="#">NPR 2800.2A</a>	Information and Communication Technology Accessibility Chapter2 :	August 5, 2020 to August 5, 2025
<a href="#">NPR 9630.1</a>	Accounts Payable and Disbursements AppendixA :	July 10, 2017 to July 10, 2022
<a href="#">NID 1417 102</a>	NASA INTERIM DIRECTIVE: NASA Paperwork Reduction Act (PRA) Compliance Program	Jul 20, 2017
<a href="#">NPI 3713 11B</a>	NASA POLICY INSTRUCTIONS: NASA Contingent Worker Desk Guide	Sep 28, 2011
<a href="#">NAII 1600 4A</a>	NASA ADVISORY IMPLEMENTING INSTRUCTIONS: Foreign National Access Management (FNAM) Operations Manual	May 01, 2016
<a href="#">NPR 1382.1A</a>	NASA Privacy Procedural Requirements Chapter3 :	July 10, 2013 to November 30, 2021
<a href="#">NPD 1440.6I</a>	NASA Records Management	May 24, 2008 to November 30, 2021
<a href="#">NPR 1600.4A</a>	Identity and Credential Management AppendixA :	April 8, 2016 to May 8, 2022
<a href="#">NPD 2081.1B</a>	Nondiscrimination in Federally Assisted and Conducted Programs of NASA	November 1, 2017 to November 1, 2022
<a href="#">NPR 2200.2D</a>	Requirements for Documentation, Approval and Dissemination of Scientific and Technical Information AppendixA :	September 7, 2016 to September 7, 2021
<a href="#">NPD 9050.6K</a>	NASA Exchange and Morale Support Activities	March 2, 2015 to December 2, 2021
<a href="#">NPR 9620.1A</a>	Payroll Chapter2 :	May 17, 2017 to May 17, 2022
<a href="#">NID 1600 95</a>	<b>SUPERSEDED BY NPR 1600.4</b> NASA Interim Directive (NID): NASA Identity and Credential Management	Jun 03, 2011
<a href="#">NID 8900 5C</a>	NASA Interim Directive (NID): NASA Contractor Financial Management Reporting	Jan 05, 2012
<a href="#">NM 8900-5A</a>	NASA Contractor Financial Management Reporting	Jan 05, 2012
<a href="#">NM 8900-5B</a>	test Directive 39	Jan 05, 2012
<a href="#">NPR 1600.1A</a>	NASA Security Program Procedural Requirements AppendixA :	August 12, 2013 to June 12, 2021
<a href="#">NPR 1600.4A</a>	Identity and Credential Management Chapter3 :	April 8, 2016 to May 8, 2022
<a href="#">NPR 2200.2D</a>	Requirements for Documentation, Approval and Dissemination of Scientific and Technical Information Chapter3 :	September 7, 2016 to September 7, 2021
<a href="#">NPR 3713.1C</a>	Reasonable Accommodations Procedures for Individuals with Disabilities AppendixA :	April 22, 2019 to April 22, 2024
<a href="#">NPD 5119.1</a>	Small Business Program	June 1, 2016 to June 1, 2022

<a href="#">NPD 8500.1C</a>	NASA Environmental Management (Revalidated w/Change 2, on October 29, 2018)	December 2, 2013 to December 2, 2023
<a href="#">NPR 8510.1A</a>	NASA Cultural Resources Management Chapter1 :	June 20, 2017 to September 15, 2022
<a href="#">NPD 8910.1C</a>	Care and Use of Animals	January 30, 2019 to January 30, 2024
<a href="#">NPR 9060.1A</a>	Accrual Accounting - Revenues, Expenses, and Program Costs AppendixC :	May 2, 2016 to May 2, 2022
<a href="#">NPR 8831.2F</a>	Facilities Maintenance and Operations Management (Updated w/Change 1 on September 2, 2016) Chapter11 :	October 7, 2015 to December 7, 2021
<a href="#">NPR 1450.10D</a>	NASA Correspondence Management and Communications Standards and Style Revalidated (6/21/2021) AppendixF :	March 24, 2006 to March 24, 2026
<a href="#">NPR 1600.2A</a>	NASA Classified National Security Information (CNSI) Chapter3 :	September 11, 2019 to September 11, 2024
<a href="#">NPR 9610.1A</a>	Accounts Receivable, Billing, and Collection Chapter6 :	October 29, 2015 to December 29, 2021
<a href="#">NAII 1050 3B</a>	NASA Advisory Implementing Instructions: NASA Partnerships Guide	Sep 26, 2019
<a href="#">NPI 2081 79</a>	NASA POLICY INSTRUCTIONS: NASA Language Access Plan 2011	Sep 29, 2011
<a href="#">NPR 1600.1A</a>	NASA Security Program Procedural Requirements Chapter2 :	August 12, 2013 to June 12, 2021
<a href="#">NPR 7120.5E</a>	NASA Space Flight Program and Project Management Requirements (Updated w/Change 18) AppendixG :	August 14, 2012 to December 14, 2021
<a href="#">NID 1600 96</a>	<b>SUPERSEDED BY NPR 1600.3</b> NASA Interim Directive: NASA Personnel Security	Jul 20, 2011
<a href="#">NPD 1000.3E</a>	The NASA Organization w/Change 85 Chapter4 :	April 15, 2015 to April 15, 2026
<a href="#">NAII 1050 3A</a>	NASA ADVISORY IMPLEMENTING INSTRUCTIONS: NASA Partnerships Guide	Sep 27, 2017
<a href="#">NPR 7120.5E</a>	NASA Space Flight Program and Project Management Requirements (Updated w/Change 18) AppendixH :	August 14, 2012 to December 14, 2021
<a href="#">NID 1600 55</a>	<b>Refer to NRW 1400-4</b> NASA Interim Directive: 5.24 Sensitive But Unclassified (SBU) Controlled Information	Oct 16, 2007
<a href="#">NID 1600 55</a>	NASA Interim Directive: Sensitive But Unclassified (SBU) Controlled Information	Oct 16, 2007
<a href="#">NM 1600-55</a>	<b>Refer to NRW 1400-4</b> NASA Interim Directive: 5.24 Sensitive But Unclassified (SBU) Controlled Information	Oct 16, 2007
<a href="#">NPI 1441 90</a>	NASA Records Retention Schedule	May 07, 2014
<a href="#">NID 2810 135</a>	NASA Interim Directive: Controlled Unclassified Information	Feb 02, 2021
<a href="#">GUI 1441 1A</a>	GUIDANCE: NASA Records Retention Schedule (NRRS 1441.1A)	Jan 19, 2017
<a href="#">NPR 1441.1E</a>	NASA Records Management Program Requirements (Updated w/Change 3) AppendixD :	January 29, 2015 to November 30, 2021
<a href="#">NPR 1600.2A</a>	NASA Classified National Security Information (CNSI) Chapter2 :	September 11, 2019 to September 11, 2024
<a href="#">NAII 9700 1</a>	NASA ADVISORY IMPLEMENTING INSTRUCTIONS: Travel Card Issue	Mar 23, 2016
<a href="#">NAII 2190 1E</a>	NASA ADVISORY IMPLEMENTING INSTRUCTIONS: NASA Export Control Program Operations Manual	Oct 10, 2017
<a href="#">NAII 2190 1F</a>	NASA ADVISORY IMPLEMENTING INSTRUCTIONS: NASA Export Control Program Operations Manual	Jun 26, 2018

- For the term “disadvantaged,” there were 53 hits as indicated in the documents listed table below, but the term was used in a different context for which EO 13985 describes.

DIRECTIVE	SUBJECT	EFFECTIVE/EXPIRATION
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<a href="#">NID 1000 14</a>	<b>SUPERSEDED BY NPD 1000.3C 02/15/2007</b> - Realignment of the Office of Small and Disadvantaged Business Utilization and the Office of Procurement	Mar 15, 2005
<a href="#">NM 1000-14</a>	<b>SUPERSEDED BY NPD 1000.3C 02/15/2007</b> - Realignment of the Office of Small and Disadvantaged Business Utilization and the Office of Procurement	Mar 15, 2005
<a href="#">NID 1400 28</a>	<b>SUPERSEDED BY NPR 1400.1D</b> - Agency-level Directives Management Process	Nov 07, 2005
<a href="#">NM 1400-28</a>	<b>SUPERSEDED BY NPR 1400.1D</b> - Agency-level Directives Management Process	Nov 07, 2005
<a href="#">NPD 2081.1B</a>	Nondiscrimination in Federally Assisted and Conducted Programs of NASA	November 1, 2017 to November 1, 2022
<a href="#">NPR 9090.1B</a>	Partnership Agreements-Financial Requirements and Administration AppendixE :	March 4, 2020 to March 4, 2025
<a href="#">NM 1800-9</a>	<b>SERVED ITS PURPOSE</b> Notification of Lost-Time, Injuries, Illnesses, and Mishaps	Sep 09, 2004
<a href="#">NPS 1800 9</a>	<b>SERVED ITS PURPOSE</b> Notification of Lost-Time, Injuries, Illnesses, and Mishaps	Sep 09, 2004
<a href="#">NPD 5119.1</a>	Small Business Program	June 1, 2016 to June 1, 2022
<a href="#">NID 1000 22</a>	<b>SUPERSEDED BY NPD 1000.3C 02/15/2007</b> - Office of the Chief Financial Officer and Integrated Financial Management Program Organization Updates	Jun 24, 2005
<a href="#">NID 1240 41</a>	<b>EXPIRED 03/08/2007</b> -- NASA Interim Directive (NID): NASA Health and Medical Authority	Mar 08, 2006
<a href="#">NID 7120 38</a>	<b>SUPERSEDED BY NPR 7120.5D</b> NASA Interim Directive (NID): NASA Engineering Technical Excellence	Feb 02, 2006
<a href="#">NM 1000-22</a>	<b>SUPERSEDED BY NPD 1000.3C 02/15/2007</b> - Office of the Chief Financial Officer and Integrated Financial Management Program Organization Updates	Jun 24, 2005
<a href="#">NM 1240-41</a>	<b>EXPIRED 03/08/2007</b> -- NASA Interim Directive (NID): NASA Health and Medical Authority	Mar 08, 2006
<a href="#">NM 7120-38</a>	<b>SUPERSEDED BY NPR 7120.5D</b> NASA Interim Directive (NID): NASA Engineering Technical Excellence	Feb 02, 2006
<a href="#">NPR 1040.1</a>	NASA Continuity of Operations (COOP) Planning Procedural Requirements (Revalidated with Change 3, 9/13/2012) Chapter3 :	July 3, 2003 to June 3, 2022
<a href="#">NPR 9090.1B</a>	Partnership Agreements-Financial Requirements and Administration Chapter4 :	March 4, 2020 to March 4, 2025
<a href="#">NID 7120 40</a>	<b>Superseded by NASA FAR Supplement, NPD 7120.5D, &amp; active sections from NPR 7120.5D</b> - NID to NPR 7120.5C, NASA Program and Project Management Processes and Requirements	Mar 06, 2006
<a href="#">NM 1020-34</a>	<b>SUPERSEDED BY NPD 2521.1</b> - Ref Mem from Assistant Administrator, Office of Public, dtd 10/22/2004, Sub: Review and Approval of NASA Publications and Communications Products	Nov 01, 2004
<a href="#">NPS 1020 34</a>	<b>SUPERSEDED BY NPD 2521.1</b> - Ref Mem from Assistant Administrator, Office of Public, dtd 10/22/2004, Sub: Review and Approval of NASA Publications and Communications Products	Nov 01, 2004
<a href="#">NPR 1450.10D</a>	NASA Correspondence Management and Communications Standards and Style Revalidated (6/21/2021) AppendixB :	March 24, 2006 to March 24, 2026
<a href="#">NPR 8800.15C</a>	Real Estate Management Program w/Change 1, February 24, 2015 Chapter4 :	October 30, 2014 to December 30, 2021
<a href="#">NPD 1000.3E</a>	The NASA Organization w/Change 85 Chapter4 :	April 15, 2015 to April 15, 2026
<a href="#">NPR 3451.3</a>	NASA Space Flight Awareness Program (Revalidated 12/1/20) Chapter4 :	August 1, 2014 to August 1, 2025
<a href="#">NPD 5000.2D</a>	Small Business Subcontracting Goals	August 12, 2016 to August 12, 2022
<a href="#">NPR 8715.2B</a>	NASA Emergency Management Program Procedural Requirements Chapter6 :	November 19, 2014 to June 19, 2022
<a href="#">NPI 3713 78</a>	NASA POLICY INSTRUCTION: Agency Anti-Harassment Procedures Implementation Guide and Frequently Asked Questions	Mar 04, 2010

<a href="#">NPI 3713 88C</a>	<b>SUPERSEDED BY NPI 3713.88C</b> NASA POLICY INSTRUCTION: Anti-Harassment Procedures Guidance	Mar 04, 2010
<a href="#">NPI 3713 88D</a>	NASA POLICY INSTRUCTIONS: Anti-Harassment Policy and Procedures Implementation Guide, 2nd Edition	Dec 04, 2016
<a href="#">NID 9090 91</a>	NASA Interim Directive (NID): Reimbursable Agreements	Dec 15, 2010
<a href="#">NPR 1800.1D</a>	NASA Occupational Health Program Procedures Chapter4 :	October 6, 2009 to March 6, 2022
<a href="#">NAII 1050 1D</a>	NASA Advisory Implementing Instructions: Space Act Agreements Guide	Sep 29, 2017

### Underserved communities - Each term searched separately generated the following results:

- For the term “underserved,” there were 8 hits as indicated in the documents listed in the table below, but the term was used in a different context for which EO 13985 describes.

DIRECTIVE	SUBJECT	EFFECTIVE/EXPIRATION
<a href="#">NPR 1387.1A</a>	NASA Exhibits Program AppendixA :	April 11, 2018 to April 11, 2023
<a href="#">NPD 3713.2J</a>	Federal EEO Program of NASA	February 25, 2016 to December 25, 2021
<a href="#">NPI 2081 57A</a>	NASA Policy Instruction: Providing Language Assistance Services in NASA Conducted Programs and Activities	Nov 07, 2007
<a href="#">NPI 2081 57</a>	NASA POLICY INSTRUCTIONS: Guidance on Providing Language Assistance Services in NASA Conducted Programs and Activities	Nov 07, 2007
<a href="#">NPI 2081 78</a>	NASA POLICY INSTRUCTIONS: NASA Policy Guidance on the Prohibition Against National Origin Discrimination as It Affects Persons With Limited English Proficiency	Apr 28, 2009
<a href="#">NPI 2081 79</a>	NASA POLICY INSTRUCTIONS: NASA Language Access Plan 2011	Sep 29, 2011
<a href="#">NPR 1800.1D</a>	NASA Occupational Health Program Procedures AppendixC :	October 6, 2009 to March 6, 2022

- For the term “communities,” there were 100 hits as indicated in the documents listed in the table below, but the term was used in a different context for which EO 13985 describes.

DIRECTIVE	SUBJECT	EFFECTIVE/EXPIRATION
<a href="#">NPR 8910.1C</a>	Care and Use of Animals (updated w/Change 2 on 3/20/14) AppendixC :	December 2, 2011 to June 2, 2021
<a href="#">NPR 8810.1A</a>	Center Master Planning Chapter1 :	February 13, 2013 to December 13, 2021
<a href="#">NPR 2841.1</a>	Identity, Credential, and Access Management (Revalidated w/change 1) Chapter3 :	January 6, 2011 to January 6, 2022
<a href="#">NPR 3300.1C</a>	Employment, Appointment Authorities, and Details Chapter8 :	November 1, 2015 to December 1, 2022
<a href="#">NPI 2081 57A</a>	NASA Policy Instruction: Providing Language Assistance Services in NASA Conducted Programs and Activities	Nov 07, 2007
<a href="#">NPR 2200.2D</a>	Requirements for Documentation, Approval and Dissemination of Scientific and Technical Information AppendixJ :	September 7, 2016 to September 7, 2021
<a href="#">NPR 2841.1</a>	Identity, Credential, and Access Management (Revalidated w/change 1) Chapter1 :	January 6, 2011 to January 6, 2022
<a href="#">NPR 8900.1B</a>	NASA Health and Medical Requirements for Human Space Exploration Chapter3 :	December 16, 2016 to December 16, 2021
<a href="#">NC 1000 50</a>	NASA CHARTER: Arc Jet Modernization Program Stakeholder Board Charter	Mar 17, 2020
<a href="#">NPI 2081 57</a>	NASA POLICY INSTRUCTIONS: Guidance on Providing Language Assistance Services in NASA Conducted Programs and Activities	Nov 07, 2007

<a href="#">NPR 2830.1A</a>	NASA Enterprise Architecture Procedures Chapter2 :	December 19, 2013 to November 30, 2021
<a href="#">NPR 3831.1</a>	Phased Retirement Chapter8 :	October 11, 2016 to October 11, 2022
<a href="#">NPR 7150.2C</a>	NASA Software Engineering Requirements Chapter1 :	August 2, 2019 to August 2, 2024
<a href="#">NID 1000 22</a>	<b>SUPERSEDED BY NPD 1000.3C 02/15/2007</b> - Office of the Chief Financial Officer and Integrated Financial Management Program Organization Updates	Jun 24, 2005
<a href="#">NM 1000-22</a>	<b>SUPERSEDED BY NPD 1000.3C 02/15/2007</b> - Office of the Chief Financial Officer and Integrated Financial Management Program Organization Updates	Jun 24, 2005
<a href="#">NPI 2081 79</a>	NASA POLICY INSTRUCTIONS: NASA Language Access Plan 2011	Sep 29, 2011
<a href="#">NPR 7120.8A</a>	NASA Research and Technology Program and Project Management Requirements AppendixE :	September 14, 2018 to September 14, 2023
<a href="#">NPI 2081 78</a>	NASA POLICY INSTRUCTIONS: NASA Policy Guidance on the Prohibition Against National Origin Discrimination as It Affects Persons With Limited English Proficiency	Apr 28, 2009
<a href="#">NID 1800 4</a>	<b>SUPERSEDED BY NPR 1800.1C</b> NASA Occupational Health Program Guidelines for Implementing Critical Incident Stress Management Services	May 09, 2003
<a href="#">NM 1800-4</a>	<b>SUPERSEDED BY NPR 1800.1C</b> NASA Occupational Health Program Guidelines for Implementing Critical Incident Stress Management Services	May 09, 2003
<a href="#">NPR 1080.1B</a>	Requirements for the Conduct of NASA Research and Technology (R&T) Chapter2 :	February 21, 2017 to February 21, 2022
<a href="#">NPR 1387.1A</a>	NASA Exhibits Program AppendixA :	April 11, 2018 to April 11, 2023
<a href="#">NPR 1600.2A</a>	NASA Classified National Security Information (CNSI) Preface :	September 11, 2019 to September 11, 2024
<a href="#">NPR 3790.1</a>	NASA's Domestic Violence, Sexual Assault, and Stalking Response Plan (Revalidated with Change 1) Chapter1 :	June 11, 2014 to June 11, 2024
<a href="#">NPR 7120.8A</a>	NASA Research and Technology Program and Project Management Requirements AppendixG :	September 14, 2018 to September 14, 2023
<a href="#">NPR 8810.1A</a>	Center Master Planning Chapter2 :	February 13, 2013 to December 13, 2021
<a href="#">NPD 1090.2</a>	Citizen Science	January 28, 2021 to January 28, 2026
<a href="#">NPR 8715.2B</a>	NASA Emergency Management Program Procedural Requirements AppendixA :	November 19, 2014 to June 19, 2022
<a href="#">NPR 8810.1A</a>	Center Master Planning Chapter4 :	February 13, 2013 to December 13, 2021
<a href="#">NPD 1600.2E</a>	NASA Security Policy (Revalidated on 4/2/2015 w/Change 1)	April 28, 2004 to May 28, 2022
<a href="#">NPD 8910.1C</a>	Care and Use of Animals	January 30, 2019 to January 30, 2024
<a href="#">NPR 1800.1D</a>	NASA Occupational Health Program Procedures Chapter5 :	October 6, 2009 to March 6, 2022
<a href="#">NPR 1080.1B</a>	Requirements for the Conduct of NASA Research and Technology (R&T) Chapter4 :	February 21, 2017 to February 21, 2022
<a href="#">NPR 1850.1</a>	Quality Assurance of the NASA Medical Care (Revalidated w/change 1) AppendixA :	May 11, 2010 to December 11, 2021
<a href="#">NPR 2841.1</a>	Identity, Credential, and Access Management (Revalidated w/change 1) AppendixA :	January 6, 2011 to January 6, 2022
<a href="#">NPR 7500.2</a>	NASA Technology Transfer Requirements	December 19, 2014 to September 19, 2021

<a href="#">NPD 9010.2A</a>	Financial Management (Revalidated w/Change 1 on February 26, 2018)	May 6, 2013 to May 6, 2023
<a href="#">NPR 9330.1</a>	External Reports-Budget Preface :	August 1, 2017 to August 1, 2022
<a href="#">NC 1000 49</a>	NASA CHARTER: NASA Small Spacecraft Coordination Group	Oct 19, 2019
<a href="#">NC 1000 6A</a>	NASA CHARTER: Engineering Management Board	Feb 02, 2017
<a href="#">NID 8621 5</a>	<b>SUPERSEDED BY NPR 8621.1A ON 02/11/2004</b> NASA INTERIM DIRECTIVE (NID): Root Cause Analysis (RCA)	Jul 01, 2003
<a href="#">NPI 8020 7</a>	<b>SUPERSEDED BY NID 8715.128 &amp; NID 8715.129 - NASA POLICY INSTRUCTIONS: On Planetary Protection Requirements for Human Extraterrestrial Missions</b>	May 28, 2014
<a href="#">NPI 8020 7</a>	<b>SUPERSEDED BY NID 8715.128 &amp; NID 8715.129 - NASA POLICY INSTRUCTIONS: On Planetary Protection Requirements for Human Extraterrestrial Missions</b>	May 28, 2014
<a href="#">NPR 1600.1A</a>	NASA Security Program Procedural Requirements AppendixB :	August 12, 2013 to June 12, 2021
<a href="#">NPD 2230.1</a>	Research Data and Publication Access (Revalidated w/Change 1)	January 14, 2016 to January 14, 2026
<a href="#">NPD 1000.3E</a>	The NASA Organization w/Change 85 Chapter5 :	April 15, 2015 to April 15, 2026
<a href="#">NPS 1382 42</a>	NASA POLICY STATEMENT: NASA Principles and Policies on Scientific Openness	Mar 30, 2006
<a href="#">NPD 3010.1A</a>	Strategic Workforce Planning	January 15, 2009 to August 31, 2021
<a href="#">NPR 8800.15C</a>	Real Estate Management Program w/Change 1, February 24, 2015 Chapter4 :	October 30, 2014 to December 30, 2021
<a href="#">NPR 8800.15C</a>	Real Estate Management Program w/Change 1, February 24, 2015 AppendixA :	October 30, 2014 to December 30, 2021
<a href="#">NPR 1600.3A</a>	Personnel Security AppendixA :	August 3, 2020 to August 3, 2025
<a href="#">NPR 4300.1C</a>	NASA Personal Property Disposal Procedural Requirements Chapter4 :	June 27, 2013 to December 27, 2021
<a href="#">NPR 1080.1B</a>	Requirements for the Conduct of NASA Research and Technology (R&T) Chapter5 :	February 21, 2017 to February 21, 2022
<a href="#">NPD 1385.2I</a>	Public Appearances of NASA Personnel, Including Astronauts	May 9, 2018 to May 9, 2023
<a href="#">NPR 1600.1A</a>	NASA Security Program Procedural Requirements Preface :	August 12, 2013 to June 12, 2021
<a href="#">NPR 7120.11A</a>	NASA Health and Medical Technical Authority (HMTA) Implementation AppendixA :	September 8, 2020 to September 8, 2025
<a href="#">NPD 8010.3B</a>	Notification of Intent to Decommission or Terminate Operating Space Systems and Terminate Missions (Revalidated w/Change 2)	June 14, 2004 to June 14, 2024
<a href="#">NPR 8553.1C</a>	NASA Environmental Management System Chapter2 :	July 20, 2020 to July 20, 2025
<a href="#">NPR 8553.1C</a>	NASA Environmental Management System AppendixA :	July 20, 2020 to July 20, 2025
<a href="#">NPR 8715.2B</a>	NASA Emergency Management Program Procedural Requirements AppendixC :	November 19, 2014 to June 19, 2022
<a href="#">NPR 8715.7B</a>	Payload Safety Program AppendixA :	April 27, 2020 to April 27, 2025
<a href="#">NPR 8810.1A</a>	Center Master Planning Chapter3 :	February 13, 2013 to December 13, 2021
<a href="#">NPR 8820.2G</a>	Facility Project Requirements (FPR) Chapter6 :	June 5, 2014 to December 5, 2021
<a href="#">NPR 8820.2G</a>	Facility Project Requirements (FPR) AppendixE :	June 5, 2014 to December 5, 2021
<a href="#">NPR 8900.1B</a>	NASA Health and Medical Requirements for Human Space Exploration AppendixE :	December 16, 2016 to December 16, 2021



<b>OCFO Grants Policy and Compliance Branch (GPC)</b> Notice of Funding Opportunity (NOFO) Checklist - Grants and Cooperative Agreements		
<b>Resources:</b> <a href="#">2 CFR 200, Appendix I - Full Text of Notice of Funding Opportunity</a> <a href="#">NASA Grants and Cooperative Agreement Manual (GCAM) - Appendix A</a>		
Please complete the fields below (Submission/Program Office to Complete):		
Date Checklist Completed		
Name of Person Submitting NOFO		
Email of Person Submitting NOFO		
Mission Directorate/Program Office		
Title of NOFO		
Assistance Listing/CFDA# Source: <a href="https://beta.sam.gov/search?index=cfda">https://beta.sam.gov/search?index=cfda</a>		
Expected NOFO Release Date		
Is this an Appendix/Amendment to an umbrella NOFO? If so, include umbrella NOFO with your submission.		
<b>Instructions:</b> This checklist should be used as guidance to identify items <b>required</b> by the regulation and policies stated above. <b>Please review the regulation and policies prior to submission.</b> Please indicate the page number in the NOFO/NRA/BAA/Solicitation for each item described. If an item is not required, mark as "N/A." The OCFO Grants Policy and Compliance Branch (GPC) will review and check off each item. If this is an appendix, please indicate that the item was included in the original NOFO/NRA/BAA/Solicitation. <b>All sections must be completed.</b>		
Part A - Program Description		
Description	Indicate Page # or "N/A" if not required	Check Mark/Comments (OCFO - GPC to complete)
Statutory authority and program-specific regulations		
Full program description of the funding opportunity: federal awarding agency's funding priorities and/or technical focus of areas in which the Federal awarding agency intends to provide funding		
Include program goals and objectives, a reference to the relevant Assistance Listings, a description of how the award will contribute to the achievement of the program's goals and objectives, and the expected performance goals, indicators, targets, baseline data, data collection, and other outcomes that NASA expects to achieve, where applicable. <b>(See GCAM, Appendix A, Section A.)</b>  For more info, see GCAM Section 7.1 Performance Measurement.		
Description for broad announcements soliciting multiple projects		
Part B - Federal Award Information		
Description	Indicate Page # or "N/A" if not required (Program Office to)	Check Mark/Comments (OCFO - GPC)
Total amount of funds expected to be awarded		
Dollar range of awards or average (i.e., expected amount of funding for each individual award)		
Anticipated number of awards		
Period of Performance/Anticipated start date(s)		
Describe if applications for renewals or supplementations of existing projects are eligible to <u>compete with new applications for new awards</u> . If a cooperative agreement, where is anticipated substantial involvement described or referenced		
Indicate if procurement contracts may also be awarded. If so, clear this solicitation with the Office of Procurement.		

**OCFO Grants Policy and Compliance Branch (GPC)**  
 Notice of Funding Opportunity (NOFO) Checklist - Grants and Cooperative Agreements

**Resources:**  
[2 CFR 200, Appendix I - Full Text of Notice of Funding Opportunity](#)  
[NASA Grants and Cooperative Agreement Manual \(GCAM\) - Appendix A](#)

Please complete the fields below (Submission/Program Office to Complete):

**Part C - Eligibility Information**

<b>Description</b>	<b>Indicate Page # or "N/A" if not required (Program Office to complete)</b>	<b>Check Mark/Comments (OCFO - GPC)</b>
The types of entities that are eligible to apply are clearly identified		
<i>If limited competition grant/cooperative agreement -- please provide justification to Grants Policy and</i>		
Other or special eligibility criteria clearly stated (if applicable). List any factors affecting eligibility of the PI or Project Director and criteria for ineligibility		
Are cost sharing or matching funds required? <i>(If cost sharing is required, the announcement must explicitly say so)</i>		
Limitations on the number of applications an applicant may submit under the announcement is stated and clarify whether the limitation is on the submitting organization, individual investigator/program director, or both.		
Include a statement related to possible ineligibility of proposals that include participation of China or Chinese-owned Companies <b>(See GCAM Appendix A-Section C for sample language)</b>		
<b>Include the following statement on nondiscrimination:</b> "NASA recognizes and supports the benefits of having diverse and inclusive scientific, engineering, and technology communities and fully expects the reflection of such values in the composition of all panels and teams, including peer review panels, proposal teams, science definition teams, and mission and instrument teams. Per Federal statutes and NASA policy, no eligible applicant shall experience exclusion from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NASA on the grounds of their race, color, creed, age, sex, national origin, or disability. NASA welcomes proposals from all qualified and eligible sources, and strongly encourages proposals from Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), small disadvantaged businesses (SDBs), veteran-owned small businesses, service-disabled veteran-owned small businesses (SDVOSB), HUBZone small businesses, and women-owned small businesses (WOSBs), as eligibility requirements allow."		

**Part D - Application and Submission Information**

<b>Description</b>	<b>Indicate Page # or "N/A" if not required (Program Office to complete)</b>	<b>Check Mark/Comments (OCFO - GPC)</b>
Describes how to obtain application forms, kits, or other materials required to apply.		
If NRA/Solicitation does not provide all forms, Mission Directorate/Program Office must indicate where to obtain required forms		
Required application forms and other essential documents are identified; include content and form or format requirements.		
SAM Registration and Unique Entity Identifier (UEI), (currently the Data Universal Numbering System (DUNS)) requirements described. <b>See the NASA Required DUNS and SAM Language - GCAM Appendix A - Section D</b>		
Describes application submission dates/times; deadline requirements; effect of missing a deadline		
If applicable indicate if subject to Executive Order 12372, Intergovernmental Review of Federal Programs. If unsure, search for program at beta.sam.gov by CFDA number to see if EO is applicable.		
When applicable, state if notice/letter of intent to propose is required		
Funding Restrictions/other funding limitations (e.g., ceiling amounts, \$ threshold for renovations, etc.) described		
<b>See the NASA Required Funding Restrictions Language - GCAM Appendix A - Section D</b>		
Collection of STEM information language included		
<b>See the NASA Required STEM Information Language - GCAM Appendix A - Section D</b>		
Explicitly states whether pre-award costs are or are not allowable	2	

**OCFO Grants Policy and Compliance Branch (GPC)**  
 Notice of Funding Opportunity (NOFO) Checklist - Grants and Cooperative Agreements

**Resources:**

[2 CFR 200, Appendix I - Full Text of Notice of Funding Opportunity](#)  
[NASA Grants and Cooperative Agreement Manual \(GCAM\) - Appendix A](#)

Please complete the fields below (Submission/Program Office to Complete):

Statutory, regulatory or policy limitations stated (e.g., limits on Admin Costs) or link provided to a document that provides this information		
Other submission requirements e.g., format of submission; application submission electronic or hard copy, etc.		
DATA Management Plan (required for all Research Opportunities)  NSPIRES has a mandatory field that must be addressed. Any section that lays out the required elements for NSPIRES should include the "Data Management Plan", with instructions to complete as required in the announcement or why the data management plan does not apply to that proposal. <b>(GCAM Appendix A - Section D)</b>		

**OCFO Grants Policy and Compliance Branch (GPC)**  
 Notice of Funding Opportunity (NOFO) Checklist - Grants and Cooperative Agreements

**Resources:**  
[2 CFR 200, Appendix I - Full Text of Notice of Funding Opportunity](#)  
[NASA Grants and Cooperative Agreement Manual \(GCAM\) - Appendix A](#)

Please complete the fields below (Submission/Program Office to Complete):

**Part E - Application Review Information**

Description	Indicate Page # or "N/A" if not required (Program Office to complete)	Check Mark/Comments (OCFO - GPC)
Clear description of review/evaluation criteria is provided (e.g., peer review, technical review or objective review)		
Section must address priorities, preferences or other factors that will be applied in evaluating applications		
If criteria vary in importance, solicitation identifies weights, percentages, or point values that will distinguish applicants		
Indicate if cost sharing is considered or not considered		
If cost sharing is a factor in applicant review this section should indicate how it will be considered.		
List the program policy or other factors or elements, other than merit criteria, that the selecting official may use in selecting applications		
Risk Analysis Language included		
<b>See Risk Analysis Language - GCAM Appendix A - Section E</b>		
Appropriate notices included if NASA anticipates that the total Federal share will be greater than the simplified acquisition threshold; <b>(See GCAM Appendix A - Section E (3))</b>		
Anticipated announcement or award dates are listed		

**Part F - Award Administration Information**

Description	Indicate Page # or "N/A" if not required (Program Office to complete)	Check Mark/Comments (OCFO - GPC)
Indicate what a successful applicant/proposer can expect following selection (e.g., Application Selection Letter, Notice of Award, etc. )		
Specifies administrative, program policies and national policy requirements with which award recipients must comply		
Refers to a location (e.g., internet site) where applicants can see the general terms and conditions; highlights special terms and conditions		
Research Terms and Conditions (RTC) are included. <i>Applies to all funding announcements that are for research.</i>		
<b>See RTC Language - GCAM Appendix A - Section F</b>		
Environmental Statement is included		
<b>See Environmental Statement sample language - GCAM Appendix A - Section F</b>		
Section specifies type, frequency and means of submission of post-award reporting requirements		
Describes all relevant requirements such as those at 2 CFR 180.335 and 2 CFR 180.350 (Suspension and Debarment Guidelines) <b>See GCAM Appendix A - Section F</b>		
States any special requirements that may apply based on type of program/project		
Increasing Access to Research language included <i>Applies to all funding announcements that are for research.</i>		
<b>See Access to Research sample language - GCAM Appendix A - Section F</b>		
If the Federal share of any Federal award may include more than <b>\$500,000</b> over the period of performance, this section must inform potential applicants about the post award reporting requirements reflected in 2 CFR 200 Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters		

**OCFO Grants Policy and Compliance Branch (GPC)**  
 Notice of Funding Opportunity (NOFO) Checklist - Grants and Cooperative Agreements

**Resources:**  
[2 CFR 200, Appendix I - Full Text of Notice of Funding Opportunity](#)  
[NASA Grants and Cooperative Agreement Manual \(GCAM\) - Appendix A](#)

Please complete the fields below (Submission/Program Office to Complete):

**Part G - Federal Awarding Agency Contact(s)**

<b>Description</b>	<b>Indicate Page # or "N/A" if not required (Program Office to complete)</b>	<b>Check Mark/Comments (OCFO - GPC)</b>
Indicate fax or email address for assistance with questions or problems		
Provide contact information for programmatic and grants management points of contact		

**OCFO Grants Policy and Compliance (GPC)**

<b>Description</b>	<b>Date</b>	<b>Check Mark/Comments</b>
NRA/Solicitation/NOFO is cleared by GPC		
NRA/Solicitation/NOFO needs minor changes		
NRA/Solicitation/NOFO needs major changes or is missing information and requires re-submission to GPC prior to release		

**OCFO Grants Policy and Compliance (GPC) Comments:**



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Keyword :

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Keyword :

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Nondiscrimination in Federally Assisted and Conducted

Programs of NASA

November 1, 2017 to

November 1, 2022

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Small Business Program

June 1, 2016 to June 1,

2022

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### **NID 1000\_14**

**SUPERSEDED BY NPD 1000.3C 02/15/2007** - Realignment  
of the Office of Small and Disadvantaged Business Utilization  
and the Office of Procurement

Mar 15, 2005

17% Relevant

### **NM 1000-14**

**SUPERSEDED BY NPD 1000.3C 02/15/2007** - Realignment  
of the Office of Small and Disadvantaged Business Utilization  
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Management Process

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Management Process

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**NPD 1000.3E**

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Chapter4 :

April 15, 2015 to April

15, 2026

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**NPR 1441.1E**

NASA Records Management Program Requirements (Updated w/Change 3)

Chapter5 :

January 29, 2015 to

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**NID 1600.46**

Refer to NID 1600-95 NASA Interim Directive: Security Identification System Requirements

Jan 19, 2007

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**NPR 1382.1A**

NASA Privacy Procedural Requirements

AppendixA :

July 10, 2013 to

November 30, 2021

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**NPR 2200.2D**

Requirements for Documentation, Approval and Dissemination of Scientific and Technical Information

AppendixK :

September 7, 2016 to

September 7, 2021

7% Relevant

**NPR 7100.1B**

Protection of Human Research Subjects

Chapter2 :

February 15, 2019 to

February 15, 2024

7% Relevant

**NPR 9660.1A**

Vital Financial Records for Emergency Operations (Revalidated on September 17, 2018)

AppendixA :

December 19, 2013 to

December 19, 2023

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**NPR 9090.1B**

Partnership Agreements-Financial Requirements and Administration

AppendixE :

March 4, 2020 to March

4, 2025

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**NM 1800-9**

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Sep 09, 2004

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**NPS 1800.9**

**SERVED ITS PURPOSE** Notification of Lost-Time, Injuries, Illnesses, and Mishaps

Sep 09, 2004

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**NPR 1387.1A**

NASA Exhibits Program

AppendixA :

April 11, 2018 to April 11, 2023

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**NPR 1450.10D**

NASA Correspondence Management and Communications Standards and Style Revalidated (6/21/2021)

AppendixD :

March 24, 2006 to March 24, 2026

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**NPR 3790.1**

NASA's Domestic Violence, Sexual Assault, and Stalking Response Plan (Revalidated with Change 1)

Chapter1 :

June 11, 2014 to June 11, 2024

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**NPR 8910.1C**

Care and Use of Animals (updated w/Change 2 on 3/20/14)

AppendixC :

December 2, 2011 to June 2, 2021

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**NPR 1441.1E**

NASA Records Management Program Requirements (Updated w/Change 3)

January 29, 2015 to

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**NPD 1490.6**

Business Cards

July 12, 2015 to

November 30, 2021

6% Relevant

**NPR 3790.1**

NASA's Domestic Violence, Sexual Assault, and Stalking Response Plan (Revalidated with Change 1)

AppendixA :

June 11, 2014 to June 11, 2024

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**NPD 1382.17J**

NASA Privacy Policy

June 29, 2016 to

November 30, 2021

6% Relevant

**NID 1000.22**

**SUPERSEDED BY NPD 1000.3C 02/15/2007** - Office of the Chief Financial Officer and Integrated Financial Management Program Organization Updates

Jun 24, 2005

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**NID 1240\_41**

**EXPIRED 03/08/2007** -- NASA Interim Directive (NID): NASA Health and Medical Authority

Mar 08, 2006

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**NID 7120\_38**

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Feb 02, 2006

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AppendixC :

August 3, 2020 to August 3, 2025

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**NPR 2800.2A**

Information and Communication Technology Accessibility

AppendixA :

August 5, 2020 to August 5, 2025

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**NPD 9050.1B**

Official Representational Fund (Revalidated "As Is" 01/11/21)

February 11, 2003 to

January 11, 2026

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**NPR 9420.1A**

Budget Formulation

Chapter2 :

September 7, 2016 to

September 7, 2021

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**NPR 9610.1A**

Accounts Receivable, Billing, and Collection

Appendix B :

October 29, 2015 to

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**NPD 2521.1B**

Communications and Material Review

August 18, 2015 to

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**NC 1000 31**

**SUPERSEDED BY NC 1000-31A NASA CHARTER:**

Communications Coordinating Council Charter

Jun 18, 2012

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**NPD 2540.1I**

Acceptable Use of Government Office Property Including

Information Technology

August 19, 2019 to

August 19, 2024

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**NPR 9660.1A**

Vital Financial Records for Emergency Operations (Revalidated  
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Appendix B :

December 19, 2013 to

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**NC 1000 31A**

NASA CHARTER: Communications Coordinating Council  
Charter

Feb 04, 2017

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**NPR 1040.1**

NASA Continuity of Operations (COOP) Planning Procedural  
Requirements (Revalidated with Change 3, 9/13/2012)

Chapter 3 :

July 3, 2003 to June 3,

2022

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**NPR 9090.1B**

Partnership Agreements-Financial Requirements and  
Administration

Chapter 4 :

March 4, 2020 to March

4, 2025

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**NID 7120 40**

**Superseded by NASA FAR Supplement, NPD 7120.5D, &  
active sections from NPR 7120.5D - NID to NPR 7120.5C,**

NASA Program and Project Management Processes and  
Requirements

Mar 06, 2006

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**NM 1020-34**

**SUPERSEDED BY NPD 2521.1 - Ref Mem from Assistant  
Administrator, Office of Public, dtd 10/22/2004, Sub: Review**

and Approval of NASA Publications and Communications Products

Nov 01, 2004

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**NPS 1020\_34**

**SUPERSEDED BY NPD 2521.1** - Ref Mem from Assistant Administrator, Office of Public, dtd 10/22/2004, Sub: Review and Approval of NASA Publications and Communications Products

Nov 01, 2004

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**NPD 1380.1**

Managing Agency Communications

August 14, 2013 to

February 14, 2022

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**NPR 1382.1A**

NASA Privacy Procedural Requirements

AppendixB :

July 10, 2013 to

November 30, 2021

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**NPD 1388.1**

Employee Participation in NASA Education and Communications Activities (w/Change 1)

May 21, 2012 to May 21,

2022

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**NPR 1441.1E**

NASA Records Management Program Requirements (Updated w/Change 3)

Chapter1 :

January 29, 2015 to

November 30, 2021

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**NPR 1600.4A**

Identity and Credential Management

AppendixC :

April 8, 2016 to May 8,

2022

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**NPR 9050.1A**

Official Representational Fund (Revalidated 12/11/2020)

Chapter2 :

November 4, 2002 to

November 4, 2025

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**NID 1371\_2**

**SUPERSEDED BY NPR 1371.2A on 04/07/2003** -

Coordination and Authorization of Access to NASA Headquarters by Foreign Nationals and Foreign Representatives

Nov 04, 2002

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**NM 1371-2**

**SUPERSEDED BY NPR 1371.2A on 04/07/2003** -

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**NPR 1450.10D**

NASA Correspondence Management and Communications  
Standards and Style Revalidated (6/21/2021)

AppendixB :

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24, 2026

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**NPD 1420.1A**

NASA Forms Management

July 25, 2012 to February  
25, 2023

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**NPR 1441.1E**

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January 29, 2015 to  
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**NPR 1600.2A**

NASA Classified National Security Information (CNSI)

AppendixA :

September 11, 2019 to  
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**NID 7100 133**

NASA Interim Directive: Protection of Human Research  
Subjects

Jan 29, 2021

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**NPR 1600.4A**

Identity and Credential Management

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**NPR 2800.2A**

Information and Communication Technology Accessibility

Chapter2 :

August 5, 2020 to August  
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**NPR 9630.1**

Accounts Payable and Disbursements

AppendixA :

July 10, 2017 to July 10,  
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**NID 1417 102**

NASA INTERIM DIRECTIVE: NASA Paperwork Reduction  
Act (PRA) Compliance Program

Jul 20, 2017

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**NPR 8800.15C**

Real Estate Management Program w/Change 1, February 24, 2015

Chapter4 :

October 30, 2014 to  
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**NPI 3713 11B**

NASA POLICY INSTRUCTIONS: NASA Contingent Worker Desk Guide

Sep 28, 2011

3% Relevant

**NAII 1600 4A**

NASA ADVISORY IMPLEMENTING INSTRUCTIONS: Foreign National Access Management (FNAM) Operations Manual

May 01, 2016

3% Relevant

**NPR 1382.1A**

NASA Privacy Procedural Requirements

Chapter3 :

July 10, 2013 to  
November 30, 2021

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**NPD 1440.6I**

NASA Records Management

May 24, 2008 to  
November 30, 2021

3% Relevant

**NPR 1600.4A**

Identity and Credential Management

AppendixA :

April 8, 2016 to May 8, 2022

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**NPR 2200.2D**

Requirements for Documentation, Approval and Dissemination of Scientific and Technical Information

AppendixA :

September 7, 2016 to  
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**NPD 9050.6K**

NASA Exchange and Morale Support Activities

March 2, 2015 to  
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**NPR 9620.1A**

Payroll

Chapter2 :

May 17, 2017 to May 17, 2022

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**NPR 3451.3**

NASA Space Flight Awareness Program (Revalidated 12/1/20)

Chapter4 :

August 1, 2014 to August 1, 2025



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**NPR 1387.1A**

NASA Exhibits Program

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**NPD 3713.2J**

Federal EEO Program of NASA

February 25, 2016 to

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**NPI 2081 57A**

NASA Policy Instruction: Providing Language Assistance  
Services in NASA Conducted Programs and Activities

Nov 07, 2007

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**NPI 2081 57**

NASA POLICY INSTRUCTIONS: Guidance on Providing  
Language Assistance Services in NASA Conducted Programs  
and Activities

Nov 07, 2007

13% Relevant

**NPI 2081 79**

NASA POLICY INSTRUCTIONS: NASA Language Access  
Plan 2011

Sep 29, 2011

13% Relevant

**NPI 2081 78**

NASA POLICY INSTRUCTIONS: NASA Policy Guidance on  
the Prohibition Against National Origin Discrimination as It  
Affects Persons With Limited English Proficiency

Apr 28, 2009

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Care and Use of Animals (updated w/Change 2 on 3/20/14)

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Center Master Planning

Chapter1 :

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Identity, Credential, and Access Management (Revalidated w/change 1)

Chapter3 :

January 6, 2011 to

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**NPR 3300.1C**

Employment, Appointment Authorities, and Details

Chapter8 :

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**NPR 2200.2D**

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AppendixJ :

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**NPR 2841.1**

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Chapter1 :

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**NPR 8900.1B**

NASA Health and Medical Requirements for Human Space Exploration

Chapter3 :

December 16, 2016 to

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**NC 1000\_50**

NASA CHARTER: Arc Jet Modernization Program

Stakeholder Board Charter

Mar 17, 2020

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**NPR 2830.1A**

NASA Enterprise Architecture Procedures

Chapter2 :

December 19, 2013 to  
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Phased Retirement

Chapter8 :

October 11, 2016 to

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**NPR 7150.2C**

NASA Software Engineering Requirements

Chapter1 :

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2, 2024

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**NID 1000\_22**

**SUPERSEDED BY NPD 1000.3C 02/15/2007** - Office of the  
Chief Financial Officer and Integrated Financial Management  
Program Organization Updates

Jun 24, 2005

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**NM\_1000-22**

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Chief Financial Officer and Integrated Financial Management  
Program Organization Updates

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**NPR 7120.8A**

NASA Research and Technology Program and Project  
Management Requirements

AppendixE :

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**NID\_1800\_4**

**SUPERSEDED BY NPR 1800.1C** NASA Occupational Health  
Program Guidelines for Implementing Critical Incident Stress  
Management Services

May 09, 2003

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**SUPERSEDED BY NPR 1800.1C** NASA Occupational Health  
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**NPR 1080.1B**

Requirements for the Conduct of NASA Research and  
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**NPR 1600.2A**

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**NPR 3790.1**

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Chapter1 :

June 11, 2014 to June 11,  
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**NPR 8810.1A**

Center Master Planning

Chapter2 :

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**NPD 1090.2**

Citizen Science

January 28, 2021 to  
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**NPR 8715.2B**

NASA Emergency Management Program Procedural  
Requirements

AppendixA :

November 19, 2014 to  
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**NPD 1600.2E**

NASA Security Policy (Revalidated on 4/2/2015 w/Change 1)

April 28, 2004 to May  
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**NPD 8910.1C**

Care and Use of Animals

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**NPR 1800.1D**

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Chapter5 :

October 6, 2009 to  
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**NPR 1080.1B**

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**NPR 1850.1**

Quality Assurance of the NASA Medical Care (Revalidated w/change 1)

Appendix A :

May 11, 2010 to

December 11, 2021

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**NPR 2841.1**

Identity, Credential, and Access Management (Revalidated w/change 1)

Appendix A :

January 6, 2011 to

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**NPR 7500.2**

NASA Technology Transfer Requirements

December 19, 2014 to

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**NPD 9010.2A**

Financial Management (Revalidated w/Change 1 on February 26, 2018)

May 6, 2013 to May 6,

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**NPR 9330.1**

External Reports-Budget

Preface :

August 1, 2017 to August

1, 2022

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**NC 1000\_49**

NASA CHARTER: NASA Small Spacecraft Coordination Group

Oct 19, 2019

3% Relevant

**NC 1000\_6A**

NASA CHARTER: Engineering Management Board

Feb 02, 2017

3% Relevant

**NID 8621\_5**

**SUPERSEDED BY NPR 8621.1A ON 02/11/2004** NASA INTERIM DIRECTIVE (NID): Root Cause Analysis (RCA)

Jul 01, 2003

3% Relevant

**NPI 8020\_7**

**SUPERSEDED BY NID 8715.128 & NID 8715.129 - NASA** POLICY INSTRUCTIONS: On Planetary Protection

Requirements for Human Extraterrestrial Missions

May 28, 2014

3% Relevant

**NPI 8020.7**

**SUPERSEDED BY NID 8715.128 & NID 8715.129 - NASA**

POLICY INSTRUCTIONS: On Planetary Protection

Requirements for Human Extraterrestrial Missions

May 28, 2014

3% Relevant

**NPR 1600.1A**

NASA Security Program Procedural Requirements

AppendixB :

August 12, 2013 to June

12, 2021

3% Relevant

**NPD 2230.1**

Research Data and Publication Access (Revalidated w/Change  
1)

January 14, 2016 to

January 14, 2026

3% Relevant

**NPD 1000.3E**

The NASA Organization w/Change 85

Chapter5 :

April 15, 2015 to April

15, 2026

2% Relevant

**NPS 1382.42**

NASA POLICY STATEMENT: NASA Principles and Policies  
on Scientific Openness

Mar 30, 2006

2% Relevant

**NPD 3010.1A**

Strategic Workforce Planning

January 15, 2009 to

August 31, 2021

2% Relevant

**NPR 8800.15C**

Real Estate Management Program w/Change 1, February 24,  
2015

Chapter4 :

October 30, 2014 to

December 30, 2021

2% Relevant

**NPR 8800.15C**

Real Estate Management Program w/Change 1, February 24,  
2015

AppendixA :

October 30, 2014 to

December 30, 2021

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**NPR 1600.3A**

Personnel Security

AppendixA :

August 3, 2020 to August

3, 2025

2% Relevant

**NPR 4300.1C**

NASA Personal Property Disposal Procedural Requirements

Chapter4 :

June 27, 2013 to  
December 27, 2021

2% Relevant

**NPR 1800.1D**

NASA Occupational Health Program Procedures

AppendixC :

October 6, 2009 to  
March 6, 2022

2% Relevant

**NPR 1080.1B**

Requirements for the Conduct of NASA Research and  
Technology (R&T)

Chapter5 :

February 21, 2017 to  
February 21, 2022

2% Relevant

**NPD 1385.2I**

Public Appearances of NASA Personnel, Including Astronauts

May 9, 2018 to May 9,  
2023

2% Relevant

**NPR 1600.1A**

NASA Security Program Procedural Requirements

Preface :

August 12, 2013 to June  
12, 2021

2% Relevant

**NPR 7120.11A**

NASA Health and Medical Technical Authority (HMTA)

Implementation

AppendixA :

September 8, 2020 to  
September 8, 2025

2% Relevant

**NPD 8010.3B**

Notification of Intent to Decommission or Terminate Operating  
Space Systems and Terminate Missions (Revalidated w/Change  
2)

June 14, 2004 to June 14,  
2024

2% Relevant

**NPR 8553.1C**

NASA Environmental Management System

Chapter2 :

July 20, 2020 to July 20,  
2025

2% Relevant

**NPR 8553.1C**

NASA Environmental Management System

AppendixA :

July 20, 2020 to July 20,  
2025

2% Relevant

**NPR 8715.2B**



NASA Emergency Management Program Procedural Requirements

AppendixC :

November 19, 2014 to  
June 19, 2022

2% Relevant

**NPR 8715.7B**

Payload Safety Program

AppendixA :

April 27, 2020 to April  
27, 2025

2% Relevant

**NPR 8810.1A**

Center Master Planning

Chapter3 :

February 13, 2013 to  
December 13, 2021

2% Relevant

**NPR 8820.2G**

Facility Project Requirements (FPR)

Chapter6 :

June 5, 2014 to  
December 5, 2021

2% Relevant

**NPR 8820.2G**

Facility Project Requirements (FPR)

AppendixE :

June 5, 2014 to  
December 5, 2021

2% Relevant

**NPR 8900.1B**

NASA Health and Medical Requirements for Human Space  
Exploration

AppendixE :

December 16, 2016 to  
December 16, 2021

**Comments or Suggestions**

*(Note that we are looking for ways to improve the functionality of the NODIS library, so please limit all entries to suggestions or comments about the system, not requests).*

Send questions or comments about NASA to **Public Inquiries** (not related to NODIS)



- Curator: **Cheryl Parker**, (202) 358-0252
- NASA Official: **Nanette Smith**, (202) 358-0819
- Developed by: **Computing & Comm. Division, Code 720**