Grants and Cooperative Agreements Processing Overview

Office of Procurement
NASA Headquarters

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Outline

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Grants Differ From Contracts

GRANT*	CONTRACT
• Form of federal financial assistance to non-federal entities	• Legal obligation of a seller to provide a good or service and the buyer to pay
• Carries out a public purpose	• Meets a government requirement
• Award budget	• Contract price
• Grant payments ▪ Summary drawdowns ▪ No invoices for claims	• Contract payments ▪ Itemized payment requests ▪ Invoices to support claims ▪ Detailed costs

*Grants = Cooperative Agreements except that Cooperative Agreements provide for substantial involvement by the agency.

Grants Spend

Center	FY14 $ Obligated	Actions*
NASA Shared Services Center	741,902,251	9,320
Goddard Space Flight Center	47,231,641	64
Johnson Space Center	34,294,946	44
Langley Research Center	19,685,409	23
Ames Research Center	17,045,863	74
Headquarters	15,000,000	2
Marshall Space Flight Center	14,845,698	54
Dryden Flight Research Center	2,034,904	11
Glenn Research Center	785,602	16
Stennis Space Center	113,750	7
Total	**892,940,064**	**9,615**

Source: Federal Procurement Data System

*Includes new awards, funding supplements, and administrative supplements

Grants Spend (cont.)

Top 10 Recipients (FY14 $ obligated)

Universities Space Research Association	66,313,952
University of Maryland	29,541,583
Regents of The University Of Colorado	29,363,410
Baylor College Medicine	22,600,000
University of Hawaii Systems	18,514,255
Johns Hopkins University	18,003,428
Massachusetts Institute of Technology	17,781,959
University of Alabama in Huntsville	17,623,949
National Institute of Aerospace Associates	15,181,411
Center for the Advancement of Science in Space	15,000,000

Source: Federal Procurement Data System

Grants Spend (cont.)

Top 5 CFDA* Programs (FY14 $ obligated)

Science	649,804,708
Education	103,842,942
Aeronautics	38,917,139
Cross Agency Support	34,656,420
Space Operations	28,669,199

*CFDA=Catalog of Federal Domestic Assistance, a list of all Federal Financial Assistance Programs

Source: USASpending.gov

Research Solicitations in NASA Science

Announcement of Opportunity (AO)

- Typically a few per year; always used for specific space flight programs.
- Invites proposals for research for which space flight hardware may be required to obtain the data needed to achieve the stated science objective.
- Examples include the "Discovery" 2014 Announcement of Opportunity for Principal Investigator (PI) lead Planetary Science space missions.

Cooperative Agreement Notice (CAN)

- Relatively rare, typically only a few per year.
- Used where research or research-related activity is to be carried out in close cooperation with NASA, examples are "institute" members like NAI and SSERVI

NASA Research Announcement (NRA)

- The proposer has considerable freedom to specify specific objectives within the broad program objectives given in the NRA.
- Use to fund supporting research and technology, research and data analysis
- Awards typically grants, ~ $50K to ≥$1M (average ~ $100K).
- Grants require annual and final reports and publication of research results but no other deliverables of goods or services.
- Prime example is the Research Opportunities in Space and Earth Sciences (ROSES) Omnibus Solicitation

Research Opportunities in Space and Earth Sciences (ROSES)

- **Winners**: We select ~1000 out of 4000-5000 proposals each year, equal to ~ $600 M (over the lifetime of the award).
- **Funded Organizations:** ~30% of awards are to NASA centers, ~60% to universities and non profits, and the remainder to non-NASA government labs, and for-profit corporations.
- **Award Size:** Ranges from under $100K per year for focused, limited efforts (e.g., data analysis) to more than $1M per year for extensive activities (e.g., development of science experiment hardware).
- **Peer Reviewed:** Based on merit, relevance, and level of effort.
- **Award Mechanism:** Typically grants awarded to universities and non profits, but also cooperative agreements.
- **Duration:** Typically three years but can be up to five.

What does ROSES cover?

A wide range of subjects in over 60 calls this year (some appear only occasionally)

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Cosmochemistry
Laboratory Analysis of Returned Samples
Planetary Geology and Geophysics
Planetary Astronomy
Planetary Atmospheres
Outer Planets Research
Lunar Advanced Science and Exploration Research
Near Earth Object Observations
Cassini Data Analysis and Participating Scientists
Planetary Mission Data Analysis
Mars Data Analysis
Mars Fundamental Research
Planetary Instrument Definition and Development
Astrobiology: Exobiology and Evolutionary Biology
Planetary Protection Research
Astrobiology Science and Technology for Instrument Development
Astrobiology Science and Technology for Exploring Planets
Fellowships for Early Career Researchers
Planetary Major Equipment
Moon and Mars Analog Missions Activities
Mission Concept Development for Astrobiology Small Payloads
GRAIL Guest Scientist Program
Astrophysics Data Analysis
Astrophysics Research and Enabling Technology
Astrophysics Theory
SWIFT Guest Investigator –Cycle 8
Fermi Guest Investigator – Cycle 5
Kepler Guest Observer – Cycle 4
Strategic Astrophysics Technology
Topical Workshops, Symposia, and Conferences
Origins of Solar Systems
Opportunities in Education and Public Outreach for Earth and Space Sciences
Supplemental Outreach Awards for ROSES Investigators
Supplemental Education Awards for ROSES Investigators

Land Cover/Land Use Change for Early Career Scientists
Terrestrial Ecology
Biodiversity
Physical Oceanography
Ocean Surface Topography Science Team
IceBridge Research
IceSAT 2 Science Definition Team
Atmospheric Composition: Laboratory Research
Science Team for the OCO-2 Mission
Space Archaeology
GNSS Remote Sensing Science Team
Interdisciplinary Research in Earth Science
Satellite Calibration Interconsistency Studies
Impacts of Climate Variability and Change on NASA Centers and Facilities
Science Definition Team for the DESDynI-Radar Mission
New (Early Career) Investigator Program in Earth Science
Earth Science Applications: Disasters
Earth Science Applications: Water Resources
Earth Science Applications: Fires and Wildfires
SERVIR Applied Sciences Team
Advancing Collaborative Connections for Earth System Science
Advanced Information Systems Technology
Heliophysics Research: Geospace Science
Heliophysics Research: Solar and Heliospheric Science
Heliophysics Guest Investigators
Living with a Star Targeted Research and Technology
Living with a Star Targeted Research and Technology: Strategic Capability
Heliophysics Data Environment Enhancements

Governance

- OMB issued *"Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards"* (referred to as the "Uniform Guidance") on December 26, 2013
  - Provides one set of comprehensive Federale wide rules governing awards to universities, none profits, state and local governments, and Indian tribes. Intent is to:
    - Eliminate duplicative and conflicting guidance
    - Focus on performance over compliance for accountability
    - Encourage efficient use of information technology and shared services
    - Provide for consistent and transparent treatment of costs
    - Limit allowable costs to make the best use of Federal resources
    - Set standard business processes using data definitions
    - Strengthen oversight and "Cognizant Agency" and "Oversight Agency" roles
    - Target audit requirements on risk of waste, fraud, and abuse

Governance (cont.)

- Digital Accountability and Transparency Act of 2014 (DATA Act) was signed into law on May 9, 2014
  - Expands the Federal Funding Accountability and Transparency Act of 2006 (FFATA) reporting requirements, increasing accountability and transparency of Federal spending
  - Improves data quality including the accuracy of data posted to USASpending
  - Requires the full disclosure of Federal funds expended and holds agencies accountable for completeness and accuracy
  - Within 1 year of enactment, OMB and Treasury will issue guidance to Federal agencies; within 2 years of issuance of guidance, agencies will have to implement according to guidance

- NASA OIG identified weaknesses in the announcement, administration, and oversight of Agency grants
  - Recommendations are being addressed in NASA's implementation of OMB's Uniform Guidance

What's New for Grants Management?

- Increased emphasis on governance/internal controls, ensuring proper payments, transparency, performance measurement, data quality
- Establishment of a Single Audit Accountable Official and Single Audit Liaison to ensure grantee audit oversight and compliance, and resolution of audit issues
- Development of related NASA internal policies and procedures, to implement the Uniform Guidance
  - Requirement for risk assessment on grant recipients
- Examination of the grants management, technical award, and administration processes
- Increased need for training and guidance for grants officers, technical officers and grantees

Addressing Changes

- Implement the OMB requirements through both codified and none codified regulations and guidance
  - NASA multie functional team has been drafting NASA's implementing regulations and guidance
  - OMB has accepted NASA's regulatory language
  - NASA Grants and Cooperative Agreement Manual (GCAM) has been completed and is under review
  - NASA's Grant and Cooperative Agreement Handbook (14 CFR 1260) will be superseded by 2 CFR 1800 and the GCAM
  - Effective December 26, 2014, per OMB direction
- OIG recommendations considered throughout the implementation of OMB requirements
- Assess organizational structure, roles, functions, and governance to determine adequacy for fully complying with new requirements

Summary

- NASA relies on grants and cooperative agreements across mission areas and education
- The governance environment is increasing with Federal-wide emphasis and initiatives, many addressing key risk areas
- NASA is on track to implement the Federal regulations and is assessing organizational roles and responsibilities to strengthen governance and internal controls