

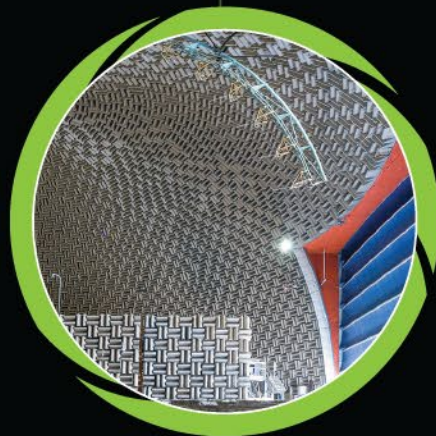
National Aeronautics and
Space Administration



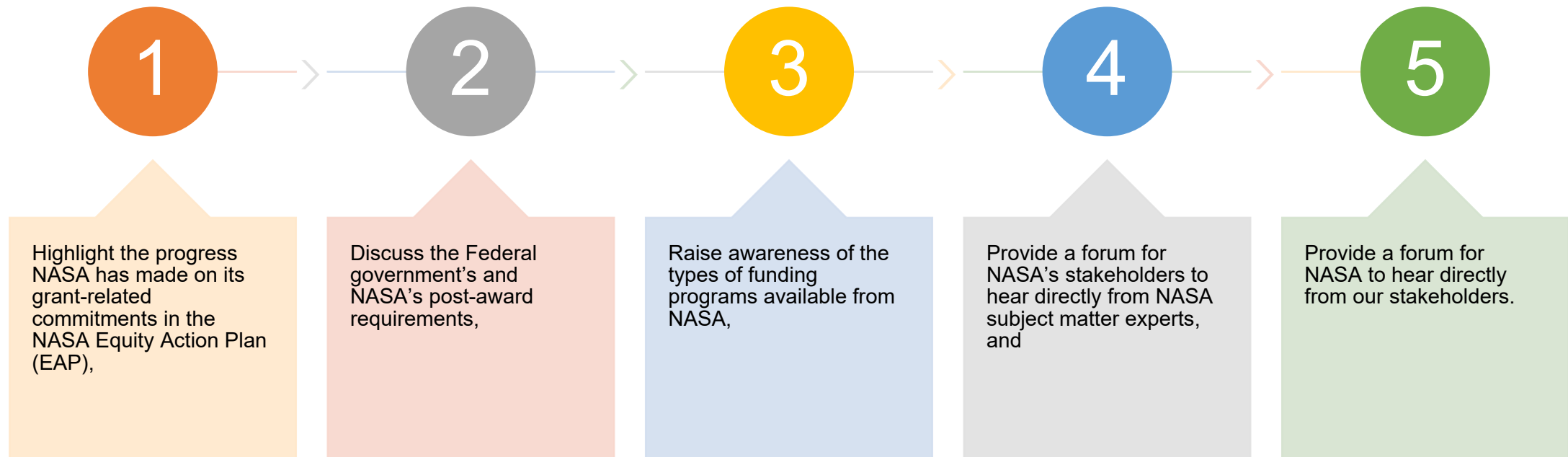
Ask NASA: You Were Awarded a Grant. Now What?

EXPLORE
PROCUREMENT
The cornerstone of NASA's current and future missions

www.nasa.gov



Objectives of the “Ask NASA” event



Agenda

I. WELCOME AND INTRODUCTIONS

II. DEIA INITIATIVES AND UPDATES

III. DEIA INITIATIVES AND UPDATES Q&A

IV. POST-AWARD GRANT MANAGEMENT

V. POST-AWARD GRANT MANAGEMENT Q&A

VI. ADJOURNMENT



Office of Procurement, Grant Policy and Compliance

- **Antanese Crank**
- **Chris Murguia**

Request for Information (RFI) Overview and Feedback

- ❖ NASA released RFIs in [June 2021](#) and [April 2023](#) to gather information from the public on barriers and challenges to underserved communities in grants and cooperative agreements.
- ❖ NASA received 195 comments from the public, many of which stated that a **major barrier was a lack of awareness and knowledge of NASA's grant programs, and policies.**
- ❖ RFI input also indicated a need for NASA to forge new relationships with entities in which no NASA collaboration currently exists.

RFI Outcomes

In response to RFI input, NASA has taken the following actions:

Developed external NASA grant resources and training materials.

- Five grant training videos available on [YouTube](#)
- 13 fact sheets/quick guides available on the GPC [website](#).

Increased outreach to and engagement with underserved communities.

- In CY 2023, 13 events held with organization such as U.S. Black Chambers, Inc. and U.S. Hispanic Chamber of Commerce.
- Hosted Ask NASA Part 1 and 2

Combine the Grant and Cooperative Agreement Manual (GCAM) and Proposer's Guide.

- The [GCAM and Proposer's Guide](#) will be combined to streamline and simplify NASA's grants policy and guidance in early 2024.

Ask NASA Part 1 Overview



To increase outreach to underserved communities, NASA hosted [Ask NASA: What to Know Before Applying for NASA Grants and Cooperative Agreements](#) on March 29, 2023.



The purpose of the March event was to answer questions about and remove the uncertainty around applying for NASA grant and cooperative agreement funding, with a particular focus on outreach to underserved communities and organizations that have not yet received NASA funding.



- 13% of registrants were from Historically Black Colleges and Universities (HBCUs) and 16% were from MSIs other than HBCUs.
- 45% had never applied for NASA grant funding
- 56% did not know how to access NASA grant funding opportunities



This event is a continuation of Ask NASA Part 1 and will provide grant recipients and applicants with knowledge and resources on how to manage and implement NASA grants and cooperative agreements.



If you would like for NASA to continue to host grant and cooperative Ask NASA events, let us know the topics that spark your interest.

Ask NASA Part 1 Feedback

Below is a selection of feedback received from participants after Ask NASA Part 1:

Feedback related to funding opportunities:

- Solicitations are difficult to read; several documents to consult for the same submission
- It is not always clear what is needed for each application. While the proposal guidebook is great, it is often muddled on the solicitation side
- Unclear or inconsistent guidelines
- Technical difficulties in applying, buried information about requirements/forms

Feedback related to resources:

- The number of qualified faculty that know how to write winning proposals
- The grants are a huge help and amazing opportunities, but they are very time-consuming to apply for and we have a small staff
- Not knowing how to access resources to do experiment related to outer space, such as microgravity, etc.

Feedback related to competition:

- It feels like there is a set of organizations that have an "in" with NASA with respect to the areas in which we work (education and outreach) and it is hard to break into that system. I'm sure it is just perception, but still.

Addressing Ask NASA Part 1 Feedback

NASA has taken the following actions that address feedback received in Ask NASA Part 1:

Improved the Notice of Funding Opportunity (NOFO) process.

- Expanded posting of NOFOs to NASA's [Minority Serving Institution \(MSI\) Exchange](#) newsletter.
- Standardized the NOFO template to ensure familiarity and consistency for all applicants.

Advanced notice of forthcoming grant opportunities.

- The [Acquisition Forecast](#) informs the public about NASA's forthcoming contract needs, and it will now provide information on grant opportunities well in advance of publication in Grants.gov.
- Utilize the [Federal Demonstration Partnership](#) platform to provide community with forthcoming funding opportunities.

Expanding Dual Anonymous Peer Review (DAPR) Process

- NASA Science Mission Directorate (SMD) expanded DAPR to 19 NOFOs to minimize the impact of implicit or unconscious bias in proposal evaluation.

2024 DEIA Goals for Grants

To enhance equity in grants, NASA has committed to four grant actions:

Grants Policy and Compliance

1. Increase awareness of NASA grant programs and policies by participating in a minimum of 4 outreach events.
2. Train and educate grant applicants and recipients on required policies and best practices by deploying six training and education sessions.

Science Mission Directorate

1. Expand use of Dual Anonymous Peer Review
2. Bridge Program Seed Funding



Science Mission Directorate

- Max Bernstein



Science Mission Directorate
Ask NASA Event 10/11/2023
Part 1: DEIA Initiatives

What SMD is doing

Max Bernstein (sara@nasa.gov) from NASA's Science Mission Directorate (SMD) talking about efforts in SMD to:

1. Remove obstacles to submitting proposals,
2. Remove possible sources of bias in the review process,
3. Provide links to some online resources, and
4. Tell you about specific opportunities for organizations that don't typically propose to NASA's Science Mission Directorate

These things may go by too fast, but there are links to more information.

No Due Date and Other Opportunities

In SMD we solicit almost all of our research, almost all of our federal assistance awards, via our Research Opportunities in Space and Earth Science (ROSES), an annual "omnibus" solicitation that has >100 individual opportunities (called "program elements") each with its own topics and due dates.

- See <https://solicitation.nasaprs.com/ROSES2023table3> for a list of all of the program elements in ROSES.

This year in "ROSES" we have ~14 with no due date (NoDD), so proposals may be submitted at any time. Its more work for us, but very popular with proposers since it makes the proposal submission process less fraught.

Most of our opportunities directed at those who don't typically propose to SMD are NoDD programs, e.g., our "Bridge" Programs like [BPSF](#), [Here to Observe](#), and [NASA Innovation Corps](#).

- More about these on the following Slides.

Budget Later

We also have ~ 6 program elements that don't require a budget at the time of proposal submission. We figure that since most proposals don't get selected, it would be nice if we could push off that work until later. There are challenges that come with this approach, but proposers seem to like it.

Currently, these include five Astrophysics programs where one may apply for time on a space telescope and the [Discovery Data Analysis Program](#) (DDAP) in planetary science. For the five Astrophysics programs, the funding is sort of formulaic, so it's easy to calculate after selection based on telescope time allotted. For DDAP the proposer just chooses a category (small, medium or large) at the time of submission and then a budget is required only if the project is selected by NASA.

Dual-anonymous peer review

The dual-anonymous peer review (DAPR) process is one in which, not only are proposers unaware of the identity the reviewers (that's normal), also the reviewers are not told the identity of the proposers (neither persons nor organizations) until after the evaluation of the anonymized proposals. The idea is to diminish bias from the review process. At last count, >30 program elements in ROSES-2023 will use DAPR.

For more about DAPR, including details for proposal preparation and a link to a PDF of Slides from a presentation by Dr. Hudgins to the NASA grants policy group in July 2023 go to:

<https://science.nasa.gov/researchers/dual-anonymous-peer-review>

Dual-anonymous peer review

The dual-anonymous peer review (DAPR) preliminary data is suggestive:

- In the 5 Hubble GO cycles since the adoption of the DAPR process and the first 2 JWST GO cycles, the disparity in the success rates of female-led and male-led proposals has been substantially reduced.
- Since the adoption of the DAPR approach to their proposal review, the Hubble GO program has seen a sharp increase in the percentage of selected proposals that are led by first-time PIs (from 5-10% to ~30%).
- In ROSES since DAPR, the success rates for primarily undergraduate institutions and non-R1 MSIs have approximately doubled.
- Plus, people just like it.

Inclusion Plans

A growing number of program elements in ROSES (8 at last count) require an Inclusion Plan. Those that do so will indicate this clearly. In general, two pages are allocated for this plan but see individual program elements for the required proposal location and page limits for Inclusion Plans.

Proposers are to tailor their Inclusion Plans specifically to address those barriers that the team will/may encounter during the proposed work, rather than to generic issues in the broader STEM community surrounding inclusion.

Proposers may request funding for team members to carry out the proposed Inclusion Plan activities and for the hiring of DEIA experts and/or those familiar with inclusion best practices to advise on or oversee the proposed Inclusion Plan efforts.

The assessment of the Inclusion Plan will be led by individuals with practical and/or research expertise in DEIA topics and feedback will be provided but the assessment of the Inclusion Plan will not be part of the adjectival rating for the proposal and will not inform the selection of proposals.

For more information including evaluation factors, see Section IV(e) of the [ROSES-2023 Summary of Solicitation](#).

Some resources and research that may be useful when formulating an Inclusion Plan, can be found at <https://science.nasa.gov/researchers/inclusion>.

Learn How to (not) Write a Proposal – Volunteer to be a reviewer

One of my mentors, the one who first arranged for me to serve on a review panel, used to say that there is no better way to learn how to not write a proposal than to serve on a review panel. It won't really teach you how to write a winning proposal, but it will teach you what not to do.

Sign up at:

<https://science.nasa.gov/researchers/volunteer-review-panels>

Proposal Writing Advice

There are slides and recordings of talks online in the "library" at <https://science.nasa.gov/researchers/sara/library-and-useful-links>:

- [ORAU NASA Postdoc Program Webinar on the "ROSES" solicitation and writing proposals June 2022](#)
- [ROSES Solicitation and Proposal writing advice from the SMD New Hires Orientation Workshop May 2022](#)
- [Proposal Writing Seminar at GSFC February 2022](#)
- [Proposal writing 101 presentation \(Adobe Connect Recording\) https://www.youtube.com/watch?v=R56T457HdDI](#) (March 2020 Ames Research Center) and
- [Tips on proposal writing from Christina Richey](#), who runs the proposal writing workshops out of JPL.

For those who are already familiar with proposing, there is the update on what's new in ROSES this year: [What's new in ROSES-2023](#)

The grants policy group that organized this seminar has a Youtube playlist at <https://www.youtube.com/playlist?list=PLiuUQ9asub3RBxyZxDrKF57blqxHGptPh>

"Bridge" Seed Funding

In ROSES-2023 we are offering [F.23 Bridge Seed Funding Program](#), for under-resourced institutions to develop or participate in SMD research activities.

This program element has no due date.

Read a PDF of the call for proposals [here](#). A [Copy of presentation slides from the Webinar including a link to video of the presentation \(.PDF\)](#) a FAQ and a [Quick Guide to Demonstrating Relevance to SMD \(.PDF\)](#) are all posted under "Other documents" on the NSPIRES page for the [F.23 Bridge Seed Funding Program](#).

SMD plans to solicit another opportunity in the "Bridge" program [this year as F.20, but its currently TBD](#).

Here is the email address of the coordinators of this program: hq-smd-bridge@mail.nasa.gov.

F.22 Research Initiation Awards

In ROSES-2023 we offered [F.22 Research Initiation Awards](#), to:

- 1) Enable investigators at institutions underrepresented in the SMD ecosystem to initiate two-year activities that will provide the foundation for a competitive, sustainable, and productive program of research and
- 2) Enable undergraduate students affiliated with the proposing investigator to perform cutting-edge research in an SMD-relevant field.

Sadly, the due date for this program has passed this year but we anticipate that it will be solicited again next year.

Here is the email address of the coordinator of this program is Maggie Yancey who may be reached at hq-smd-ria@mail.nasa.gov.

C.24 Here to Observe

In ROSES-2023 we are offering C.24 Here to Observe (H2O) to bring undergraduate students from institutions not typically participating in NASA missions to observe NASA Planetary mission meetings and other activities during the 9-month academic year, alongside mentors and peers.

This program element has no due date.

A PDF of the call for proposals, a FAQ and selections so far are posted on [the NSPIRES page for C.24 H2O](#).

The coordinators of this program is David Smith who may be reached at HQ-H2O@mail.nasa.gov.

F.9 Citizen Science Seed Funding Program

In ROSES-2023 we are offering F.9 Citizen Science Seed Funding Program (CSSFP). "Citizen Science Projects" are those that rely on volunteers. These may be well suited to institutions that draw on undergraduates rather than graduate students.

This covers all of SMD except Earth Science, which has its own Citizen Science program.

Notices of intent are requested by 11/21/2023 and proposals are due 01/24/2024.

A PDF of the call for proposals is posted on [the NSPIRES page for F.9 CSSFP](#).

The coordinators of this program is Marc Kuchner who may be reached at marc.kuchner@nasa.gov.



Office of STEM Engagement

- Sarah McGarvey



OSTEM Overview with DEIA Updates

Sarah McGarvey, OSTEM Grants Manager, HQ

October 11, 2023

NASA STEM



VISION

We immerse students in NASA's work, enhance STEM literacy, and inspire the next generation to explore.

MISSION

We engage students in NASA's mission

Strategic Goals



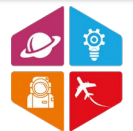
Create **unique opportunities** for a diverse set of students to contribute to NASA's work in exploration and discovery.



Build a **diverse future STEM workforce** by engaging students in authentic learning **experiences** with NASA's people, content and facilities.



Attract **diverse groups of students to STEM** through learning opportunities that **spark interest** and **provide connections** to NASA's mission and work.



NASA STEM Engagement Program Elements



NASA'S MISSION THEMATIC AREAS



NASA STEM ENGAGEMENT PROJECTS

SPACE GRANT

A national network of colleges and universities with over 1,000 affiliate institutions and organizations located in all 50 states, the District of Columbia, and Puerto Rico.
Purpose: Expands opportunities for students to participate in NASA's aeronautics and space projects.

EPSCoR

The Established Program to Stimulate Competitive Research (EPSCoR) funds partnerships with government, higher education, and industry in 28 eligible jurisdictions (25 states and three territories).
Purpose: Effects sustainable improvements in a state or region's research infrastructure, capacity, and competitiveness.

MUREP

The Minority University Research and Education Project (MUREP) supports minority-serving institutions (MSIs) to enhance research, academic, and technology capabilities.
Purpose: Increases retention of underserved and underrepresented groups in STEM.

NEXT GEN STEM

Next Generation STEM (Next Gen STEM) creates K-12 and informal education STEM engagement initiatives aligned to NASA mission priorities.
Purpose: Attracts and retains student interest in STEM careers, building a vibrant next-generation workforce.

EDUCATIONAL TOOLS AND PLATFORMS

Focus: Access and scalability

- Suite of tools and platforms enabling student engagement and data collection
 - NASA STEM Gateway (Phase 1 operational in early FY21)
 - stem.nasa.gov
 - intern.nasa.gov

PERFORMANCE MEASUREMENT AND EVALUATION

Focus: Outcomes and metrics

- Learning agenda
- Targeted studies

STRATEGIC PARTNERSHIPS

Focus: Scalability

- Comprehensive approach to foster and stimulate strategic partnerships
- New strategy began in FY 2020

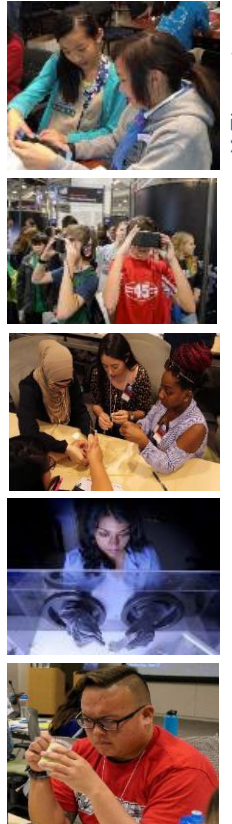
INTERNSHIPS AND FELLOWSHIPS

Focus: Diversity and Inclusion

- Enterprise model in collaboration with mission directorates and centers

ENABLING CROSS-CUTTING FUNCTIONS

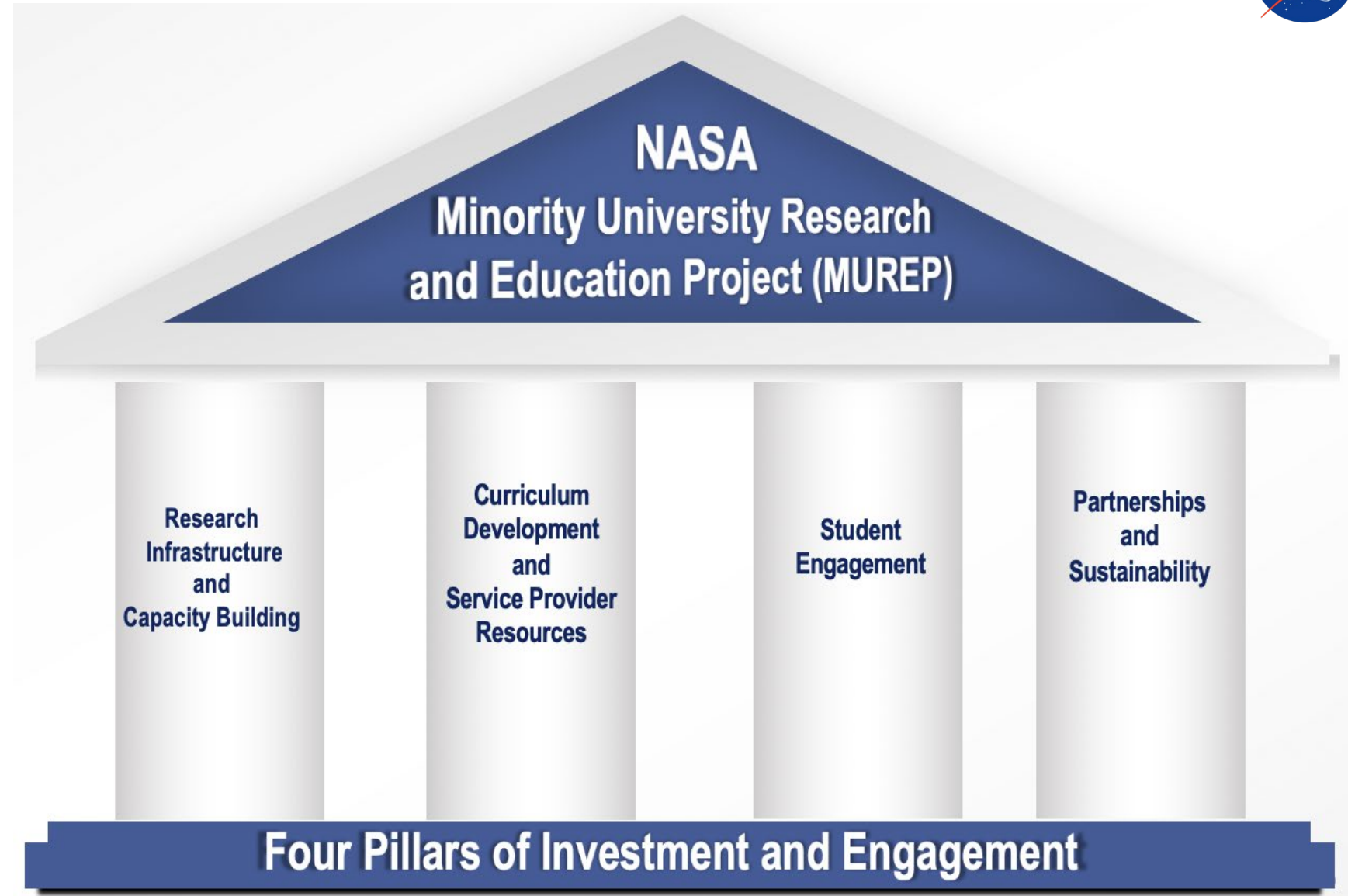
STEM ENGAGEMENT BENEFICIARIES



K-Elementary School
Middle School
High School
Undergraduate
Graduate

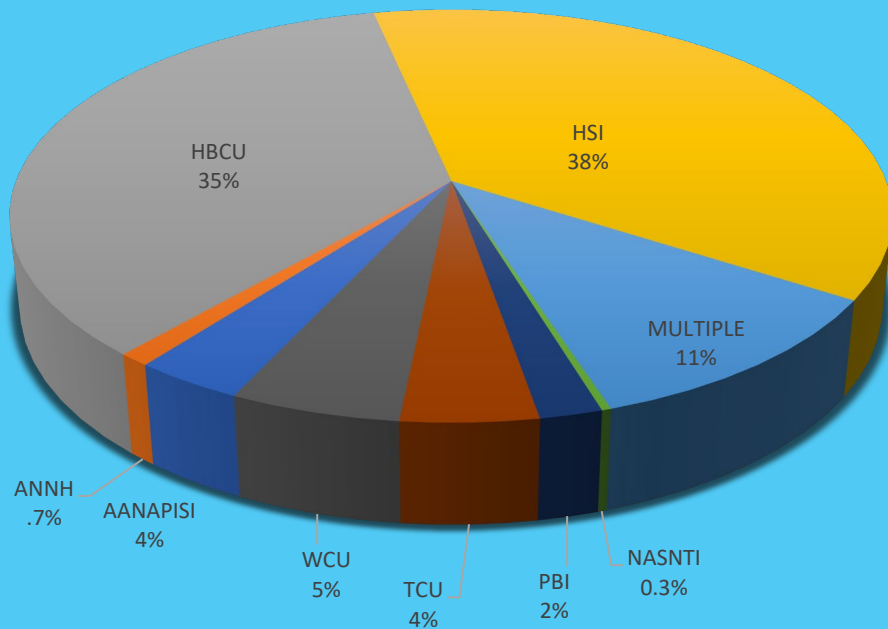
MUREP VISION

To enhance the **research, academic and technological capabilities** at MSIs by providing authentic **student learning experiences** related to **NASA missions** that contribute to a **Diverse Future STEM Workforce**.



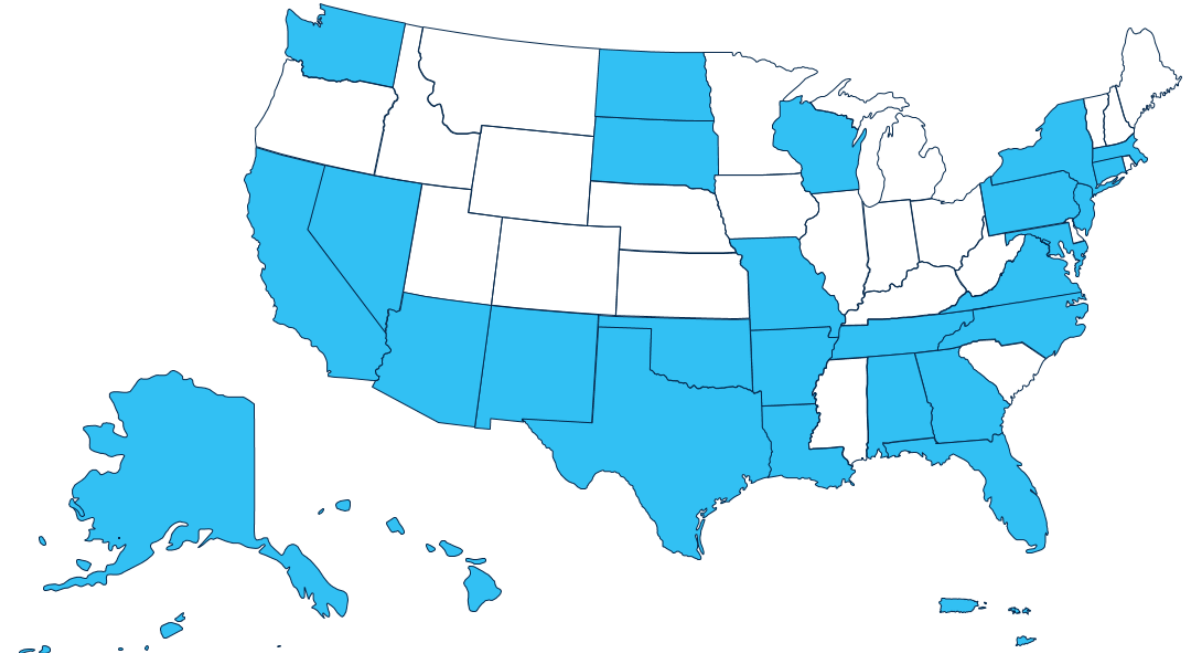
FY23 MUREP Investments

Total Obligations: \$25M



*Preliminary data as of September 2023. Map represents no-cost extensions, new, and continuing awards.

Map of Active Awards



156 Awards
86 MSIs
37 States/Territories

MINORITY UNIVERSITY RESEARCH AND EDUCATION PROJECT (MUREP)

PURPOSE AND STATUTORY AUTHORITY

AGENCY RESPONSE TO FEDERAL EXECUTIVE ORDERS FOR MINORITY SERVING INSTITUTIONS (MSIs)

MUREP is established to increase NASA's responsiveness to federal mandates related to MSIs and underrepresented and underserved communities, including women, girls, persons with disabilities and veterans.

- ☐ **EO 14041** Advancing Educational Equity, Excellence, and Economic Opportunity Through Historically Black Colleges and Universities (HBCU)
- ☐ **EO 13621:** White House Initiative on Educational Excellence for African Americans (PBI)
- ☐ **EO 13592:** Improving American Indian and Alaska Native Educational Opportunities and Strengthening Tribal Colleges and Universities (TCU/NASNTI)
- ☐ **EO 14045:** White House Initiative on Advancing Educational Equity, Excellence, and Economic Opportunity for Hispanics (HSI)
- ☐ **EO 13515:** Increasing Participation of Asian Americans and Pacific Islanders in Federal Programs (AANAPISI / ANNH)





How we Engage Minority Serving Institutions

MUREP INVESTMENTS

RESEARCH
INFRASTRUCTURE &
CAPACITY BUILDING



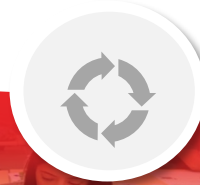
CURRICULUM
DEVELOPMENT & SERVICE
PROVIDER RESOURCES



STUDENT
ENGAGEMENT



PARTNERSHIPS
& SUSTAINABILITY



TARGETED
OUTCOMES

MISSION-CENTERED
ALIGNMENT & APPROACH

ENHANCED STEM
CAPABILITIES AT MSIs

BROADENING MSI
PARTICIPATION

STUDENT SUCCESS

Mission Driven
Research Efforts

Leveraging Virtual Tools
& Technology

Curriculum Development

Indigenous Connections
& Engagement

Digital Badging

Pre-College & Higher Education
STEM Learning Experiences

Challenges & Competitions

Awareness Events

Internal & External
Collaboration

Planning Grants
Cultivating partnerships for
response to NASA funding
Opportunities and Mission
Directorate priorities.



INSPIRE-ENGAGE-EDUCATE-EMPLOY
The Next Generation of Explorers



Welcome! The Minority Serving Institutions (MSI) Exchange supports your search for diverse academic collaborators by presenting STEM programs and capability statements in curated institutional profiles. Getting started is easy: enter a keyword in the search bar or use the filters to explore nearly 800 MSIs! Or [view popular searches](#).

[Search](#)

[All MSIs](#) [MSI Categories](#) [2 Year / 4 Year MSIs](#) [ABET Accredited Programs](#) [Carnegie Classifications](#) [STEM Programs](#)

Highlights

NASA HBCU/MSI Technology Infusion Road Tour

University of Central Florida/Orlando, FL
April 18-20, 2023

156 Attendees

- 53 MSI Representative
- 23 Business/Agencies
- NASA A-Suite
- White House ED/Hispanics
- All MDs
- KSC Tour

National Aeronautics and
Space Administration





Raising the Bar: Forging Excellence Through Innovation & Leadership

SEPTEMBER 24-28, 2023

HYATT REGENCY CRYSTAL CITY AT REAGAN
NATIONAL AIRPORT | ARLINGTON, VA

The nation's premier convening of college and university executive leadership, faculty, students, and supporters.

NASA
@
HBCU
Week

- The **NASA MITTIC Hack-a-thon** is for White House Initiative HBCU Scholars attending the conference in Washington, D.C. Students will utilize NASA IP to create spinoff ideas with the intended use of improving life on HBCU campuses.
- The scholars also will **tour NASA's Goddard Space Flight Center** in Greenbelt, Maryland, and take part in a special **viewing of NASA's "Color of Space"** documentary highlighting the life stories of seven current and former black astronauts.

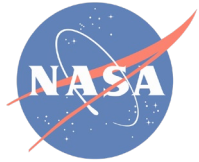


NASA STEM INSPIRE • ENGAGE • EDUCATE • EMPLOY
The Next Generation of Explorers



www.stem.nasa.gov

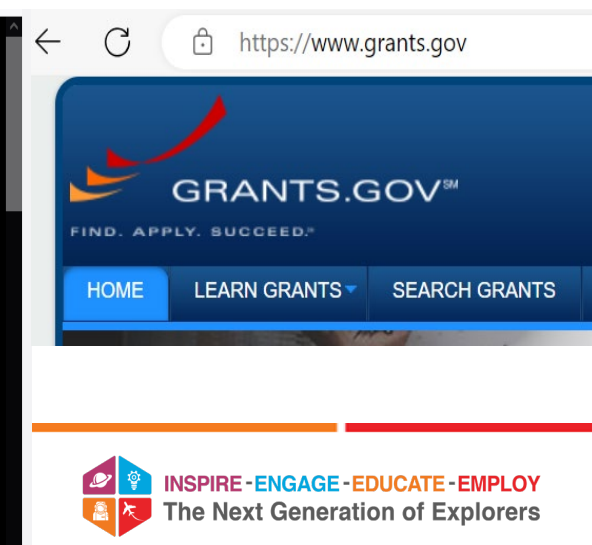
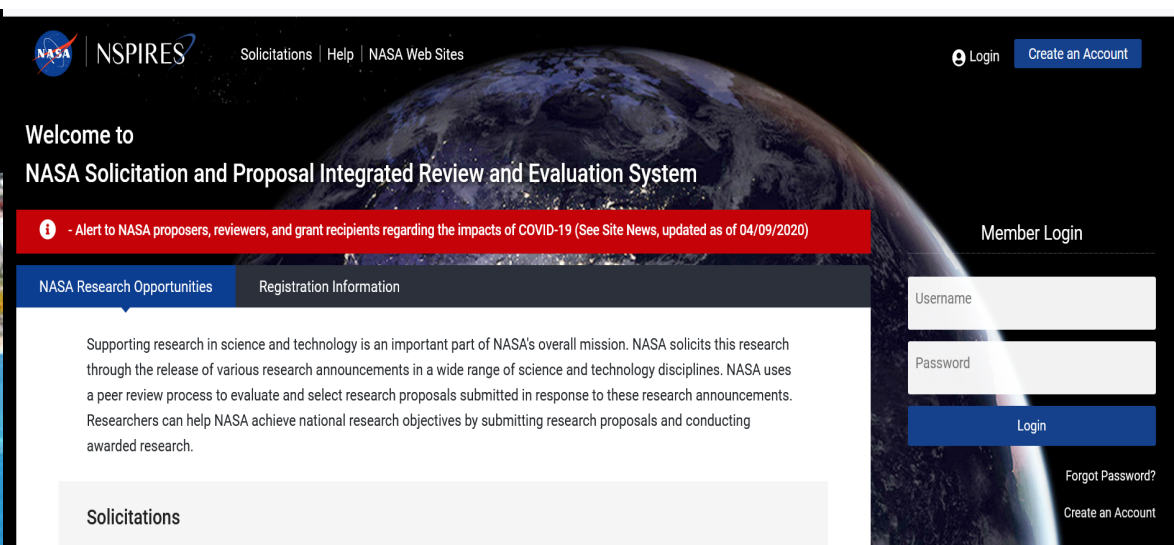
Funding Opportunities in NASA STEM



- Space Grant X-59 QUESST: Opened 9/28/2023 Closing 11/08/2023
- EPSCOR: Opened 10/09/2023 Closing 1/22/2024
- EPSCOR Rapid III: Opening 11/13/2023 Closing 2/16/2024

Anticipated this Quarter:

- MUREP Institutional Research Opportunity (MIRO)
- Space Grant
- Teams Engaging Affiliated Museums and Informal Institutions (TEAM II)



Spring, Summer, and Fall sessions offered

Applicants for NASA internships must be U.S. Citizens and meet a minimum 3.0 GPA requirement.

- Paid internships are offered across NASA facilities in fall, spring, and summer sessions.
- One application is viewed agencywide.
- OSTEM interns receive a stipend based on academic level and session length.
- Opportunities are available at the high school, undergraduate, graduate, and educator levels.

Learn how to apply at
intern.nasa.gov



Upcoming Application Deadlines

Summer 2024: February 02, 2024

Fall 2024: February 23, 2024



In Partnership with the National Consortium of Graduate Degrees for Minorities in Engineering (GEM)

NASA FELLOWS

Summer / Fall Center-Based Research Experiences



THE NATIONAL GEM CONSORTIUM

86 active fellows

52 fellows from MSIs

76 Ph.D. **10** Masters

- Recruitment of highly qualified graduate students in disciplines needed to advance NASA Missions
- Designed to provide academic institutions the ability to enhance graduate-level learning and development
- Paid fellowships stipends are offered across NASA facilities for fall and summer sessions.
- Enrollment in STEM graduate degree program required.

Application Deadline
Summer 2024: October 1, 2023

Connect with NASA STEM Engagement



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nasa.gov/stem/express



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NASA STEM



Office of Diversity and Equal Opportunity

- Morgan Powell



NASA Office of Diversity and Equal Opportunity (ODEO) External Civil Rights Compliance Program

ODEO Strategic Objectives



Strengthen NASA's commitment to diversity, equity, and inclusion in STEM fields, through evidence-based practice, and engagement with the national STEM community

Create research environments in NASA-funded STEM programs that are **models for safety and inclusion, innovation**, and expanded employment and educational opportunity

Foster unity through strengthened strategic partnerships within the STEM community, to help produce a more diverse STEM workforce of tomorrow

Grantee Civil Rights Statutes



Title VI of the Civil Rights
Act of 1964

Title IX of the Education
Amendments of 1972

Section 504 of
the Rehabilitation Act of 1973

Age Discrimination
Act of 1975

ODEO Mission STEM Website



- Broaden the reach of our technical assistance efforts to all grant recipients.
- Provide readily available critical information on civil rights compliance requirements.
- Serve as a vehicle for fostering active communication between NASA, our grant recipient institutions, and other stakeholders.
- Showcase best practices and help to address common challenges.
- Reach out to the beneficiaries of our grants, e.g., STEM students and science museum patrons, to provide support for pursuing career paths in STEM.

<https://missionstem.nasa.gov/>



Title IX

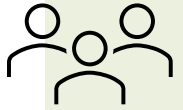


Title IX of the Education Amendments of 1972 (Title IX) **prohibits discrimination on the basis of sex** in any education or training program receiving federal financial assistance, with a limited number of defined exceptions

Promising Practices



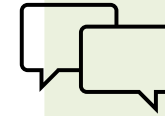
Title IX



Develop affinity groups



Integrate anti-discrimination and harassment training into student orientation



Simple complaints process



Bring in speakers of diverse backgrounds



Prominent display of anti-harassment materials



Family-friendly faculty recruitment and retention policies

Reach Out



hq-civilrightsinfo@mail.nasa.gov

Morgan Powell

Title IX Program Manager

ODEO, Equal Opportunity and Programs Division



Q&A

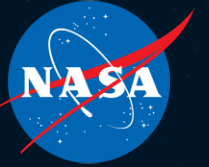
Please feel free to post your questions in the Chat box.



NASA Shared Services Center (NSSC)

- Latessa Nelson
- Morris Hicks

National Aeronautics and
Space Administration



EXPLORE PROCUREMENT

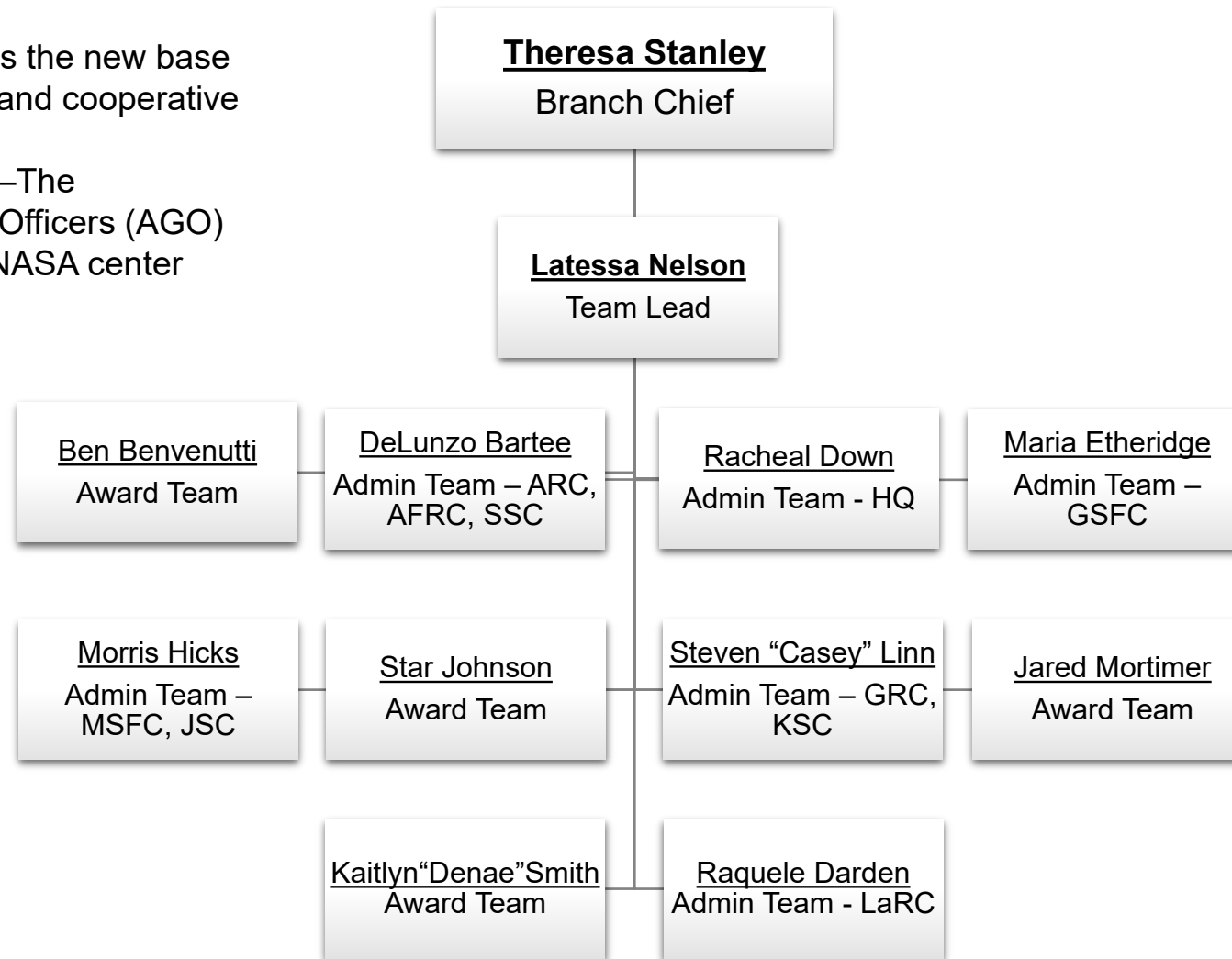
The cornerstone of NASA's current and future missions

NSSC Grants Activities Branch Overview

Grants Activities Branch Personnel



- Award Team – Awards the new base awards for all grants and cooperative agreements
- Administration Team –The Administrative Grant Officers (AGO) are assigned by the NASA center



NASA Shared Services Center (NSSC) Grants Team

- Awards and administers all grants and cooperative agreements for the agency
- Monitors grants and cooperative agreements for compliance with regulations and policies
- Amend awards
- Closes out awards
- Ensures resolution of single audit findings
- Maintains official award file
- Serves as liaison between NASA and recipient

Award Recipient Roles and Responsibilities



Award Recipient

- Complete the substantive work of the approved proposal
- Implement award in compliance with award's T&Cs, 2 CFR 200, 2 CFR 1800, and other applicable regulations
- Draw down funds for expenses as they are incurred – remember to drawdown as needed; don't wait until the end of the year or end of the period of performance.
- Submit the quarterly and final financial report (SF-425) to the [HHS Payment Management System \(PMS\)](#)
- Be prepared to obtain a single audit (if recipient has expended \$750,000 or more in Federal Funding in a year)
- Submit the following reports to the award's GO and TO:
 - Annual performance report 60 days before award anniversary
 - Final performance report within 120 days of the end of the award period of performance
 - Additional reports outlined in the award's T&Cs

Administrative Grant Officers (AGO)

- Issue supplements, such as:
 - Principal investigator (PI) changes/transfers
 - Augmentations/Funded Extensions
 - No-cost extensions
 - Scope of work changes
- Review financial and performance reports
- Approve recipient prior approval requests
- Monitor awards for compliance with regulations and terms and conditions
- Review and approve payment requests
- Terminate awards

Technical Officers (TO)

- Serve as subject matter experts and project points of contact
- Monitor awards to ensure recipients meet project objectives
- Review performance reports and provide feedback
- Address technical questions related to the Federally funded award
- Perform monitoring activities and conduct meetings with recipients
- Send concurrences to the NSSC on changes to awards

*Note: Technical Officers may not request or approve work outside of the general scope of the award, a change resulting in an increase in the award value or decrease in period of performance, or change to the terms and conditions

Notice of Award (NOA)



Notice of award package is submitted to the recipient via email and includes the following:

- Award Letter
- NF 1687
- Award Terms and Conditions
- Required Publications and Reports
- Points of Contact Sheet

NF 1687 Screenshot



NASA National Aeronautics and Space Administration		Notice of Award for Grant and Cooperative Agreement (NOA)		CHOOSE ONE: <input type="checkbox"/> COOPERATIVE AGREEMENT <input type="checkbox"/> GRANT	
CHOOSE ONE: <input type="checkbox"/> EDUCATION <input type="checkbox"/> RESEARCH					
NASA Grant and Cooperative Agreement Web Site: < https://www.nasa.gov/centers/nssc/grants >					
1. FEDERAL AWARD IDENTIFICATION NO.		2. SUPPLEMENT NUMBER		3. PERIOD OF PERFORMANCE	
4. RECIPIENT NAME/ADDRESS (No., Street, City/County, State, Zip)		5. AWARDING ORGANIZATION			
6. UNIQUE ENTITY IDENTIFIER					
7. PRINCIPAL INVESTIGATOR/STUDENT/ORGANIZATION'S PROJECT OR PROGRAM MGR. (Name, Email & Phone)					
8. PROPOSAL NO., TITLE, AND PROJECT DESCRIPTION					
9A. PREVIOUS		AMOUNT OF AWARD		9B. PREVIOUS	
THIS ACTION		\$0.00		\$0.00	
TOTAL				TOTAL	
10. NASA ACCOUNTING AND APPROPRIATION DATA				11. PR NUMBER	
12. NASA POINTS OF CONTACT					
SPONSORING CENTER:					
TECHNICAL OFFICER		NAME		TELEPHONE	
ADMINISTRATOR					
PAYMENTS					
13. THIS AWARD IS MADE UNDER THE AUTHORITY OF 51 U.S.C. 20113 (e) AND IS SUBJECT TO ALL APPLICABLE LAWS AND REGULATIONS OF THE UNITED STATES IN EFFECT ON THE DATE OF THIS AWARD, INCLUDING, BUT NOT LIMITED TO: <input type="checkbox"/> 2CFR200 <input type="checkbox"/> 2CFR1800 <input type="checkbox"/> FAR 48 CFR Part 30 <input type="checkbox"/> NASA and Grant Cooperative Agreement Manual					
14. APPLICABLE STATEMENT(S), IF CHECKED: <input type="checkbox"/> NO CHANGE IS MADE TO EXISTING TERMS AND CONDITIONS <input type="checkbox"/> R&D TERMS AND CONDITIONS AND NASA AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT			15. APPLICABLE ENCLOSURE(S), IF CHECKED: <input type="checkbox"/> TERMS AND CONDITIONS <input type="checkbox"/> SPECIAL CONDITIONS <input type="checkbox"/> REQUIRED PUBLICATIONS AND REPORTS		

NASA Form 1687 03/23 (3.4) PREVIOUS EDITIONS ARE OBSOLETE (REPLACES NF1687A WHICH IS OBSOLETE.) NRRS 5/37a Page 1 of 2

NASA National Aeronautics and Space Administration		Notice of Award for Grant and Cooperative Agreement (NOA)		CHOOSE ONE: <input type="checkbox"/> COOPERATIVE AGREEMENT <input type="checkbox"/> GRANT	
THE UNITED STATES OF AMERICA NATIONAL AERONAUTICS AND SPACE ADMINISTRATION		RECIPIENT			
NAME OF GRANT OFFICER		NAME AND TITLE OF AUTHORIZED REPRESENTATIVE (Type or print)			
SIGNATURE		DATE		SIGNATURE	
13. THIS AWARD IS MADE UNDER THE AUTHORITY OF 51 U.S.C. 20113 (e) AND IS SUBJECT TO ALL APPLICABLE LAWS AND REGULATIONS OF THE UNITED STATES IN EFFECT ON THE DATE OF THIS AWARD, INCLUDING, BUT NOT LIMITED TO: <input type="checkbox"/> 2CFR200 <input type="checkbox"/> 2CFR1800 <input type="checkbox"/> FAR 48 CFR Part 30 <input type="checkbox"/> NASA and Grant Cooperative Agreement Manual					
14. APPLICABLE STATEMENT(S), IF CHECKED: <input type="checkbox"/> NO CHANGE IS MADE TO EXISTING TERMS AND CONDITIONS <input type="checkbox"/> R&D TERMS AND CONDITIONS AND NASA AGENCY-SPECIFIC REQUIREMENTS APPLY TO THIS GRANT			15. APPLICABLE ENCLOSURE(S), IF CHECKED: <input type="checkbox"/> TERMS AND CONDITIONS <input type="checkbox"/> SPECIAL CONDITIONS <input type="checkbox"/> REQUIRED PUBLICATIONS AND REPORTS		

NASA Form 1687 03/23 (3.4) PREVIOUS EDITIONS ARE OBSOLETE (REPLACES NF1687A WHICH IS OBSOLETE.) NRRS 5/37a Page 2 of 2



NF 1687 Screenshot



There are two NSSC Grant Officers listed on the NF1687

- Administrative Grant Officer (Block 12. Administrator)
- Signing Grant Officer (Bottom of the NF1687)

12. NASA POINTS OF CONTACT			
SPONSORING CENTER:			
	NAME	TELEPHONE	E-MAIL ADDRESS
TECHNICAL OFFICER			
ADMINISTRATOR			
PAYMENTS			

THE UNITED STATES OF AMERICA NATIONAL AERONAUTICS AND SPACE ADMINISTRATION		RECIPIENT	
		<div><input type="checkbox"/> A recipient indicates acceptance of an award and its associated terms and conditions by drawing or requesting funds from the designated NASA payment system or office.</div> <div><input type="checkbox"/> Recipient is required to sign this document and return to the awarding organization.</div>	
NAME OF GRANT OFFICER		NAME AND TITLE OF AUTHORIZED REPRESENTATIVE (Type or print)	
SIGNATURE	DATE	SIGNATURE	DATE
			

Regulations and Policies



Once an entity receives a grant or cooperative agreement (CA), it will be required to comply with various regulations and policies per its award's terms and conditions (T&Cs). Those regulations and policies include:

Title 2 of the Code of Federal Regulations part 200 (2 CFR 200)

Provides regulations governing the entire grants lifecycle with which all Federal grant/CA recipients must comply.

2 CFR 1800

Provides NASA-specific regulations for grant/CA recipients.

Grant and Cooperative Agreement Manual (GCAM)

NASA's grants policy guide. Describes all post-award requirements and contains NASA's standard T&Cs.

Notice of Funding Opportunity (NOFO)

NOFOs may contain project-specific requirements with which recipients will have to comply.

Prior Approvals are required from the Grant Officer for:

- Changes to the award's scope, budget, or key personnel
- Changes to PI or other key personnel or disengagement of PI from the project for more than three months or a 25% reduction in time
- Procurement of equipment not listed in the award's budget
- Subawards not previously proposed and approved

A full list of prior approval requirements is available in [2 CFR 200.407](#) Prior Written Approval.

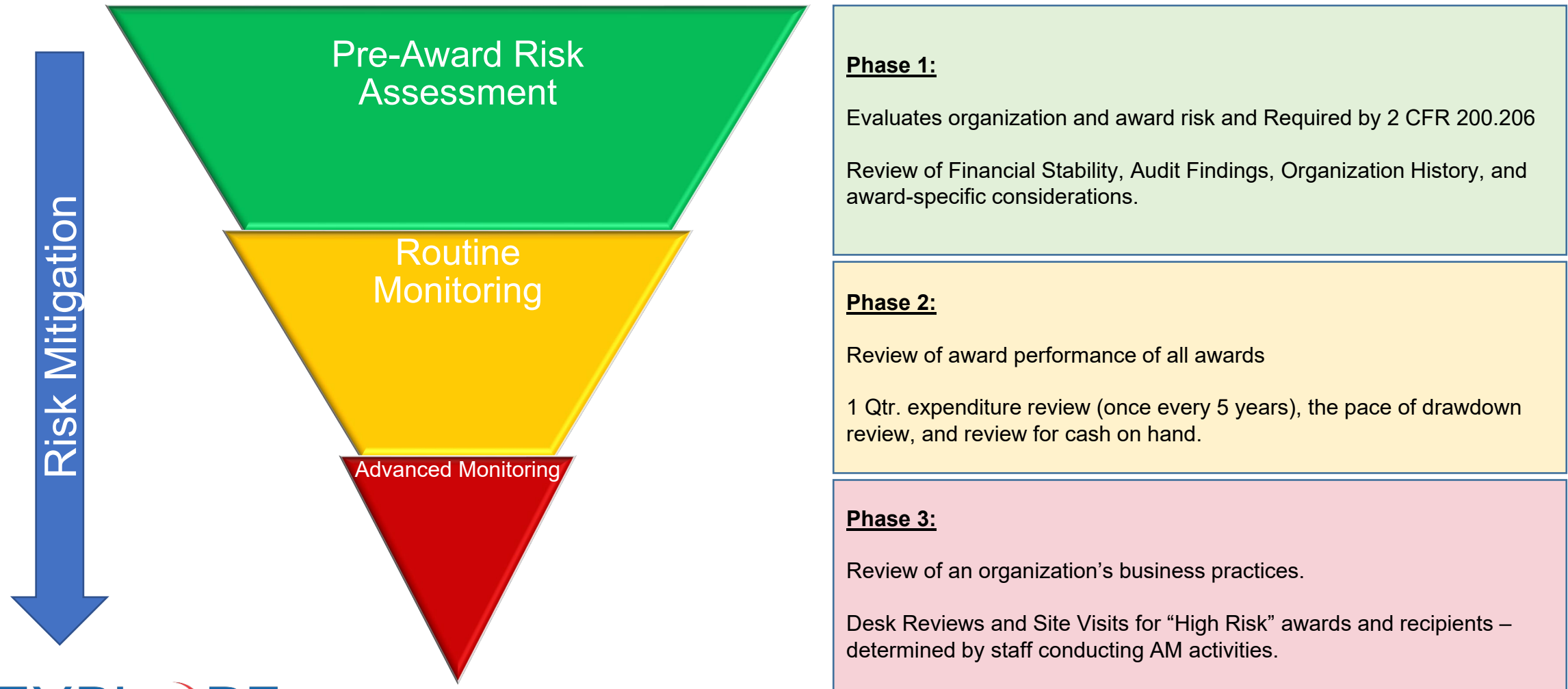
Some of these prior approval requirements may be waived for awards subject to the Research Terms and Conditions. [Research Terms and Conditions Appendix A Prior Approval Matrix](#)

Prior Approvals

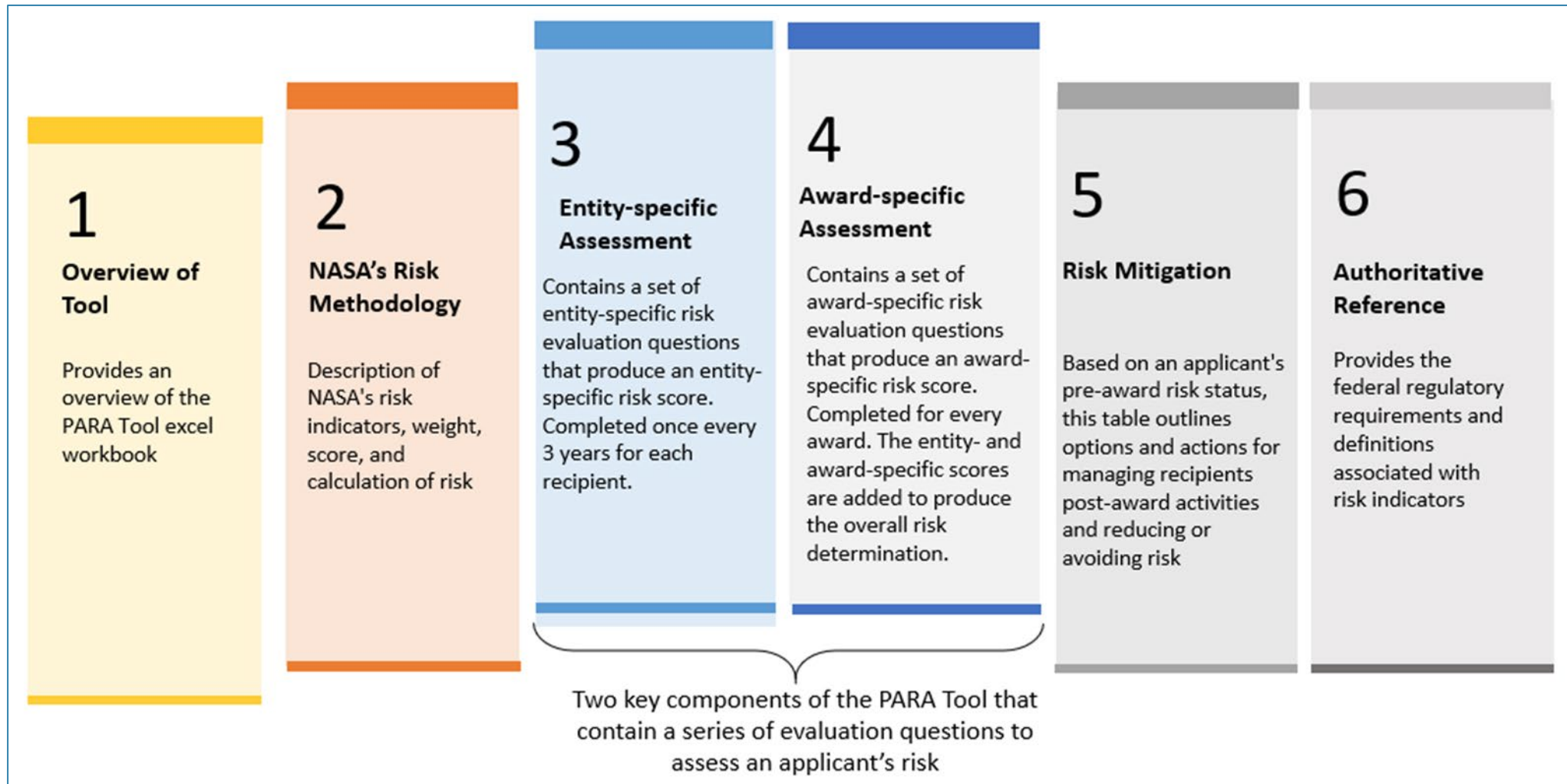


- Request for Prior Approvals are submitted to the AGO via email at [NSSC Contact Center](#)
- Technical Officers (TO) cannot approve any prior approval requests but must be copied on all prior approval requests for TO concurrence
- The AGO will review the request, provide the approval or disapproval response in an email response and determine if a supplement or memo to the file is needed.
- The Award Recipient must keep a copy of the email response for their records.

NASA's Three-Tiered Monitoring Approach



Overview of PARA Tool's Tabs



PARA Tool risk results



The pre-award risk assessment tiers

Tier 1 (Low) – Score of 0-50%

- Routine monitoring only.

Tier 2 (Medium) – Score of 51%-80%

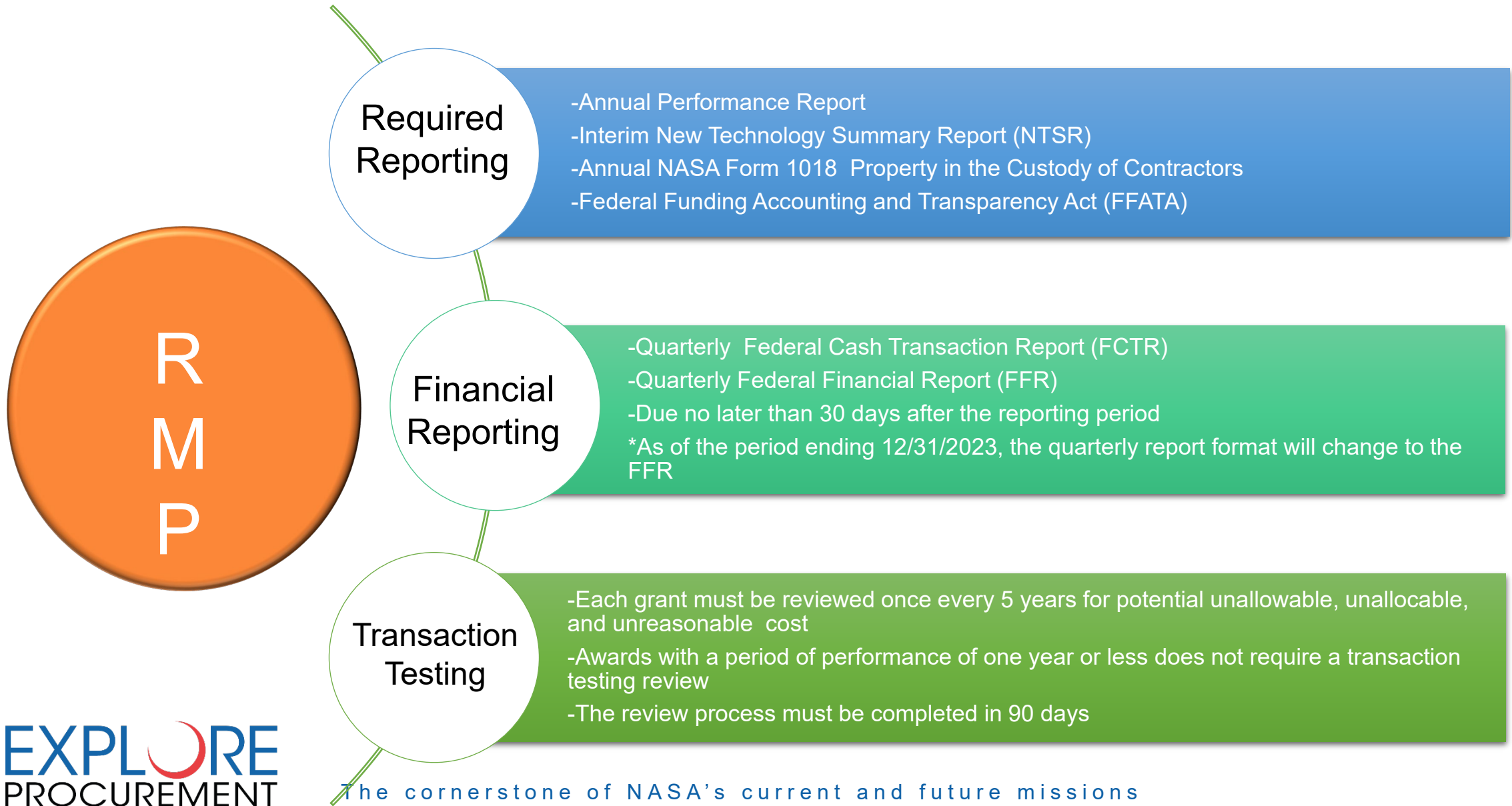
- Routine Monitoring, and
- Additional terms and conditions. (more frequent reporting, payment via reimbursement, etc.)

Tier 3 (High) – Score of 81%-100%

- Routine Monitoring,
- Additional terms and conditions, and
- Advanced Monitoring (desk review or site visit), determined by NASA staff conducting AM activities and consultation with TOs and GOs.*

*With the suspension of advanced monitoring, options end at additional terms and conditions.

Key Components of Routine Monitoring



Required Publications and Reports – Recurring



REPORTS	REPORT DUE/FREQUENCY	NASA REVIEWERS
Quarterly Federal Cash Transaction Report (FCTR) <i>(Required for all grants and cooperative agreements except awards where invoicing is required per the terms and conditions of award)</i>	Within 30 days following the end of each quarter of the Federal fiscal year. <i>(Ref. GCAM – Appendix D8)</i> Submit reports to: HHS PMS (https://pms.psc.gov/)	GO
Annual Inventory Report of Federally-owned Property in Custody of the Recipient <i>(Required for all grants and cooperative agreements issued to nonprofit recipients not subject to exemptions in 2 CFR § 1800.312)</i>	No later than October 15 of each year. NOTE: Negative reports are not required. <i>(Ref. GCAM – Appendix D9)</i> Submit reports to: GO, IPO, FMO	FMO, IPO, GO
Performance Reports <i>(Required for all grants and cooperative agreements, unless period of performance is less than one year.)</i>	Annually, 60 days prior to the anniversary date of the grant/cooperative agreement (except final year). <i>(Ref. GCAM – Appendix D3)</i> Submit reports to: GO, TO, and NTR	TO, GO, NTR
Disclosure of Subject Inventions/Reportable Items (New Technology Report (NTR)) <i>(Required for all grants and cooperative agreements, except for those issued solely to support education programs.)</i>	Within 2 months after inventor discloses it to recipient. <i>(Ref. GCAM - Appendix D10, Appendix D28 and Appendix D29)</i> See e-NTR (https://invention.nasa.gov/) and term and condition D29 for submission instructions.	PO, TO, GO, NTR

Required Publications and Reports - Final



FINAL REPORTS	REPORT DUE/FREQUENCY	NASA REVIEWERS
Final New Technology Summary Report (NTSR) <i>(Required for all grants and cooperative agreements, except for those issued solely to support education programs.)</i>	Within 120 days after the expiration date of the grant/cooperative agreement. (Note: Negative reports are required.) (Ref. GCAM Appendix D10, Appendix D28, and Appendix D29) See e-NTR (https://invention.nasa.gov/) and term and condition D29 for submission instructions.	PO, GO, NTR
Properly Certified Financial Status Report/Final Federal Financial Report (FSR/FFR) <i>(Required for all grants and cooperative agreements)</i>	Within 120 days after the expiration date of the grant/cooperative agreement. (Ref. GCAM – Appendix D8) Submit reports to: GO	FMO, GO
Final Performance Report (e.g., Summary of Research, Education Activity Report, etc.) <i>(Required for all grants and cooperative agreements)</i>	Within 120 days after the expiration date of the grant/cooperative agreement. (Ref. GCAM – Appendix D3) For research related training program grants, the summary of research report is completed by the student. Submit reports to: GO, TO, and NTR	TO, GO, NTR
Final Inventory Report of Federally-owned Property <i>(Required for all grants and cooperative agreements issued to nonprofit recipients not subject to exemptions in 2 CFR § 1800.312).</i>	Within 120 days after the expiration date of the grant/cooperative agreement. (Ref. GCAM – Appendix D9) Submit reports to: GO, FMO, IPO	FMO, IPO, GO
Final NASA Form 1018 NASA Property in the Custody of Contractors <i>(Required for grants and cooperative agreements with for-profit organizations)</i>	Within 120 days after the expiration of the grant or cooperative agreement. (Ref. GCAM – Appendix D30) Submit reports to: NF 1018 Electronic Submission System (NESS)	FMO, IPO, GO

Post- Award Report Requirements



Performance Reports

- As directed by Required Publications and Reports
- Final: Within 120 days of completion date

SF 425

- Quarterly: Online submission within 30 days after the end of each quarter
- Final: Hard copy submission within 120 days of completion date

- Special Reporting required by the program

Post- Award Report Reminders



- A reminder is generated 90 days prior to anniversary date
 - The reminder is sent to the Technical Officer, PI and the AOR
- If the report is not received:
 - A delinquent notice is sent a week after the report due date
 - A second delinquent notice is sent a week later
 - A third delinquent notice a week later
 - A week later, it is elevated to the Grant Officer to take corrective action per [2 CFR 200.339](#)

Reports should be sent to the Technical Officer and the NSSC at nssc-grant-report@mail.nasa.gov.

Final reports should also be sent to NSSC-Closeout@mail.nasa.gov.

Example:

- Anniversary date: 5/16/2023
- Report due date: 3/16/2023 (60 days prior to the anniversary date)
- Reminder is sent: 2/16/2023 (90 days prior to the anniversary date)
- Delinquent notice: 3/23/2023 (one week after report due date)

Post-Award Monitoring Corrective Actions



- If indicated during post-award monitoring that performance or financial management is unsatisfactory, noncompliant, or delinquent, the AGO, in consultation with the TO, will notify the recipient and seek to resolve the issue.
- If the recipient is unable to resolve the issue, NASA may impose additional terms and conditions on the award recipient per 2 CFR § 200.208, Specific conditions.
- If those additional conditions are not sufficient, then the GO may take one or more of the following corrective actions per 2 CFR § 200.339, Remedies for noncompliance:
 - Temporarily withhold cash payments pending correction of the deficiency
 - Disallow all or part of the cost of the activity or action not in compliance
 - Wholly or partly suspend or terminate the award
 - Refer recipients for consideration of suspension or debarment proceedings as authorized under 2 CFR part 200 and Agency regulations,
 - Withhold further Federal awards for the project or program,
 - Take other remedies that may be legally available

Financial Reports Review



§ 2 CFR 200.328 Financial reporting.

...Financial information must be collected with the frequency required by the terms and conditions of the Federal award, but no less frequently than annually nor more frequently than quarterly. (see requirements outlined in 2 CFR 200 captured in the GCAM outlined below)

GCAM Requirement

G3.1.3 Quarterly Federal Cash Transaction Report and Final Federal Financial Reports Review*

GOs must review the quarterly Federal Cash Transaction Report (FCTR) and final Financial Status Report/Federal Financial Report (FSR/FFR) in accordance with 2 CFR § 200.328, Financial Reporting.

The GO performing the review must ensure the following:

- That financial reports are submitted timely:
- All amounts in the financial report are cumulative; and
- All funding drawdowns are commensurate with award implementation. Recipients must not draw down more funding than they need for immediate expenditures in accordance with 2 CFR § 200.305, Federal payment, and, unless an adequate justification is provided, there should not be long periods of time in which the recipients do not draw down any funds at all.
 - Review for Excess Cash on Hand
 - Review the Pace of Drawdown
 - Cost Share Review
 - FCTR and FRS/FFR Approval and/or Follow-up

Transaction Testing Review



§ 200.329 Monitoring and reporting program performance.

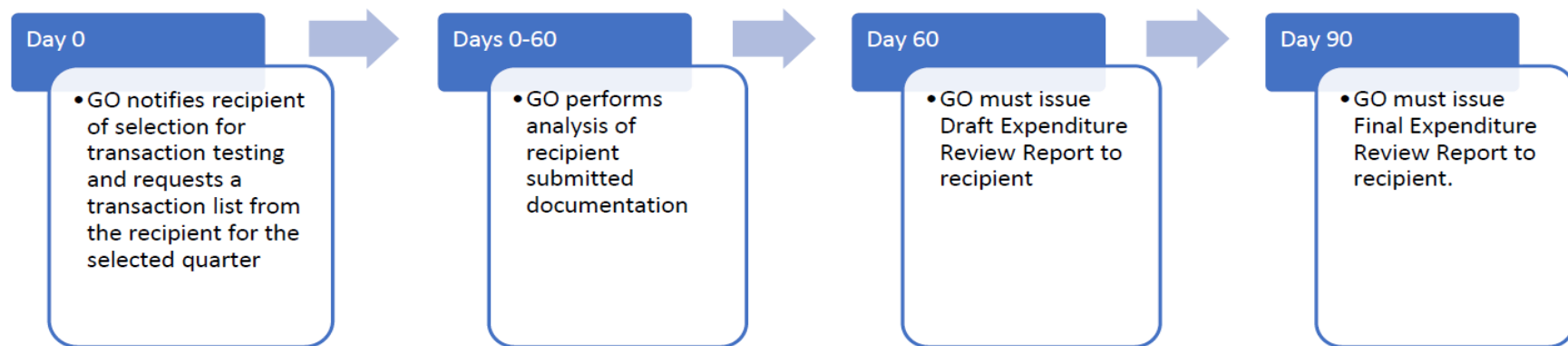
The Federal awarding agency must require the recipient to relate financial data and accomplishments to performance goals and objectives of the Federal award...and when required by the terms and conditions of the Federal award, recipients must provide cost information to demonstrate cost effective practices (e.g., through unit cost data).

GCAM Requirement:

G3.4.4 Transaction Testing Process

In general, the purpose of transaction testing is to systematically test all payment/expenditure transactions from a selected quarter (in a five-year period); identify potential unallowable, unallocable, or unreasonable costs; and assess the likelihood that recipient errors would result in a material effect on Federal awards.

The overall timeline and activities included in the Transaction Testing are as follows:





- All communications for the AGO should be sent to [NSSC Contact Center](#) and cc the AOR, TO, and PI
- The award number must be included in the subject line

- [Title 2 of the U.S. Code of Federal Regulations, Part 200 \(2 CFR 200\)](#)
- [Title 2 of the U.S. Code of Federal Regulations, Part 1800 \(2 CFR 1800\)](#)
- [Grant and Cooperative Agreement Manual \(GCAM\)](#)
- [2023 NASA Proposer's Guide](#)
- [Intro to Title 2 of the Code of Federal Regulations](#)
- [Grants and Cooperative Agreements 101: An Overview of Federal Financial Assistance](#)
- [No Cost Extensions](#)
- [PI transfer](#)
- [Grant Status Form](#)
- [HHS Payment Management System \(PMS\)](#)
 - [PMS account set up](#)
 - NSSC Finance provides a package to new grantees that includes instructions on how to set up an account in PMS

Acronyms and Abbreviations



AOR - Authorized Organization Representative

AGO - Administrative Grant Officer

CA – Cooperative Agreement

CFR - Code of Federal Regulations

GO - Grant Officer

NOFO – Notice of Funding Opportunity

NSPIRES - NASA Solicitation and Proposal Integrated Review and Evaluation System

NSSC - NASA Shared Services Center

PI - Principal Investigator

PR - Purchase Request

SAM - System for Award Management

TO – Technical Officer

TRP - Technical Requirements Package



Closeout

- **Mike Williams**

NASA AWASS
(Agency Wide
Acquisition Support
Services)

Grant and
Cooperative
Agreement Closeout

- Kevin M. Nash
 - Service Delivery Executive
 - kevin.m.nash@nasa.gov or
 - nashk@seventhsenseconsulting.com
 - (315) 664-0755
-
- Mike Williams
 - AWASS Deputy Program Manager
 - michael.c.williams-1@nasa.gov
 - (228) 216-7346

Grant and Cooperative Agreement Closeout

- The Grant & Cooperative Agreement Closeout Process Starts When the Period of Performance (PoP) Ends, and the File is Transferred to the Contractor Closeout Team (CCT)
- Recipients have 120 Days from the PoP End Date to Provide Final Deliverables to NSSC-CloseOut@mail.nasa.gov:
 - SF425 Financial Report
 - Summary of Research Report – ***copy your Technical Officer***
 - Property Report (if applicable)
 - New Technology Report (if applicable)
- The CCT Sends Automated Reminders to Recipients Monthly for any Deliverable(s) Pending During the 120-day Reporting Period.
- The CCT Sends Automated Delinquent Notices to Recipients Weekly for any Deliverable(s) Still Pending after the 120-day Reporting Period.

Grant and Cooperative Agreement Closeout Timeliness

- Any Payment Request Submitted After the 120 Day Reporting Period Will Automatically be Placed on Hold in the HHS Payment Management System (PMS) and Considered for Rejection.
- A Recipient is considered non-compliant with the Terms and Conditions of an Award when they do not provide acceptable final reports by the identified due date, or an extension granted. Under these conditions, the Grant Officer must initiate unilateral closeout (closeout without the cooperation of the recipient) of the award within 270 Days of the due date of the final report.
- If an award recipient does not submit all reports required for award closeout within one year of the period of performance end date, the award's cognizant Grant Officer must report in FAPIIS the recipient's material failure to comply with the award terms and conditions.

Financial Reconciliation

- Once Received the Final SF425 Financial Report is Sent to NASA's Finance Management Division (FMD) for Reconciliation
- FMD Reconciles Disbursements Reported Between
 - Final SF425 Report
 - NASA Financial System
 - Health and Human Services Payment Management System (HHS/PMS)
 - Disbursements Reported
 - Funds Drawn
- FMD Follows-up with CCT for Resolution of any Discrepancies
- FMD Provides Reconciliation Package to CCT
- CCT Uses the Reconciliation Package to Deobligate any Excess Funds Remaining

Closeout Package

- CCT Prepares a Closeout Package for Review and Signature by the NASA Closeout Contracting Officer Including:
 - NF 1611 (Contract Completion Statement)
 - NF 1612 (Contract Closeout Checklist)
 - FMD Reconciliation
 - Performance Validation Form
 - All Final Deliverables Received from the Recipient
 - All Correspondence Related to the Closeout
- CCT Closes the Instrument in NASA Systems
- CCT adds Signed Closeout Package to the Official File
- CCT Prepares the Official File for Records Retention

Best Practices

Communicate

Communicate Often With your Grants Officer – keep your contact information current

Coordinate

Coordinate PI Transfer activities as Early as Possible – lengthy process which often delays closeout of the award

Do

Do not unilaterally credit or debit your grants account post-reconciliation. Coordinate with your Grants Officer – uncoordinated activities create delays and paperwork

Complete

Proactively complete your deliverables – failure to complete timely can harm future Grants opportunities



Q&A

Please feel free to post your questions in the Chat box.

❖ Grant Regulations

- [2 CFR 200](#): Regulation that governs all Federal grants and CAs.
- [2 CFR 1800](#): NASA's adoption of the regulations in 2 CFR 200. Contains NASA-specific regulations.

❖ Grant Policies and Guidance

- [Grant and Cooperative Agreement Manual \(GCAM\)](#): NASA's Agency-wide grants policy document.
- [Proposer's Guide](#): Provides guidance to entities applying for competed grant and CA opportunities.
- [Grant Information Circulars \(GICs\)](#): Communicates new or updated policy outside of the GCAM and Proposer's Guide.

❖ Relevant Websites

- [GPC Website](#): Provides an overview of GPC, houses current and past grant policy documents, and contains useful resources for the public.
- [NSSC Grants Website](#): Contains NASA's Grant Status Search tool for awards that are in progress. Also contains links to various regulations, policies, and guidance.
- [NSPIRES](#): This website is used to advertise NASA's grant and CA funding opportunities, and interested entities may submit their proposals to NASA via NSPIRES.
- [Grants.gov](#): This website advertises all of the Federal government's grant and CA opportunities, including NASA's, and entities may choose to submit applications to NASA via Grants.gov.

EXPLORE PROCUREMENT

The cornerstone of NASA's current and future missions

THANK YOU

WEBSITE

<https://www.nasa.gov/offices/procurement/gpc>

EMAIL

Grants Policy and Compliance

HQ-DL-Grants-Policy-Compliance@mail.nasa.gov



