



National Aeronautics and  
Space Administration  
Washington, DC 20546

# Grant Notice

GN 16-02

August 16, 2016

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## **Revision of Grant and Cooperative Agreement Manual regarding the section on Announcements, the template for Funding Opportunities Exhibit A, and updating the issuance date of the Terms and Conditions Exhibit D.**

**PURPOSE:** To revise the Grant and Cooperative Agreement Manual section 5.5.2 – Announcements, Exhibit A - Standard Announcement Format for NASA Announcements of Grants and Cooperative Agreements to provide suggested language for–

- Collection of new information regarding STEM researchers and data management plans;
- Restrictions on allowed costs such as limitation on funds to China and use of indirect costs agreements;
- New risk reviews that must be conducted;
- Access to NASA facilities; and
- Cross-waiver liability and access to information by non-NASA staff.

Also, included in the Grant Notice are changes to the issue dates for Exhibit D – Award Terms and Conditions to reflect implementation of the final rule for 2 CFR 1800.

**BACKGROUND:** Over the past year, a number of changes to regulations, responses to OIG and GAO audit findings, and various NASA plans have been implemented and enacted. These changes have resulted in requiring more—

- Information from proposers responding to NASA funding opportunities;
- Restrictions in the use of the grant funds;
- Requirements that may affect the proposed work plan and personnel; and
- Accurate information to the grantees.

These changes are being incorporated due to implementation and revisions to—

- NASA Plan for Increasing Access to the Results of Scientific Research (Jan. 2015) – data management and access to research results;
- 80 FR 52341 (Aug. 28, 2015) – collection of STEM data at time of application;
- Various GAO and IG audits – for additional funding restrictions;
- 2 CFR 200 (July 22, 2015) - Integrity and Performance Matters (FAPIS);
- NPR 1600.4 (July 25, 2011) - Access to NASA facilities/systems;
- 2 CFR 200.205 (Dec. 26, 2014) – risk reviews;

- Omnibus Appropriation (numerous years) - Restrictions on doing business with the governments China and Chinese companies;
- Award terms and Conditions - Cross waiver liability for ISS activities and Limited Release of Confidential Business Information; and
- 2 CFR 1800.

**DOCUMENTS AFFECTED BY CHANGES:** Grants and Cooperative Agreement Manual.

**ACTION REQUIRED BY GRANT OFFICERS:** Grant Officers shall—

- Notify all personnel preparing and reviewing Funding Opportunities of these new requirements; and
- Ensure that all funding opportunities after the date of this GN contain the required elements.

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**Enclosure**



# NASA Grant and Cooperative Agreement Manual

In Accordance with 2 CFR Part 200

Implementation Date:  
December 26, 2014  
Revised: Aug. 12, 2016

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## 5.0 Preamble

### 5.1 Competition

Consistent with the FGCAA, competition is encouraged in the award process for making grants and cooperative agreements. Grants and cooperative agreements are classified in two major categories: discretionary and non-discretionary. Discretionary awards are those for which the Agency may issue a competitive solicitation to determine the recipient and the amount of the award. Generally, such awards are made using merit-based peer or scientific reviews following the procedures in 2 CFR 200 as supplemented by the NASA at 2 CFR, subtitle B, Chapter XVIII. Non-discretionary awards typically are those actions that NASA is required to award to a specific recipient in accordance with Congressional direction, either through earmarked funds or appropriations acts.

NASA may award grants or cooperative agreements using three different methods: awarded on a competitive basis; awarded on a single-source basis; or awarded on the basis of an unsolicited proposal. Although competitive awards are encouraged when practicable, NASA has the authority to make awards on a non-competitive basis from single-source proposals and unsolicited proposals. The difference between single-source proposals and unsolicited proposals is that the Agency solicits proposals in single-source awards from only one recipient but does not solicit proposals when an award is based on an unsolicited proposal.

### 5.2 Competitive Awards

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#### 5.2.2 Announcements

**[All funding opportunities are prepared by the cognizant technical/program office in accordance with NPR 5810 as amended, for all competitive grants. Grant Officers must announce specific funding opportunities. The announcement shall include the information specified under 2 CFR 200.203 and follow the formatting and include the standard and agency specific language, found in the template located in Appendix A of this document.]** Grant Officers shall use the solicitation numbering scheme stated in NFS 1804.7102 for grant and cooperative agreement announcements. ~~For competitive grants, Grant Officers must announce specific funding opportunities. The announcement shall include the information specified under 2 CFR 200.203.~~

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**Grant and Cooperative Agreement Manual**

**Exhibit A -- Standard Announcement Format for NASA Announcements of Grants and Cooperative Agreements**

**NATIONAL AERONAUTICS AND SPACE ADMINISTRATION (NASA)**  
Center issuing announcement  
Mission Directorate

Program Title and Fiscal Year

**NASA RESEARCH ANNOUNCEMENT (NRA)**

Type of Project (science research, etc.)

**ANNOUNCEMENT NUMBER:**

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:**

**ANNOUNCEMENT TYPE:**

Either initial announcement of this funding opportunity or a modification of a previously announced opportunity

**ISSUED: Date** Funding Opportunity Announcement issued

**KEY DATES**

Key dates include due dates and time for applications or Executive Order 12372 submissions, as well as for any letters of intent or pre-applications. For any announcement issued before a program's application materials are available, key dates also include the date on which those materials will be released; and any other additional information, as deemed applicable by the relevant Federal awarding agency.

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### **C. Eligibility Information - Required**

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#### **3. Other—Required, if applicable.**

\* \* \* \* \*

### **[Possible Ineligibility of Proposals that Include Participation of China or Chinese-owned Companies (required all)]**

#### **Sample Language**

**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 arrangement, may be ineligible for award.]**

### **D. Application and Submission Information - Required**

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#### **2. Content and Form of Application Submission—Required.**

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#### **[DATA Management Plan (required for all Research FAs)]**

**Note: NSPIRES now 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 FA or why the data management plan does not apply to that proposal.**

#### **Sample language for FA requiring a data management plan.**

**All proposals submitted under this Funding Announcement are required to submit a Data Management Plan (DMP), in accordance with the NASA Plan for Increasing Access to the Results of Scientific Research**

**([http://www.nasa.gov/sites/default/files/files/NASA\\_Data\\_Plan.pdf](http://www.nasa.gov/sites/default/files/files/NASA_Data_Plan.pdf)). That plan must include —**

- Specific data requirements and expectations;**
- An example DMP or outline for the specific type of data likely to result from the funded projects; or**
- A statement that a DMP is not required because of the nature of the activity (e.g., no data or proprietary or personally identifiable data are expected).**

**See [SARA Q&A](http://science.nasa.gov/researchers/sara/faqs/dmp-faq-roses/) at <http://science.nasa.gov/researchers/sara/faqs/dmp-faq-roses/> for more information on this plan.]**

3. Dun and Bradstreet Universal Numbering System (DUNS) Number (<https://iupdate.dnb.com/iUpdate/viewiUpdateHome.htm>) and System for Award Management (SAM)—Required. (<https://www.sam.gov>)

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**6. Funding Restrictions—Required.**

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**[Funding Restrictions (required all)]**

**Sample language**

- All proposed funds must be allowable, allocable and reasonable. Funds may only be used for the project. All activities charged under indirect cost must be allowed under 2 CFR 200 cost principles.
- Grants and Cooperative Agreements shall not provide for the payment of fee or profit to the recipient.
- Unless otherwise directed in 2 CFR 200, for changes to the negotiated indirect cost rate that occur throughout the project period, you must apply the rate negotiated for that year, whether higher or lower than at the time the budget and application was awarded.
- Proposals must 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 arrangement.
- Any funds used for match or cost sharing must be allowable under 2 CFR 200]

**7. Other Submission Requirements— Required.**

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**[Collection of STEM information (required all)]**

**Sample Language**

**NASA is implementing a process to collect demographic data from grant applicants for the purpose of analyzing demographic differences associated with its award processes. Information collected will include name, gender, race, ethnicity, disability status, and citizenship status. Submission of the information is voluntary and is not a precondition of award.]**

**E. Application Review Information**

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**2. Review and Selection Process—Required.**

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**[Risk Analysis (required all)]**

**Sample Language**

NASA Grant Officer will conduct a pre-award review of risk associated with the proposer as required by 2 CFR 200.205. For all proposals selected for award, the Grant Officer will review the submitting organization’s information available through the Federal Awardee Performance and Integrity Information System (FAPIIS) and the System for Award Management (SAM) to include checks on entity core data, registration expiration date, active exclusions, and delinquent federal debt.]

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**3. Risk Review (required all)**

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**3. Anticipated Announcement and Federal Award Dates—Optional.**

~~This section is intended to provide applicants with information they can use for planning purposes. If there is a single application deadline followed by the simultaneous review of all applications, the Federal awarding agency can include in this section information about the anticipated dates for announcing or notifying successful and unsuccessful applicants and for having Federal awards in place.~~

~~If applications are received and evaluated on a “rolling” basis at different times during an extended period, it may be appropriate to give applicants an estimate of the time needed to process an application and notify the applicant of the Federal awarding agency's decision.~~

**F. Federal Award Administration Information**

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**3. Reporting—Required.**

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**[Access to research (required for all FAs that are for research)]**

**Sample language**

Awards issued under the Funding Announcement must comply with the provision set forth in the NASA Plan for Increasing Access to the Results of Scientific Research ([http://www.nasa.gov/sites/default/files/files/NASA\\_Data\\_Plan.pdf](http://www.nasa.gov/sites/default/files/files/NASA_Data_Plan.pdf)) including the responsibility for—

- Submitting as approved peer-reviewed manuscripts and metadata to a designated repository; and
- Reporting publications with the annual and final progress reports.]

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**H. Other Information—Optional**



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**[Access to NASA facilities/systems (required all)]**

**Sample Language**

All recipients must work with NASA project/program staff to ensure proper credentialing for any individuals who need access to NASA facilities and/or systems. Such individuals include U.S. citizens, lawful permanent residents (“green card” holders), and foreign nationals (those who are neither U.S. citizens nor permanent residents).

**Limited Release of Proposers Confidential Business Information (required all)**

**Sample Language**

(a) 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 would ordinarily be entitled to confidential treatment may be included in the information released to these individuals. Accordingly, by submission of this proposal the proposer hereby consents to a limited release of its confidential business information (CBI).

(b) Except where otherwise provided by law, NASA will permit the limited release of CBI only pursuant to non-disclosure agreements signed by the assisting contractor or subcontractor, and their individual employees who may require access to the CBI to perform the assisting contract.

**Cross-Waiver of Liability for International Space Station, Science or Space Exploration Activities (required as appropriate) -** The language in the cross waiver is required by the international agreements NASA has with its international partners for the use of the Space Station and/or for exploration of space.

**Sample Language**

The cross-waivers will require the recipient to extend the cross-waiver terms and conditions to their subcontractors at any tier and related entities, ensuring those subcontractors and related entities also waive all claims against any entity or person defined in the provision for damages arising out of Protected Space Operations. This cross-waiver is intended to be broadly construed, and NASA extends it to its related entities as set forth in the provision. See GCAM Exhibit C for specific conditions that will apply to an approved award.]

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### Exhibit D – Award Terms and Conditions

<u>Location</u>	<u>Title</u>	<u>Date</u>
Appendix A to 2 CFR Part 25	Central Contractor Registration and Universal Identifier Requirements	Dec. 26, 2014
Appendix A to 2 CFR Part 170	Reporting Subawards and Executive Compensation	Dec. 26, 2014
175.15	Trafficking in persons.	Dec. 26, 2014
<del>1800.900</del>	<del>Terms and Conditions</del>	<del>Dec. 26, 2014</del>
1800.901	Compliance with OMB Guidance on Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal awards.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.902	Technical publications and reports.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.903	Extensions.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.904	Termination and enforcement.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.905	Change in principal investigator or scope.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.906	Financial management.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.907	Equipment and other property.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.908	Patent rights.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.909	Rights in data.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.910	National security.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.911	Nondiscrimination.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.912	Clean air and water.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.913	Investigative requirements.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.914	Travel and transportation.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.915	Safety.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.916	Buy American encouragement.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.917	Investigation of research misconduct.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.918	Allocation of risk/liability.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.919	Cooperative agreement special condition.	<del>Dec. 26, 2014</del> <b>[Oct. 13, 2015]</b>
1800.920	Multiple year grant or cooperative agreement.	<del>Dec. 26, 2014</del>

**Grant and Cooperative Agreement Manual**

		<b>[Oct. 13, 2015]</b>
1800.921	Incremental funding.	Dec. 26, 2014 <b>[Oct. 13, 2015]</b>
1800.922	Cost sharing.	Dec. 26, 2014 <b>[Oct. 13, 2015]</b>
1800.923	New technology.	Dec. 26, 2014 <b>[Oct. 13, 2015]</b>
1800.924	Designation of new technology representative and patent representative.	Dec. 26, 2014 <b>[Oct. 13, 2015]</b>
1800.925	Invention reporting and rights.	Dec. 26, 2014 <b>[Oct. 13, 2015]</b>
1800.926	Equipment and other property under grants with commercial firms.	Dec. 26, 2014 <b>[Oct. 13, 2015]</b>
1800.927	Listing of reportable equipment and other property.	Dec. 26, 2014 <b>[Oct. 13, 2015]</b>
1800.928	Invoices and payments under grants with commercial firms.	Dec. 26, 2014 <b>[Oct. 13, 2015]</b>
1800.929	Electronic funds transfer payment methods.	Dec. 26, 2014 <b>[Oct. 13, 2015]</b>

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