

MWI 5000.1
REVISION E

EFFECTIVE DATE: September 26, 2004
EXPIRATION DATE: September 26, 2009

MARSHALL WORK INSTRUCTION

PS01

PROCESSING NASA RESEARCH ANNOUNCEMENTS (NRAs) AND COOPERATIVE AGREEMENT NOTICES (CANs)

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DOCUMENT HISTORY LOG

| Status (Baseline/ Revision/ Canceled) | Document Revision | Effective Date | Description |
|--|----------------------|-------------------|---|
| Baseline | | 5/14/99 | Document converted from MSFC-P06.1-C02 to a Directive. Previous history retained in system as part of canceled or superseded ISO Document files. |
| Revision | A | 8/16/99 | Changes made to reflect new organizational codes. |
| Revision | B | 6/25/01 | Updated paragraph 3, Applicable Documents, to reflect revised NASA FAR Supplement Reference. Revised 6.2 Responsibilities, Subparagraph 6.2.3, to delete the requirement for providing copies of NRAs and CANs to PS10. |
| Revision | C | 4/21/03 | Throughout the document, changed Selecting to Selection Official, and changed procurement to purchase request; Changed 5.5, to allow additional appointments for individual solicitations; revised 6.1.2 to address that certain requirements may be waived at the discretion of grant officers on grant/cooperative agreement awards; Added 6.3: Congressional Notification for NASA Sponsored Research Resulting from Competitive Solicitations Issued by the MSFC; Added 6.3 to Flowchart; Added MSFC Form 4440 to 9.2. |
| Revision | D | 6/28/2004 | Throughout the document, revised MPR to reflect NPR. Throughout the document, made grammatical and formatting revisions as needed. Throughout the document, revised name of MSFC Form 4440 from MSFC Grant/Cooperative Agreement Congressional Notification to Congressional Notification of Research Selection. Throughout the document, revised to spell out acronyms Paragraph 5.2, added CANs to BAA and changed from two to three. Paragraph 6.3.1 Revised to include Research Selection. Paragraph 9.2 added a title for the MSFC Form 4440 Congressional Notification of Research Selection. Paragraph 12 Cancellation revised from MWI 5000.1C dated April 21, 2003 to MWI 5000.1b dated June 25, 2001 and revised Directors name from A.G. Stephenson to David King. |
| Revision | E | 9/26/2004 | Throughout the document, denoted requirements with the verb "shall". Throughout the document, revised references from PRG to IPR, MPG to MPR and NPG to NPR. |

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1. PURPOSE

This Instruction establishes responsibilities and procedures, for the decision and implementing process to use NRAs and CANs. This instruction does not address the processing of Announcement of Opportunities (AOs).

2. APPLICABILITY

This instruction applies to all MSFC organizations.

3. APPLICABLE DOCUMENTS

- 3.1 Federal Acquisition Regulations (FAR) 35.016
- 3.2 NASA FAR Supplement (NFS) 1835.016-71
- 3.3 NPR 5800.1, "Grant and Cooperative Agreement Handbook"
- 3.4 MPR 5000.1, "Purchasing"
- 3.5 PS-OWI-05, "Review and Execution of Procurement Documents"

4. REFERENCES

None

5. DEFINITIONS

5.1 Announcement of Opportunity (AO). A form of Broad Agency Announcement (BAA) primarily used to competitively announce flight opportunities for space flight experiments (acquisition of investigations). Announcement of Opportunities are usually issued at NASA Headquarters- level by Program Associate Administrators with input and support from the Centers.

5.2 Broad Agency Announcement (BAA). A general announcement of an agency's research interest (e.g., basic and applied research and that part of development not related to development of a specific system or hardware procurement), including criteria for selecting proposals and soliciting the participation of all offerors capable of satisfying the Government's needs. An NRA, AO and a CAN are the three forms of a BAA.

5.3 Cooperative Agreement Notice (CAN). A competitive solicitation where NASA envisions a cooperative agreement as the award instrument.

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5.4 NASA Research Announcement (NRA). A form of BAA used to competitively announce research interests in support of NASA’s programs which provides for submission of competitive project ideas, conceived by the offerors, in one or more program areas of interest.

5.5 NRA/CAN Steering Committee. A standing committee, established by this Marshall Work Instruction (MWI), composed of the Director or Deputy Director of the Engineering Directorate, the Procurement Officer (Chairperson), and the Chief Counsel.

5.6 Procurement Officer. The Procurement Officer is the Director of the Procurement Office, and has overall responsibility for managing the procurement activity.

6. INSTRUCTIONS

6.1 General

6.1.1 All Center organizations shall consider the use of NRAs and CANs when doing acquisition planning and implementation. They shall also consult with their supporting procurement personnel in deciding if an NRA or CAN is appropriate and in preparing the various documentation required in the CAN or NRA process.

6.1.2 Actions being awarded in response to NRAs, CANs, or AOs issued by NASA Headquarters or other installations shall require the issuing organization to submit copies of the solicitation document, successful proposals, technical evaluations, and source selection statement to the Procurement Office. The grant officer shall have the discretion to waive the requirements for providing a copy of the solicitation statement in the case of grant awards. The responsible Center requiring organization shall provide the required funding through a certified procurement requisition and any updated or revised technical evaluation documentation. The requiring organization shall also support negotiations leading to award (including preparation of statement of work and identifying any reporting requirements, if applicable).

6.1.3 All NRA actions shall be conducted in accordance with FAR 35.016 and NFS 1835.016-71. All CAN actions shall be conducted in accordance with the “Grant and Cooperative Agreement Handbook” (NPR 5800.1), Section 1274.2.

6.1.4 In contrast to traditional solicitations, communication with offerors prior to receipt of proposals is permitted to ensure that the technical areas of research and objectives identified in the NRA or CAN are clearly understood. However, this communication shall not extend to providing comments or suggestions on draft proposals/strategic approaches.

6.2 Responsibilities

6.2.1 Directors or Managers of Center organizations, or their delegated representatives, shall schedule a presentation to the Steering Committee for candidate NRA actions or CAN actions

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(below \$10 million), which have been coordinated with the Procurement Office, for further consideration and approval by the Steering Committee. Actions above \$10 million shall be processed pursuant to NPR 5800.1 and shall be processed outside the steering committee. Reasonably in advance of the scheduled meeting, a proposed copy of the NRA or CAN shall be distributed to each Steering Committee member for review. The presentation to the Steering Committee shall include the following documentation: (1) Proposed NRA prepared in accordance with NFS 1835.016-71(c), or CAN prepared in accordance with NPR 5800.1; (2) Draft synopsis; and (3) Proposed Evaluation Plan including Proposal Evaluation Chairperson.

6.2.2 Pursuant to NFS 1835.016-71 (b) (1), the Steering Committee shall make the final decision on whether a CAN or NRA is the appropriate solicitation; identify any required changes to the NRA, CAN, synopsis, or evaluation plan; and appoint the Selection Official (SO) via designation in the NRA or CAN. The Steering Committee shall review and comment on the evaluation findings presentation package before the meeting with the SO is scheduled. The Steering Committee shall also participate as advisors in the meeting where evaluation findings are presented to the SO.

6.2.3 Procurement Office personnel shall cooperate with requirements initiating personnel to review and assist with NRA or CAN preparation; advise and assist technical personnel in preparing the presentation material for the Steering Committee; assign a unique NRA or CAN number and publish the synopsis in the NASA Acquisition Internet Service (NAIS) and Federal Business Opportunities (FedBizOpps); issue the NRA or CAN after the applicable synopsis period expires; advise and/or participate in the evaluation of proposals; lead the preparation of the source selection statement and in the debriefing of unsuccessful offerors; and lead the negotiation, award, and administration of the grants, cooperative agreements, or contracts with the selected offerors.

6.2.4 The NRA/CAN Proposal Evaluation Chairperson shall appoint the evaluation committee; coordinate and lead the overall activities of the evaluation committee; prior to receipt and evaluation of proposals, schedule a meeting with the Procurement Officer to ensure all aspects of the evaluation process are clearly understood; after the evaluation process is complete, schedule a meeting with the Steering Committee to obtain review comments; present the findings of the evaluation committee to the SO together with the Steering Committee; and participate in any debriefings.

6.2.5 Proposal Evaluation Committee shall evaluate proposals received in response to CANs or NRAs in strict accordance with the evaluation plan, the evaluation criteria in the NRA or CAN, and the applicable regulations (FAR 35.016 and NFS 1835.016-71 for NRAs and NPR 5800.1, 1274.204 for CANs). Evaluation findings shall be documented in a presentation to the SO. In addition, representatives from the Evaluation Committee shall support any requested debriefings and negotiations leading to award on the selected proposals. Review and approval of grants, cooperative agreements, and contracts shall be in accordance with PS-OWI-05.

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6.2.6 The SO shall select some, all, or none of the proposals submitted under the CAN or NRA for negotiations leading to awards; execute the source selection statement documenting the basis for selection; and ensure that proposal evaluations were conducted in accordance with the evaluation plan, NRA or CAN requirements, and FAR 35.016 and NFS 1835.016-71 for NRAs or NPR 5800.1, 1274.204 for CANs.

6.3 Congressional Notification for NASA Sponsored Research Resulting from Competitive Solicitations Issued by the MSFC. This process shall only apply to the MSFC; NASA HQ shall follow its established process for HQ solicitations.

6.3.1 Selection Official Responsibilities

In addition to the responsibilities in 6.2.6, the MSFC Selection Official shall document any grants or cooperative agreements selections on MSFC Form 4440, Congressional Notification of Research Selection, and provide the information to the cognizant Procurement Office Department Manager no later than 12 hours after final selections have been made. The Selection Official shall withhold all other releases of information regarding the selection of grants/cooperative agreements for a minimum of 36 hours after notifying the cognizant Procurement Office Department Manager.

6.3.2 Procurement Office Department Manager Responsibilities

The cognizant Procurement Office Department Manager shall review MSFC Form 4440 and ensure that all pertinent data have been entered for each of the applicable selections for grant/cooperative agreements. The cognizant Procurement Office Department Manager shall forward the completed form(s) MSFC CD50/Government and Community Relations point of contact for Legislative Affairs no later than 12 hours after receipt from the SO.

6.3.3 Notification to NASA Headquarters

CD50 shall provide the selection list information provided on the MSFC Form 4440 to NASA Headquarters' Congressional Inquiries Division, Office of Legislative Affairs via electronic mail no later than 24 hours after receipt of the selection list information and at least 48 hours prior to the scheduled notification to the selectees by the SO.

7. NOTES

None

8. SAFETY PRECAUTIONS AND WARNING NOTES

None

9. RECORDS

9.1 Records. Any documentation prepared in support of an NRA or CAN acquisition that shall

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be incorporated as part of the contract file is a record. Examples include:

(1) Memo appointing the NRA/CAN evaluation team, (2) The NRA or CAN document, (3) Proposals submitted in response to an NRA or CAN, (4) Charts forming the evaluation findings briefing to the Selection Official, (5) NRA or CAN Selection Statement, (6) Debriefing Minutes, and (7) Record of Negotiation with Successful Offeror(s). See MPR 5000.1, "Purchasing," for record instructions for contract/procurement file documentation.

9.2 Forms and Formats.

9.2.1 Form: The blank form listed below is not a record.

MSFC Form 4440 Congressional Notification of Research Selection

9.2.2 Formats: The blank formats listed below are not records.

NRA/CAN Evaluation Team Appointment Memo
 NRA/CAN Document
 Evaluation Charts
 NRA/CAN Selection Statement

10. PERSONNEL TRAINING AND CERTIFICATION

None

11. FLOW DIAGRAM

See Appendix.

12. CANCELLATION

MWI 5000.1D dated June 28, 2004

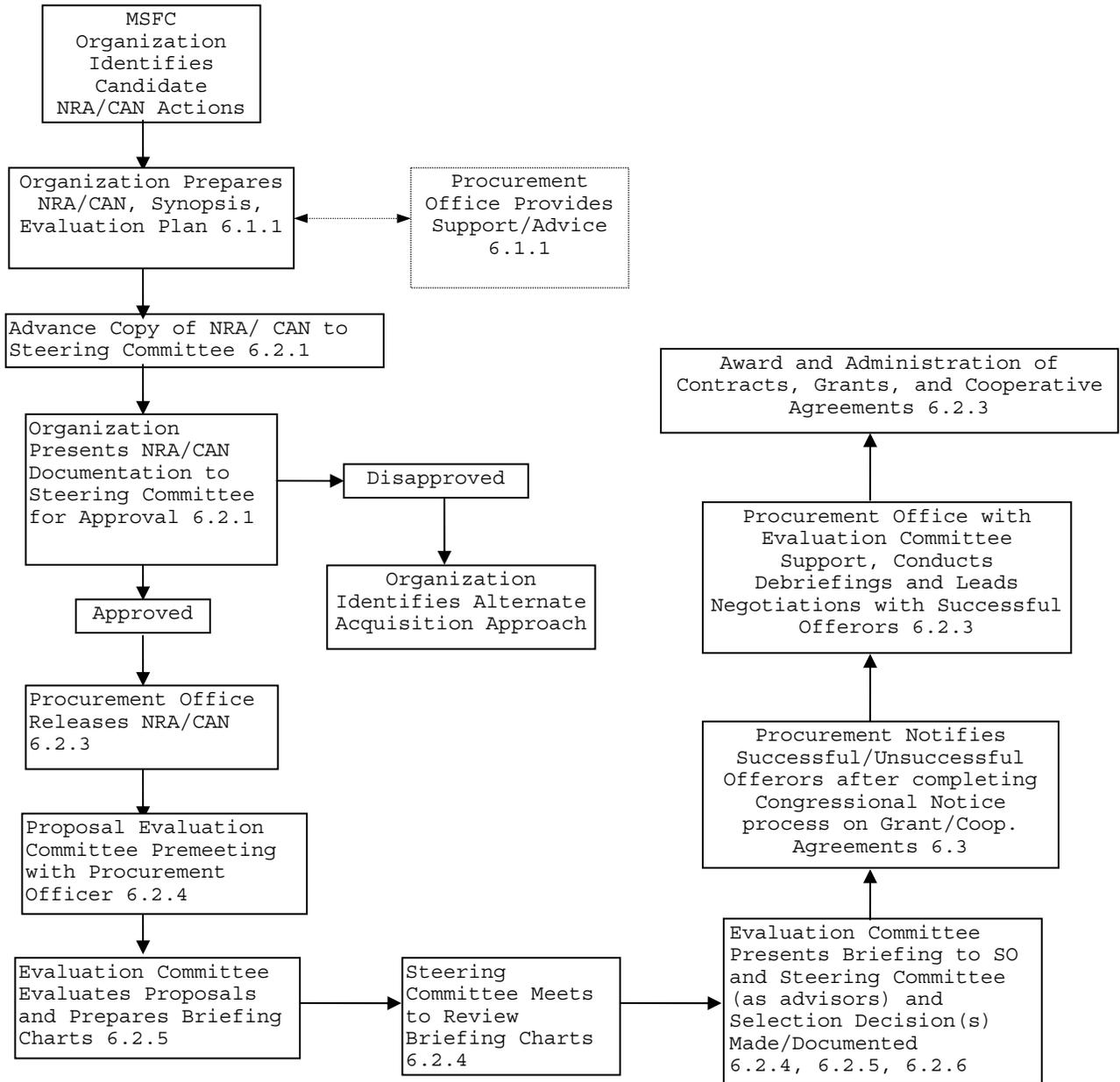
Original signed by
 Robin N. Henderson for

David A. King
 Director

Appendix Flow Diagram of MSFC NRA/CAN Process

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Appendix - Flow Diagram of MSFC NRA/CAN Process



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