

National Aeronautics and Space Administration

OFFICE OF EQUAL OPPORTUNITY PROGRAMS  
MINORITY UNIVERSITY RESEARCH AND EDUCATION DIVISION  
WASHINGTON, DC 20546

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# **MANAGEMENT AND REPORTING GUIDELINES**

**FOR  
NASA UNIVERSITY RESEARCH CENTERS  
at Minority Institutions**

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**National Aeronautics and Space Administration  
Management and Reporting Guidelines  
for  
University Research Centers (URC) at Minority Institutions**

**Table of Contents**

<b>1. INTRODUCTION.....</b>	<b>1</b>
1.1 PURPOSE.....	1
1.2 BACKGROUND.....	1
1.3 PROGRAM GOALS.....	1
1.4 MANAGEMENT OVERVIEW.....	2
<b>2. NASA MANAGEMENT.....</b>	<b>2</b>
2.1 ASSOCIATE ADMINISTRATOR FOR EQUAL OPPORTUNITY PROGRAMS .....	2
2.2 DIRECTOR, MINORITY UNIVERSITY RESEARCH AND EDUCATION DIVISION.....	2
2.3 TECHNICAL OFFICER .....	3
2.4 TECHNICAL MONITOR (TECHNICAL REVIEW COMMITTEE CHAIRPERSON).....	3
2.5 TECHNICAL REVIEW COMMITTEE .....	4
<b>3. URC MANAGEMENT.....</b>	<b>4</b>
3.1 URC UNIVERSITY PRESIDENT .....	4
3.2 URC DIRECTOR.....	4
<b>4. NASA REPORTING REQUIREMENTS .....</b>	<b>5</b>
4.1 ANNUAL URC PROGRAM PLANNING AND REVIEW (PPR) MEETING .....	5
4.2 ANNUAL TECHNICAL REVIEW PROGRESS REPORT.....	5
<b>5. URC REPORTING REQUIREMENTS .....</b>	<b>6</b>
5.1 URC ANNUAL PROGRESS REPORT .....	6
5.2 RENEWAL PROPOSALS.....	7
5.3 UNIFORM OUTCOMES DATA .....	8
5.4 SEMI-ANNUAL STATUS REPORT .....	8
5.5 TECHNICAL REPORTS .....	8
<b>6. ANNUAL SITE VISIT.....</b>	<b>8</b>
<b>7. DISSEMINATION OF RESULTS .....</b>	<b>9</b>
<b>8. REPORTING AND ACTIVITY SCHEDULE.....</b>	<b>10</b>
<b>APPENDIX A. BUDGET SUMMARY .....</b>	<b>10</b>
<b>APPENDIX B. CERTIFICATIONS.....</b>	<b>12</b>
<b>APPENDIX C. UNIFORM RESEARCH DATA INSTRUMENT (DRAFT).....</b>	<b>13</b>

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Management and Reporting Guidelines  
for  
University Research Centers at Minority Institutions**

## **1. INTRODUCTION**

### **1.1 Purpose**

This document provides guidance for the management and administration of the NASA University Research Centers (URCs) at Minority Institutions.

### **1.2 Background**

The URC program began in FY 1991 with the first competition for NASA HBCU Research Centers. It resulted in 5-year grants to the seven HBCU's, each with period of performance from January 1, 1992 to December 31, 1996. The program was expanded in FY 1995 when a second competition for new starts was held for awards as Minority University Research Centers. This competition resulted in 5-year cooperative agreements to four HBCU's and three OMU's, each with period of performance from July 1, 1995 to June 30, 2000. Shortly thereafter, the HBCU Research Centers and the Minority University Research Centers were formally combined into a single program, the NASA University Research Centers at Minority Institutions, with the two sets of awardees designated as Group 1 and Group 2, respectively. In FY 1996, the Group 1 URC's underwent a rigorous continuation proposal and review process for a second 5-years of funding for the period, January 1, 1997 to December 31, 2001. These awards, like those of the Group 2 URC's are to be cooperative agreements rather than grants.

To facilitate awards management, each URC is assigned a Lead NASA Installation which serves as the site from which the award is procured and with which the primary technical collaborations occur. Collaboration with additional NASA Installations is highly encouraged.

### **1.3 Program Goals**

The URC program goals are to achieve a broad-based, competitive aerospace research capability among the Nation's HBCU's and OMU's that will:

- foster new aerospace science and technology concepts;
- expand the Nation's base for aerospace research and development;
- develop mechanisms for increased participation by faculty and students of HBCU's and OMU's in mainstream research; and
- increase the production of socially- and economically-disadvantaged students, who are US citizens and who have historically been underrepresented, with advanced degrees in NASA-related fields.

The specific objectives for URC's during the second 5 years are to:

- perform scientific and/or engineering research which contributes substantially to the NASA mission;

<p style="text-align: center;"><b>Management and Reporting Guidelines</b> Revised November 22, 1996</p>
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- move increasingly towards gaining support from sources outside the URC program; and
- make significant inroads in rectifying historical imbalances among US science and engineering advanced degree recipients.

#### **1.4 Management Overview**

The NASA Headquarters Office of Equal Opportunity Programs (OEOP), Minority University Research and Education Division (MURED), is responsible for overall URC program policy, oversight, and funds management in consultation with the NASA Headquarters Enterprise Offices, Office of the General Counsel, and Office of Procurement. Implementation management of individual URC projects is delegated to the NASA Field Installation's Minority University Program Coordinators (MUPC), in consultation with appropriate technical personnel at their installations.

The Director of MURED, as designated by the Associate Administrator for Equal Opportunity Programs, has final program management responsibility for the URCs. Some of the program management responsibilities may be delegated to a designated URC Program Manager within the Division. For each URC, the Lead Field Installation's MUPC serves as Technical Officer for the URCs, reporting to the MURED Director. The MUPC will appoint, with the MURED Director's approval, a Technical Monitor who, in turn, will appoint members of a Technical Review Committee (TRC) which he/she will chair.

The key management officials at each of the URCs are the University President and the URC Director. The primary interface between NASA and each university is that between the TRC Chair and the URC Director. The TRC Chair is responsible for conducting an annual TRC site visit to the URC, and for forwarding reports through the Technical Officer to the MURED Director. Based on the TRC Chair and Technical Officer's annual assessment, the MURED Director recommends a funding decision to the Associate Administrator for OEOP and to collaborating Headquarters Program Offices.

## **2. NASA MANAGEMENT**

### **2.1 Associate Administrator for Equal Opportunity Programs**

As designated by the NASA Administrator, the Associate Administrator for Equal Opportunity Programs is responsible for the implementation of Executive Order 12766, Historically Black Colleges and Universities, Executive Order 12900, Educational Excellence for Hispanic Americans, and Executive Order 13021, Tribal Colleges and Universities. These responsibilities include planning, developing, coordinating, and implementing policies and procedures for the conduct of NASA's URC Program, including their establishment, management, and funding.

### **2.2 Director, Minority University Research and Education Division**

As designated by the Associate Administrator for Equal Opportunity Programs, the MURED Director has program management responsibility for the NASA minority university programs,

**Management and Reporting Guidelines**  
Revised November 22, 1996

including URC program policy, oversight, and funds management. Specific responsibilities of the Director include:

- Recommending policy and funding decisions to the Associate Administrators for OEOP and for the NASA Strategic Enterprises.
- Approving the Technical Officer's appointment of the Technical Monitor.
- Approving the Technical Officer's recommendations on changes in the scope of research, or of the URC Director.
- Arranging and presiding at NASA URC Program Planning and Review Meetings.
- Attending TRC site visits to the URCs, or reverse site visits at NASA Headquarters.
- Providing guidance to and receiving reports from the Technical Officers.
- Designating individuals and/or establishing independent review panels to conduct assessments and evaluations of URCs and/or the NASA URC Program.

### **2.3 Technical Officer**

The Technical Officer is the Lead Field Installation's Minority University Program Coordinator (MUPC). The Technical Officer is administratively and operationally responsible for monitoring the work under the cooperative agreement and for overseeing the procurement process. Specific responsibilities of the Technical Officer include:

- Appointing the Technical Monitor, with approval of the MURED Director.
- Approving the Technical Monitor's appointment of TRC members.
- Reviewing technical reports and program content, in consultation with the Technical Monitor.
- Forwarding all reports, evaluations, and proposals to the MURED Director.
- Coordinating and participating in TRC site visit reviews.
- Recommending to the Director, MURED, approval or disapproval for changes in the scope of research, or of the URC Director.
- Recommending to the Director, MURED, funding levels and funding renewals.
- Preparing procurement packages, overseeing the procurement process, and serving as the lead program officer for matters involving the cooperative agreement (e.g., approving key personnel changes, foreign travel, equipment purchases, or other terms of the cooperative agreement).
- Participating in NASA Headquarters annual URC program planning and review meetings.

### **2.4 Technical Monitor (Technical Review Committee Chairperson)**

The Director of MURED, in consultation with the Associate Administrator for Equal Opportunity Programs and appropriate representatives from Headquarters Program Offices approves appointment of the Technical Monitor by the Technical Officer. The Technical Monitor serves as the TRC Chair and, with approval of the Technical Officer, appoints the TRC members. Specific responsibilities of the Technical Monitor include:

- Appointing, with approval of the Technical Officer, TRC members who represent the lead and collaborating NASA Installations and JPL, and who have expertise in key research and education areas.
- Presiding as Chairperson of the TRC, including arranging and conducting annual TRC site visit reviews, and submitting to the Technical Officer and the URC Director an annual report synthesizing the findings of the TRC.

<p style="text-align: center;"><b>Management and Reporting Guidelines</b> Revised November 22, 1996</p>
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- Serving as NASA's primary technical representative to the URC, in consultation with TRC members and the Technical Officer, including authorizing all technical programs, monitoring the technical progression of the URC, and thoroughly reviewing, assessing and recommending disposition of renewal proposals.
- Recommending to the Technical Officer approval or disapproval for changes in key personnel, the scope of research, or other matters which require technical approval.
- Promoting the involvement of URC Principal Investigators in NASA mainstream research activities, including funding opportunities, exchange of personnel, use of facilities, participation on peer review panels and working groups, and presentations at international and national conferences.

## **2.5 Technical Review Committee**

A NASA-wide TRC is established for each research center. Members of the Committee are technical representatives from relevant NASA Installations and JPL as appointed by the TRC Chair. Specific responsibilities of the TRC include:

- Participating in an annual site visit to the URC to assess whether the technical requirements of the research projects are being met and whether valuable science research or technology development is being accomplished.
- Ensuring that the NASA URC program goals, the URC 's own proposed goals, and recommendations by NASA are being met.
- Advising the URC Director and Principal Investigators on technical requirements of research projects.
- Facilitating the timely flow of information between the university research center and NASA Installations and JPL.
- Fostering the exchange of personnel and the use of facilities, the participation of research center principal investigators on NASA working groups, peer review panels, and NASA held technical conferences and /or meetings, and the loan of NASA equipment.
- Documenting all assessments in the form of reports to the TRC Chair.

## **3. URC MANAGEMENT**

### **3.1 URC University President**

The University President is the chief executive officer of the institution with overall responsibility for the success of the URC.

### **3.2 URC Director**

The URC Director is responsible for the development and operation of the NASA URC. The URC Director may establish a non-NASA advisory committee to help solidify outreach coalitions that will lead to joint funding, facility and personnel access, and complimentary research and education opportunities. The URC Director is responsible for the:

- Development and operation of the NASA URC.
- Contents of the research.
- Achievement of the planned goals and objectives.
- National dissemination of research and education activities.

**Management and Reporting Guidelines**  
Revised November 22, 1996

- Annual TRC site visit agenda and local arrangements in coordination with the TRC Chair.
- Submission of annual progress reports and, if requested, semi-annual status reports to the Technical Monitor and Technical Officer.
- Submission of the renewal proposal, including a detailed budget with supporting narrative and costing report, to the Technical Monitor and Technical Officer.
- Participation in NASA Headquarters annual URC program planning and review meetings.

#### **4. NASA REPORTING REQUIREMENTS**

The Technical Officer, in consultation with the Technical Monitor, will report the progress of each university research center to the NASA Headquarters Office of Equal Opportunity Programs (MURED) annually and submit recommendations for continuation of funding to the Director of MURED and other appropriate NASA officials. The primary sources of information for these reports are interactions with technical committee chairpersons, personal observations, and results of program reviews and technical reports.

##### **4.1 Annual URC Program Planning and Review (PPR) Meeting**

The Director, MURED, presides as Chair of the annual URC PPR Meeting, including arranging and conducting the reviews and submitting to the Associate Administrator for OEOP and other collaborating partners written proceedings of the meeting.

##### **4.2 Annual Technical Review Progress Report**

An annual TRC Progress Report is due from the TRC Chairperson 80 days before the anniversary date of the cooperative agreement. This information will be used to assess progress toward NASA URC goals, and to determine continuation requirements and funding decisions. Annual progress reports should normally not exceed **five** pages.

The TRC's written progress report and recommendation for continuation of funding should be forwarded to the Technical Officer no later than 70 days before the anniversary date of the cooperative agreement. **The University's request for continuation funding cannot be approved by NASA until the TRC report is received.**

Input for this evaluation can be obtained from the site visit, a requested preliminary copy of the URC's Annual Progress Report and the renewal proposal. The evaluation should include an overview of the URC's progress; specific comments on the program management, technical accomplishments and plans, and student participation; and specific recommendations for improvements over the next year. Specific factors to consider include:

- Adequacy, feasibility and completeness of the program plan.
- Consistency with the original and/or amended proposal.
- Consistency with the original budget.
- Responsiveness to NASA recommendations.
- Research linkages with NASA Field Installations or NASA Headquarters.
- Technical quality of the research projects.
- Strategies for technology transfer.

<p style="text-align: center;"><b>Management and Reporting Guidelines</b> Revised November 22, 1996</p>
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- Performance in research output.
- Performance in student participation and degrees awarded.
- Level of participation in the mainstream research community (e.g., review panels, professional conferences, etc.).
- Effectiveness of management and organizational structure.
- Performance in costing.

## **5. URC REPORTING REQUIREMENTS**

### **5.1 URC Annual Progress Report**

The URC Director is responsible for submitting an Annual URC Progress Report to the Technical Officer and Technical Monitor 135 days before the anniversary date of the cooperative agreement. and at least two weeks before the annual site visit. A final version of this report is due to the Technical Officer and Technical Monitor immediately after the site visit, and no more than 90 days before the anniversary date of the cooperative agreement. This document may be referenced in the renewal proposal, although it is a separate and distinct document. **The University's request for continuation funding cannot be approved by NASA until the Annual Progress Report is received.**

The Annual progress reports summarizes the URC achievements for the grant year. It should not exceed thirty (30) pages, and it should include the following items:

1. Overview
  - Synopsis of research center planned goals and objectives.
  - Synopsis of accomplishments toward the goals and objectives.
  - Responses to prior NASA recommendations.
  - Synopsis of activities leading to greater involvement in the NASA-related research community.
2. Program Management
  - Changes in key personnel.
  - Resources (staff, facilities, laboratories, indirect support, etc.) provided by the university.
  - Identification of new university partnerships and their contributions to the research center.
  - Measures taken to disseminate results.
3. Technical Accomplishments and Plans
  - Changes and/or enhancements to research.
  - Briefs on the progress of each research project (maximum one page each).
  - Refereed journal articles and books or book chapters submitted, accepted, or published during the grant year by: Lead author, other URC co-authors (indicate student co-authors), title and full citation, date submitted, date accepted, and date published. [Do not include items in preparation].

## Management and Reporting Guidelines

Revised November 22, 1996

- Proposals submitted or awarded/declined during the grant year by: Principal Investigator, URC co-Investigators, Proposal title, Organization submitted to, date submitted, outcome (awarded, declined, or pending), date of award/declination announcement, total award amount, and duration in years.
- Advisory or research review panels served on during the grant year by: Name of URC participant, sponsoring organization (e.g., NASA, NSF, etc.), and name of panel (e.g., Space Sciences Advisory Council).
- Non-refereed articles.
- Presentations at professional conferences.
- Presentations at NASA Installations.
- Documentation of patents and copyrights resulting from the research projects, including the date of application, and status.
- Commercialization and technology transfer activities.
- Funding leveraged from other sources (proposals submitted and awarded).

#### 4. Student Participation

- Documentation of each student fully or partially supported by the NASA URC funding, by name, citizenship, major, and classification (undergraduate level or target graduate degree).
- Documentation of the total number of students funded under the NASA URC by citizenship, ethnicity and racial designation, gender, and targeted disability.
- Documentation of degrees awarded and post-degree plans for students supported by NASA URC funding.

### 5.2 Renewal Proposals

An draft renewal proposal is due annually 135 days before the anniversary date of the cooperative agreement, and at least two weeks prior to the site visit. Immediately after the site visit, and no later than 90 days before the cooperative agreement anniversary date, a final original signature renewal proposal and five copies are due to the Technical Officer.

The renewal proposal need not be a comprehensive document. Rather, it should very briefly summarize progress and indicate the research goals and objectives to be covered during the next year. The Annual Progress Report and the original 5-year proposal may be incorporated by reference for details. Full narrative explanations are required only for any major proposed changes in the scope of research or in the budget. Changes should reference the original proposal for comparison. To facilitate budget analysis, the format in which the budget is displayed should remain the same from year to year.

A full budget proposal and narrative for the next year, and summaries of the remaining outyear budgets, should be included following the budget summary format and instructions are in Appendix A. Budget requests may not exceed the totals projected for each year in the original proposal. Questions regarding budget preparation or level of supporting documentation should be directed to the Technical Officer or the NASA Grants Officer. Technical Monitors will provide philosophical input, approval and recommendations for budget changes resulting from technical aspects of the project .

<b>Management and Reporting Guidelines</b> Revised November 22, 1996
---

The form "Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibilities Matters and Drug-Free Workplace Requirements," (Appendix B) should be signed by the official responsible for obligating the university and included in your renewal proposal.

**A copy of the university's most recent Federal Cash Transactions Report (Standard Form 272), including cash expenditure projections through the end of the grant year, must be submitted along with the renewal proposal. An amount equal to that of funds not spent by the end of the grant year will normally be deducted from the renewal award.**

### **5.3 Uniform Outcomes Data**

A summary of outcomes data and a synopsis of research accomplishments is due annually by July 15th, covering the previous academic year and summer. This information will be used in the NASA MUREP annual Research and Technology Report and for other NASA internal reporting requirements. MURED will forward a survey instrument and specific request for the information each year. This information does not replace that which is reported for each grant year in the Annual Progress Report.

### **5.4 Semi-Annual Status Report**

This report is due only if requested by the Technical Officer.

### **5.5 Technical Reports**

These reports, as distinguished from annual and semi-annual status reports, are prepared by the URC Director and submitted to the Technical Monitor and Technical Officer only as significant scientific findings are made.

## **6. ANNUAL SITE VISIT**

The TRC will conduct an annual site visit review between 90 and 120 days before the cooperative agreement anniversary date. The Technical Officer will work with the TRC Chairperson to arrange the visit, in cooperation with the URC Director. The TRC Chairperson will lead the site visit/ The Technical Officer is responsible for informing the MURED Director of the schedule and agenda. The purposes of the visit are to:

- Assess the NASA URC's research accomplishments.
- Determine whether valuable science research or technological development have been accomplished.
- Determine progress towards meeting program, URC, and TRC-recommended goals.
- Evaluate the soundness of the research program and continued relevance to NASA URC program goals.
- Review the URC's organization, management, resources, and institutional commitment .

## **7. DISSEMINATION OF RESULTS**

Each URC is required to disseminate its results in a manner which will provide national exposure to the university research center. This might be done through hosting a national or international symposium in the URC's field of specialization, through special sessions or invited papers at professional meetings, through student symposiums, through publicity documents and/or world wide web home pages, or through any other means which the URC finds appropriate. The measures taken each year to disseminate results will be reported in the URC Annual Report.

<b>Management and Reporting Guidelines</b> Revised November 22, 1996
---

### **8. Reporting and Activity Schedule**

	<b>Report/Activity</b>	<b>Official Due Date</b>	<b>Group 1 Working Date</b>	<b>Group 2 Working Date</b>	<b>Responsibility (*Lead Responsibility)</b>
1.	Set Site Visit Dates	150 days before anniversary date	August 1	February 1	Technical Officer* URC Director Technical Monitor
2.	Draft Annual Progress Report	135 days before anniversary date	August 15	February 15	URC Director*
3.	Draft Renewal Proposal	135 days before anniversary date	August 15	February 15	URC Director*
4.	Site Visit	90 to 120 days before anniversary date.	Sept 1-30	March 1-31	URC Director* Technical Monitor* Technical Officer
5.	Final Proposal and Annual Report	90 days before anniversary date	October 1	April 1	URC Director*
6.	TRC Report (incl. feedback on renewal proposal)	80 days before anniversary date	October 10	April 10	Technical Monitor*
7.	Forward Proposal, Annual Report, and TRC Report to HQ	70 days before anniversary date	October 20	April 20	Technical Officer*
8.	Suballot first funding increment to Field Installation	60 days before anniversary date	November 1	May 1	Director, MURED* Enterprise Offices
9.	Award of 12-month renewal	Anniversary date	January 1	July 1	Technical Officer*
10	Release first funding increment to URC	Anniversary date	January 1 (full award)	July 1 (5/12 of full award)	Technical Officer*
11	Suballot second funding increment to Field Installation	30 days after start of Federal Fiscal Year	N/A	November 1	Director, MURED* Enterprise Offices

<b>Management and Reporting Guidelines</b> Revised November 22, 1996
---

12	Release second funding increment to URC	60 days after start of Federal Fiscal Year	N/A	December 1 (7/12 of full award)	Technical Officer*
13	Annual Uniform Research Data due	July 15	July 15	July 15	URC Director*

**Budget Summary**

From \_\_\_\_\_ to \_\_\_\_\_

A
**NASA USE ONLY**
B
C

1. Direct Labor			
a. Salaries, wages	_____	_____	_____
b. Fringe Benefits	_____	_____	_____
2. Other Direct Costs			
a. Subcontracts	_____	_____	_____
b. Consultants	_____	_____	_____
c. Equipment	_____	_____	_____
d. Supplies	_____	_____	_____
e. Travel	_____	_____	_____
f. Communication Costs (telephone, postage, printing)	_____	_____	_____
3. Indirect Costs	_____	_____	_____
4. Other Applicable Costs	_____	_____	_____
5. Subtotal--Estimated Costs	_____	_____	_____
6. Less Proposed Cost Sharing (if any)	_____	_____	_____
7. Carryover Funds (if any)			
a. Anticipated amount _____	_____	_____	_____
b. Amount used to reduce budget	_____	_____	_____
8. Total Estimated Costs	_____	_____	XXXXXXXXXX
APPROVED BUDGET	XXXXXXXXXX	XXXXXXXXXX	_____

----- INSTRUCTIONS ON FOLLOWING PAGE -----

## Management and Reporting

### Guidelines

Revised November 22, 1996

## General Instructions for Budget Summary

1. Provide a separate budget summary sheet for each year of the proposed research.
2. Grant/cooperative agreement estimated costs should be entered in Column A. Columns B and C are for NASA use only. Column C represents the approved grant/cooperative agreement budget.
3. Provide in attachments to the budget summary the detailed computations of estimates in each category, along with any narrative explanation required to fully explain proposed costs.

## Specific Instructions

1. Direct Labor (salaries, wages, fringe benefits) Attachments should list number and titles of personnel, amount of time to be devoted to the grant/cooperative agreement, and rates of pay.
  - a. Fringe Benefits-Detail by element (i.e., social security, health insurance, retirement, etc.
2. Other Direct Costs:
  - a. Subcontracts - Attachments should describe the work to be subcontracted, estimated amount, recipient (if known), and the reason for subcontracting this effort.
  - b. Consultants - Identify consultants to be used, why they are necessary, time to be spent on the project, and rates of pay (not to exceed the equivalent of the daily rate for GS-18 in Federal service, excluding expenses and indirect cost.)
  - c. Equipment - List separately and explain the need for items of equipment exceeding \$1,000. Describe the basis for the estimated cost. General purpose, non-technical equipment is not allowable as a direct cost to NASA grant/cooperative agreements unless specifically approved by the grant officer.
  - d. Supplies - Provide general categories of needed supplies, the method of acquisition, estimated cost, and the basis for the estimate.
  - e. Travel - List proposed trips individually, describe their purpose in relation to the grant/cooperative agreement, provide dates, destination, and number of travelers where known, and explain how the cost for each was derived.
  - f. Other - Enter the total of any other direct costs not covered by 2.a. through 2.e. Attach an itemized list explaining the need for each item and the basis for the estimate.
3. Indirect Costs - Identify indirect cost rate(s) and base(s) as approved by the cognizant Federal agency, including the effective period of the rate. Provide the name, address, and telephone number of the Federal agency and official having cognizance over such matters for the institution. If unapproved rates are used, explain why and include the computational basis for the indirect expense pool and corresponding allocation base for each rate.
4. Other Applicable Costs - Enter the total of any other applicable costs. Attach an itemized list explaining the need for each item and the basis for the estimate.

**Management and Reporting  
Guidelines**  
Revised November 22, 1996

5. Subtotal-Estimated Costs - Enter the sum of items 1 through 4.
6. Less Proposed Cost Sharing (if any) - Enter the amount proposed, if any. If cost sharing is based on specific cost items, identify each item and amount in attachment.
7. Carryover Funds (if any) - Enter the dollar amount of any funds that are expected to be available for carryover from the prior budget period. Identify how the funds will be used if they are not used to reduce the budget. NASA officials will decide whether to use all or part of the anticipated carryover to reduce the budget. Not applicable to 2nd-year and subsequent-year budgets submitted for the award of a multiple year grant/cooperative agreement.
8. Total Estimated Costs - Enter the total after subtracting items 6 and 7b. from 5.

**Management and Reporting  
Guidelines  
Revised November 22, 1996**

**APPENDIX B**

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the Instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

**1. LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105, and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subaward at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

**2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.100 --

A. The applicant certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**3. DRUG-FREE WORKPLACE  
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 --

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and

specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about--

- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

((c) Making it a requirement that each employee to be engaged in the performance of a grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will--

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to:

Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office, Building No. 3), Washington, DC 20202-4571. Notice shall include the identification numbers(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted--

- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency.

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the sites(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Check ( ) if there are workplaces on file that are not identified here.

**DRUG-FREE WORKPLACE**

(grantees who are individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 --

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to:

Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office Building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

**Management and Reporting  
Guidelines  
Revised November 22, 1996**

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

NAME OF APPLICANT: \_\_\_\_\_

Signature \_\_\_\_\_

PR/AWARD NUMBER AND/OR PROJECT NAME \_\_\_\_\_

DATE \_\_\_\_\_

ED 80-

**National Aeronautics and Space Administration  
Minority University Research and Education Programs (MUREP)**

**Directions for Submission  
1996 Research & Technology Report**

(Covering Summer 1995 and Academic Year 1995-96)

**Purpose:** The purpose of this Survey is to collect information from all NASA MUREP research projects as input to the 1996 NASA MUREP Research and Technology Report.

**Step 1. Preparation of Uniform Outcomes Data**

Please complete the attached Uniform Outcomes Data instrument as completely and accurately as possible. This information will be aggregated for use in the MUREP R&T Report, as well as in NASA MUREP budget requests to OMB and Congress.

**Step 2. Preparation of Research Synopsis**

Please prepare a concise, written summary of the major accomplishments of your MUREP project during the reporting period. The **text** of the summary (**not including charts, graphs, photographs and/or citations of refereed papers and book chapters accepted or published**) should not exceed one page for individual research projects (FAR) or two pages for institutional research programs (URC and IRA), in single-spaced, 12 point, "Times" font, and should include the following information:

**Introduction:** brief statement of your major research objectives.

**Research Accomplishments:** brief summary of new findings and results; written in a manner so as to enhance public understanding, to the maximum extent.

**Relevance to NASA Strategic Enterprises:** brief explanation of how these accomplishments support specific needs within one or more of the NASA Enterprises.

**Benefits to society:** brief explanation of how this work benefits the average citizen.

**Student Achievements:** citation of special accomplishments of students working on the project.

Black and white high gloss (non-photocopied) photographs, graphs, and charts may be included. Pictures of students in laboratory settings are particularly encouraged. Special notes may be provided on the back of photographs, graphs, and/or charts.

<b>Responses to this survey must be submitted by January 6, 1997</b>
--

### Step 3. Submission

#### **Via World Wide Web (preferred method):**

The Uniform Outcomes Data may be submitted via the World Wide Web at:

**[http://mured.gsfc.nasa.gov/mured/bb/public/programs/rt\\_report.html](http://mured.gsfc.nasa.gov/mured/bb/public/programs/rt_report.html)**

#### **Via Overnight or Two-Day Mail:**

**The Research Synopsis and any accompanying photographs, graphs, and charts that are part of the Synopsis, unfortunately, cannot yet be submitted via the Web. These items must be submitted via Overnight or Two-Day Mail (see below).** Please indicate the placement of charts and graphs within the text of the Research Synopsis.

**Photographs, graphs and charts must be submitted as high gloss, black and white prints.** The additional submission of these items in electronic format on 3 1/2 inch floppy disks (PC or Mac) will be greatly appreciated. Electronic versions of photographs should be submitted as 300 dpi TIFF files. Electronic forms of graphs and charts should be submitted as either Encapsulated Postscript (EPS), Word or Excel files.

Submit both electronic and hard copies of the Research Synopsis. Acceptable electronic formats include MS Word and Word Perfect. Text should be single-spaced, using a 12 point, "Times" font. Please submit on a 3 1/2 inch floppy disk (PC or Mac).

If you cannot submit the Uniform Outcomes Data via the Web, it should be submitted as hard copy via Overnight or Two- Day Mail (see below).

Submissions via Overnight or 2 Day Mail, or hand-carried, should be delivered to the following address between the hours of 8 AM and 4:30 PM:

Dr. Philip J. Sakimoto  
NASA Headquarters  
Code EU  
Attention: Receiving & Inspection (Rear of Building)  
300 E Street, SW  
Washington, DC 20024-3210

**Submissions will not be returned.** Questions may be addressed to:

# DRAFT

## APPENDIX C

### Content/Requirements

Dr. Philip J. Sakimoto  
Phone: (202) 358-0949  
Fax: (202) 358-3745  
e-mail: phil.sakimoto@hq.nasa.gov

### Electronic Submission

Mr. Chandu S. Rao  
Phone: (301) 918-8172  
Fax: (301) 918-8154  
e-mail: ChanduS1@alliedtech.com

**Responses to this survey must be submitted by January 6, 1997.**  
**Electronic entry available at:**  
[http://mured.gsfc.nasa.gov/mured/bb/public/programs/rt\\_report.html](http://mured.gsfc.nasa.gov/mured/bb/public/programs/rt_report.html)

**NASA Minority University Research Programs  
Uniform Outcomes Data**

(Reporting Period = 1995 Summer Session and Academic Year 1995-96)

**BACKGROUND**

Grant Number: \_\_\_\_\_

Grant or Project Title: \_\_\_\_\_

MUREP Research Program (check one): University Research Centers (URC) \_\_\_\_\_  
 Institutional Research Awards (IRA) \_\_\_\_\_  
 Faculty Awards for Research (FAR) \_\_\_\_\_  
 Unsolicited \_\_\_\_\_

**Principal Investigator**

First Name: \_\_\_\_\_ Mid. Initial: \_\_\_\_\_ Last Name: \_\_\_\_\_

Title: \_\_\_\_\_

Mailing address line 1: \_\_\_\_\_

address line 2: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone number: ( ) \_\_\_\_\_ Fax number: ( ) \_\_\_\_\_

E-mail address: \_\_\_\_\_

Home Page URL: \_\_\_\_\_

NASA Installation from which award was procured (check one):

- |                                     |                                    |                                 |
|-------------------------------------|------------------------------------|---------------------------------|
| Ames Research Center _____          | Kennedy Space Center _____         | Stennis Space Center _____      |
| Dryden Flight Research Center _____ | Langley Research Center _____      | Jet Propulsion Laboratory _____ |
| Goddard Space Flight Center _____   | Lewis Research Center _____        | NASA Headquarters _____         |
| Johnson Space Center _____          | Marshall Space Flight Center _____ |                                 |

NASA Enterprises which your research supports:

- |  |  |
|--|--|
| Check Primary Enterprise                         | Check others which are relevant                  |
| Aeronautics _____                                | Aeronautics _____                                |
| Human Exploration and Development of Space _____ | Human Exploration and Development of Space _____ |
| Mission to Planet Earth _____                    | Mission to Planet Earth _____                    |
| Space Science _____                              | Space Science _____                              |

**Reporting Period = 1995 Summer Session and Academic Year 1995-96**

**NASA MUREP INVESTMENT**

**Report expenditures of NASA MUREP award funds, pro-rated for the reporting period.**

<b>Enter MUREP-award Dollars expended for:</b>	Equipment (direct purchase cost only)		\$
	Student support (including any fringes and/or indirect charges) for	Undergraduates	\$
		Master's Students	\$
		Doctoral Students	\$
	Research (all other expenditures)		\$
Total (Must equal sum of above lines)		\$	

**STUDENT OUTCOMES**

**Report student activities during the reporting period.**

<b>Enter Number of MUREP-Funded Students in Each Category</b>				
		UNDERGRADS	MASTER'S	DOCTORAL
Participants in Research	All			
	UMD			
Degrees Awarded	All			
	UMD			
Post-Degree Plans of Degree Recipients				
Continuing for Next Degree	All			
	UMD			
Employed in NASA-Related Field	All			
	UMD			

Count as "MUREP-Funded" any student receiving partial or full support from your NASA MUREP grant during the reporting period.

UMD = Underrepresented Minority (African American, Hispanic, Native American, or Pacific Islander) and/or Students with Disabilities.

**RESEARCH OUTCOMES**

**Report only events and activities which occurred during the reporting period.**

<b>Enter <u>Numbers</u> of:</b>			
Non-Student Investigators	Faculty		
	Research Associates		
	Post-Docs		
Refereed Papers and/or Book Chapters:	Published		
	Accepted but not yet published		
Presentations given at:	NASA Installations		
	Nat'l or Internat'l Conferences		
	Faculty Seminars		
Panels (Advisory, Peer Review, Science Working Group) served on for:	NASA MUREP		
	Other NASA		
	Other Agencies		
Patents:	Disclosures		
	Applications		
	Awards		
Commercial Products which:	Entered Market		
	Are in development		
<b>Enter <u>Dollars</u> leveraged, as a direct result of NASA MUREP funding, from:</b>			
Research awards, new or renewal, pro-rated for the 12-month reporting period, from:	NASA, non-MUREP	Total	\$
		Equipment	\$
	Other Agencies	Total	\$
		Equipment	\$