

## APPENDIX D

### PROPOSAL AWARDS AND CONTINUED SUPPORT

#### D.1 New Awards

##### D.1.1 Awards to NASA Centers

A selected proposal from a NASA Center is funded directly by NASA Headquarters through a Research and Technology Operating Plan (RTOP) to the Center for administration.

##### D.1.2 Awards to Non-NASA Organizations

A NASA award is signed only by a NASA Grant or Contracting Officer (hereafter called an "Award Officer" for the purposes of this Guidebook) and is addressed to the proposing institution. Only an appointed NASA Award Officer can make commitments, obligations, or awards on behalf of the Agency and authorize the expenditure of funds. As a professional courtesy, this award will be preceded by notification by electronic mail or postal mail from the program officer to the Principal Investigator. However, no commitment on the part of NASA or the Government may be inferred from communication, even if in writing, from the NASA program officer.

NASA chooses the funding vehicle best suited for the project and the proposing institution. This can be a grant, a contract, an interagency agreement, or a cooperative agreement. It is for the purpose of aiding NASA in choosing the appropriate award instrument that the *Cover Page* (see Appendix E, Section 3) format asks the proposer to designate his/her type of organization (e.g., profit, nonprofit, etc., as defined in Section 1.4.1 of this Guidebook; see also Appendix B, Part (c)(1)(iii)) as well as the NASA Grant and Cooperative Agreement Handbook).

- Grant — A funding instrument used by the Government to accomplish a public purpose of support or stimulation authorized by Federal statute. The objective of a grant is the general enhancement of the field of scientific and technical programs of interest to NASA. The recipient of the grant is an institution, not the Principal Investigator, although the PI is responsible for conduct of the project. No substantial technical involvement is expected between NASA and the recipient, nor does the Government direct the research by the PI.
- Contract — A mutually binding legal commitment between the Government and a contractor whose principal purpose is acquisition by purchase, lease, or barter of property or services from the contractor for the direct benefit to or use by the Government. The Principal Investigator is responsible for scientific conduct of the project. In general, contracts are negotiated and have deliverable products, i.e., the Government "purchases" a product that, in the case of an NRA, is a study

in a specified area of basic research. Normally no fee or profit is paid under cost contracts with educational institutions or nonprofit organizations, as well as cost-sharing contracts with any type of entity. Non cost-sharing contracts with commercial organizations are fee bearing.

- Interagency Agreement — A transaction by which one Government agency needing supplies or services (the requesting agency) obtains them from another Government agency (the servicing agency). Such agreements are worked out in direct contact by NASA administrative personnel with those of the other agency.
- Cooperative Agreement — An agreement similar to a grant with the exception that NASA and the recipient are each expected to have substantial technical interaction for the performance of the project.

Selected investigators are urged to work with their own institution's grants/contracts office to understand which funding vehicle is being used as the source of support for their investigation, since the reporting requirements vary with the type of funding mechanism as do deadlines.

For all of these types of awards, NASA agrees to provide a specific level of support for a specified period of time. Owing to the intrinsic yearly nature of the Federal budget process, funding is usually only provided in increments of one year at a time, although there can be exceptions to this rule. If the award funding is to be provided on a yearly basis, the recipient receives an award supplement for the successive years provided that funds are available and that the results reported through the Yearly Progress Reports warrant further support (Note: funding supplements are sometimes called "renewals;" see also Section 4 below in this Appendix). NASA has some programs that fund selected tasks for up to five years, although in such cases they are subject to peer evaluation after the first three years.

The award period begins on the effective date specified in the award and runs until the indicated expiration date. Expenses incurred within the 90-day period preceding the effective date of the award of a grant or cooperative agreement may be authorized by the recipient organization but such expenses are made at the recipient's risk. Expenses after the scheduled expiration date of the award may be made only to honor documented commitments made on or before the expiration date.

## D.2 Requests for Augmentation Funding

Occasionally a selected investigation may have a valid need for additional funding due to unforeseen circumstances (e.g., the failure of a critical piece of equipment, or unanticipated increase in costs of an approved item or labor rates). In such cases, the proposer may request an augmentation to his/her grant by submitting a letter proposal to the cognizant program officer, with a copy to the Award Officer, that describes why the increase is needed, the impact to the selected investigation if the augmentation is not

approved, and a budget for the augmentation authorized by signature of his/her institution. The program officer will review such requests as soon as possible and make a recommendation for funding or not. If the decision is favorable, the recipient must have written approval from a NASA Award Officer for an increase to his/her approved budget before incurring expenses beyond the authorized award. In any case, such requests for additional funding should be made only for the most extreme and demanding of circumstances since NASA funding reserves are always extremely limited, and there can be no request to NASA for an augmentation to an award during a no cost extension.

The procedure described above applies only to grant awards and cooperative agreements with non-profit organizations. Cost growth on a Cooperative Agreement with a for-profit organization is the responsibility of the recipient. Finally, any increase in scope on a contract is a subject to negotiation and prior approval of the Contracting Officer.

### D.3 No Cost Extensions

The need for a No Cost Extension of an award can occur when a Principal Investigator for a selected investigation realizes that they cannot complete the objectives of the proposed project before its originally specified expiration date. In such cases, the following policies apply:

- In the case of most grants or a cooperative agreement with nonprofit entity, the recipient organization may unilaterally initiate a one-time No Cost Extension of the award's expiration date for up to 12 months by notifying the NASA Award Officer in writing of the revised date and the justification for the extension at least ten days before the end of the period of performance. NASA has the right to deny the extension if it is determined that it is merely for the purpose of using unobligated balances, if the extension may require additional funds; or if the extension involves any change in the approved objectives or scope of the project.
- In the case of a contract, NASA authorizes the No Cost Extension based on written request by the recipient organization to their NASA Award Officer in sufficient time to receive approval. Investigator's may not make new commitments or incur new expenditures after the established expiration date until an extension is formally granted.

See paragraphs 1260.23 and 1260.1255(e)(2) of the Grants and Cooperative Agreements Handbook (see Appendix A for Web site) for further details.

### D.4 Funding Continuation ("Renewals") of Multiple Year Awards

It is NASA's usual policy to award multiple year grants in which cases the proposer must request a supplement (which NASA prefers to use instead of the ambiguous term "renewal") to receive the funding for each successive year of the award. A proposal for a supplement to an existing award consists of a letter signed by an institutional

representative that identifies the original proposal, a Yearly Progress Report, and a statement of work for the coming period. A revised budget for the next year is not required if the anticipated expenditures are within plus/minus twenty percent of the original budget, if it has been approved by the Award Technical Officer, if the research has not appreciably changed in scope, and if any planned purchases of equipment have not changed.

If there are changes anticipated to the original proposal, especially for the budget, those parts no longer current must be updated with appropriate documentation (commensurate with that submitted for the original proposal), and signed by the an institutional representative. Exact details of what materials are required and where they are to be sent will be provided by the NASA Award Office, but as a general rule, at least 60 days prior to the award anniversary date a copy of the Yearly Progress Report must be sent to the cognizant program officer while a complete set of materials must be sent to the cognizant NASA Award Office.

These procedures do not apply to cooperative agreements with for-profit entities.

#### D.5 Completing as Award

At the completion of a grant or cooperative agreement, certain reports are required by NASA. Final requirements will vary depending on the type of the grant or cooperative agreement awarded and will be specified in the award document. For a research grant, one of the most common award types, the following final reports are generally required:

- Final Federal Cash Transaction Report (SF 272)
- Summary of Research
- Subject Inventions Final Report
- Final Inventory Report of Federally-Owned Property