

Responsible Office: Code IY/Earth Science Division  
Subject: Support of NASA Research Opportunities



## **Office External Relations**

### Office Work Instruction

### Support of NASA Research Opportunities

Approved by: \_\_\_\_\_

John D. Schumacher  
Associate Administrator for  
External Relations



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## **1. Purpose**

The purpose of this procedure is to document the Code I review process for research opportunities issued by NASA sponsoring offices and the handling of foreign proposals submitted in response to these research opportunities.

## **2. Scope and Applicability**

- 2.1 This instruction covers the entire Code I process in handling NASA research opportunities.
- 2.2 This instruction applies to NASA research opportunities issued by NASA Headquarters and Field Center sponsoring offices.

## **3. Definitions**

- 3.1 AO  
Action Officer – Code I division employees designated to support the sponsoring offices in implementing research opportunities.
- 3.2 Announcement  
NASA research opportunities including NASA Announcements of Opportunity, NASA Research Announcements, Cooperative Agreement Notice, and Request for Information.
- 3.3 Letter of Endorsement  
Letter from Foreign Investigator’s respective government agency or funding/sponsoring institution in the country from which the non-U.S. participant is proposing.
- 3.4 DD  
Division Director
- 3.5 Code I  
Office of External Relations
- 3.6 Code ID  
Assessments and Technology Division
- 3.7 Code IH  
Human Space Flight and Research Division supports the Office of Space Flight (Code M) and the Office of Life and Microgravity Sciences and Applications (Code U) and their Centers.

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3.8 Code IS  
Space Science and Aeronautics Division supports the Office of Space Science (Code S) and the Office of Aero-Space Technology (Code R) and their Centers.

3.9 Code IY  
Earth Science Division supports the Office of Earth Science (Code Y) and its Center.

#### **4. References**

4.1 NPD 1360.2, Initiation and Development of International Cooperation in Space and Aeronautics Programs

4.2 NFS Part 1835, Research and Development Contracting

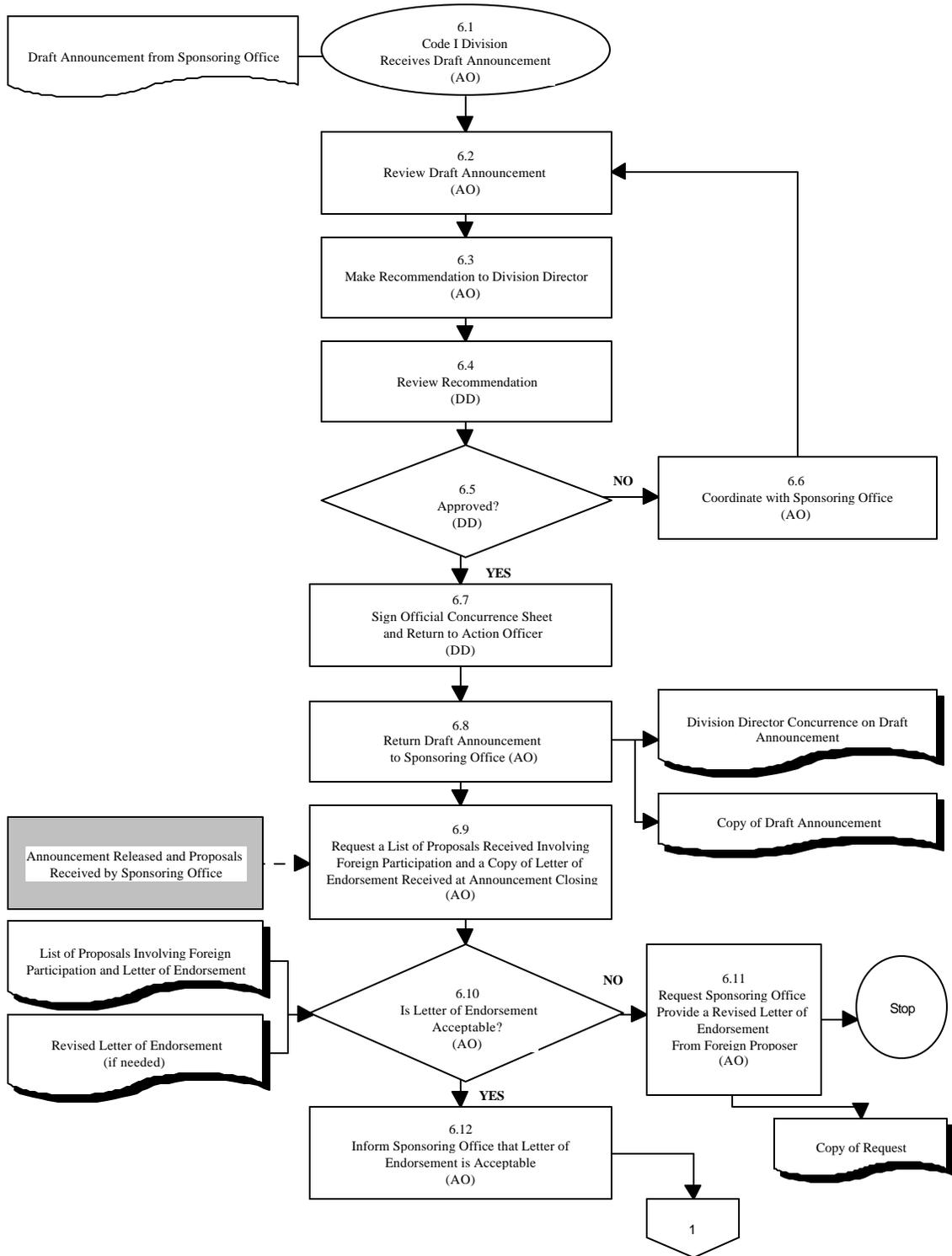
4.3 NFS Part 1872, Acquisitions of Investigations

4.4 NHB 1101.3, The NASA Organization

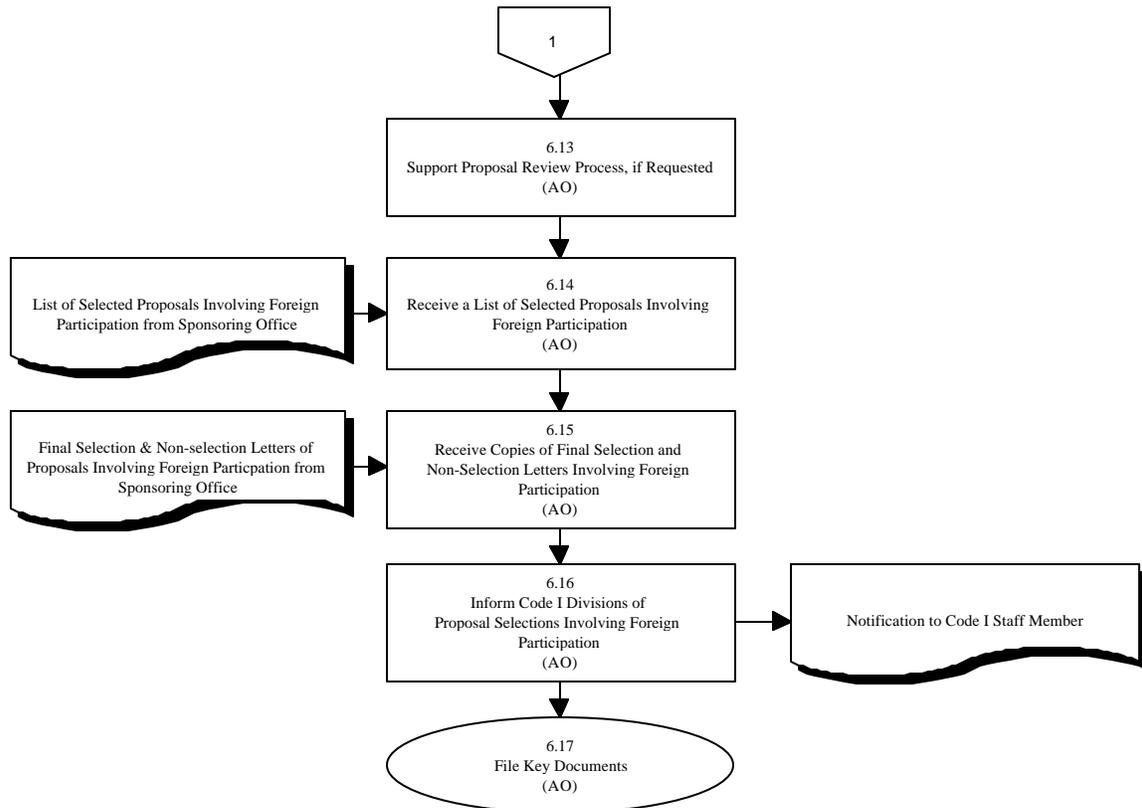
4.5 HOWI1050-I002, Formulation and Approval of International Space Act Agreements

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**5. Flowchart**



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## 6. Procedure

Step	Actionee	Action
6.1	AO	Receive draft announcement from sponsoring office. Each Code I division has an action officer responsible for coordinating announcements received from the sponsoring offices. See Definitions 3.1.
6.2	AO	Review draft announcement to ensure that the guidelines for proposals involving foreign participation are addressed (See examples in Appendix A and Appendix B). Obtain ID/Director concurrence on draft announcement.
6.3	AO	Forward draft announcement to Division Director with a recommendation for concurrence (including revisions and any potential issues, as necessary).
6.4	DD	Review action officer recommendation.
6.5	DD	Is recommendation approved? If no, follow Step 6.6. If yes, follow Step 6.7.
6.6	AO	Coordinate revisions and/or issues with sponsoring office and return to Step 6.1.
6.7	DD	Sign and date official concurrence sheet. Return package to action officer.
6.8	AO	Retain a copy of Division Director concurrence and draft announcement; and return draft announcement package including signed concurrence sheet to the sponsoring office.
6.9	AO	Request a list of proposals involving foreign participation be provided to Code I no later than 5 business days after announcement closing date. Request copies of the letters of endorsement at closing date. (Note: To keep track of the announcement closing dates register with the sponsoring office mailing list.)
6.10	AO	Receive letters of endorsement and verify that the letters are from valid sponsors and contain the requested information. If no, follow Step 6.11. If yes, follow Step 6.12.
6.11	AO	Request sponsoring office to provide Code I with revised letter of endorsement from foreign sponsor no later than 5 business days after receipt by the sponsoring office.
6.12	AO	Inform the sponsoring office that the letters of endorsement are acceptable.
6.13	AO	Respond to sponsoring office requests for proposal review support. Typically, this involves assigning a Code I representative to serve as an ex officio member of the Peer Review Panel.

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6.14	AO	Receive a list of selected and non-selected proposals involving foreign participation prior to development of selection and non-selection letters from the sponsoring office. Review list for potential policy concerns and alert sponsoring office if there are any concerns.
6.15	AO	Receive copies of the final selection and non-selection letters involving foreign participation from the sponsoring office.
6.16	AO	The action officer will inform appropriate Code I divisions of the final selections involving foreign participation. The action officer will obtain a copy of the selected proposal from the sponsoring office. The proposal and the selection letter should be provided to the appropriate Code I staff member to proceed with the initiation of an agreement in accordance with the office work instruction for International Space Act Agreements (SAA): Formulation and Approval Process.
6.17	AO	File key documents. Documents shall include copies of concurrence sheets, the list of proposals involving foreign participation, letters of endorsement, selection/non-selection letters involving foreign participation and a copy of the notification to the Code I staff member.

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## 7. Quality Records

<b>Record Identification</b>	<b>Owner</b>	<b>Location</b>	<b>Record Media: Electronic or Hard Copy</b>	<b>Schedule Number and Item Number (NPG 1441.1)</b>	<b>Retention/Disposition</b>
Division Director Concurrence on Draft Announcement	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
Copy of Draft Announcement	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
List of Proposals Involving Foreign Participation and Letter of Endorsement	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
Revised Letter of Endorsement (if needed)	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
Copy of Request	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
List of Selected Proposals Involving Foreign Participation	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
Final Selection and Non-selection Letters of Proposals Involving Foreign Participation	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.
Notification to Code I staff member	Action Officer	Code I Division Files	Hardcopy	Schedule 7, Item 1	Retire to FRC 1 year after completion or cancellation of the program. Destroy when 5 years old.

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## **APPENDIX A**

### **NASA FAR Supplement 1852.235-72 Instructions for Responding to NASA Research Announcements.**

#### **(I) Additional Guidelines Applicable to Foreign Proposals and Proposals Including Foreign Participation.**

(1) NASA welcomes proposals from outside the U.S. However, foreign entities are generally not eligible for funding from NASA. Therefore, unless otherwise noted, proposals from foreign entities should not include a cost plan unless the proposal involves collaboration with a U.S. institution, in which case a cost plan for only the participation of the U.S. entity must be included. Proposals from foreign entities and proposals from U.S. entities that include foreign participation must be endorsed by the respective government agency or funding/sponsoring institution in the country from which the foreign entity is proposing. Such endorsement should indicate that the proposal merits careful consideration by NASA, and if the proposal is selected, sufficient funds will be made available to undertake the activity as proposed.

(2) All foreign proposals must be typewritten in English and comply with all other submission requirements stated in the NRA. All foreign proposals will undergo the same evaluation and selection process as those originating in the U.S. All proposals must be received before the established closing date. Those received after the closing date will be treated in accordance paragraph (g) of this provision. Foreign sponsors may, in exceptional situations, forward a proposal without endorsement if the endorsement is not possible before the announced closing date. In such cases, the NASA sponsoring office should be advised when a decision on endorsement can be expected.

(3) Successful and unsuccessful foreign entities will be contacted directly by the NASA sponsoring office. Copies of these letters will be sent to the foreign sponsor. Should a foreign proposal or a U.S. proposal with foreign participation be selected, NASA's Office of External Relations will arrange with the foreign sponsor for the proposed participation on a no-exchange-of-funds basis, in which NASA and the foreign sponsor will each bear the cost of discharging their respective responsibilities.

(4) Depending on the nature and extent of the proposed cooperation, these arrangements may entail:

- (i) An exchange of letters between NASA and the foreign sponsor; or
- (ii) A formal Agency-to-Agency Memorandum of Understanding (MOU).

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**(m) Export Control Guidelines Applicable to Foreign Proposals and Proposals Including Foreign Participation.**

(1) Foreign proposals and proposals including foreign participation must include a section discussing compliance with U.S. export laws and regulations, e.g., 22 CFR Parts 120-130 and 15 CFR Parts 730-774, as applicable to the circumstances surrounding the particular foreign participation. The discussion must describe in detail the proposed foreign participation and is to include, but not be limited to, whether or not the foreign participation may require the prospective proposer to obtain the prior approval of the Department of State or the Department of Commerce via a technical assistance agreement or an export license, or whether a license exemption/exception may apply. If prior approvals via licenses are necessary, discuss whether the license has been applied for or if not, the projected timing of the application and any implications for the schedule. Information regarding U.S. export regulations is available at <http://www.pmdtc.org> and <http://www.bxa.doc.gov>. Proposers are advised that under U.S. law and regulations, spacecraft and their specifically designed, modified, or configured systems, components, and parts are generally considered "Defense Articles" on the United States Munitions List and subject to the provisions of the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120-130.

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## **APPENDIX B**

### **Rules and Regulations**

#### **Implementing Foreign Proposals to NASA Research Announcements on a No-Exchange-of-Funds Basis**

**Key References from:**  
**09/07/1999**

#### **Federal Register**

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#### **SUPPLEMENTARY INFORMATION:**

##### **A. Background**

NASA uses NRAs and AOs to solicit research proposals from both U.S. and non-U.S. sources. Because of NASA's policy to conduct research with foreign entities on a cooperative, no-exchange-of-funds basis, NASA does not normally fund foreign research proposals or foreign research efforts that are part of U.S. research proposals. Rather, cooperative research efforts are normally implemented via international agreements between NASA and the foreign entity involved. Thus, foreign proposers, whether as primary proposers or as participants in U.S. research efforts, are expected to arrange for financing for their portion of the research. This rule will implement NASA's policy for NRAs and make it consistent with the existing policy for AOs contained in NASA FAR Supplement (NFS) Part 1872, which requires foreign research to be implemented on a no-exchange-of-funds basis. Additional changes are made to NFS Part 1872 for consistency in the treatment of foreign proposals under NRAs and AOs. Treatment of late proposals under NRAs and AOs is clarified and subcontracting plans (when applicable) are added to the items required of selectees under NRAs.