

Office Work Instruction (OWI)

HOWI8310-S018A

05/10/1999

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Research Programs Management Division (Code SR)

Subject: NASA Research Announcement (NRA) for R&A Investigations

DOCUMENT HISTORY LOG

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/02/1999	This is the initial "baseline" version of the OWI.
Revision	A	05/10/1999	This revision incorporates modifications responsive to NCRs #293, #302, #303, #311, #315, #317, and #324 from the NASA HQ ISO-9001 Pre-Assessment audit.

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1. PURPOSE The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) generates and issues Broad Agency Announcements (BAAs) of solicitations of investigations in the category of NASA Research Announcements (NRAs).

2. SCOPE AND APPLICABILITY

2.1 One of the most important activities of a science manager in OSS is the solicitation and selection of research investigations for NASA funding. The distinguishing characteristic of all NASA BAAs is that they solicit ideas for basic research investigation, the end result of which is new knowledge and sometimes data that are to be made publicly available at the conclusion of the investigation.

2.2 NRAs solicit relatively low-cost (typically \$50,000 to \$200,000) supporting Research and Analysis (R&A) investigations for repetitive programs funded by NASA's on-going R&A budget. R&A support is used to help understand natural space phenomena and their related technologies, including theoretical studies and ground-based laboratory developments.

2.3 Most OSS NRAs are for basic research of a continuing nature in the following science disciplines:

- a. Astrobiology
- b. Astrophysics Theory and Data Analysis
- c. Cosmic and Heliospheric Physics
- d. Cosmic Ray Physics
- e. Cosmochemistry
- f. Exobiology
- g. High-Energy Astrophysics
- h. Infrared/Sub-millimeter/Radio Astrophysics

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- i. Ionosphere/Thermosphere/Mesosphere
- j. Long-Term Space Astrophysics
- k. Magnetospheric Physics
- l. Origins of Planetary Systems
- m. Planetary Astronomy
- n. Planetary Atmospheres
- o. Planetary Geology and Geophysics
- p. Planetary Instrument Definition and Development
- q. Solar Physics
- r. Space Physics Theory
- s. Ultra-violet/Visible/Gravitational Astrophysics

- 2.4 NRAs must conform to high standards for completeness, clarity, and style and must comply with applicable Federal Acquisition Regulations (FARs) and NASA FAR Supplements (NFSs).
- 2.5 NRAs must be publicly announced in advance of their formal release and must be openly available to the public on their advertised release date.
- 2.6 Proposals submitted in response to NRAs are subjected to full peer review for scientific, technical, fiscal, and programmatic merits.
- 2.7 A Designated Selecting Official selects qualified proposals of merit within the limits of the available program budget.
- 2.8 The Senior Program Executive for Review and Evaluation oversees the preparation, approval, and release of all OSS NRAs.
- 2.9 Basic research investigations do not lend themselves to specific performance or engineering specification. Consequently, standard requests for proposals (RFPs) are not used to solicit OSS research proposals.

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3. DEFINITIONS

- 3.1 Code G. The NASA Headquarters Office of the General Counsel.
- 3.2 Code H. The NASA Headquarters Office of Procurement.
- 3.3 Code I. The NASA Headquarters Office of External Relations.
- 3.4 Code S. The NASA Headquarters Office of Space Science.
- 3.5 Designated Program Official. The NASA official designated by the OSS Associate Administrator (AA) to approve the release of an NRA.
- 3.6 Designated Selecting Official. The NASA official designated to determine the source for award of a contract or grant.
- 3.7 Non-conflicted reviewer. Scientific peers who have no real or apparent financial interests, institutional affiliations, professional biases and associations, or familiar relationships with NRA proposers or their institutions.
- 3.8 Notice of Intent. A notice or letter submitted by a potential investigator indicating the intent to submit a proposal in response to an NRA.
- 3.9 Peer Review. The process of proposal review utilizing a group of peers, by mail and/or meeting in panel, in accordance with the evaluation criteria stated in an NRA.
- 3.10 Program Scientist. In accordance with delegation authority from the OSS AA, responsible for: providing science policy, strategy, and standards that support OSS goals and standards; determining science objectives, goals, and requirements; approving principal

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program documents; providing science leadership for the program, and assessing science performance.

3.11 Research Program Plan. This plan includes a listing of all proposals from the current NRA recommended for selection or rejection, along with all continuing multi-year tasks and the required funding for each.

3.12 Technical Feasibility Review. Review of the feasibility of proposed innovative research equipment, or of proposed interface of such equipment with NASA-furnished facilities, prior to completion of Peer Review.

4. REFERENCES

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| 4.1 | ANSI/ISO/ASQC Q9001-1994 | American National Standard, Quality Systems -- Model for Quality Assurance in Design, Development, Production, Installation, and Servicing |
| 4.2 | HCP1280-2 | Corrective and Preventive Action |
| 4.3 | HCP1280-3 | Internal Quality Audits |
| 4.4 | HCP1400-1 | Document and Data Control |
| 4.5 | HCP3410-4 | Employee Training |
| 4.6 | HQPC1150.1 | NASA Headquarters Quality Council Policy Charter |
| 4.7 | HQSM1200-1 | NASA Headquarters Quality System Manual |

Office Work Instruction (OWI)

HOWI8310-S018A
05/10/1999

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4.8	NHB 5100.4	NASA FAR Supplement Part 1852.235-72 Instructions for Responding to NASA Research Announcements for Solicited Basic Research Proposals
4.9	NPD 1000.1	NASA Strategic Plan
4.10	NPD 8730.3	NASA Quality Management System Policy (ISO 9000)
4.11	NPG 1000.2	NASA Strategic Management Handbook
4.12	NPG 1441.1	NASA Records Retention Schedules (NRRS)
4.13		NASA Budget

Office Work Instruction (OWI)

HOWI8310-S018A

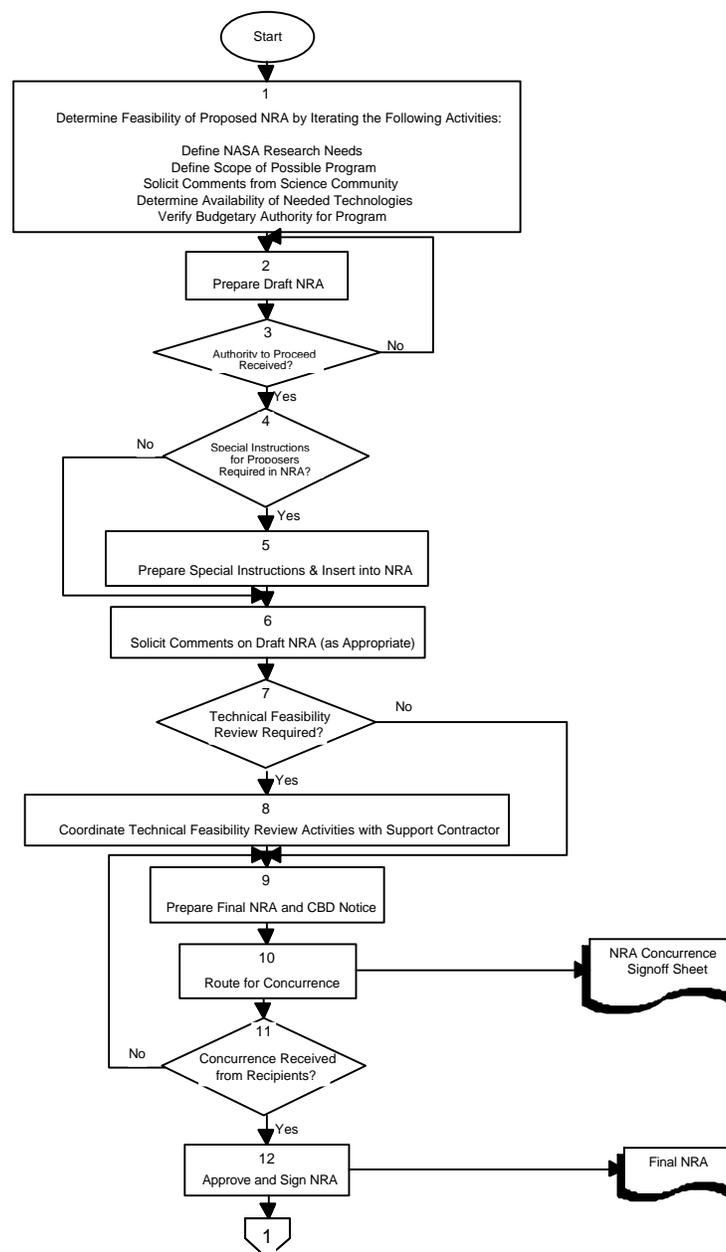
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5. FLOWCHART

[NOTE: "Quality record" output products are identified via shadowing of the standard ANSI document symbol.]



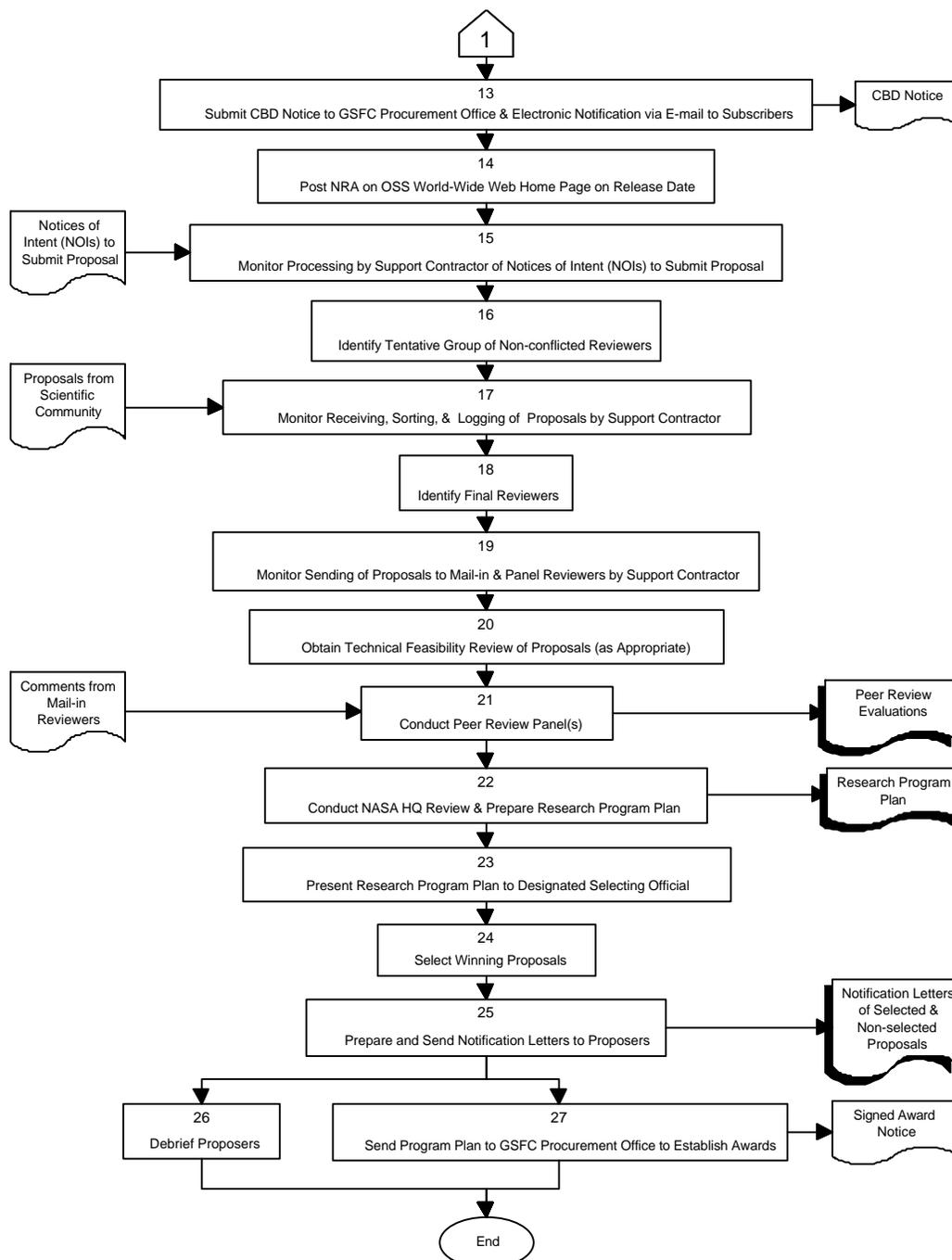
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6. PROCEDURE

[NOTE: The following sequence of process steps is numbered in accordance with the number assigned to each corresponding function block in the flowchart in Section 5.]

<u>STEP #</u>	<u>AGENTS</u>	<u>DESCRIPTION</u>
1	Program Scientist	Determine the feasibility of a proposed NRA by iterating the following activities: <ul style="list-style-type: none"> • Define NASA research needs • Define the scope of a possible program • Solicit comments from the science community • Determine the availability of needed technologies • Verify budgetary authority for the program
<i>[NOTE: These activities occur in parallel in an iterative manner.]</i>		
2	Program Scientist	Prepare the draft NRA.
3	OSS AA	If the draft NRA is approved by the OSS Associate Administrator (AA) or designee, proceed to Step #4; if not, return to Step #2.
4	Program Scientist	Determine whether special instructions are required for responding to the NRA. If special instructions are required, proceed to Step #5; if not, proceed to Step #6.
5	Program Scientist	Prepare special instructions (if applicable) for responding to the NRA.
6	Program Scientist	Solicit comments on the draft NRA from the OSS Science Program Director, the Director of the Research Program Management Division, and the Senior Science Program Executive for Review and Evaluation.

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- 7 Program Scientist Determine whether a Technical Feasibility Review of submitted proposals is necessary.
- 8 Program Scientist Coordinate the activities performed by the OSS Support Contractor in facilitating the Technical Feasibility Review (if appropriate).
- 9 Program Scientist Prepare the final version of the NRA and the advance notification of its issuance to be posted via the Commerce Business Daily (CBD).
- 10 Program Scientist Submit the final version of the NRA to the OSS Senior Science Program Executive for Review and Evaluation for review and concurrence and establishment of the appropriate concurrence list.
- 11 Program Scientist Determine whether all reviewers of the final NRA have concurred with its contents. If so, submit the NRA for approval and signature per Step #12. If any non-concurrences have been received (e.g., from Code S, Code I, Code H, and/or Code G), revise the NRA as appropriate and repeat the review cycle in Steps #9 and #10.
- 12 Designated Program Official Approve and sign the NRA.
- 13 Program Support Specialist The Commerce Business Daily (CBD) notice is sent to the Goddard Space Flight Center (GSFC) Procurement Office, which then publicly announces the forthcoming NRA via the CBD fifteen calendar days prior to formal release of the NRA. Notification of the forthcoming NRA is also sent via an E-mail message to the list of OSS E-mail subscribers.

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| 14 | Program Support Specialist | Post the NRA on the OSS World-Wide Web home page on the morning of its official release date. |
| 15 | Program Scientist | Monitor the OSS Support Contractor's activities of processing Notices of Intent (NOIs) to submit proposals. OSS <i>requests</i> that all interested proposers submit NOIs. Although these NOIs are not mandatory, they facilitate OSS selection of peer reviewers of submitted proposals by identifying prospective proposers that are therefore ineligible to serve as peer reviewers. |
| 16 | Program Scientist | Identify a tentative group of non-conflicted reviewers of proposals submitted in response to the NRA, based upon NOIs and upon research areas expected in proposals. |
| 17 | Program Scientist | Monitor the OSS Support Contractor's activities of receiving, sorting, and logging all submitted proposals. |
| 18 | Program Scientist | Identify the final set of non-conflicted reviewers of proposals, based upon actual proposers and research areas. |
| 19 | Program Scientist | Monitor the OSS Support Contractor's activity of sending copies of received proposals to all designated reviewers. Some of these reviewers may conduct a "remote" review and submit their evaluations via the U.S. Mail. Other reviewers will participate in an "on-site" review panel. |
| 20 | Program Scientist | If a Technical Feasibility Review of submitted proposals is necessary (per the results of Steps #7 and #8), provide the proposals to the appropriate NASA Center to perform this action. If a Technical Feasibility Review is not necessary, submit the proposals directly to the Peer Review Panel. |
| 21 | Program | Convene the Peer Review Panel to review and evaluate each |

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- Scientist proposal. This Panel will incorporate the inputs submitted from “remote” mail-in reviewers (if applicable) and the Technical Feasibility Review (if applicable) into a set of Peer Review evaluations of the proposals. The OSS Support Contractor receives and organizes the inputs from “remote” mail-in reviewers and performs logistical support for the Peer Review Panel meetings.
- 22 Program Scientist Conduct a review at NASA Headquarters (HQ) of the Peer Review Panel evaluations and prepare the Research Program Plan.
- 23 Program Scientist Based upon the results of the Peer Review Panel evaluations and the NASA HQ review, provide selection recommendations to the Designated Selecting Official.
- 24 Designated Selecting Official Select the winning proposals.
- 25 Program Scientist Prepare and send notification letters to all proposal submitters to identify which proposals have been selected.
- 26 Program Scientist Debrief all proposal submitters.
- 27 Program Scientist Send the Research Program Plan to the Procurement Office at the Goddard Space Flight Center (GSFC), which will issue the signed award notice and return a copy of it to OSS.

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7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
NRA Concurrence Signoff Sheets	Program Scientist	Program Scientist's office	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
NASA Research Announcements (NRAs)	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Peer Review evaluations	Program Scientist	Program Scientist's office	Hardcopy	Schedule 7, Item 9A1 & Item 9A2	For accepted proposals: File documentation with related grant or contract file; destroy accordingly. For rejected proposals: Retire to FRC when 1 year old. Destroy when 5 years old.
Research Program Plans	Program Scientist	Program Scientist's office	Hardcopy	Schedule 5, Item 37A	Retire to FRC 2 years after completion of grant. Destroy when 6 years 3 months old.
Notification letters of selected and non-selected proposals	Program Scientist	Program Scientist's office	Hardcopy	Schedule 5, Item 37A	Retire to FRC 2 years after completion of grant. Destroy when 6 years 3 months old.

[NOTE #1: These "quality record" output products are identified in Section 5 ("Flowchart") of this OWI via shadowing of the standard ANSI document symbol.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]

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