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Objectives

- Learn basic information about NASA, its divisions and how solicitations are organized.
- Describe the requirements for the most common entries in a NASA/NSPIRES submission.

Note: This presentation is for 'Beginner' audience level.

Part 1

NASA's Congressional Charter, Mission, and Organization NASA Sponsored Research Programs and Opportunity Information Submission Systems for NASA Proposals Take-a-Way

Part 2

Tips/Info on using the NASA Guidebook for Proposers

Tips/Info on using the ROSES NRA

Common entries and requirements for a NASA/NSPIRES submission

Special submissions

Take-a-Way

Part 3

After Submission Actions

Review and Award Considerations

Take-a-Way

Some tips and Info on using the NASA Guidebook for Proposers

- NASA Guidebook for Proposers
 - *All proposers applying to a NASA NOFO should adhere to the guidelines contained in this Guidebook to the extent invoked in the NOFO. NASA NOFOs are located in the NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES): https://nspires.nasaprs.com and Grants.gov: https://www.grants.gov.
 - Is issued yearly or as NASA deems necessary. (last revision 2/4/2022; effective 2/18/2022). Normally does not have a 'significant change' section
 - A specific announcement on a 2023 issue hasn't been received but it is highly likely.
 - Contains information on format, common proposal items like CV, Current and Pending, some file content info, submission info, review info, etc.
 - Has links to a lot of forms and other information of interest.

- NASA Guidebook for Proposers (cont.)
 - Does not take precedence over the Notice of Funding Opportunity (NOFO)
 - The requirements of this Guidebook shall be applicable to the extent invoked by the NOFO. NOFOs may provide other instructions, under which NASA may reject, without review, proposals that do not follow the NOFO instructions."
 - Notice of Intent (NOI) may be optional or required; can usually be submitted by the PI without ORS involvement but OU policy is that an info sheet must be done prior to submission. A full proposal can usually be generated off of the NOI in NSPIRES (the NASA submission system).
 - To be correctly listed on a proposal all team members need NSPIRES accounts.
 - References to setting up SAMS, Grants.gov, etc. accounts should be ignored unless you talk with your PS and they tell you otherwise. You do need to set up an NSPIRES account and affiliate it with OU. Your account with NASA can have multiple affiliations so be sure the right one is selected if you have more than one. OU cannot do any accounts for your CoPI/team members at other organizations.

- Session 1 mentioned different types of funding opportunities one of these was NASA Research Announcements (NRA's)
- Many of the Directorates or areas that do funding will issue NRAs on what they are interested in supporting.
 - Several Directorates Mission Directorates (Aeronautics Research, Exploration Systems Development, Science, Space Operations, Space Technology) and the Mission Support Directorate.
 - ▶ 18+ Centers and Facilities (plus the NASA Management Office [oversees JPF and Federally Funded Research and Development Center {FFRDC} work]).
 - If you are interested in STEM education-related funding, there is info in the Guidebook and on the NASA and NSPIRES websites.
- One of the largest NRA's (and with a large amount of the NASA budget) is called the Research Opportunities in Space & Earth Sciences (ROSES)

Some tips and Info on using the NASA ROSES NRA

- ROSES (Research Opportunities in Space & Earth Sciences)
 - Usually comes out annually or as needed by NASA.
 - Contains a link to the strategic plan update on first content page. Most of the time ROSES will refer you to the Guidebook for many proposal submission items/proposal contents
 - Is arranged in support of the research programs under the Sciences Directorate previously mentioned (for example)
 - Appendix A is tied to Earth Science Research & Applied Science Programs
 - Appendix E is for Cross division program elements that involve 2 or more program areas
 - Always look at significant changes near the first page of content called 'Summary of Solicitation.

Some tips and Info on using the NASA ROSES NRA--HOT

- ROSES (Research Opportunities in Space & Earth Sciences)
 - New ROSES dropped 2/14/2023.
 - Updated Scientific Information Policy Data sharing requirements similar to new NIH requirements - involves publications and data access with specific timing.
 - ▶ All PI and CoPI must have ORCID (load in Personal Profile)
 - ▶ Pilot project on Inclusion Plan (2 pg.) will affect at least a dozen programs
 - ▶ NASA says specific solicitation will be clear that they are required.
 - Dual Anonymous Peer Review is being expanded to more programs
 - ▶ NASA says specific solicitation will be clear that they are required.
 - Topical Workshops, Symposiums, and Conferences (TWSC) will become a separate solicitation from ROSES; ROSES 2022 will accept submissions until May 12, 2023
 - There are many program element changes that are listed in the Summary of Solicitation - recommend read as there are several new ones.

Some tips and Info on using the NASA ROSES NRA - continued

- You can submit to certain programs in the ROSES, but it is more common for each of the program elements in the ROSES to have an amendment issued for a specific topic or focus. It is common for them to also do what is called a Step 1 and Step 2 proposal. It is also not uncommon to see a request or requirement for a Notice of Intent, a preliminary, or a white paper.
- At the end of each sub section there is usually a summary chart on special information related to that are and a contact for the program officer.
- ROSES has a deadline table for all of the solicitations associated with it. (link is in the ROSES)
- It is not easy to use (over 600 pages, has many links, is often updated/amended).

► NASA Two-Step Proposal Process

Some NASA programs have a required two-step proposal process. For these programs, a Step-1 and Step-2 proposal are required.

Step-1 Proposal

- Replaces notice of intent (NOI) and provides an abbreviated presentation of the intended research.
- Typically includes 4000-character limited Proposal Summary, names of investigation team members.
- Usually, no budget information required.
- Must be submitted by ORS by the Step-1 proposal due date; however, internal proposal routing may be delayed to step 2 phase depending on the submission components.

Step-2 Proposal

- May or may not require invitation to submit following Step-1 proposal. This requirement varies by program as described in the program solicitation.
- Proposal, must be submitted by ORS by the proposal due date.
- All OU required proposal documents for routing are to be provided before submission.

- Common Entries and Requirements (per Guidebook)
 - Proposal Summary/Abstract limited to 4000 characters including spaces; don't use special characters or formatting; must be publicly releasable
 - Data Management Plan specific requirements given in Guidebook along with links; 8,000 character limit; may have NOFO info too.
 - Table of Contents
 - Scientific/Technical/Management Plan
 - Goals, expected significance (especially related to the NOFO)
 - Perceived impact to knowledge in the field
 - Technical approach and methodology
 - General Implementation Plan (milestones, management structure for proposal personnel - note check definition of personnel types in the Guidebook)
 - References and Citations

- Common Entries and Requirements (cont.)
 - Biosketches (length and who is required to have one depends on their role on the proposal and their amount of effort)
 - Current and Pending Support (paid or unpaid effort, disclose China information if applicable, required for PI, CoPI, and Co-I with >10%; immediate notification of PO is change from pending to award on overlapping projects)
 - Statements of Commitment/Letters of Support
 - NSPIRES team member listing takes care of commitment (if they can't be listed must include in body of proposal)
 - ▶ NOFO may have different directions
 - If using grants.gov each person must sign a statement (template provided in Guidebook) (ORS does not recommend using grants.gov for NASA submissions)
 - Letters of Support are very limited (facilities/resources not under control or PI or team members; conduct of research by non-US organization)

- Common Entries and Requirements (cont.)
 - Proposal Budget with Budget Narrative and Budget Details
 - NOFO will contain budget parameters (limits [may be floor and ceiling], limits or requirements for personnel, salaries, travel, etc.)
 - Guidebook has definitions for categories of spending
 - Very common to have at least 3 depictions of budget information
 - What they call 'cover page form'
 - Total Budget file (the OU detailed budget for each year, plus cumulative, budget justification, rate agreement [and if you have a subcontract, same info on them])
 - Redacted Budget (budget without info on salaries, fringe, tuition, or idc)
 - Real Year Dollars, Fiscal Year Dollars, Calendar Year, and Fiscal Year Budgets
 - ▶ Allow time to do the budgets; the OU budget template is still required.
 - Budget Narrative (explains and breaks down all costs including the basis for the cost such as a quote or PI prior experience)
 - Budget Details (the actual costs tied to the narrative; we normally use the OU spreadsheet or a table depending on where the information is presented)

- Common Entries and Requirements (cont.)
 - Table of Personnel and Work Effort (normally immediately after budget but NOFO can call for other locations; funded and unfunded)
 - Facilities and Equipment (required for proposal and whether on hand or needed
 - Special Notifications and Certifications (only as required by NOFO)
 - Environmental Impact/National Environment Policy Act (NEPA) (questions in Guidebook may show additional submission materials are needed; sometimes the NOFO will say this is due at award consideration)
 - Flight Activities (if applicable; this is not passenger flight but things like airplanes and/or helicopter services or drones)

TABLE 1: CHECKLIST FOR ROSES-2023 PROPOSALS

This list does not apply to Step-1 proposals. Many items on this checklist may be superseded by the program element and, if there is a difference, the text in the program element takes precedence. The instructions here supersede the *NASA* <u>Guidebook for Proposers</u>; if there is a difference, see <u>Section I(g)</u>.

NSPIRES cover pages: This table lists the few aspects that most commonly cause difficulties to proposers. There are many required parts to the cover pages, see the NSPIRES online help for guidance.

	- v
Section or topic	Requirements, caveats, citations, notes, link for more information
Team	All investigators must indicate participation via NSPIRES, except proposals submitted via Grants.gov. If any team member doesn't confirm their participation the AOR will get an error that prevents submission.
Team	Paid team members may not be collaborators, they should be given a role permitted to receive funds, such as Co-I.
Team	A critical partner with a sustained, continuing role is a Co-I, not a collaborator, even if unpaid. See also FAQ #21.
Project	Project Summary (abstract) must be in the 4000-character text
Summary	box in the NSPIRES cover pages, not the Science/Technical/ Management section of the proposal.
Budget	List all costs. Include all salary and indirect costs in the NSPIRES cover page budgets but not in the proposal PDF, see Section IV.(b)iii .
Submission	The author must "release" the proposal and the AOR must

4-page checklist excerpt; from last pages of ROSES

Submission Systems for NASA Proposals (we went through in Part 1

- Submissions to NASA are normally through Grants.gov or NSPIRES
 - Sometimes the solicitation will specify the system or alternatives like paper submission or email.
 - Paper is unusual but email is sometimes used for white papers or step 1 proposals.
 - Grants.gov can be used for ROSES and CAN submission but most (especially NASA's Science Mission Directorate) prefer NSPIRES submissions.
 - NSPIRES stands for NASA Solicitation and Proposal Integrated Review & Evaluation System.
 - If you submit in Grants.gov keep in mind you must still register with NSPIRES for COI checking and post submission information. (requires special permission from ORS and is not usually recommended)

- ► For researchers, NASA provides the following resources for applications and using the NASA NSPIRES system:
- NASA For Researchers: SARA
- NASA For Researchers FAQs
- NASA Research Opportunities
- NSPIRES Help
- NSPIRES Tutorials and User Guides changing to 'online help'

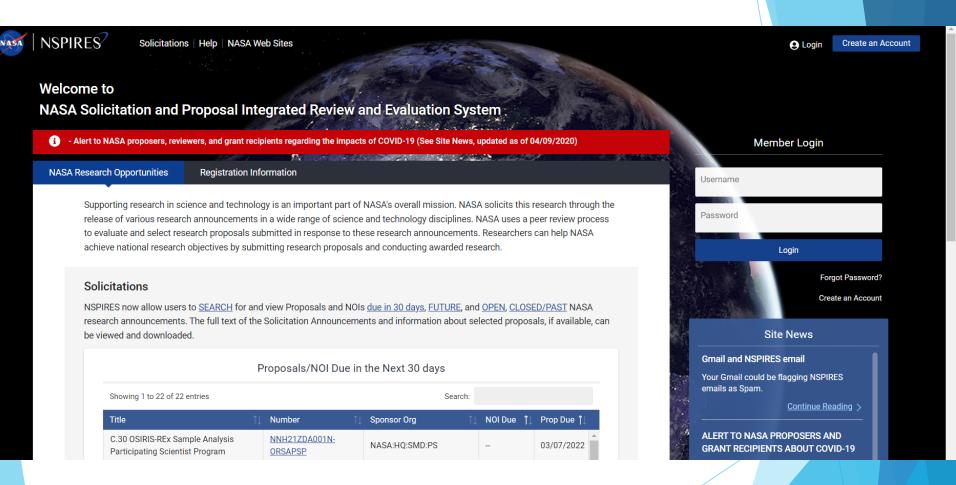
Submission for NASA Proposals

- As a PI you create the proposal in NSPIRES and when it is ready to submit you 'release' it to the organization to be submitted.
- When you release the proposal to ORS it becomes 'Locked' this means you are locked out of it and can't change anything. IF you need to change something or if ORS sees something that you need to correct then they can 'unlock' the proposal and that puts it back where the PI can make changes.

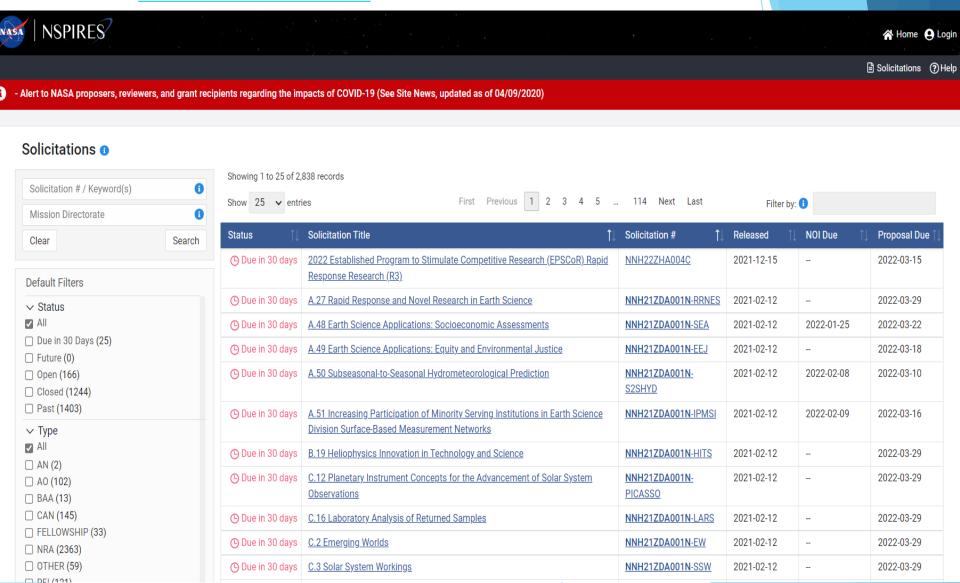
Info on SARA for registration and submission

NSPIRES Basics: registration and submission | Science Mission | Directorate (nasa.gov)

NASA deadlines are usually 1159 pm Eastern unless the NOFO says otherwise. OU deadline is 5 pm local time. NASA strongly encourages submission a few days before the deadline.



check the Table of due dates





Account Mgmt | Organization Mgmt | Proposals/NOIs | Reviews

A Home A Logout

Proposals/NOIs

Unsubmitted Proposals/NOIs

Submitted Proposals/NOIs

Proposal Questions?

If you need help with this process, please contact the NSPIRES Help Desk at (202) 479-9376, or by email at nspires-help@nasaprs.com

Click here for more contact information.

View Proposal

Solicitation Announcement: NNH20ZDA001N-ADAP:D.2 Astrophysics Data Analysis

Proposal No.:

TBD on Submit

PI:

Submittal Type:

Electronic Submissions Only Proposal Due: 07/16/2020, 11:59 PM EDT

Linked

Status:

Submitting

UNIVERSITY OF OKLAHOMA

Organization:

1000 ASP AVE RM 105, NORMAN, OK 73019

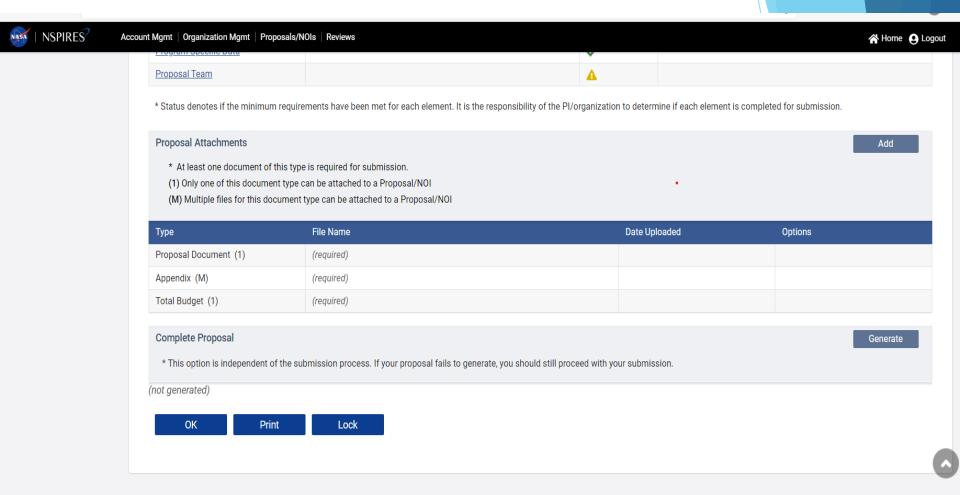
UEI: EVTSTTLCEWS5 DUNS No.: 848348348-CAGE Code: 3G168

ORCID:

Proposal Cover Page				
Element	Updated	Status *		
<u>Proposal Summary</u>		✓		
Business Data		✓		
Budget		A		
Program Specific Data		✓		
Proposal Team		Δ		

^{*} Status denotes if the minimum requirements have been met for each element. It is the responsibility of the PI/organization to determine if each element is completed for submission.

Top of screen





Account Mgmt | Organization Mgmt | Proposals/NOIs | Reviews



- Alert to NASA proposers, reviewers, and grant recipients regarding the impacts of COVID-19 (See Site News, updated as of 04/09/2020)

Organization Proposals

Unsubmitted Proposals

Submitted Proposals

View Proposal

Proposal Information

Cover Page Elements

Proposal Summary

Business Data

Budget

Program Specific Data

Proposal Team

View Proposal

Proposal:

Please read the solicitation carefully. If the solicitation provides instructions about the content or length of this section, please provide what the solicitation requests. If no specific quidance is provided, please enter a brief description of the proposal that provides the information listed below:

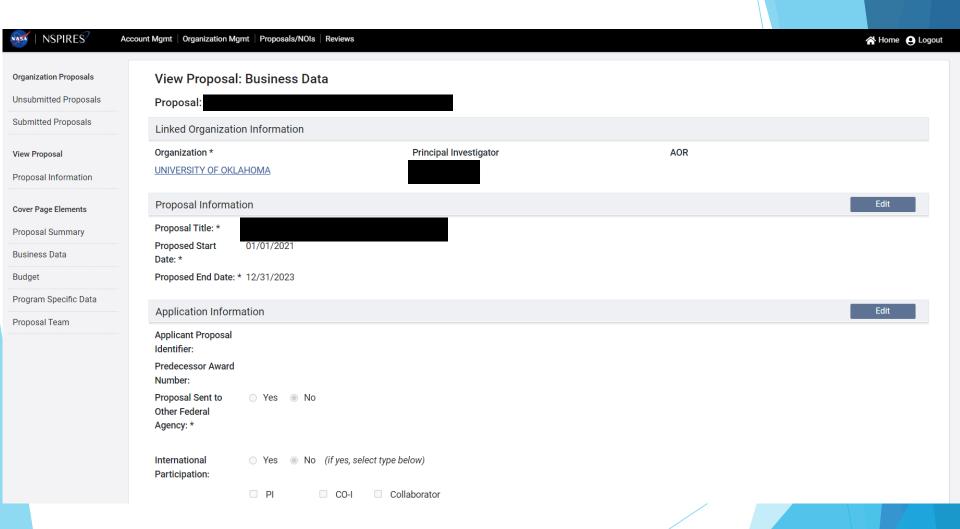
- A description of the key, central objectives of the proposal in terms understandable to a nonspecialist;
- A concise statement of the methods/techniques proposed to accomplish the stated research objectives; and
- A statement of the perceived significance of the proposed work to the objectives of the solicitation and to NASA interests and programs in general.

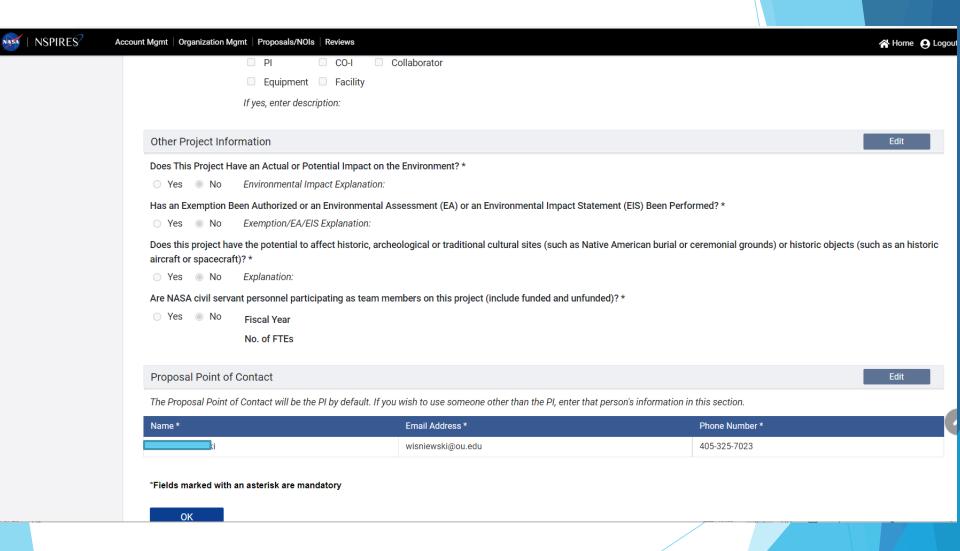
The proposal summary is limited to 4000 characters (including hidden ones when pasting in from a word processing program). Please avoid special characters or formatting. If you exceed the limit you will know because you will get a 'Validation Error' message.

Note:

NASA intends to publish the proposal's full title, the PI's name and organization, and the Proposal Summary of every selected investigation in a publicly accessible data base; therefore, the Proposal Summary should not include proprietary information that would preclude its unrestricted release.

Proposal Summary





NSPIRES AC	Account Mgmt Organization Mgmt Proposals/NOIs Reviews							
Submitted Proposals	Budget							
View Proposal Proposal Information	Budget Period: Start Date End Date	1 Enter Dates	2 Enter Dates	3 Enter Dates	Total			
Cover Page Elements		Сору	Сору	Сору				
Proposal Summary	A. Senior/Key Person	<u>\$0.00</u>	\$0.00	<u>\$0.00</u>	\$0.00			
Business Data	B. Other Personnel	<u>\$0.00</u>	\$0.00	\$0.00	\$0.00			
Budget	Total Salary and Wages (A+B)	\$0.00	\$0.00	\$0.00	\$0.00			
Program Specific Data	C. Equipment Description	<u>\$0.00</u>	\$0.00	\$0.00	\$0.00			
Proposal Team	D. Travel	<u>\$0.00</u>	\$0.00	<u>\$0.00</u>	\$0.00			
	E. Participant/Trainee Support Costs	\$0.00	\$0.00	\$0.00	\$0.00			
	F. Other Direct Costs	<u>\$0.00</u>	\$0.00	<u>\$0.00</u>	\$0.00			
	G. Direct Costs (A through F)	\$0.00	\$0.00	\$0.00	\$0.00			
	H. Indirect Costs	\$0.00	\$0.00	\$0.00	\$0.00			
	I. Total Direct and Indirect Costs (G + H)	\$0.00	\$0.00	\$0.00	\$0.00			

\$0.00

\$0.00

\$0.00

\$0.00

\$0.00

\$0.00

\$0.00

\$0.00

K. Budget Total (I + J)

J. Fee

Program Specific Data (29 questions; some in my terms to give you an idea)

Title

Type of Institution

Will any funding be provided to a federal government organization (such as NASA, another federal agency, a national lab)

Doe the proposal involve the use of NASA-provided High End Computing (HEC)

List team members not able to confirm in NSPIRES

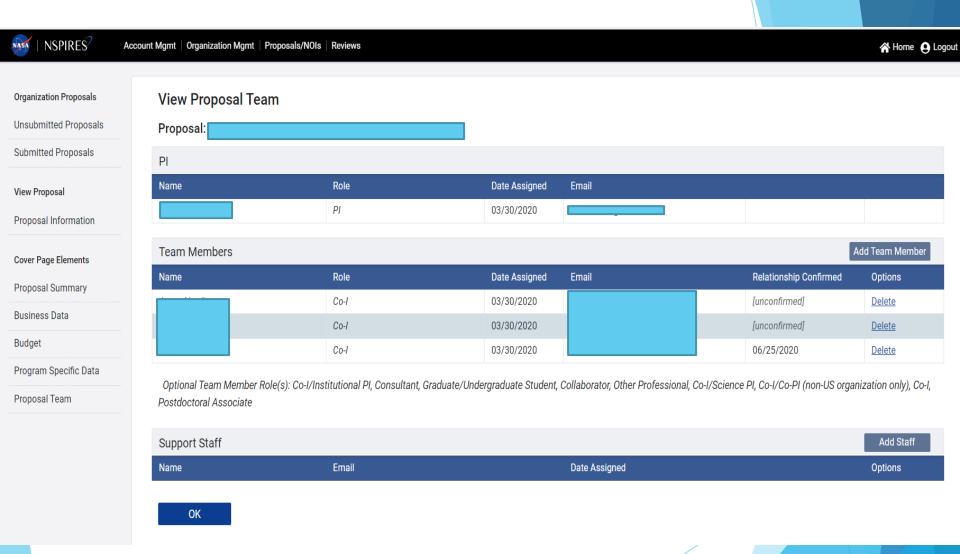
Is Export Control involved

Is China involved

Does the proposal involve construction of new facilities

Are there any environmental concerns

Does proposal involve launch of a payload, equipment, or instrument



ODDs and ENDs of interest:

- Limitation on CVs and CPs and different lengths (10% rule).
- Each Program Element may specify different page limits for parts of the proposal submission (one place to look is 'Summary of Key Information at the end of the program element description) or forms.
- Some capability for error checking internal to NSPRIRES package; you can submit with warnings.
- If NOI submitted, normally the package for the full submission is created from the NOI.

ODDs and ENDs of interest continued:

- Check for amendments 30 days prior to due date (if not more often).
- Due date deadline is usually 1159pm Eastern (late proposal accepted at discretion of PO but usually rejected w/o review).
- Cost share usually not required or considered in review but if offered (especially in budget area) may be claimed.

ODDs and ENDs of interest continued:

Foreign Entities:

- NASA will conduct research with foreign entities but normally on a cooperative, no exchange of funds basis(each country participating in the proposal bears their cost of the research). This includes subawards and travel to conduct research or present at conferences. Direct purchase of supplies/services is allowed. There are exceptions to this sometimes stated in the solicitation and other times with the permission of the program officer (due to the unique nature of the project or unique expertise of the proposer).
 - China exclusion
- It is possible, depending on the entity and origin of the projected 'subcontract', to handle it as a vendor (depending on your organizational policies you might still handle it as a subcontract internally).

Special Submissions

- Fellowships
 - NASA offers two fellowship programs, Future Investigators in NASA Earth and Space Science Technology (FINESST) and NASA Space Technology Graduate Research Opportunities (NSTGRO). If you are applying for a NASA fellowship, submit an information sheet and work with your PS, they usually have to be submitted by ORS.
 - The NASA Earth and Space Science Fellowship (NESSF) has been replaced by the FINESST program. Only current fellows are eligible to apply for NESSF renewals.
- Facility Usage
- Internships

Special Submissions

Pilot Program for Dual Anonymous Peer Review (DAPR)

- Under this system, not only are proposers not told the identity their reviewers, the reviewers are not told the identity of the proposers, until after they have evaluated the scientific merit of all of the anonymized proposals.
 - No identifiers allowed in main document for personnel, organizations, etc.
 - Additional file required 'Expertise & Resources' (biosketches, current and pending, non-redacted work effort, facilities)
 - ROSES has list of involved programs in the Summary of Solicitation area. NASA says the specific solicitation will be clearly marked.

Dual-Anonymous Peer Review (DAPR) | Science Mission Directorate (nasa.g

Take-a-Way

- Do your info sheet early.
 - Budgets take time because of the various formats needed.
 - Budget form in NSPIRES cover page is loaded by your PDS manually.
 - NOFO needs to be checked for special requirements.
- If you don't have an NSPIRES account don't wait to get one.
- Make sure all your team members have an account.
- Read the Guidebook.
- Read the NOFO guidelines and make sure you know if an NOI is due.
- Find out if your proposal will be impacted by DAPR.
- Create your proposal in NSPIRES as soon as possible
 - Load team members so they can confirm involvement.
 - Answer the Program Specific Data questions (they may drive other needs).
 - Make sure between the solicitation and application you understand what attachments are needed.

Questions??