

MWI 5000.1  
REVISION J-2  
EFFECTIVE DATE: April 6, 2016  
EXPIRATION DATE: April 6, 2021

---

# MARSHALL WORK INSTRUCTION

PS01

## PROCESSING NASA RESEARCH ANNOUNCEMENTS (NRAs) AND COOPERATIVE AGREEMENT NOTICES (CANs)

*With Change 2 (4-17-20)*

**COMPLIANCE IS MANDATORY**  
DIRECTIVE IS UNCONTROLLED WHEN PRINTED  
Verify current version before use at <https://dml.msfc.nasa.gov/directives>

<b>Marshall Work Instruction PS01</b>		
<b>Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)</b>	<b>MWI 5000.1</b>	<b>Revision: J-2</b>
	<b>Date: April 6, 2016</b>	<b>Page 2 of 14</b>

### DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Change/ Revalidation/ Canceled)	Document Revision/ Change	Effective Date	Description
Baseline		5/14/99	Document converted from MSFC-P06.1-C02 to a Directive. Previous history retained in system as part of canceled or superseded ISO Document files.
Revision	A	8/16/99	Changes made to reflect new organizational codes.
Revision	B	6/25/01	Updated paragraph 3, Applicable Documents, to reflect revised NASA FAR Supplement Reference. Revised 6.2 Responsibilities, Subparagraph 6.2.3, to delete the requirement for providing copies of NRAs and CANs to PS10.
Revision	C	4/21/03	Throughout the document, changed Selecting to Selection Official, and changed procurement to purchase request; Changed 5.5, to allow additional appointments for individual solicitations; revised 6.1.2 to address that certain requirements may be waived at the discretion of grant officers on grant/cooperative agreement awards; Added 6.3: Congressional Notification for NASA Sponsored Research Resulting from Competitive Solicitations Issued by the MSFC; Added 6.3 to Flowchart; Added MSFC Form 4440 to 9.2.
Revision	D	6/28/2004	Throughout the document, revised MPR to reflect NPR. Throughout the document, made grammatical and formatting revisions as needed. Throughout the document, revised name of MSFC Form 4440 from MSFC Grant/Cooperative Agreement Congressional Notification to Congressional Notification of Research Selection. Throughout the document, revised to spell out acronyms Paragraph 5.2, added CANs to BAA and changed from two to three. Paragraph 6.3.1 Revised to include Research Selection. Paragraph 9.2 added a title for the MSFC Form 4440 Congressional Notification of Research Selection. Paragraph 12 Cancellation revised from MWI 5000.1C dated April 21, 2003 to MWI 5000.1b dated June 25, 2001 and revised Directors name from A.G. Stephenson to David King.
Revision	E	9/26/2004	Throughout the document, denoted requirements with the verb "shall". Throughout the document, revised references from PRG to IPR, MPR to MPR and NPR to NPR.
Revision	F	8/8/2005	Changed Revision E to Revision F. Throughout the document, revised references from Procurement Office to Office of Procurement. Section 9.2 and 9.3, reformatted and renumbered section.
Revision	G	11/28/2007	Made editorial, grammatical, numerical, and formatting corrections as needed. Revised Procurement Office to Office of Procurement, and organization to department. In 3. Applicable documents, added FAR 4.8, MPR 1440.2, NFS 1804.8, NPR 1441.1, and NPR 5800.1, "Grants and Cooperative Agreement Handbook." Added titles to identify directives, forms, and PS10. In 1. Purpose, identified acronym for CANs and NRAs. In 1.1, added information on the resulting agreements for NRA and CAN. In 6.2.1, revised instruction to address CANs or NRAs exceeding the Master Buy Plan thresholds, or exceeding \$10 million. In 6.3.3.2, revised title of Government and Community to the External Relations Office (CS30). In 6.3.4.2 thru 6.3.4.4, added S&MA review requirement for agreements involving hazardous operations or testing. In 9. Records, added reference to Records Retention 5/37/A and Note for retention of Program Project files. In Appendix, revised reference numbering and added Termination points to Flow Diagram.

<b>Marshall Work Instruction PS01</b>		
<b>Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)</b>	<b>MWI 5000.1</b>	<b>Revision: J-2</b>
	<b>Date: April 6, 2016</b>	<b>Page 3 of 14</b>

Revision	H	11/24/2008	Made editorial, grammatical, and formatting corrections as needed. Revised applicability statement. In 1.1.a. corrected reference to Graduate Student Researchers Project. In 3.3, corrected title of NRRS. In 9.1, deleted reference to MSFC Form 4409 and replaced with Checklist and url.
Revision	I	8/31/2010	Made editorial, grammatical, numerical, and formatting corrections as needed. Revised Purpose and Applicability statements. Throughout document, deleted all references to AOs. At 5.7, added S&MA and other center organizations as ad hoc members to the NRA/CAN Steering Committee. At 6.3.3.3, inserted OSAC before External Relations Office. At 6.3.3.4, revised to clarify PS Office Manager to notify successful/unsuccessful offers on Grants and CAs. At 9.3.2, added reference to NASA Form 1098. At 11. Flow Diagram, revised from Appendix A to "See next page." At 12. Cancellation, revised Revision number, date, and Directors name. Revised Flow Diagram. At Appendix added an Acronym list.
Change	1	3/18/2014	On 3/18/14, at the request of the OPRD, an administrative change was made to delete reference to NPR 5800.1, which remains as the Grants and Cooperative Agreement Handbook. Also, revised location of reference to a Contract Checklist.
Revision	J	4/6/2016	Released for five (5) year Center review as required by MPR 1410.2. Some paragraphs were reworded for clarity, but no requirements have been changed or added. Added two additional Applicability statements at 2.3 & 2.4 as required by NPR 1400.1. Added NPR 5810.1 and GCAM as Authority Documents. Reformatted to comply with new required template per MPR 1410.2 & as instructed in MWI 1410.1.
Change	1	2/22/2018	On 2/22/18, at the request of the OPRD, an administrative change was made to correct wording in Appendix D., Records.
Change	2	4/17/2020	On 4/17/20, at the request of the OPRD, an administrative change was made to update hyperlinks and correct wording in Appendix D., Records.

Marshall Work Instruction PS01		
Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)	MWI 5000.1	Revision: J-2
	Date: April 6, 2016	Page 4 of 14

## 1. PURPOSE

The purpose of this MWI is to establish the decision and development process to use for NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs) in accordance with the Federal Acquisition Regulation (FAR), NASA FAR Supplement (NFS), NASA Grant and Cooperative Agreement Manual (GCAM), NASA Procedural Requirement (NPR) 5810.1 and MPR 5000.1.

## 2. APPLICABILITY

2.1 This MWI applies to Center personnel, programs, projects, and activities, including contractors and resident agencies to the extent specified in their respective contracts or agreements. (“Contractors,” for purposes of this paragraph, include contractors, grantees, Cooperative Agreement recipients, Space Act Agreement partners, or other agreement parties.)

2.2 This MWI applies to the Michoud Assembly Facility.

2.3 This MWI applies the following: all mandatory actions (i.e., requirements) are denoted by statements containing the term “shall.” The terms: “may” or “can” denote discretionary privilege or permission; “should” denotes a good practice and is recommended, but not required; “will” denotes expected outcome; and “are/is” denotes descriptive material.

2.4 This MWI applies the following: all document citations are assumed to be the latest version unless otherwise noted.

## 3. AUTHORITY

3.1 [FAR 4.8, “Storage, Handling, and Disposal of Contract Files”](#)

3.2 [FAR 35.016, “Broad Agency Announcement”](#)

3.3 [NFS 1804.8, “Government Contract Files”](#)

3.4 [NFS 1835.016-71, “NASA Research Announcements”](#)

3.5 [NPR 5810.1, “Standard Format for NASA Research Announcements \(NRAs\) and other Announcements for Grants and Cooperative Agreements”](#)

3.6 [“NASA Grant and Cooperative Agreement Manual \(GCAM\)”](#)

[MPR 5000.1, “Purchasing”](#)

<b>Marshall Work Instruction PS01</b>		
<b>Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)</b>	<b>MWI 5000.1</b>	<b>Revision: J-2</b>
	<b>Date: April 6, 2016</b>	<b>Page 5 of 14</b>

#### **4. APPLICABLE DOCUMENTS AND FORMS**

- 4.1 [NRRS 1441.1, “NASA Records Retention Schedules”](#)
- 4.2 [MPR 1440.2, “MSFC Records Management Program”](#)
- 4.3 [PS-OWI-05, “Review and Execution of Procurement Documents”](#)
- 4.4 [NASA Form 1098, “Checklist for Contract Award File Content”](#)
- 4.5 [MSFC Form 4440, “Congressional Notification of Research Selection”](#)

#### **5. INSTRUCTIONS**

##### **5.1 General**

5.1.1 All Center organizations shall consider the use of NRAs and CANs when doing acquisition planning and implementation.

5.1.1.1 Center organizations shall consult with their supporting procurement personnel in deciding if an NRA or CAN is appropriate, and in preparing the various documentation required in the CAN or NRA process. Refer to Appendix E for Flow Diagram.

5.1.2 Actions being awarded by MSFC in response to NRAs or CANs issued by NASA Headquarters or other installations shall require the issuing organization to submit copies of the solicitation document, successful proposals, technical evaluations, and source selection statement to the Office of Procurement/PS01.

5.1.2.1 The Grant Officer shall have the discretion to waive the requirements for providing a copy of the solicitation statement in the case of grant awards.

5.1.2.2 The responsible Center organization shall provide the required funding through a certified procurement requisition, and any updated or revised technical evaluation documentation.

5.1.2.3 The requiring organization shall also support negotiations leading to award (including preparation of statement of work and identifying any reporting requirements, if applicable).

5.1.3 All NRA actions shall be conducted in accordance with FAR 35.016 and NFS 1835.016-71.

5.1.3.1 All CAN actions shall be conducted in accordance with the GCAM.

5.1.4 In contrast to traditional solicitations, communication with offerors prior to receipt of proposals is permitted to ensure that the technical areas of research and objectives identified in the NRA or CAN are clearly understood.

<b>Marshall Work Instruction PS01</b>		
<b>Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)</b>	<b>MWI 5000.1</b>	<b>Revision: J-2</b>
	<b>Date: April 6, 2016</b>	<b>Page 6 of 14</b>

5.1.4.1 This communication shall not extend to providing comments or suggestions on draft proposals or strategic approaches.

## 5.2 Roles

5.2.1 Directors or Managers of Center organizations, or their delegated representatives, shall:

5.2.1.1 Coordinate candidate NRA or CAN actions with the Office of Procurement to determine whether the actions exceed the applicable Master Buy Plan thresholds, or exceed \$10 million where cooperative agreement awards to commercial firms are anticipated.

5.2.1.2 Work NRA or CAN actions that exceed the applicable thresholds outside the NRA/CAN Steering Committee process.

5.2.1.3 Schedule a presentation to the Steering Committee on all other NRA or CAN actions for further consideration and approval.

5.2.1.4 Distribute to each Steering Committee member a proposed copy of the NRA or CAN for review in advance of the scheduled meeting. The presentation to the Steering Committee shall include the following documentation:

- a. A proposed NRA prepared in accordance with NFS 1835.016-71(c), or a proposed CAN prepared in accordance with the GCAM.
- b. A draft synopsis.
- c. A proposed Evaluation Plan, including a Proposal Evaluation Chairperson.

5.2.2 The Steering Committee shall (pursuant to NFS 1835.016-71(b)(1)):

5.2.2.1 Make the final decision on whether a CAN or NRA is the appropriate solicitation.

5.2.2.2 Identify any required changes to the NRA, CAN, synopsis, and Evaluation Plan.

5.2.2.3 Appoint the Selection Official (SO) via designation in the NRA or CAN.

5.2.2.4 Review and comment on the evaluation-findings presentation package before the meeting with the SO.

5.2.2.5 Participate as advisors in the meeting where evaluation findings are presented to the SO.

5.2.3 The Office of Procurement/PS01 personnel shall:

5.2.3.1 Cooperate with requirements-initiating personnel to review and assist with NRA or CAN

<b>Marshall Work Instruction PS01</b>		
<b>Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)</b>	<b>MWI 5000.1</b>	<b>Revision: J-2</b>
	<b>Date: April 6, 2016</b>	<b>Page 7 of 14</b>

preparation.

5.2.3.2 Advise and assist technical personnel in preparing the presentation material for the Steering Committee.

5.2.3.3 Assign a unique NRA or CAN number, and publish the synopsis in the NASA Acquisition Internet Service and Federal Business Opportunities.

5.2.3.4 Issue the NRA or CAN after the applicable synopsis period expires.

5.2.3.5 Advise and/or participate in the evaluation of proposals.

5.2.3.6 Lead the preparation of the source selection statement and the debriefing of unsuccessful offerors.

5.2.3.7 Lead the negotiation, award, and administration of the grants, cooperative agreements, or contracts with the selected offerors.

5.2.4 The NRA/CAN Proposal Evaluation Chairperson shall:

5.2.4.1 Appoint the Evaluation Committee.

5.2.4.2 Coordinate and lead the overall activities of the Evaluation Committee.

5.2.4.3 Schedule a meeting with the Procurement Officer prior to receipt and evaluation of proposals to ensure all aspects of the evaluation process are clearly understood.

5.2.4.4 Schedule a meeting with the Steering Committee after the evaluation process is complete to obtain review comments.

5.2.4.5 Present the findings of the Evaluation Committee to the SO together with the Steering Committee, and participate in any debriefings.

5.2.5 The Proposal Evaluation Committee shall:

5.2.5.1 Evaluate proposals received in response to CANs or NRAs in strict accordance with the Evaluation Plan, the evaluation criteria in the NRA or CAN, and applicable regulations (FAR 35.016, and NFS 1835.016-71, for NRAs, and the GCAM for CANs).

5.2.5.2 Document evaluation findings in a presentation to the SO.

5.2.6 The Representatives from the Evaluation Committee shall:

5.2.6.1 Support any requested debriefings and negotiations leading to award on the selected

<b>Marshall Work Instruction PS01</b>		
<b>Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)</b>	<b>MWI 5000.1</b>	<b>Revision: J-2</b>
	<b>Date: April 6, 2016</b>	<b>Page 8 of 14</b>

proposals.

5.2.6.2 Review and approve grants, cooperative agreements, and contracts in accordance with PS-OWI-05.

5.2.7 The SO shall:

5.2.7.1 Select some, all, or none of the proposals submitted under the CAN or NRA for negotiations leading to awards.

5.2.7.2 Execute the source selection statement documenting the basis for selection.

5.2.7.3 Ensure that proposal evaluations are conducted in accordance with the Evaluation Plan, NRA or CAN requirements, and FAR 35.016, and NFS 1835.016-71, for NRAs, or the GCAM for CANs.

5.3 Congressional Notification for NASA-sponsored research resulting from competitive solicitations issued by MSFC shall apply to MSFC.

5.3.1 NASA Headquarters follows established process for Headquarters solicitations.

5.3.2 The MSFC SO shall:

5.3.2.1 Document any grants or cooperative agreements selections on MSFC Form 4440, “Congressional Notification of Research Selection,” and provide the information to the cognizant Office of Procurement Office Manager no later than 12 hours after final selections have been made.

5.3.2.2 Withhold all other releases of information regarding the selection of grants and cooperative agreements for a minimum of 36 hours after notifying the cognizant Office of Procurement Office Manager.

5.3.3 The Office of Procurement Office Manager shall:

5.3.3.1 Review MSFC Form 4440, “Congressional Notification of Research Selection.”

5.3.3.2 Ensure that all pertinent data have been entered for each of the applicable selections for grant and cooperative agreements.

5.3.3.3 Forward the completed form(s) to the Office of Strategic Analysis and Communications External Relations Office (CS30) point of contact for Legislative Affairs no later than 12 hours after receipt from the SO.

5.3.3.4 Notify successful/unsuccessful Offerors after completing Congressional Notice process on Grant and Cooperative Agreements.

<b>Marshall Work Instruction PS01</b>		
<b>Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)</b>	<b>MWI 5000.1</b>	<b>Revision: J-2</b>
	<b>Date: April 6, 2016</b>	<b>Page 9 of 14</b>

### 5.3.4 Notification to NASA Headquarters

5.3.4.1 CS30 shall provide the selection list information provided on the MSFC Form 4440, "Congressional Notification of Research Selection," to NASA Headquarters Congressional Inquiries Division, Office of Legislative Affairs, via electronic mail no later than 24 hours after receipt of the selection list information, and at least 48 hours prior to the scheduled notification to the selectees by the SO.

5.3.4.2 CAN and NRA agreements involving hazardous operations or testing shall be provided to Safety and Mission Assurance (SMA) for review.

5.3.4.3 SMA shall review the agreement for compliance with NASA Safety Policy.

5.3.4.4 In addition, if the CAN or NRA involves hazardous operations or testing in-house at MSFC, it shall be reviewed by SMA for impact to personnel and funding resources.

## 6. CANCELLATION

MWI 5000.J-1, "Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)" dated April 6, 2016.

*Original signed by*

Todd A. May  
Director

<b>Marshall Work Instruction PS01</b>		
<b>Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)</b>	<b>MWI 5000.1</b>	<b>Revision: J-2</b>
	<b>Date: April 6, 2016</b>	<b>Page 10 of 14</b>

## **APPENDIX A**

### **DEFINITIONS**

Broad Agency Announcement (BAA). A general announcement of an Agency's research interest (e.g., basic and applied research, that part of development not related to development of a specific system or hardware procurement), including criteria for selecting proposals and soliciting the participation of all offerors capable of satisfying the Government's needs. An NRA and CAN are the two forms of a BAA. NASA has also issued announcements in recent years using the FAR designation of BAA.

Cooperative Agreement Notice (CAN). A competitive solicitation where NASA envisions a cooperative agreement as the award instrument.

Office of Procurement (PS01) Office Manager. The head of the individual offices within the Office of Procurement who reports to the Procurement Officer.

Grant Officer. A Federal employee delegated responsibility for award and administration of grants for NASA (e.g., a NASA Grant Officer who has retained grant administration responsibilities, or an Office of Naval Research Grant Officer delegated grant administration by a NASA Grant Officer).

NASA Research Announcement (NRA). A form of BAA used to competitively announce research interests in support of NASA's programs which provides for submission of competitive project ideas, conceived by the offerors, in one or more program areas of interest. NRAs can result in award of contracts, grants, or cooperative agreements.

Cooperative Agreement Notice/NASA Research Announcement (NRA/CAN) Steering Committee. A standing committee, established by this MWI, composed of the Director or Deputy Director of the Engineering Directorate, the Procurement Officer (Chairperson), and the Chief Counsel. SMA and other Center organizations are included as ad hoc members as deemed necessary.

Procurement Officer. The Director of the Office of Procurement, who has overall responsibility for managing the procurement activity.

Records. Refer to MPR 1440.2 for the definition of records.

<b>Marshall Work Instruction PS01</b>		
<b>Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)</b>	<b>MWI 5000.1</b>	<b>Revision: J-2</b>
	<b>Date: April 6, 2016</b>	<b>Page 11 of 14</b>

## **APPENDIX B**

### **ACRONYMS**

BAA	Broad Agency Announcement
CA	Cooperative Agreement
CAN	Cooperative Agreement Notice
FAR	Federal Acquisition Regulation
GCAM	Grant and Cooperative Agreement Manual
NFS	NASA FAR Supplement
NRA	NASA Research Announcements
NRRS	NASA Records Retention Schedule
SMA	Safety and Mission Assurance
SAT	Simplified Acquisitions Threshold
SO	Selection Official

<b>Marshall Work Instruction PS01</b>		
<b>Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)</b>	<b>MWI 5000.1</b>	<b>Revision: J-2</b>
	<b>Date: April 6, 2016</b>	<b>Page 12 of 14</b>

**APPENDIX C**

**VERIFICATION MATRIX (Reserved)**

**None.**

<b>Marshall Work Instruction PS01</b>		
<b>Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)</b>	<b>MWI 5000.1</b>	<b>Revision: J-2</b>
	<b>Date: April 6, 2016</b>	<b>Page 13 of 14</b>

## **APPENDIX D**

### **RECORDS**

**D.1 Records.** Documentation prepared in support of an NRA or CAN will be indexed, filed sequentially in the order as specified on NASA Form 1098, "Checklist for Contract Award File Content"; or the PS Form 02, "Grant/Cooperative Agreement (CA) File Content Form," located on the Office of Procurement website at ~~Grant & CA Content Form~~ and incorporated as part of the official file. Examples include:

Memo appointing the NRA/CAN Evaluation Team.

The NRA or CAN document.

Proposals submitted in response to an NRA or CAN.

Charts forming the evaluation-findings briefing to the SO

NRA or CAN selection statement

Debriefing Minutes

Record of Negotiation with Successful Offeror(s) (See MPR 5000.1, "Purchasing," for record locations for contract and procurement file documentation.)

D.1.1 Formats. In addition, to the examples above use the standard format for NASA announcements of funding opportunities in NPR 5810.1.

### **D.2 Retention Schedule.**

D.2.1 Office of Procurement records retention requirements are set forth in accordance with FAR Subpart 4.8, Storage, handling, and disposal of contract files, NFS 1804.8, Government Contract Files, and NRRS 1441.1, Schedule 5.

D.2.1.1 The retention period for the disposal of contract files (including acquisitions below the SAT) is 6 years after final payment or cancellation, NRRS 5/1/A.

D.2.2 Grants and Cooperative Agreement records are retained in accordance with the NASA GCAM and NRRS 1441.1, Schedule 5.

D.2.2.1 The records retention for the disposal of Grants and Cooperative Agreement files is 10 years after final payment, NRRS 5/37/A.

***Note 1:** Programs/Projects may have other retention requirements with respect to CANs or NRAs. (Reference NRRS 1441.1.).*

***Note 2:** Training records are maintained by the OHC in SATERN in accordance with NRRS 3.*

***Note 3:** See NRRS 5/1/A/3 if contract has been selected by the Associate Administrator for Procurement as precedent setting or unique.*

<b>Marshall Work Instruction PS01</b>		
<b>Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)</b>	<b>MWI 5000.1</b>	<b>Revision: J-2</b>
	<b>Date: April 6, 2016</b>	<b>Page 14 of 14</b>

**APPENDIX E**

**Flow Diagram of MSFC NRA/CAN Process**

