



**National Aeronautics and Space Administration  
NASA Headquarters  
Human Exploration and Operations Mission Directorate  
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Washington, D.C. 20546-0001**

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**Asteroid Redirect Mission  
Umbrella for Partnerships (ARM-UP)**

**Broad Agency Announcement  
NNH16ZCQ002K**

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**Refer To Appendices for Proposal Due Dates**

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## Asteroid Redirect Mission Umbrella for Partnerships

### 1 Scope of This Solicitation

This National Aeronautics and Space Administration (NASA) Broad Agency Announcement (BAA), titled Asteroid Redirect Mission Umbrella for Partnerships (ARM-UP), solicits concept studies for basic and applied research and technology demonstrations, and mission investigations through partnerships with NASA's Asteroid Redirect Mission (ARM). The ARM is part of NASA's plan to advance the technologies, capabilities, and spaceflight experience needed for continuing human exploration. ARM is managed within the Human Exploration and Operations Mission Directorate (HEOMD) in partnership with the Space Technology Mission Directorate (STMD) and Science Mission Directorate (SMD). Although ARM is primarily a capability demonstration mission, there exist significant opportunities to advance our knowledge of small bodies in the synergistic areas of science, planetary defense, asteroidal resources utilization, and other capability and technology demonstrations.

ARM-UP is an umbrella solicitation covering all aspects of applied research and technology for collaboration research and partnerships on the ARM. Specific collaborative research and partnership opportunities will be announced by issuing Appendices to this BAA, to include, but not limited to: partner-provided investigations through systems/payloads to be hosted on the Asteroid Redirect Robotic Mission (ARRM); collaboration through the ARM Investigation Team to support definition of additional mission investigations; studies to define mission partnership opportunities toward NASA's planned crewed mission to the asteroid boulder; and opportunities for access and experimentation at the asteroid boulder after the crewed mission. The intent is that awards resulting from this BAA will enable partnerships within the U.S. and internationally for enabling broader benefits from ARM. This BAA anticipates that capabilities and technologies developed through these partnerships also will provide significant commercial, scientific, exploration technology/capability, and/or planetary defense applications beyond ARM.

Specific Research Partnerships Opportunities are planned to be announced periodically as Appendices to this Umbrella BAA. Each appendix will contain detailed information about specific research emphases, concepts and technologies being sought, and solicitation logistics for that appendix. The appendices will have the funding and the specifics with regard to proposal instructions, eligibility, selection criteria and award decisions where they may differ from the content of this omnibus. Proposal due dates will be posted at <http://www.nasa.gov/armup> and the links provided below. Interested applicants should monitor <http://www.nasa.gov/armup>, <http://www.fbo.gov>, and <http://www.grants.gov/> (where applicable) for additional new program elements or amendments to this BAA through April 2017. A web archive for amendments, clarifications, and corrections to ARM-UP can be found at <http://www.nasa.gov/armup>. Proposals in research areas not requested in the solicitation appendix will be deemed non-compliant and will not be reviewed.

The funds available for awards will be listed in the Appendices. Awards will be made as grants, cooperative agreements, or contracts depending on the nature of the work proposed, the proposing organization, and/or program requirements. When appropriate, the Appendix will specify the type of vehicle contemplated for award and the anticipated period of performance. The typical period of performance may vary from a few months up to a several years.

The Appendices will specify what types of organizations are allowed to submit proposals and/or participate for the particular program element research activity. Note: It is NASA policy that all investigations involving

non-U.S. organizations will be conducted on the basis of no exchange of funds. Unless otherwise stated, the rules in the Guidebook for Proposers Responding to a NASA Funding Announcement (hereafter referred to as the *NASA Guidebook for Proposers*) are the default, but the ARM-UP umbrella document takes precedence where there are differences. Any changes or modifications to any of the guidelines in this document will be specified in the descriptions of the relevant program elements in the Appendices of this solicitation, which will supersede the umbrella document in cases of contradiction.

Additional information or programmatic changes that may affect this omnibus BAA solicitation or any of its Appendices will be added as a formal amendment to this omnibus solicitation and posted on the solicitation's webpage at <http://www.nasa.gov/armup>, <http://www.fbo.gov> and <http://www.grants.gov/> (where applicable). It is each prospective applicant's responsibility to check the webpage for updates concerning the solicitation and the programs of interest. In addition, applicants should monitor the questions and answer log document posted on the ARM-UP webpage. The Q&A log will be updated periodically with questions and answers posed by potential offerors.

## **2 Introduction and Background**

### **2.1 Overview**

NASA continues to meet its milestones on NASA's deep space exploration programs including Orion, Space Launch System, as well as the Asteroid Redirect Mission (ARM). While we continue to use the International Space Station to prepare for deep space exploration, these new capabilities will enable our next steps on the journey to Mars. ARM is a key piece of our deep space endeavors, providing important exploration capabilities.

In the overall plan for ARM, NASA includes both a robotic mission, ARRM, and subsequent crewed mission in its plans in order to provide first uses of key exploration capabilities, such as large scale solar electric propulsion to move large masses in and out of cis-lunar orbits and ultimately to Mars; integrated crewed and robotic vehicle mission operations in cis-lunar orbits; and for human extra-vehicular planetary body sampling, which require real time decision making and agility. The crewed segment of ARM will include spacewalks, humans interacting with only the second natural space object in history, using advanced space suits, new tools, sample selection, extraction, and containment techniques. Our crew will return the largest samples of asteroid material than any mission before it and still within several days return to Earth in case of an emergency.

The mission objectives of ARM are to:

1. Conduct a human exploration mission involving in-space interaction with an asteroid boulder in the mid-2020s, providing systems and operational experience required for human exploration of Mars.
2. Demonstrate an advanced solar electric propulsion system, enabling future deep-space human and robotic exploration with applicability to the nation's public and private sector space needs.
3. Enhance detection, tracking and characterization of Near Earth Asteroids, enabling an overall strategy to defend our home planet.
4. Demonstrate basic planetary defense techniques that will inform impact threat mitigation strategies to defend our home planet.

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5. Pursue a target of opportunity that benefits scientific and partnership interests, expanding our knowledge of small celestial bodies and enabling the mining of asteroid resources for commercial and exploration needs.

The initial contracts awarded through the ARM Broad Agency Announcement (BAA) in 2014 examined public and private interest in potential partnerships in the overall ARM, specifically for secondary payloads for the robotic mission, to use commercially available spacecraft capabilities, and to enhance U.S. exploration activities in cis-lunar space in conjunction with the crewed mission. NASA's subsequent robotic mission concept down selection and acquisition strategy decisions resulted in a baseline concept for robotic mission formulation. In late 2015, a Formulation Assessment and Support Team developed an initial list of potential mission investigations and provided input on potential hosted payloads and partnerships. In August 2016, the ARRM progressed to the preliminary design and development phase, or Phase B.

This umbrella BAA solicits proposals for partnerships and hosted investigations on ARM. Initial appendices include partner-provided investigations through systems/payloads to be hosted on ARRM; and collaboration through the ARM Investigation Team to support definition of additional mission investigations. It is NASA's intent that future appendices include studies to define mission partnership opportunities toward NASA's planned crewed mission to the asteroid boulder; and opportunities for access and experimentation at the asteroid boulder after the crewed mission.

### 2.2 General Information for Participants

- **Agency:** National Aeronautics and Space Administration
- **Announcement Title:** ARM-UP Broad Agency Announcement
- **Responsible Office:** Human Exploration and Operations Mission Directorate  
NASA Headquarters  
Washington, DC 20546
- **Point of Contact:** Dr. Michele Gates  
Program Director, Asteroid Redirect Mission  
Human Exploration and Operations Mission Directorate  
NASA Headquarters  
E-mail: [hq-armup-baa@mail.nasa.gov](mailto:hq-armup-baa@mail.nasa.gov)
- **Notice of Intent:** To assist in the planning of the proposal evaluation process, NASA strongly encourages the submission of a Notice of Intent (NOI) to propose by all prospective offerors. Due dates for the NOI will be specified in the element appendix. The NOI should contain the following information: name, address, telephone number, e-mail address, and institutional affiliation of the offeror, and the solicitation topic in which you intend to propose. NOIs shall be submitted electronically to the NSPIRES address below. **Note that NOIs are strongly encouraged, but are not required. Not submitting an NOI will not impact the selection process.**

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- **Proposal Submittals:** Proposals must be submitted electronically in Adobe pdf format via NSPIRES, NASA’s master proposal database system, at <http://nspires.nasaprs.com/>. This data site is secure and all information entered is strictly for NASA’s use only. Hardcopies will not be accepted. Please see Section 5 of this document for further details on proposal submission.
- **Inquiries:** There will be an opportunity to submit written questions for each appendix released. The questions shall not contain proprietary information nor require proprietary information in the response. NASA will not provide evaluations, opinions, or recommendations regarding any suggested approaches or concepts. All questions shall be directed to the appropriate ARM-UP appendix e-mail box specified in the appendices no later than the date specified in the appendix. NASA may use inquiries in order to populate an FAQ document, at the program officer’s discretion, that will be posted alongside the solicitation on NSPIRES and on the ARM website.
- **Industry Forum:** An ARM-UP virtual opportunity will be held electronically for each appendix released and proposers will have a chance to ask questions about that particular solicitation. NASA may use inquiries in order to populate an FAQ document, at the program officer’s discretion, that will be posted alongside the solicitation on NSPIRES and on the ARM website. The virtual opportunity will include the umbrella announcement and Appendices A and B as part of the planned ARM Community Update on September 14, 2016. The meeting agenda and related information will be posted to the ARM-UP website.
- **Web Site for Reference Information:** <http://www.nasa.gov/armup>

This solicitation constitutes a BAA as contemplated by Federal Acquisition Regulation (FAR) Part 35 and NASA FAR Supplement (NFS) Part 1835 and 1852.235-72.

NASA will not issue paper copies of this Announcement. The Announcement and associated Appendices, related documents, and other information may be obtained and downloaded from NSPIRES (<http://nspires.nasaprs.com/>), the ARM-UP Web site (<http://www.nasa.gov/armup>), and <http://www.grants.gov/> (as applicable). Proposers are encouraged to refer regularly to this site for updates and other information. Responses to submitted questions concerning the Announcement will be posted periodically on the NSPIRES Web page associated with the Announcement.

### 3 Funding Opportunity Description

#### 3.1 Objectives of this Umbrella Solicitation

The overall intent of this solicitation is to enable collaborative science and technology research partnerships on the ARM toward expanding our knowledge of small celestial bodies, demonstrating and expanding human and robotic exploration capabilities, enhancing planetary defense, and enabling the use of asteroid resources for commercial and exploration needs.

#### 3.2 Areas of Emphasis

Please see the appendices for specific areas of interest to NASA.

### 3.3 NASA Safety Policy

Safety is NASA's highest priority. Safety is the freedom from those conditions that can cause death, injury, occupational illness, damage to or loss of equipment or property, or damage to the environment. NASA's safety priority is to protect: (1) the public, (2) pilots, (3) the NASA workforce (including employees working under NASA instruments), and (4) high-value equipment and property. All research conducted under NASA auspices shall conform to this policy.

### 3.4 Availability of Funds for Award

There is no funding associated with this umbrella solicitation. All funding will be associated with each particular appendix. **The Government's ability to make awards is contingent upon the availability of appropriated funds** and the receipt of proposals that NASA determines are acceptable for award under this solicitation.

### 3.5 Additional Funding Restrictions

In addition to the funding restrictions and requirements given in the *NASA Guidebook for Proposers*, 2 C.F.R. 200, 2 C.F.R. 1800, 14 C.F.R. 1274 and the NASA Grant and Cooperative Agreement Manual (GCAM), the following restrictions are applicable to this solicitation:

- The estimated funding and number of proposals anticipated to be funded are subject to the availability of appropriated funds, as well as the submission of a sufficient number of proposals of adequate merit.
- It is not anticipated that this solicitation will require the construction of facilities (i.e., buildings, structures, or other real property). However, if new or modified facilities are required to further the technology, the applicants shall clearly state the rationale. For further information on allowable costs, refer to the cost principles cited 2 C.F.R. 200 Subpart E – COST PRINCIPLES.
- U.S. award recipients may directly purchase supplies and/or services that do not constitute research from non-U.S. sources, but award funds may not be used to fund research carried out by non-U.S. organizations. However, subject to export control restrictions, a foreign national may receive remuneration through a NASA award for the conduct of research while employed either full or part time by a U.S. organization (see Section 1.6 of the *NASA Guidebook for Proposers*).
- Typically travel, including foreign travel, is allowed as may be necessary for the meaningful completion of the proposed investigation, as well as for publicizing its results at appropriate professional meetings.
- Profit for commercial firms is not allowable under grant or cooperative agreement awards. Recovery of costs only (no profit) for commercial organizations is allowed under grant awards. Costs for managing the project may be allowed. These costs, whether direct charges or part of the indirect cost agreement, must be consistent with 2 CFR 200 Subpart E.

Personnel from NASA Centers shall propose budgets based on Full Cost Accounting (FCA) regardless of whether functioning as a Principal Investigator or as a team member. Non-NASA U.S. Government organizations shall propose based on FCA unless no such standards are in effect; in that case such applicants shall follow the Managerial Cost Accounting Standards for the Federal Government as recommended by the Federal Accounting Standards Advisory Board. For further information, see <http://www.hq.nasa.gov/fullcost/>.

If not specified in an appendix, the NASA Awards Officer will determine the appropriate award instrument for the selections resulting from this solicitation. Grants and cooperative agreements will be subject to the

policies and provisions identified in the regulations at 2 C.F.R. 200 and 1800, 14 C.F.R. 1274, NASA GCAM, and Appendix D of the *NASA Guidebook for Proposers* located at <http://www.hq.nasa.gov/office/procurement/BAAguidebook/>. In the case of any conflict, the regulations at 2 C.F.R. 200 and 1800 and the GCAM take precedence over the *NASA Guidebook for Proposers*. Contract awards will be subject to the provisions of the Federal Acquisition Regulations (FAR; <http://www.acquisition.gov/far/>) and the NASA FAR Supplement (NFS; <http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm>.)

### **3.6 Access to Research Results/Data Management Plan**

In keeping with the “NASA Plan for Increasing Access to Results of Federally Funded Research” ([http://www.nasa.gov/sites/default/files/files/NASA\\_Data\\_Plan.pdf](http://www.nasa.gov/sites/default/files/files/NASA_Data_Plan.pdf)), new provisions/terms and conditions about making manuscripts and data publically accessible may be attached to awards that derive from this BAA. Proposals to ARM-UP may be required to provide a data management plan (DMP) or an explanation of why one is not necessary given the nature of the work proposed. The specific research opportunity will provide additional information. As applicable, each proposal must include a DMP that describes how data generated by proposed research will be shared and preserved and how data collected will be made available to the public. If a DMP is required, the offeror must justify any exceptions to making data publicly available, explaining why data-sharing and/or preservation is not possible or scientifically appropriate. Additionally, the DMP must describe how data sharing and preservation will enable validation of results, or how results could be validated if data are not shared or preserved. DMPs must provide a plan for making all research data underlying results and findings in publications digitally accessible at the time of publication. NASA will review DMPs during the evaluation/peer review of your proposal.

NASA anticipates that, starting in 2016, award recipients will be required to archive all as-accepted manuscript versions of publications that result from NASA contract and financial assistance awards in the [National Institutes of Health PubMed Central](#) full-text archive. This requirement will not go into effect until it is included in the provisions/terms and conditions of the awards. Details and instructions for archiving manuscripts will be fully described in future procurement/grant information circulars, Frequently Asked Questions (FAQs) and other official Agency announcements and training materials.

### **3.7 Intellectual Property Developed Under an Award**

Awards made under this BAA may provide recipients with accommodations for payloads and mission investigations that could enable future commercial applications. In order to ensure the offerors have the incentive to develop commercial applications, NASA will require offerors to provide corporate contributions. The intent is that awards resulting from this BAA will enable public-private partnerships that will also provide significant commercial applications beyond NASA.

#### **3.7.1 Data Rights**

Normally, the government has unlimited rights in technical data created by a contractor under a NASA contract. In some situations, recipients may protect qualifying limited rights data and restricted computer software, which has been developed at private expense, by withholding the data from the Government and instead delivering form, fit, and function data. Determinations regarding the extent of NASA’s needs regarding data and computer software will be made after selection in negotiation, but any expectations on the part of the proposer should be stated explicitly in any proposal. However, even when delivery of limited rights data or restricted computer software is required to satisfy NASA's own needs, the government is under legal obligation to only use such data for prescribed purposes associated with the contract and to refrain from disclosing the data to unauthorized parties.

### **3.7.2 Patent Rights**

The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a NASA award. 51 U.S.C. 20135 (awards to large entities) provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms.

Where 51 U.S.C. 20135 applies i.e., under an award with a large entity, a recipient may request a waiver to obtain title to inventions made under the award in accordance with 51 U.S.C. 20135(g) and 14 C.F.R. 1245 Subpart 1. Such a request may be made in advance of the award or within 30 days thereafter. Even if a waiver request is not made, or denied, a large business recipient may request a waiver on individual inventions made during the course of the award.

NASA normally grants requests for waiver unless the interests of the United States are better served by restricting or eliminating all or part of the rights of a contractor as set forth in 14 CFR 1245.104(b). Among the most important goals are providing incentives to foster inventiveness and encouraging the reporting of inventions. As noted previously, corporate contributions are encouraged.

For joint inventions, NASA will typically agree, pursuant to a Joint Ownership Agreement, to refrain from exercising its undivided interest in a manner inconsistent with a recipient's commercial interest.

For all recipients, the patent rights provision in a resulting award will require the disclosure to NASA of all subject inventions made under the contract. NASA considers the reporting of inventions an important metric that will be used to measure whether new technologies are being developed. Reporting of inventions also protects a recipient's ownership to such inventions since NASA has the right to obtain title in unreported inventions.

## **4 Eligibility Information**

### **4.1 Eligibility of Applicants**

This solicitation is open to U.S. government agencies, NASA, Jet Propulsion Laboratory (JPL), U.S. national laboratories, Federally Funded Research and Development Centers (FFRDCs), non-government U.S. institutions (companies, universities, nonprofit organizations) and international organizations. Note: Specific appendices may limit the eligibility of applicants. It is NASA policy that research with foreign organizations will be accomplished on a no-exchange-of-funds basis. For further information, please see Section 4.2 for Guidelines for International Participation. For grants and cooperative agreements, NASA policy on research with foreign organizations is covered in 2 C.F.R. 1800.3. Exceptions or amendments to the eligible participants and partnerships for each solicitation topic are specified in the appendices to this omnibus announcement.

### **4.2 Guidelines for International Participation**

#### **4.2.1 Guidelines for International Team Members on U.S. Proposals**

International team members can be included on U.S. proposals. International collaborations that demonstrate clear scientific benefits or cost savings are particularly encouraged. While Co-Investigators or collaborators employed by non-U.S. organizations may be identified as part of a proposal submitted by a U.S. organization, NASA funding through this BAA may not be used to support research efforts by non-U.S. organizations at any level. However, the direct purchase of supplies and/or services that do not

constitute research from non-U.S. sources by U.S. award recipients is permitted. Furthermore, Principal Investigators and other team members, including graduate students, who are not U.S. citizens but are employed by or studying at a U.S. organization may receive funding to support their research activities through this BAA. Additional information on international participation can be found at [http://www.hq.nasa.gov/office/procurement/regs/1835.htm#35\\_016-70](http://www.hq.nasa.gov/office/procurement/regs/1835.htm#35_016-70)

#### **4.2.2 Guidelines for International Proposals**

NASA will consider, consistent with U.S. Government laws, policies and regulations, proposals from outside the U.S. However, foreign entities are not eligible for funding from NASA. Therefore, unless otherwise noted in the BAA, 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. NASA shall give careful consideration to proposals from foreign entities with such endorsements. If the proposal is selected, sufficient funds will be made available to the foreign entity by his/her country's government agency or funding/sponsoring institution to undertake the activity as proposed. Proposers from non-U.S. institutions should read the Foreign PI Affiliation instructions document, which is downloadable as a PDF file from the NSPIRES web page for this program element. These proposers are strongly encouraged to include a letter of commitment promising financial support for the proposed investigation and other duties.

All foreign proposals must be typewritten in English and comply with all other submission requirements stated in the BAA. All foreign proposals will undergo the same NASA evaluation and selection process as those originating in the U.S. All proposals must be received before the established closing date. Those proposals received after the closing date will be treated in accordance with the *NASA Guidebook for Proposers*. Sponsoring foreign government agencies or funding institutions may, in exceptional situations, forward a proposal without endorsement if 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. Foreign entities that have submitted proposals, whether they have been selected or not, 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 International and Interagency Relations (OIIR) will work with the foreign sponsor, and coordinate within the US Government inter-agency community, as necessary, to develop a binding legal instrument to enable the collaborative activity on a no-exchange-of-funds basis, in which NASA and the non-U.S. sponsoring agency or funding institution will each bear the appropriate cost of discharging their respective responsibilities.

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).

NASA's policy is to conduct research with non-U.S. organizations on a cooperative, no-exchange-of-funds basis. See NFS Part 1835.016-70 for additional information on international participation, which can be referenced at [http://www.hq.nasa.gov/office/procurement/regs/1835.htm#35\\_016-70](http://www.hq.nasa.gov/office/procurement/regs/1835.htm#35_016-70).

Also see NASA Policy Directive 1360.2 Initiation and Development of International Cooperation in Space and Aeronautics Programs, which is located at:

[http://nodis3.gsfc.nasa.gov/displayDir.cfm?Internal\\_ID=N\\_PD\\_1360\\_002B\\_&page\\_name=main](http://nodis3.gsfc.nasa.gov/displayDir.cfm?Internal_ID=N_PD_1360_002B_&page_name=main).

#### **4.2.3 Export Control Guidelines Applicable to Proposals Including Foreign Participation**

Performance of activities under this Announcement may require access to data that is subject to export control regulations. Any entity proposing for a contract under this BAA in order to be considered for award shall comply with all U.S. export control laws and regulations, including the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120 through 130, and the Export Administration Regulations (EAR), 15 CFR Parts 730 through 799, and must demonstrate their compliance and process in the performance of this contract.

The contractor shall comply with all U.S. export control laws including Export Administration Regulations (EAR) and International Traffic in Arms Regulations (ITAR). Offerors are responsible for ensuring that all employees who will work on this contract are eligible under export control laws, EAR, and ITAR. Any employee who is not a U.S. citizen or a permanent resident may be restricted from working on this contract if the technology is restricted under export control laws, ITAR, or EAR unless the prior approval of the Department of State or the Department of Commerce is obtained via a technical assistance agreement or an export license. Violations of these regulations can result in criminal or civil penalties. For further information on ITAR visit ([http://www.pmddtc.state.gov/regulations\\_laws/itar.html](http://www.pmddtc.state.gov/regulations_laws/itar.html) ). For further information on EAR visit (<https://www.bis.doc.gov/index.php/regulations/export-administration-regulations-ear>)

#### **4.2.4 Assurance of Compliance – China Funding Restriction**

Proposals must not include bilateral participation, collaboration, or coordination with China or any Chinese-owned company or entity, whether funded or performed under a no-exchange-of funds arrangement. For grants and cooperative agreements—as stated in 2 CFR 1800 Appendix A, NASA requires Certifications, Assurances, and Representations, including Certifications and Assurances to implement restrictions in Appropriation Acts, which are applicable to all awards. By submission of a proposal, proposers are certifying that the proposing organization has read and is in compliance with all the Certifications, Assurances, and Representations, including that proposals must not include bilateral participation, collaboration, or coordination with China or any Chinese-owned company or entity, whether funded or performed under a no-exchange-of funds arrangement.

For all proposals, the following applies—an Assurance of Compliance with restrictions:

- (1) NASA is restricted from using funds appropriated in the Acts to enter into or fund any grant or cooperative agreement of any kind to participate, collaborate, or coordinate bilaterally with China or any Chinese-owned company, at the prime recipient level and at all subrecipient levels, whether the bilateral involvement is funded or performed under a no exchange of funds arrangement.
- (2) Definition: “China or Chinese-owned Company” means the People’s Republic of China, any company owned by the People’s Republic of China, or any company incorporated under the laws of the People’s Republic of China.
- (3) The restrictions in the Acts do not apply to commercial items of supply needed to perform a grant or cooperative agreement.
- (4) By submission of its proposal, the applicant represents that the applicant is not China or a Chinese-owned company, and that the applicant will not participate, collaborate, or coordinate bilaterally with China or any Chinese-owned company, at the prime recipient level or at any

sub-recipient level, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.

Active Procurement Information Circulars (PICs) 12-01A instructs Contracting Officers to add certification NFS 1852.225-72 entitled “Restriction on Funding Activity with China – Representation” as well as NFS clause 1852.225-71 entitled “Restriction on Funding Activity with China” in all contract awards.

For the ARM-UP collaborative research efforts, offerors will be required to show contributed resources and/or a specified amount of corporate contribution, potentially including historical investment that is directly relevant to the proposed overall effort. The level of contribution may vary and will be specified in the appendix **if a specific amount is required**. The overall effort is defined as the combination of corporate contribution and government resources required for the proposed effort.

### **4.3 Contributions**

#### **4.3.1 Corporate Resources (Contracts)**

Corporate contributions are expected to be in the form of direct labor, travel, consumables and/or other direct in-kind contributions. Also, other reasonable forms of corporate contribution may include investments in special facilities or equipment, tooling or other prior private investment, including Independent Research and Development (IRAD). In most cases, NASA expects proposals will have in-kind contributions to the proposed effort, and potentially also corporate contributions based on prior investments. Offerors shall describe how they intend to meet this eligibility requirement level in the proposal. An appendix to the proposal shall provide documentation showing the plan for and/or proof of corporate contribution. An example of how to provide verifiable corporate contributions would be a table containing a synopsis of each IRAD activity, relevance to the proposal, corporate dollar investment and/or fraction of the relevant portion for that activity to the proposal, database or project reference identifier (for example the Defense Technical Information Center (DTIC) IR&D database source codes). For equipment or facility use, corporate contribution should be based on “Fair Market Value” (e.g. equivalent equipment or facility rental/lease rates for the period of use) with the contributions for the space or equipment limited to that necessary for the proposed effort.

For this BAA, state and local government contributions may be included with private corporate resources.

Criteria and procedures for the allowance and allocation of cash and non-cash contributions shall be governed by FAR Parts 30 and 31, and NFS Parts 1830 and 1831 NASA reserves the right to hold due diligence discussions to make reasonable determinations regarding corporate contributions.

#### **4.3.2 Resource Contributions (Grants and Cooperative Agreements)**

In-kind contribution of resources will be required for these efforts. For an institution of higher education, hospital, or other non-profit organization seeking to receive a grant or cooperative agreement, direct funding is not required; however, NASA can accept direct funding if it is voluntarily offered. See 2 C.F.R. 200.306, 2 C.F.R. 1800.306 and 2 C.F.R. 1800.922 for more information on Cost Sharing.

Cost sharing is required by 14 C.F.R. 1274 for a commercial firm seeking to receive a grant or cooperative agreement, unless the commercial firm can demonstrate that they will not receive substantial compensating

benefits for performance of the work. Cost sharing is not required but can be accepted if no substantial compensating benefits will be received. The regulations at 2 C.F.R. 200.306, 2 C.F.R. 1800.306 and 2 C.F.R. 1800.922 describe cost sharing and allowance for awards. Acceptable forms of cost sharing for commercial firms are discussed in the Regulations at 14 C.F.R. 1274.204, ‘Costs and Payments,’ located at [https://prod.nais.nasa.gov/pub/pub\\_library/grantd.html#1274204](https://prod.nais.nasa.gov/pub/pub_library/grantd.html#1274204)

#### **4.3.3 Offered Capabilities (NASA and Other U.S. Government Agencies)**

Offered capabilities anticipated include facilities, equipment, tools and other non-cash capabilities that could enhance the ARM.

## **5 Proposal Submission Information**

### **5.1 Instructions for Proposals**

All information needed to respond to appendices issued in accordance with this solicitation is contained in this solicitation, in the relevant appendices, and in the January 2016 edition of the *NASA Guidebook for Proposers*, located at <http://www.hq.nasa.gov/office/procurement/BAAguidebook/>

Additionally, applicants shall prepare proposals in accordance with 48 C.F.R. 1852.235-72, Instructions for Responding to NASA Broad Agency Announcements. These regulations can be found at:

[http://www.ecfr.gov/cgi-bin/text-idx?SID=406e676673b2f2ddf3520d74f5f4192d&node=pt48.6.1852&rgn=div5%23se48.6.1852\\_1235\\_672#se48.6.1852\\_1235\\_672](http://www.ecfr.gov/cgi-bin/text-idx?SID=406e676673b2f2ddf3520d74f5f4192d&node=pt48.6.1852&rgn=div5%23se48.6.1852_1235_672#se48.6.1852_1235_672)

The information in this BAA supersedes and provides additional direction to that found in the *NASA Guidebook for Proposers* and provides additional direction consistent with the NASA FAR Supplement Provision. Proposals that do not conform to the standards outlined in this solicitation will be declared noncompliant and will not be evaluated.

Applicants are responsible for understanding and complying with the procedures in the *Guidebook* before preparing and submitting proposals. Proposals that do not conform to the requirements outlined in this Omnibus and any Appendices to it may be declared noncompliant and rejected without review. Where this solicitation and the *NASA Guidebook for Proposers* are in conflict, this solicitation takes precedence. In addition, the provisions in any appendix will apply to that specific opportunity and will supersede any conflicting provisions in this solicitation or in the *NASA Guidebook for Proposers*.

There will be an opportunity to submit written questions. The questions shall not contain proprietary information nor require proprietary information in the response. NASA will not provide evaluations, opinions, or recommendations regarding any suggested approaches or concepts. All questions shall be directed to the appropriate ARM-UP e-mail box identified in the appendix no later than the date specified in the appendix. NASA may use inquiries in order to populate an FAQ document, at the program officer’s discretion, that will be posted alongside the solicitation on NSPIRES and on the ARM website.

#### **5.1.1 Proposal Submissions**

Proposals shall be submitted electronically in Adobe pdf format via NSPIRES, NASA’s master proposal database system, at <http://nspires.nasaprs.com> or Grants.gov at <http://www.grants.gov>. Emailed or hard

copies will not be accepted. Proposals or proposal modifications received after the latest date specified for receipt may be considered if a significant reduction in cost to the Government is probable or if there are significant technical advantages, as compared with proposals previously received.

Most appendices to this document will use a submission process consisting of a Notice of Intent (NOI) followed by a full proposal. To facilitate planning for the review process, applicants are strongly encouraged to submit a NOI to the NSPIRES system (<http://nspires.nasaprs.com>). NOIs must be electronically submitted by the date specified on the appropriate appendix.

### **5.1.2 NSPIRES Registration**

All proposers to appendices of this document must register key data concerning their intended submission with NSPIRES located at <http://nspires.nasaprs.com>. Potential applicants are urged to access this site well in advance of the NOI and proposal due dates to familiarize themselves with its structure and enter the requested identifier information. Each proposer and team member (if applicable) must be registered in NSPIRES and must perform this registration themselves; that is, no one may register a second party. This website is secure and all information entered is strictly for NASA use only.

Every individual that intends to submit a proposal in response to an appendix to this document, including educational institutions, industry, nonprofit institutions, NASA Centers, the Jet Propulsion Laboratory, other U.S. Government agencies, and foreign entities and government agencies must be registered in NSPIRES, regardless of the electronic system used to submit proposals. Such registration must be performed by an organization's electronic business point-of-contact (EBPOC) in the System for Award Management (SAM) at <http://sam.gov/>.

### **5.1.3 Electronic Submission**

Proposals must be submitted electronically using one of the electronic proposal submission systems described below by one of the officials at the proposer's organization who is authorized to make such a submission, the Authorized Organizational Representative (AOR). No emailed or hard copy of the proposal will be accepted. All team members must be registered in NSPIRES and confirm their organizational affiliation when added to a proposal before the PI organization official AOR can submit. It is strongly recommended that the proposer work closely with his/her organization official to ensure the proposal is submitted by the due date and time listed in the appendix. Proposals will not be accepted after the listed due dates and times.

Notices of Intent, if provided, must be submitted through NSPIRES. For the submission of a full proposal, proposers may use either NSPIRES (<http://nspires.nasaprs.com>) or Grants.gov (<http://www.grants.gov/>). Regardless of the electronic submission system used, all proposers and agency officials must be registered with NSPIRES before proposal submission.

NSPIRES accepts fully electronic proposals through a combination of data-based information (e.g., the electronic Cover Page and its associated forms) and uploaded PDF file(s) that contain the body of the proposal. The system will conduct an element check to identify any item(s) that may be missing or incomplete. Proposers are strongly encouraged to begin their submission process early.

Requests for assistance in accessing and/or using the NSPIRES website may be directed by e-mail to [nspires-help@nasaprs.com](mailto:nspires-help@nasaprs.com) or by telephone to 202-479-9376, Monday through Friday, 8:00 a.m. – 6:00 p.m.

Eastern Time. Frequently Asked Questions (FAQ) may be accessed through NSPIRES Help page at <http://nspires.nasaprs.com/external/help.do>. Tutorials of NSPIRES are available at <http://nspires.nasaprs.com/tutorials/>.

Instructions for submitting proposals to NASA via Grants.gov may be found on the Grants.gov portal at <http://www.grants.gov/>.

#### 5.1.4 Proposal Format and Contents

The proposal format and content requirements as outlined in this section below. The required sections of the proposal must be submitted as one searchable, unlocked PDF file with edit permission enabled. Applicants must comply with the format and page limit requirements described in this omnibus BAA, as well as any additional requirements specified in the appendices. *The provisions in each appendix will apply to that specific opportunity and will supersede any conflicting provisions in this omnibus solicitation.*

There is a 10 MB size limit. Applicants should crop and compress any embedded photos and graphic files to an appropriate size and resolution. Only attachments that are specifically requested either in this solicitation or in appendices to this solicitation should be submitted.

*Requirements in the appendices supersede any requirements in the NASA Guidebook for Proposers or in this omnibus solicitation.*

Proposal Section	Page Limitations
Title Page	1
Executive Summary (Section I)	1
Table of Contents	1
Proof of Eligibility (Section II)	3
Concept or Product & Scientific/Technical Approach (Sections III-IV)	15
Capabilities (Section V)	2
Data Management Plan (Section VI)	1
Resource Plan (Section VII)	No limit
Attachments	No limit

Attachments may be specified as needed:

All proposals submitted must conform to the formatting rules below and Chapter 2 of the *NASA Guidebook for Proposers*. Any proposal found to violate these formatting rules may be rejected without review.

Proposers should pay particular attention to:

- Margins: 1 inch on all sides, with a standard page size of 8.5 × 11 inches.
- Font: The *NASA Guidebook for Proposers* requires easily read fonts having, on average, no more than 15 characters per inch (e.g., 12-point Times New Roman and Arial). Proposers may not adjust the character spacing or otherwise condense a font from its default appearance.
- Line spacing: Font and line-spacing settings should produce text that contains no more than 5.5 lines per inch. Proposers may not adjust line-spacing settings for a selected font below single-spaced.
- Figure captions: Must follow the same font and spacing rules as the main text.

Figures and tables: For text in figures and tables, font and spacing rules listed above do not apply, but all

text must be judged to be legible to reviewers without magnification above 100%. No font in figure legends may be less than size 8. Proposers may not place expository text in tables or figures in order to gain space. Pages in excess of the page limits for each section will not be evaluated.

**5.1.4.1 Title Page:**

- Include any Notice of Restriction on Use and Disclosure of Proposal Information.
- An optional graphic image may be included.
- The Proposer's name of the proposal or proposed project
- Date of the proposal
- The title, solicitation number and Appendix being responded to of this Announcement
- Organization name and address.
- Proposer Point of Contact name, title, e-mail address, and phone number.

**5.1.4.2 Executive Summary:** Describe the proposal's prominent and distinguishing features. The Executive Summary should provide an overview of the proposed effort that is suitable for release through a publicly accessible archive should the proposal be selected.

**5.1.4.3 Table of Contents:** Offerors should include a one-page Table of Contents that provides a guide to the organization and contents of the proposal.

**5.1.4.4 Proof of Eligibility:** Provide information showing that the Respondent and all team members are eligible participants as stipulated in Section 4, Eligibility Information. Describe compliance with participation requirements as needed. As applicable, explain how the required corporate contribution, cost-sharing or matching resources will be satisfied.

**5.1.4.5 Concept or Product:** The offeror shall describe the concept or product, including its functions, how it addresses the objectives and requirements in this Announcement, and its maturity (Technology Readiness Level, if appropriate).

**5.1.4.6 Scientific/Technical Approach:** The offeror shall describe the approach and schedule for implementing the collaboration/partnership. This may include designing, analyzing, and/or testing a flight system, including the plans to mature key technologies.

**5.1.4.7 Capabilities:** The offeror shall provide evidence of existing capabilities for implementing the proposed plan.

**5.1.4.8 Intellectual Property:** The offeror shall describe the approach for data rights and inventions, and how they meet the objectives outlined under Section 3.7, Intellectual Property Developed Under an Award.

**5.1.4.9 Data Management Plan (DMP):** In keeping with the [NASA Plan for Increasing Access to Results of Federally Funded Research](#), proposals may need to include a DMP or an explanation of why one is not necessary given the nature of the work proposed. See Section, 3.6 Access to Research Results/Data Management Plan and the NASA Guidebook for Proposers

**5.1.4.10 Resource Plan and/or Price Proposal:** For the ARM-UP collaborative research efforts, offerors will be required to show a plan for expenditure of contributed resources and/or a specified amount of contributions, potentially including historical investment that is directly relevant to the proposed overall effort. The level of contribution may vary and will be specified in the appendix if a specific amount is required. The overall effort is defined as the combination of corporate contribution and government resources required for the proposed effort. Contributions are expected to be in the form of direct labor, travel, consumables and/or other direct in-kind contributions. Also, other reasonable forms of contribution may include investments in special facilities or equipment, tooling or other prior private investment, including Independent Research and Development (IRAD).

For these partnerships, the resources plan shall include the overall price estimate for the product delivery. The offeror shall provide total direct labor hours by skill mix, travel, and subcontracts when a contract is used as the award vehicle. See a sample format in Attachment A. Offerors should reference corporate and/or contributed resources planned in Section 4, Eligibility. For proposals for grants or cooperative agreements, the budget shall include all the information described in the NASA Guidebook for Proposers. As applicable, offerors should reference cost-sharing or matching described in Section 4.3.2. Offerors need to provide evidence of funding and resource commitments to implement their contributions.

**5.1.4.11 Attachments:**

- *Quad chart:* The proposal shall contain a quad chart in MS PowerPoint format summarizing the proposed objectives, team, major milestones, and resource plan. A template of the chart will be posted with this Announcement.
- *Resumes:* Resumes may be included for key personnel. In general, resumes should be limited to no more than 2 pages each.
- *Draft Statement-of-Work:* For programs awarding contracts, the offeror shall provide a draft statement-of-work that includes a work breakdown structure and a description of the major tasks, milestones and deliverables. Proposed Technical Milestones: For programs awarding contracts and commercial firms submitting proposals for cooperative agreements, the offeror shall provide a list of proposed milestones. Each milestone shall include a descriptive title, objective success criteria, and planned achievement dates (month and year). Milestones should represent significant technical and business progress in the program. At least one milestone per calendar quarter is recommended. The proposal shall also include payment milestones with a title, associated objective success criteria, payment amount, and planned dates for completion of the milestone. Corporate Resources documentation (as specified): This documentation evidences the corporate contributions being proposed.

The *NASA Guidebook for Proposers* is located at <http://www.hq.nasa.gov/office/procurement/nraguidebook/>.

**5.2 Proprietary Information**

All proposals containing proprietary data should have the cover page and each page containing proprietary data clearly marked as containing proprietary data. It is the applicant's responsibility to clearly define to the Government what is considered proprietary data. Additional information can be referenced in the *NASA Guidebook for Proposers*.

**Refer to the appendices for specific due dates.**

## 6 Proposal Review Information

NASA reserves the right to select for negotiations all, some, or none of the proposals received in response to this Announcement.

### 6.1 Compliance Review

NASA will prescreen all proposals for compliance with requirements of this solicitation and its subsequent appendices. This includes submission of a complete proposal with all required elements:

- Submission of a proposal that is consistent with the research areas identified in the Appendix.
- Submission of a proposal from an eligible applicant as specified in the Eligibility Information in this umbrella BAA and relevant appendix.
- Submission of a resource plan that describes the proposed partnership plan for contribution and use of resources consistent with this umbrella BAA and relevant Appendix.
- Submission of a proposal that is consistent with the page limitations in the relevant Appendix and formatting guidelines specified in this umbrella BAA.

NASA reserves the right to conduct due diligence exchanges with offerors regarding compliance with the eligibility criteria, including how an offeror satisfies any required corporate contribution requirement or cost-sharing/matching. Non-compliant proposals may be withdrawn from the review process and declined without further review. Compliant proposals submitted in response to this BAA will undergo an intrinsic scientific/technical merit review. In addition, the provisions in any appendix will apply to that specific opportunity and will supersede any conflicting provisions in this solicitation or in the NASA Guidebook for Proposers.

### 6.2 Evaluation

An Evaluation Panel (consisting of civil servants, third-party subject matter experts, or a mix of the two groups) will evaluate proposals deemed compliant according to the evaluation criteria described in Section 6.5. The Evaluation Panel will summarize the strengths and weaknesses of each proposal and assign an overall consensus rating (Excellent, Very Good, Good, or Poor). NASA may ask about a specific point or points in a proposal and conduct fact finding or due diligence activities. NASA may use the outcome of the evaluation to request revisions to or place conditions on a selected proposal. NASA will determine the appropriate method for any such communications, e.g., be in writing, virtual, or person. The information resulting from the reviews will be used to prepare selection recommendations. Selection for funding will be made by the designated NASA Selection Official.

### 6.3 Selection Official

Unless otherwise specified in the Appendix, the Program Director for the Asteroid Redirect Mission in the Human Exploration and Operations Mission Directorate will make selections.

### 6.4 Personnel

NASA takes seriously its responsibility for ensuring that proposals are treated with the utmost confidentiality and are evaluated fairly and objectively without conflict of interest on the part of the reviewers. Therefore, regardless of the mailing address or Web-site to which a funding announcement may direct proposals to be sent, it is NASA policy that NASA Civil Service personnel will be in charge of and direct all aspects of the review and selection processes, including the identification and invitation of peer review personnel, in-person monitoring of the deliberations of any peer review panel, and the adjudication of conflicts of interest that may

be declared by panel personnel (ref. list of potential conflicts of interest in Appendix E.3 of the Guidebook for Proposers). Also, all non-Government reviewers are prohibited from making unauthorized disclosure of proposal information and evaluation materials and/or information (ref. the sample Nondisclosure Agreement in Section E.2, Appendix E of the Guidebook for Proposers). Government employees who may be involved in the peer review process are bound by Government law and regulation not to make unauthorized disclosure of trade secrets and confidential commercial and financial information contained in proposals.

NASA may use contractor support personnel to provide technical, business, and investment expertise when evaluating proposals. Any support contractor involved in the evaluation process will be bound by appropriate nondisclosure agreements to protect proprietary and competition sensitive information and must have accepted limitations on future contracting.

## **6.5 Evaluation Criteria**

NASA will use the following evaluation factors, with each factor having equal weight. A panel of scientific and/or technical subject matter experts will evaluate the three factors described below. This panel of experts may include non-NASA and other non-government personnel. The number and diversity of experts required will be determined by the response to the appendix in question. The merit evaluation panel may include in its critique of a proposal any comments concerning the proposal's budget and programmatic relevance to NASA; however, the panel merit score will not be impacted by the cost or the programmatic relevance of the proposed work to NASA:

### **6.5.1 Factor 1 - Relevance:**

The Government will evaluate the ability of the proposal to meet the objectives stated in the appendix of this BAA for which the proposal was submitted.

### **6.5.2 Factor 2 – Scientific/Technical Merit:**

The Government will evaluate the quality, depth, and thoroughness of the proposed scientific/technical approach and the organization's capabilities and the qualifications of key personnel.

### **6.5.3 Factor 3 – Resource Plan/Price Estimate:**

For programs awarding contracts, the Government will evaluate the overall realism and reasonableness of the resource estimate and corporate contribution plan. For programs awarding grants and cooperative agreements, the Government will evaluate the realism and reasonableness of the estimated cost. Also an analysis will be done on the corporate contribution or cost-sharing (as applicable) to ensure that it properly aligned with the proposed effort. The cost of the proposed work and the programmatic relevance of the proposed work to NASA will not affect the score assigned by a panel conducting a merit peer review. As part of the panel's review, however, the evaluation may include comments regarding appropriateness of proposal budgets in relationship to the work proposed. Such comments will not be part of the scientific/technical merit score.

## **6.6 Cost Review and Programmatic Relevance/Balance**

Only those proposals most highly rated under technical merit and of acceptable implementation risk to the government will be reviewed for Cost and Programmatic Relevance/Balance. Some proposals judged to be of high risk to implement that show potential for important scientific/technology gain can also advance. This review will evaluate the programmatic relevance/balance, hardware availability and cost estimate of all proposals that are technically meritorious and feasible to implement. NASA Program Scientists and

Managers will conduct this review. Evaluation of the cost of a proposed effort includes consideration of the realism and reasonableness of the proposed cost and the relationship of the proposed cost to available funds. Programmatic relevance is determined by the contribution of the proposed work to the balance of scientific and technical issues identified by agencies in their Broad Agency Announcements.

## **6.7 Process for Appeals**

### **6.7.1 Ombudsman Program**

The NASA Procurement Ombudsman Program is available under BAAs as a procedure for addressing concerns and disagreements. The clause at NASA FAR Supplement (NFS) 1852.215-84, Ombudsman, is incorporated into BAAs by reference. The cognizant Ombudsman is as follows:

William Roets  
Director, Contract and Grant Policy Division  
Office of Procurement  
NASA Headquarters  
Washington, DC 20546  
Telephone: 202-358-4483  
Facsimile: 202-358-3082  
E-mail: [william.roets-1@nasa.gov](mailto:william.roets-1@nasa.gov)

### **6.7.2 Protests**

Only prospective proposers seeking contract awards (not grant and/or cooperative agreement awards) under BAAs have the right to file a protest either with the Government Accountability Office (GAO) or with the Agency, as defined in FAR 33.101. The provisions at FAR 52.233-2, Service of Protest, FAR 52.233-3, Protest after Award, and NASA FAR Supplement (NFS) 1852.233-70, Protests to NASA, are incorporated into BAAs by reference. The designated official for receipt of protests to the Agency and copies of protests filed with the GAO is as follows:

William P. McNally  
Assistant Administrator for Procurement  
Office of Procurement  
NASA Headquarters  
Washington, DC 20546.  
Telephone: 202-358-2090  
Facsimile: 202-358-3082  
E-mail: [William.P.McNally@nasa.gov](mailto:William.P.McNally@nasa.gov)

## **6.8 Review of Applicants in the Federal Awardee Performance and Integrity Information System (FAPIS)**

NASA, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold (currently \$150,000), is required to review and consider any information about the applicant that is in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System—FAPIS) accessible through the System for Award Management (SAM, <https://www.sam.gov>) (see 41 U.S.C. 2313).

An applicant, at its option, may review information in FAPIS and comment on any information about itself that NASA previously entered and is currently in FAPIS.

NASA will consider any comments by the applicant, in addition to the other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants. For grant and cooperative agreement awards, this process is described in 2 CFR 200.205 Federal awarding agency review of risk posed by applicants.

## **7 Award Administration Information**

### **7.1 Award Notices**

At the end of the selection process, each proposing organization will be notified electronically of its selection or non-selection status through a letter signed by the selecting official. NASA will provide debriefings to those applicants who request one. The selection letters are not an authorization to begin performance. The selected organization's business office will be contacted by a NASA grant or contract officer to negotiate an award. Any costs incurred by the applicant in anticipation of an award are at their own risk until RECEIVING AN AWARD by a NASA grant officer or NASA contracting officer. The NASA Procurement Office will request further business data, and negotiate the resultant action. For contract awards, performance shall not begin until both parties sign the contract. NASA grant officers/contracting officers are the only personnel with the authority to award NASA grants and obligate government funds. NASA reserves the right to offer selection of only a portion of a proposal. In these instances, the applicant will be given the opportunity to accept or decline the offer. Additional information can be referenced in the *NASA Guidebook for Proposers*.

### **7.2 Administrative and National Policy Requirements**

For grant and cooperative agreement awards, general terms and conditions for awards can be found at 2 C.F.R. 1800 Appendix B. As applicable, all award requirements can be found at 2 C.F.R. 1800, 14 C.F.R. 1274, and the GCAM ([https://prod.nais.nasa.gov/pub/pub\\_library/grantnotices/GrantNotices.html](https://prod.nais.nasa.gov/pub/pub_library/grantnotices/GrantNotices.html)). Additional information on award and intellectual property may also be found at that site. Please note that it is expected that applicants will comply with Homeland Security Presidential Directive/ HSPD-12. HSPD-12 applicability will be determined during negotiation for award for selected proposals.

Additionally, award recipients that have individuals working under the award who need access to NASA facilities and/or systems must work with NASA program staff to ensure proper credentialing. Such individuals include U.S. citizens, lawful permanent residents ("green card" holders), and foreign nationals (those who are neither U.S. citizens nor permanent residents).

### **7.3 Post-Award Program Reporting**

#### **7.3.1 Annual Reporting**

For activities extending beyond a year an annual report may be required. The Appendices will define whether annual reports are required.

#### **7.3.2 Other Reporting**

Award recipients may also be subject to reporting requirements under the NASA Plan for Increasing Access to Results of Federally Funded Research. Any such requirements will be identified in the award document. For grant and cooperative agreement awards, see 2 CFR 200 Appendix XII—Award Term and Condition

for Recipient Integrity and Performance Matters

([http://www.ecfr.gov/cgi-bin/text-idx?SID=4b63b1740bdb186d3bf5d346f5ddf42c&mc=true&node=ap2.1.200\\_1521.xii&rgn=div9](http://www.ecfr.gov/cgi-bin/text-idx?SID=4b63b1740bdb186d3bf5d346f5ddf42c&mc=true&node=ap2.1.200_1521.xii&rgn=div9)).

## 8 Contacts

Additional programmatic information for this BAA is available from:

Name: Dr. Michele Gates  
Title: Program Director, Asteroid Redirect Mission  
E-mail: [hq-armup-baa@mail.nasa.gov](mailto:hq-armup-baa@mail.nasa.gov)  
FAX: (202) 358-2838

## 9 References

1. Guidebook for Proposers Responding to a NASA Funding Announcement, January 2016 Edition (*NASA Guidebook for Proposers*).  
<http://www.hq.nasa.gov/office/procurement/nraguidebook/>
  2. Federal Acquisition Regulation (FAR) is available online at the following addresses:  
<http://www.acquisition.gov/far/> or  
<http://farsite.hill.af.mil/>
  3. NASA Federal Acquisition Regulations Supplement (NFS).  
<http://www.hq.nasa.gov/office/procurement/regs/nfstocA.htm>
  4. 48 C.F.R. 1852.235-72, Instructions for Responding to NASA Broad Agency Announcements.  
[http://www.ecfr.gov/cgi-bin/text-idx?SID=406e676673b2f2ddf3520d74f5f4192d&node=pt48.6.1852&rgn=div5#se48.6.1852\\_1235\\_672](http://www.ecfr.gov/cgi-bin/text-idx?SID=406e676673b2f2ddf3520d74f5f4192d&node=pt48.6.1852&rgn=div5#se48.6.1852_1235_672)
  5. NASA Grant and Cooperative Agreement Manual.  
[https://prod.nais.nasa.gov/cgibin/nais/nasa\\_ref.cgi](https://prod.nais.nasa.gov/cgibin/nais/nasa_ref.cgi)
  6. NSPIRES electronic proposal submission system  
<http://nspires.nasaprs.com/>
  7. Grants.gov electronic proposal submission system  
<http://grants.gov/>
-

## ATTACHMENT A: Price Proposal Sample Format

<b>FIRM FIXED PRICE</b>		
ELEMENTS	6 months	
<b>Direct Labor Price from Labor Template</b>	\$	-
<b>Overhead (List)</b>		
1. (Name & Description of Base)	\$	-
Overhead Rate		0.00%
Overhead Price	\$	-
2. (Name & Description of Base)	\$	-
Overhead Rate		0.00%
Overhead Price	\$	-
<b>Total Overhead Price</b>	<b>\$</b>	<b>-</b>
<b>Subcontract Price</b>		
1. (Subcontractor Name);(provide detailed description of work proposed)	\$	-
2. (Subcontractor Name); (provide detailed description of work proposed)	\$	-
<b>Total Subcontract Price</b>	<b>\$</b>	<b>-</b>
<b>'Other Direct Costs (ODCs)'</b>		
1. ODCs from ODC Breakdown Section (following page)	\$	-
2. Travel (provide separate breakdown of proposed travel price)	\$	-
3. Other ODCs; (provide description)	\$	-
<b>Total Price for Other Direct Costs</b>	<b>\$</b>	<b>-</b>
<b>G&amp;A Price</b>		
1. (Description of G&A Base)	\$	-
G&A Rate		0.00%
<b>G&amp;A Price</b>	<b>\$</b>	<b>-</b>
<b>Subtotal</b>	<b>\$</b>	<b>-</b>
1. (Description of Profit Base)	\$	-
Profit Rate		0.00%
<b>Profit</b>	<b>\$</b>	<b>-</b>
<b>Total Price</b>	<b>\$</b>	<b>-</b>

**BAA NNH16ZCQ002K – Asteroid Redirect Mission Umbrella for Partnerships (ARM-UP)**

<b>LABOR PRICE BREAKDOWN</b>				
Labor Category Name	WYEs	Labor Hours	Labor Rate	Labor Price
	0.00	0.00	\$0.00	\$0.00
	0.00	0.00	\$0.00	\$0.00
	0.00	0.00	\$0.00	\$0.00
	0.00	0.00	\$0.00	\$0.00
	0.00	0.00	\$0.00	\$0.00
	0.00	0.00	\$0.00	\$0.00
	0.00	0.00	\$0.00	\$0.00
	0.00	0.00	\$0.00	\$0.00
	0.00	0.00	\$0.00	\$0.00
	0.00	0.00	\$0.00	\$0.00
	0.00	0.00	\$0.00	\$0.00
	0.00	0.00	\$0.00	\$0.00
	0.00	0.00	\$0.00	\$0.00
	<b>0.00</b>	<b>0.00</b>		<b>\$0.00</b>

<b>OTHER DIRECT COSTS PRICE BREAKDOWN</b>			
Item Name & Description	Quantity	Unit Price	Total Price
	0.00	0.00	\$0.00
	0.00	0.00	\$0.00
	0.00	0.00	\$0.00
	0.00	0.00	\$0.00
	0.00	0.00	\$0.00
	0.00	0.00	\$0.00
	0.00	0.00	\$0.00
	0.00	0.00	\$0.00
	0.00	0.00	\$0.00
	0.00	0.00	\$0.00
	0.00	0.00	\$0.00
	0.00	0.00	\$0.00
	0.00	0.00	\$0.00
			<b>\$0.00</b>