



NASA EPSCoR

FY2016 Request for Pre-Proposals (RFP)

Issue Date: **Thursday, September 24, 2015**

TIMETABLE:

Notice of Intent (required) due: **Wednesday, October 14, 2015**

Last day for Q&A about this solicitation: **Friday, November 6, 2015**

Pre-proposals due: **Wednesday, November 25, 2015**

Anticipated Notification of Selection(s): **December 2015**



LA EPSCoR

LOUISIANA EXPERIMENTAL PROGRAM TO STIMULATE COMPETITIVE RESEARCH (EPSCoR)

Louisiana Board of Regents

1201 North Third Street, Suite 6-200

Baton Rouge, Louisiana 70802

(225) 342-4253

I. PROGRAM DESCRIPTION

I.A. OVERVIEW

This Request for Pre-Proposals (RFP) is being issued in anticipation of the release of the FY2016 NASA EPSCoR Cooperative Agreement Notice (CAN). The FY2016 CAN is expected to be similar to last year's FY2015 CAN, number NNH15ZHA003C, which is available on the Louisiana NASA EPSCoR website: http://lanasaepscor.lsu.edu/?page_id=268 (you may have to copy and paste the link into your browser). It is highly recommended that you closely review last year's solicitation in advance of preparing your pre-proposal.

One potential difference in the FY2016 CAN is the question of whether each of the thirty EPSCoR jurisdictions will be eligible to submit only one proposal as in recent years or if NASA will return to two proposals per jurisdiction as in earlier competitions. In any event, the proposal(s) from Louisiana will be submitted by the Board of Regents (BOR). We will monitor the budget situation for this program and will watch for the official solicitation from NASA. As soon as it is made clear to our team, we will post a notification to prospective proposers.

Regardless, this solicitation seeks pre-proposals which will be reviewed by an external panel. The panel will recommend the one (possibly two) most meritorious pre-proposal(s), which will then be further developed in collaboration with the LaSPACE/EPSCoR Management team and then submitted to NASA.

It is expected that NASA will issue the FY2016 CAN sometime in late 2015 with proposals due 60-to-90 days after issuance. Therefore, this RFP has been issued with a timeline for proposal submission that, while compressed, will allow as much time as possible for proposers to prepare applications and for the BOR's subsequent review process.

Proposers should be aware that NASA's issuance of the CAN is not guaranteed. The BOR reserves the right to make adjustments to the timeline and other changes to the requirements contained in this RFP as needed to accommodate the instructions contained in the FY2016 CAN, if and when the solicitation is released.

For the FY15 competition, NASA recommended 15 proposals for funding, including Louisiana's. The press release and list of awarded proposal abstracts can be found on the NASA EPSCoR website: <http://www.nasa.gov/offices/education/programs/national/epscor/home/index.html>. For FY16 (this competition) the availability of funds is unknown since the federal government is still operating without a final budget. The number of proposals accepted and level of funding awarded by NASA is dependent upon the budget scenario adopted. It is reasonable to expect that of 30 proposals submitted, ~15 will likely be recommended for funding again this year.

I.B OBJECTIVES

NASA EPSCoR proposals are expected to establish research programs that will make significant contributions to the strategic research and technology priorities of one or more of the four NASA Mission Directorates (MD) and/or one or more of the ten NASA field centers, and contribute to the overall research infrastructure, science and technology capabilities, higher education, and economic development of the State. A list of the research priorities for each MD and center was released by the NASA National Program Manager on October 15, 2014 and was included in the FY2015 NASA EPSCoR CAN solicitation.

I.C ELIGIBILITY

Individuals holding a tenured, tenure-track, or research faculty position at any of Louisiana's public institutions of higher education, as well as accredited independent institutions of higher education that are members of the Louisiana Association of Independent Colleges and Universities, are eligible to submit pre-proposals under this solicitation. Individuals who are not employed by these institutions may serve as consultants; however, they may not be listed as investigators and must not be cited on the cover sheet of the pre-proposal. A faculty member may submit only one pre-proposal in response to this solicitation as Principal Investigator (PI), but may be a co-investigator on additional pre-proposals.

Science PIs/Institutional PIs who have been successful in the national competition (i.e. were selected by NASA) over the past 5 years (i.e. the FY2011, FY2012, FY2013, FY2014, FY2015 competitions) **may not** propose as leads to this RFP.

PIs who were selected to proceed to the national competition but were unsuccessful may re-propose to this RFP. **However, in such a case the application must include a copy of, or summary of, the NASA reviewer's criticisms plus a discussion of how the re-submission has been re-structured to meet the reviewer's criticisms. This is over and above the page limits specified later.**

I.D FINANCIAL CONSIDERATIONS

Based on the funding levels stipulated in the previous CAN, each proposal may request NASA funding of up to \$750,000 for a three-year project. The BOR will provide cost sharing at a 1:1 ratio to support the research project. Of the \$750,000 in NASA funds, \$37,000 per year (\$111,000 total) will be reserved for management of the project; therefore, for each proposed research project, the Science PI may request a maximum of \$639,000 in NASA funds and \$750,000 in BOR Support Funds (i.e., a maximum annual request of \$213,000 for NASA funds and \$250,000 for BOR Support Funds). Furthermore, the annual budgets for each research project should be held constant for all three years of the proposed project (i.e., budget requests for year one should equal the amounts requested in years two and three). Institutional cost sharing is also expected. Applicants are encouraged to consider methods of cost sharing which would add value to the State's existing research capabilities.

I.E. ASSESSMENT OF PRE-PROPOSALS AND PREPARATION OF FULL PROPOSALS

All NASA-EPSCoR pre-proposals will be reviewed by a panel of experts from outside Louisiana. The PIs of the pre-proposals selected for development into full proposals will be notified in December 2015 and will be provided feedback from the panel. After this date, the PIs of successful pre-proposals are expected to work closely with the NASA EPSCoR Project Directors and Manager (T. Gregory Guzik/ John P. Wefel, LSU Department of Physics and Astronomy, LaSPACE/EPSCoR Manager, Colleen H. Fava) and BOR staff to prepare the proposals for submission to NASA. Full proposals (with budgets approved by the PI's office of sponsored programs) will be due at the BOR on a date to be determined based on the due date for proposal submission to NASA (a minimum of 5 business days prior to the NASA due date).

I.F. TIMETABLE *(DATES MAY CHANGE, SUBJECT TO REQUIREMENTS OF FY2015 CAN)*

<u>October 14, 2015</u>	<u>Notice of Intent due at BOR</u>
<u>November 6, 2015</u>	<u>Last day to submit questions about this solicitation</u>
<u>November 23, 2015</u>	<u>Pre-proposals due</u>
<u>December 2015</u>	<u>Notice of Selection</u>

I.G. QUESTIONS ABOUT THIS SOLICITATION

Specific questions concerning this solicitation and the requirements set forth herein should be directed **in writing** to Ms. Jessica Patton, Federal Programs Administrator, by email to Jessica.Domingue@REGENTS.LA.GOV. Questions will be accepted through **Friday, November 6, 2015**. A running compilation of all questions asked about this RFP and all answers provided in response to those questions will be periodically posted on the BOR website at <https://web.laregents.org> and the La NASA EPSCoR website at <http://lanasaepscor.lsu.edu/>.

I.H. RFP DOWNLOADS

Files associated with this RFP can be found on the Louisiana Board of Regents' Office of Sponsored Programs website (<https://web.laregents.org/>) and on the Louisiana NASA EPSCoR website: http://lanasaepscor.lsu.edu/?page_id=268. These guidelines, the notice of intent, the pre-proposal template, and the budget form will all be available to download. Additionally, a number of critical supporting documents have been posted to the Louisiana NASA EPSCoR website page linked above. These include the official NASA EPSCoR CAN from last year, a full list of abstracts for winning proposals from the last two years, a comprehensive listing of research priorities across NASA Mission Directorates and Centers, the current space technology roadmap, and a structural breakdown of the space technology areas. Additional resources will be posted as/if they become available, including the FY2016 solicitation.

II. PRE-PROPOSAL SUBMISSION AND FORMAT REQUIREMENTS

II.A. NOTICE OF INTENT (Required)

Before a pre-proposal will be accepted, a notice of intent (NOI) in portable document format (pdf) must be submitted by the PI no later than the close of business (4:30 p.m.) on **Wednesday, October 14, 2015**.

All online submissions must be uploaded as a single PDF document (use form in Appendix B) through the LOGAN system. Proposal submission is a two-step process. Following PI submission, the NOI is routed to your employing institution for review, approval, and final submission to the Board of Regents office; the Board does not receive and will not accept the NOI directly from the PI. Deadlines listed in the RFP are absolute; all approved NOIs must be submitted by the campus and received by the Board on or before the published deadline. The proposal submission system will automatically close at 4:30 p.m. Central on the deadline date.

Instructions for PIs:

- Go to URL: <https://web.laregents.org/logan/index.pl>
- Login using your LOGAN credentials.
- If you are new user and do not have a LOGAN login, please click on "New user registration" to register.
- If you have logged into LOGAN before and have forgotten your credentials please click "Forgot your password? Reset your account and receive a new system assigned password" to receive a new system-assigned password.
- After logging in, click on "Go >>" next to "LA NASA EPSCoR PreProposal NoI".
- Follow on-screen instructions to complete your NOI.
- Send completed NOI to the appropriate campus office by clicking "Send Proposal to OSP/OSR". A reference number will be assigned after the NOI is successfully sent to the PI's Office of Sponsored Programs/Research.

- An email confirmation of submission to the campus will be sent to the PI with the reference number.
- The OSP/OSR will review the NOI, and, if approved, submit it to the Board of Regents.

Instructions for the OSP/OSR:

- Go to URL: <https://web.laregents.org/logan/index.pl>
- Login using your Institutional credentials.
- Select “LA NASA EPSCoR PreProposal Nol”.
- Follow on-screen instructions to submit the NOI to the Board of Regents’ EPSCoR office.
- An email will be sent to both the PI and OSP/OSR to confirm successful submission of the NOI to the EPSCoR office.

If **both** the PI and the OSP/OSR do not receive confirmation emails within 4 hours, the proposal was not received. Please contact the LA EPSCoR office by phone at by email at support@laregents.org.

II.B. TYPE SIZE AND FORMATTING

The project description must be formatted to a standard 8-1/2" x 11" page and have 1-inch top, bottom and side margins. The project description must be clear, readily legible, and conform to the following requirements:

- Must be formatted to a standard 8-1/2" x 11" page
- All pages are to be numbered consecutively
- Margins, in all directions, must be at least an inch
- No more than 5.5 lines of text within a vertical space of 1 inch
- Times New Roman at a font size of 12 points or larger for the body text
- A font size of less than 12 points may be used for mathematical formulas or equations, figure, table, or diagram captions and when using a Symbol font to insert Greek letters or special characters. **PIs are cautioned, however, that the text must still be readable.**

These format requirements refer only to the project description, not to the required forms attached to this RFP.

II.C. PRE-PROPOSAL ELEMENTS

The pre-proposal must contain the following elements, in the order presented here. A proposal template (keyed to the NASA EPSCoR FY15 CAN) with further details about the pre-proposal elements is provided in Appendix B. **We strongly suggest** you use this template to ensure all requirements are met and to allow for a greater uniformity of submissions.

<p>Cover Page</p> <p>Cover Sheet Form is provided in the template.</p>	<p>1 page</p>
<p>Table of Contents</p>	<p>1pages</p>
<p>Proposal Body</p> <p>Project Summary</p> <p>Include a brief summary of the overall project, a description of the relevance of this project to NASA and the State of Louisiana, and a bulleted list of the major project goals</p>	

<p>and objectives.</p> <p>Project Description: A detailed description of the proposed research plan. Page limit includes all illustrations, tables, and figures, where each “n-page” fold-out counts as n-pages and each side of a sheet containing text or an illustration counts as a page.</p> <p>Project Purpose: Describe how the proposed research activities will make significant contributions to the strategic research and technology development priorities of one or more of the NASA Mission Directorates or Centers and contribute to the overall research infrastructure, science and technology capabilities, higher education, and economic development of the jurisdiction.</p> <p>Goals and Objectives: Clearly state goals and objectives for the proposed effort and provide a rationale for the approach that will be used to achieve them.</p> <p>Project Content: Clearly describe the proposed effort and how the goals and objectives will be achieved. Please note, when preparing a proposal that involves the use of human subjects, animals, hazardous materials, select agents, and/or recombinant DNA, the proposers will need to address applicable compliance issues in advance.</p> <p>Anticipated Results: Describe the anticipated results of the proposed effort.</p> <p>Partnerships and Interactions: Describe any partnerships or cooperative arrangements among academia, government agencies, business and industry, private research foundations, jurisdiction agencies, and local agencies as well as partnerships with minority-serving institutions and the inclusion of faculty and students from underrepresented/underserved groups.</p> <p>Timeline: Include a timeline for achieving the stated goals and objectives, including significant milestones.</p> <p>Sustainability: Describe how the research capability will be sustained beyond the funding period. There should be a clear plan for sustaining the research beyond NASA EPSCoR funding and for seeking non-EPSCoR funding. Identify potential CAN's, NRA's, RFP's, etc., specifically as examples.</p> <p>Dissemination: Outline the plan for disseminating the results to NASA and the broader community.</p> <p>Evaluation: Describe the evaluation plan for measuring project success. The evaluation plan should be appropriate for the scope of the proposed activity and include a discussion of data collection and analysis procedures. Note the evaluation plan may need to be modified at the time of the award to ensure it includes contributions to NASA's Program Performance Measures.</p> <p>Management: Identify and describe the roles and responsibilities of team members involved in the development and execution of proposed activity and describe the plan for managing the overall program, including meetings, teleconference, etc.</p> <p>Prior NASA Research Support: Describe any prior NASA EPSCoR or LaSPACE research support from the last five years for any PI or Co-I identified on the project, and explain (if it all) how that previous support helps this current proposal.</p>	<p>14 Pages Maximum</p>
<p>References and Citations</p>	<p>As needed</p>
<p>Biographical Sketches</p> <p>Submit sketches for key personnel using the following guidelines: PI, Co-I/Science-PI: maximum 2 pages Co-I, Co-I/Institutional-PI : 1 page Other Key Personnel: 1 page</p>	<p>As needed</p>
<p>Current and Pending Support</p>	<p>As needed</p>

<p>Use BOR Form 1001CP included in the template. Current and Pending Support for PI and Co-Is must be provided. The NASA current and pending support form may be substituted.</p>	
<p>Letters of Support</p> <p>May be appended to the pre-proposal. No other appendices are allowed.</p>	<p>As needed</p>
<p>Budget</p> <p>Budget Narrative/Details</p> <p>Please refer to Section 7 (budget) of the pre-proposal template in Appendix B, which includes some examples of acceptable descriptions for the various categories. All budget line items require detailed explanations without exception. NASA requires significantly more budget justification data than many other agencies, thus we created the template.</p> <p>Budget Form</p> <p>Use Louisiana NASA EPSCoR Pre-proposal Budget Form included in the pre-proposal template (this form is also provided in MS Excel as a separate attachment). You should have a total of 4 completed budget forms per institution. Prepare a separate budget page for each of the 3 years, plus a cumulative budget page. F&A (indirect) recovery is limited to 25% of total salaries, wages, and fringe benefits. Non-recovered F&A is an allowed (and encouraged) form of matching.</p> <p>Additional Notes</p> <p>See section 1.D of these guidelines for the limitations and requirements on the yearly and total NASA and BOR funding levels. Further, the pre-proposal template provides additional budget details (Appendix B).</p> <p>Dollar amounts proposed with no detailed explanation (e.g., Equipment: \$12,000, or Labor: \$35,000) will reduce proposal acceptability, or cause delays in funding should the proposal be selected. Each item should be explained in reasonable detail.</p> <p>Direct labor costs should be separated by titles or disciplines (e.g., Principal Investigator, graduate research assistant, clerical support, etc.) with estimated hours, hourly rates, and total amounts of each. Indirect costs should be sufficiently explained such that evaluators can understand the basis of the proposed costs.</p> <p>Foreign travel is allowable up to \$3,000/trip and a total of two trips (maximum \$6,000) for the entire jurisdiction's EPSCoR proposal (NASA and BOR funds). Requested foreign travel should include justification, purpose, the number of trips and expected location, duration of each trip, airfare, and per diem.</p> <p>We suggest, whenever possible, that all Subawards be costed entirely with <u>either</u> NASA funds <u>or</u> BoR funds, instead of being split across the two funding streams. This simplifies your subaward budgets and, in the event your project is selected for funding, greatly simplifies your project accounting.</p> <p>All costs to be incurred by NASA Centers on behalf of NASA EPSCoR for the use of facilities and contracted technical work should be identified in the research proposal</p>	<p>As needed</p>

<p>funding request. <u>In advance of proposal submission</u>, proposers should contact NASA installations from which services will be requested in order to ascertain the availability and anticipated costs of such services. Salaries and travel of NASA civil servants is not allowed.</p> <p>Proposers are reminded that NASA projects cannot include collaboration with institutions in the People’s Republic of China.</p>	
<p>Summary of Previous Submittal</p> <p>PIs who were previously selected to proceed to the national competition but were unsuccessful <u>may</u> re-propose to this RFP. However, in such a case the application must include a copy of, or summary of, the NASA reviewer’s criticisms <u>plus</u> a discussion of how the re-submission has been re-structured to meet the reviewer’s criticisms.</p>	<p>As needed</p>

II.D. PRE-PROPOSAL EVALUATION

All NASA-EPSCoR pre-proposals will be reviewed by a panel of experts from outside Louisiana. The reviewers will evaluate the proposals based on the evaluation criteria established in the FY2015 CAN issued by NASA (or the FY16 criteria, if released before our review period commences). The evaluation criteria set forth in the 2015 NASA-EPSCoR CAN is reproduced here in Appendix A. Proposers are advised to consider Appendix A as they prepare their proposals.

II.E. SUBMISSION OF PRE-PROPOSAL

The pre-proposal must be submitted to the Board of Regents by the submitting institution’s authorized representative no later than the close of business (4:30 p.m.) **Wednesday, November 25, 2015**. All online submissions must be uploaded as a single PDF document through the LOGAN system. Proposal submission is a two-step process. Following PI submission, the proposal is routed to your employing institution for review, approval, and final submission to the Board of Regents’ EPSCoR office; the Board does not receive and will not accept the proposal directly from the PI. Deadlines listed in the RFP are absolute; all approved proposals must be submitted by the campus and received by the Board on or before the published proposal deadline. The proposal submission system will automatically close at 4:30 p.m. Central on the deadline date.

Instructions for PIs:

- Go to URL: <https://web.laregents.org/logan/index.pl>
- Login using your LOGAN credentials.
- If you are new user and do not have a LOGAN login, please click on “New user registration” to register.
- If you have logged into LOGAN before and have forgotten your credentials please click “Forgot your password? Reset your account and receive a new system assigned password” to receive a new system-assigned password.
- After logging in, click on “Go >>” next to “LA NASA EPSCoR PreProposal”.
- Follow on-screen instructions to complete your proposal.
- Send completed proposal to the appropriate campus office by clicking “Send Proposal to OSP/OSR”. A proposal reference number will be assigned after the proposal is successfully sent to the PI’s Office of Sponsored Programs/Research.

- An email confirmation of submission to the campus will be sent to the PI with the proposal reference number.
- The OSP/OSR will review the proposal, and, if approved, submit the proposal to the Board of Regents.

Instructions for the OSP/OSR:

- Go to URL: <https://web.laregents.org/logan/index.pl>
- Login using your Institutional credentials.
- Select “LA NASA EPSCoR PreProposal Nol”.
- Follow on-screen instructions to submit the proposal to the Board of Regents’ EPSCoR office.
- An email will be sent to both the PI and OSP/OSR to confirm successful submission of the proposal to the EPSCoR office.

If **both** the PI and the OSP/OSR do not receive confirmation emails within 4 hours, the proposal was not received. Please contact the LA EPSCoR office by phone at by email at support@laregents.org.

Appendix A

Proposal Evaluation Criteria from the FY2016 NASA EPSCoR CAN

NASA-EPSCoR FY2015 Can Evaluation Criteria

The proposal evaluation criteria included in the FY2015 NASA-EPSCoR CAN is provided here as an example of how proposals might be evaluated for FY 2016. Please consider these criteria as you develop your project proposal.

8.0 Proposal Evaluation Criteria and Selection Process

Successful research proposals are likely to be those that provide sound contributions to both immediate and long-term scientific and technical needs of NASA as explicitly expressed in current NASA documents and communications, as well as contribute to the overall research infrastructure, science and technology capabilities, higher education, and economic development of the jurisdiction. Successful proposals will also include pragmatic plans for generation of sustained non-EPSCoR support.

*Jurisdictions responding to this CAN may submit up to one proposal per paragraph 1.3 above. Proposals will be evaluated based on the following criteria: Intrinsic Merit, NASA Alignment and Partnerships, Management and Evaluation, and Budget Justification: Narrative and Details. The bulleted lists after each criterion should not be construed as any indication of priority or relative weighting. The bullets are provided for clarity and facilitation of proposal development. **Note: The proposal must contain a section entitled “Relevance to NASA” and “Relevance to Jurisdiction.”** Proposers should provide specific information on how they determined the relevance of the proposed effort to NASA. The relevance to NASA and the jurisdiction must be balanced.*

8.1 Intrinsic Merit (35% of score)

- Proposed Research. Proposals should provide a detailed narrative of the proposed research activity, including the scientific and/or technical merit of the proposed research, unique and innovative methods, approaches, concepts, or advanced technologies, and the potential impact of the proposed research on its field.*
- Existing Research. Proposals should provide baseline information about current research activities within the jurisdiction in the proposed research area, including projects currently funded under NASA EPSCoR. If relevant, the narrative should include a brief history of NASA EPSCoR Research projects in the jurisdiction and should include a discussion of how these previous NASA EPSCoR research projects and RID activities have helped prepare the institution and jurisdiction for and contributed to the proposed research activities. If the proposed research represents a new direction for the jurisdiction, the ability of the technical team to carry out the research should be explained. Other relevant research and technology development programs within the jurisdiction should be included.*

8.2 NASA Alignment and Partnerships (35% of score)

NASA personnel will evaluate this section (8.2.1):

8.2.1 Relevance to, Partnerships with, and Interactions with NASA.

- Proposals should discuss the value of the proposed research to NASA's research priorities.*
- Proposals should describe the use of NASA content, people, or facilities in the execution of the research activities. They should describe current and/or previous interactions, partnerships, and meetings with NASA researchers, engineers, and scientists in the area of the proposed research, and discuss how future partnerships between the institution's researchers and personnel at the Mission Directorates, the OCT, and/or Centers will be fostered. The name(s) and title(s) of NASA researchers with whom the proposers will partner should be included.*
- The utilization of NASA venues to publish accomplishments should be also considered. Proposals should describe the use of NASA content, people, or facilities in the execution of the research activities. They*

should describe current and/or previous interactions, partnerships, and meetings with NASA researchers, engineers, and scientists in the area of the proposed research, and discuss how future partnerships between the institution's researchers and personnel at the Mission Directorates, the OCT, and/or Centers will be fostered. The name(s) and title(s) of NASA researchers with whom the proposers will partner should be included. The utilization of NASA venues to publish accomplishments should be also considered.

8.2.2 Relevance to, Partnerships with, and Interactions with the Jurisdiction.

- *Proposals should discuss the value of the proposed research to the jurisdiction's research priorities.*
- *Proposals should articulate clearly how the proposed research activities build capacity in the jurisdiction. In particular, proposers should explain how the current proposed research fits into the strategic plan for NASA EPSCoR-related research in the jurisdiction.*
- *Proposals should delineate mechanisms for building partnerships with universities, industry, and/or other government agencies to enhance the ability of the jurisdiction to achieve its objectives, to obtain and leverage sources of additional funding, and/or to obtain essential services not otherwise available.*

8.2.3 Sustainability.

Proposals should state how they plan to develop research competitiveness both in the jurisdiction and nationally.

8.3 Management and Evaluation (15% of score)

This section should describe the management structure for the proposed research, and coordination with the jurisdiction's NASA EPSCoR project management. The following elements should be included:

- **Results of Prior NASA EPSCoR Research Support:** *If the current EPSCoR Director has administered NASA EPSCoR research awards (excluding Core & Research Infrastructure Development (RID)) that were completed in the past five years, he or she must demonstrate accomplishments commensurate with the managerial and administrative expectations of the award. The EPSCoR Director will not be assessed on his/her expertise in the specific proposed research area (the Co-I/Science-PI is tasked with managing the scientific/technical development progress). The following information must be provided: the NASA EPSCoR award number(s), amount(s) the title of the projects(s); and period(s) of support; primary outcomes resulting from the NASA EPSCoR award, including a summary discussion of accomplishments compared to the proposed outcomes from the original proposal; coordination with the research and technical development priorities of NASA, and contribution(s) to the overall research capacity of the jurisdiction.*

- **Personnel:** *A list of the personnel participating in this research program, including Principal Investigator and all Co-Investigators, Research Associates, Post-Doctoral Fellows, Students (projected numbers of both graduate and undergraduates), and other research participants should be included. The credentials of the researchers are important; however EPSCoR includes the concept of encouraging and helping new researchers.*

- **Research Project Management:** *A description of the management structure of the proposed research project, and the extent to which the project's management and research team will lead to a well-coordinated, efficiently-managed, and productive effort should be included.*

- **Multi-Jurisdiction Projects:** *If the proposed research is collaboration between more than one NASA EPSCoR jurisdiction, one jurisdiction must be identified as the lead while additional partners should be identified as sub-awardees. The proposal should detail the inter-jurisdiction management structure of the proposed research project, including a list of the participating jurisdictions, and the participating universities and agencies within each jurisdiction. Multi-jurisdictional proposals may not exceed the \$750,000 limit.*

- **Project Evaluation:** *Proposals should document the intended outcomes and offer metrics to demonstrate progress toward and achievements of these outcomes. They should discuss metrics to be used for tracking and evaluating project progress. Milestones and timetables for achievement of specific objectives during the award period should be presented. The proposal should describe an appropriate evaluation plan/process to*

document outcomes and demonstrate progress toward achieving objectives of proposed project elements. Evaluation methodology should be based upon reputable models and techniques appropriate to the content and scale of the project. Projects should implement improvements throughout the entire period of performance based on ongoing evaluation evidence.

Of particular importance to NASA EPSCoR is a reliable method for longitudinal tracking of student progress. *If the proposal includes a plan for student support, the proposal should provide for gathering student performance data for evaluating the effectiveness of NASA EPSCoR. Projects will be required to utilize the NASA Office of Education Performance Management (OEPM) system for longitudinal tracking of student participants.*

• ***Tracking of Program Progress:*** *To the extent reasonable, proposals should discuss how the following will be assessed:*

- the progress and potential towards achieving self-sufficiency beyond the award period of the research capabilities developed under this grant; and*
- the potential for the proposed research area to continue to grow in importance in NASA-related fields in the future.*

• ***Continuity:*** *If applicable, proposals should describe the role of EPSCoR in connecting to their other NASA education or research projects. They should include methods for effecting the transition of participants to succeeding levels of involvement or facilitating career opportunities. This principle also refers to continuity in research capability. The proposal may contain project efforts directed particularly at involving young researchers in new fields of research that have promise to provide NASA with long-term quality research and development.*

8.4 Budget Justification: Narrative and Details (15%)

A detailed budget, including NASA and cost-share funds, is required for the three years of performance. Preparation guidelines for the budget can be found in the NASA Guidebook for Proposers, Section 2.3.10 which includes a suggested format to use in preparing the proposed budget. All sources of cost-sharing shall be described and documented. The budget will be evaluated based upon the clarity and reasonableness of the funding request. A budget narrative should be included that discusses other budgetary issues such as the extent and level of jurisdiction, industrial, and institutional commitment and financial support, including resources (staff, facilities, laboratories, indirect support, waiver of indirect costs, etc.).

The proposed budget should be adequate, appropriate, reasonable, and realistic, and demonstrate the effective use of funds in alignment with the proposed project. This section should include detailed budgets for each of the three years of the funding and a summary budget for all three years. The proposed budget should reflect clear alignment with the content and text of the proposal. The budget should contain sufficient cost detail and supporting information to facilitate evaluation.

Appendix B

FY2016 Pre-Proposal Notice of Intent Form

NOTICE OF INTENT: FY2016 LA NASA EPSCoR Pre-proposal

NAME OF PRINCIPAL INVESTIGATOR (PI):	NAME OF LEAD ORGANIZATION:
PI DEPARTMENT	PI PHONE NUMBER and EMAIL ADDRESS
TITLE OF PROPOSED PROJECT:	
LIST PARTICIPATING INSTITUTIONS/CAMPUSES:	
LIST PROJECT DISCIPLINES:	
THE PROPOSED WORK WILL SUPPORT THE RESEARCH PRIORITIES OF THE FOLLOWING NASA DIRECTORATES AND/OR NASA FIELD CENTERS:	
PROJECT ABSTRACT (maximum 250 words):	
NAMES of OTHER INVESTIGATORS	INSTITUTION/DEPARTMENT
CO-I	
CO-I	
CO-I	
CO-I	

Appendix C

Pre-Proposal Template for FY2016
NASA / LA BOR EPSCoR CAN

Cover Sheet: FY2016 NASA EPSCoR Pre-proposal

FOR CONSIDERATION BY BOR ORGANIZATION UNITS(S)			
Sponsored Programs			
PROGRAM ANNOUNCEMENT NASA EPSCoR			
NAME OF LEAD ORGANIZATION:	ADDRESS OF LEAD ORGANIZATION, INCLUDING ZIP CODE:		
PI DEPARTMENT	PI POSTAL ADDRESS		
TITLE OF PROPOSED PROJECT:			
REQUESTED AMOUNT, YR 1: \$	REQUESTED AMOUNT, YR 2: \$	REQUESTED AMOUNT, YR 3: \$	TOTAL REQUESTED: \$
LIST PARTICIPATING INSTITUTIONS/CAMPUSES:			
LIST PROJECT DISCIPLINES:			
NAMES (TYPED)	Highest Degree/ year attained	Telephone Number	Email Address
PRINCIPAL INVESTIGATOR (PI)			
CO-I			
CO-I			
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Project Title

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1. Project Description

[Sections 1 through 5 not to exceed 13 pages, including all illustrations, tables, and figures]

1.1 Project Purpose

Include one or two paragraphs summarizing the research project, including goals, objectives, and activities.

1.1.1 Relevance to NASA

Describe how the proposed research activities will make significant contributions to the strategic research and technology development priorities of one or more of the NASA Mission Directorates, the OCT, and the ten NASA Centers.

1.1.2 Relevance to Louisiana

Describe how the proposed research activities will make significant contributions to the overall research infrastructure, science and technology capabilities, higher education, and economic development of Louisiana.

1.2 Goals and Objectives

Clearly state goals and objectives for the proposed effort and provide a rationale for the approach that will be used to achieve them. Your objectives should be specific, measurable, achievable, relevant, and traceable.

1.3 Project Content

Clearly describe the proposed effort and how the goals and objectives will be achieved. *Please note, when preparing a proposal that involves the use of human subjects, animals, hazardous materials, select agents, and/or recombinant DNA, the proposers will need to address applicable compliance issues for the pre-proposal. Not addressing these issues in your description, including obtaining approval from relevant committees, will preclude any review of your submission.*

1.4 Anticipated Results

Clearly describe the anticipated results for the proposed effort.

1.5 Project Timeline and Milestones

Show the project timeline in a table 1, which indicates the schedule of major tasks to be accomplished during each year of the program. Provide a narrative description of particular milestones planned for each year.

1.6 Partnerships and Interactions

Describe any partnerships or cooperative arrangements among academia, government agencies (including NASA centers/MDs), business and industry, private research foundations, jurisdiction agencies, and local agencies as well as partnerships with minority-serving institutions and the inclusion of faculty and students from underrepresented/underserved groups.

1.7 Sustainability

Describe how the research capability will be sustained beyond the funding period. There should be a clear plan for sustaining the research beyond NASA EPSCoR funding and for seeking non-EPSCoR funding. Identify potential CAN's, NRA's, RFP's, etc., specifically as examples.

1.8 Dissemination

Outline the plan for disseminating the results to NASA and the broader community.

1.9 Evaluation

Describe the evaluation plan for measuring project success. The evaluation plan should be appropriate for the scope of the proposed activity and include a discussion of data collection and analysis procedures. Note the evaluation plan may need to be modified at the time of the award to ensure it includes contributions to NASA's Program Performance Measures.

1.10 Management

Identify the roles and responsibilities of team members involved in the development and execution of proposed activities and describe the management plan.

1.11 Prior NASA Research Support

Describe any prior NASA EPSCoR or LaSPACE research support from the last five years for any PI or Co-I identified on the project, and explain (if it all) how that previous support helps this current proposal.

2. References and Citations

Include references and citations made in the body of the proposal here.

3. Biographical Sketches

[Submit sketches for key personnel using the following guidelines: **PI, Co-I/Science-PI:** maximum 2 pages; **Co-I, Co-I/Institutional-PI :** 1 page; **Other Key Personnel:** 1 page]

Note: NASA does not allow Co-PI's in any role.

Provide the following information for the senior personnel on the project. Begin with the Principal Investigator.
DO NOT EXCEED 2 PAGES PER PERSON.

- A. Vitae, listing professional and academic essentials and mailing address.
- B. List up to 5 publications most closely related to the proposed project and up to 5 other significant publications, including those being printing. Patents, copyrights, or software systems developed may be substituted for publications. Do not include additional lists of publications, invited lectures, etc. Only the list of up to 10 will be used in merit review.
- C. List of persons, other than those cited in the publication list, who have collaborated on a project or a book, article, report or paper within the last 48 months, including collaborators on this proposal. If there are no other collaborators, please indicate that fact.
- D. Names of graduate and post-graduate advisors and advisees.

The information in C. and D. is used to help identify potential conflicts or bias in the selection of reviewers.

4. Current and Pending Support

The following information **MUST** be provided for each investigator and other senior personnel. Use additional sheets as necessary. Complete Form 1001CP, provided on the following page. List support from **ALL** sources, including BOR Support Fund.

NAME OF INVESTIGATOR:

<p>Status of Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future</p> <p>Project/Proposal Title:</p> <p>Source of Support:</p> <p>Award Amount (or Annual Rate): \$ _____ Period Covered: _____</p> <p>Location of Activity:</p> <p>Person-Months or % of Effort Committed to the Project: <input type="checkbox"/> Cal Yr <input type="checkbox"/> Acad <input type="checkbox"/> Summ</p>
<p>Status of Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future</p> <p>Project/Proposal Title:</p> <p>Source of Support:</p> <p>Award Amount (or Annual Rate): \$ _____ Period Covered: _____</p> <p>Location of Activity:</p> <p>Person-Months or % of Effort Committed to the Project: <input type="checkbox"/> Cal Yr <input type="checkbox"/> Acad <input type="checkbox"/> Summ</p>
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5. Statements of Commitment and Letters of Support

Letters of support may be included here.

6. Budget Justification

6.1 Budget Narrative

[Budget Narrative/Details: All budget line items require detailed explanations without exception. We have created the following budget narrative template with some examples of acceptable descriptions for the various categories. This section must be duplicated for all sub-awardees.]

Include a brief (1-3 paragraph) narrative description of the funding structure and participating institutions, including NASA-EPSCoR, Louisiana BOR, the lead institution, and any sub-award institutions. Include a high-level table identifying contributions of the three funding sources (NASA, LA BOR, Institutions) for each of the years of the research project. In developing the project budget note the limitations and requirements as specified in section 1.D, Financial Considerations of the LA BOR / NASA EPSCoR Request for Pre-Proposal guidelines.

6.1.1 Table of Proposed Work Effort

Include a table of anticipated work effort in (person-months) for each year of the research project. Example Table below.

Name	Role	Person-Months Year 1	Person-Months Year 2	Person-Months Year 3
<i>Lead Institution Name</i>				
Jane C. Smith	CO-I, Science PI, Institution-PI	1.0	1.0	2.0
John B. Doe	Co-I	1.0	1.0	1.0
To be named	Post-doctoral Associate	12	12	12
Graduate Students (3 per year)	Student	18	18	18
Undergraduate students (up to 5 per year)	Student	15	15	15
<i>Sub-Award Institution Name</i>				
James Smith	Co-I, Instution-PI	1.0	1.0	1.0
Graduate Student (1)	Student	6	6	6
Undergraduate Student (3)	Student	6	6	6

Note: You must describe exactly how person-months/years are calculated for students

6.1.2 Facilities and Equipment

Existing Facilities and Equipment

Provide a 1-paragraph description of each facility (faculty labs, departmental labs, general department facilities). Follow each paragraph description with a list of all major equipment available to support this project, as needed.

Additional Facilities and Equipment to be Acquired using Project Funds

Identify any additional space or general equipment that will be acquired for this project in a brief narrative description (1 to 3 paragraphs). [Detailed descriptions of all proposed equipment / facility costs must be included in the detailed budget section.]

6.1.3 Cost Methodology

Provide a brief (1-3 sentences) description of the method used to estimate the following cost categories.

- ***Salaries and Wages***
- ***Equipment***
- ***Materials and Supplies***
- ***Travel***
- ***Other Applicable Costs (Operating Services)***

6.2 Budget Details – Lead Institution

[Dollar amounts proposed with no detailed explanation (e.g., Equipment: \$12,000, or Labor: \$35,000) will reduce proposal acceptability, or cause delays in funding should the proposal be selected. Each item should be explained in reasonable detail.]

Provide a summary table of the lead institution’s budget by major cost category as indicated below.

“Project Title,” Lead Institution Name: Budget Summary by Major Category

Category	Year 1		Year 2		Year 3	
	NASA+BOR	Institution	NASA+BOR	Institution	NASA+BOR	Institution
Direct Labor						
Other Direct Costs:						
Supplies & Materials						
Equipment						
Travel Costs						
Sub-Award Costs						
Other Applicable Costs						
<i>Total Direct Costs</i>						
<i>F&A (Indirect) Costs</i>						
Total Project Costs						

Direct Labor Detail

Direct labor costs should be separated by titles or disciplines (e.g., Principal Investigator, Co-Investigator, Collaborator, Research Associate, graduate or undergraduate research assistant, etc.) with estimated hours, hourly rates, or monthly rates and total amounts of each. Identify all faculty, staff, and students to be supported. List amounts for each year for each one you list. Also provide brief summaries of the primary responsibilities for each of the categories. Specifically, mention what each Investigator will be responsible for, what research any post-docs or graduate students will perform, and what kind of work undergraduate students might complete. Document fringe benefits (rates & totals) and lastly, summarize the yearly totals for wages, salaries, and benefits.

Supplies & Materials Detail

Organized by year, identify amounts followed by a brief description (with concrete examples) of typical supplies required to conduct your research project. Pay special attention to high-cost materials and supplies (e.g. Platinum substrates or the like). Cite sources for cost estimates (vendor quote, website price listing, previous orders, etc).

Equipment Detail

Organized by year, identify all equipment to be purchased for this project. For each piece of equipment, included the name of the equipment, model number & brand, supplier cost quote or website price, and 1-2 sentences describing what the equipment does and how it will be used in the project. The source of the cost estimate **must** be included.

Travel Detail

Separate domestic and foreign travel, and then identify fund amounts and funding sources by year. Include visits to NASA Centers and relevant technical conferences. For each trip list: purpose, destination, number of travelers, airfare, per diem, registration, local transportation, and miscellaneous. If exact location of travel is not known, select a probable destination for the estimate.

Requested domestic travel should include purpose, the number of trips and expected location, duration of each trip, airfare, rental vehicle (if needed), and per diem. There is no limit placed on domestic travel. Domestic travel should be appropriate and reasonable to conduct the proposed research.

Foreign travel is allowable up to \$3,000/trip and a total of two trips (maximum \$6,000) for the entire jurisdiction's EPSCoR proposal (NASA and BOR funds). Requested foreign travel should include justification, purpose, the number of trips and expected location, duration of each trip, airfare, rental vehicle (if needed), and per diem.

Sub-Award Detail

This section should describe all sub-awards anticipated to be funded by the lead institution. Include the institution name, project role, yearly funding level, and total funding level for each collaborating institution receiving an award.

In addition, starting at section 7.4 each sub-award proposed must include a cover sheet, a statement of work for the sub-award institution, and a complete budget section (four total budget forms and the same budget details specified here). Sub-award packages should be approved and signed by the receiving institution prior to submission of the pre-proposal.

Other Applicable Costs Detail

List any additional allowable costs to be covered by NASA, BOR, and/or your institution, such as consultants, preparing manuscripts, and F&A (indirect) costs. Organize by year and identify amounts with funding agencies.

F&A (Indirect) Costs

Include rates and the base, plus total cost. Note that for this proposal, F&A (indirect) is limited to 25% of total salaries, wages, and fringe.

Institutional Contribution

All institutional contributions need to be listed and described here. Unrecovered F&A used as an institutional contribution must be explained, including a calculation as to how the amount is obtained. All institutional contributions should be sufficiently explained such that evaluators can understand the basis of the proposed costs.

6.3 Budget Details – Subawards

For all anticipated Sub-Award Institutions, the items listed below are to be included on the following pages.

Cover Sheet

With authorized institutional signature.

Statement of Work

Summary of the work to be completed by the collaborating institution.

Budget Details

Budget Details for Subawards must be included just as described in the previous section for the lead institution.

6.4 Budget Forms

[Budget Form: Use the Louisiana NASA EPSCoR Pre-proposal Budget Forms that follow this page (this form is also provided in MS Excel as a separate attachment). You should have a total of 4 completed budget forms per institution. Prepare a separate budget page for each of the 3 years, plus a cumulative budget page. A budget justification must be included. F&A (indirect) recovery is limited to 25% of total salaries, wages, and fringe benefits. This section must be duplicated for all sub-awardees.]

Louisiana NASA EPSCoR Pre-proposal Budget Form Year 1

PROJECT TITLE:		PROJECT YEAR: (circle one)	
		1	2
		3	combined
PRINCIPAL INVESTIGATOR:		ORGANIZATION:	
1 SALARY COSTS		NASA Funds Requested	Non-Federal Match BOR Institutional
1			
2			
3			
4			
5 Graduate Student Support			
6 Undergraduate Student Support			
TOTAL PERSONNEL			
2 FRINGE BENEFITS (if charged as direct costs) Specify Rate:			
3 TOTAL WAGES, SALARIES, BENEFITS (1 + 2)			
4 SUPPLIES & MATERIALS			
5 EQUIPMENT (List item & dollar amount for items exceeding \$1,000)			
Total Permanent Equipment			
6 TRAVEL COSTS			
Domestic (Incl. Canada & U. S. possessions.)			
Foreign			
7 PUBLICATION & REPORT COSTS			
8 SUBAWARD COSTS			
9 CONSULTANT COSTS			
10 COMMUNICATION COSTS			
11 OTHER DIRECT COSTS			
12 TOTAL DIRECT COSTS			
13 INDIRECT COSTS (Specify rates.) 1. Federal: 25% of line 3 2. BOR: 25% of line 3 3. Institutional: (specify rate)			
Total Indirect Costs			
14 TOTAL PROJECT COSTS (12 + 13)			

Louisiana NASA EPSCoR Pre-proposal Budget Form Year 2

PROJECT TITLE:		PROJECT YEAR: (circle one)	
		1	2
		3	combined
PRINCIPAL INVESTIGATOR:		ORGANIZATION:	
1 SALARY COSTS		NASA Funds Requested	Non-Federal Match BOR Institutional
1			
2			
3			
4			
5 Graduate Student Support			
6 Undergraduate Student Support			
TOTAL PERSONNEL			
2 FRINGE BENEFITS (if charged as direct costs) Specify Rate:			
3 TOTAL WAGES, SALARIES, BENEFITS (1 + 2)			
4 SUPPLIES & MATERIALS			
5 EQUIPMENT (List item & dollar amount for items exceeding \$1,000)			
Total Permanent Equipment			
6 TRAVEL COSTS			
Domestic (Incl. Canada & U. S. possessions.)			
Foreign			
7 PUBLICATION & REPORT COSTS			
8 SUBAWARD COSTS			
9 CONSULTANT COSTS			
10 COMMUNICATION COSTS			
11 OTHER DIRECT COSTS			
12 TOTAL DIRECT COSTS			
13 INDIRECT COSTS (Specify rates.) 1. Federal: 25% of line 3 2. BOR: 25% of line 3 3. Institutional: (specify rate)			
Total Indirect Costs			
14 TOTAL PROJECT COSTS (12 + 13)			

Louisiana NASA EPSCoR Pre-proposal Budget Form Year 3

PROJECT TITLE:		PROJECT YEAR: (circle one)	
		1	2
		3	combined
PRINCIPAL INVESTIGATOR:		ORGANIZATION:	
1 SALARY COSTS		NASA Funds Requested	Non-Federal Match BOR Institutional
1			
2			
3			
4			
5 Graduate Student Support			
6 Undergraduate Student Support			
TOTAL PERSONNEL			
2 FRINGE BENEFITS (if charged as direct costs) Specify Rate:			
3 TOTAL WAGES, SALARIES, BENEFITS (1 + 2)			
4 SUPPLIES & MATERIALS			
5 EQUIPMENT (List item & dollar amount for items exceeding \$1,000)			
Total Permanent Equipment			
6 TRAVEL COSTS			
Domestic (Incl. Canada & U. S. possessions.)			
Foreign			
7 PUBLICATION & REPORT COSTS			
8 SUBAWARD COSTS			
9 CONSULTANT COSTS			
10 COMMUNICATION COSTS			
11 OTHER DIRECT COSTS			
12 TOTAL DIRECT COSTS			
13 INDIRECT COSTS (Specify rates.)			
1. Federal: 25% of line 3			
2. BOR: 25% of line 3			
3. Institutional: (specify rate)			
Total Indirect Costs			
14 TOTAL PROJECT COSTS (12 + 13)			

Louisiana NASA EPSCoR Pre-proposal Budget Form Combined 3 Years

PROJECT TITLE:		PROJECT YEAR: (circle one)		
		1	2	3
		combined		
PRINCIPAL INVESTIGATOR:		ORGANIZATION:		
1 SALARY COSTS		NASA Funds Requested	Non-Federal Match	
			BOR	Institutional
1				
2				
3				
4				
5 Graduate Student Support				
6 Undergraduate Student Support				
TOTAL PERSONNEL				
2 FRINGE BENEFITS (if charged as direct costs) Specify Rate:				
3 TOTAL WAGES, SALARIES, BENEFITS (1 + 2)				
4 SUPPLIES & MATERIALS				
5 EQUIPMENT (List item & dollar amount for items exceeding \$1,000)				
Total Permanent Equipment				
6 TRAVEL COSTS				
Domestic (Incl. Canada & U. S. possessions.)				
Foreign				
7 PUBLICATION & REPORT COSTS				
8 SUBAWARD COSTS				
9 CONSULTANT COSTS				
10 COMMUNICATION COSTS				
11 OTHER DIRECT COSTS				
12 TOTAL DIRECT COSTS				
13 INDIRECT COSTS (Specify rates.) 1. Federal: 25% of line 3 2. BOR: 25% of line 3 3. Institutional: (specify rate)				
Total Indirect Costs				
14 TOTAL PROJECT COSTS (12 + 13)				

7. Summary of Previous Submittal

PIs who were selected to proceed to the national competition but were unsuccessful may re-propose to this RFP. However, in such a case the application must include a copy of, or summary of, the NASA reviewer's criticisms plus a discussion of how the re-submission has been re-structured to meet the reviewer's criticisms. Include relevant information here, if applicable.