



# Ames Policy Directive

APD 8000.1

Effective Date: January 12, 2021

Expiration Date: January 12, 2026

**COMPLIANCE IS MANDATORY**

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**Subject: Ames Policy for Proposal Authorization, Development, Review, Approval, and Archiving**

**Responsible Office: Code P / New Opportunities Center**

## CHANGE LOG

| Status<br>[Baseline<br>/Revision<br>/Cancelled] | Document<br>Revision | Date of<br>Change | Description     |
|---|----------------------|-------------------|-----------------|
| Baseline  | 0                    | 1/12/2021         | Major revision. |
|   |                      |                   |                 |
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## 1. POLICY

a. This directive establishes policy for Ames Research Center (ARC) for the authorization, development, review, approval, archiving and assessment of Ames Large Proposals (proposal value of \$20M<sup>1</sup> or more for Ames work) in response to NASA Science Mission Directorate (SMD) Announcements of Opportunity (AOs) into which significant ARC bid and proposal<sup>2</sup> resources are invested, that require a significant amount of Ames resources to execute, or that involve the development of flight products for SMD.

b. It is ARC Policy that such proposals:

- (1) Be authorized, reviewed, and approved by the Ames Center Director or designee;
- (2) Be reviewed by appropriate scientific, technical and cost and schedule subject matter experts;
- (3) Be consistent with NASA and ARC technical, programmatic, and financial and legal requirements, standards, and best practices;
- (4) And be securely archived for reference in the development of future ARC proposals and new business opportunities.

## 2. APPLICABILITY

a. This APD is applicable to ARC and associated facilities.

b. This APD applies to civil servants at ARC and to contractors, grant recipients, and parties to agreements to the extent specified or referenced in the contracts, grants, or agreements.

c. In this directive, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms "may" or "can" denote discretionary privilege or permission, "should" denotes a good practice and is recommended, but not required, "will" denotes an expected outcome, and "are/is" denote descriptive material.

d. In this directive, all document citations are assumed to be the latest version unless otherwise noted.

e. This APD is applicable to all Ames Large Proposals (proposal value of \$20M or more for Ames work) submitted in response to SMD AOs and including any of the following:

- (1) Proposals led by an Ames Principal Investigator (PI);
- (2) Proposals for which Ames provides or leads a Science Instrument as part of a Partnership Proposal;
- (3) Proposals for which Ames provides or leads a subsystem or element as part of a Partnership Proposal;
- (4) Proposals for which Ames provides a major WBS element (e.g. Project Management, Systems Engineering, Mission Operations, etc.) as part of a Partnership Proposal.

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<sup>1</sup> In FY19 \$

<sup>2</sup> Ames Bid and Proposal work is selected at Ames Center Director level and includes work not covered by this APD.

### 3. **AUTHORITY**

- a. NPD 1000.3, The NASA Organization

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

- a. APR 5100.2, Selection of Proposal Partners
- b. APR 7120.52, Program/Project Cost Estimating for Space Flight Systems

### 5. **RESPONSIBILITY**

- a. **The Center Director or designee signs the letter-of-commitment.**

- b. **The PARTS Committee** (the Associate Director of Research and Technology; the Directors of Programs & Projects, Aeronautics, Engineering, Exploration Technology, Science, the Director of Safety & Mission Assurance, and the Ames Chief Engineer) shall:

- (1) Recommend to the Center Director the allocation of Center Investment funds required to develop proposals covered by this APD, if beyond the scope of the existing NOC budget.
- (2) Review partnerships within Ames led proposals, with special emphasis on in-house vs. out-of-house provisioning.
- (3) Review all Ames Large Proposals and recommend approval or disapproval to submit to the Ames Center Director.

- c. **Organizational Directors** shall:

- (1) Review and concur on submission of Ames Large Proposals for which their Directorates contribute.

- d. **Principal Investigators (PIs) for Ames-led proposals and Co-Investigators (Co-I), subsystem or element leads, or WBS-leads for Partnership Proposals** shall:

- (1) Ensure that the requirements of APR 5100.2 are satisfied when selecting proposal partners.
- (2) Present partnership structure of Ames led proposals to the PARTS committee.
- (3) Review all Ames cost estimates with the line management of organizations at Ames that will perform the proposed work prior to final approval of the cost estimates by Code C.
- (4) Obtain final approval of cost estimates from Code C for Ames Large Proposals.
- (5) Obtain concurrence or comments from the Ames Organizational Directorates to submit Ames Large Proposals.
- (6) Obtain authorization to propose and/or Letters of Commitment for Ames Large Proposals from the Ames Center Director
- (7) Forward the following items to the NOC for archival:
  - (a) The final, as-submitted full version or Ames portion of the proposal.
  - (b) Letters of Commitment for Partner Proposals.
  - (c) Requests for Clarification, Written Debrief Materials, and any other communications with NASA SMD regarding the proposal, if available.

e. **New Opportunities Center (NOC)** shall assist the PI, Co-I, subsystem or element or WBS-lead in the development of Ames Large Proposals:

- (1) If a PM is not assigned, manage Center Investment funds allocated for the development of Ames Large Proposals.
- (2) Provide a proposal manager and technical editor, proposal requirements verification/compliance, and layout and graphics support for Ames Large Proposals.
- (3) Organize and staff key milestone reviews for Ames Large Proposals:
  - (a) The NOC Director is the default chair.
  - (b) The NOC recruits subject matter experts from the scientific, technical, and management communities within NASA and from partners and/or consultants to staff the reviews.
- (4) Archive Ames Large Proposals submitted from Ames along with related communications between NASA SMD and Ames POCs.
- (5) Archive all Letters of Commitment for proposals covered by this APD.
- (6) Conduct an annual assessment of proposal success rates and return on investment for Ames Proposals and presenting the results to the PARTS Committee.
- (7) Facilitate a Mission Concept Reviews at the request of the PARTS Committee or Center leadership.

f. **The Office of the Chief Financial Officer (Code C)** shall:

- (1) Provide cost analysts to support the development of Ames Large Proposals.
  - (2) Ensure that cost analysts follow the procedures specified in APR 7120.52 to estimate the cost of proposed work.
- a. **The Office of the General Counsel/Ames Research Center** shall provide legal advice and guidance on proposal preparation, partnerships, or other proposal matters as needed.

## 6. DELEGATION OF AUTHORITY

None.

## 7. MEASUREMENT/VERIFICATION

- a. Verification of conformance to requirements in this directive are measured through Center and Responsible Organizational management reviews, self-assessments, and subsequent analysis and reports of conformance to requirements, as well as periodic internal audits.
- b. The metrics for this APD will be proposal success rate (number of proposals submitted vs. number of proposals won/funded) and return on investment (resources committed to develop proposals vs. proposed funding captured). These metrics will be assessed and reported to Center leadership on an annual basis.

## **8. CANCELLATION**

- a. APD 8000.1, Ames Policy for Proposal Authorization, Review, Approval, and Archiving, dated January 6, 2006.
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Eugene Tu  
Director

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### **DISTRIBUTION:**

Internal and external distribution.

## ATTACHMENT A. DEFINITIONS

|                             |   |
|-----------------------------|---|
| Accepted Proposals          | Ames or Partner Proposals that have been submitted and selected for funding.  |
| Ames Large Proposal         | Ames Proposal or Partner Proposal with a proposal value of \$20M or more of Ames work.  |
| Ames Proposals              | Proposals that are submitted by Ames, with an Ames civil servant in the lead or Principal Investigator role.  |
| Letter of Commitment        | A formal letter from a PI committing to their portion of the work in an Ames or Partner Proposal or from a Technical Director or Ames Center Director committing resources under their control to execute an Ames or Partner Proposal.  |
| Partnership Proposals       | Proposals submitted by other organizations for which Ames plays a partnership role in the proposal.   |
| Pending Proposals           | Ames Proposals that have been submitted and not selected to receive funding. Because Pending Proposals are often updated to correct flaws and re-submitted, they are considered to be sensitive and administratively controlled information and treated as such by line management and by all those who have access to the Ames Proposal Archive.   |
| Principal Investigator (PI) | The individual with overall responsibility for a proposal.  |
| Proposal Value              | Refers to the total amount of funding that would be awarded to Ames over the lifetime of the project should the proposal be selected. In the case of Ames Proposals, the Proposal Value is the total value of the proposal (even if a significant amount of the funding may be allocated out to collaborators at other institutions). For Partnership Proposals, proposal value is the amount of funding that would come to Ames to cover the Ames portion of the work. |
| Submission/Submittal        | In this document, the terms submission and submittal refer to the final submission of the document to a potential funding source.   |

## ATTACHMENT B. ACRONYMS

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| AO    | Announcement of Opportunity  |
| Co-I  | Co-Investigator  |
| EDL   | Entry, Descent, and Landing  |
| NOC   | New Opportunities Center   |
| PARTS | Codes P, A, R, T, and S (the Directorates of Programs & Projects, Aeronautics, Engineering, Exploration Technology, Science) |
| PI    | Principal Investigator   |
| POC   | Point of Contact   |
| SMD   | Science Mission Directorate  |
| WBS   | Work Breakdown Structure   |