



National
Aeronautics and
Space
Administration

C.A.S.E. Report on College and University Projects

PART I: TECHNICAL DATA (To be completed by procurement request initiators.)

Procurement request initiators are required to complete Part I and to include this form with their procurement requests (PRs) for certain obligations to educational institutions. Forms need not be submitted with all PRs; for details, see the brief instructions on the back of this page.

PLEASE TYPE OR PRINT LEGIBLY. ATTACH COMPLETED FORM TO PROCUREMENT REQUEST.

1. UNIVERSITY NAME, CITY AND STATE	3. PRINCIPAL INVESTIGATOR (Two initials and surname)	
	4. 2ND PRINCIPAL INVESTIGATOR (If any, two initials and surname)	
2. AD HOC DATA	5. 3RD PRINCIPAL INVESTIGATOR (If any, two initials and surname)	
6. PRIMARY NASA TECHNICAL OFFICER (Two initials and surname)	7. INSTALLATION NAME	8. MAIL CODE (HQ only)
9. ALT. NASA TECHNICAL OFFICER (If any, two initials and surname)	10. INSTALLATION NAME	11. MAIL CODE (HQ only)

12. WILL THIS PROJECT BE CONDUCTED IN OR BY A MEDICAL SCHOOL? YES NO

13. MAIN OBJECTIVE OF WORK (Check one code)	R&D	<input type="checkbox"/> 11 BASIC RESEARCH	<input type="checkbox"/> 12 APPLIED RESEARCH	<input type="checkbox"/> 13 DEVELOPMENT
	OTHER	<input type="checkbox"/> 06 OTHER ACTIVITIES RELATED TO SCIENCE AND ENGINEERING	<input type="checkbox"/> 03 R&D PLANT AND EQUIPMENT	<input type="checkbox"/> 02 TRAINING GRANT (NGT prefix only)

14. FIELD OF SCIENCE OR ENGINEERING (Check the one code number which represents the most appropriate field. See instructions on back.)

PHYSICAL SCIENCES	MATH/COMPUTERS	ENGINEERING	LIFE SCIENCES	SOCIAL SCIENCES
<input type="checkbox"/> 11 ASTRONOMY	<input type="checkbox"/> 21 MATHEMATICS	<input type="checkbox"/> 41 AERONAUTICAL	<input type="checkbox"/> 51 BIOLOGICAL SCIENCES	<input type="checkbox"/> 71 ANTHROPOLOGY
<input type="checkbox"/> 12 CHEMISTRY	<input type="checkbox"/> 22 COMPUTER SCIENCES	<input type="checkbox"/> 42 ASTRONAUTICAL	<input type="checkbox"/> 54 ENVIRONMENTAL BIOLOGY	<input type="checkbox"/> 72 ECONOMICS
<input type="checkbox"/> 13 PHYSICS	<input type="checkbox"/> 29 MATH/COMPUTERS, NEC*	<input type="checkbox"/> 43 CHEMICAL	<input type="checkbox"/> 55 AGRICULTURAL SCIENCES	<input type="checkbox"/> 73 HISTORY
<input type="checkbox"/> 19 PHYSICAL SCIENCE, NEC*		<input type="checkbox"/> 44 CIVIL	<input type="checkbox"/> 56 MEDICAL SCIENCES	<input type="checkbox"/> 74 LINGUISTICS
		<input type="checkbox"/> 45 ELECTRICAL	<input type="checkbox"/> 59 LIFE SCIENCES, NEC*	<input type="checkbox"/> 75 POLITICAL SCIENCE
		<input type="checkbox"/> 46 MECHANICAL		<input type="checkbox"/> 76 SOCIOLOGY
		<input type="checkbox"/> 47 METALLURGY AND MATERIALS		<input type="checkbox"/> 79 SOCIAL SCIENCE, NEC*
		<input type="checkbox"/> 49 ENGINEERING, NEC*		
			PSYCHOLOGY	
			<input type="checkbox"/> 61 BIOLOGICAL	
			<input type="checkbox"/> 62 SOCIAL ASPECTS	
			<input type="checkbox"/> 69 PSYCHOLOGY, NEC*	
				OTHER SCIENCES**
				<input type="checkbox"/> 99 ALL DISCIPLINE(S)

*Not Elsewhere Classified (For interdisciplinary projects and others not listed by discipline name.)

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PART II: PROCUREMENT DATA (To be completed by procurement office. See instructions on last page.)

15. AGREEMENT NO. (Including prefix letters)	16. MODIFICATION NO.	17. AMOUNT OBLIGATED	18. COST SHARING PERCENTAGE																						
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19. TYPE OF ACTION BEING REPORTED (Check one code number)

<input type="checkbox"/> 1 NEW AWARD (New agreement number assigned)	<input type="checkbox"/> 2 ADDITIONAL FUNDS, SAME DURATION (Excludes incremental funding)	<input type="checkbox"/> 3 ADDITIONAL FUNDS AND TIME (Excludes incremental funding)
<input type="checkbox"/> 4 NO COST TIME EXTENSION	<input type="checkbox"/> 5 CHANGE IN PRINCIPAL INVESTIGATOR OR TECHNICAL OFFICER	<input type="checkbox"/> 6 INCREMENTAL FUNDING

20. TITLE OR BRIEF DESCRIPTION OF TECHNICAL PURPOSE OF AGREEMENT (Required only for new awards)

21. PROPOSAL TYPE (Check one) (See Instruction 7.16)	22. START (This action)			23. END (Completion)			24. GOV'T SIGNATURE										
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ENVIRONMENTAL SCIENCE

<input type="checkbox"/> 31 ATMOSPHERIC SCIENCES	<input type="checkbox"/> 61 BIOLOGICAL
<input type="checkbox"/> 32 GEOLOGICAL SCIENCES	<input type="checkbox"/> 62 SOCIAL ASPECTS
<input type="checkbox"/> 33 OCEANOGRAPHY	<input type="checkbox"/> 69 PSYCHOLOGY, NEC*
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9. ALT. NASA TECHNICAL OFFICER (If any, two initials and surname)	10. INSTALLATION NAME	11. MAIL CODE (HQ only)

12. WILL THIS PROJECT BE CONDUCTED IN OR BY A MEDICAL SCHOOL? YES NO

13. MAIN OBJECTIVE OF WORK (Check one code)	R&D	<input type="checkbox"/> 11 BASIC RESEARCH	<input type="checkbox"/> 12 APPLIED RESEARCH	<input type="checkbox"/> 13 DEVELOPMENT
	OTHER	<input type="checkbox"/> 06 OTHER ACTIVITIES RELATED TO SCIENCE AND ENGINEERING	<input type="checkbox"/> 03 R&D PLANT AND EQUIPMENT	<input type="checkbox"/> 02 TRAINING GRANT (NGT prefix only)

14. FIELD OF SCIENCE OR ENGINEERING (Check the one code number which represents the most appropriate field. See instructions on back.)

PHYSICAL SCIENCES	MATH/COMPUTERS	ENGINEERING	LIFE SCIENCES	SOCIAL SCIENCES
<input type="checkbox"/> 11 ASTRONOMY	<input type="checkbox"/> 21 MATHEMATICS	<input type="checkbox"/> 41 AERONAUTICAL	<input type="checkbox"/> 51 BIOLOGICAL SCIENCES	<input type="checkbox"/> 71 ANTHROPOLOGY
<input type="checkbox"/> 12 CHEMISTRY	<input type="checkbox"/> 22 COMPUTER SCIENCES	<input type="checkbox"/> 42 ASTRONAUTICAL	<input type="checkbox"/> 54 ENVIRONMENTAL BIOLOGY	<input type="checkbox"/> 72 ECONOMICS
<input type="checkbox"/> 13 PHYSICS	<input type="checkbox"/> 29 MATH/COMPUTERS, NEC*	<input type="checkbox"/> 43 CHEMICAL	<input type="checkbox"/> 55 AGRICULTURAL SCIENCES	<input type="checkbox"/> 73 HISTORY
<input type="checkbox"/> 19 PHYSICAL SCIENCE, NEC*		<input type="checkbox"/> 44 CIVIL	<input type="checkbox"/> 56 MEDICAL SCIENCES	<input type="checkbox"/> 74 LINGUISTICS
ENVIRONMENTAL SCIENCE		<input type="checkbox"/> 45 ELECTRICAL	<input type="checkbox"/> 59 LIFE SCIENCES, NEC*	<input type="checkbox"/> 75 POLITICAL SCIENCE
<input type="checkbox"/> 31 ATMOSPHERIC SCIENCES		<input type="checkbox"/> 46 MECHANICAL		<input type="checkbox"/> 76 SOCIOLOGY
<input type="checkbox"/> 32 GEOLOGICAL SCIENCES		<input type="checkbox"/> 47 METALLURGY AND MATERIALS	PSYCHOLOGY	<input type="checkbox"/> 79 SOCIAL SCIENCE, NEC*
<input type="checkbox"/> 33 OCEANOGRAPHY		<input type="checkbox"/> 49 ENGINEERING, NEC*	<input type="checkbox"/> 61 BIOLOGICAL	
<input type="checkbox"/> 39 ENVIRONMENTAL SCIENCES, NEC*			<input type="checkbox"/> 62 SOCIAL ASPECTS	OTHER SCIENCES**
			<input type="checkbox"/> 69 PSYCHOLOGY, NEC*	<input type="checkbox"/> 99 ALL DISCIPLINE(S)

*Not Elsewhere Classified (For interdisciplinary projects and others not listed by discipline name.)
**For interdisciplinary projects which cannot be classified within any of the preceding main fields.

PART II: PROCUREMENT DATA (To be completed by procurement office. See instructions on last page.)

15. AGREEMENT NO. (Including prefix letters)	16. MODIFICATION NO.	17. AMOUNT OBLIGATED	18. COST SHARING PERCENTAGE																						
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1	2	3	4	5	6	7	8	9	10	11															
19. TYPE OF ACTION BEING REPORTED (Check one code number)																									
<input type="checkbox"/> 1 NEW AWARD (New agreement number assigned)		<input type="checkbox"/> 2 ADDITIONAL FUNDS, SAME DURATION (Excludes incremental funding)																							
<input type="checkbox"/> 4 NO COST TIME EXTENSION		<input type="checkbox"/> 5 CHANGE IN PRINCIPAL INVESTIGATOR OR TECHNICAL OFFICER																							
		<input type="checkbox"/> 3 ADDITIONAL FUNDS AND TIME (Excludes incremental funding)																							
		<input type="checkbox"/> 6 INCREMENTAL FUNDING																							

20. TITLE OR BRIEF DESCRIPTION OF TECHNICAL PURPOSE OF AGREEMENT (Required only for new awards)

21. PROPOSAL TYPE (Check one) (See Instruction 7.16)	22. START (This action)	23. END (Completion)	24. GOV'T SIGNATURE																																												
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">UNSOLICITED</td> <td style="width:50%;">SOLICITED</td> </tr> <tr> <td><input type="checkbox"/> UC - Special Announcement</td> <td><input type="checkbox"/> SA - Announcement of Opportunity</td> </tr> <tr> <td><input type="checkbox"/> UN - No Announcement</td> <td><input type="checkbox"/> SR - RFP/RFQ</td> </tr> <tr> <td><input type="checkbox"/> UX - Other</td> <td><input type="checkbox"/> SU - Advertised <input type="checkbox"/> SX - Other</td> </tr> </table>	UNSOLICITED	SOLICITED	<input type="checkbox"/> UC - Special Announcement	<input type="checkbox"/> SA - Announcement of Opportunity	<input type="checkbox"/> UN - No Announcement	<input type="checkbox"/> SR - RFP/RFQ	<input type="checkbox"/> UX - Other	<input type="checkbox"/> SU - Advertised <input type="checkbox"/> SX - Other	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:33%;">MO.</td> <td style="width:33%;">DAY</td> <td style="width:33%;">YR.</td> </tr> <tr> <td style="text-align:center;">a.</td> <td style="text-align:center;">b.</td> <td style="text-align:center;">c.</td> </tr> <tr> <td style="height:20px;"> </td> <td style="height:20px;"> </td> <td style="height:20px;"> </td> </tr> </table>	MO.	DAY	YR.	a.	b.	c.				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:33%;">MO.</td> <td style="width:33%;">DAY</td> <td style="width:33%;">YR.</td> </tr> <tr> <td style="text-align:center;">a.</td> <td style="text-align:center;">b.</td> <td style="text-align:center;">c.</td> </tr> <tr> <td style="height:20px;"> </td> <td style="height:20px;"> </td> <td style="height:20px;"> </td> </tr> </table>	MO.	DAY	YR.	a.	b.	c.				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:25%;">MO.</td> <td style="width:12.5%;">DAY</td> <td style="width:12.5%;">YR.</td> <td style="width:12.5%;"> </td> <td style="width:12.5%;"> </td> <td style="width:12.5%;"> </td> </tr> <tr> <td style="text-align:center;">a.</td> <td style="text-align:center;">b.</td> <td style="text-align:center;">c.</td> <td style="text-align:center;"> </td> <td style="text-align:center;"> </td> <td style="text-align:center;"> </td> </tr> <tr> <td style="height:20px;"> </td> </tr> </table>	MO.	DAY	YR.				a.	b.	c.									
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25. SPECIAL DATA	26. VALIDATION BY RESPONSIBLE INDIVIDUAL	27. AD HOC DATA																											
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DETAILED INSTRUCTIONS FOR PROCUREMENT OFFICES*
(Initiating Office Instructions Are on Back of First Page)

CONTENTS

1.00 Need for NASA Form 1356.

2.00 Organizations for which the Form is Required

3.00 Types of Actions Requiring Form Preparation

4.00 Procurement Office Actions on Forms Provided by Procurement Request Initiators

5.00 Procurement Office Actions on Part II

6.00 Contents of Forms Initiated by Procurement Offices

7.00 How Individual Blocks on Form are Completed

8.00 Corrections to Submitted Forms

9.00 What to Do with the Form

1.00 NEED FOR NASA FORM 1356. NASA Form 1356 is the primary source of information for us in a Government-wide reporting system. It is also the basis for numerous internal NASA reports for example, NASA's University Program, a published listing of active grants, cooperative agreements and contracts. Submission is prescribed by NFS 1804.671 and NPG 5800.1.

2.00 ORGANIZATIONS FOR WHICH THE FORM IS REQUIRED. The NASA Form 1356 requirement applies to all procurements from domestic and foreign institutions of higher education (*colleges and universities*) including their operationally affiliated nonprofit organizations or foundations.

3.00 TYPES OF ACTIONS REQUIRING FORM PREPARATION. A NASA Form 1356 is required for each individual obligation to an educational institution, with the exception of procurements for the training of NASA employees; for non-research procurements under \$5,000 made by Purchase Order; for adjustments in the estimated cost of a contract; or for negative obligations (*de-obligations*). Reports are not necessary for obligations made during closeout for overruns, overhead changes and similar minor adjustments, unless the ending date is changed. (See 6.11). The requirement applies regardless of the funding instrument used (*grant, contract, cooperative agreement, purchase order, or award made under the authority of Sec. 203(c)(5) of the Space Act*) the solicited or unsolicited nature of the proposal, the nature of supported work, the fund source within NASA, the procuring installation, or whether the funding is full, step or incremental. Forms are prepared at the basic contract or modification level; there will be only one form per modification. For each case involving a funding action, a NASA Form 1356 must be included in the procurement package by the initiator. If the NASA Form 1356 is missing or incomplete, the procurement office must rectify matters prior to execution of the final procurement documents. In addition the procurement office must initiate a NASA Form 1356 in several situations not involving obligation of funds (See 6.00).

4.00 PROCUREMENT OFFICE ACTIONS ON FORMS PROVIDED BY PROCUREMENT REQUEST INITIATORS.

4.10 Ensure blocks 1-3, 6-8, 12-14 have been completed for new awards; 1-3, 6-8 and 12 are required for other actions. Blocks 4, 5, and 9-11 must be completed whenever there are multiple investigators or technical officers.

4.20 Only one NASA Form 1356 is to be completed for each action; i.e., basic award or modification. Consolidate the date if multiple procurement requests covering a single procurement result in receipt of more than one NASA Form 1356; consult the procurement request initiators, if necessary, to obtain agreement on incompatible Part I entries.

4.30 Verify the information in blocks 1-11, paying particular attention to the following blocks:

4.31 Block 1 - University Name. Make sure the name is valid and uniquely identifies the proper institution. This is particularly important for new awards. The name of the parent university is listed rather than research foundation, institute or laboratory names. System names as "State University of New York (SUNY)," "University of Alabama," "University of Missouri," "University of California," are meaningless. The specific campus performing the work must be readily identifiable. For example, the SUNY Research Foundation in Albany negotiates awards on behalf of over 70 campuses in the state; awards made through the Foundation must be attributed to the performing campus.

4.32 Block 2 - Ad Hoc Data. Reserved for future use.

4.33 Block 3 - Principal investigator. Make sure principal investigators are as designated on the face of the award instrument. For agreements which do not specify a principal investigator, per se, university person bearing primary responsibility for overall technical direction of the project should be named. Provide a brief explanation in block 3-5 if there is no principal investigator for the project.

5.00 PROCUREMENT OFFICE ACTIONS ON PART II.

5.10 For NEW AWARDS (*Type of Action 1*).

5.11 Take actions described in 4.00.

5.12 Complete blocks 15, 17-24 and 26.

5.20 For ADDITIONAL FUNDS, SAME DURATION (*Type of Action 2*).

5.21 Take actions described in 4.00.

5.22 Complete blocks 15-19, 23, 24 and 26.

5.30 For ADDITIONAL FUNDS AND TIME (*Type of Action 3*).

5.31 Take actions described in 4.00.

5.32 Complete blocks 15-19, 21-24 and 26.

5.40 For INCREMENTAL FUNDING (*Type of Action 6*). (*Follow this instruction if procurement request for augmenting an incrementally funded contract is received from source external to the procurement office. If internally generated, see 6.30.*)

5.41 Take actions described in 4.00.

5.42 Complete blocks 15-19, 23, 24 and 26.

6.00 CONTENTS OF FORMS INITIATED BY PROCUREMENT OFFICES.

6.10 For NO-COST TIME EXTENSIONS (*Type of Action 4*).

6.11 Complete blocks 1, 6-8, 15, 16 (if applicable) 19, 22, 23 and 26. Treat an ending date change during close-out as a no-cost time extension (See 3.00).

6.20 For CHANGE IN PRINCIPAL INVESTIGATOR OR TECHNICAL OFFICER (*Type of Action 5*).

6.21 Complete blocks 1, 15 and 26.

6.22 Complete at least one of the following sets of blocks: 3-5; 6-8; 9-11.

*These instructions also apply to offices making awards under Space Act Section 203(c)(5) or (6) authority.

(Continued on other side)

Procurement Office Actions on Part II (continued)

ALTERNATIVE PROCEDURE. A copy of the letter of notification to the institution regarding a change in principal investigator or technical officer may be submitted in lieu of a NASA Form 1356.

6.30 FOR INCREMENTAL FUNDING OF CONTRACTS (*Type of Action 6*).

6.31 Where an individual procurement request from an external source is not required (*PR initiated by procurement office, funds obligated against existing PR or "master" committing document, etc.*) procurement office must initiate NASA Form 1356 (*See also 5.40*).

6.32 Complete blocks 1, 15-19, 23, 24 and 26.

6.33 Complete blocks 3 and 6-8 only if there has been a change since the last incremental action.

7.00 HOW INDIVIDUAL BLOCKS ON FORM ARE COMPLETED. Provide for each block only information specified on the form and in these instructions. Do not modify printed material or add explanatory notes. In the event of situations not covered by the instruction, consult the NASA Headquarters Office of Procurement, Analysis Division.

7.10 Block 15 - Agreement No. Identification number must include complete prefix and suffix. Do not include modification or task order numbers, if any.

7.11 Block 16 - Modification No. Leave blank for new awards and for changes to which a modification number is not assigned.

7.12 Block 17 - Amount obligated. Report to nearest dollar only amount actually obligated by the action at hand. Do not show estimated total cost of incrementally funded contracts.

7.13 Block 18 - Cost Sharing Percentage. Use percentage figure appearing in the agreement cost sharing clause. Insert 0 if there is no cost sharing.

7.14 Block 19 - Type of Action Being Reported. In addition to the instructions in block 19, itself, note that assignment of a new modification number does not constitute a new award.

7.15 Block 20 - Title or Brief Description of Technical Purpose of Agreement. This should be a brief, yet clear statement, suitable for public release. Avoid use of non-technical procurement-type terms or obscure abbreviations. Use of grant/cooperative agreement title or other wording on the award instrument is preferred.

7.16 Block 21 - Proposal Type. Special Announcements are Dear Colleague Letters, Space Science Notices, Applications Notices and similar widely distributed announcements of NASA's interest in receiving unsolicited proposals in certain areas. Proposals resulting from general brochures or discussion with NASA individuals would fall into the "No Announcement" category. Proposals that do not fit into the above categories would be classified as "Other."

7.17 Block 22 - Start Date This Action. For new awards, use date for which agreement authorized initiation of effort. Where both additional funds and time (*Type of Action 3*) or no-cost extensions (*Type of Action 4*) are involved, use day next following agreement ending date as it existed before the award was made. Note that for step-funded awards (*with or without the NGL prefix*) the start date can be two to three years in the future. Leave the start date blank for *Type of Action 2 (Additional Funds, Same Duration)* and incremental funding (*Type 6*).

Block 23 - End (*Completion*) Date. Use ending date as shown on agreement. Include this date even if it has not changed since last action. For periods of performance based on variables such as successful flight experiments, give best current estimate of ending date.

7.19 Block 24 - "Gov't Signature." Use date signed by Grants or Contracting Officer.

7.20 Block 25 - Special Data. Reserved for future use.

7.21 Block 26 - Validation by Responsible Individual. Forms must be reviewed for compliance with instructions. Reviewing individual certifies that both parts I and II have been properly prepared.

7.22 Block 27 - Ad Hoc Data. Reserved for future use.

8.00 CORRECTIONS TO SUBMITTED FORMS.

8.10 Inadequately prepared forms may be returned by Headquarters to the sender's organization for correction. A covering memo will provide handling instructions.

8.20 The initiating organization may correct a previously submitted form. Such corrections must be made on a carbon or facsimile copy of the erroneous form. Insert the correct information in red so as not to obscure the original error and forward to the NASA Headquarters Education Division, Code FE.

8.21 Correction should always be made for wrong agreement number (*Block 22*) for a new award. These and other corrections should be made no later than two months after the close of the Fiscal Year in which the error was made.

9.00 WHAT TO DO WITH FORM.

9.10 NASA Form 1356 should be completed as soon as practicable after the obligation or other action giving rise to the form is accomplished. Send it directly to NASA Headquarters Education Division, Code FE.

9.20 Forms should be sent as soon as possible after completion. Preparation of special cover memos should be avoided to conserve resources.

9.30 Headquarters can accept only the original blue form as a final submission. Machine copies are not acceptable *(Except for corrections. See 8.20)*.

9.40 Carbons should be detached before transmitting form to Headquarters. Distribution of carbons is governed by individual installation guidelines; however, a copy should be retained in the official award file for future reference.

9.50 forms submitted more than two months after the close of the Fiscal Year in which the action occurred may not be useable, consult Headquarters prior to submitting any such "misplaced" forms.