HST Lifecycle Series

How the Grant Process Works

Elyse Wagner
01/21/04
Agenda

• Introduction  5 min
  – Grants Administration Branch

• STGMS  5 min
  – Relationship to APT
  – Internal and external systems
Agenda - Continued

• Grants process from cradle to grave
  – Budget submissions
  – FRC
  – Director’s approval and notification
  – Grant awards & supplements
  – Grant requirements
  – Grant closeouts

• Questions
Acronyms

- EO (aka E/PO) - Education and Public Outreach
- FRC - Financial Review Committee
- GRA - Grants Administration Branch
- HF - Hubble Fellowship
- IDEAS (aka ED) - Initiative to Develop Education Through Astronomy and Space Science Research
- NCX - No-Cost Extension
- STGMS (aka GMS) - Space Telescope Grants Management System
Grants Awarded and Administered for NASA as of 12/03

- GO/AR 4968 ~ $201M
  - DD
  - Snap
  - TOO
  - Chandra
  - E/PO
- HF 192 ~ $28M
- IDEAS 254 ~ $4M
- Total 5414 ~ $233M
Grants Administration Branch
Current Resources
7.4 FTEs

• Branch Chief 1.0 FTE
• Manager 1.0 FTE
• Administrators 4.0 FTEs

Matrixed
• Clerk 1.0 FTE
• Pt Admin Sec .4 FTE
Proposal/Grant Process

Phase One Proposal Process

- Science proposal
- Peer review (panels and TAC)
- Time notification email
- Request for Phase II info
- GRA researches Co-I institution information
- GRA provides budget information via email
Grant Process (Overview)

- Help Desk functions
- Budget etc. submission
- FRC meeting
- FRC recommendations prepared for the Director
- Allocation and award of funds
- Administration of grants
- Receipt of required reports
- Closeout of the grant
Space Telescope Grants Management System (STGMS)

Two Parts of the Same System

- External system used by investigators and administrators
- Internal system used by STScI
  - FRC Review
  - Grant Awards
  - Grant Administration
  - Report Tracking
  - Grant Close out process
- One system linked by web services and database
Document Generation

- Document generation moving to OpenOffice.org (internal System) or IText for XML to PDF generation (external system)
- Most documents distilled to PDF for permanent storage
- PDF readers available on all popular platforms
GO/AR Grant Funding Process

- APT to STGMS
  - Grants set up at institutions identified in APT by the Program PI
  - Only US Investigators are funded
- Budget Submission (Cycle 12 = 466)
  - Proposed Budget and Budget Narrative
  - Instrument, # of Targets, # of Exposure/Spectra Info
  - Current & Pending Support
- PI Approval of Co-Is’ Budgets
- Cycle and Budget Status set by GRA
STGMS
External System Budget Entry

- Pre-populated with information about each grant
- Tab pane for each part of the budget

**Grants Management System**

<table>
<thead>
<tr>
<th>Destination Name</th>
<th>LSR Foreign</th>
<th>Fiscal Year</th>
<th>Transportation</th>
<th>Lodging Subsistence</th>
<th>Number of Days</th>
<th>Unleashed Total</th>
<th>IDG/ERA F&amp;F</th>
<th>Lached Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ledeon, Collab01</td>
<td>Foreign</td>
<td>2002</td>
<td>$1,200.00</td>
<td>$225.000</td>
<td>$2,000</td>
<td>14.51%</td>
<td>$3,425</td>
<td></td>
</tr>
<tr>
<td>Ledeon, Collab02</td>
<td>Foreign</td>
<td>2002</td>
<td>$1,200.00</td>
<td>$225.000</td>
<td>$2,000</td>
<td>14.51%</td>
<td>$3,425</td>
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<tr>
<td>Conference</td>
<td>U.S.</td>
<td>2002</td>
<td>$151.00</td>
<td>$165.000</td>
<td>$1,810</td>
<td>14.51%</td>
<td>$2,013</td>
<td></td>
</tr>
<tr>
<td>Conference</td>
<td>U.S.</td>
<td>2002</td>
<td>$151.00</td>
<td>$165.000</td>
<td>$1,440</td>
<td>14.51%</td>
<td>$1,649</td>
<td></td>
</tr>
<tr>
<td>Conference</td>
<td>U.S.</td>
<td>2002</td>
<td>$151.00</td>
<td>$165.000</td>
<td>$1,440</td>
<td>14.51%</td>
<td>$1,649</td>
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<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$15,600</td>
<td></td>
<td>$16,678</td>
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</tbody>
</table>

**Total Project Costs:** $16,678,001.00

Save Comment  Save  Save and Notify  View/Print PDF  Clear  Cancel

Budget Submission Deadline: 03/01/2002
STGMS External System
Budget Narrative Entry

Please note that the revised budget reflects a decrease of $10k (2nd deobligation to Prof. Marcela Carollo, Columbia University for the total award amount of $106,901). This deobligation is to cover travel for collaborative visits and attendance at scientific meetings for graduate student Jacob Cell-Stearns under the direction of Prof. Carollo. The budget and narrative remain the same as the original submission.

*Note that the first $10k, debob from 01/01/01 debobulated money from travel. This budget debobulated partial money from one of the grad students and the time is reduced from 12 months to 9 months.

Indirect Costs:
STScI and NASA are negotiating rates which will support the overhead and general and administrative (G&A) costs of the Space Telescope Science Institute. These rates are based upon the most cost-effective and equitable manner of administering our programs and charging the appropriate share to all projects carried out at the Space Telescope Science Institute. A Forward Pricing Rate submission for FY02 indirect costs rates (63.91% On-Site Overhead, 38.05% Off-Site Overhead, 24.94% Full Benefits and 8.91% Partial Benefits on Direct Labor, 12.24% Subcontractor Overhead, and 14.51% G&A on Total Costs) was provided to NASA and DCAA on August 31, 2001.
Cycle 12 Budget Activity
Financial Review Committee

Goal is to enable the dissemination of Hubble results

They provide sufficient funding to enable investigators to reduce and analyze the HST data and publish the results.
GO/AR Grant Funding Process – Continued

- **FRC**
  - 11 Scientists who use HST
    - 6 internal and 5 external
    - Expertise with data analysis, instruments, software and hardware
  - 2 to 3 Meetings/year
    - Cycle meeting: Lasts 3 days and held off-site
    - Interim meetings: Internal members attend external members teleconference
GO/AR Grant Funding Process – Continued

• Report for the FRC by Program
  – Summary of the Budgets
  – Budget Narratives
  – Abstract
  – TAC Comments and Ranking
  – List of Foreign and US Investigators

• Spreadsheet for the FRC
  – Total Funding Requested, # of Orbits, Instrument(s), Exposures/spectra, # of Targets, $/Orbit, $/Exp

• Entire proposal, list of publications, and approved funding for previous cycles are available at meeting
Financial Review Committee

- GRA coordinates and compiles detailed information for each program using STGMS
- Program budgets are reviewed individually by the FRC
- FRC makes program funding recommendations to the Director with GRA and STGMS support
## Budget Summary Report

**Institution Name:** Space Telescope Science Institute  
**Proposal No.:** 08236

<table>
<thead>
<tr>
<th>Grant</th>
<th>PI Name</th>
<th>Institution</th>
<th>Foreign(*)</th>
<th>Salaries (fully loaded)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0823601</td>
<td>Stefi Baum</td>
<td>ST ScI</td>
<td></td>
<td>$26,196.00</td>
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<tr>
<td>0823602</td>
<td>Jacqueline Van Gorkom</td>
<td>Columbia Univ.</td>
<td></td>
<td>$65,037.00</td>
</tr>
<tr>
<td>0823602</td>
<td>C. Carollo</td>
<td>Columbia Univ.</td>
<td></td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>Graduate Student</td>
<td>8.70 month(s) at 100%</td>
</tr>
<tr>
<td></td>
<td>Graduate Student</td>
<td>12.00 month(s) at 100%</td>
</tr>
<tr>
<td>Travel</td>
<td>ST ScI - Baum</td>
<td>5 day(s), lodging $185.00, transportation $515.00</td>
</tr>
<tr>
<td></td>
<td>Conference (Baum)</td>
<td>5 day(s), lodging $185.00, transportation $515.00</td>
</tr>
<tr>
<td></td>
<td>Conference (O'Dea)</td>
<td>7 day(s), lodging $185.00, transportation $515.00</td>
</tr>
<tr>
<td></td>
<td>Conference (van der Marel)</td>
<td>8 day(s), lodging $225.00, transportation $1,200.00</td>
</tr>
<tr>
<td></td>
<td>Leiden, Collaborative Trip (Baum)</td>
<td>8 day(s), lodging $225.00, transportation $1,200.00</td>
</tr>
<tr>
<td></td>
<td>Leiden, Collaborative Trip (O'Dea)</td>
<td>8 day(s), lodging $225.00, transportation $1,200.00</td>
</tr>
<tr>
<td>Supplies</td>
<td>ST ScI - Baum</td>
<td>Misc Operating Supplies (Baum)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Misc Operating Supplies (O'Dea, Student)</td>
</tr>
<tr>
<td>Services</td>
<td>Computer Services (fully loaded)</td>
<td>ST ScI - Baum</td>
</tr>
<tr>
<td></td>
<td>File Server Charges</td>
<td>monthly rate $90.00, 20 70 months</td>
</tr>
<tr>
<td>Publications</td>
<td>Publications (fully loaded)</td>
<td>ST ScI - Baum</td>
</tr>
</tbody>
</table>

**Total Salaries:** $62,233.00  
**Total Travel:** $15,676.00  
**Total Supplies & Materials:** $1,820.00  
**Total Computer Services:** $2,133.00  
**Total Publications:** $7,214.00
Budget Summary Report - Continued

<table>
<thead>
<tr>
<th>Test-BUDGET SUMMARY REPORT</th>
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<tbody>
<tr>
<td>Institution Name: Space Telescope Science Institute</td>
</tr>
<tr>
<td>PI Name: Baum, Stefi</td>
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</table>

<table>
<thead>
<tr>
<th>Equipment (fully loaded)</th>
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<tbody>
<tr>
<td>ST ScI - Baum</td>
</tr>
<tr>
<td>38% of workstation w/peripherals (van der Marel)</td>
</tr>
<tr>
<td>Workstation w/peripherals (Student)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other (fully loaded)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ST ScI</td>
</tr>
<tr>
<td>14.51%</td>
</tr>
<tr>
<td>62.91%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Direct Cost Rates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Equipment</td>
</tr>
<tr>
<td>$17,825.00</td>
</tr>
<tr>
<td>Total Other</td>
</tr>
<tr>
<td>$4,628.00</td>
</tr>
<tr>
<td>$12,197.00</td>
</tr>
<tr>
<td>Total Budget</td>
</tr>
<tr>
<td>$106,901.00</td>
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</table>

- **Budget Categories** (cont’d)
  - Equipment
  - Other
  - Indirect Cost Rates
  - Total Budget
  - Fully Loaded Costs

- **GRA Comments**
- **FRC Comments**
Budget Narrative

STScI - Baum

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ABSTRACT

In Cycle 6 we began a WFPC2 broad- and narrow-band imaging study of the nuclei of a complete sample of the 21 nearest powerful radio galaxies. Here we perform follow-up STIS spectroscopy of the nuclear emission-line gas for 19 of the galaxies. From these observations we will measure the black hole (BH) masses, determine the nature, kinematics, and structure of the central gas disks and obtain a modeled upper limit to their mass accretion rates. With our available radio observations, we will be in a unique position to exploit the HST data to advance our understanding of the nature of BHs in radio-loud galaxies, their relation to the radio activity, and the nature and physics of their jets. We will establish the BH demography of radio-loud early-type galaxies out to ~100 Mpc, increasing the number of measured BH masses for these systems by a factor 5, and enabling systematic and statistically reliable comparisons of BHs in normal and radio-loud early-type galaxies.

TAC COMMENTS

The TAC made no comments that are relevant to the phase 2 verification of program 8236.
Allocation of Funds

- Director reviews the FRC recommendations
  - Requests additional information
  - Approves the recommendations

- Funding notification emails are sent to PIs
  - Revised budgets are requested if approved funding is less than budgeted
I would like to take this opportunity to remind you that all publications resulting from the analysis of HST data should be forwarded to the ST ScI Librarian. In addition, all publications funded through a GO/SAR grant should contain the following acknowledgement of support:

Support for proposal # [Proposal Number] was provided by NASA through a grant from the Space Telescope Science Institute, which is operated by the Association of Universities for Research in Astronomy, Inc., under NASA contract NAS5-26555.

If you have any questions relating to this notice, please contact Ray Reiser (410-338-4203) or Elyse Wagner (410-338-4201) in the Grants Administration Office. You are requested to inform all co-investigators of this notification.

Sincerely yours,

Steven Beckwith

Director

cc: Ms. Joanne Lauer
Dr. Bruce H. Margon
Ms. Joy H. McQuary
Ms. Paula Sessa

COMMENTS OF THE ST ScI FINANCIAL REVIEW COMMITTEE

After a detailed review of the budget(s) submitted for this Program, the FRC determined that the amount of support requested is reasonable to fully reduce and analyze the data. Therefore, the Committee recommends finding the project up to the level requested.
Award of Funds

• Grants awarded to Institutions
  – Upon receipt of first observation
  – For preparatory activities
    • Up to 25% of total approved funding

(Both are dependent upon the receipt of revised reduced budgets, if required)
Administrative Actions

• Compliance Issues
  – Reporting Requirements
    • Delinquent Reports
      – Stop Administrative Actions for PI
      – Suspend Investigator or Institution
    – A133 Audit Reports
      • Institutions with federal grant funding totaling $500K or greater
Reporting Requirements

- Annual and Final Performance Reports
- Quarterly/Monthly and Final Financial Reports
- Final New Technology Report
- Final Equipment Report
Administrative Actions – Continued

- Grant Spending
  - Too Much or Too Little
- Any Indication that there is a potential problem
  - PI not returning emails or phone inquiries
Administrative Actions – Continued

- NCX
  - One automatic for one year
  - Additional based on justification provided
- PI and/or Admin PI Change
- Co-I Added
- Grant Transfers
- Supplemental Funding Requests
- GMS Help Desk Functions
Grant Closeout Process

- Period of performance has expired
  - Request NCX, or
  - Submit Four Final Reports
    - Financial
    - Performance (Listing Publications)
    - Equipment
    - New Technology

- Transferring funds to new institution
  - Final financial reports must be submitted
Where to Get More Information?

- Grants Administration Web site
  - www.stsci.edu/institute/brc/ga
- STScI Newsletter
  - Winter 2002 (Pg. 29)
- STGMS Newsletters – Available on Web Page
- STScI General Grant Provisions – Available on Web Page
- Contact Ray Beaser or Elyse Wagner
Questions