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GRANT FUNDING DISTRIBUTION PLAN (Cycle 9)

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Stratospheric Observatory for Infrared Astronomy (SOFIA)
Science and Mission Operations

Prepared by:
Universities Space Research Association (USRA)

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Change Version Log

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Original	May 27, 2020	
1	August 17, 2020	Updated Legacy Pilot Program Funding
2	November 16, 2020	Add Archival Program Funding
3	June 17, 2021	Add minimum grant threshold for P1 an P2 awards

Rev. No.	USRA Author/Title	USRA Signature
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1 Overview

For Cycle 9, up to \$4M funding support is provided for analyzing SOFIA observational data. In accordance with standard U.S. federal funding policies, only astronomers affiliated with U.S. institutions are eligible to receive this funding. The funding will be distributed in the form of grants in several different categories tied to the type of awarded time as described below. A nominal total funding rate of \$10K/hour of allocated observing will apply for Priority 1, 2, 3 and Survey programs.

2 Categories of Programs

2.1 Priority 1/Legacy Pilot Program

Will Do proposals are the highest-ranked category of proposals. They will strongly drive the scheduling and, thus, have a high likelihood of completion within Cycle 9. If for technical reasons they cannot be completed within Cycle 9, then *Will Do* proposals will be carried over into Cycle 10. For these proposals, the total allocated funding will be released at the time of the fully executed grant (signed by both parties following negotiation of terms). There is a minimum grant award threshold value of \$40,000.

2.2 Priority 2

Should Do proposals are in the second band of ranking and are likely to be completed within Cycle 9, but the uncertainties of scheduling preclude releasing full funding before the first proposed observations have been started. *Should Do* proposals will be kept live for two years and, as such, if not started in Cycle 9 then they will still be available in Cycle 10. It is expected that about 50 percent of the available observing time will be accepted into this category. For these proposals, an initial amount of \$7k will be released at the time of the fully executed grant, with the remainder of the allocated grant released at the successful completion of the first observation of the program in Cycle 9 or in Cycle 10. There is a minimum grant threshold value of \$40,000.

2.3 Priority 3/Survey

Do if Time proposals are in the lowest band of accepted proposals and will be added to Flight Plans when no higher ranked targets are available. Funding for U.S.-led *Do if Time* proposals will be released incrementally on a not-to-exceed basis as observations are executed. It is expected that about 50 percent of the available observing time will be accepted into this category. For these proposals, an initial amount of \$7k will be released at the time of the fully executed grant, with additional amounts (proportional to the amount of observing time executed) released at the successful completion of each remaining observation of the program. For Survey programs, funding will be capped at \$150K.

2.4 Grant Re-proposals

Grant recipients who select the re-proposal designation under the Call for Proposals (i.e. not all targets from a current active program have been observed at the time of the following cycle's proposal deadline) will be adjudicated as follows:

- If a grant was awarded as a Priority 2 in a prior cycle and there are new targets, the

recipient will submit a re-proposal and USRA will provide an administrative modification to add the new cycle designator. Additional funding will be added commensurate with the identification and justification of new targets.

- If a grant was awarded as a Priority 3 in a prior cycle and there are new targets, the recipient will submit a re-proposal and USRA will provide an administrative modification to add the new cycle designator. Additional funding will be added commensurate with the identification and justification of new targets.

2.5 Thesis Enabling Programs

The Principal Investigator (PI) of proposals accepted in this category may request up to two years of graduate student funding, and reasonable travel costs, at the standard rate of the host university (capped at \$100k per year). A funding request documenting the standard graduate student rate and associated travel expenses should be submitted to the SMO Director for approval. The initial year's graduate student funding will be released at the time of acceptance with the second year's funding contingent on satisfactory progress reports, submitted to the SMO Director via the SOFIA/USRA contracts office. The third year of the grant is reserved to complete the effort; however, no additional funding will be provided.

2.6 Legacy Science Programs

The PI of proposals accepted as Legacy Science Programs may request up to \$500k of funding per year. The initial year's funding will be released at the time of acceptance with the second- and third-year's funding contingent on satisfactory progress reports, submitted to the SMO Director via the SOFIA/USRA contracts office. Funding cap is based on the expected number of hours.

2.7 SOFIA Archival Science Programs

The PI of proposals accepted as SOFIA Archival Science Programs may request funding. The grant period for these awards will be one year with funding disbursed as follows: 50% funding at grant award and 50% funding upon submittal of a satisfactory progress report at six months.

3 Other Categories

3.1 U.S. Lead Investigator on U.S. Queue Programs with Non-U.S. PIs

No funding is provided for PIs from non-U.S. institutions. PIs based outside of the U.S., but with U.S.-based Co-I's may request funding for one U.S. lead-co-I upon nomination from the Program PI. A detailed justification and statement of work of this lead-Co-I will be required, and the total amount allocated will be calculated according to the formula below:

(t= allocated observing time; g=grant amount)

$t < 3h \rightarrow g=0$

$3h < t < 5h \rightarrow g = t*\$3k$

$5h < t < 12.5h \rightarrow g = \$15k + (t-5h)*\$2k$

$t > 12.5h \rightarrow g=\$30k$

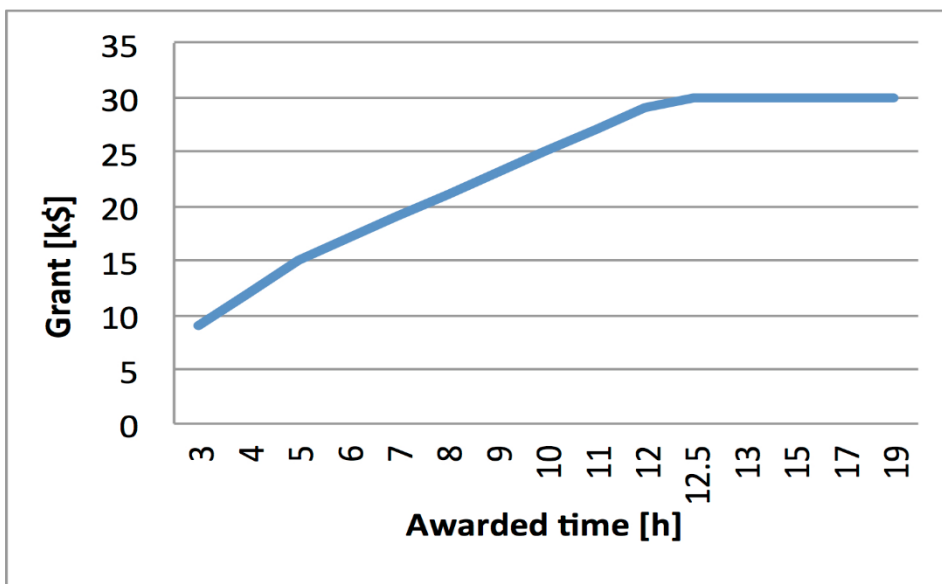


Figure 1: Graphical illustration of the funding level for the U.S. lead-investigator on non-U.S.-Led proposals.

Grant disbursement for these U.S.-lead-Co-I's will follow the rules above.

3.2 Grant Administration

Legacy Science grants and Thesis Enabling grants will be for a nominal period of three years. All other grants will be for a nominal period of two years. No-cost extensions are possible after review and approval by the SMO Director and the SOFIA/USRA Contracts Manager.

For each grant, before disbursement can begin, a nominal budget will be required from the grantee institution to be reviewed and approved by the SOFIA/USRA Contracts Manager.

At the completion of the grant period, a report listing the undertaken activities, the data collected and the results (including scientific presentations and publications) shall be submitted to the SOFIA/USRA Contracts Manager.

USRA manages the awards process and observing programs for all grantees; however, the distribution of funds for NASA civil servants and NASA/JPL employees will be administered by NASA.