



**CYCLE 10 GRANT FUNDING DISTRIBUTION PLAN  
(CDRL 310405)  
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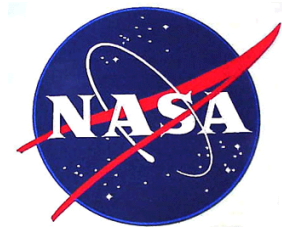
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**UNIVERSITIES SPACE RESEARCH ASSOCIATION**

7178 Columbia Gateway Drive • Columbia, MD 21046  
410-730-2656 • 410-730-3496 (fax) • [www.usra.edu](http://www.usra.edu)



AFRC

Armstrong Flight Research Center

Edwards, CA 93523

ARC

Ames Research Center

Moffett Field, CA 94035

German Space Agency, DLR


Deutsches Zentrum für Luft und

Raumfahrt

# CYCLE 10 GRANT FUNDING DISTRIBUTION PLAN (CDRL 310405)

## Revision History

Rev. No.	Rev. Date	Rev. Summary
-	October 18, 2021	Draft with NASA comments incorporated; increased grants limits and provision of \$7K upon request, as well as new category for event-driven observations

Revision Signature:	Name/Title/Date:
	<b>Julie Pelletier</b>  <b>USRA Principal Contracts &amp; Grants Manager</b>  <b>October 18, 2021</b>

**VERIFY THAT THIS IS THE CORRECT REVISION BEFORE USE**

# CYCLE 10 GRANT FUNDING DISTRIBUTION PLAN (CDRL 310405)

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# CYCLE 10 GRANT FUNDING DISTRIBUTION PLAN (CDRL 310405)

## 1. OVERVIEW

For Cycle 10, up to \$7M 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.

### \*\*\*NEW in Cycle 10\*\*\*

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*There are significant changes to Cycle 10 grant allocations. For the Priority 2 and 3 grant awards, funding will be issued upon observation attainment. Principal Investigators that will require the \$7,000 up front to prepare for their observation will need to submit a written request to the SMO Director/USRA SOFIA Contracts & Grants.*

*Also starting in Cycle 10, we have instituted a minimal grant award value of \$75,000 for Priority 1-3 grant awards.*

*Finally, starting in Cycle 10, a new Multiyear Program is launching to address time-dependent observations. These programs will be funded upon execution and have a three-year period of performance.*

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## 2. CATEGORIES OF PROGRAMS

### \*\*\*NEW in Cycle 10\*\*\**For All P2, P3 or Survey Programs:*

If the GO requires some initial funding up front, they should notify the Contracts & Grants Manager with a brief statement as to the need for the up-front funding and those requests will be evaluated by the SMO Director on a case-by-case basis.

### 2.1 *Priority 1*

*Priority 1* or *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 10. If, for technical reasons, they cannot be completed within Cycle 10, then *Will Do* proposals will be carried over into Cycle 11. For these proposals, the total allocated funding will be released entirely up front upon completion of all required grant documentation.

Starting in Cycle 10, there will be a minimum grant award value of \$75,000.

## **2.2 Legacy Pilot Program**

*Legacy Pilot Programs* are the first phase of a full *Legacy* program and are based on up to 20 hours of observation time over a two-year period of performance. At the end of these programs, the PI should demonstrate the technical feasibility of the *Legacy* proposal and should also produce publishable results. Upon submission of a final summary report, the SMO Director will evaluate the progress under this program and make a determination as to whether the *Legacy Pilot* will be promoted to a full *Legacy* program. For these proposals, the total allocated funding will be released entirely up front upon completion of all required grant documentation.

## **2.3 Multi-Cycle Target Monitoring Program/Target of Opportunity Multi-Cycle Target Monitoring Program**

*\*\*\*New in Cycle 10\*\*\**

*Multi-Cycle Target Monitoring* programs are based on event or time-driven observations. These programs are issued for a three-year period of performance. For these proposals, the total allocated funding will be released on an annual basis following submittal of a progress report. The exception to this rule is the *Target of Opportunity Multi-Cycle Target Monitoring program*. In this case, funding will be released upon completion of the first observation. Starting in Cycle 10, there is a minimum grant award value of \$75,000.

## **2.4 Priority 2**

*Priority 2* or *Should Do* proposals are in the second band of ranking and are likely to be completed within Cycle 10, 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 10 then they will still be available in Cycle 11. It is expected that about 50 percent of the available observing time will be accepted into this category. Starting in Cycle 10, the provision of \$7,000 upon grant execution is removed and funding will be released at the successful completion of the first observation of the program in Cycle 10 or in Cycle 11. Starting in Cycle 10, there is a minimum grant value of \$75,000.

## **2.3 Priority 3 & Survey**

*Priority 3* or *Do if Time* and *Survey* 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. Starting in Cycle 10, grant funding will be released at the time of the completed observations in a flight series, with additional amounts (proportional to the amount of observing time executed, with formula \$10K/hr) released at the successful completion of each remaining observation of the program by flight series. If the *Priority 3* or *Survey* program has been completed (75% of observations) then there is a

minimum grant threshold value of \$75,000 and a maximum threshold of \$200,000. If there is less than 75% completion of the observations, then the PI will need to submit a proposed plan for the publication of the acquired observations and request the minimum \$75,000 grant value amount for the subject grant award.

#### **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* and *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.

### 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)

$t < 3h \rightarrow g=0$

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

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

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

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

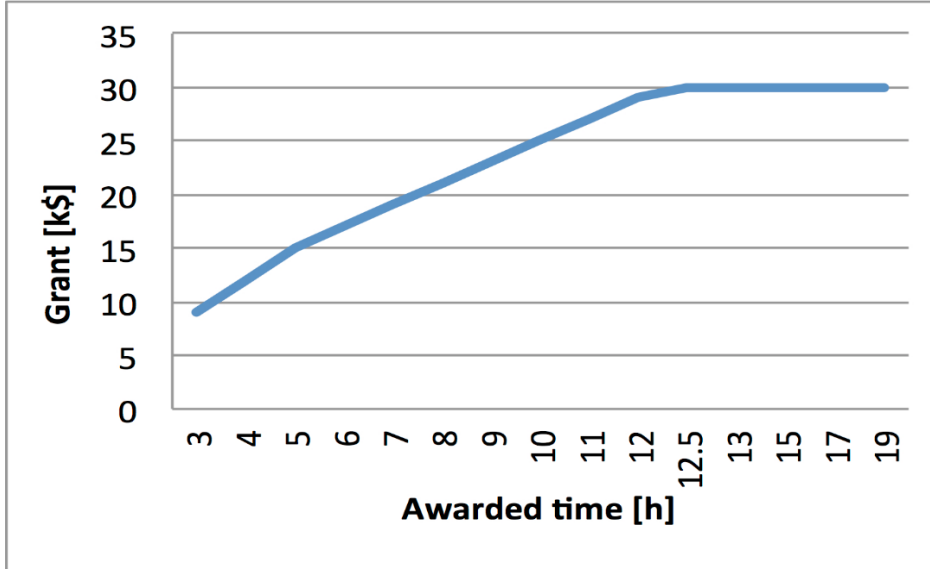


Figure 1: Graphical illustration of the funding level for the U.S. lead-investigator on non-U.S.-Led proposals.

### 3.2 Grant Administration

*Legacy* grants, *Multiyear* 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 & Grants 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.