



STScI | SPACE TELESCOPE
SCIENCE INSTITUTE

EXPANDING THE FRONTIERS OF SPACE ASTRONOMY

JWST Grant Allocation & Review Process

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February 7, 2024



Introduction

- Level of Funding
- Grants Administration (GRA)
- Budget Submission Process
- FRC (Financial Review Committee)
- Guidance for proposers
- Q & A



NASA anticipates providing ~\$60M for C3

- Same level of support as C1& C2
- Anticipate maintaining that level of support for subsequent cycles
- Covers programs selected by the annual TAC together with joint programs (ALMA, Chandra, HST, NRAO, XMM)
 - Only JWST data analysis is covered for joint programs



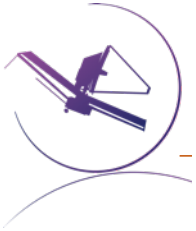
STScI Grants Administration (GRA)

- Based at STScI but reports to NASA for oversight
- Award grant funds for JWST, HST, & NHF Programs
- Partner with the community – Common goal is to support JWST research programs. Maximum impact for the benefit of science.
- Work with investigators and their institutions (Sponsored Program Offices, Budgets ...)
- Fiduciary for NASA and the federal govt – ensure funds utilized in accordance with regulations. Manage & mitigate exposure to risk.



Grant proposal submission

- Principal Investigators of successful proposals are invited to submit budget requests to support work by US scientists involved in the science program (see example letter)



Grants Administration
3700 San Martin Drive
Baltimore, MD 21218
(410) 338-4200

May 18, 2023

XXXXX

Subject: Budget Deadline and Required Information
Cycle 2 Program JWST-GO-xxxx

Dear xxx:

Congratulations on your successful JWST Cycle 2 Program GO-0xxxx, "title". A budget is required if you wish to request financial support for the reduction and analysis of your data.

Budget Deadline: Thursday June 22, 2023 (5:00 p.m. ET)

Submit budgets via [STGMS](#)

Very limited accommodation can be made for late proposals. Proposers who encounter difficulty meeting this deadline should contact Grants Administration (GRA) for help at gms_mail@stsci.edu as soon as possible prior to the deadline.

New this Year!

A new [STScI Budget Proposer Guide](#) is available to help you with budget preparation. **Please read the entire guide to ensure that you are familiar with the requirements for budget proposals and using compliant forms. Non-compliant budgets will be returned for corrections.**

STScI grant funding is only available to U.S. investigators. NASA revised the definition of a U.S. investigator. Investigators who previously were not eligible to apply for grant support may now be eligible. Carefully review the GGP, Section 3, Eligibility for STScI Grant Funding, for specific eligibility requirements. Contact GRA with questions regarding requirements or to determine if you are eligible to request STScI grant funding.

The responsibility of a complete, accurate proposal rests with each investigator and their institution. Missing or incomplete information will likely result in a reduction of funding approved for the program.

A budget proposal is a detailed financial expression of the program. Costs must be allowable, reasonable, allocable, and in accordance with the [GGP](#). Budgets must be linked directly to achieving the specific work and science goals described in the approved science proposal. Budgeted costs cannot include support for activities outside the scope of the approved science proposal.

It is important to include clear, detailed, and complete information in the Budget, Budget Narrative, and Program Management Plan. The Budget Narrative Template is a requirement.

Detailed justifications must be provided for all costs, including travel and publications.

Guidance for requested amounts for travel, publications, pure parallel and survey programs:

- Travel for programs requesting up to \$1M should only be up to 5% of the total budget.
- Travel for programs requesting over \$1M should not exceed \$70K.
- Publication requests should not exceed \$20K.
- Pure Parallel: Given the constraints on Cycle 2 funding and the nature of these programs, budget requests for Cycle 2 pure parallel programs should not exceed \$400K.
- Survey: Given the constraints on Cycle 2 funding and the nature of these programs, budget requests for Cycle 2 survey programs should not exceed \$120K.

There must be an exceptional need and justification for requests exceeding these guidelines.

Please join our Webinar on June 6, 2023 (2:00 p.m. ET) for information on preparing JWST Cycle 2 budgets. There will also be a Q & A session. All investigators and institutional contacts are welcome.

[JWST Cycle 2 Grants Webinar Q&A hosted by STScI](#)

We encourage you to submit questions early via this form:
[Submit your questions \(or list of questions\) here](#)

Following a financial review in September, a separate notification with the approved program amount will be sent to program U.S. Administrative Principal Investigators only. Funding that may be subsequently approved for this Program is contingent upon the availability of funds from the National Aeronautics and Space Administration (NASA).

Contact STScI Grants Administration at (410) 338-4200 or gms_mail@stsci.edu if you have questions. We look forward to working with you!

Sincerely,

Paula Sessa
Head, Grants Administration

cc: co-Is



Grant proposal submission

- Principal Investigators of successful proposals are invited to submit budget requests to support work by US scientists involved in the science program
- Budgets are submitted through the Space Telescope Grants Management System (STGMS)
- Detailed instructions on the overall process are given in the STScI Budget Proposer Guide (see Helpful Links)

A rectangular image showing a field of stars in space, with a dark background and numerous bright, multi-colored stars (blue, white, yellow, orange).

STScI Budget Proposer Guide



Budget submission format

- Proposers submit a budget request together with a narrative
 - Separate budgets for each funded institution
- The budget narrative must include
 - Summary of the contribution made by ALL investigators
 - Justification for all costs
 - Technical Program summary
 - Summarising the proposed work, not the science case
 - Program Management Plan
 - Budget description
 - Includes travel, computer equipment, services, page charges
- All of the requests must be
 - Reasonable – within the general range expected for the work
 - Allocable – within the scope of work necessary to achieve the science goals outlined in the original proposal
 - Allowable – suitable for federal funding



FRC (Financial Review Committee) – who they are & what they do

- The budget requests are collected through STGMS and reviewed by the Financial Review Committee
 - Multi-disciplinary group of astronomers (across the U.S.) who have experience with HST & JWST instruments, hardware, software, & data analysis.
- Detailed assessment of budgets & narrative justifications to determine if consistent w/meeting the science goals in the TAC approved program
 - Review number of approved hours, instrument, target, exposure/spectra information, proposed science goals & associated analysis
- Provide funding recommendations based on the tasks, level of effort, & other costs required to complete the project.
 - Adjustments are matched against the requested work





Guidance for PIs

- Not required to reduce any amount of funding from proposals
- The “JWST or HST” constant for budgets does not exist (\$\$\$ per hour or orbit)
- Budget narratives must use the required budget template and must be complete
- Briefly state the science goals of the program, keeping in mind that the FRC has access to the Phase I and the FRC is not reviewing the science.
- Succinctly describe the work to support those science goals and the estimated time to complete each piece of work. This is done for ALL investigators, including TBD GSs & PDs (funded and unfunded, in the U.S. & collaborators outside of the U.S.).
- A budget narrative that is clear, concise, and well-justified is more likely to be funded fully. It is not useful to anticipate cuts by inflating the resources required, including redundant tasks, artificially increasing the complexity of the program, overcomplicating the description of the effort, or stressing the importance of the science. By definition, all accepted programs were held in high regard by the Time Allocation Committee and the Director; there are finite funds to support the excellent science in the full program.



Common Pitfalls

What?

Why?

When?

- **Incomplete, little, or no rationale for the support requested**
 - Summary of Contribution of investigators table is incomplete
 - Little or no description of contributions from all named investigators.
Enumerate contributions of EVERYONE on the team: U.S. & non-U.S. (funded & unfunded), graduate students, postdocs, & TBD positions
 - Incomplete or weak with little or no justification
- **Inconsistent information.**
 - Different levels of effort stated in:
 - Summary of Contribution of investigators
 - Narrative
 - Budget tables with priced effort



Common Pitfalls

What?

Why?

When?

- **Out-of-scope** (research endeavors not specifically included in approved science proposal)
 - Ground-based observing
 - Analyzing data from another source

- **Over-scoped**
 - Excessive costs in any cost category
 - Duplicate efforts not justified
 - Effort does not reflect seniority or past experience

- **What other options were considered?**
 - For example, why is travel for collaboration required verses other tools for virtual collaboration?



Common Pitfalls cont.

- Deviations from guidance was not justified

- Unallowable Costs
 - Preparing for Phase II observations
 - Support for ineligible investigators
 - Personal data plans or internet connections
 - Unallowable activities

- Unapproved indirect rates



Feedback to the PI & Team

- Following the FRC review, GRA will make any necessary adjustments to meet the contract value for the cycle
- GRA compiles the results for approval by the STScI Director
 - GSFC confirms contract value
- GRA provides each PI with a letter with a top-level budget number
 - That may include guidance on certain areas that were reviewed as out of scope, unallowable or unreasonable
 - The letter will indicate whether additional cuts were required to meet the cycle value available from NASA
 - The feedback does not provide specific information on individual line items
- The PI has latitude to re-budget within the top-level allocation
- The revised budget is submitted through STGMS
 - GRA reviews to confirm no unallowable expenditure



Helpful Links

[Grants Administration Web Page](#)

[STScI Budget Proposer Guide](#)

[STScI General Grant Provisions](#)

[STGMS User Guide](#)

STGMS (Space Telescope Grants Management System) - <https://stgms.stsci.edu/stgms/>

Contact GRA: gms_mail@stsci.edu or 410-338-4200



Questions?

STSci GRANTS ADMINISTRATION

gms_mail@stsci.edu

(410) 338-4200

www.stsci.edu