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Subject: FAQ - FY05 Budget Calls
Date: Thu, 18 Nov 2004 11:13:09 -0500
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Dear Colleagues,

Several of you have asked the same questions in the last several days, so I decided it was prudent to share the answers with the entire group.

1. The base budget level of 81.5% of your FY04 level applies to all five years of the new proposal.
2. The fellowship/scholarship levels and minimum match requirements outlined in the budget call also apply for the entire 5-year period.
3. We will need individual budget sheets for each of the 5-years, as well as a summary budget for the entire period. We recommend you use the Goddard form (I have attached a copy). We only need a budget narrative for year 1.

Do not hesitate to contact me if you have any other questions.

Thanks,
Magui

Margarita M. Cardona, CRA
 Space Grant Administrative Fellow
Mail Suite 2U70-A, Office of Education (NEW)
 Higher Education Division
 NASA Headquarters
 Washington, DC 20546

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Attachment: budget summary form.doc (16Kbytes)

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BUDGET SUMMARY

From _____ To _____

	RECIPIENT'S COSTS	NASA USE ONLY	
	A	B	C
1. Direct Labor (salaries, wages, and fringe benefits)	_____	_____	
2. Other Direct Costs:			
a. Subcontracts	_____	_____	
b. Consultants	_____	_____	
c. Equipment	_____	_____	_____
d. Supplies	_____	_____	_____
e. Travel	_____	_____	
f. Other	_____	_____	
3. Indirect Costs	_____	_____	
4. Other Applicable Costs	_____	_____	
5. SUBTOTAL -- Estimated Costs	_____	_____	
6. Less Proposed Cost Sharing (if any)	_____	_____	
7. Carryover Funds (if any)			
a. Anticipated amount	_____	_____	
b. Amount used to reduce budget	_____	_____	

8. TOTAL ESTIMATED COST

XXXXXXXXXXXXXX

APPROVED BUDGET

XXXXXXXXXXXXXX

XXXXXXXXXXXXXX

Instructions

1. Provide a complete budget summary sheet for year one and separate estimates for each subsequent year.
2. Recipient's estimated costs should be entered in Column A. Columns B and C are for NASA use only. Column C represents the approved grant budget.
3. Provide as attachments detailed computations of estimates in each cost category with narratives required to fully explain proposed costs. See Page No. 2.

SPECIFIC COSTS

1. Direct Labor (salaries, wages, and fringe benefits): Attachments should list number and titles of personnel, amounts of time to be devoted to the grant, and rates of pay.
2. Other Direct Costs:
 - a. Subcontracts: Attachments should describe the work to be subcontracted, estimated amount, recipient (if known), and the reason for subcontracting.
 - b. Consultants: Identify consultants to be used, why they are necessary, the time they will spend on the project, and rates of pay (not to exceed the equivalent of the daily rate for Level IV of the Executive Schedule, exclusive of expenses and indirect costs).
 - c. Equipment: List separately. Explain the need for items costing more than \$5,000. Describe basis for estimated cost. General purpose equipment is not allowable as a direct cost unless specifically approved by the grant officer.
 - d. Supplies: Provide general categories of needed supplies, the method of acquisition, and the estimated cost.
 - e. Travel: List proposed trips individually and describe their purpose in relation to the grant. Also provide dates, destination, and number of travelers where known.
 - f. Other: Enter the total of direct costs not covered by 2a through 2e. Attach an itemized list explaining the need for each item and the basis for the estimate.
3. Indirect Costs: Identify indirect cost rate(s) and base(s) as approved by the cognizant Federal agency, including the effective period of the rate. Provide the name, address, and telephone number of the Federal agency official having cognizance. If unapproved rates are used, explain why, and include the computational basis for the indirect expense pool and corresponding allocation base for each rate.
4. Other Applicable Costs: Enter total of other applicable costs with an itemized list explaining the need for each item and basis for the estimate.
5. Subtotal-Estimated Costs: Enter the sum of items 1 through 4.
6. Less Proposed Cost Sharing (if any): Enter any amount proposed. If cost sharing is based on specific cost items, identify each item and amount in an attachment.
7. Carryover Funds (if any) Enter the dollar amount of any funds that are expected to be available for carryover from the prior budget period. Identify how the funds will be used if they are not used to reduce the budget. NASA officials will decide whether to use all or part of the anticipated carryover to reduce the budget. Not applicable to 2nd-year and subsequent-year budgets submitted for the award of a multiple year grant.
8. Total Estimated Costs: Enter the total after subtracting items 6 and 7b from item 5.

FY 2005 Proposal and Budget Call

Dear Colleague,

This e-mail contains instructions for the development and delivery of your proposal and budget for the next five-year cycle. Since this is the start of a new grant period, there are some changes in what you need to submit and new programmatic guidance. Be sure to pay attention to both of these.

Although we are under a Continuing Resolution and do not have an FY 2005 budget for the Agency, based on the President's request, we anticipate being able to fund the base budgets for the National Space Grant College and Fellowship Program at 81.5% of last year. A move to full-cost accounting by the Agency and subsequent flow-down of those policies and procedures to the individual programs within the Office of Education have impacted the funds available to consortia.

Please submit your National Space Grant College and Fellowship Program – Proposal and Budget for 2005, by Tuesday, **December 7, 2004**.

Additionally, it is almost certain that we will have to incrementally fund your FY 2005 awards. Please be assured that we will work hard to fund as much of the award at any one time as possible.

Please contact me or Magui Cardona (mcardona@hq.nasa.gov) if you have any questions.

Best regards, Diane

* * * * *

I. Submission of Annual Progress Report

Since this is the final year of your current grant, you will not be required to submit an annual progress report. However, you are required to submit a final report within 90 days after the expiration of the grant next spring. In previous years we have not followed this procedure, required of all NASA grants; we are now required by the Closeout Administrator at Goddard Space Flight Center to satisfy this reporting requirement. Your final report should be submitted to the Goddard Space Flight Center location listed on your grant award document.

Your final report can be a summary of the last year of your award with reference to the previously submitted annual progress reports and CMIS data. We will provide additional guidance and instructions at a later date.

II. Workforce Development Augmentation

In a separate section of your submission, please provide a report on your FY 2003 Workforce Development activities funded through last year's augmentation. Describe the outcomes of the activities including the following information:

- Goals and objectives of the initiatives

- Achievements and outcomes of the initiative as defined by the goals and objectives, metrics, and expected outcomes stated in the proposal
- Numbers, grade level, gender, and race of students and faculty participating in your initiatives

III. Preparation of Your Proposal and Budget

Please submit your National Space Grant College and Fellowship Program – Proposal and Budget for 2005, by Tuesday, **December 7, 2004**.

Proposal

Describe your goals and objectives for the next five years and how will the proposed suite of activities contribute to achieving those targets. **Your proposal should describe in detail the goals for your consortium for the coming year and the metrics by which you will measure the accomplishment of those goals.** A handy tool to use in the development of your goals is SMART:

- ***Specific*** – Provide enough detail to know exactly what will be done.
- ***Measurable*** – Your goal should be such that when you are through you have some tangible evidence of completion (metrics).
- ***Acceptable*** – Aligned with the NASA guiding documents (e.g. The Vision for Space Exploration, the Aldridge Report, the Education Strategy, the national Space Grant goals and objectives).
- ***Realistic*** – Set appropriate targets based on your budget level.
- ***Time Frame*** – Divide the 5-year period into manageable chunks to set your goals (short term vs. long term goals).

Please submit a copy of your consortium's Strategic Plan. If a plan has not been developed to date, you should describe the steps you will take to develop one this coming year.

Please outline your strategy for longitudinal tracking of students participating in your programs. Student tracking has become a high priority within the Office of Education.

Your metrics should include targets for underrepresented minorities and women participation in your Fellowship/Scholarship, Research Infrastructure, and Higher Education programs. At a minimum your targets should reflect the state higher education enrollment percentage as reported by the Chronicle of Higher Education. We are able to access the Research Infrastructure and Higher Education numbers you report in the CMIS database, and so are expanding the tracking of Space Grant accomplishments in support of underrepresented minorities and women to include these program categories. During the next Budget Call, you will be asked to report on the progress made toward meeting these targets.

Consortia on probation should also submit a 5-year proposal. You will receive a one-year grant with a special condition to extend for four additional years upon successful completion of the probationary period. Upon receipt and approval of your Improvement Report, the period of performance on your new grant will be extended, using the same grant number, for an additional four years.

Guiding Documents The following documents provide guidance and direction to assist you in aligning your efforts with NASA:

- The Vision for Space Exploration
http://www.nasa.gov/missions/solarsystem/explore_main.html
- President's Commission on Implementation of United States Space Exploration Policy,
A Journey to Inspire, Innovate, and Discover (aka the Aldridge Report)
http://www.nasa.gov/pdf/60736main_M2M_report_small.pdf
- The Education Enterprise Strategy
<http://www.education.nasa.gov/about/strategy/index.html>
- NASA Human Capital Management Plan
<http://nasapeople.nasa.gov/hcm/>

Budget Guidance and Clarification

1. Your 2005 budget amount should be 81.5% of your 2004 base award (prior to any increases or augmentations). Please contact us if you have any questions or are unsure about the calculation.
2. As with all NASA training grants, no equipment purchases are allowed with NASA dollars. Refer to your institutions guidelines for a definition of equipment. You may also find additional information in the NASA Grant and Cooperative Agreement Handbook (<http://ec.msfc.nasa.gov/hq/grcover.htm>).
3. Do not include in your budget submission any supplements or augmentations which you may have received (e.g. Space Grant Fellows, special student awards, special projects or conferences, Workforce Development, FIRST, or 2004 Congressional augmentations).
4. Fellowship/scholarship program award requests should reflect the following guidelines:
 - For **Designated** Grant State Consortia
 - Minimum program level free of matching requirement: \$100,000
 - For **Program Grant** State Consortia
 - Minimum program level free of matching requirement: \$50,000
 - For **Capability Enhancement** State Consortia
 - Minimum program level free of matching requirement: \$50,000
 - Up to an additional \$25,000, which does not require matching, may be applied to augment either fellowships or research infrastructure activities.
 - For **all Grant Types**: Any funds applied to your fellowship/scholarship program, beyond these guidelines, will require match.

Important Notes and Reminders

1. **Certifications:** Please include the three standard certifications in your package. You can either:

- 1) Retrieve the certifications from the Goddard Space Flight Center Grants Office website ([http://genesis.gsfc.nasa.gov/grants/grants.htm#Grant Forms](http://genesis.gsfc.nasa.gov/grants/grants.htm#Grant%20Forms)) for the following three certifications:
 - Certification for Debarment, Suspension, and other Responsibility Matters
 - Assurance for Nondiscrimination Compliance
 - Certification Regarding Lobbying

OR

- 2) If you include the following statement on the front of your package, with a signature from the proper institutional official, you do not need to submit separate certifications:

Certification of Compliance with Applicable Executive Orders and U.S. Code

By signing and submitting the proposal identified in this Cover Sheet/Proposal Summary in response to the NASA request for a proposal under the National Space Grant College and Fellowship Program, the Authorizing Official of the proposing institution, as identified below:

- 1. certifies that the statements made in this proposal are true and complete to the best of his/her knowledge;*
- 2. agrees to accept the obligations to comply with NASA award terms and conditions if an award is made as a result of this proposal;*
- 3. provides certification to the following that have been reviewed on the following NASA website ([http://genesis.gsfc.nasa.gov/grants/grants.htm#Grant Forms](http://genesis.gsfc.nasa.gov/grants/grants.htm#Grant%20Forms)): (i) Certification for Debarment, Suspension, and other Responsibility Matters; (ii) Certification Regarding Lobbying; (iii) Assurance for Nondiscrimination Compliance.*

Institution Authorization: _____

II. Matching Funds: All NASA Space Grant funds (exclusive of fellowships funds within the limits outlined above) must be matched **for all grant types**. Be sure to clearly identify the sources of matching funds.

3. **Salary Breakdowns:** Include the staff hours and percentage of each person's time that is being paid from the grant.

For the director's time only: please clearly identify the **amount of money (in total)** that the director is paid by **1) NASA funds and 2) matching funds, AND** clearly identify the percentage of time that those dollars translates into based on **12 months**. If the director is paid from/supported through a combination of academic year and summer time salary, please be sure to provide the information based on 12 months.

- NASA Funding **TOTAL Dollars** for a 12-month period (academic year + summer time) = \$
- Matching Funds **TOTAL Dollars** for a 12-month period (academic year + summer time) = \$
- NASA Funding **Percentage of TOTAL time** for a 12-month period (academic year + summer time) = \$
- Matching Funds **Percentage of TOTAL time** for a 12-month period (academic year + summer time) = \$

4. **Estimated Travel Costs:** Estimates should be inclusive of airfare and per diem, registration fees, and car rental.

Foreign travel must be Space Grant-related, requires approval from the Space Grant program manager, and cannot exceed \$500. "Space Grant" should be included in verbal and written acknowledgments in writing reports and publications. In addition, a post-trip report must be submitted to the Space Grant office describing the benefits gained as a result of the trip.

5. **Affiliate budget expenditures must be outlined:** We do not need copies of individual proposals from the affiliates as long as the affiliates' activities are clearly described in your proposal and a clear budget is included in your package.

6. **Subcontracts to an individual or organizations:** Up to \$100,000 requires a separate budget and work statement. Over \$100,000 requires a separate budget, work statement, and a breakout of hourly rate.

7. **CMIS Budget:** We will notify you when the CMIS system is available to enter the budget.

You can find additional information of a general nature at the following Goddard Space Flight Center websites:

- Budget Format: <http://genesis.gsfc.nasa.gov/grants/grants.htm> – Goddard Space Flight Center Grants Information Homepage – Grant forms/Grants Budget Outline
- Administration of Grants and Cooperative Agreements with Institutions of Higher Education: <http://ec.msfc.nasa.gov/hq/grantb.html>
- OMB Circular A-21 "Cost Principles for Educational Institutions": <http://www2.whitehouse.gov/WH/EOP/OMB/html/circulars/a021/a021.html> – This circular outlines allowable costs.

IV. Submission of Your Proposal and Budget

Please send:

- 1) **An electronic copy to me and Magui Cardona by Tuesday, December 7, 2004.** Electronic copies should be sent in PDF format to Diane.D.DeTroye@nasa.gov and mcardona@nasa.gov.

- 2) **The original and one copy to me by Tuesday, December 7, 2004.** Regular U.S. Post Office mail addressed to NASA Headquarters continues to be subjected to irradiation and significant delivery delays. Send the original and one copy of the proposal via an express or commercial carrier or courier to:

Diane D. DeTroye
Acting Program Manager
Space Grant and EPSCoR Programs
Mail Suite 2U70-A, Office of Education
Attn: Receiving & Inspection (Rear of Building)
NASA Headquarters
300 E. Street SW
Washington, D.C. 20024-3210