



NASA Hubble Fellowship Program (NHFP)
Policy and Budget Information 2018

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Introduction

The NASA Hubble Fellowship Program (NHFP) is comparable to research fellowships or similar limited-term postdoctoral level appointments at universities. Fellowship appointments are not permanent, professional career positions.

This document outlines policies and procedures for new and continuing Fellows who are establishing or renewing their Fellowships and the associated arrangements with Host Institutions and Faculty Contacts. It also includes procedures for submitting budget proposals to STScI.

These policies are meant to be used in conjunction with the [STScI General Grant Provisions, June 2016](#).

NASA Hubble Fellowship Program Contacts

For all science or policy inquires, contact the Program Office:		
<i>Einstein Program Office</i>	<i>Hubble Program Office</i>	<i>Sagan Program Office</i>
Dr. Paul Green	Dr. Andrew Fruchter	Dr. Dawn Gelino
All inquiries: nhfp@stsci.edu		

For all allowable costs, budget preparation, prior approval (foreign travel or equipment), or report submission inquiries, contact STScI Grants Administration:

Grants Administrator
Shantavia Sturgis
Phone: 410.338.4315
Email: gms_mail@stsci.edu

Section 1: STGMS

The Space Telescope Grants Management System (STGMS) is a web-based application that allows users direct access to grants information. All grant actions must occur in STGMS. These actions include budget submissions; no-cost extensions; financial, performance, equipment, and technology reports; and faculty contact assessments.

<https://stgms.stsci.edu>

NASA Hubble Fellows are not authorized users in STGMS. If the Fellow must access STGMS, contact an Authorized Official (AO) at the Host Institution who can activate individual user accounts and provide privileges, as necessary. If required, STScI will create a STGMS account for the Faculty Contact.

Section 2: Role Descriptions

The NASA Hubble Fellow leads the science for their research program.

Each Fellow must have a faculty member, located at the same Host Institution, who will serve as their Faculty Contact. The role of the Faculty Contact is to ensure that NHFP funding is dedicated to helping the Fellow achieve the proposed science goals of their project. The Faculty Contact also serves as the Administrative Principal Investigator for the NHFP grant and approves budget submissions; however, they may not receive funding from the grant.

Section 3: Commencement of New Fellows

A. Ph.D. Requirements

Fellows must have received their Ph.D. prior to the commencement of the Fellowship. Fellows who have not met all the requirements for their Ph.D. degree at the time of application must provide proof of completion to STScI Grants Administration before beginning their appointment. A certificate or a brief letter stating that you have completed all of the requirements for the degree is adequate. The letter must be from an authorized individual from the graduating institution and on institutional letterhead.

B. Start Date

The Fellow, the Host Institution, the NHFP Office, and STScI Grants Administration negotiate the start date. The typical start date is September 1st. The earliest and latest start dates are August 1st and January 1st. Start dates earlier than September 1st are limited by the availability of funding from NASA and by the time required to complete administrative procedures to issue the award.

C. Length of Fellowship

The Fellowship is a 3-year appointment, subject to an annual review and approval for renewal. NHFP grants support the individual Fellow's research program. Fellows must work full-time on their NHFP research program and be in residence at the Host Institution during the entire period of the Fellowship appointment.

D. Visa Requirements

Non-U.S. nationals who are offered a NASA Hubble Fellowship must have a valid visa for the duration of the Fellowship appointment. NHFP grant funds do not support any costs (including attorney fees) related to obtaining or renewing a visa. The application process and all costs incurred are the responsibility of the Fellow and their Host Institution.

E. Taxes and Insurance

The Host Institution and the Fellow are responsible for complying with all regulations related to state and federal taxes. STScI recommends that the Fellow consult with a tax accountant regarding their individual situation.

Non-resident aliens (Fellows holding Exchange Visitor (J-1) visas) are advised that their Host Institution may withhold federal income tax and should consult the appropriate office at their institution for information.

Section 4: Funding

Funding for the NASA Hubble Fellowship Program is contingent upon the availability of funds from the National Aeronautics and Space Administration (NASA) and approval of the Space Telescope Science Institute (STScI) Director.

STScI funds each Fellowship through a grant to the Host Institution, with the Faculty Contact serving as the Administrative Principal Investigator (Admin PI). Funding is awarded annually, up to a maximum of 36-months. Each year, STScI Grants Administration will notify the Faculty Contact, the Fellow, and the Host Institution that a new budget will be required for the subsequent year.

As stated in the Grant Award/Amendment documents, funding becomes automatically available to the Host Institution based on the incremental schedule below. No action is required by the Host Institution to “release” funding.

60% available upon award (month 1)

40% available (month 7)

NHFP grant funds are provided solely for the support of the Fellow for the conduct of research program (with one exception noted in Section 7, D. Travel) and must not cover expenditures for any other purpose or any other individual.

Section 5: Pre-award Costs

Pre-award costs are those incurred prior to the effective date of the grant award. NHFP pre-award costs are limited to equipment and computing devices; travel that will occur during the grant period of performance; and relocation costs. The costs must be for project related activities and necessary for the efficient and timely performance of the Fellowship scope of work. Such costs are allowable only to the extent that they would have been allowable if incurred after the start date of the grant award.

Pre-award costs are incurred at the Host Institution's own risk and STScl is under no obligation to reimburse such costs if for any reason the Host Institution does not receive an award, or an award is made for a lesser amount than the Host Institution anticipated.

Section 6: Budget Submission

Budgets are due by Thursday, June 7, 2018. If there are extenuating circumstances, an extension may be considered; contact Grants Administration for approval. Prior to the award of funds for the program year, a budget and supporting narrative (approved by the Authorizing Official of the Host Institution) must be submitted through STGMS.

The narrative must explain the basis for calculating fringe benefits or health insurance; relocation; direct costs; and travel. *Submit the budget narrative as a PDF through STGMS.*

Section 7: Allowable Costs

A. Stipend

Refer to the Budget Worksheet for the current academic year Fellowship stipend amounts.

The Host Institution may not apply Indirect Cost Rates or other fees to the stipend.

NASA Hubble Fellows will not accept additional stipend, salary, or other remuneration of any kind from any other fellowship, grant, or appointment (including a teaching appointment), throughout the duration of the Fellowship. Fellows may not accept additional honorary named appointments linked with the title “NASA Hubble Fellow”. Fellows must devote full-time effort to their individual research projects.

NASA Hubble Fellows are eligible to propose for GO/AR grants or other programs (exclusive of salary). Determining PI-ship is at the discretion of the Host Institution and should follow the institution’s standard practices and procedures.

B. Fringe Benefits and Health Insurance

The method of applying Fringe Benefits must be in accordance with the Host Institution’s Standard Policies and Practices for postdocs.

Indirect Cost Rates or other types of fees applied to health insurance or fringe benefits are unallowable.

The Host Institution must provide full health insurance (including dental and vision) coverage for the Fellow and their eligible dependents during the term of the Fellowship. If a life-changing situation (e.g. marriage, birth, or adoption of a child) is known prior to budget submission, and will increase the cost of health insurance during the Fellowship year, the budget should include the increased costs. Explain the reason for the increased cost in the budget justification.

Funding must be reflected in the budget proposal in one of three ways:

1. If full-time employee benefits are offered, the Host Institution may apply the federally approved fringe benefit amount for health insurance.
2. If a Fellow is employed as other than a standard, full-time employee (e.g. under a Postdoctoral Fellow program), health insurance may be budgeted at the maximum amount allowable for that program.
3. If a Fellow is employed other than the cases stated above (e.g. contractual employee) and full coverage health insurance is not provided, the Fellow should purchase medical/dental/vision insurance separately. The allowable reimbursement for the premium should not exceed \$20,000 annually. If a situation requires greater than \$20,000, contact STScI Grants Administration.

In none of these cases will the Fellow be reimbursed for the employee portion of the premium; co-payments; or individual medical, dental, or prescription costs, etc. not covered under the health insurance policy.

It is the responsibility of each Fellow to become familiar with the health insurance and policies of their Host Institution.

C. Relocation

First year Fellows may request up to \$7,500 for relocation costs. These costs must be in accordance with the standard policies and practices of the Host Institution.

Fellows from non-U.S. Institutions: New Fellows relocating to the U.S. from foreign institutions are required to travel on U.S. Flag Carriers to the extent possible, if funded through the NHFP.

Generally, STScI will not reimburse relocation expenses if the Fellow is relocating to an institution that is less than 50 miles from their current institution. The budget narrative justification for relocation costs must include the originating location.

Relocation expenses are unallowable if the Fellow is not changing institutions.

D. Travel

Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by the Fellow who is in pre-approved travel status for legitimate research purposes. Such costs must be in accordance with the written travel policies of the Host Institution. In lieu of an institutional travel policy, the Federal Travel Regulations may be used for guidance.

Travel within the United States and its territories is considered domestic travel. All other locations are considered foreign.

Air travel, domestic or foreign, for personnel and property, must be aboard a U.S. flag carrier. Airfare costs in excess of the customary standard commercial airfare (coach or equivalent), federal government contract airfare (where authorized and available) or the lowest commercial discount airfare are unallowable except when such accommodations would:

- a. Require circuitous routing;
- b. Require travel during unreasonable hours;
- c. Excessively prolonged travel;
- d. Result in additional costs that would offset the transportation savings; or

The only person authorized to travel on the grant is the NASA Hubble Fellow. In an exceptional circumstance where the Fellow cannot travel, approval for a collaborator* to travel on their behalf for a specific purpose may be requested. Prior approval must be obtained from the Faculty Contact and STScI Grants Administration. *(See Appendix C)*

*An individual committed to provide a focused, but unfunded, contribution for a specific task.

The Host Institution must certify that STScI funds will be used to support only U.S. citizens residing in the United States, or abroad if salary is being paid by a U.S. institution, and U.S. permanent residents and foreign national investigators working in and funded by U.S. institutions in the U.S.

All expenses incurred for personal days while in travel status are the sole responsibility of the Fellow.

Professional Travel

All travel, domestic and foreign, paid by the grant must be approved in advance by the Faculty Contact.

The budget justification must contain the following information for each domestic and foreign travel request: Purpose of the trip, Destination, Dates of travel, Number of days on travel, and the Total cost for travel.

Prior written approval must be obtained from STScI Grants Administration for all foreign travel that is not specified in the approved budget. *(See Appendix C)*

NASA Hubble Fellowship Symposium Travel

All NASA Hubble Fellows must present their research at the annual NHFP Symposium, held at STScI in Baltimore (dates to be determined). Funds up to **\$2,500** annually may be requested to support travel costs to the symposium. Unexpended funds from the symposium must be used to reduce the symposium budget for the following year and not for any other travel.

E. Equipment and Computing Devices

Equipment is defined as tangible personal property (including information technology systems) having a useful life of more than one year with a per-unit acquisition cost of \$5,000 or more.

- A. All equipment purchases must be approved in advance by the Faculty Contact and STScI Grants Administration. ***Approval of the budget does not constitute prior approval. (See Appendix C)***
- B. Equipment expenditures are generally unallowable during the final six (6) months of the Fellowship.

All equipment approved by STScI and purchased with NHFP funds must be reported on the Final Equipment report. Relevant details include:

- Manufacturer's name
- Model number
- Actual purchase price
- Final disposition of the equipment

Computing devices are defined as machines used to acquire, store, analyze, process, and publish data and other information electronically, including accessories (or “peripherals”) for printing, transmitting and receiving, or storing electronic information.

- A. The purchase of computing devices with a unit cost of less than \$5,000 is allowable providing the purchase is essential to the performance of the award.
- B. The budget justification must include a complete description of the item(s) to be purchased, including a list of required software and peripherals, a cost estimate of the item(s), how the cost estimate was obtained, and how the item(s) will be used in the conduct of the research.
- C. Computing device expenditures are generally unallowable during the final six (6) months of the Fellowship and require approval from STScl Grants Administration.

NHFP funds will not support costs for personal electronic devices such as cell phones, etc., or the monthly charges for data and/or talk plans.

At the end of the Fellowship, no equipment and/or computing devices purchased with NHFP funds may transfer with the Fellow to a non-U.S. institution. If the Fellow is moving to a non-U.S. institution, all equipment and/or computing devices purchased must remain at the U.S. Host Institution for use in support of other STScl or NASA research programs.

Otherwise, the equipment and/or computing devices may transfer with the Fellow to another U.S. institution. For authorized equipment with a per-unit cost of \$5,000 or more, the new institution must accept title to and responsibility for the equipment by submitting a Special Request through STGMS.

F. Other Direct Costs

The Host Institution may carry over funds from unexpended direct costs (with the exception of Stipend, Fringe Benefits, Relocation, and NHFP Symposium travel) into subsequent years. These funds would be in addition to the new allocation of direct costs. At the end of the 36-month term, all unexpended funds must be returned to STScl.

Section 8: Continuing Fellows

The NASA Hubble Fellowship Program Office conducts an annual review based primarily on the Fellow's level of scientific activity and achievement (as reflected in the items listed below).

Required documents due by May 31st:

Document:	Responsibility:	Submission location:	Description:
Interim Performance Report (<i>Template provided in Appendix A</i>)	Fellow	STGMS via Faculty Contact	The Fellow must describe scientific research activities from the start of the Fellowship, including a publications list.
Annual Faculty Contact Assessment	Faculty Contact	STGMS via Faculty Contact	The Faculty Contact must assess the Fellow's research performance during the year and affirm their support to renew the subsequent year.

Upon review and approval of the documents, the NHFP Office will notify continuing Fellows of their renewal. In the event that the Fellow's scientific activity is determined to be inadequate, the Fellowship would be subject to termination at the end of the current year.

Section 9: Changes in Host Institution

Each Fellow must be in residence at the Host Institution throughout the full 36-month Fellowship term. Under special circumstances, a Fellow may relocate to an Institution other than the original Host Institution. A written request and justification for a transfer must be submitted to the NHFP Office with a copy to STScI Grants Administration, and may be subject to approval from the STScI Director.

Upon approval, the grant at the current Host Institution will be closed, and will subsequently be awarded to the new Host Institution. In general, STScI will not approve a transfer request if the new Host Institution has already accepted a new Hubble Fellow for the current year.

Section 10: Early Termination of the Fellowship

If a Fellow terminates prior to the end of the 36-month period, the following information must be submitted to the NHFP Office and to STScI Grants Administration:

- A. Minimum 30-day notice of the intent to resign the Fellowship.
- B. Letter of resignation to the Faculty Contact at the Host Institution, with copies to the NHFP Office and to STScI Grants Administration. The letter must include a brief reason for the resignation and the effective date of the resignation. Email PDF copies are preferred.
- C. List of other STScI grants on which the Fellow is the PI (Science or Administrative).
- D. Name of new institution.

STScI will modify the end date of the Fellowship grant to the effective date of resignation, and will provide a list of final reports required to close the grant.

If the Fellow is moving to a non-U.S. institution, all equipment and/or computing devices purchased to support the Fellow's research program must remain at the U.S. Host Institution for use in support of other STScI or NASA research programs (*See Section 7-E*). Otherwise, the equipment and/or computing devices may transfer with the Fellow to another U.S. institution. For authorized equipment with a unit cost of \$5,000 or more, the new institution must accept title to and for responsibility the equipment by submitting a statement using the Special Request in STGMS.

Section 11: Final Year and Closeout of the Fellowship

All expenditures must be incurred prior to the end date of the Fellowship. All unexpended funds must be returned to STScI.

At the end of the third Fellowship year, the following Final Reports are required (*due dates for the final reports are included in the grant award and amendment documents*):

Document:	Responsibility:	Submission location:	Description:
Final Performance Report	Fellow	STGMS via Faculty Contact	The Fellow must describe scientific research activities during the 3-year grant period.
Final Faculty Contact Assessment	Faculty Contact	STGMS via Faculty Contact	The Faculty Contact must assess the Fellow's research performance throughout the 3-year term.
Final Financial Report	Host Institution	STGMS	All expenses must be incurred prior to the end date of the Fellowship.
Final Equipment Report (<i>Template provided in Appendix C</i>)	Host Institution	STGMS	All equipment approved by STScI and purchased with Hubble Fellowship funds must be reported on the Final Equipment report. Negative reports are required.
New Technology Report	Host Institution	STGMS	Were there inventions or new technology initiatives resulting from the grant? If not, state "none" on the New Technology Report.

What is considered new technology?

Any invention, discovery, improvement, or innovation of the awardee, whether or not patentable or otherwise protectable under Title 35 of the United States Code, made in the performance of any work under any STScI award or in the performance of any work that is reimbursable under any term and condition in any STScI award providing for reimbursement of costs incurred before the effective date of the award. Reportable items include, but are not limited to, new processes, machines, manufactures, and compositions of matter, and improvements to, or new applications of, existing processes, machines, manufactures, and compositions of matter. Reportable items also include new computer programs, and improvements to, or new applications of, existing computer programs, whether or not copyrightable or otherwise protectable under Title 17 of the United States Code.

Section 12: Publications and Other Research Accomplishments

STScI anticipates that the Fellow will publish their research results in refereed literature. Each publication must include the following acknowledgments:

- A. "Support for this work was provided by NASA through the NASA Hubble Fellowship grant # _____ awarded by the Space Telescope Science Institute, which is operated by the Association of Universities for Research in Astronomy, Inc., for NASA, under contract NAS5-26555."
- B. NASA Hubble Fellows must identify themselves, as such, in a footnote attached to their names on the title page of each publication.

In addition, Fellows must keep the NHFP Office informed of their research projects, special discoveries, awards, or other significant developments, as they occur.

Section 13: No Cost Extension

A No Cost Extension may be requested to allow payment of page charges for papers that were submitted to a journal prior to the end of the Fellowship.

- Notify STScI Grants Administration at least 30 days prior to the end of the award providing the name(s) and author(s) of the paper(s) and date(s) submitted.
- If an extension is approved, ***only the due date for the Final Financial Report will be revised***. Due dates for all other final reports (e.g. Final Performance Report, Final Faculty Contact Assessment, Final Equipment Report, and New Technology Report) will not change.

Section 14: Family and Medical Leave

If leave is required for situations such as a serious health condition, and/or the birth/adoption of a child during the 36-month Fellowship term, the Fellow will follow their Host Institution's Family and Medical Leave Act (FMLA) policies.

STScI will approve an extension to the fellowship grant period of performance by the amount of time of the approved leave; however, the NASA Hubble Fellowship Program will not provide additional funds for stipend, health insurance, benefits, etc.

STScI Grants Administration must be notified of, and approve requests for all leaves of absence. If the request is for other than medical, STScI requires that the Fellow provide information regarding their planned activities during their absence.

Section 15: Current and Pending Support

A Current and Pending Support document for the Fellow must be included with the budget submission. *Submit the current and pending support document as a PDF through STGMS.*

The following information is required:

- Funding Source
- Amount Awarded
- Number of months of PI Salary
- Project Period
- Project Title

If there is no other current and pending support, simply state that on the document.

Section 16: Budget Worksheet

This budget worksheet outlines allowable budget items and the maximum amounts per cost category. Year 1 Fellows must indicate the requested start date for the grant in the budget justification and in the STGMS budget, Item 11 A.

2018 – 2019 Academic Year	
Fellowship Stipend	
<i>1st Year Fellow</i>	\$68,500
<i>2nd Year Fellow</i>	\$69,000
<i>3rd Year Fellow</i>	\$69,500
Fringe Benefits - must be allocated in accordance with Section 7. No Indirect Cost rate or other type of fees may be applied.	
Other Direct Costs - Professional travel, supplies & materials, computer services, equipment, publication costs, etc.	
<i>1st Year Fellow</i>	\$19,000
<i>2nd Year Fellow</i>	\$14,500
<i>3rd Year Fellow</i>	\$14,500
Relocation Costs (<i>1st Year Fellows only</i>)	\$7,500
Enter costs in the "Other" category	
Symposium Travel	\$2,500
Enter costs in the "Other" category	
Indirect Costs (applicable to Items 3, 4, and 5 only, based on a federally negotiated Indirect Cost rate)	[Rate x (Items \$___3+4+5)]

Appendix A: Interim/Final Performance Report Template

Grant # HST-HF2
Contract Number NAS5-26555
Title

Investigator
Institution
Institution ID
Scientific PI
Start Date
End Date
Request Date
Submitter
Reporting Period

Hubble Fellowship Program

Summary Of Project Activities

1. Brief description of the primary objectives and scope of the project

2. Brief description of the findings

- Interim - Include a brief description of research plans for the upcoming year.
- Section should be 1 page in length (minimum)

3. Name and date (or anticipated date) of the publication of results

4. Suggestions and additional comments

- List conferences and scientific meetings attended, talks given by the Fellow, observing trips taken, and any other relevant scientific activities.

Dr. Andrew Fruchter
Hubble Fellowship Program Office

Email: fruchter@stsci.edu
Copy to: gms_mail@stsci.edu

DEADLINES for Performance Reports and Faculty Contact letters are:

Annual Performance Report and Faculty Contact Letter:

May 31 each year for the first two years of the fellowship.

Final Performance Report and Final Faculty Contact Letter:

90 days after the end of the Fellowship appointment.

Appendix B: Faculty Contact Assessment Example

Final Faculty Contact Assessment

Grant #
Contract Number
Title
Investigator
Institution
Institution ID
Scientific PI
Start Date
End Date
Request Date
Submitter

Reporting Period To

Hubble Fellowship Program

In the space below, the Faculty Contact, who is also the Principal Investigator for the grant, must assess the Fellow's research performance throughout the 3-year term of the Fellowship.

Upon submission, STGMS will automatically send a copy of this assessment to the Hubble Fellowship Program Director and to the Grants Administration Office.

Appendix C: Prior Approval Templates

Travel:

- 1) Obtain Faculty Contact approval for foreign travel by email.
- 2) Send an email to gms_mail@stsci.edu requesting prior approval for the foreign travel

The following information is required to obtain STScI approval:

Request Date:

Destination(s):

Dates:

Travel Details:

Purpose of the trip(s):

Total Estimated Cost:	\$
Airfare	\$0
Lodging	\$0
Meals & Incidentals	\$0
U.S. Ground Transportation	\$0
Foreign Ground Transportation	\$0
Miscellaneous (Conference Fee, Visa, etc.)	\$0

Note: Requests for prior approval for a collaborator must include a justification detailing the need for the collaborator to travel in place of the Fellow.

STScI Grants Administration will review the information provided and issue official approval by email.

Equipment/Computing Device:

- 1) Obtain Faculty Contact approval via email for equipment/computing device purchase.
- 2) Send an email to gms_mail@stsci.edu requesting prior approval for the equipment/computing device purchase

Include the following information:

- Description of the equipment (e.g. manufacturer's name, model number, etc.)
- Estimated purchase price
- Faculty Contact approval, email documentation

STScI Grants Administration will review the information provided and issue official approval by email.