



National Science Foundation Update – August 2013

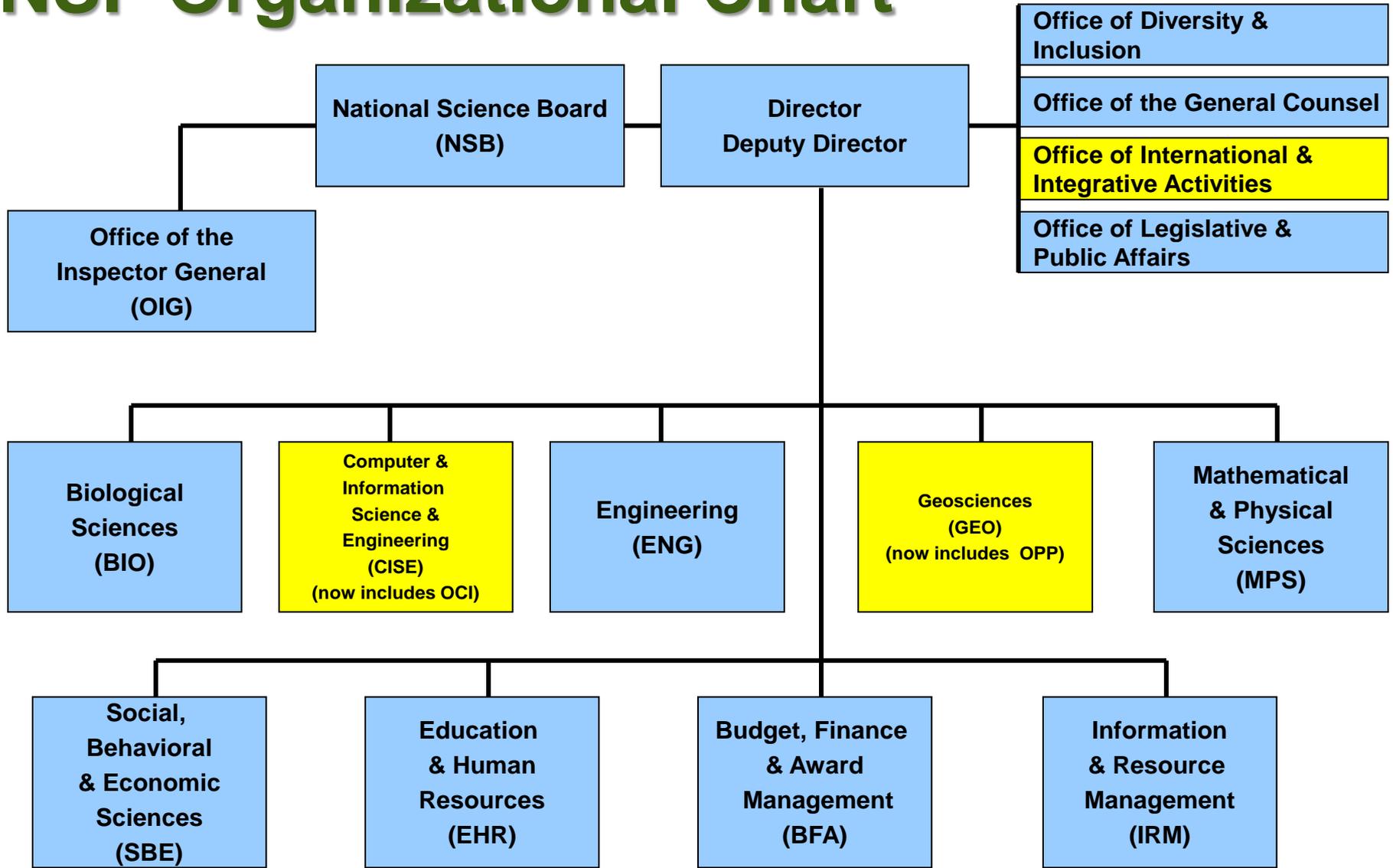


Topics

- Personnel Update
- FY 2013 Sequestration
- FY 2014 Budget Request
- ARRA Acceleration – What You Need to Know
- Open Access
- NSF Career-Life Balance Initiative
- Policies and Procedures Update
- Automated Compliance Checking for Proposals
- RPPR Implementation
- Research.gov Updates
- NSB Task Force on Administrative Burdens Update



NSF Organizational Chart



Personnel Update

- President Obama intends to nominate Dr. France Córdoba as NSF Director
- Dr. Cora Marrett appointed Acting Director, NSF
- Dr. Pramod P. Khargonekar appointed Assistant Director, Directorate for Engineering
- Dr. Roger M. Wakimoto appointed Assistant Director, Directorate for Geosciences
- Dr. F. Fleming Crim appointed Assistant Director, for Mathematical & Physical Sciences
- Dr. Wanda Ward appointed Head, Office of International & Integrative Activities



FY 2013 Sequestration

- NSF Guiding Principles (NSF Important Notice 133, 7/17/2013 update):
 - Protect commitments to NSF's core mission and maintain existing awards;
 - Protect the NSF workforce; and
 - Protect science, technology, engineering, and mathematics (STEM) human capital development programs.
- Total NSF Sequestration Reduction: \$356 million



FY 2013 Sequestration: Impact

- Make fewer new awards in FY 2013;
- Fully fund existing continuing grant increments in FY 2013;
- Fully fund major research equipment and facilities construction projects;
- Postpone/cancel competitions for some programs and solicitations; and
- No NSF staff furloughs.



NSF FY 2014 Congressional Marks

(dollars in millions)

	FY 2014 Request	House Mark	Senate Mark	FY 2014 House Mark		FY 2014 Senate Mark	
				Amount	Percent	Amount	Percent
Research & Related Activities	\$6,212	\$5,676	\$6,018	-\$536	-9%	-\$194	-3%
Education & Human Resources	880	825	880	-55	-6%	-	-
Major Research Equipment & Facilities Construction	210	183	210	-28	-13%	-	-
Agency Operations & Award Management	304	294	298	-10	-3%	-6	-2%
National Science Board	4	4	4	<-1	-8%	-	-
Office of Inspector General	14	13	14	-1	-8%	-	-
Total, NSF	\$7,626	\$6,995	\$7,426	-\$631	-8%	-\$200	-3%

Totals may not add due to rounding.



NSF FY 2014 Congressional Marks

(dollars in millions)

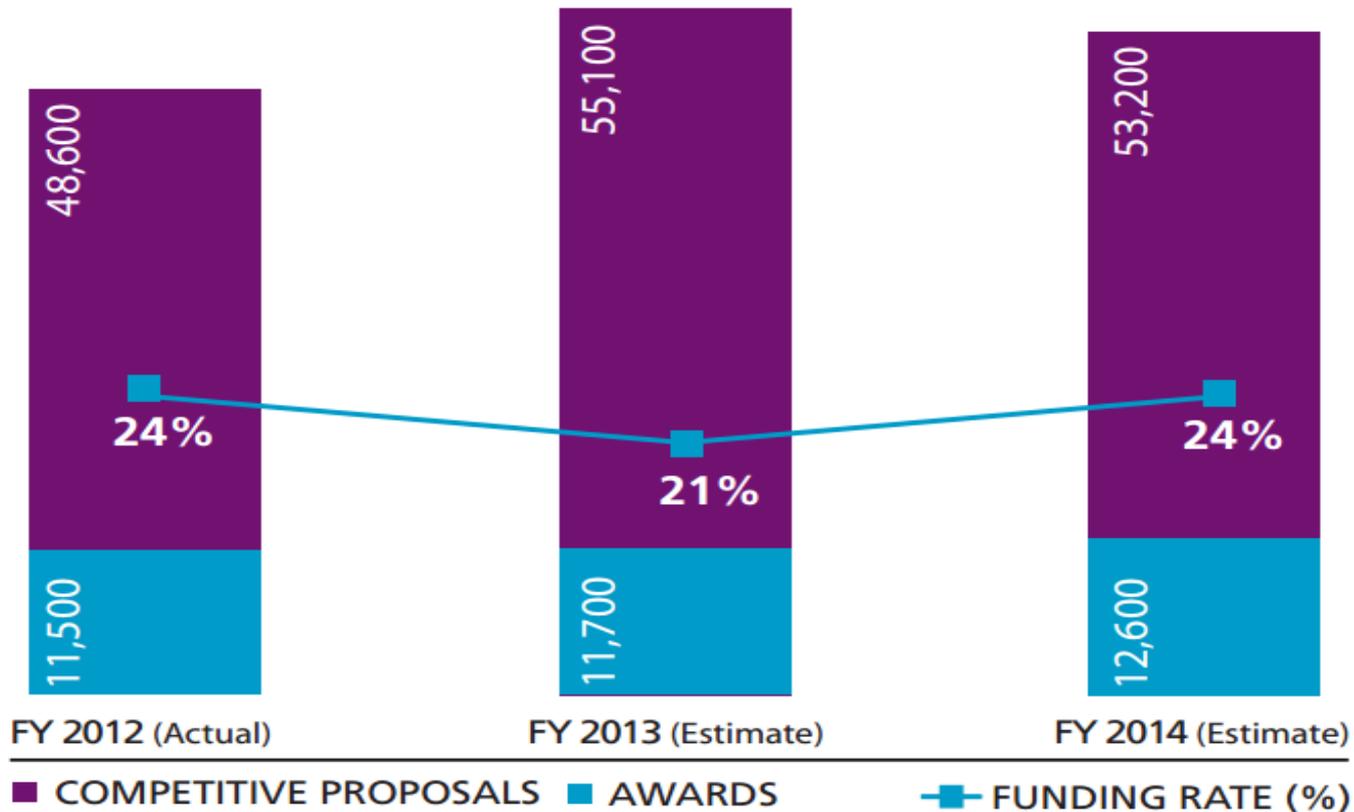
	FY 2013			FY 2014 House Mark		FY 2014 Senate Mark	
	Current Plan	House Mark	Senate Mark	Amount	Percent	Amount	Percent
Research & Related Activities	\$5,544	\$5,676	\$6,018	\$132	2%	\$475	9%
Education & Human Resources	833	825	880	-8	-1%	47	6%
Major Research Equipment & Facilities Construction	196	183	210	-14	-7%	14	7%
Agency Operations & Award Management	294	294	298	<1	<1%	5	2%
National Science Board	4	4	4	<-1	<0%	<1	8%
Office of Inspector General	13	13	14	<1	<1%	1	9%
Total, NSF	\$6,884	\$6,995	\$7,426	\$111	2%	\$542	8%

Totals many not add due to rounding.



NSF Funding Profile

NSF Funding Profile, FY 2012–FY 2014



Note: Information presented for FY 2012 reflects actuals for that year. The estimated number of awards for FY 2013 is based on the FY 2012 enacted level.



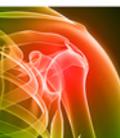
ARRA Acceleration: What's Left??

- **Update:**
 - All awardees were notified in March of their status – whether or not their award was included NSF's request for waiver and verbal approval by OMB.
 - OMB officially approved NSF's waiver request on 4/29/13 for CAREER, Noyce Scholarship Program, and select set of other awards meeting the requirements of OMB Memo 11-34 (email on waiver approval was sent to awardees on 6/18).
 - Acceleration reminders for all non-waiver awards with balances >\$0 were sent in June and July.
 - Additional information regarding closeout will go out in August on all non-waiver awards.



ARRA Acceleration: What's Left?? continued

- **What do you need to know about closeout?**
 - Unless your ARRA award has special requirements or limits (e.g., ARI-R²), follow normal closeout procedures – within 90 days of award expiration make all final drawdowns and file final reports including ARRA recipient reporting (see [FAQs](#) on Recovery Act site).
 - Awards that have expired prior to May are in the process of being financially closed by NSF and any remaining balances are being automated de-obligated - extensions cannot be requested to use unspent funds.



ARRA Acceleration: What's Left?? continued

- **Closeout guidance continued**
 - Your award cannot be extended past 9/30/13 – even if approved by the NSF PO (DGA will reverse any such extensions by amendment to the award).
 - ACM\$ will be used to restrict access to funds for any award with an explicit expenditure limitation in the award (e.g., ARI-R²) – notification will be sent by email for applicable awards.
 - Contact NSFARRAreviewer@nsf.gov if you have questions about the email notifications being sent out on the status of your award.



Public Access Plans

- OSTP memo required agencies to develop plans to increase access to publications and data.
Underlying principles:
 - Maintains the importance of peer review and the role of publishers
 - Calls for collaboration among agencies and stakeholder groups
 - Does not specify a funding strategy, allowing for experimentation
 - Does not specify a technical approach but does encourage leveraging existing archives
- Draft plans are due to OSTP and OMB by August 22nd.



Public Access Plans – NSF

- NSF has a history of encouraging data sharing
- January 2011 – data management plan requirement goes into effect
- January 2013 – Datasets can be reported in the biosketch as evidence of expertise
- Datasets (as well as publications) are reported in annual and final reports



Public Access Plans – An Opportunity

- Broaden access to research results in science and technology
- Use information to advance the Foundation's mission to support research and innovation
- Provide a platform for innovation in services and business models as well as in research



NSF Career-Life Balance (CLB) Initiative

- CLB is a 10-year initiative to build on family-friendly practices among individual NSF programs and expand them NSF-wide
- Goals are to help attract, retain, and advance graduate students, postdoctoral students, and early-career researchers in STEM fields.
- Reduce the rate at which women depart from the STEM workforce.
- NSF Career-Life Balance Initiative
 - www.nsf.gov/career-life-balance/



NSF Career-Life Balance (CLB) Supplemental Funding

- Postdoctoral Investigators
 - nsf.gov/pubs/2013/nsf13109/nsf13109.pdf
- Faculty Early Development (CAREER) Program
 - nsf.gov/publications/pub_summ.jsp?ods_key=nsf13075&org=NSF
- Graduate Research Fellowship Program (GRFP)
 - nsf.gov/publications/pub_summ.jsp?ods_key=nsf13099
- ADVANCE: Increasing the Participation and Advancement of Women in Academic Science and Engineering Careers (ADVANCE) - Institutional Transformation (IT) projects
 - nsf.gov/funding/pgm_summ.jsp?pims_id=5383



Automated Compliance Checking

Required Sections of the Proposal

- Project Summary
- Project Description
- References Cited
- Biographical Sketch(es)
- Budget
- Budget Justification
- Current and Pending Support
- Facilities, Equipment & Other Resources
- Supplementary Documentation
 - Data Management Plan
 - Postdoctoral Mentoring Plan (where applicable)



Automated Compliance Checking

FastLane Will / Will Not Check:

- FastLane will check for the presence of GPG-required sections of the proposal
- If a section is not included, FastLane will not permit submission of the proposal
- FastLane will not check:
 - Formatting
 - Page Length (except for Project Summary)
 - Content



Automated Compliance Checking

The Nuances....

- Biographical Sketches & Current and Pending Support
 - FastLane permits the biosketch and current and pending support sections to be uploaded as a single PDF for the PI, co-PI and senior project personnel.
 - For FastLane to accept the proposal, proposers must insert text or upload a document that states, “Not Applicable” for any co-PI or senior person



Automated Compliance Checking

The Nuances....

- Proposal submission instructions that deviate from the GPG will require special attention:
 - Conferences, symposia or workshops;
 - Equipment grants;
 - International travel grants; and
 - Program solicitations, where applicable
- If solicitation submission instructions do not require one of the sections, proposers will need to insert text or upload a document in that section of the proposal that states, “Not Applicable”
 - This will enable FastLane to accept the proposal.



Automated Compliance Checking

Separately Submitted Collaborative Proposals

Lead Organization: Required Sections

- Project Summary
- Project Description
- References Cited
- Biographical Sketch(es)
- Budget
- Budget Justification
- Current and Pending Support
- Facilities, Equipment and Other Resources
- Supplementary Documentation
 - Data Management Plan
 - Postdoctoral Mentoring Plan (if applicable)

Non-Lead Organization: Required Sections

- Biographical Sketch(es)
- Budget
- Budget Justification
- Current and Pending Support
- Facilities, Equipment and Other Resources



Automated Compliance Checking

- Principal Investigators (PI)
 - Will receive warning messages if any of the GPG-required sections are missing
 - Will be able to forward proposal to their organization's SPO
- Sponsored Projects Office (SPO)
 - FastLane will prevent submission from the SPO if any of the GPG-required sections is missing



Automated Compliance Checking

When it does not apply

- Automated compliance checking will not be applied to:
 - Preliminary Proposals; and
 - Supplemental Funding Requests



Automated Compliance Checking

Impact on Grants.gov Proposals

- The *NSF Grants.gov Application Guide* specifies the same general content requirements for proposal submission.
- Grants.gov may allow a proposal to be submitted even if one of the required sections is missing.
- If a section is missing, a proposal may be returned without review.



Anticipated PAPPG Changes

- Conflict of Interest Certification change
- Biographical Sketches
- Participant Support
- Guidance on Visa Costs
- Cost Sharing
- Environmental Impacts Checklist
- Letters of Support versus Letters of Commitment
- International Activities
- Project Reporting – Not Cumulative



You may want to consider attending!!

- Preparing an NSF Proposal: The Good, the Bad and the Ugly on Wednesday morning from 8:30-10:00.
 - This session will provide the dos and the many don'ts of preparing an NSF proposal. Many painful lessons learned will be provided!



NSF Implementation of the Research Performance Progress Report (RPPR)

- Compliant with new OMB-OSTP approved RPPR format and data dictionary
- Fully rolled out in March 2013 in Research.gov for PIs, co-PIs, SPOs
- Replaces annual, interim, and final project reports in FastLane
- Structured data collection



Key Differences of the New Project Report System

- Report pre-population
- PDF upload to support images, charts, and other complex graphics
- Special reporting requirement controlled by solicitation
- PI no longer provides demographic information on significant participants
- Thompson Web of Science
- Person Months Worked



RPPR – Key Points to Remember

- The reports are not intended to be cumulative
- Information is for the specified reporting period
- The last annual report....is the final report!
- For separately submitted collaborative proposals, each separate component must report
- Project Outcome Reports for the General Public **are still required**
- Annual and final reports can not be recalled once an NSF PO has approved it.
- At this time, only PIs and co-PIs have the ability to work on and submit project reports in Research.gov



RPPR – August Enhancements

- Completion Check Report: PIs can run this report to identify any areas within Project Reports that still need to be completed before submittal
- Products Section: Only collect publication year
- Changing certain product fields to “not required” where it makes sense
- Updating warning messages to make them more understandable
- Corrected character counter for report sections
- Corrected list size limitations for products and participants
- Improvements to copy/paste functionality



Award Cash Management Service (ACM\$)

- New awardee payment service in Research.gov
- Fully implemented for NSF Awardee institutions as of June 30, 2013
 - Requires submission of award level payment amounts each time funds are requested
 - Eliminates quarterly Federal Financial Reports (FFR)
 - Implements monthly award financial closeout 90 days after the award expiration date (effective July 2013)
 - ACM\$ Info Page: Go to Research.gov, under “Our Services” click on the link for “Award Cash Management Service”
 - Since January 2013, awardees have processed 4,458 payment transactions comprised of 185k individual award payments totaling \$2.1 billion



More Information and Help on Research.gov

- Research.gov Webinar Series
 - For directions, email webinars@research.gov
- Research.gov Website: [Project Report Info Page](#) (for PIs and SPOs)
- Research.gov Help Desk
 - Rgov@nsf.gov or 1-800-381-1532



NSB Task Force on Administrative Burdens

- Formed in December 2012 to examine burden on PIs and offer recommendations to relieve administrative workload.
- Currently analyzing community responses to Request for Information.
- Report and recommendations expected in December-January.



Ask NSF at NCURA!

On the International Terrace!

- We're here all day to speak with you and answer your specific questions.
- NSF staff will be on hand:
 - Policy and Grants Specialists
 - Cost Analysts and Accountants
 - IT Specialists



Key Documents

- **Proposal & Award Policies & Procedures Guide**

www.nsf.gov/publications/pub_summ.jsp?ods_key=papp

- **Fiscal Year 2014 Budget Request**

www.nsf.gov/about/budget/fy2014/index.jsp

- **NSF Strategic Plan for Fiscal Years 2011-2016**

www.nsf.gov/news/strategicplan/nsfstrategicplan_2011_2016.pdf

- **NSB Report on Merit Review**

www.nsf.gov/nsb/publications/pub_summ.jsp?ods_key=nsb1333



For More Information.....

Ask Early, Ask Often!

policy@nsf.gov

nsf.gov/staff

nsf.gov/staff/orglist.jsp

