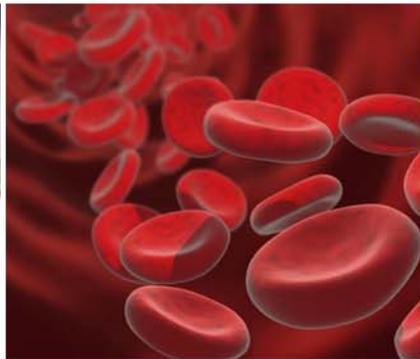




NSF Update

Spring 2011





WHERE DISCOVERIES BEGIN



Contact Information

- **Policy Office; Division of Institution & Award Support; Office of Budget, Finance & Award Management**
 - policy@nsf.gov
 - 703.292.8243



WHERE DISCOVERIES BEGIN



Ask Early, Ask Often!



WHERE DISCOVERIES BEGIN



Topics Covered

- **NSF FY 2012 Budget Request**
- **NSF Proposals & Awards & Funding Rates**
- **American Recovery & Reinvestment Act of 2009**
- **Interdisciplinary Research**
- **Transparency & Accountability**
- **Policy Updates**
- **Key Documents**
- **Conclusion**



WHERE DISCOVERIES BEGIN



NSF in a Nutshell

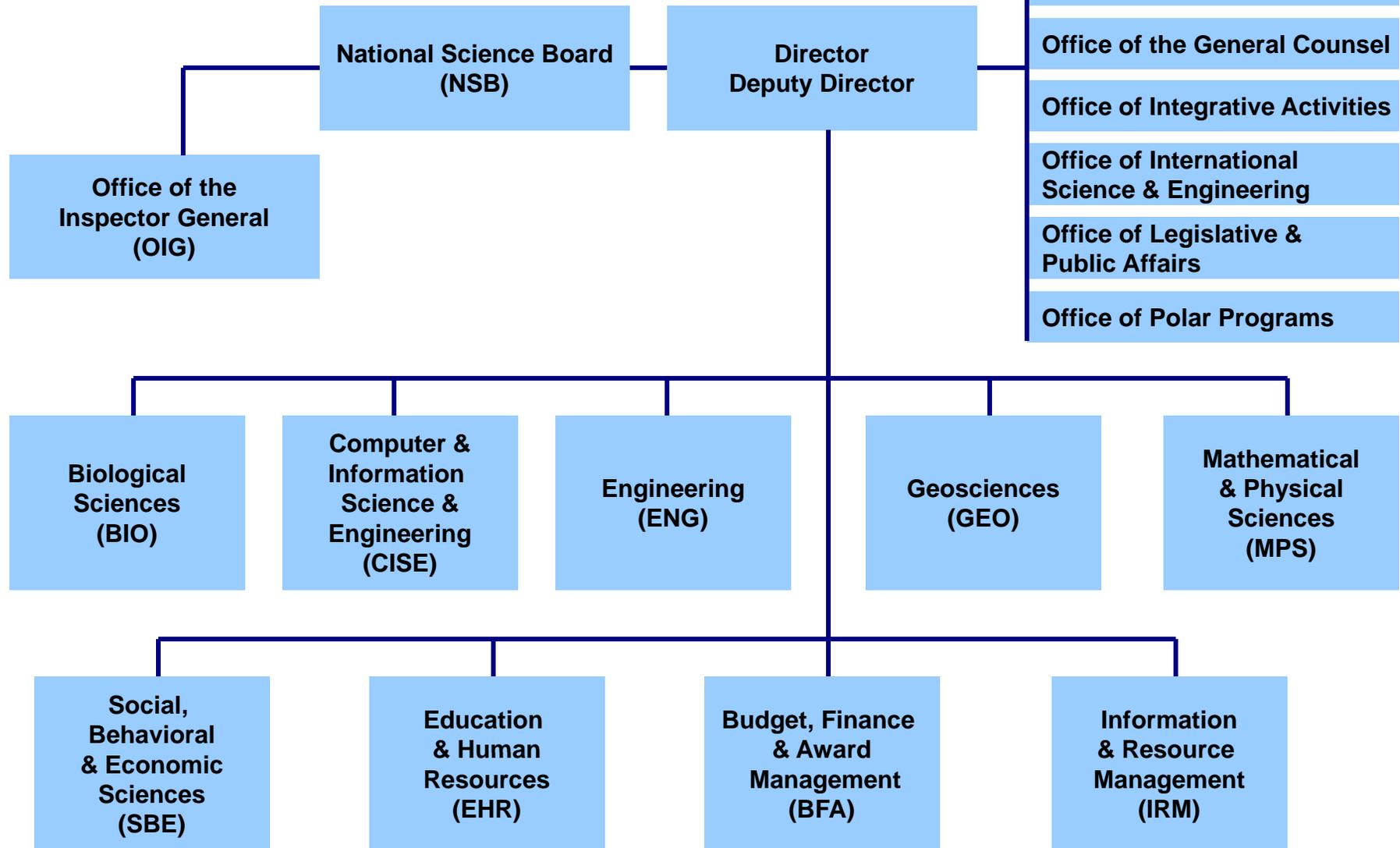
- **Independent Agency**
- **Supports basic research & education**
- **Uses grant mechanism**
- **Low overhead; highly automated**
- **Discipline-based structure**
- **Cross-disciplinary mechanisms**
- **Use of Rotators/IPAs**
- **National Science Board**



WHERE DISCOVERIES BEGIN



How We're Organized





WHERE DISCOVERIES BEGIN



Personnel Changes

- Dr. Subra Suresh confirmed as NSF Director
- Dr. Cora Marrett serving as a Senior Advisor to the NSF Director
- Joan Ferrini-Mundy appointed Assistant Director for Education & Human Resources
- Dr. Machi Dilworth appointed Head, Office of International Science & Engineering
- Dr. Farnam Jahanian appointed Assistant Director for Computer & Information Science & Engineering
- Ms. Amy Northcutt appointed Acting Director of the Office of Information & Resource Management



WHERE DISCOVERIES BEGIN



FY 2011 Appropriations Process

(Dollars in Millions)

	FY 2011 Request	FY 2010 Enacted	FY 2011 Estimate	FY 2011 Request Amt	FY 2011 Pct	FY 2010 Enacted Amt	FY 2010 Pct
R&RA	\$6,019	\$5,564	\$5,510	-\$509	-8.5%	-\$54	-1.0%
EHR	\$892	\$873	\$861	-\$31	-3.5%	-\$12	-1.4%
MREFC	\$165	\$117	\$117	-\$48	-29.1%	\$0	0.0%
AOAM	\$329	\$300	\$299	-\$30	-9.1%	-\$1	-0.3%
NSB	\$5	\$5	\$5	\$0	0.0%	\$0	0.0%
OIG	\$14	\$14	\$14	\$0	0.0%	\$0	0.0%
NSF	\$7,424	\$6,873	\$6,806	-\$618	-8.3%	-\$67	-1.0%

Totals may not add due to rounding

¹ All years exclude transfers of \$54 million for US Coast Guard Icebreakers. The FY 2011 Estimate includes an across-the-board rescission of .2 percent.



WHERE DISCOVERIES BEGIN



FY 2012 Request vs. FY 2010 Enacted

(Dollars in Millions)

**Difference between
FY 2010 Enacted and
FY 2012 Request**

	FY 2010 Enacted	FY2012 Request	Amount	Percent
R&RA	\$ 5,564	\$ 6,254	\$ 690	12%
EHR	873	911	38	4%
MREFC	117	225	107	92%
AOAM	300	358	58	19%
NSB	5	5	0	7%
OIG	14	15	1	7%
Total, NSF	\$ 6,873	\$ 7,767	\$894	13%

Totals may not add due to rounding



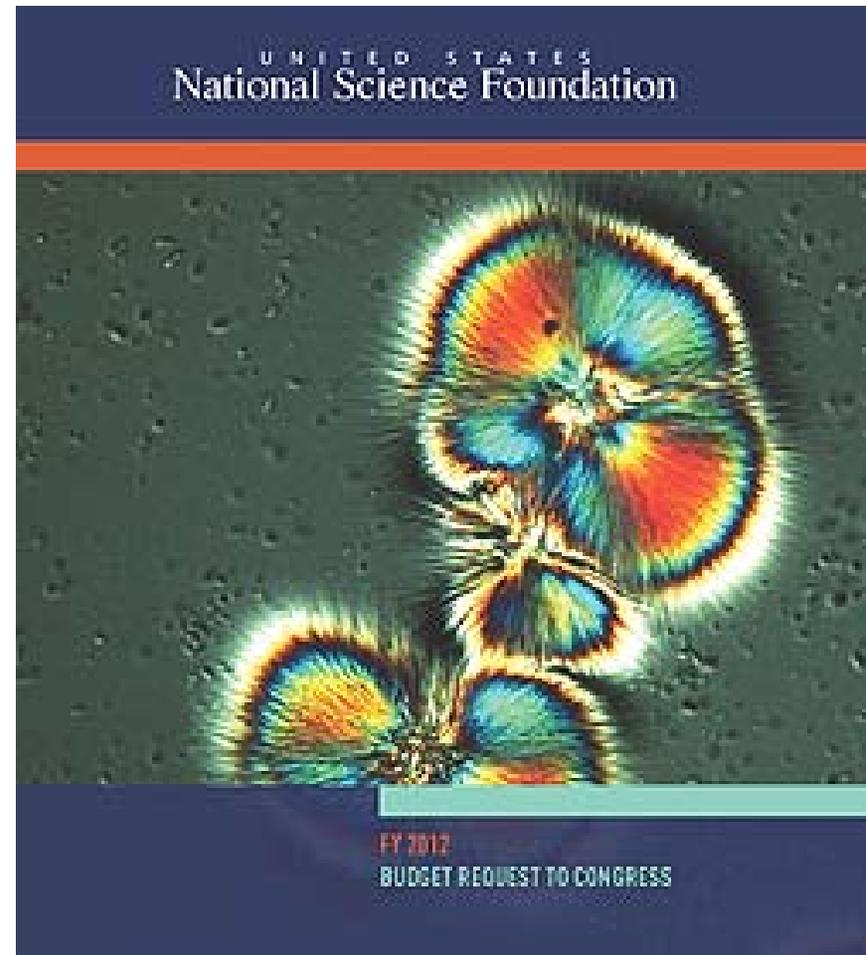
WHERE DISCOVERIES BEGIN



FY 2012 Budget Request

The Three Pillars of Innovation

- Invest in the Building Blocks of American Innovation
- Promote Competitive Markets that Spur Productive Entrepreneurship
- Catalyze Breakthroughs for National Priorities





WHERE DISCOVERIES BEGIN



Invest in the Building Blocks of American Innovation

Request	FY 2012 Request
Fundamental Research	R&RA +12% / R&D +16%
Growth in research awards	+ 2,000
Integrated NSF Support Promoting Interdisciplinary Research and Education (INSPIRE)	\$12 M
Science and Engineering Beyond Moore's Law (SEBML)	\$97 M
Research at the Interface of the Biological, Mathematical, and Physical Sciences (BioMaPS)	\$76
Faculty Early Career Development Program (CAREER)	\$222 M
Graduate Research Fellowship Program (GRF)	\$198 M



WHERE DISCOVERIES BEGIN



Invest in the Building Blocks of American Innovation

Request	FY 2012 Request
STEM Education Programs	
Community Colleges	\$100 M
Teacher Learning for the Future (TLF)	\$20 M
Transforming Broadening Participation through STEM (TBPS)	\$20 M
Widening Implementation and Demonstration of Evidence-based Reforms (WIDER)	\$20



WHERE DISCOVERIES BEGIN



Promote Competitive Markets that Spur Productive Entrepreneurship

Request	FY 2012 Request
Advanced Manufacturing	\$190 M
Enhancing Access to the Radio Spectrum (EARS)	\$15 M
Engineering Research Centers (ERC) and Industry/University Cooperative Research Centers (I/UCRC)	\$96 M
Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR)	\$147 M
Wireless Innovation (WIN) Fund <ul style="list-style-type: none">•\$1 billion over five years (mandatory spending)• \$150 million in FY 2012	



WHERE DISCOVERIES BEGIN



Catalyze Breakthroughs for National Priorities

Request	FY 2012 Request
Cyberinfrastructure Framework for 21 st Century Science and Engineering (CIF21)	\$117 M
Science, Engineering, and Education for Sustainability (SEES)	\$998 M
Clean Energy	\$576 M
National Nanotechnology Signature Initiatives	\$117 M
National Robotics Initiative (NRI)	\$30 M



WHERE DISCOVERIES BEGIN



FY 2012 Budget Request: Major Research Equipment and Facilities Construction

- **Advanced Laser Interferometer Gravitational-Wave Observatory (AdvLIGO)**
- **Advanced Technology Solar Telescope (ATST)**
- **Atacama Large Millimeter Array (ALMA)**
- **National Ecological Observatory Network (NEON)**
- **Ocean Observatories Initiative (OOI)**



WHERE DISCOVERIES BEGIN



FY 2012 Budget Request: Terminations & Reductions

- **Terminations:**

- **Deep Underground Science and Engineering Laboratory (DUSEL)**
- **Graduate STEM Fellows in K-12 Education (GK-12)**
- **National STEM Distributed Learning Program (NSDL)**
- **Research Initiation Grants to Broaden Participation in Biology (RIG-B)**
- **Synchrotron Radiation Center (SRC)**

- **Reductions:**

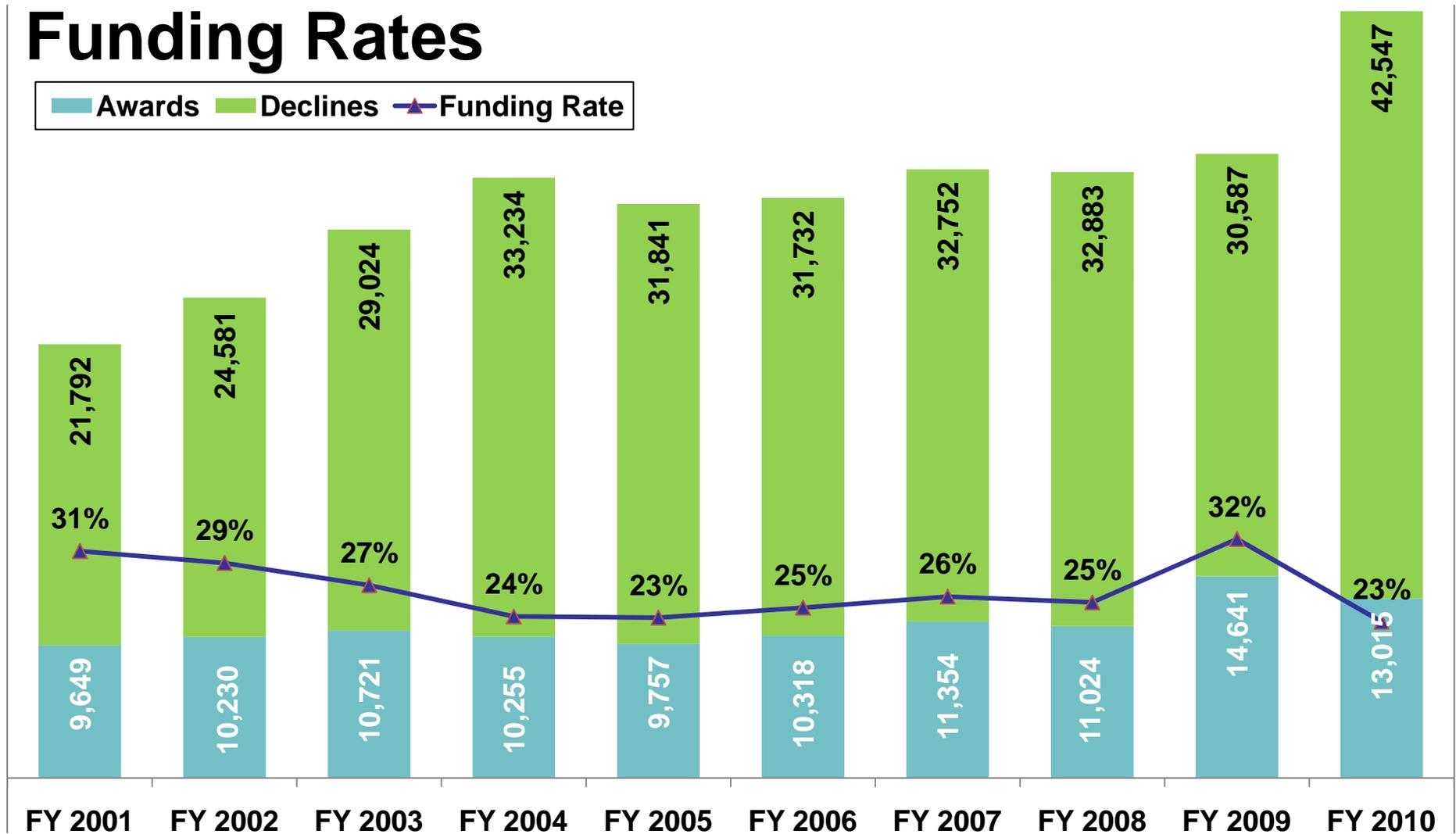
- **Science of Learning Centers (SLC)**



WHERE DISCOVERIES BEGIN



NSF Competitive Awards, Declines & Funding Rates

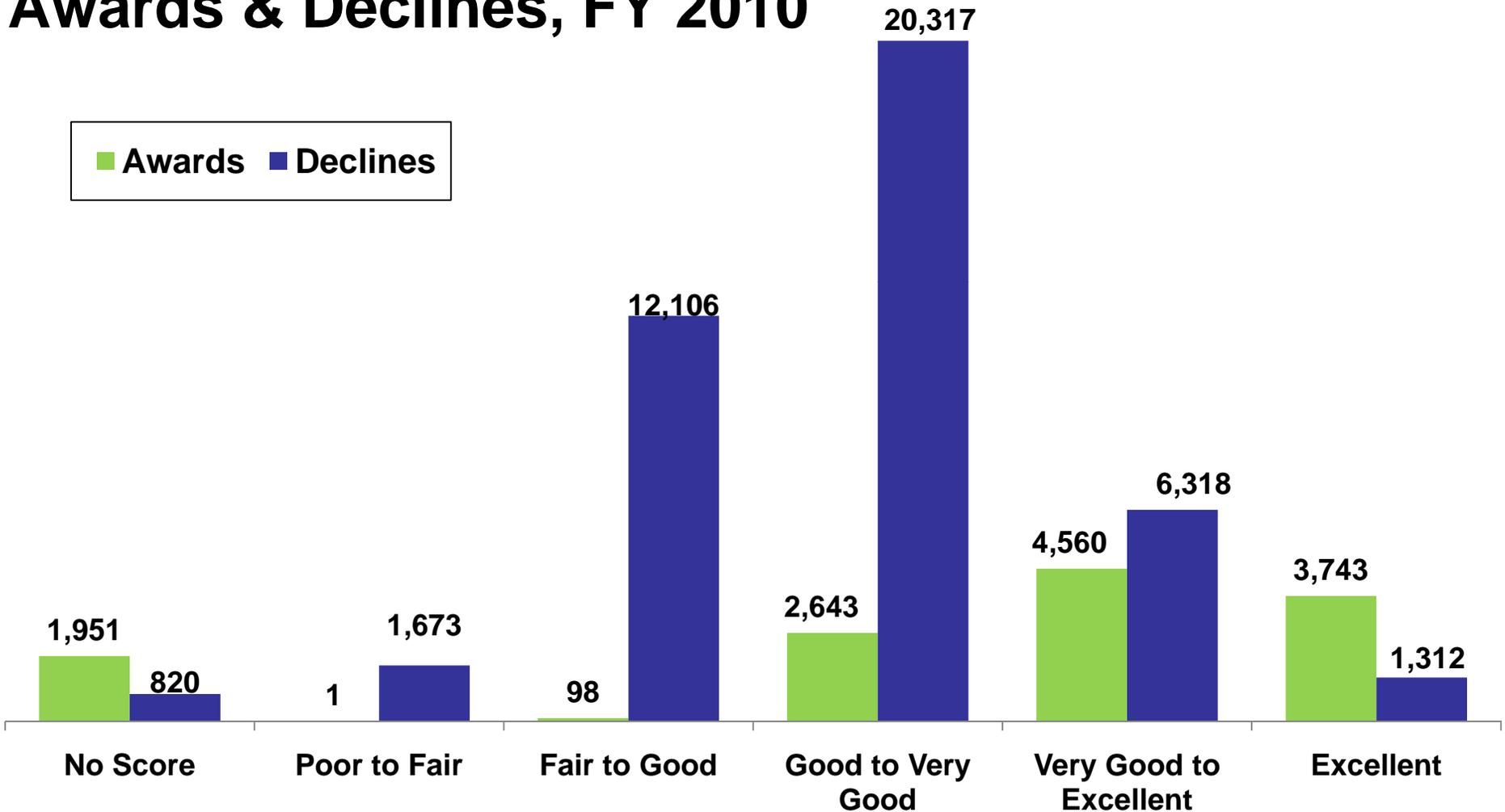




WHERE DISCOVERIES BEGIN



Distribution by Average Reviewer Ratings for Awards & Declines, FY 2010





WHERE DISCOVERIES BEGIN



Interdisciplinary Research (IDR)

- Important research ideas often transcend the scope of a single discipline or program.
- NSF gives high priority to promoting interdisciplinary research and supports it through a number of specific solicitations.
- NSF encourages submission of unsolicited interdisciplinary proposals for ideas that are in novel or emerging areas extending beyond any particular current NSF program.

The screenshot shows the NSF website's 'Interdisciplinary Research' page. At the top is the NSF logo and the tagline 'WHERE DISCOVERIES BEGIN'. A search bar is located in the top right corner. Below the header is a navigation menu with links for HOME, FUNDING, AWARDS, DISCOVERIES, NEWS, PUBLICATIONS, STATISTICS, ABOUT, and FastLane. The main content area is titled 'Introduction to Interdisciplinary Research'. On the left, there is a sidebar with a list of links: Introduction, Definition, Sources of Support, Contact Options, Points of Contact, What To Submit, and FAQs. The main text explains that NSF recognizes the value of interdisciplinary research in pushing fields forward and accelerating scientific discovery. It states that important research ideas often transcend the scope of a single discipline or program. NSF also understands that the integration of research and education through interdisciplinary training prepares a workforce that undertakes scientific challenges in innovative ways. Thus, NSF gives high priority to promoting interdisciplinary research and supports it through a number of specific solicitations. NSF also encourages researchers to submit unsolicited interdisciplinary proposals for ideas that are in novel or emerging areas extending beyond any particular current NSF program. Below the text is a photograph of a person interacting with a large, colorful, 3D visualization of a protein structure on a wall. A caption below the photo reads: 'A virtual reality wall displays interactive visualizations of proteins. Credit: Jurgen Schulze, UC-San Diego'. At the bottom right, there is a small photograph of three people in a laboratory setting.



WHERE DISCOVERIES BEGIN



Transparency & Accountability Administration Priorities



WHERE DISCOVERIES BEGIN



Focus on “Open Government”

Core Principles:

- Transparency
- Participation
- Collaboration

Open Government Policy:

- The President’s Memorandum on Transparency and Open Government (Jan 21, 2009)
- A Strategy for American Innovation: Driving Towards Sustainable Growth and Quality Jobs
- The Open Government Directive



“My Administration is committed to creating an unprecedented level of openness in Government. We will work together to ensure the public trust and establish a system of transparency, public participation, and collaboration. Openness will strengthen our democracy and promote efficiency and effectiveness in Government.”

- President Barack Obama



WHERE DISCOVERIES BEGIN



Government-wide efforts: Transparency



- USA Spending.gov: Financial Transparency
- Recovery.gov: Tracking Economic Stimulus Spending
- Data.gov: One Stop Data Sharing Platform
- IT Dashboard: Visualizing Technology Spending

“Transparency promotes accountability by providing the public with information about what the Government is doing.”

OMB Memo on Open Government, Dec. 8, 2009



WHERE DISCOVERIES BEGIN



NSF Efforts - Transparency

The collage shows four overlapping screenshots of NSF-related websites:

- Grants.gov:** The top screenshot shows the Grants.gov homepage with the NSF logo and navigation links like 'HOME', 'FUNDING', 'AWARDS', etc.
- National Science Foundation:** The second screenshot shows the NSF website with a search bar and navigation menu.
- Data.gov:** The third screenshot shows the Data.gov website with a search bar and navigation links like 'HOME', 'CATALOGS', 'STATE/LOCAL', etc.
- Research.gov:** The bottom screenshot shows the Research.gov website with a banner for 'Why should I Use Research.gov?' and a 'Services' section listing various grant management tools.

- Grants.gov
- NSF Recovery.gov
- Data.gov: NSF Datasets
- Research.gov



WHERE DISCOVERIES BEGIN



Current Research.gov Services

Public Facing Services:

- Research Spending & Results
- Policy Library (Government-wide)
- Research Headlines & Events
- SEE Innovation (New!)



Research Community Services:

- Project Outcomes Report for the General Public Federal Financial Reports
- Grants Application Status
- Manage institution and user accounts
- Application Submission Web Service (now in pilot)
- InCommon (now in pilot)
- Research Performance Progress Reports (planning stage)



Personalization enhancements

Research.gov POWERING KNOWLEDGE AND INNOVATION

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January 26, 2011

LOGIN AS
NSF Visitor | Login
How Do I Login? | Register

Who We Are
Service Offerings
News
SEE Innovation

APPLY FOR GRANTS
Grants.gov
NSF FastLane
NASA Inspires

FEEDBACK
Tell Us What You Think

New! Discover the Outcomes of NSF's Science, Engineering & Education Innovation
Click here to SEE Innovation >>

Our Services
Welcome to Research.gov! We have a new look and feel and exciting new and enhanced services. Select a service from the list below to find out more.

- Research Spending & Results**
Find Recovery Act Awards made by NSF. Here you can also find information about how NSF and NASA grant award dollars are being spent, what research is being performed, and how the outcomes of the research are benefiting society.
- Policy Library**
An electronic library that consolidates Federal and agency-specific policies, guidelines and procedures for use by Federal agencies and the awardee community. Agency-specific documents are included only for Research.gov partner agencies.
- Grants Application Status**
Principal Investigators and Sponsored Projects Office staff can check the status of grant applications, from submission to decision, submitted to NSF and USDA/NIFA. Account Required.
- Federal Financial Report**
Institutions can prepare and submit grant financial reports to NSF using the new government-wide standard form. Account Required.
- Project Outcomes Report**
New! Principal Investigators can prepare and submit the Project Outcomes Report for the General Public, a brief summary for the public that describes the intellectual merit and broader impacts of their NSF-funded research project.
- Application Submission Web Services Pilot**
The Application Submission Web Services pilot enables Sponsored Projects Office staff (SPOs) and Principal Investigators (PIs) to prepare and submit applications directly to NSF using their institutions' systems.
- Institution and User Management**
Institution Administrators can manage profiles and permissions for their institutions and users. Account Required.

RECOVERY.GOV
Learn More About the American Recovery and Reinvestment Act of 2009.
Learn More

Events
March 4 - 6, 2011
ICUBA Financial Research Administration (FRA) 17 Conference
March 21 - 22, 2011
NSF Regional Grants Conference
March 27 - 30, 2011
S&A Southern/Northeast Section Meeting Conference
View All Events

My Weather
39°F Cloudy
Arlington, VA
Tue, 25 Jan 2011 11:51 am EST
Enter Zip Code: [input] go



WHERE DISCOVERIES BEGIN



Policy Update Topics

- America COMPETES Act (ACA) Provisions
 - Responsible Conduct of Research
 - Reporting of Research Results
 - NSF Cost Sharing Policy
 - ACA Reauthorization and NSF Merit Review Criteria
- NSF Data Management Plan Requirements
- FFATA Subrecipient Reporting
- Grant-by-Grant Payments
- Primary Place of Performance
- ARRA Update
- Research Performance Progress Report
- Key Documents



WHERE DISCOVERIES BEGIN



Responsible Conduct of Research (RCR)

- Institution must certify it has a plan to provide appropriate training and oversight in the responsible and ethical conduct of research
- NSF funding of National Center for Professional & Research Ethics



<http://www.csl.uiuc.edu/ethics-center>



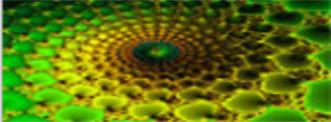
WHERE DISCOVERIES BEGIN



Responsible Conduct of Research (RCR)

- Federal Register Notices
- FAQs
- International Research Integrity

Office of Budget, Finance and Award Management (BFA)



[DIAS Home](#)
[CAAR Branch](#)
[Policy Office](#)
[Systems Office](#)
[View DIAS Staff](#)

Search DIAS Staff
 

BFA Organization

- [Office of Budget, Finance, & Award Management](#)
- [Budget Division](#)
- [Division of Acquisition and Cooperative Support](#)
- [Division of Financial Management](#)
- [Division of Grants & Agreements](#)
- [Division of Institution & Award Support](#)

Responsible Conduct of Research (RCR)

This page provides resources on NSF's implementation of Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act. The responsible and ethical conduct of research (RCR) is critical for excellence, as well as public trust, in science and engineering. Consequently, education in RCR is considered essential in the preparation of future scientists and engineers.

Statutory Requirement

"The Director shall require that each institution that applies for financial assistance from the Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project."

- **Federal Register Notices**
 - [NSF's Implementation of Section 7009 of America COMPETES Act](#)
 - [NSF's Proposed Implementation of Section 7009 of America COMPETES Act](#)
- [RCR Implementation in the Grant Proposal Guide \(GPG\)](#)
- [RCR Implementation in the Award & Administration Guide \(AAG\)](#)
- [RCR Frequently Asked Questions \(FAQs\)](#)
- [International Research Integrity](#)
- NSF-funded Resources
 - [Coordinated Science Laboratory](#)
 - [Ethics in Science and Engineering National Clearinghouse](#)
 - [Online Ethics Center Enhancements and America COMPETES](#)

<http://www.nsf.gov/bfa/dias/policy/rcr.jsp>



WHERE DISCOVERIES BEGIN



Project Outcomes Report for the General Public

- Effective for new awards, and funding amendments to existing awards, made on or after January 4, 2010.
 - New functionality implemented on Research.gov in August 2010.
- Report is prepared in and submitted via Research.gov.
- PIs are required to prepare a brief summary (200-800 words) specifically for the public on the nature and outcomes of the award.
 - Updated email notifications to more clearly articulate new requirement to PIs.
- Report is published on Research.gov – Research Spending & exactly as it is submitted.
- Report is not reviewed or approved by NSF.





WHERE DISCOVERIES BEGIN



Project Outcomes Report Contents

- Report Should Contain:
 - Outcomes/findings that address the intellectual merit and broader impacts of the NSF-funded activity.
 - Products that have resulted from the award should also be listed (collections, data sets, software, etc.).
 - All publications that are provided in FastLane are automatically included.



WHERE DISCOVERIES BEGIN



Project Outcomes Report Contents

- Report should NOT contain:
 - Confidential, proprietary business information.
 - Unpublished conclusions or data that could compromise ability to publish results.
 - Invention disclosures that might adversely affect patent rights.
 - Private Personally identifiable information.



WHERE DISCOVERIES BEGIN



Find More Information about the Project Outcomes Report

Research.gov POWERING KNOWLEDGE AND INNOVATION

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Who We Are

Service Offerings

- Research Spending & Results
- Policy Library
- About Grants Application Status
- About Federal Financial Reports
- About Project Outcomes Reports**
- About Application Submission
- About User Management

About the Project Outcomes Report for the General Public

Section 7010 of the America COMPETES Act requires that research funded in whole or in part by NSF report on the outcomes of the funded research for the general public. The Project Outcomes Report for the General Public serves as a brief summary prepared by the Principal Investigator (PI) or co-PI specifically for the public, describing the nature and outcomes of the project. These reports will be posted for public viewing exactly as submitted by the PI or co-PI and accompanied by a disclaimer.

This new reporting requirement is effective for new awards made or existing awards that receive funding increments or supplements on or after January 4, 2010. PIs and co-PIs will use Research.gov to prepare and submit these reports. Please note this report is required in addition to final project reports which PIs and co-PIs will continue to submit through FastLane.

The Project Outcomes Report will describe the project outcomes or findings that address the intellectual merit and broader impacts of the work as defined in the NSF merit review criteria. Additionally, PIs and Co-PIs will have the opportunity to creatively showcase their work by uploading images that will be posted with the report.

Following submission, the public can view a Project Outcomes Report for the General Public online through Research.gov's Research Spending and Results Search. Research Spending and Results allows you to find awards based on search criteria such as awardee, award ID, fields of research and education, and Congressional District where the award was made.

How PIs and co-PIs can prepare and submit Project Outcomes Reports:

1. Log-in to Research.gov (first time Research.gov users, see [How Do I Login?](#)).



WHERE DISCOVERIES BEGIN



Sample Project Outcomes Report

<p>NSF Visitor <input type="button" value="Log In"/></p> <p>How Do I Login? Register</p> <p>> Who We Are</p> <p>▼ Service Offerings</p> <p>Research Spending</p> <p>Policy Library</p> <p>About Grants Application Status</p> <p>About Federal Financial Assistance</p> <p>About Project Outcome Reports</p> <p>About Application Information</p> <p>About User Management</p> <p>> News</p> <p>> SEE Innovation</p> <p>APPLY FOR GRANTS</p> <p>Grants.gov </p> <p>NSF FastLane</p> <p>NASA Inspires </p> <p>FEEDBACK</p> <p>Tell Us What You Think</p>	<p>Awardee Location</p> <p>Street:</p> <p>City:</p> <p>State:</p> <p>ZIP:</p> <p>County:</p> <p>Country:</p> <p>Awardee Cong. District:</p> <p>Primary Location of Project</p> <p>Organization Name:</p> <p>Street:</p> <p>City:</p> <p>State:</p> <p>ZIP:</p> <p>County:</p> <p>Country:</p> <p>Cong. District:</p> <p>Abstract at Time of Award</p> <p>After recent high profile failures, the qualitative visual inspection which can identify damage state, or "health," at any given time can resist another abnormal event. Experimental research is being conducted to develop condition-based maintenance and inspection techniques. Areas include hazard resistance, not just damage resistance.</p> <p>The overall objective is to synthesize research objectives are initiation of research and development of the PI as a role model. A vision exists for a practical research project's activities to produce a positive impact on professionals. Considering diverse perspectives</p>	<p>Project Outcomes Report</p> <p>Disclaimer</p> <p>This Project Outcomes Report for the General Public is displayed verbatim as submitted by the Principal Investigator (PI) for this award. Any opinions, findings, and conclusions or recommendations expressed in this Report are those of the PI and do not necessarily reflect the views of the National Science Foundation; NSF has not approved or endorsed its content.</p> <p>BRIGE 0824227 Annual Project Report – Year 2, Final Report</p> <p>Infrastructure Health Evaluation via Experimental Techniques</p> <p>This project's major research thrust is the experimental development of structural health evaluation. The ultimate aim of this infrastructure protection method is increased public safety. Improved structural health evaluation techniques can create maintenance-based inspection rather than less efficient routine inspection. The identification of at-risk structures can prevent loss of infrastructure and perhaps loss of life after aging or severe events. Residual strength determination can help in the prevention of progressive collapse and the rehabilitation of damaged structures.</p> <p>The vision to improve response and recovery efforts by answering the question: <i>how do engineers cost-effectively determine a "dangerous" threshold for any building in real-time?</i> Current damage evaluation consists of visual inspection that identifies only external damage. Global internal damage quantification is underway herein in a manner that can be used on common infrastructure. A structural health algorithm requires damage indicators for measuring extent and identifying location. To this end, a series of laboratory experiments have been performed as a part of this work. One additional research project and several educational activities have also been undertaken.</p> <p>As an initial investigation, experiments on a stainless steel cantilever beam are used to determine potential parameters for damage detection. The next step in higher order analysis has been measuring and studying the damage trend behaviors of a student-constructed tower. The incrementally damaged responses show a decreased first modal frequency as well as characteristic coupling and splitting in the higher modal frequencies. In fact, the first natural frequency lowered by a surprising 27.75% and 34.60% with increasing damage.</p> <p>The location of the damage will require a more complex structure, which has been the latest focus. A three story metal frame structure was constructed. A significant amount of time was devoted to comparing data from traditional sensors and high-speed video analysis: displacement is well tracked visually by Xcitex's ProAnalyst, but acceleration is better monitored by contact transducers. Dynamic structural parameters were obtained from the measured response using a specialized software suite called STAR Modal. After the baseline, "healthy", or undamaged state of the structure was established, damage was incrementally applied to the building by removing</p>	<p>Images (1 of 5)</p>
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http://www.nsf.gov/publications/pub_summ.jsp?ods_key=porfaq



WHERE DISCOVERIES BEGIN



Online Training Opportunities

- Research.gov now offers optional web trainings and online demos to promote and encourage NSF grantees to use its services.
 - During web trainings, attendees can ask questions or request to see a specific Research.gov service
 - NSF will tailor Research.gov trainings to meet the needs of participants.
- To request a demo, contact feedback@research.gov



WHERE DISCOVERIES BEGIN



NSF's Revised Cost Sharing Policy

- In response to statutory requirements, and, as recommended by the National Science Board, mandatory cost sharing has been implemented for the following programs:
 - Major Research Instrumentation Program;
 - Robert Noyce Scholarship Program;
 - Engineering Research Centers;
 - Industry/University Cooperative Research Centers;
 - Experimental Program to Stimulate Competitive Research
 - Cost sharing for these programs must be identified on Line M of the approved budget.



WHERE DISCOVERIES BEGIN



NSF's Revised Cost Sharing Policy

- Mandatory NSF-required programmatic cost sharing will rarely be approved for an NSF program.
 - To request consideration of mandatory programmatic cost sharing requirement in an NSF solicitation, the program must develop a **compelling justification regarding why non-Federal financial support and commitment is considered foundational to programmatic success.** Such requests to require cost sharing must be explicitly approved by the NSF Director.



WHERE DISCOVERIES BEGIN



NSF's Revised Cost Sharing Policy

- Inclusion of voluntary *committed* cost sharing is prohibited in solicited & unsolicited proposals.
 - To be considered voluntary committed cost sharing, the cost sharing must meet all of the standards of [2 CFR § 215.23](#), to include identification of cost sharing on the NSF budget.
 - Line M will be “grayed out” in FastLane.
- Organizations may, at their own discretion, continue to contribute any amount of voluntary uncommitted cost sharing to NSF-sponsored projects.



WHERE DISCOVERIES BEGIN



NSF's Revised Cost Sharing Policy

- The Facilities, Equipment & Other Resources section should be used to provide a comprehensive description of all resources (both physical and personnel) necessary for, and available to a project, without reference to cost, date of acquisition, and whether the resources are currently available or would be provided upon receipt of the grant.



WHERE DISCOVERIES BEGIN



NSF's Revised Cost Sharing Policy

- NSF program officers may discuss the “bottom line” award amount with PIs, but may not renegotiate or impose cost sharing or other organizational commitments.
- NSF Program Officers may not impose or encourage programmatic cost sharing requirements.



WHERE DISCOVERIES BEGIN



NSF's Revised Cost Sharing Policy

- Significant effort made in scrubbing existing cost sharing requirements in funding opportunities:
 - Both in the five solicitations that require cost sharing, and
 - Language changed from “cost sharing is not required” to “Voluntary committed cost sharing is prohibited” in all other announcements and solicitations.
- Cost sharing FAQs issued, and, updated
 - A new change has been issued to address “effort reporting for voluntary uncommitted cost sharing.”
- Send additional questions to costsharing@nsf.gov

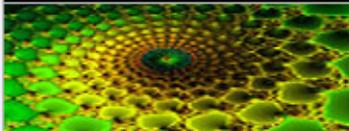


WHERE DISCOVERIES BEGIN



NSF Revised Cost Sharing Policy

Office of Budget,
Finance and Award
Management (BFA)



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[CAAR Branch](#)

Policy Office

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BFA Organization

**Office of Budget, Finance, &
Award Management**

Budget Division

**Division of Acquisition and
Cooperative Support**

**Division of Financial
Management**

**Division of Grants &
Agreements**

**Division of Institution & Award
Support**

Policy Office

HEAD: Jean Feldman

The Policy Office is responsible for developing, implementing and issuing proposal and award policy for the programs of the National Science Foundation and is available to assist you with questions involving policy related issues. Questions related to specific awards should be directed to the [Division of Grants and Agreements](#).

Grants & Cooperative Agreements:

- [Policy & Guidance](#) (including the [Proposal and Award Policies and Procedures Guide](#), which incorporates the [Grant Proposal Guide](#) (GPG) and [Award & Administration Guide](#) (AAG))
- [FAQs: Proposal Preparation and Award Administration](#)
- [Responsible Conduct of Research \(RCR\)](#)
- [FAQs: Project Outcomes Report for the General Public \(POR\)](#)
- [NSF Data Management Policy](#)
- [NSF Merit Review Process](#)
- [Examples of Activities that Demonstrate Broader Impacts](#)
- NSF Cost Sharing Policy
 - [Overarching Policies on Cost Sharing](#)
 - [FAQs on on Cost Sharing](#)
 - [Pre-award](#)
 - [Post-award](#)
 - **NSF Programs with Mandatory Cost Sharing**
 - Major Research Instrumentation Program
 - Robert Noyce Scholarship Program
 - Engineering Research Centers
 - Industry/University Cooperative Research Centers
 - Experimental Program to Stimulate Competitive Research

<http://www.nsf.gov/bfa/dias/policy/index.jsp>



WHERE DISCOVERIES BEGIN



America COMPETES Reauthorization & NSF Merit Review Criteria

- NSB Task Force on Merit Review established Spring 2010, charged with “examining the two Merit Review Criteria and their effectiveness in achieving the goals for NSF support for science and engineering research and education”
- Focusing on:
 - How criteria are being interpreted and used by PIs, reviewers, and NSF staff
 - Strengths and weaknesses of criteria
 - Impact of criteria on how PIs develop projects
 - Role of the institution



WHERE DISCOVERIES BEGIN



America COMPETES Reauthorization & NSF Merit Review Criteria – Next Steps

- NSB Task Force on Merit Review will continue its review and formulate overall recommendations about the review criteria
- NSF will develop policy related to the Broader Impacts Review Criterion by late June in consultation with the NSB, as required by the America COMPETES Reauthorization Act
- NSF will give sufficient notice to community before any new policy becomes effective



WHERE DISCOVERIES BEGIN



New Data Management Plan Requirements

- Data management plan must be submitted as a Supplementary Document – **effective for proposals submitted, or due, on or after January 18, 2011**
- Plan should describe how the proposal will conform to NSF policy on dissemination and sharing of research results.
- A valid Data Management Plan may include only the statement that no detailed plan is needed, as long a clear justification is provided.
- Except where specified in a solicitation, plan may not exceed two pages.



WHERE DISCOVERIES BEGIN



New Data Management Plan Requirements

- Proposers who feel that the plan cannot fit within the two page limit may use part of the 15-page Project Description for additional data management information.
- Plan will be reviewed as part of the intellectual merit and/or broader impacts of the proposal.
- Does not supersede specialized solicitation requirements regarding data management plans.
- FastLane will not permit submission of a proposal that is missing a data management plan.

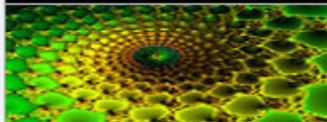


WHERE DISCOVERIES BEGIN



NSF Data Management Policy – Online Resources

Office of Budget,
Finance and Award
Management (BFA)



[DIAS Home](#)

[CAAR Branch](#)

[Policy Office](#)

[Systems Office](#)

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BFA Organization

[Office of Budget, Finance, &
Award Management](#)

[Budget Division](#)

[Division of Acquisition and
Cooperative Support](#)

[Division of Financial
Management](#)

[Division of Grants &
Agreements](#)

[Division of Institution & Award
Support](#)

Dissemination and Sharing of Research Results

NSF Data Sharing Policy

Investigators are expected to share with other researchers, at no more than incremental cost and within a reasonable time, the primary data, samples, physical collections and other supporting materials created or gathered in the course of work under NSF grants. Grantees are expected to encourage and facilitate such sharing. See [Award & Administration Guide \(AAG\) Chapter VI.D.4.](#)

NSF Data Management Plan Requirements

Proposals submitted or due on or after January 18, 2011, must include a supplementary document of no more than two pages labeled "Data Management Plan". This supplementary document should describe how the proposal will conform to NSF policy on the dissemination and sharing of research results. See [Grant Proposal Guide \(GPG\) Chapter II.C.2.j](#) for full policy implementation.

Requirements by Directorate, Office, Division, Program, or other NSF Unit

Links to data management requirements and plans relevant to specific Directorates, Offices, Divisions, Programs, or other NSF units, are provided below. If guidance specific to the program is not provided, then the requirements established in [Grant Proposal Guide, Chapter II.C.2.j](#) apply.

Please note that if a specific program solicitation provides guidance on preparation of data management plans, such guidance must be followed.

- Engineering Directorate (ENG)
 - [Directorate-wide Guidance](#)
- Geological Sciences Directorate (GEO)
 - [Division of Earth Sciences](#)
 - [Integrated Ocean Drilling Program](#)
 - [Division of Ocean Sciences](#)
- Mathematical and Physical Sciences Directorate (MPS)

<http://www.nsf.gov/bfa/dias/policy/dmp.jsp>



WHERE DISCOVERIES BEGIN



Primary Place of Performance

- Proposers are now required to enter a Primary Place of Performance.
 - Previously, this information was automatically derived from proposing organization data.
 - The information is based on FFATA requirements
 - The nine-digit zip-code that is entered is validated against USPS data.
 - Proposals that fail this validation cannot be submitted.
 - If the proposer receives an error message, they will be required to log onto the USPS website, enter the address, retrieve the zip code provided and enter it in FastLane.



WHERE DISCOVERIES BEGIN



The Federal Funding Accountability & Transparency Act (FFATA) of 2006 & subsequent 2008 amendments

- Requires agencies to provide data on prime assistance awards through the Federal Assistance Award Database System Plus format (FAADS+)
- Requires information disclosure of entities receiving Federal funding through Federal awards such as Federal contracts and their subcontracts and Federal grants and their sub-grants
- Requires disclosure of executive compensation information for certain entities
- Requires the establishment of a publicly available, searchable website that contains information about each Federal award
- Requires agencies to comply with OMB guidance and instructions and assist OMB in implementation of website



WHERE DISCOVERIES BEGIN



FFATA Subrecipient Reporting: What NEW reporting is required?

- Prime contract awardees of contracts \$25K or more must report associated contract subawards
 - Data collection will be phased with all required contract subawards reporting by March 2011
- Prime grant awardees of grants \$25K or more must report associated grant subawards
- Executive compensation information for awardees



WHERE DISCOVERIES BEGIN



Subrecipient Reporting: When does reporting begin?

- Contracts subaward (subcontracts only) reporting requirement will be phased in as follows:
 - Phase 1: Reporting subawards of prime awards valued greater than \$20M began in **July 2010**
 - Phase 2: Reporting subawards of prime awards valued greater than \$550K began **October 1, 2010**
 - Phase 3: Reporting subawards of prime awards valued at \$25K or more begins **March 1, 2011**
- Grants subaward (subgrants only) reporting is required for all new awards made on or after **October 1, 2010** for all new prime grant awards \$25K or more
 - FSRS began accepting reports on **October 29, 2010**



WHERE DISCOVERIES BEGIN



Report Submission Timeframe

All awardees must report by the end of the month following the month the award or obligation was made

- For example, if an award is made on October 10, 2010 the awardee would have until November 30, 2010 to report the award – all awards made during October will have until November 30, 2010 to report



WHERE DISCOVERIES BEGIN



Grant-By-Grant Payment

- NSF is currently planning a transition from Grant Pooling to the Grant-By-Grant (GBG) payment method
 - Working closely with grantees and other federal agencies to learn from previous transition experiences
 - Large outreach effort to grantees is planned to help prepare
- The benefits of this transition include:
 - Increased grantees access to more detailed and timely financial data, funds status information, and expenditure data
 - Detailed, real-time access to information on payments and award balances.
 - Reduced need for manual accounting processes including reconciliations and adjustments



WHERE DISCOVERIES BEGIN



ARRA: Reporting & Accountability Requirements

- The OMB expectation is for a high level of accountability and transparency from both agencies and recipients.
- Higher scrutiny from:
 - Administration
 - Congress
 - Public
 - Recovery Act Accountability & Transparency Board
 - NSF Office of the Inspector General (OIG)



WHERE DISCOVERIES BEGIN



ARRA Reporting Tools

- NSF Recipient Quarterly Reporting Instructions, revised October 4, 2010
- NSF Common Reporting Errors Guidance

American Recovery and Reinvestment Act (ARRA) of 2009
 NSF Common Reporting Errors Guidance¹

Recipient Reporting Data Element	Common Recipient Reporting Errors	Recommended Reporting Solutions and Additional Reporting Guidance
Award Number	<ul style="list-style-type: none"> • Incorrect data reported • Inclusion of division alphabetical prefix code (e.g., III-P-0123456) 	<ul style="list-style-type: none"> • Enter the 7-digit numeric value from the field entitled, "Federal Award ID Number" in Research.gov (e.g., 0123456) and do not include the alphabetical prefix. • Access your specific award information in Research.gov by selecting Research Spending and Results Detail and then entering the "Awardee, Title, Abstract, and Federal Award ID Number" into the "Awardee or Award Information" field.
Recipient DUNS Number/Recipient Congressional District	<ul style="list-style-type: none"> • Incorrect data reported 	<ul style="list-style-type: none"> • Review Research.gov to obtain correct information. • Update Institutional data via Fast Lane.nsf.gov if the information listed on Research.gov is not accurate. • Access your specific award information in Research.gov by selecting Research Spending and Results Detail and then entering the "Awardee, Title, Abstract, and Federal Award ID Number" into the "Awardee or Award Information" field.
Final Reporting	<ul style="list-style-type: none"> • Not entering a "Y" in the "Final Report" field to denote that the submitted report is a final report, and there will be no further quarterly reports submitted for an award • Lack of explanation in the "Quarterly Activities/Project Description for Prime and Sub-recipients" field to note why the amounts in the "Total Federal Amount of ARRA Expenditure" and the "Award Amount" fields are not equal • The "Project Status" field is not marked as "Fully Complete" 	<ul style="list-style-type: none"> • Ensure that a "Y" has been entered in the "Final Report" field if the submission is the final report for an award. • Verify the accuracy of amounts entered in the "Award Amount," "Total Federal Amount of ARRA Expenditure," and "Total Federal Amount of ARRA Funds Received/Invoiced" fields. <ul style="list-style-type: none"> ○ The "Total Federal Amount of ARRA Funds Received/Invoiced" should not exceed the "Total Federal Amount of ARRA Expenditure." ○ If funds will be fully expended, all three amounts should equal one another. • If all awarded funds will not be fully expended, provide a clear explanation in the "Quarterly Activities/Project Description for Prime and Sub-recipients" field detailing why the final amount in the "Total Federal Amount of ARRA Expenditure" field does not equal the amount in the "Award Amount" field, and confirm that no more funds will be expended by the prime recipient for the award. • Mark the "Project Status" field as fully complete by selecting "Fully Complete" from the drop-down menu.

<http://www.nsf.gov/recovery/reporting.jsp>



WHERE DISCOVERIES BEGIN



Research Performance Progress Report (RPPR) Background

- An initiative of the Research Business Models (RBM) Subcommittee of the National Science and Technology Council (NSTC)
 - The first meeting of the Working Group was held on May 13, 2004
 - NSF participated heavily in development and served as Chair of the Subcommittee
- Objective to establish a uniform format for reporting performance on Federally-funded research projects
 - Format developed as the “Research alternative” to the Performance Progress Report (PPR);
 - Proposed policy addresses interim progress reports only; and
 - The working group used the NSF progress report format in FastLane as the model.



WHERE DISCOVERIES BEGIN



RPPR Status

- The RPPR Policy Letter was signed by OMB/OSTP on April 21, 2010.
- Each agency is required to post an implementation plan on the NSF and RBM website within nine months after issuance of the OMB/OSTP Policy Letter.
- The NSF implementation will be VERY familiar to our recipient community



WHERE DISCOVERIES BEGIN



Fact Sheets on Recent Updates

RECENT CHANGES

Data Management Supplemental Information

NSF has made components of the sharing of the data in the FastLane will no longer be required.

Proposals must be 10 pages, in addition to the pages for the data management plan. Additional information can be found in the Award Policies & Procedures Guide.

New NSF Cost Share Requirements

NSF's cost share recommendation implemented in the Award Policies & Procedures Guide (NSF 11-2011).

- Mandatory
- Inclusion of cost share
- Organizational
- NSF Funder
- Investment
- NSF Funder

Additional information can be found in Chapter II.C.2.g(x) of the Award Policies & Procedures Guide.

RECENT CHANGES TO NSF PROPOSAL & AWARD POLICIES

New Reporting Requirement: Project Outcomes Report for the General Public

To comply with section 7010 of the America COMPETES Act, NSF implemented a new reporting requirement for new awards and funding amendments made on or after January 4, 2010. This report is submitted by the Principal Investigator (PI) and serves as a brief summary, prepared specifically for the public, on the nature and outcomes of the funded project.

Unlike the annual and final reports, however, this Project Outcomes Report (POR) must be submitted in Research.gov. Also unlike annual and final reports, the POR will not be reviewed or approved by NSF, and will appear on Research.gov's Research Spending and Results exactly as it is submitted by the PI.

PIs will have the ability to save and preview the report before it is submitted. In addition, images and addenda may be added but are not required.

Additional information about the contents of these new reports can be found in Chapter II.E.3 of the Award & Administration Guide in the NSF Proposal & Award Policies & Procedures Guide.

Mentoring Plans Required in Proposal Supplementary Documents

To comply with section 7008 of the America COMPETES Act, NSF implemented a requirement that all proposals that contain postdoctoral researchers must also provide a description of the mentoring activities that will be provided to them.

Proposals that request funding to support postdoctoral researchers must also contain a Mentoring Plan as a supplementary document. FastLane will not permit submission of a proposal that includes a postdoctoral researcher but fails to include a mentoring plan.

Additional information about this requirement including examples of mentoring activities can be found in Chapter II.C.2.j of the Grant Proposal Guide of the NSF Proposal & Award Policies & Procedures Guide.

IMPORTANT LINKS:

National Science Foundation
www.nsf.gov

Division of Institution and Award Support
www.nsf.gov/dias

Policy Office
www.nsf.gov/dias/policy

NSF Proposal & Award Policies and Procedures Guide (NSF 11-1)
www.nsf.gov/pubs/2011/nsf111.pdf

National Science Foundation
4201 Wilson Boulevard
Arlington, Virginia 22230 USA

TEL: (703) 292-5111
FIRS: (800) 877-8339
TDD: (800) 281-8749

Questions may be directed to the Policy Office at NSF
Email: policy@nsf.gov
Phone: (703) 292-8243

http://www.nsf.gov/bfa/dias/policy/factsheets/datamgmt_costshare.pdf

http://www.nsf.gov/bfa/dias/policy/factsheets/por_mentor.pdf



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October | 2011

October 5, 2011 - October 6, 2011
[Planning Grant: I/UCRC in Painting/Coating Application and Surface Inspection Systems](#)
Partnership Meeting

October 13, 2011 - October 14, 2011
[Astronomy and Astrophysics Advisory Committee \(AAAC\)](#)
Advisory Committee Meeting

October 17, 2011 - October 18, 2011
[NSF Regional Grants Conference - Austin, TX](#)
Outreach

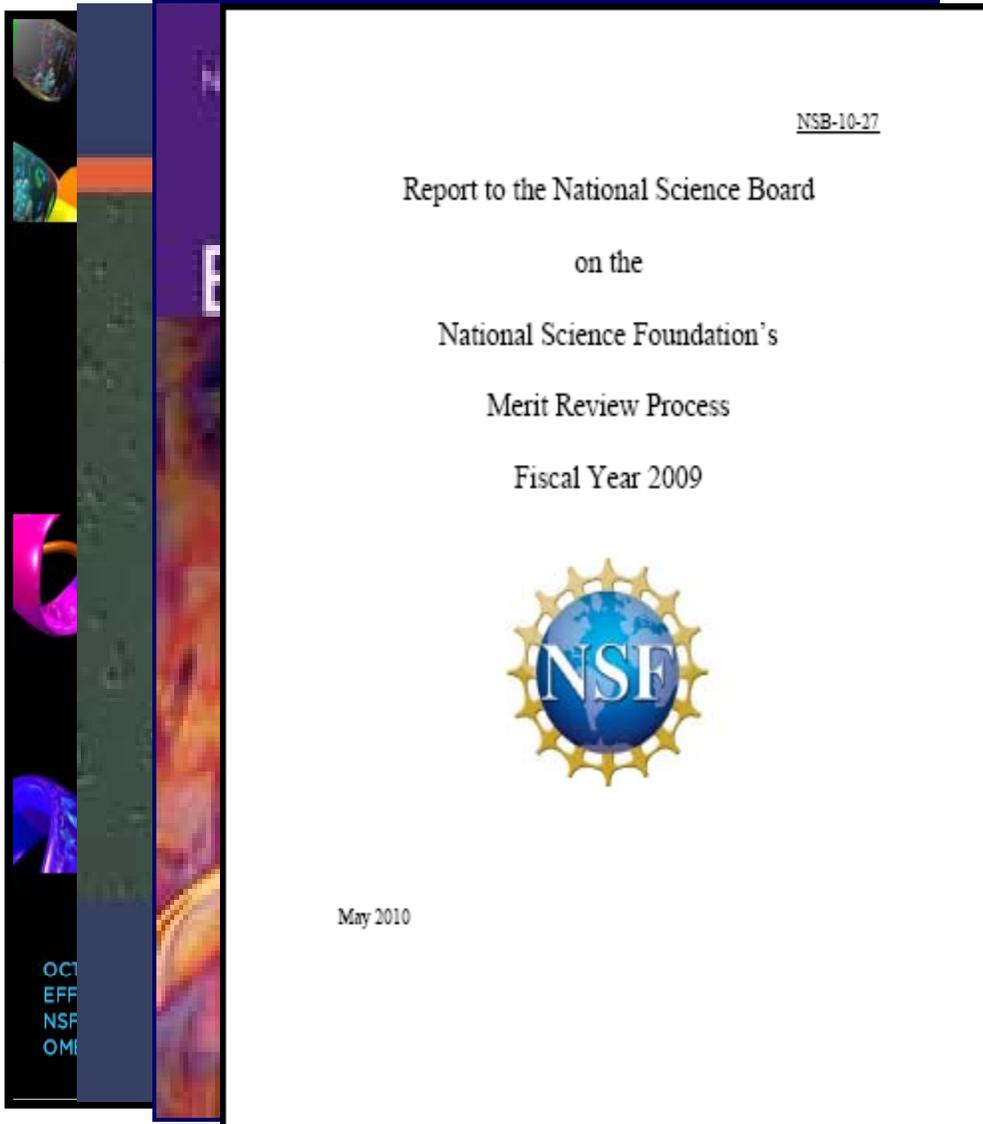
Email Print Share



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Key Documents



- **Proposal & Award Policies & Procedures Guide (PAPPG)**
- **FY 2012 Budget Request to Congress**
- **Science & Engineering Indicators**
- **Report to the NSB on NSF Merit Review Process**



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For More Information

Ask Early, Ask Often!

<http://www.nsf.gov/staff>

<http://www.nsf.gov/staff/orglist.jsp>