Main Topics

- FY 08 Budget Request
- Challenges & Opportunities
- Current Proposal, Award and Funding Trends
- NSF Proposal/Award Policy & Procedural Update
- Electronic Initiatives Update
Dr. Jeanette Wing named Assistant Director of the Directorate for Computer and Information Science and Engineering (CISE)

Dr. Tony F. Chan named Assistant Director for Mathematics and Physical Sciences (MPS)

Dr. Cora B. Marrett named Assistant Director for Education and Human Resources (EHR)

Search underway for GEO Assistant Director

Karen Tiplady named Director, Division of Grants and Agreements (DGA) in BFA

David Elizalde named Director, Division of Acquisition and Cooperative Support (DACS) in BFA

Nat Pitts leading EPSCoR Office while search underway (EPSCoR moved to the Office of the Director)
FY 2008 Budget Request

$6.43 billion
Increase of nearly $512 million over
FY 2007 Appropriation
### FY 2008 Budget Request by Appropriations Account (millions)

<table>
<thead>
<tr>
<th>Appropriations Account</th>
<th>FY 2008 Request</th>
<th>Change from FY 2007 Request</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research &amp; Related Activities</td>
<td>$5,131.69</td>
<td>$365.74 (7.7%)</td>
</tr>
<tr>
<td>Education &amp; Human Resources(^1)</td>
<td>$750.60</td>
<td>$34.38 (4.8%)</td>
</tr>
<tr>
<td>Major Research Equipment &amp; Facilities Construction</td>
<td>$244.74</td>
<td>$4.29 (1.8%)</td>
</tr>
<tr>
<td>Agency Operations &amp; Award Management</td>
<td>$285.59</td>
<td>$3.77 (1.3%)</td>
</tr>
<tr>
<td>National Science Board</td>
<td>$4.03</td>
<td>$0.12 (3.1%)</td>
</tr>
<tr>
<td>Inspector General</td>
<td>$12.35</td>
<td>$0.49 (4.1%)</td>
</tr>
<tr>
<td><strong>TOTAL, NSF</strong></td>
<td><strong>$6,429.00</strong></td>
<td><strong>$408.79 (6.8%)</strong></td>
</tr>
</tbody>
</table>

- Totals may not add due to rounding.
- \(^1\) Funding for EPSCoR is moved to R&RA in FY 2008.
FY 2008 Budget Priorities

• Discovery Research for Innovation
• Preparing the Workforce for the 21st Century
• Transformational Facilities and Infrastructure
• International Polar Year Leadership
• Stewardship
American Competitiveness Initiative

Figure 1: ACI Research Funding, 2007-2016.

American Competitiveness Initiative Research: FY 2007 - FY 2016

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>FY 2006 Funding (billions of dollars)</th>
<th>ACI Research FY 2007 (billions of dollars)</th>
<th>% increase</th>
<th>ACI Research FY 2016 (billions of dollars)</th>
<th>% increase over FY06</th>
</tr>
</thead>
<tbody>
<tr>
<td>NSF</td>
<td>$5.58</td>
<td>$6.02</td>
<td>7.8</td>
<td>$11.16¹</td>
<td>100.0</td>
</tr>
<tr>
<td>DoE SC</td>
<td>$3.60</td>
<td>$4.10</td>
<td>14.0</td>
<td>$7.19¹</td>
<td>100.0</td>
</tr>
<tr>
<td>NIST Core²</td>
<td>$0.57³</td>
<td>$0.54</td>
<td>-5.8⁴</td>
<td>$1.14¹</td>
<td>100.0</td>
</tr>
<tr>
<td>TOTAL</td>
<td>$9.75</td>
<td>$10.66</td>
<td>9.3</td>
<td>$19.49</td>
<td>100.0</td>
</tr>
</tbody>
</table>

¹ ACI doubles total research fund; individual agency allocations remain to be determined.
² NIST core consists of NIST lab research and construction accounts.
³ The 2006 enacted level for NIST core includes $137 million in earmarks.
⁴ Represents a 24 percent increase after accounting for earmarks.
American Competitiveness Initiative (Cont’d)

**Goals:**
- Boost physical sciences
- More attention to math and science education in public schools
- Focus on applied energy research
- Make Research and Experimentation Federal tax credit permanent

**Limitations (as proposed in FY 2007):**
- Flat lines NIH for next 5 years
- Freezes NASA’s spending on earth and space sciences
Challenges & Opportunities
Federal cross-agency coordination to address important policy implications

- Arising from the changing nature of interdisciplinary and collaborative research
- Examine the effects of these changes on business models for the conduct of scientific research sponsored by the Federal government.

Outreach with the FDP, COGR, SRA, NCURA, and others continues
RBM: Current Activities

- Multiple PIs
- Research Terms & Conditions
- Interim Progress Reports
- Conflict of Interest Policy
- Voluntary Institutional Compliance
  Program Guidance
- Enhanced A-133 compliance supplement on sub-recipient monitoring
Outreach and Communication

- Likely to have additional regional public meetings
  - Possibly in conjunction with the Grants Policy Committee & Grants.gov
- Will continue outreach through FDP, SRA, NCURA, COGR, etc.
- See the RBM web site for the latest news
  
  http://rbm.nih.gov/
<table>
<thead>
<tr>
<th>Task</th>
<th>Next GPC Milestone</th>
<th>Status</th>
<th>1st Fed. Reg Notice of Proposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Post-Award Work Group:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cost Principles to 2 CFR</td>
<td>FY 2006</td>
<td>FY 2006</td>
<td>FY 2006</td>
</tr>
<tr>
<td>Indirect Cost Uniform Guidelines Handbook</td>
<td>4 Q FY 2006</td>
<td>3 Q FY 2006</td>
<td>1 Q FY 2007</td>
</tr>
<tr>
<td>Invention Reports</td>
<td>None; approved by GPC, March 2006</td>
<td>At OMB for review</td>
<td>2 Q FY 2007</td>
</tr>
<tr>
<td>Payment Systems Recommendation</td>
<td>3 Q FY 2006</td>
<td></td>
<td>NA</td>
</tr>
<tr>
<td>Research Performance Reports</td>
<td>None; approved by GPC, December 2005</td>
<td>At OMB for review</td>
<td>2 Q FY 2007</td>
</tr>
<tr>
<td>Non-Research Project Reports</td>
<td>None; approved by GPC, March 2006</td>
<td>At OMB for review</td>
<td>2 Q FY 2007</td>
</tr>
<tr>
<td>Real Property Reports</td>
<td>None; approved by GPC, December 2005</td>
<td>At OMB for review</td>
<td>2 Q FY 2007</td>
</tr>
<tr>
<td>Tangible Personal Property Reports</td>
<td>None; approved by GPC, March 2006</td>
<td>At OMB for review</td>
<td>2 Q FY 2007</td>
</tr>
<tr>
<td>Pre-Award Work Group:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Standard Award Content and Format (2 CFR, gov't-wide)</td>
<td>4 Q FY 2006</td>
<td>In Preparation</td>
<td>2 Q FY 2007</td>
</tr>
<tr>
<td>Interim Award Terms and Conditions (Research Only) **</td>
<td>4 Q FY 2006</td>
<td>In preparation</td>
<td>2 Q FY 2007</td>
</tr>
<tr>
<td>Other Pre-Award Portions of 2 CFR (A-89, CCR, late applications, etc.)</td>
<td>TBD</td>
<td>In Preparation</td>
<td>TBD</td>
</tr>
<tr>
<td>Certifications &amp; Assurances</td>
<td>2 Q FY 2007</td>
<td>2 Q FY 2007</td>
<td>4 Q FY 2007</td>
</tr>
<tr>
<td>Suspension &amp; Debarment ***</td>
<td>3 Q FY 2006</td>
<td>3 Q FY 2006</td>
<td>Aug-05</td>
</tr>
<tr>
<td>Drug-free and anti-lobbying OMB guidance for 2 CFR</td>
<td>TBD</td>
<td>Future Action</td>
<td>TBD</td>
</tr>
<tr>
<td>4 Audit Work Group:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Compliance Supplement ****</td>
<td>3 Q FY 2007</td>
<td>3 Q FY 2007</td>
<td>NA</td>
</tr>
<tr>
<td>Katrina-related Audit Questions</td>
<td>3 Q FY 2006</td>
<td>3 Q FY 2006</td>
<td>NA</td>
</tr>
<tr>
<td>Quality Control Review of the A-133 Audits</td>
<td>3 Q FY 2007</td>
<td>In Preparation</td>
<td>NA</td>
</tr>
</tbody>
</table>

* Products, such as from the Training and Oversight Work Group, are not included here no they do not affect the public but rather deal with training of Federal staff to strengthen the way they manage grants in this new environment.

** In collaboration with the Research Business Models Subcmte of the COS/NSTC

*** Handled by the ISDC, in association with the Pre-Award Work Group.

**** And annually thereafter.
Stakeholder webcast recently held on March 8, 2007

- Was webcast from USDA
- Purpose: Feds “listen” to customer concerns and recommendations and then prioritize and get on with it
- Notably 6 new forms:
  - Inventions
  - Real Property
  - Tangible Property
  - Research Performance Progress Report
  - Federal Financial Report
  - Performance Progress Report
- Still to come: Terms & Conditions (2 CFR)
Federal Funding Accountability & Transparency Act (FFATA)

- Task Force formed (Nov. 2006 - led by OMB)
  - Committee structure in place and operating
    - Contracts
    - Grants
    - Loans
    - IT

- FederalSpending.gov launched (Feb. 2007)
- Data elements defined
- Impact: Place of performance; subawardee data entry
- Next Step: Pilot grantee and sub-awardee data
Current Proposal, Award & Funding Trends
Research Grant Proposals by PI Type

<table>
<thead>
<tr>
<th>Year</th>
<th>Proposals - Prior PI</th>
<th>Proposals - New PI</th>
<th>Funding Rate - Prior PI</th>
<th>Funding Rate - New PI</th>
</tr>
</thead>
<tbody>
<tr>
<td>1996</td>
<td>11,638</td>
<td>8,010</td>
<td>34%</td>
<td>17%</td>
</tr>
<tr>
<td>1997</td>
<td>12,028</td>
<td>7,911</td>
<td>36%</td>
<td>20%</td>
</tr>
<tr>
<td>1998</td>
<td>11,699</td>
<td>7,521</td>
<td>36%</td>
<td>21%</td>
</tr>
<tr>
<td>1999</td>
<td>12,178</td>
<td>7,952</td>
<td>36%</td>
<td>20%</td>
</tr>
<tr>
<td>2000</td>
<td>12,886</td>
<td>8,570</td>
<td>36%</td>
<td>22%</td>
</tr>
<tr>
<td>2001</td>
<td>14,024</td>
<td>9,093</td>
<td>32%</td>
<td>19%</td>
</tr>
<tr>
<td>2002</td>
<td>14,981</td>
<td>10,298</td>
<td>32%</td>
<td>19%</td>
</tr>
<tr>
<td>2003</td>
<td>16,899</td>
<td>11,738</td>
<td>29%</td>
<td>17%</td>
</tr>
<tr>
<td>2004</td>
<td>18,700</td>
<td>12,941</td>
<td>25%</td>
<td>14%</td>
</tr>
<tr>
<td>2005</td>
<td>18,661</td>
<td>12,905</td>
<td>24%</td>
<td>13%</td>
</tr>
</tbody>
</table>
Proposal & Award
Policy & Procedural

UPDATE!
Coverage

Issuance of the new Proposal & Award Policies and Procedures Guide

- What is it?
- Why do it?
- What significant changes are coming your way???
Consolidation of Major NSF Policy Documents

- The Grant Proposal Guide (GPG) and Grant Policy Manual (GPM) are being combined and consolidated into a single electronic policy framework.

- The NSF Proposal & Award Policies & Procedures Guide also will eventually include the NSF Grants.gov Application Guide and other post-award policy issuances.
Reasons for Changing to New Policy Framework

- Improve both the awareness and knowledge of the complete set of NSF policies and procedural documents;
- Increase ease of access to the policies and procedures that govern the entire grant lifecycle;
- Eliminate duplicative and often truncated coverage between the GPG and GPM;
- Increase the transparency of our proposal and award process; and
- Allow NSF to better manage amendments between the documents due to administrative changes.
National Science Foundation (NSF) Proposal & Award Policies and Procedures Guide

Introduction

A. About the National Science Foundation
B. Foreword
C. Acronyms
D. Definitions & NSF-Grantee Relationships
E. NSF Organizations

Exhibit 1: NSF Organizational Chart
National Science Foundation (NSF) Proposal & Award Policies and Procedures Guide (Cont’d)

Part I: Proposal Preparation & Submission Guidelines

A. Grant Proposal Guide (GPG)
B. Grants.gov Application Guide (to be incorporated into the NSF Proposal & Award Policies and Procedures Guide at a later date)
Part II: Award & Administration Guidelines

- Award & Administration Guide (formerly the Grant Policy Manual)

The document can be viewed or printed in its entirety or as separate files.

- The GPG is accessed well over 1 million times per year whereas the Administrative guidelines are accessed less than half that amount.
Significant Changes That Are Coming Your Way....

- Linkable organization chart housed within document
- Increased coverage on Grants.gov apply function
- Coverage on exceptions to NSF’s deadline date policy
- Designated fonts
- Increased consistency with FastLane Proposal Preparation Guidance
- Additional guidance on submission of “personal” information
- Information on selection of reviewers
- Updated budget preparation instructions
Significant Changes That Are Coming Your Way…(Cont’d)

- Incorporation of language regarding use of F&A rate at the time of the award
- Updated coverage on categories of proposals, or costs, that are not authorized indirect costs
- Updated coverage on cost sharing
  - 1% Statutory cost sharing has been eliminated
- Revision of human and vertebrate animal data for consistency with Grants.gov
- Updated proposal checklist
Significant Changes That Are Coming Your Way…(Cont’d)

- Incorporation of two additional proposal certifications previously contained only in the GPM
- Movement of the NSF Reconsideration Policy to Part I
- Addition of a new subject index to the GPG
Electronic Initiatives
Coverage

- Changes to Entry of Publication Information in the Project Reporting System

- Project Reporting
  - Myths
  - Tracking and Notification System

- Grants.gov

- Grants Management Line of Business (GMLoB)
  - Research.gov
Changes to Entry of Journal Information

The Project Reports System in FastLane will be enhanced to improve the process for entering journal publications. Changes you will notice include:

- Users are now instructed to enter all publication information in only this area of the project report. A validation will be added to check if users indicate “yes” below, but then have no entries in the following screens.
- Users are now warned that publication data entered will be made available to the public via the NSF website.

Publications and Products

Publications and products should only be entered in this section of the project report. All publications and products entered here must be the result of work completed for this award.

Please note: Information collected here may be made available on the NSF public website.

Do you have any publication and/or products to report? [Yes] [No]
Entering journal publications in a project report will be easier than ever:

- Instead of manually entering required criteria for journal publications, PIs can perform a search and select their citation that is associated with the award.
- PIs will follow these easy steps to search for and add a journal publication citation to their project report.

**Search for Journal Publication citation(s) by any of the following**

- **Author:** gargani
- **Journal Title:**
- **Article Title:**
- **Time Period:** Year to Date, Last 5 Years, All Years

**Step 1**
User enters search criteria and clicks the **Search** button

**Step 2**
The user selects the appropriate citation and selects **Add to Report**
In an effort to quickly and easily share research outcomes with the research community and the public, journal publications submitted by PIs as part of the project report, will be displayed on the NSF website as part of the Award Search.
Project Reporting Myths:

- If we extend the grant, we don’t incur any additional reporting obligations to NSF.
- In the last year of a grant, the PI owes an annual and a final report.
- If the PI leaves prior to submitting a required report, the organization has no further obligation.
- The organization is not responsible for submission of required reports; only the PI is.
**Project Report Tracking & Notification System**

**Required Technical Progress Reports**

- **Annual Project Reports**
  - Due No Later Than 90 days prior to Expiration Date
  - Required for **ALL** Standard & Continuing Grants and Cooperative Agreements

- **Final Project Reports**
  - Due Within 90-days after the Expiration of an Award
  - Required for **ALL** Standard & Continuing Grants and Cooperative Agreements
  - Required for Individual Research Fellowships per Program Solicitation
Business Rules and System Edits

- Provides set reporting reports – annual and final divisible by 12 months
- Tracking System includes: periods, status, and due/overdue dates
- External & Internal Communities Ability to track Electronically
- Notification reminders automatic to PIs and SPOs
Project Report Tracking & Notification System (Cont’d)

- Back office systems to include hard edits
  - No future funding if overdue annual/final reports
  - No PI changes or no cost extensions
  - No changes after final report approval
  - Report status can’t be re-set for annual reports
FastLane – View Awards by Report Requirements or Creation Eligibility (new screen)

- Definitions provided to the user so the right Report is created.
- Awards are now divided into tabs for APR/FPR and GPRA report requirements as well as for IPR creation eligibility.
- Search capability by Award Number and Award Expiration Date.
- PI locates and selects the Award from the list to create Project Report by clicking on the Award number text link.
- Award and Award Expiration Dates shown to user.

Search for Awards with Annual/Final Project Report requirements by the following:

- Award Number: 
- Award Expiration Date: 
- Search

Awards with Annual/Final Project Report Requirements:

To view Project Report requirements for an award, click the "Award Number" (e.g.: 0075773) link below. Sort results by clicking column titles.
FastLane – View Selected Award’s Project Report Requirements (new screen)

Award period is divided into reporting periods with a start and end date.

PI views Project Report requirements for reporting periods generated by Awards System for selected Award.

Archive of previous Reports submitted prior to incorporation of new functionality can now be accessed from this screen by clicking link.

PI is clearly informed when each Report is due for submission and when it is overdue for submission.

PI clicks on the “Create/Edit” link to access the Project Reports System Control Screen.

PI can only create the first Report for a given period and can only create the next Report upon approval of the first.

PI can track the status of their Report with NSF Report and My Submission Statuses. Definitions of these statuses can be accessed by the link above.

To view a PDF of an approved Project Report, or to Create/Edit a Project Report for this award, click a link in the “Action” column below. Sort results by clicking column titles.
Grants.gov

🌟 Coverage

- Government wide Policy and Implementation
  Governing Structures for e-Grants Initiatives
- Grants.gov’s Purpose and Goals
- Current and Future Status
- How NSF has Implemented Grants.gov
Grants.gov – Purpose & Goals

- A single source for finding grant opportunities
- A standardized manner of locating and learning more about funding opportunities
- A single, secure and reliable source for applying for Federal grants online
- A simplified grant application process with reduction of paperwork
- A unified interface for all agencies to announce their grant opportunities, and for all grant applicants to find and apply for those opportunities
Grants.gov: Current Status & Next Steps

**All 26 grant-making agencies are required to post all discretionary grant programs in the Grants.gov Find**

**OMB has directed agencies to post in Grants.gov Apply:**

- 75% of their funding opportunities in FY 2006;
- 100% of their funding opportunities in FY 2007.
NSF Implementation in 2007

- Those programs designated required in 06 will remain required in 07
- Unless otherwise specified, optional submission for the vast majority of NSF programs
- Will not be used until a Grants.gov solution has been developed for:
  - Separately submitted collaborative proposals
  - Fellowship programs that require submission of reference letters
Required to be submitted through Grants.gov in 2007

- Antarctic Artists and Writers (OPP)
- Scientific Computing Research Environments for the Mathematical Sciences (MPS)
- Living Stock Collections (BIO)
- Advanced Learning Technologies (CISE)
- CEDAR, GEM, and SHINE Postdoctoral Research (GEO)
- Research in Disability Education (EHR)
- Infrastructure Materials Applications and Structural Mechanics (ENG)
- Geography and Regional Science (SBE)
NSF Grants.gov Submissions

Since June 2005, 1,038 proposals submitted via Grants.gov
- 565 successfully submitted (54% success rate)
- 473 required correction and resubmission (46%)

Of the eight programs requiring submission, 444 proposals were submitted

Of the 214 programs with optional submission, 594 proposals were submitted using Grants.gov

When submission through Grants.gov was an option, 1% of the applicants chose to submit through Grants.gov.
Major Problems Encountered

- Applicants submitting applications with attachments that are not in PDF.
- Checking the “changed/corrected” application box.
- The PI or Co-PI typed their name differently in various portions of the application and the software could not tell if this was the same or another individual.
- Problems with registration.
- Applicants had varying success in submitting proposals, some taking as many as four attempts before successful insertion into FastLane.
And, please don’t forget….

* NSF also does **not** accept applications through Grants.gov for:
  * Letters of Intent
  * Preliminary Proposals
  * Changed/Corrected Applications
  * Continuations
  * Supplemental Funding Requests
Words to Live By....

- File attachments must be in pdf
- Check to ensure the program does not require mandatory submission!!
- Check the institutional names used!
- Use the Checklist!
- Read the Grants.gov Application Guide
- Follow any special instruction in the funding opportunity
- Allow extra time for editing!!!
FY 08 Implementation
Grants Management Line of Business

National Science Foundation (NSF)

- NSF will offer the Research.gov web portal that leverages its experience with Grants.gov and the Research & Related (R&R) initiative to provide access to functionality that benefits the research community.

- Research.gov focuses on the needs of the grantees by providing them with greater access to the government, streamlined functionality, and flexibility to account for differing agency research missions.
Why NSF was Chosen as a Consortium Lead

- Focus on the research community
- Recognized for high standards by customers
- Leadership position in the grants community
- 12 years of experience and capabilities as shown by FastLane
- Unique operating model—menu of high-value services for both Federal partners and the research community
Research Community Benefits

- A single web portal for research institutions to:
  - Conduct grants business with Federal research agencies, and
  - Find information about agency policies and upcoming events.

- Increased quality and scope of services for the research community.

- Services delivered on a modern technology platform.
NSF GMLoB Consortium
Guiding Principles

- The approach will be deliberate, modular, conservative, and research community focused.
- Research community must directly benefit from this initiative.
- Whatever we do, we are going to do it well.
- Low cost, high impact offerings that deliver value to grantees will be implemented first.
- The initiative must focus on improvement; cost avoidance, not just cost savings.
Grant Application Status

🌟 On-going Partnership with USDA/CSREES

- Pilot in August 2006 demonstrated joint grant application status

- Gained both technical and business lessons learned
Why Research.gov is important

- Fulfills demand in the community for improved “e-services” tailored to research community
- Allows federal research agencies to sign up and offer services to their grantees using Research.gov tools
- Establishes a Federal Consortium delivering common IT services focused on the research grant community
- Continues NSF’s leadership role in advancing electronic grants management initiatives
Moving Forward

**TIMELINE**

- OMB selected NSF as a GMLoB Consortium Lead
- Application Status Pilot with USDA/CSREES deployed
- Research.gov Business Case submitted and approved

<table>
<thead>
<tr>
<th>Year</th>
<th>Events</th>
</tr>
</thead>
<tbody>
<tr>
<td>2006</td>
<td>OMB Selected NSF as Consortium Lead</td>
</tr>
<tr>
<td>2007</td>
<td>CSREES Partnership and Pilot</td>
</tr>
<tr>
<td>2008</td>
<td>Research.gov Business Case Submitted and Approved</td>
</tr>
<tr>
<td>2009</td>
<td>Deploy portal and initial set of services</td>
</tr>
<tr>
<td></td>
<td>Deploy additional services</td>
</tr>
</tbody>
</table>

- 2006: OMB selected NSF as a GMLoB Consortium Lead
- 2007: Application Status Pilot with USDA/CSREES deployed
- 2008: Research.gov Business Case submitted and approved
- 2009: Deploy portal and initial set of services
Next Steps

🌟 Continue successful grantor/grantee partnerships between NSF and the research community

🌟 Expand this model to the government-wide initiative level

🌟 Provide a common face and services to the research community through NSF’s Consortium

🌟 Increase quality and scope of service available to the research community via Research.gov
Accessing Documents on the NSF Website


- Click: [Looking for Funding?](#)

- How to Prepare Your Proposal
  - Grant Proposal Guide
  - Frequently Asked Questions

- Award Administration
  - Grant Policy Manual
  - Grant & Agreement Conditions
  - Frequently Asked Questions