

National Science Foundation Update

NCURA Annual Meeting

August 11, 2014



National Science Foundation
WHERE DISCOVERIES BEGIN

Topics

- NSF in a Nutshell
- Personnel Update
- FY 2015 Budget Request to Congress and Funding Profile
- Public Access Implementation
- Proposal & Award Policies & Procedures Guide (PAPPG) Update
 - Uniform Guidance Implementation
 - Other Significant Policy Changes



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Topics (Cont'd)

- Automated Compliance Checking for Proposals
- Research Performance Progress Report Update
- Award Cash Management Service (ACM\$)
- New NSF Financial System – Community Impact
- NSB Task Force on Administrative Burdens Update



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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**



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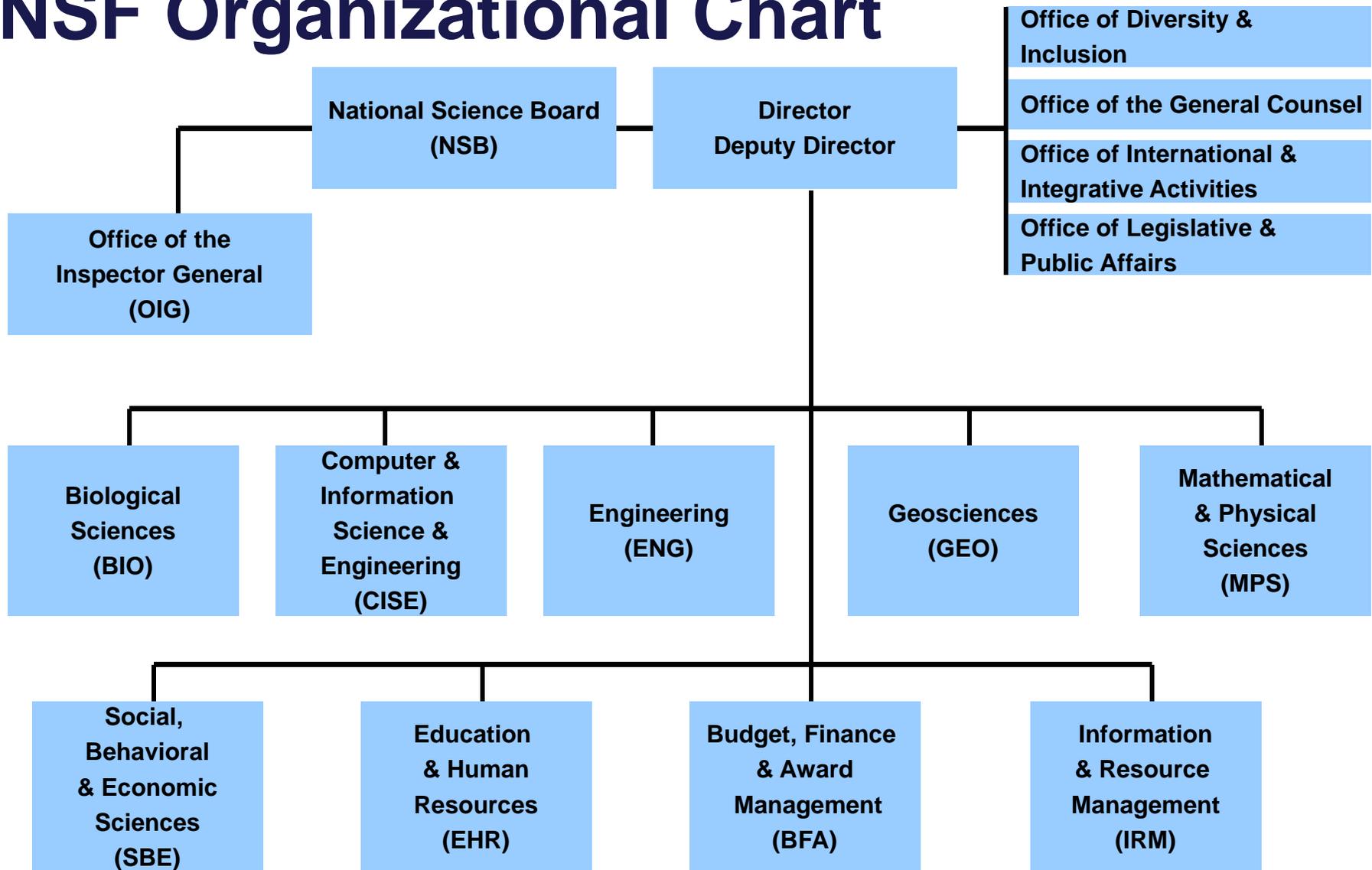
Personnel Update

- Dr. France Córdova sworn in as NSF Director on March 31, 2014
- Dr. Cora Marrett resigned as Deputy Director effective August 24, 2014
- Dr. Richard Buckius named Acting Chief Operating Officer
- Dr. Fay Lomax Cook selected as Assistant Director for Social, Behavioral & Economic Sciences
- Dr. Suzi Iacono serving as Acting Assistant Director for Computer & Information Science & Engineering
- Dr. Grace Wang selected as Deputy Assistant Director for Engineering



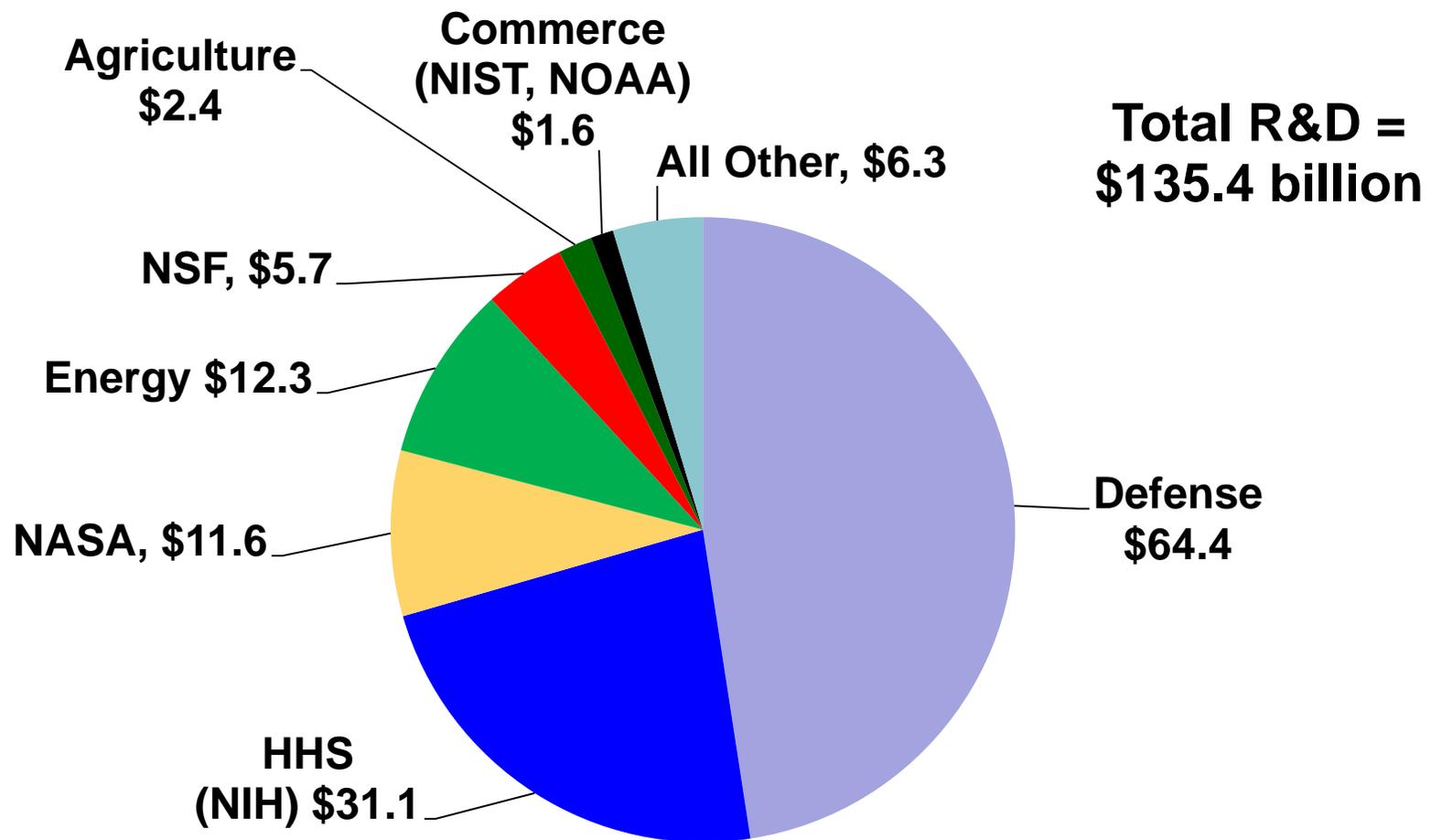
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NSF Organizational Chart



FY 2015 Request: Total R&D by Agency

Budget Authority in Billions of Dollars



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NSF Budget: FY 2014 and FY 2015

(dollars in millions)

	FY 2014 Plan	FY 2015 Request
Research & Related Activities	\$5,809	\$5,807
Education & Human Resources	847	890
Major Research Equipment & Facilities Construction	200	201
Agency Operations & Award Management	298	338
National Science Board	4	4
Office of Inspector General	14	14
Total, NSF	\$7,172	\$7,255
Opportunity, Growth, and Security Initiative	-	552



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NSF FY 2015 Budget Request

(dollars in millions)

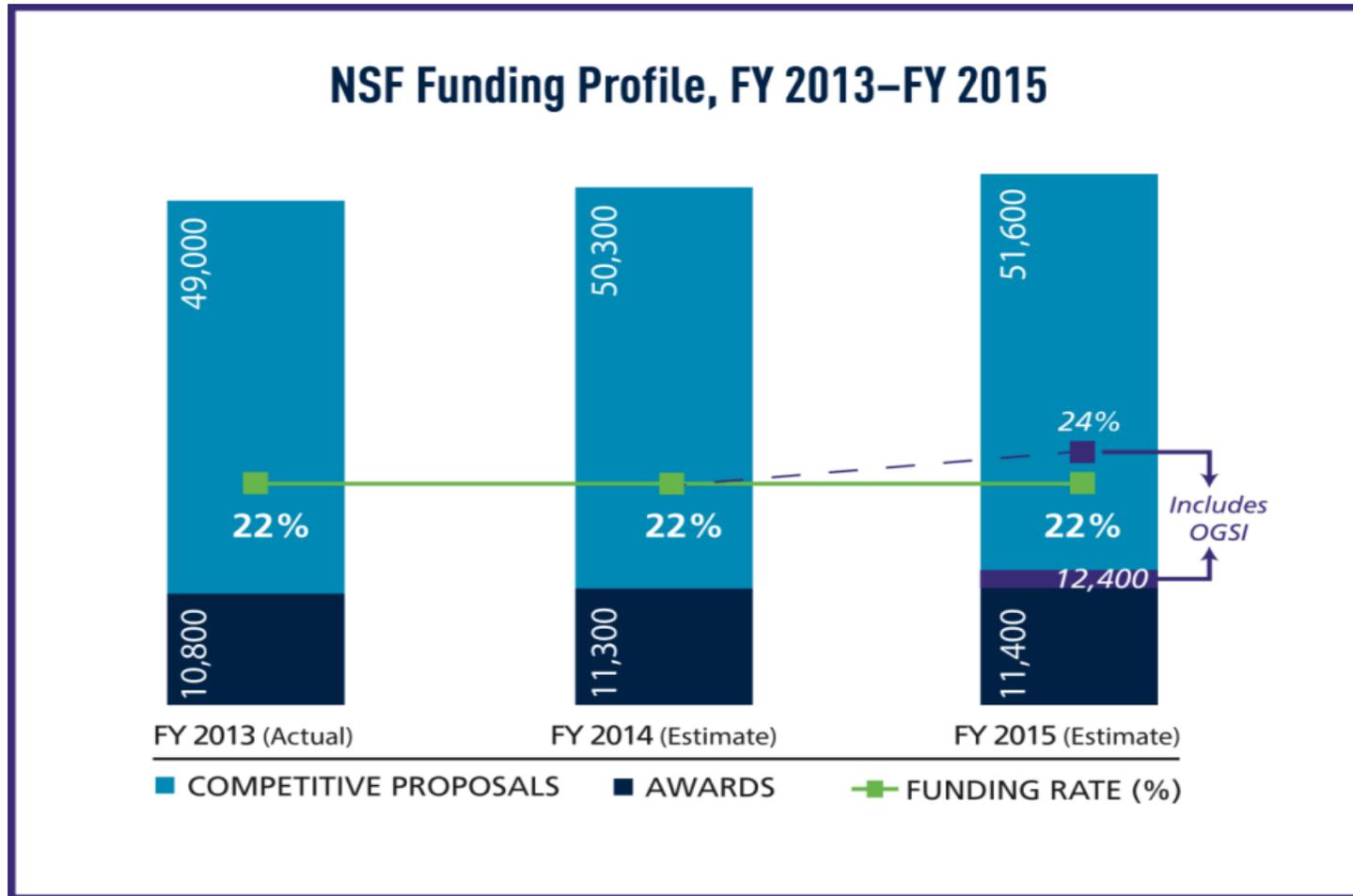
	FY 2015 Request	FY 2015 House Bill	FY 2015 Senate Mark	FY 2015 House Bill over Request		FY 2015 Senate Mark over Request	
				Amount	Percent	Amount	Percent
Research & Related Activities	\$5,807	\$5,974	\$5,839	\$166	3%	\$31	1%
Education & Human Resources	890	876	890	-14	-2%	-	-
Major Research Equipment & Facilities Construction	201	201	201	-	-	-	-
Agency Operations & Award Management	338	325	307	-13	-4%	-31	-9%
National Science Board	4	4	4	-	-	-	-
Office of Inspector General	14	14	14	-	-	-	-
Total, NSF	\$7,255	\$7,394	\$7,255	\$139	2%	-	-

Totals many not add due to rounding.



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NSF Funding Profile, FY 2013 - 2015



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What To Watch

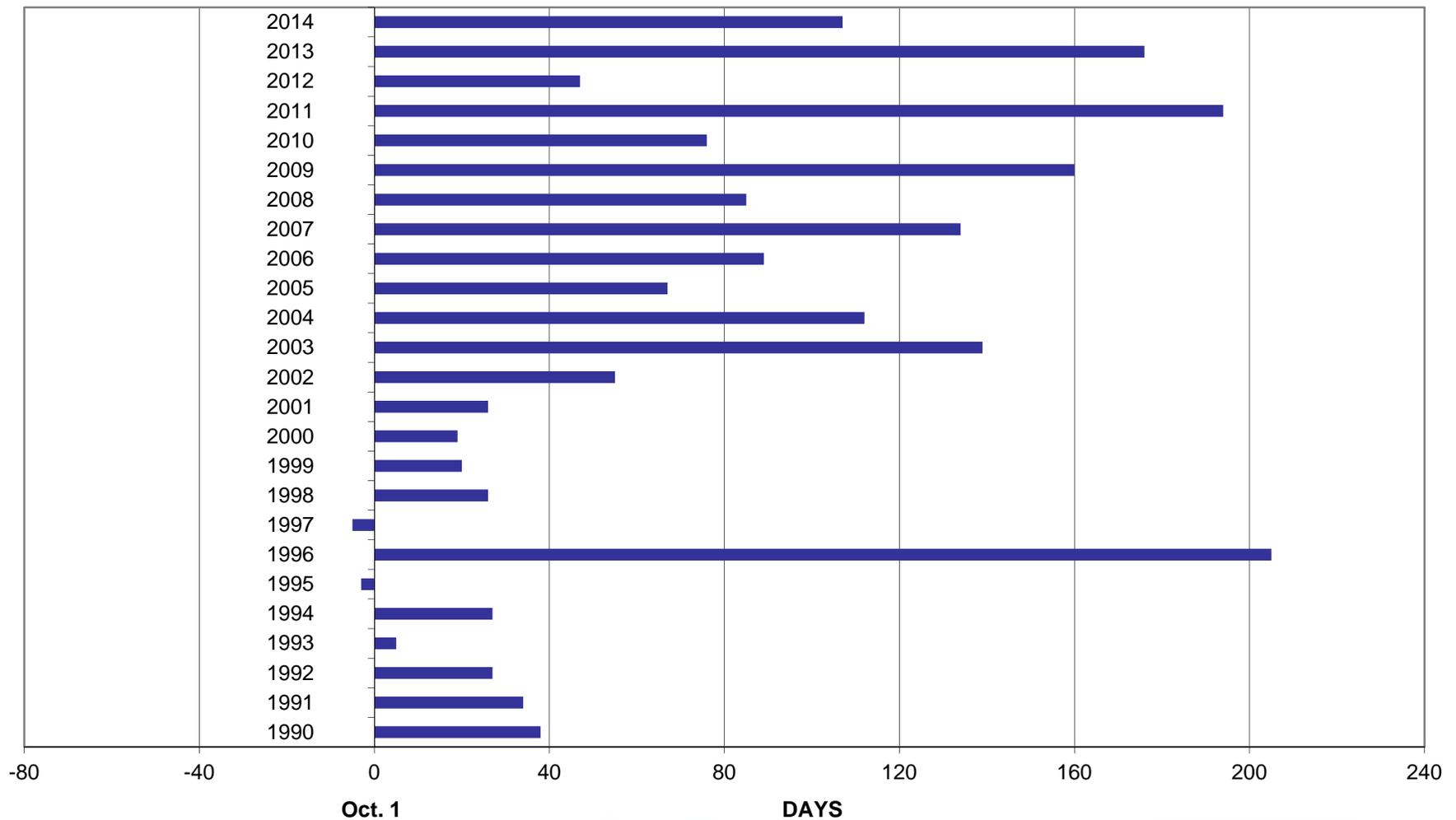
- FY 2015 Congressional Action
- FY 2016 Planning



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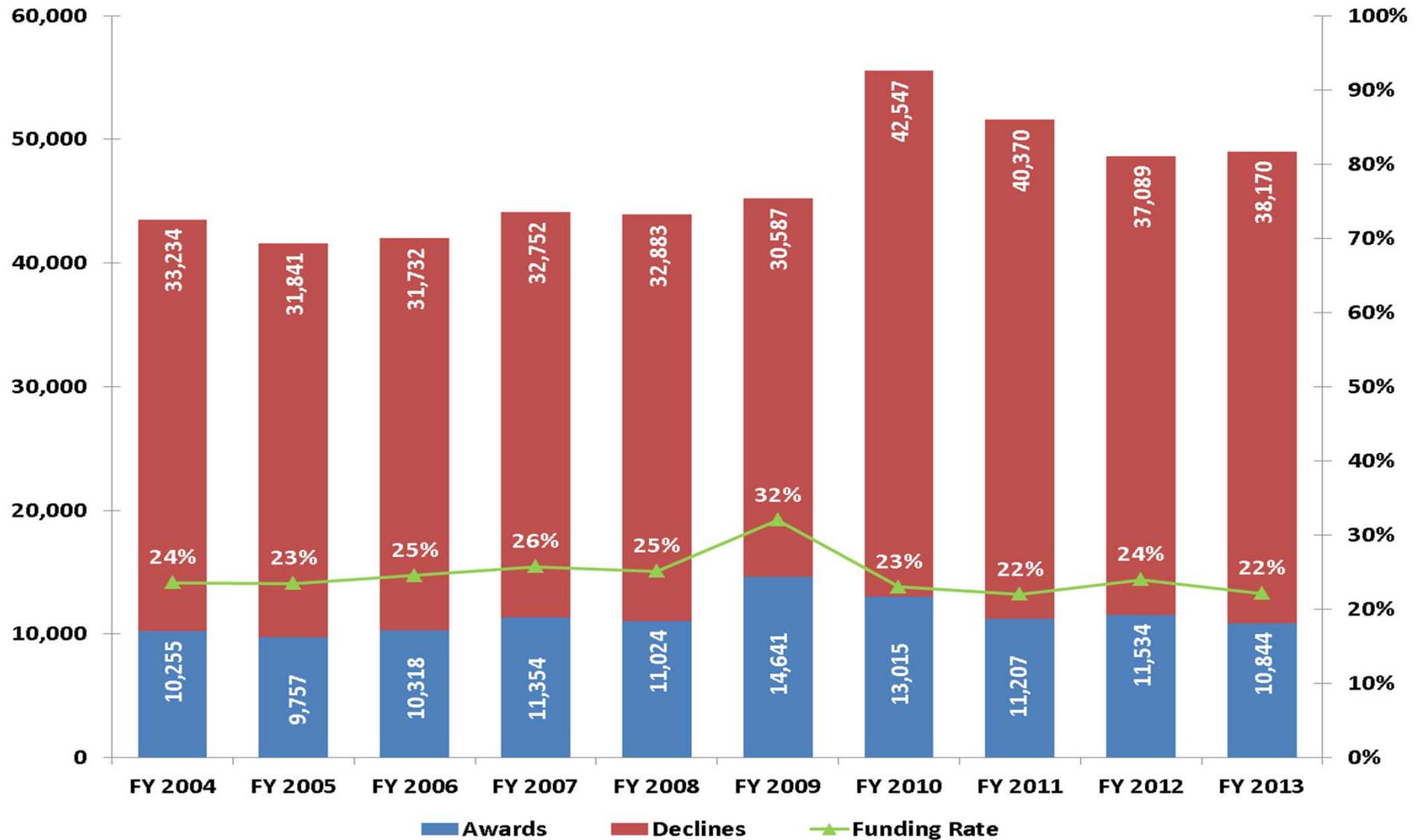
Appropriations Drift - 1990 to 2014

NSF Appropriations Dates versus Start of Federal Fiscal Year Oct. 1



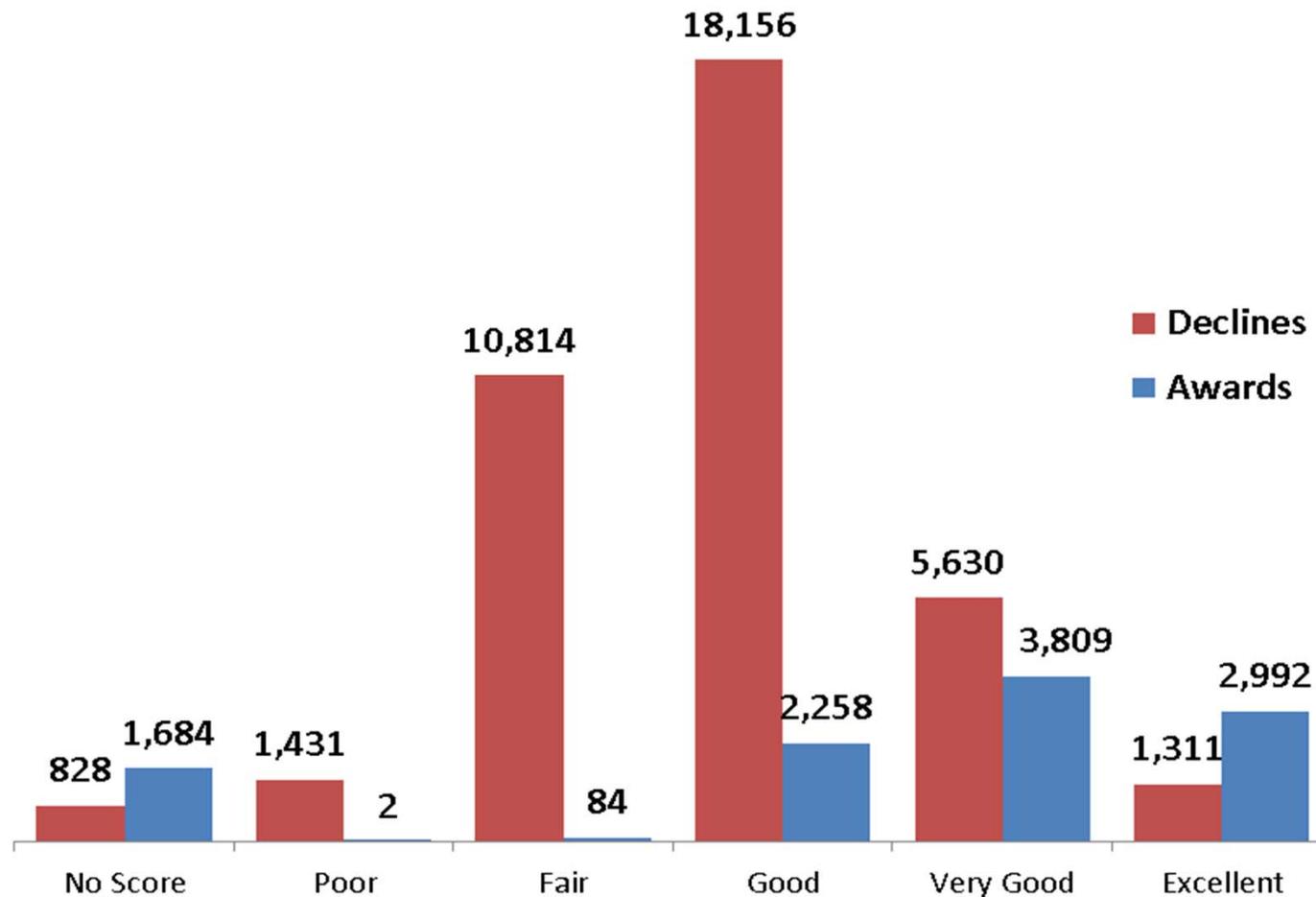
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NSF Competitive Awards, Declines & Funding Rates



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Distribution by Average Reviewer Ratings for Awards and Declines, FY 2013



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Public Access Implementation

- Expanding Public Access to the Results of Federally Funded Research (February 22, 2013)
- Open Data Executive Order (May 9, 2013)
- NSF's Approach to Public Access
 - Scope and Current Activities
 - Framework and Key Principles
 - What to Expect
- NCURA presentation: “Agency Implementation of Public Access” Wednesday, August 13, 8:30-10 a.m.



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Uniform Guidance Implementation: Key Dates

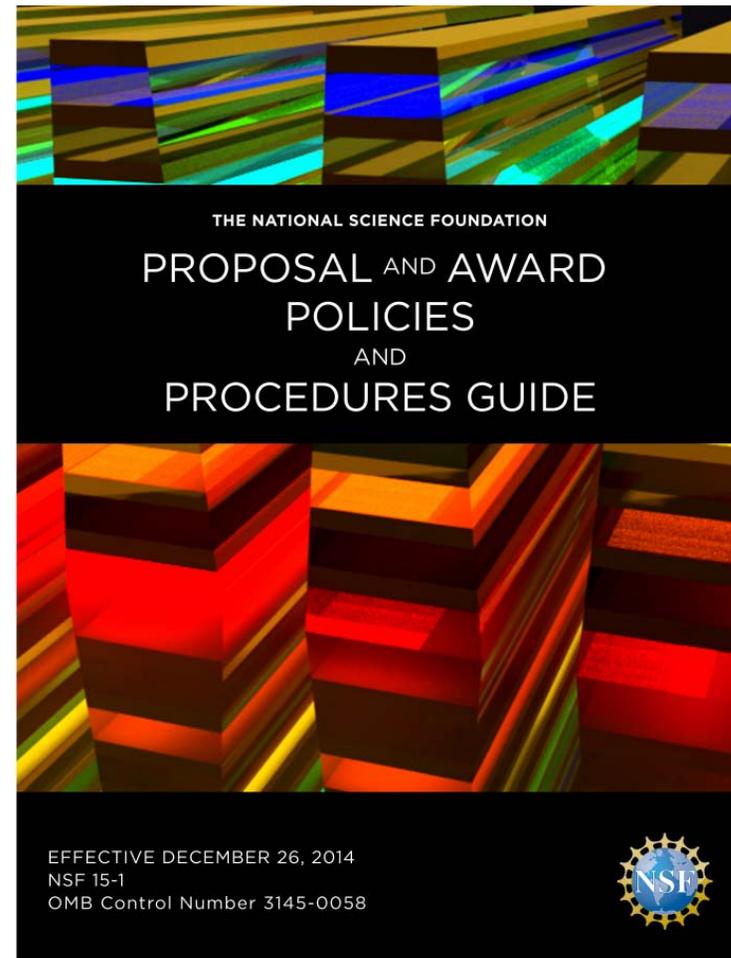
- OMB published Uniform Guidance on **December 26, 2013.**
- NSF received OMB approval to implement Uniform Guidance via the PAPPG.
- Guidance will be effective **December 26, 2014.**
- Visit cfo.gov/cofar/ for the latest information.



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PAPPG – Upcoming Policy Changes

- **NSF
Implementation of
OMB's Uniform
Guidance**
- **Other Significant
Policy Changes**



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PAPPG – Uniform Guidance

***Federal Register* Comments**

- **Draft PAPPG released for public comment through *Federal Register*, May 9 - July 8, 2014**
- **54 responses from 18 different institutions/individuals**
- **27 regarding GPG; 18 regarding AAG (with one duplicated in both); two “other”; and seven “concur with COGR memo of 07/01/14”**



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PAPPG – Uniform Guidance

Federal Register Comments

- **Common topics:**
 - **Biosketches**
 - **Incremental weather policy**
 - **subawards and subaward budgets**
 - **Indirect costs (and application of the 10% *de minimus* rate)**
 - **Grant closeout**
 - **Record retention and audit**
 - **Procurement**



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PAPPG – Uniform Guidance

Federal Register Response

- **NSF took seriously all comments and tried to address them with PAPPG updates and clarifications**
- **A full comment/response document will be shared with OMB and publicly in the coming months**



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PAPPG – Uniform Guidance Significant Changes to the GPG

- **Administrative and Clerical Salaries & Wages**
- **Travel**
- **Participant Support**
- **Materials and Supplies**
- **Subawards**
- **Indirect Costs**
- **Allowable and Unallowable Costs**



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PAPPG – Uniform Guidance Significant Changes to the AAG

- **AAG vs. 2 CFR § 200 – which takes precedence**
- **NSF Award Conditions**
- **Notifications and Requests**
- **Subawards**
- **Cost Sharing**
- **Financial Requirements/Payments**



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PAPPG – Uniform Guidance Significant Changes to the AAG

- **Program Income**
- **Final Disbursement Reporting**
- **Financial Management, Property,
Procurement Management**
- **Allowability of costs**
- **Suspension and Termination Procedures**
- **Risk Management Framework**



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Uniform Guidance - NSF Deviations

- NSF Policy on Salaries and Wages (two month policy)
 - 2 CFR § 200, Subpart E does not contain a limit on salaries
- Non-Use of the Federal Financial Report Data Elements
 - Award Cash Management Service (ACM\$) and NSF Program Income Reporting Worksheet implemented as NSF's primary financial data collection mechanisms



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PAPPG – Other Significant Changes

Grant Proposal Guide (GPG)

- **Special Exceptions to Deadline Date Policy – Inclement Weather**
- **Format of the Proposal – Automated Compliance checking**
- **Project Description – Broader Impacts**
- **Results from Prior NSF Support**
- **Budget Justification**
- **Ideas Lab**



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PAPPG – Other Significant Changes

Award Administration Guide (AAG)

- **Supplemental Support**
- **Prior Written Approvals**
- **Statutes, Executive Orders and Other Directives**
- **Research Terms and Conditions**



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Automated Compliance Checking

- **March 2013, NSF enforced the following GPG required proposal sections during proposal intake:** (**already being auto-compliance checked*)
 - *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) **
- **Non-Compliance Findings:**
 - Triggered when the PI checks the proposal, forwards it to the SPO, and when the SPO submits to NSF
 - Error (hard stop) or Warning Message



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Automated Compliance Checking

- **Auto-compliance checking implementation activities will continue in FY 2014-FY 2015:**
 - Solicitation-specific auto-compliance checking planning
 - Piloted a solicitation-specific set of compliance checks in April 2014
 - Identified best practices and ensured minimum impact on the research community



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Automated Compliance Checking

- **GPG-specific auto-compliance checks, anticipated September 15, 2014:**
 - Enforce page count rules for the following proposal sections:
 - Project Description
 - Budget Justification
 - Mentoring Plan
 - Data Management Plan
 - Budget Checks: implement duration and requested amount compliance checks
 - Example: maximum requested amount cannot exceed \$200,000 for a RAPID proposal
- **Funding Mechanism/Proposal Section auto-compliance checks, anticipated January 26, 2015:**
 - Enforce proposal sections depending on the funding mechanism type
 - Example: enforce a project description for a research grant



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Research Performance Progress Report (RPPR) Update

- 68,000+ project reports submitted via Research.gov
- Continuous enhancements to improve user experience
 - View Project Reports (August 2014)
 - Video Tutorials
 - Standardized Error Messages
 - Pre-population



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Award Cash Management Service (ACM\$)

- Program income reporting (effective March 2014)
- Preparing for NSF's new financial and accounting system
 - Financial services unavailable from **September 19 to October 13**
 - **Last date to submit drawdowns for awards is September 18**
- Beginning October 1, NSF will begin making all payments using System for Award Management (SAM) banking information
- NCURA Presentation: "NSF Critical Dates for the Fiscal Year End & ACM\$ Based Award Monitoring Activities" Tuesday, August 12, 1:15-2:15 p.m.



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NSB Task Force on Administrative Burdens

- Report Recommendations
 - Focus on the Science
 - Eliminate or Modify Ineffective Regulations
 - Harmonize and Streamline Requirements
 - Increase University Efficiency and Effectiveness



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NSB Task Force on Administrative Burdens – Legislative Update

- House Resolution (HR 5056) directs OSTP to establish a Working Group under the NSTC with responsibility of reviewing regulations affecting research.
 - Harmonize, streamline and eliminate duplicative regulations
 - Minimize burden on institutions
 - Include recommendations and input from non-Federal stakeholders.



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NSF Grants Conference

- October 6-7, 2014 in Arlington, VA
- June 1-2, 2015 in Tampa, FL



The screenshot shows the NSF website's 'Office of Budget, Finance and Award Management (BFA)' page. The header includes the NSF logo and the tagline 'WHERE DISCOVERIES BEGIN'. A navigation menu lists 'HOME', 'FUNDING', 'AWARDS', 'DISCOVERIES', 'NEWS', 'PUBLICATIONS', 'STATISTICS', 'ABOUT NSF', and 'FASTLANE'. A search bar is located in the top right corner. The main content area features a section titled 'Outreach Activities' with links to 'NSF Grants Conference', 'Future NSF Grants Conference', and 'Presentations from Recent Events'. Below this is a section for the 'NSF Grants Conference' with text stating: 'The fall 2014 NSF Grants Conference will be held October 6-7, 2014 in Arlington, VA, and will be hosted by George Washington University. Sign up at <http://events.signup4.com/nsfnotification> for registration information regarding the upcoming Grants Conference, as well as to be notified of future conferences.' It also mentions that key representatives from the NSF and colleges/universities will participate. A 'Highlights include:' section lists: 'New programs and initiatives;', 'Future directions and strategies for national science policy;', 'Proposal preparation;', 'NSF's merit review process;', and 'Cross-disciplinary and special interest programs;'. A sidebar on the left contains a search box for 'DIAS Staff' and a list of organizational units under 'BFA Organization', including the 'Office of Budget, Finance, & Award Management', 'Budget Division', 'Division of Acquisition and Cooperative Support', 'Division of Financial Management', 'Division of Grants & Agreements', and 'Division of Institution & Award Support'.

Sign up to be notified about conference registration at:
signup4.net/Public/ap.aspx?EID=NSFN10E

Key Documents

- **Proposal & Award Policies & Procedures Guide**
[nsf.gov/publications/pub_summ.jsp?ods_key=papp](https://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp)
- **NSF Budget Requests and Appropriations**
[nsf.gov/about/budget/](https://www.nsf.gov/about/budget/)
- **NSF Strategic Plan for Fiscal Years 2014-2018**
[nsf.gov/about/performance/strategic_plan.jsp](https://www.nsf.gov/about/performance/strategic_plan.jsp)
- **NSB Report on Merit Review**
[nsf.gov/nsb/publications/pub_summ.jsp?ods_key=nsb1333](https://www.nsf.gov/nsb/publications/pub_summ.jsp?ods_key=nsb1333)



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For More Information.....

Ask Early, Ask Often!

policy@nsf.gov

nsf.gov/staff

nsf.gov/staff/orglist.jsp



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