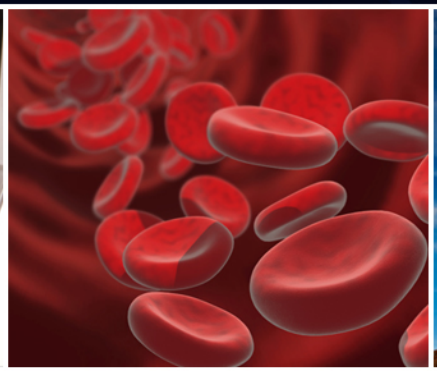
NSF Update

NCURA Regions VI & VII Spring Meeting
Houston, TX
April 2011


Contact Information

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    - policy@nsf.gov
    - 703.292.8243

Ask Early, Ask Often!

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

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

How We're Organized

- National Science Board (NSB)
- Director
  Deputy Director
  - Office of Cyberinfrastructure
  - Office of Diversity & Inclusion
  - Office of the General Counsel
  - Office of Integrative Activities
  - Office of International Science & Engineering
  - Office of Legislative & Public Affairs
  - Office of Polar Programs
- Office of the Inspector General (OIG)
- Biological Sciences (BIO)
- Computer & Information Science & Engineering (CISE)
- Engineering (ENG)
- Geosciences (GEO)
- Mathematical & Physical Sciences (MPS)
- Social, Behavioral & Economic Sciences (SBE)
- Education & Human Resources (EHR)
- Budget, Finance & Award Management (BFA)
- Information & Resource Management (IRM)

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

FY 2011 Appropriations Process

(Dollars in Millions)

	FY 2011 Request	FY 2010 Enacted [1]	FY2011 House Proposal (HR-1)	House proposal changes over: FY 2011 Request Amt	FY 2011 Request Pct	FY 2010 Enacted Amt	FY 2010 Enacted Pct
R&RA	$6,019	$5,618	$5,468	-$551	-9%	-$150	-3%
EHR	$892	$873	$726	-$166	-19%	-$147	-17%
MREFC	$165	$117	$55	-$110	-67%	-$62	-53%
AOAM	$329	$300	$300	-$29	-9%	$0	0%
NSB	$5	$5	$5	$0	0%	$0	0%
OIG	$14	$14	$14	$0	0%	$0	0%
Total, NSF	$7,424	$6,927	$6,568	-$856	-12%	-$359	-5%

Totals may not add due to rounding

[1] R&RA FY 2011 Request and HR-1 includes US Coast Guard Icebreakers ($54 M); FY 2010 Enacted R&RA and NSF total also includes US Coast Guard Icebreakers ($54M), transferred per P.L. 111-117, for comparability.

FY 2012 Request vs. FY 2010 Enacted

(Dollars in Millions)

	FY 2010 Enacted	FY2012 Request	Difference between FY 2010 Enacted and FY 2012 Request: Amount	Difference between FY 2010 Enacted and FY 2012 Request: 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

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

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

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

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 •$1 billion over five years (mandatory spending) • $150 million in FY 2012	

Catalyze Breakthroughs for National Priorities

Request	FY 2012 Request
Cyberinfrastructure Framework for 21st 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

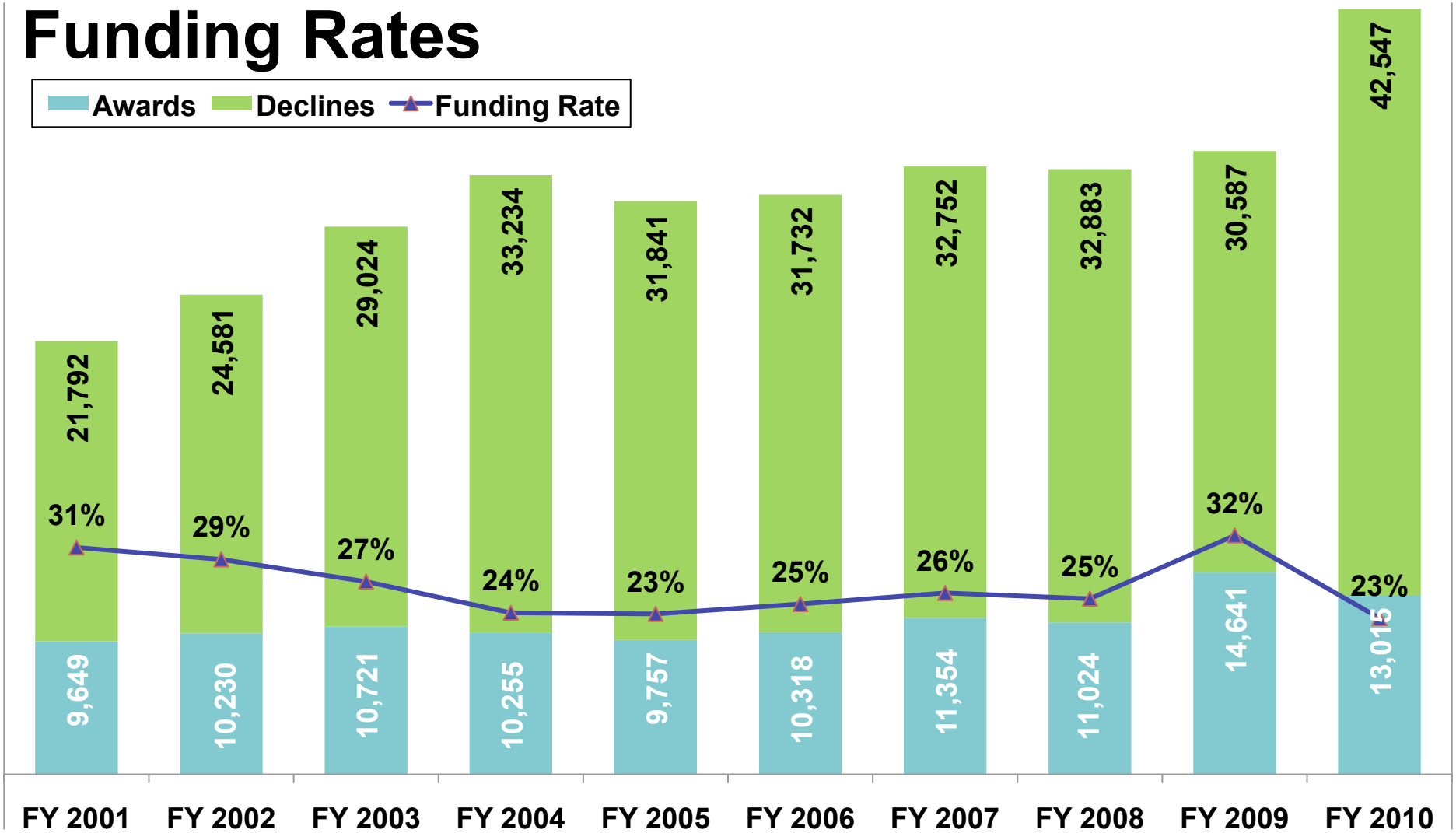
FY 2012 Budget Request: Major Research Equipment and Facilities Construction

- 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)

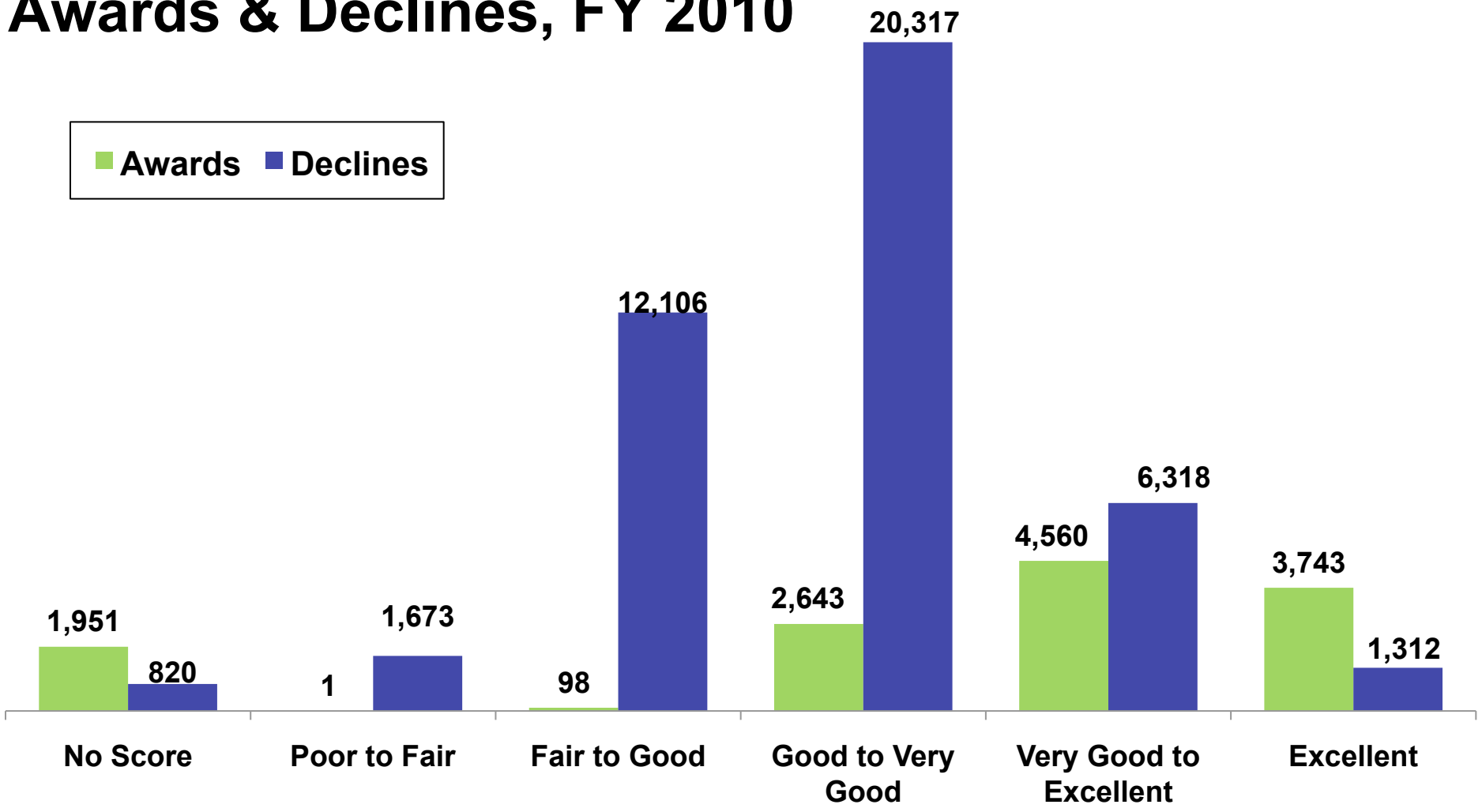
FY 2012 Budget Request: Terminations & Reductions

- **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)

NSF Competitive Awards, Declines & Funding Rates

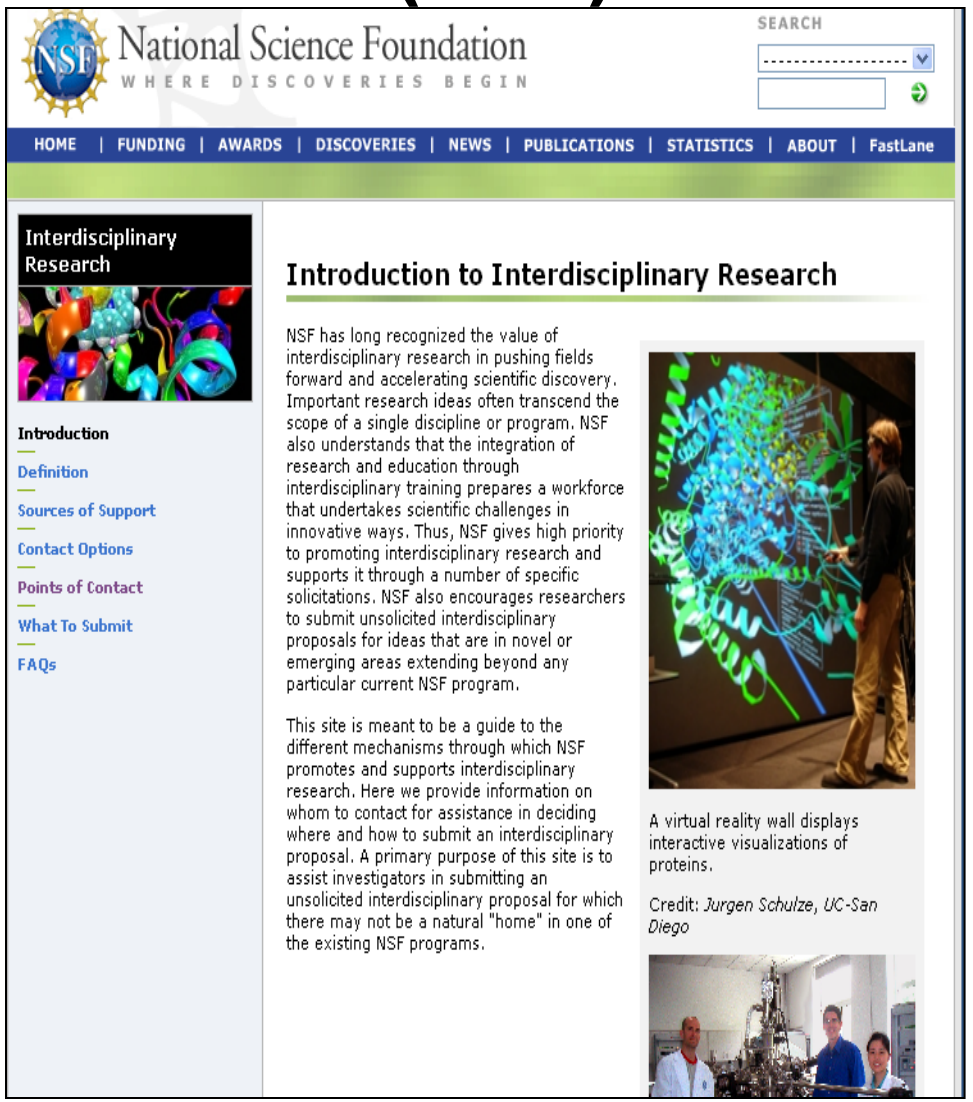


Distribution by Average Reviewer Ratings for Awards & Declines, FY 2010



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.



Transparency & Accountability Administration Priorities

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

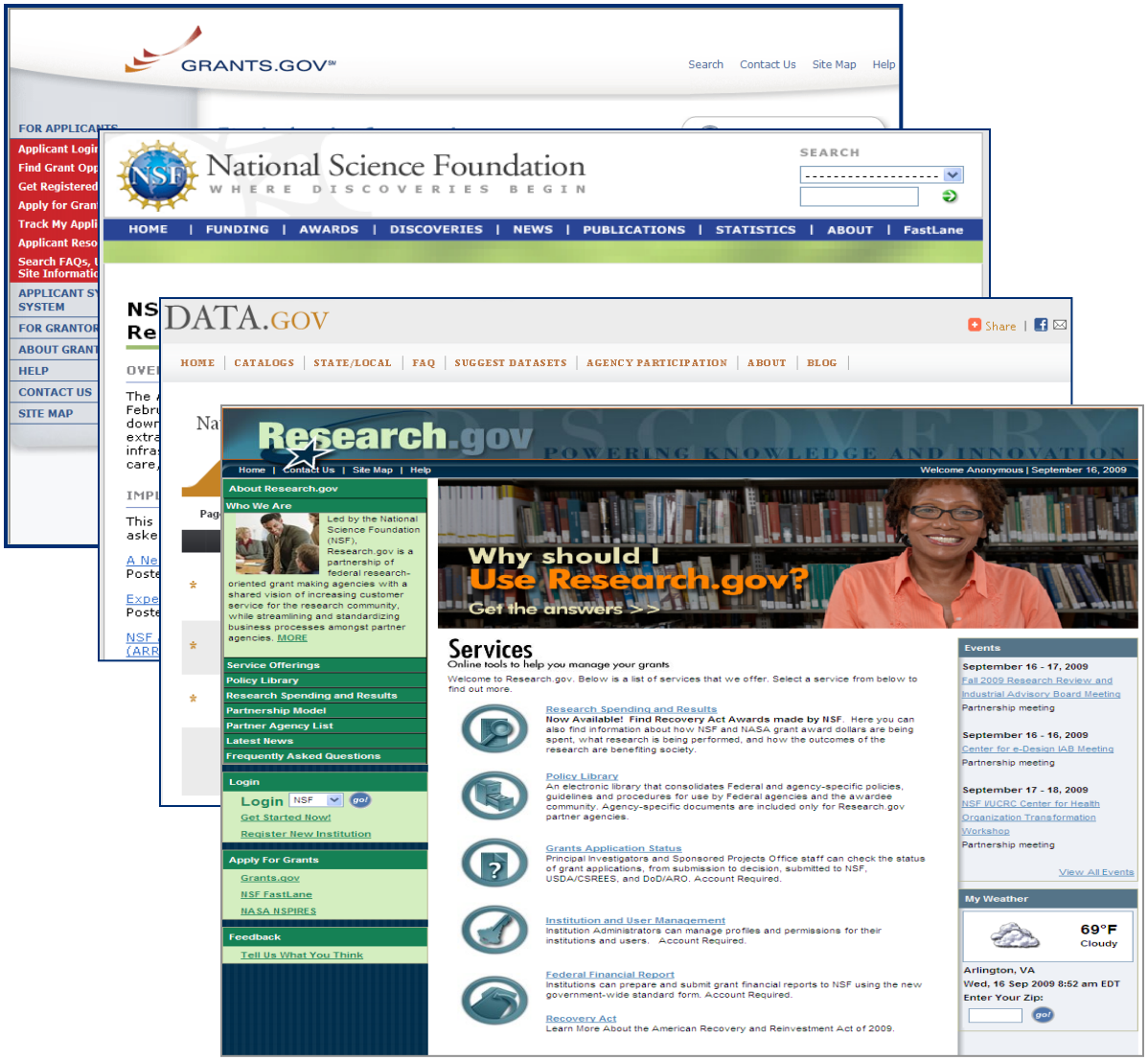
Government-wide efforts: Transparency

- **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

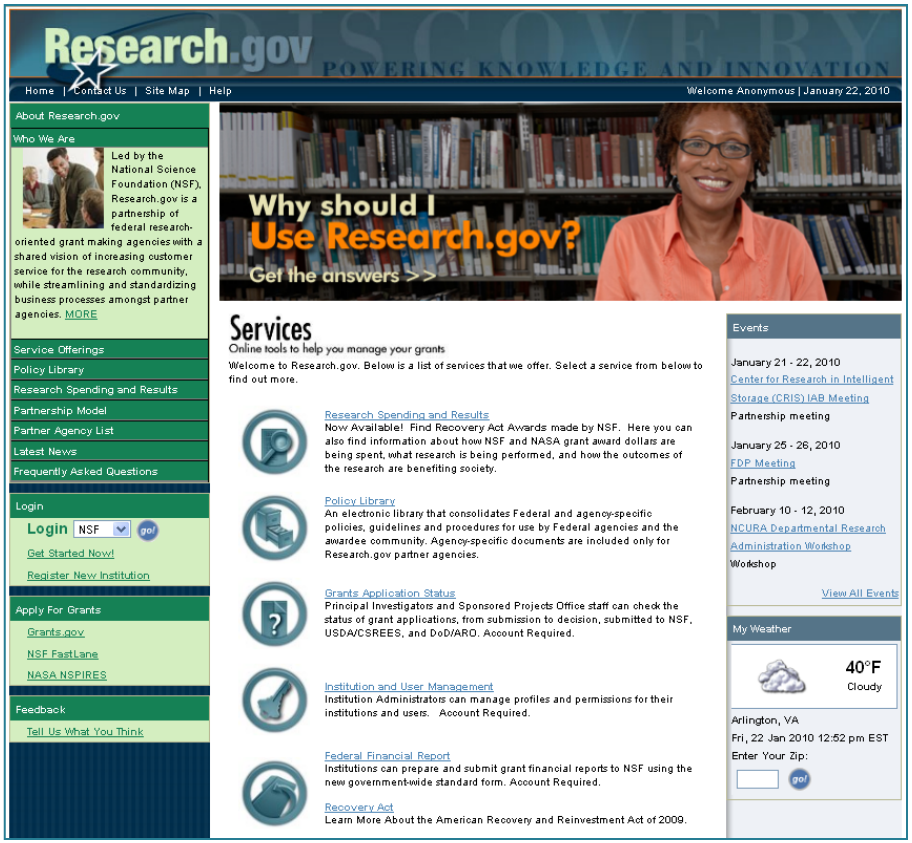
NSF Efforts - Transparency



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

Current Research.gov Services

- Public Facing Services:
  - SEE Innovation (New!)
  - Research Spending & Results
    - Find Recovery Act Awards
  - Research Headlines & Events
  - Policy Library (Government-wide)



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

Policy Update

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
- Key Documents

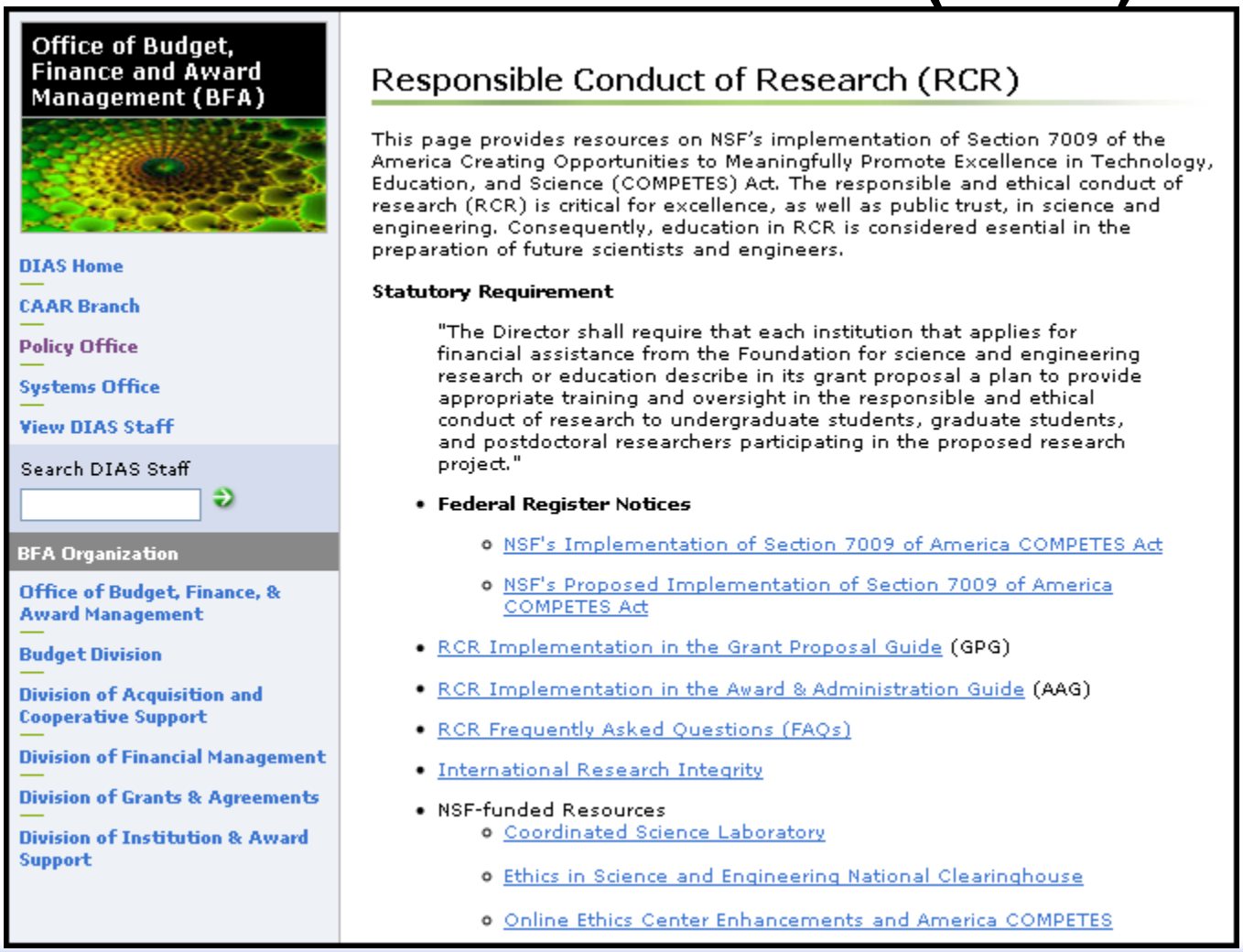
Responsible Conduct of Research (RCR)

- 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

Responsible Conduct of Research (RCR)

- Federal Register Notices
- FAQs
- International Research Integrity



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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 esential 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

Project Outcomes Report for the General Public

- Effective for new awards, and funding amendments to existing awards, made on or after January 4, 2010.
- Report is prepared in and submitted via Research.gov, and published on the Research Spending & Results exactly as it is submitted.
- Report is not reviewed or approved by NSF.

Report Contents

- PI submits a brief report (200-800 words) prepared specifically for the public
- 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.
- 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

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› Who We Are
⌄ Service Offerings
Research Spending & Results
Policy Library
About Grants Application Status
About Federal Financial Report
About Project Outcomes Reports
About Application Submission
About User Management

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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?).

Sample Project Outcomes Report

NSF Visitor

How Do I Login? | Regist

- Who We Are
- Service Offerings
  - Research Spendin
  - Policy Library
  - About Grants Appli Status
  - About Federal Fina
  - About Project Outc Reports
  - About Application
  - About User Manag
- News
- SEE Innovation

APPLY FOR GRANTS

Grants.gov

NSF FastLane

NASA Nspires

FEEDBACK

Tell Us What You Think

Awardee Location

Street:

City:

State:

ZIP:

County:

Country:

Awardee Cong. District:

Primary Location of Pe

Organization Name:

Street:

City:

State:

ZIP:

County:

Country:

Cong. District:

Abstract at Time of Awa

After recent high profile failures, the qualitative visual inspection which c damage state, or "health," at any giv resist another abnormal event. Expe The goal is to limit the total damage c condition-based maintenance and in areas include hazard resistance, no

The overall objective is to synthesize objectives are initiation of research development of the PI as a role mode vision exists for a practical research project's activities to produce a posi professionals. Considering diverse

Project Outcomes Report

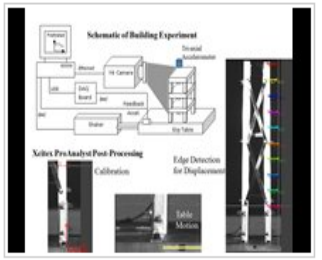
Disclaimer

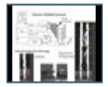
This Project Outcomes Report for the General Public is displayed verbatim as submitted by the Principal Investigator (PI) for this award. Any opinions, findings, and conclusions or recommendations expressed in this Report are those of the PI and do not necessarily reflect the views of the National Science Foundation; NSF has not approved or endorsed its content.

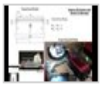
BRIGE 0824227 Annual Project Report – Year 2, Final Report

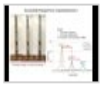
Infrastructure Health Evaluation via Experimental Techniques

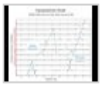
Images (1 of 5)











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.

The vision to improve response and recovery efforts by answering the question: *how do engineers cost-effectively determine a "dangerous" threshold for any building in real-time?* 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.

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.

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

http://www.nsf.gov/publications/pub_summ.jsp?ods_key=porfaqs

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.

NSF's Revised Cost Sharing Policy

- Inclusion of voluntary committed cost sharing is prohibited in solicited & unsolicited proposals.

- Mandatory NSF-required programmatic cost sharing will rarely be approved for an NSF program.

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.

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.

- Send additional questions to costsharing@nsf.gov

NSF Revised Cost Sharing Policy

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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

America COMPETES Reauthorization & NSF Merit Review Criteria

- Review of NSF Merit Review Criteria
- 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

New Data Management Plan Requirements

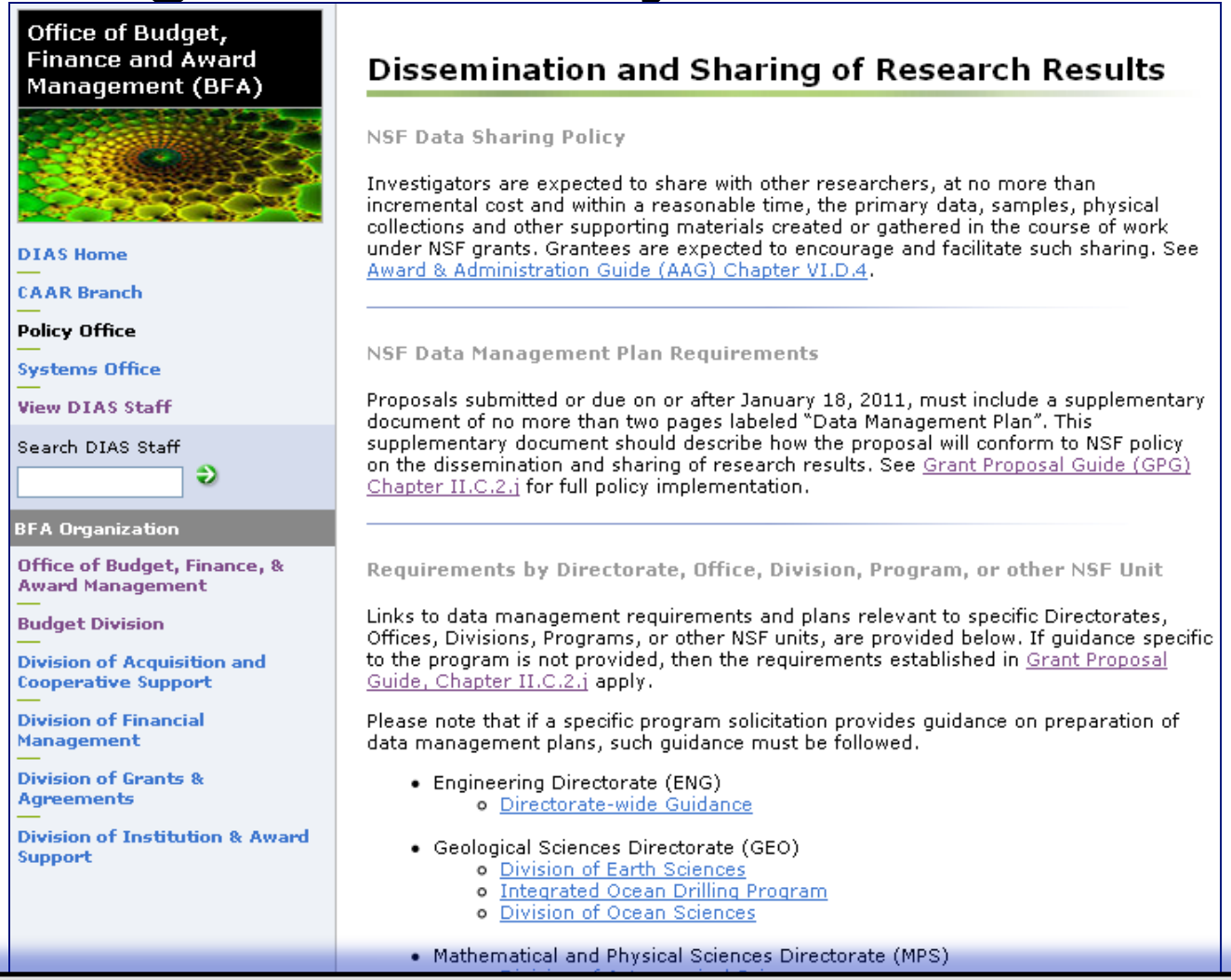
- Data management plan must be submitted as a Supplementary Document **– effective for proposals submitted, or due, on or after January 18, 2011**
- Plan should describe how the proposal will conform to NSF policy on dissemination and sharing of research results.
- A valid Data Management Plan may include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

New Data Management Plan Requirements

- Plan will be reviewed as part of the intellectual merit and/or broader impacts of the proposal.

- FastLane will not permit submission of a proposal that is missing a data management plan.

NSF Data Management Policy – Online Resources



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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

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.

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

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**

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

Grant-By-Grant Payment

- NSF is planning a transition from Grant Pooling to Grant-By-Grant (GBG) payment method
- The benefits of this transition include:
  - Increased grantee 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
  - Eliminates quarterly report

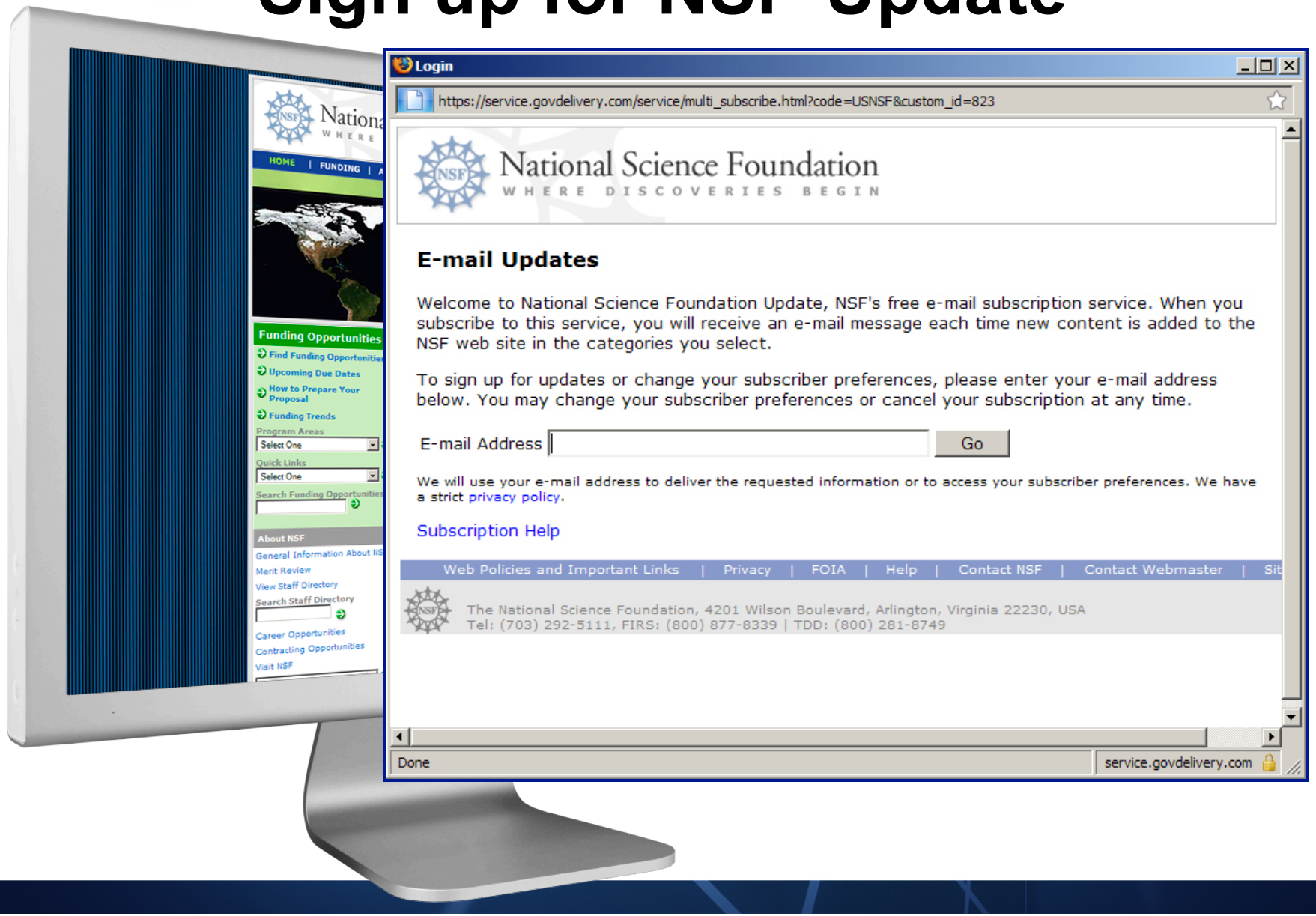
Fact Sheets on Recent Updates

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

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

WHERE DISCOVERIES BEGIN

Sign up for NSF-Update

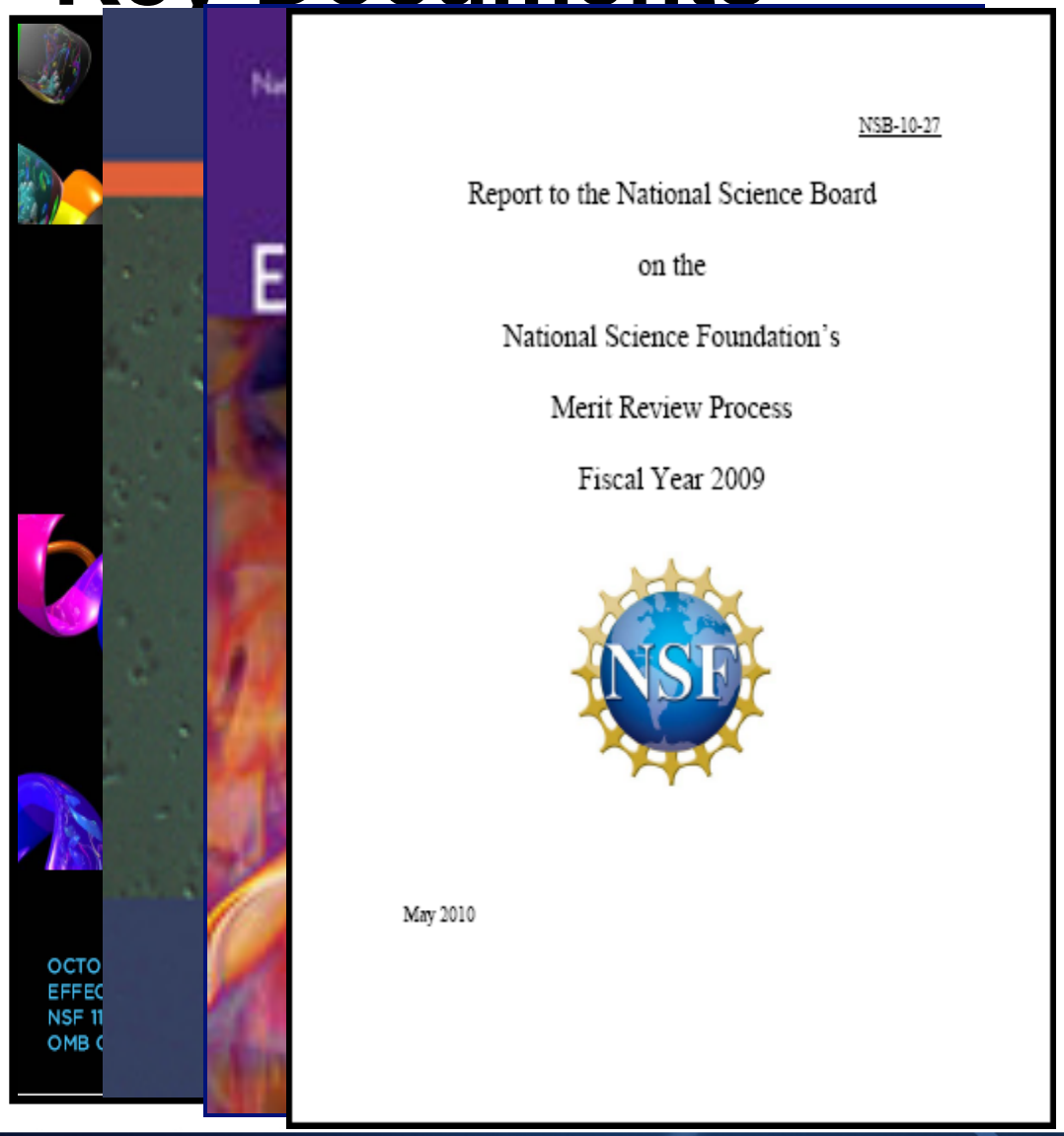


Learn About NSF

NSF Outreach/Learning Opportunities

- NSF Regional Grants Conference
  - Two-day, bi-annual conference
    - March 21-22, 2011 in Nashville, TN
    - October 17-18 2011 in Austin, TX
  - http://www.nsf.gov/bfa/dias/policy/outreach.jsp
- SRA & NCURA Conferences
  - Annual meetings and spring regional conferences
  - NSF-Updates and Workshops
- Focused Outreach
  - Tribal Colleges, HBCUs, HSIs

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

For More Information

Ask Early, Ask Often!

http://www.nsf.gov/staff

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