

Challenges, Opportunities & New Directions

NSF Regional Grants Conference

Hosted by

Arizona State University

March 30-31, 2009



Ask Early, Ask Often!

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Coverage

- Challenges & Opportunities Along The Road Ahead
 - Joanna Rom
- Electronic Initiatives
 - Erika Rissi



Challenges & Opportunities Along the Road Ahead

- Backdrop – The overall “environment” includes:
 - The political landscape: a time of change
 - Constrained budgets; sensitivity to earmarking
 - “War time” environment and costs ~ \$10 Billion/month
 - Economic downturn; mortgage and banking crisis; energy costs; rising unemployment and deficit
 - Trade deficit
 - Recovery Act



Challenges & Opportunities Along the Road Ahead

- There is “some” good news for R&D
- American Recovery and Reinvestment Act
- The America COMPETES Act



American Recovery and Reinvestment Act of 2009 - NSF

NSF Programs Receiving Recovery Act Funding

- \$3 billion supplements FY 2009 funding
 - \$2 billion for Research and Related Activities for proposals already in house and that will be reviewed and/or awarded prior to September 30, 2009.
 - \$ 1 billion to award funds as specified in the Recovery Act



American Recovery and Reinvestment Act of 2009 - NSF

- NSF Programs Receiving Specified Funding
 - Math & Science Partnership Program (\$25 million)
 - Robert Noyce Teacher Scholarship Program (\$60 million)
 - Major Research Equipment and Facilities Construction (\$400 million)
 - Major Research Instrumentation Program – New Solicitation (\$300 million)
 - Academic Research Infrastructure Program – New Program (\$200 million)
 - Science Masters Program – New Program (\$15 million)



American Recovery and Reinvestment Act of 2009 - NSF

■ Funding Prioritization

- Recovery Act funds awarded in a timely manner
- All grants will be issued as standard grants with durations up to five years
- Funding of new PIs and high-risk, high-return research top priorities
- Majority of eligible proposals are already in-house and reviewed and/or awarded prior to September 30, 2009.
- NSF will consider proposals declined on or after October 1, 2008.



American Recovery & Reinvestment Act

- Reporting and Accountability Requirements
 - OMB expectations for accountability & transparency for agencies and recipients
 - Higher scrutiny from
 - Administration
 - Congress
 - Public
 - Recovery Act Accountability & Transparency Board
 - NSF Office of the Inspector General (OIG)



America COMPETES Act

- Signed into law on August 9, 2007
- Focuses on three primary areas of importance:
 - Increasing research investment;
 - Strengthening educational opportunities in science, technology, engineering, and mathematics from elementary through graduate school;
 - Developing an innovation infrastructure.



America COMPETES Act

■ Highlights

- Doubles authorized NSF Funding from \$5.6 billion in FY2006 to \$11.2 billion in FY 2011
- Authorizes the National Institute of Standards and Technology (NIST) from approximately \$703 million in FY 2008 to approximately \$937 million in FY 2011
- Doubles Department of Energy's Office of Science authorized funding over ten years
- Innovation Acceleration Research Program directs federal agencies funding research in science and technology to set as a goal dedicating approximately 8% of their R&D budgets toward high-risk frontier research
- Directs NASA to increase funding for basic research



America COMPETES Act NSF Implementation

- 5 internal working groups have been formed in the following areas:
 - Budget
 - Major Research Equipment & Facilities Construction
 - Education & Human Resources
 - Computer & Information Science & Engineering/Cyber Infrastructure
 - Policy



ACA Policy-Related Provisions of Interest to the Research Community

- SEC 7008: Postdoctoral Research Fellows
- SEC 7009: Responsible Conduct of Research
- SEC 7010: Reporting of Research Results
- SEC 7013: Cost Sharing



America COMPETES Act

Postdoctoral Research Fellows

■ NSF Implementation

- Each proposal that contains postdoctoral researchers must include, as a supplementary document, a description of the mentoring activities that will be provided for such individuals. The mentoring plan must not exceed one page.
- Annual and final report reports for research grants that include funding to support postdoctoral researchers must include a description of the mentoring activities provided to such researchers



America COMPETES Act

Postdoctoral Research Fellows

- The Act requires 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.”
- Proposed Implementation Plan posted February 23, 2009 in the Federal Register.
 - Comment period closes March 31, 2009.



Congress and the Budget: The Future is Clouded

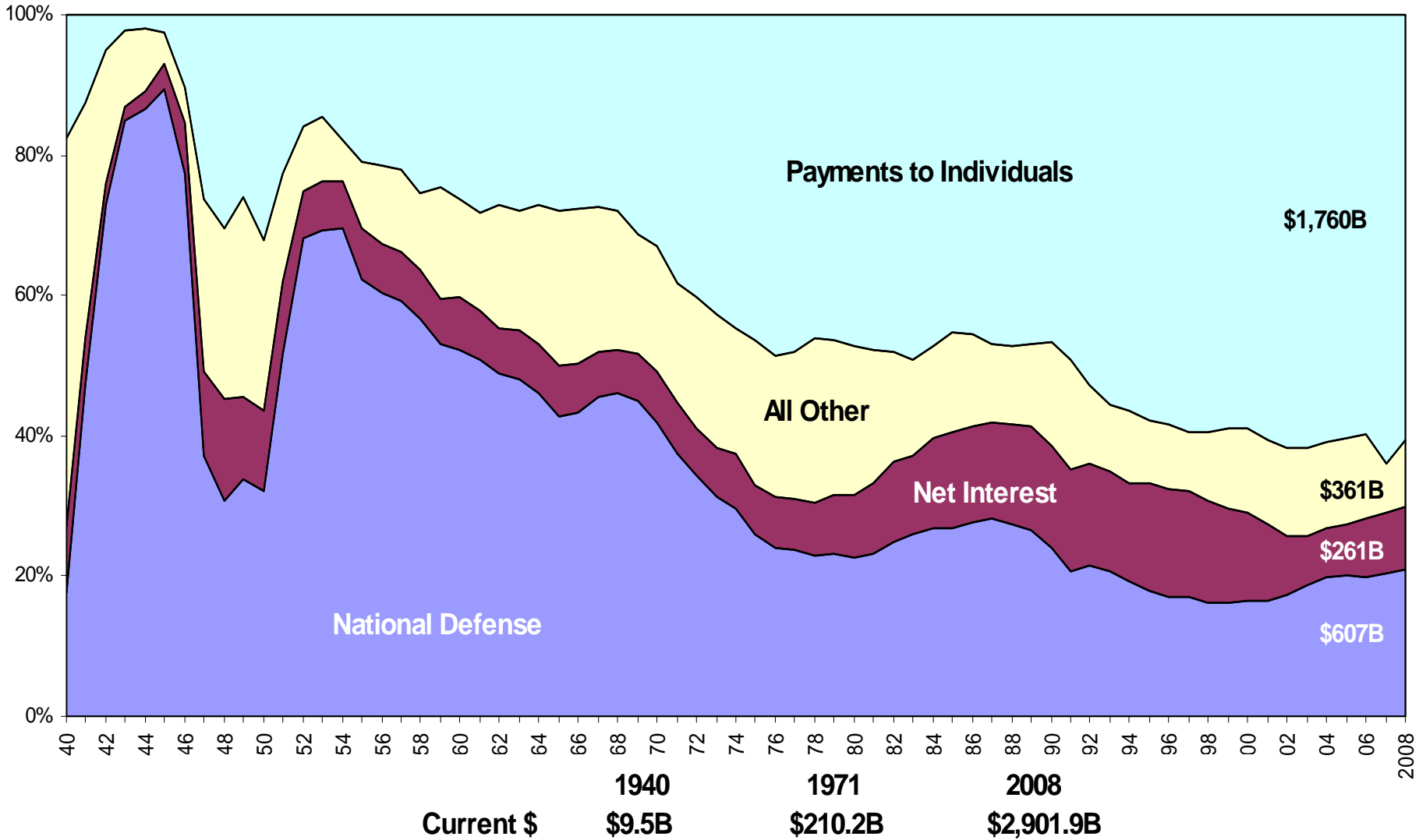


NSF's Key Players

- New President – new administration
- New Congress - major shift of leadership and likely further changes for 2009
- House and Senate Budget Committees
- Authorization Committees



Percentage Composition of Federal Government Outlays

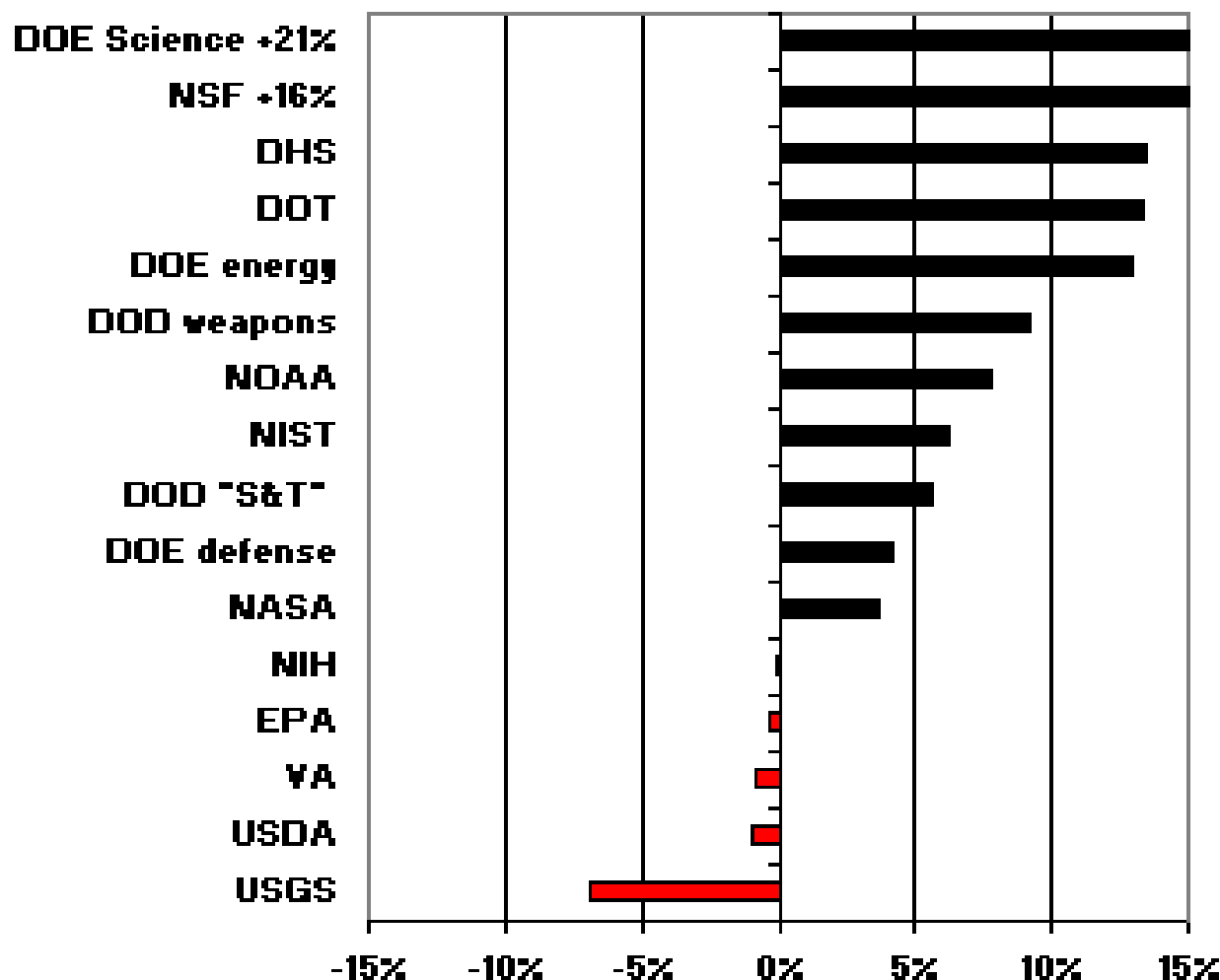


R&D Budget

Budget Authority (Dollar amounts in millions)	2009 Proposed	Percent Change
Defense	80,494	0%
Health and Human Services	29,480	0%
NASA	10,737	3%
Energy	10,558	8%
National Science Foundation	5,201	16%
Agriculture/USDA	1,952	-15%
Veterans Affairs	884	-8%
Commerce	1,157	4%
Homeland Security	3,287	188%
Transportation	901	9%
Interior	617	-9%
Environmental Protection Agency	550	-1%
Other	1,145	0%
TOTAL	146,963	3%

FY 2009 R&D Request (without earmarks; preliminary)

Percent Change from FY 2008 excluding '08 earmarks



Source: AAAS, based on OMB R&D data and agency estimates for FY 2009.

DOD "S&T" = DOD R&D in "6.1" through "6.3" categories plus medical research.

DOD weapons = DOD R&D in "6.4" and higher categories. R&D earmarks as tabulated by AAAS from final 2008 appropriations in December 2007 analyses. FEB. '08 PRELIMINARY © 2008 AAAS



So, where's the \$\$ going to show up?

- Basic Research (\$29.2 B out of \$145.4 B):
 - DOD: +4.0 %
 - NIH: +0.1 %
 - NASA: -9.1 %
 - DOE/Sci. +16.7 %
 - NSF +17.4 %
 - USDA: -6.8 %
 - Commerce: +83.3 %
 - Interior: -7.0 %
 - DHS: +12.8 %



Along the Road Ahead

- There are some continuing “challenges” for our community:
 - Policies and procedures at Federal agencies “all over the map”
 - Compliance looming large
 - NSF: Challenge to balance award size, duration and success rates
 - Audits continue to frustrate, but efforts to address quality of single audits (A-133) underway
 - Time and effort audits
 - Cost sharing
 - Unfunded mandates



The Federal Grant Streamlining Program

**National Science and
Technology Policy Council**

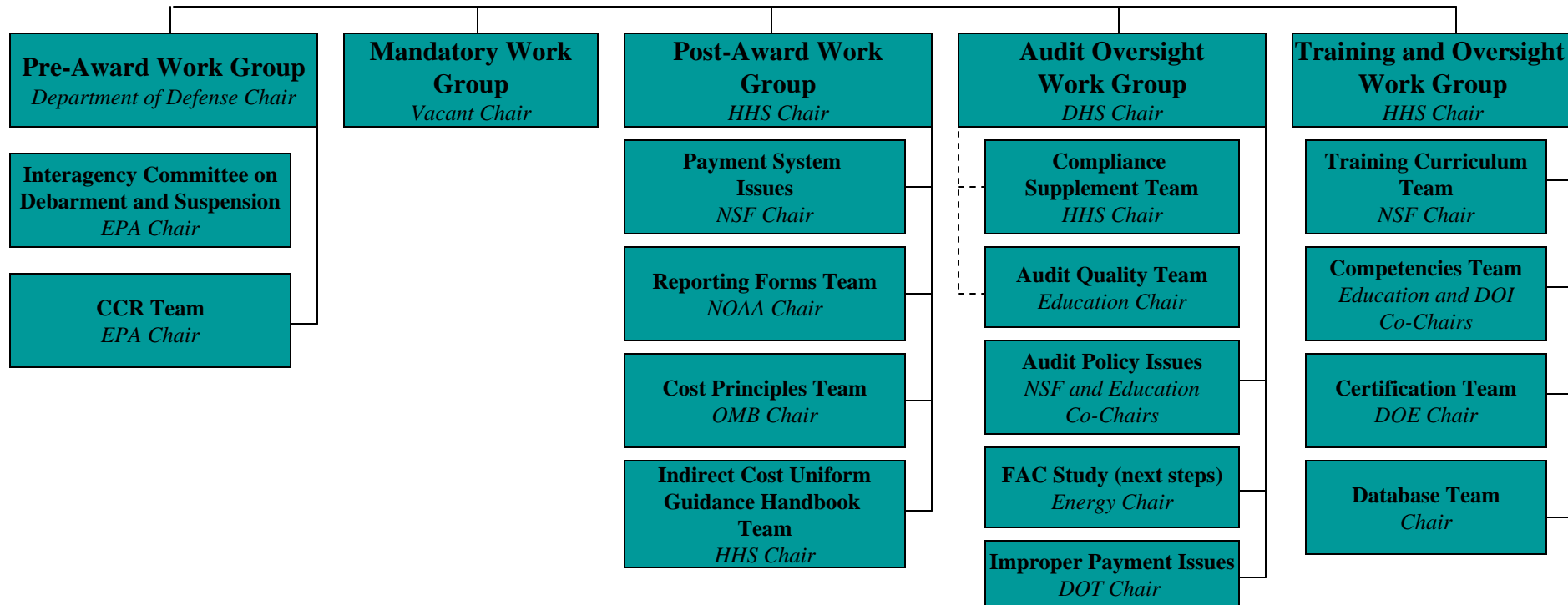
Committee on Science

**Research Business Models
Subcommittee**

The Chief Financial Officers Council

Grants Policy Committee
*National Science Foundation and Energy
Co-Chairs*

P.L. 106-107 PMO
HHS



Grants Policy Committee



- Hot Topics:
 - Transparency Act Subaward Guidance
 - GPC Implementation Plan
 - GPC Stakeholder Survey on new website
- New GPC website: www.GPC.gov
- View October 2008 archived webcast



Federal Funding Accountability & Transparency Act (FFATA)

- USAspending.gov launched
- Data elements defined
- Completed pilot to collect awardee and sub-awardee data
- Accelerated Interest because of ARRA reporting requirements



Electronic Initiatives



What's the Latest On?

- Grants.gov
- Grants Management Line of Business (GMLoB)
- Research.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



GMLOB's Background, Vision, & Goals

Background

- High volume of grants money spread over many agencies/programs:
 - Over \$ 526 billion spent on grants in FY04
 - 26 primary grant-making agencies
 - Over 900 programs

Vision

- A government-wide solution supporting end-to-end grants management activities

Goals

- Improve customer service
- Reduce cost
- Increase standards and streamlining





Grants Management Line of Business

October 2008

The GMLOB landscape has been updated to include a new group called the Transitioning Agencies Group. These agencies have demonstrated through their GMLOB implementation plans and other legitimate forms of intent, their commitment to partnering with a Consortium Lead or forming a strategic partnership with other similar agencies.

GMLOB LANDSCAPE					
Groups	Consortium Leads Partnership Group	Strategic Partnership Group	Alternative Solutions Group	Transitioning Agencies Group	Agencies Yet To Align
Group Descriptions	<ul style="list-style-type: none"> • Consortium partnership where agencies share best practices and collectively design a Consortium solution. • Partner agencies migrate to Consortium solution. 	<ul style="list-style-type: none"> • Strategic partnership of agencies with similar size, mission, and processing volume. • NEH provides efficient, cost-effective support to NARA and NEA. 	<ul style="list-style-type: none"> • Agencies granted temporary approval for continued use of an efficient, cost-effective alternative solution. • COTS Sub-Group agencies work together to establish single voice with common vendor. 	<ul style="list-style-type: none"> • Agencies that have completed key milestones and directives and are entering into the planning stages of the partnering process. • Agencies partner with a Consortium Lead or form a strategic partnership with other agencies. 	<ul style="list-style-type: none"> • Agencies directed to complete specific milestones, reporting requirements, and further explore CL partnership opportunities.
Member Agencies	<p>HHS/ACF Partner Agencies: CNCS, DOT, EPA, IMLS, State, Treasury, VA, SSA</p> <p>ED Partner Agencies: DOI, DOJ/COPS, DOL</p> <p>NSF Partner Agencies: DOD, NASA</p>	<p>NEH</p> <p>NARA</p> <p>NEA</p>	<p>HHS/NIH</p> <p>COTS Sub-Group:</p> <p>DOE</p> <p>SBA</p> <p>USAID</p>	<p>DOJ/OJP DOJ/OVW</p> <p>USDA</p>	<p>DHS</p> <p>DOC</p> <p>HUD</p>

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



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.



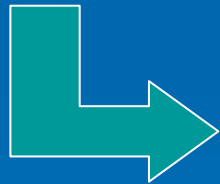
What is Research.gov?

Research.gov...

- Enables institutions and grantees to:
 - access a menu of grants management and information services for multiple federal agencies in one place
- Modernizes FastLane by providing services:
 - tailored to meeting the unique needs of the research community
 - aimed at easing the grants administrative burden
- Increases transparency and public access to information about federal research spending and outcomes



Grants Management Environment



“Find” Funding Opportunities and “Apply” for Grants



End-to-End Proposal, Award and Financial Management Functions



★ Users can log into **FastLane & Research.gov** using the same user name, **NSF ID** and **password**



What does Research.gov offer today?

The screenshot shows the Research.gov website. At the top, the logo "Research.gov" is displayed with the tagline "POWERING KNOWLEDGE AND INNOVATION". Navigation links include Home, Contact Us, Site Map, and Help. A welcome message reads "Welcome Anonymous | January 10, 2009".

About Research.gov

Who We Are

Led by the National Science Foundation (NSF), Research.gov is a partnership of federal research-oriented grant making agencies with a shared vision of increasing customer service for the research community, while streamlining and standardizing business processes amongst partner agencies. [MORE](#)

Service Offerings

- Policy Library
- Research Spending and Results
- Partnership Model
- Partner Agency List
- Latest News
- Frequently Asked Questions

Apply For Grants

- [Grants.gov](#)
- [NSF FastLane](#)
- [NASA NSPIRES](#)

Feedback

- [Tell Us What You Think](#)

Why should I Use Research.gov?

Get the answers >>>

Services

Online tools to help you manage your grants

Welcome to Research.gov. Below is a list of services that we offer. Select a service from below to find out more.

- Research Spending and Results**
NSF and NASA award information available to be searched by the public in compliance with the Federal Funding Accountability and Transparency Act of 2008.
- 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**
COMING SOON. Principal Investigators and Sponsored Projects Office staff check the status of grant applications, from submission to decision, submitted to NSF, USDA/CSREES, and DoD/ARO. Account Required.
- Institution and User Management**
COMING SOON. Online tool for Administrators to grants user rights and privileges. Account Required.

Events

- January 12 - 13, 2009
[FDP Meeting](#)
Partnership meeting
- February 9 - 11, 2009
[NCURA Financial Research Administration Conference](#)
Conference
- March 9 - 11, 2009
[SRA North Carolina Chapter Meeting](#)
Partnership meeting

[View All Events](#)

My Weather

37°F
Mostly Cloudy

Arlington, VA
Sat, 10 Jan 2009 10:52 am EST
Enter Your Zip: [go!](#)

Public Services

- Research Spending & Results
- Policy Library
- Research News & Events

Beta Services

- Grants Application Status
- Federal Financial Report
- Institution & User Management



Research.gov Partnerships

- **Research.gov** simplifies the research community's access to information and grant services for **multiple federal agencies**
 - National Science Foundation (Lead)
 - National Aeronautics and Space Administration (Partner)
 - Department of Defense Research (Partner)
 - USDA's Cooperative State Research, Education, and Extension Service (Partner)



Public Facing Services: Research Spending and Results

- Search for federal research award information, including award abstracts and publication

The screenshot displays the Research.gov website interface. At the top, the logo 'Research.gov' is prominent, with the tagline 'POWERING KNOWLEDGE AND INNOVATION' below it. The navigation bar includes links for 'Home', 'Contact Us', 'Site Map', and 'Help', along with a welcome message 'Welcome Anonymous | January 10, 2009'. The left sidebar contains a menu with categories like 'About Research.gov', 'Service Offerings', 'Policy Library', 'Research Spending and Results', 'Partnership Model', 'Partner Agency List', 'Latest News', 'Frequently Asked Questions', 'Apply For Grants', and 'Feedback'. The main content area is titled 'Research Spending and Results Search' and features a 'Quick Search' section with a search bar and a 'DESCRIPTION OF SEARCH FIELDS' link. Below the search bar, there are several search criteria: 'Awardee or Award Information' (with a text input field), 'Funds Obligated to Date Between' (with two currency input fields), 'Project Director/Principal Investigator' (with a text input field), and 'Award Date Between' (with two date input fields). A 'Search' button and a 'Reset' button are located at the bottom of the search criteria. A hint text states: 'Hint: The 'The Awardee or Award Information' text field searches for Awardee, Title, Abstract, and Federal Award ID Number.' At the bottom right of the search area, there is a link for 'ADVANCED SEARCH'.

*Now Available!
NSF and
NASA award
information*



Public-facing Services: Policy Library

- Find Federal and agency-specific policies, guidelines and procedures, including:

The screenshot shows the Research.gov website's Policy Library page. The header features the Research.gov logo with a star and the tagline "POWERING KNOWLEDGE AND INNOVATION". Navigation links include Home, Contact Us, Site Map, and Help. The main content area is titled "Policy Library" and contains several sections: "Relevant Statutes", "Regulations", "OMB Circulars & Agency-Specific Policies", "IGNet Federal Inspectors General", "Draft Policies", "Terms & Conditions", and "Federal Demonstration Partnership". Each section includes a brief description and a link to "MORE" information. A sidebar on the left provides a "Policy Library" menu with links to "Policy Home", "Relevant Statutes", "Regulations", "OMB Circulars & Agency-Specific Policies", "IGNet Federal Inspectors General", "Draft Policies", "Terms & Conditions", "Federal Demonstration Partnership", "Specialized Topics", "Office of Science & Technology Policy", "Science & Engineering Statistics", and "Other Resources". Below the sidebar is an "About Research.gov" section with a photo of people working and text describing the site's mission.

- Laws
- Regulations
- OMB circulars
- Agency Policies
- Draft Policies
- Terms & Conditions
- FDP Repository
- Specialized Topics
- OSTP links
- Science & Engineering Stats
- Other Resources





Public-facing Services: Research News and Events


- Get the latest news and events for the research community and multiple federal

Headlines

January 08, 2009 [View All Headlines](#)


[Hubble Views Galactic Core in Unprecedented New Detail](#)
January 05, 2009 - This composite color infrared image of the center of our Milky Way galaxy reveals a new population of massive stars and new details in complex structures in the hot ionized gas swirling around the central 300 light-years. [More](#)


[Respect for Sacred Values is Key to Conflict Resolution](#)
January 07, 2009 - A team of researchers funded by the National Science Foundation is investigating the role of ethical and religious beliefs, or "sacred values," in motivating human behavior. The team's most significant finding is that individuals who hold sacred values... [More](#)


[USDA Honors California Researchers for Work in Developing Flood-Tolerant Rice](#)
December 05, 2008 - USDA Chief Scientist and Under Secretary for Research, Education and Economics Gale Buchanan today presented the National Research Initiative (NRI) Discovery Award... [More](#)

- NSF
- NASA
- USDA/CSREES

*Research.gov
gives you access
to all of this
information in
one place*



Beta Services: Federal Financial Report

- **Complete and submit grant financial reports to NSF using the new government-wide standard form.**
- **Status of the FFR Beta:**
 - Available now on Research.gov.
 - Was used by 50 organizations to submit FFRs to NSF for quarter ending December 31, 2008.
 - Beginning in April 2009, all NSF awardees can use Research.gov to submit grant financial reports to NSF.



Beta Services:

Grants Application Status

- **As a researcher or sponsored program office, you can view the status of proposals submitted to:**
 - NSF
 - USDA/CSREES
 - DoD/ARO
- **Status of the Grants Application Status Beta:**
 - Available now on Research.gov.
 - Has already been used by hundreds of organizations to check status for NSF, USDA/CSREES, and DoD/ARO applications
 - Beginning in April, will be available to all applicant organizations



This is Just the Beginning...

- Upcoming Research.gov services :
 - **InCommon Pilot** – Tool to allow grantees to login to Research.gov using credentials issued by their research institution.
 - **Research Performance Progress Reports** - Online tool to complete and submit research performance progress reports using the new government-wide research and related dataset.
 - **Researcher Profile Update** - Integrated online tool to allow Principal Investigators and Reviewers to update their profile in one easy place.



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Welcome Anonymous | January 10, 2009

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Enter Your Zip:
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Ask Early, Ask Often



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