

Research Administrators
Network
February 2012

NSF Updates/Reminders

Senior Project Personnel Salaries and Wages
Policy

- NSF regards research as one of the normal functions of faculty members at institutions of higher education.
- Compensation for time normally spent on research within the term of appointment is deemed to be included within the faculty member's regular organizational salary.

Senior Project Personnel Salaries and Wages
Policy contd.

- As a general policy, NSF limits salary compensation for senior project personnel to no more than two months of their regular salary in any one year.
- This limit includes salary compensation received **from all NSF-funded grants**.
- This effort must be documented in accordance with the applicable cost principles.
- **If anticipated, any compensation for such personnel in excess of two months must be disclosed in the proposal budget, justified in the budget justification, and must be specifically approved by NSF in the award notice.**

Who are Senior Personnel?

- (co) Principal Investigator(s) ~ the individual(s) designated by the proposer, and approved by NSF, who will be responsible for the scientific or technical direction of the project.
- NSF does not infer any distinction in scientific stature among multiple PIs, whether referred to as PI or co-PI.
- If more than one, the first one listed will serve as the contact PI, with whom all communications between NSF program officials and the project relating to the scientific, technical, and budgetary aspects of the project should take place.
- The PI and any identified co-PIs, however, will be jointly responsible for submission of the requisite project reports.

Who are Senior Personnel contd.?

- Faculty Associate (faculty member) ~ an individual other than the Principal Investigator(s) considered by the performing institution to be a member of its faculty or who holds an appointment as a faculty member at another institution, and who will participate in the project being supported.

NIH/DHHS Updates

FY12 Salary Cap (NOT-OD-12-035)

- Now tied to Executive Level II effective for FY12 awards dated 12/23/11.
- Effective now for all DHHS sponsors
- \$179,700 for 12 Month appointments and \$134,755 for 9 month appointments.
- Appointments should be changed to be effective on the first day of the budget period that begins in FY12. Receipt of the award notice for FY12 funds should trigger this action.

FY12 Funding Plan (NOT-OD-12-036)

- FY 12 Awards will be made at FY11 level, inflationary increases in any future years will be removed. Awards already issued for FY12 will be revised.
- The notice does NOT direct applicants to stop using inflationary increases in new applications being submitted.

Responsible Conduct of Research
(NOTOD-10-019)

- Proposals and Progress Reports for K, F, and T awards must include this information.



Two Pilot Processes

- Notice of Two Pilot Processes for Submitting Administrative Supplement Requests Electronically to NIH (NOT-OD-12-024)
- NIH will soon publish two new FOAs to use to apply for Diversity Supplements and Administrative supplements.
- There will actually be two methods to apply for these (eventually replacing the submission on PHS398 forms).
- UM will use the FOA method submitted via eRPM.

Carryover Balances

- Being scrutinized and approval not guaranteed.
- NIH Program people are working with PIs to accept offsets based on estimated unobligated funds on some types of grants (not usually R type awards).

**** SPEND YOUR FUNDS!!!!**

Key Personnel Effort

Those named in the award notice:

- A reduction of 25% or more from the committed level requires PRIOR approval from the sponsor.
- Example: 3 months effort committed (25%). A reduction to 2.25 months requires prior approval (18.75%). Once approved, that is new committed level. If there is a reduction to 2.5 months shown in a progress report, that does not represent the new committed level.
- <http://grants.nih.gov/grants/policy/awardconditions.htm>

Federal Demonstration Partnership (FDP)

FDP

- Mission
 - The Federal Demonstration Partnership (FDP) is an association of federal agencies, academic research institutions with administrative, faculty and technical representation, and research policy organizations that work to streamline the administration of federally sponsored research. FDP members of all sectors cooperate in identifying, testing, and implementing new, more effective ways of managing the more than \$15 Billion in federal research grants. The goal of improving the productivity of research without compromising its stewardship has benefits for the entire nation.

Several Phases

- Phase I - Florida Demonstration Project (1986 - 1988)
- Phase II - Federal Demonstration Project (1988 - 1996)
- Phase III - Federal Demonstration Partnership (1996 - 2002)
- Phase IV - Federal Demonstration Partnership (2002 - 2008)
- Phase V - **Federal Demonstration Partnership** (2008-2014)

10 Federal Agency Alliance Membership

- National Science Foundation (NSF)
- National Institutes of Health (NIH)
- Office of Naval Research (ONR)
- Department of Agriculture (USDA)
- Air Force Office of Scientific Research (AFOSR)
- Army Research Office (ARO)
- Army Medical Research and Materiel Command (AMRMC)
- National Aeronautics & Space Administration (NASA)

10 Federal Agencies contd.

- Environmental Protection Agency (EPA)
 - Department of Homeland Security
- + 105 Institutions and 14 Emerging Research Institutions

** Not all Federal sponsors are members of FDP and not all participating members use all terms in the same ways.

FDP Terms and Conditions

- In 2008 became Research Terms and Conditions (RTC).
<http://www.nsf.gov/awards/managing/rtc.isp>
- Implemented streamlined terms and conditions for research grants
- Increased budget flexibility
- No cost time extensions
- Pre-award costs
- Carry-forward across continuation years
- Technical progress reports/minimal continuation proposals
- Revised OMB A-110

FDP Form

- Used to request ORSP's approval of expenses under the RTC that the PI and Project Team alone cannot approve and implement.
- Used to request approval on an exception basis for expenses normally not allowable as direct costs to Federally sponsored projects (i.e. A-21 expenses).

FDP Form contd.

- The FDP form will soon be revamped to more accurately reflect current policies.
- Actions (or exceptions) that are not covered by the Federal RTC are addressed in the individual sponsors' policies and prior approval requirements.
- *Please discontinue using this form if your project is not Federally Sponsored.* It is not applicable to projects from non-Federal Sponsors.** Please use the eRPM Activity - Project Team Request DRDA Action to contact your PR to initiate a post award change request.

FDP Limitations & Exceptions
The authority extended to universities under FDP is not applicable in all or even most situations.

Agencies not Governed by FDP

- Department of Interior
 - E.g., National Parks or US Geological Service
- Department of State
- Department of Homeland Security
- Defense Threat Reduction Agency (DTRA)
- Defense Advanced Research Project Agency (DARPA)
- National Technical Information Service (NIST)
- US Agency for International Development

Grants or Cooperative Agreements

- FDP rights are limited by award type:
 - Grants (Yes)
 - Cooperative Agreement (Sometimes)
 - DOE's FDP implementation covers Coop Agreements
 - Contracts (No)

Sponsor Intermediaries

- We generally get limited or no flow down of FDP authority from:
 - University subawards/subcontracts
 - National lab subcontracts
 - Private company subcontracts

Exceptions for Governed Agencies (Use The Matrix)

- No-cost time extensions
 - Pre-approval not waived by AFOSR, ARO, ONR
 - For DOE, must notify and will rec' a formal mod
- Rebudget requests
 - Pre-approval required by DOE
- Equipment approvals
 - Pre-approval required by DOE
- Carry forward
 - NIH, DOE, NASA

Electronic Submission Systems

- Numerous electronic systems for submissions
 - Grants.gov, FastLane, EERE, NSPIRES, dtrasubmissions, sbir systems, etc
- Each eSystem unique
 - Registrant: PI vs. SPO
 - Submissions by: PI vs. SPO
 - Login rules: ids, passwords, notice recipients

Agency eSystems Pairings

- NSF = FastLane, Grants.gov
 - Ultimately Grants.gov submissions passed to FastLane
- NIH = Grants.gov
- Energy = Grants.gov, EERE, ARPA-E
 - ARPA-E being phased out, replaced by EERE

Agency eSystems Pairings contd.

- Defense = Grants.gov, others (below)
 - DTRA = dtrasubmissions.net
 - USAMRAA = usamraa direct
 - Navy = ONR AdminWeb
- Homeland Security = DNDO Bids, eGrant
- NASA = NPSIRES
- NOAA = Grantsonline

Examples of eSystems Issues

- Q&A blackout dates
 - Limit opportunity for questions
 - Begin submissions early
- ARO submissions via Grants.gov
 - ORSP must sign off on SF52 (IP rights form)
- DOE's Energy Efficiency & Renewable Energy(EERE) system
 - LOIs: submissions made on behalf of UM
 - Share submission review rights with ORSP
