



National Science Foundation
WHERE DISCOVERIES BEGIN

Federal Demonstration Partnership Conference

Facilitating Research at Primarily Undergraduate Institutions:

- **Research in Undergraduate Institutions (RUI)**
- **Research Opportunity Awards (ROA)**

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Hyatt, Capitol Hill Washington, DC

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Primarily Undergraduate Institutions as Emerging Research Institutions

- Predominantly undergraduate institutions (PUIs) play a critically important role in U.S. science, engineering, and technology through their substantial contributions to education and to research.
- NSF encourages **research** by faculty members at these institutions to ensure a broad national scientific base and to help PUI faculty members stay at the cutting edge of their disciplines.
- Faculty research also strengthens the unique role PUIs have in providing undergraduate students with a strong foundation for careers in science and engineering as well as future graduate study. (A significant number of STEM professionals receive undergraduate degrees from PUIs.)

A PUI is considered to be an accredited college or university that awards Associate's degrees, Bachelor's degrees, and/or Master's degrees in NSF-supported fields, but has awarded 20 or fewer Ph.D./D.Sci. degrees in all NSF-supported fields during the combined previous two academic years.



Facilitating Research at Primarily Undergraduate Institutions

Research in Undergraduate Institutions (RUI)

- *A proposal designation* indicating that research is being undertaken by faculty member(s) at a PUI.
- Proposals to standard NSF research programs from PUIs may include the RUI designation in the proposal title¹.
- RUI-designated proposals must include a Certification of PUI Eligibility.
- RUI-designated proposals must include an RUI Impact Statement.

Proposals from faculty at PUIs need not be submitted as RUI-designated proposals

1. If allowed by the program



Facilitating Research at Primarily Undergraduate Institutions: RUI

Submissions/Deadlines

- Current information on submission of RUI-designated proposals can be found in the Facilitating Research at Primarily Undergraduate Institutions solicitation, [NSF 14-579](#). (Updated information to appear in the upcoming PAPPG.)
- RUI-designated proposals should be submitted in response to existing NSF funding opportunities and must abide by guidelines and deadlines in those documents.

There is no single Foundation-wide deadline for RUI-designated proposals



Facilitating Research at Primarily Undergraduate Institutions: RUI

RUI Impact Statement

- An up-to-five-additional-page narrative, included in the Special Information and Supplementary Documents section, that provides e.g., information on the likely impact of the proposed project on the research environment of the RUI, the impact on the career(s) of the faculty participants, and on the ability of the involved department(s) to better prepare students (including underrepresented minorities) for entry into advanced-degree programs and/or careers in science and engineering.



Facilitating Research at Primarily Undergraduate Institutions: RUI

Certification of PUI Eligibility

- Document must be on institutional letterhead and state only that the institution “hereby certifies that the originating and managing institution is an accredited college or university that awards Associate’s degrees, Bachelor’s degrees, and/or Master’s degrees in NSF-supported fields, but has awarded 20 or fewer Ph.D/D.Sci degrees in all NSF-supported fields during the combined previous two academic years”.

Document must be signed by an Authorized Organizational Representative



Facilitating Research at Primarily Undergraduate Institutions: RUI

Review

- In general, RUI-designated proposals are evaluated competitively alongside other proposals submitted to the same NSF program.
- RUI reviewer instructions, which call attention to the RUI Impact Statement and the special circumstances under which RUI investigators work, are provided to reviewers.



Facilitating Research at Primarily Undergraduate Institutions: RUI Funding

- RUI-designated proposals may be recommended for funding at a program's discretion as a result of the merit review process.
- Funds for RUI-designated awards originate within research and education program allocations.

There is no separate RUI-specific allocation



Research in Undergraduate Institutions

Funding

FY		
2011	Number of Awards	188
	Average Annual Dollars	\$83,702.76
	Average Award Duration (yrs)	3.99
2012	Number of Awards	140
	Average Annual Dollars	\$67,413.67
	Average Award Duration (yrs)	3.84
2013	Number of Awards	149
	Average Annual Dollars	\$112,619.06
	Average Award Duration (yrs)	3.34
2014	Number of Awards	115
	Average Annual Dollars	\$107,962.15
	Average Award Duration (yrs)	3.10
2015	Number of Awards	132
	Average Annual Dollars	\$111,472.75
	Average Award Duration (yrs)	2.96
Total	Number of Awards	724
	Average Annual Dollars	\$95,420.34
	Average Award Duration (yrs)	3.50



Facilitating Research at Primarily Undergraduate Institutions

Research Opportunity Awards (ROA)

- Mechanism to support collaborative research involving faculty member(s) at a PUI as a visiting scientist/engineer as part of NSF-supported projects at other NSF-supported institutions.
- Increases PUI faculty member's research capabilities and effectiveness and enhances the impact of NSF-funded research projects.
- Most ROA activities are summer experiences, but partial support of sabbaticals is sometimes provided.

Faculty/Science Impact



Facilitating Research at Primarily Undergraduate Institutions: ROA

General Information

- Current information on ROA can be found in the Facilitating Research at Primarily Undergraduate Institutions solicitation, [NSF 14-579](#). (Updated information to appear in the upcoming PAPPG.)

The screenshot shows the NSF website with the following content:

- Header:** NSF logo, "National Science Foundation WHERE DISCOVERIES BEGIN", search bar, and "QUICK LINKS".
- Navigation:** FUNDING, AWARDS, DISCOVERIES, NEWS, PUBLICATIONS, STATISTICS, ABOUT NSF, FASTLANE.
- Funding Section:** "Funding" header with a "1" icon. Links include "Find Funding", "A-Z Index of Funding Opportunities", "Recent Funding Opportunities", "Upcoming Due Dates", "Advanced Funding Search", "Interdisciplinary Research", "How to Prepare Your Proposal", and "About Funding".
- Proposals and Awards Section:** "Proposal and Award Policies and Procedures Guide" header. Links include "Introduction", "Proposal Preparation and Submission", "Grant Proposal Guide", "Grants.gov Application Guide", "Award and Administration", "Award and Administration Guide", "Award Conditions", "Merit Review", "NSF Outreach", and "Policy Office".
- Related Section:** "Related" link with the "GRANTS.GOV" logo.
- NSF-wide Section:** "Facilitating Research at Primarily Undergraduate Institutions: ROA" header. A "CONTACTS" link is present.
- CONTACTS:** "RUI/ROA inquiries regarding this announcement should be directed to discipline-specific contacts found at http://www.nsf.gov/crssprgm/rui_roa/contacts.jsp."
- PROGRAM GUIDELINES:** "Solicitation 14-579" (circled in red).
- Important Information for Proposers:** "A revised version of the NSF Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 16-1), is effective for proposals submitted, or due, on or after January 25, 2016. Please be advised that, depending on the specified due date, the guidelines contained in NSF 16-1 may apply to proposals submitted in response to this funding opportunity."
- DUE DATES:** "Full Proposal Accepted Anytime". "Submission deadlines vary by program and proposals must meet program-specific requirements to be considered for review. PIs should contact cognizant program officers for guidance."
- Text:** "All RUI proposals and proposals that contain an ROA component: PIs should contact the appropriate disciplinary program to obtain information about current program deadline dates for proposal submissions. Prospective PIs must consult with the appropriate disciplinary program prior to submitting a request for ROA supplemental funding or re-budgeting of funds in an existing NSF award to support ROA activities."
- SYNOPSIS:** "The Research in Undergraduate Institutions (RUI) and Research Opportunity Awards (ROA) funding opportunities support research by faculty members at predominantly undergraduate institutions (PUIs). RUI proposals support PUI faculty in research that engages them in their professional field(s), builds capacity for research at their home institution, and supports the integration of research and undergraduate education. ROAs similarly support PUI faculty research, but these awards typically allow faculty to work as visiting scientists at research-intensive organizations where they collaborate with other NSF-supported investigators."
- Text:** "Eligible PUIs are accredited colleges and universities (including two-year community colleges) that award Associate's degrees, Bachelor's degrees, and/or Master's degrees in NSF-supported fields, but have awarded 20 or fewer Ph.D./D.Sc. degrees in all NSF-supported fields during the combined previous two academic years."
- Text:** "All NSF directorates may support RUI and ROA funding activities. Funding for these awards is contained within research and education program allocations and not held as a..."



Facilitating Research at Primarily Undergraduate Institutions: ROA

Submission: Proposals

- ROA activities may be supported through:
 - a) Collaborative proposals** to standard NSF funding opportunities, either by means of subawards or an ROA-designated linked-collaborative proposal(s).
 - Prospective PIs are encouraged to contact cognizant program officers regarding questions about ROA-designated submissions.

Proposals that include ROA activities must meet program-specific requirements and deadlines for the research program to which they are submitted.



Facilitating Research at Primarily Undergraduate Institutions: ROA

Submission: Supplements

- ROA activities may be supported through:
 - b) Supplemental funding to existing NSF awards.***
 - Requests must come from the PI of the funded project that will receive the supplemental funds.
 - The PI and the PUI faculty together develop the research plan in the supplement request.
 - The PI of the funded proposal should discuss the proposed supplement with his/her cognizant program officer prior to submitting a formal ROA supplement request.



Facilitating Research at Primarily Undergraduate Institutions: ROA

Submission: Re-budgeting

- ROA activities may be supported through:
 - c) Re-budgeting of funds in existing NSF awards.***
 - The PI and the PUI faculty together develop the research plan for the PUI faculty proposed in the re-budget request.
 - The funded PI should first discuss the re-budget request with his/her cognizant program officer to ensure the feasibility of such a request.



Facilitating Research at Primarily Undergraduate Institutions: ROA

Deadlines

- *There is no single Foundation-wide deadline for a) ROA-designated proposals. ROA-designated proposals submitted in response to standard NSF research solicitations must abide by the guidelines and deadlines for those solicitations.*
- *Requests for b) ROA-related supplements to existing NSF awards will be accepted at any time.*
- *ROA activities supported through c) Re-budgeting of an ongoing NSF award must follow standard NSF guidelines and may occur at any time.*



Facilitating Research at Primarily Undergraduate Institutions: ROA

Documents

- ***All ROAs must include a current, signed “Certification of PUI Eligibility” on institutional letterhead.*** For
 - a) *proposals and b) supplemental funding requests*, this document should be uploaded in the Special Information and Supplementary Documents section of the request.
 - c) *re-budgeting* of an ongoing NSF award, a certification of PUI eligibility and a biographical sketch for the PUI faculty member should be sent by email to the cognizant NSF program officer.



Facilitating Research at Primarily Undergraduate Institutions: ROA

Review

- a) In general, *proposals* with ROA-designated components are evaluated competitively alongside other proposals submitted to the same NSF program.
- b) ROA *supplemental funding* requests generally involve NSF program officer review and are not subject to external merit review .
- c) Notifications to *re-budget* funds in existing NSF awards for ROAs are not subject to external merit review.



Facilitating Research at Primarily Undergraduate Institutions: ROA

Funding

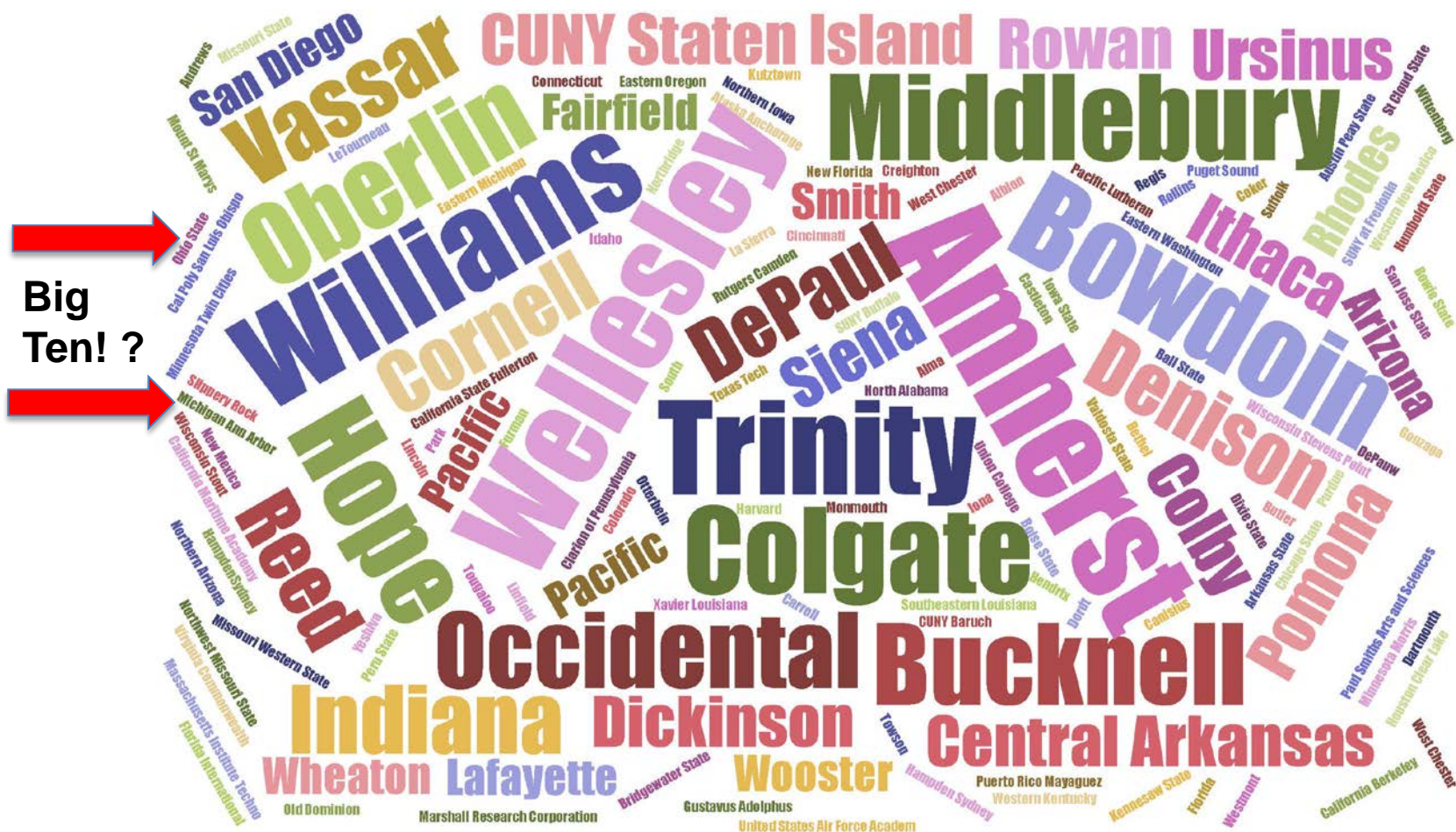
Funds for ROAs originate within research and education program allocations. There is no separate ROA-specific allocation.



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RUI – Active Awards as of 2016 April 12 Institutions

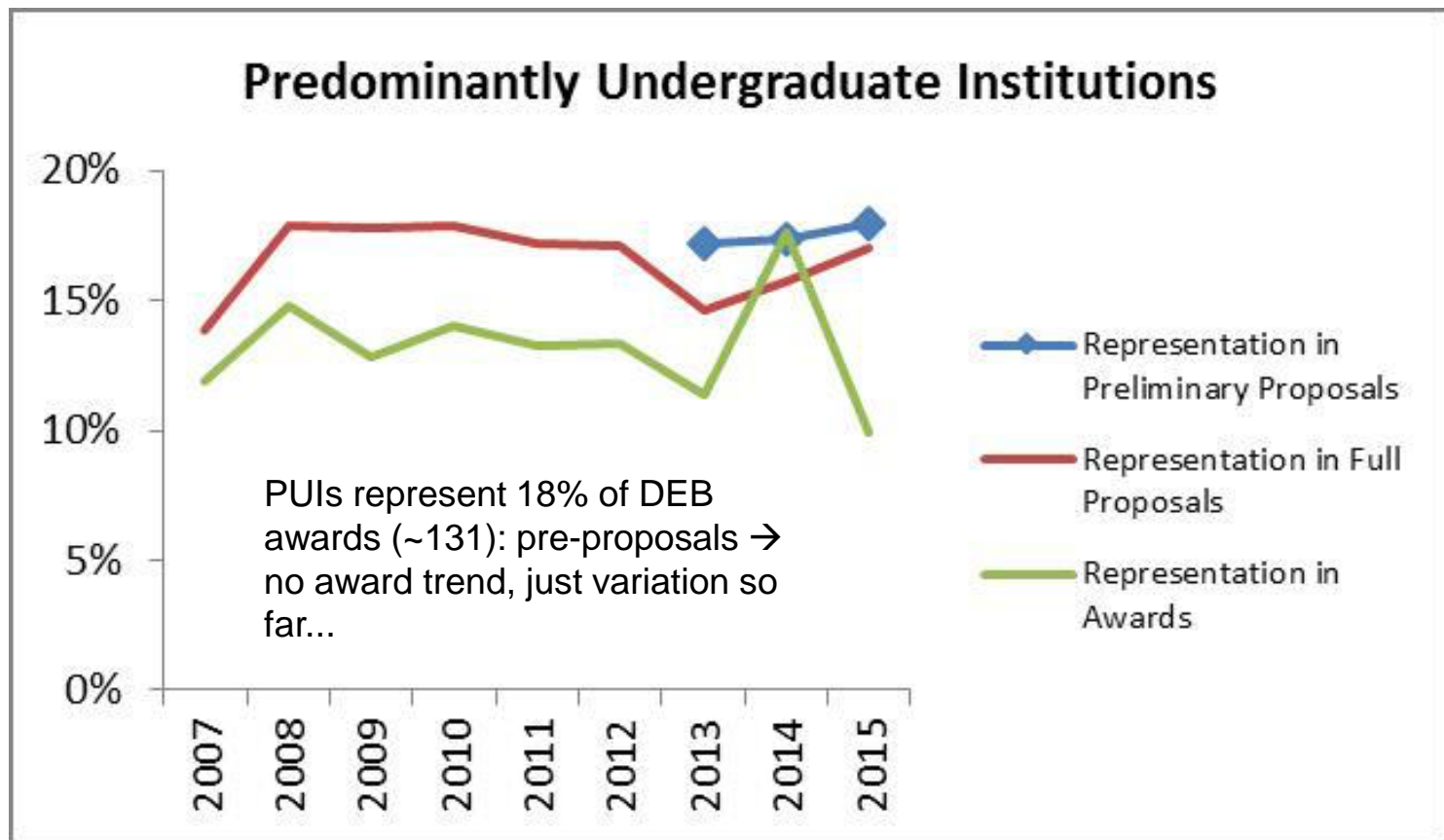






PUIs – Recent BIO/DEB Results (“DEBrief” November 30, 2015)

<https://nsfdeb.wordpress.com/2015/11/30/deb-numbers-fy2015-wrap-up/#more-1262>

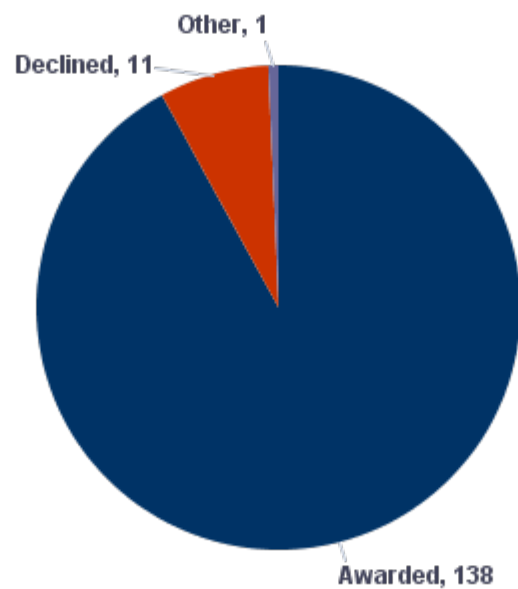




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ROA – Supplement Support (2011-2015)





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Thank You!

Questions: rphelps@nsf.gov