DIVERSITY & INCLUSION: KEYS TO ADDITIONAL GRANT FUNDING

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SUPPLEMENTS ARE SIMPLE!

Just ask!
NSF SUPPLEMENTS

a. In unusual circumstances, small amounts of supplemental funding and up to six months of additional support may be requested to assure adequate completion of the original scope of work. Such requests for supplemental funding support must be signed and submitted by the AOR via use of NSF’s electronic systems at least two months prior to the need for the additional funds and must be adequately justified. Program Officers may make decisions regarding whether or not to recommend a small supplement without merit review of the supplemental request. Requests for larger supplements may require external merit review.

b. A request for supplemental support must be submitted electronically via FastLane and must include:
   (i) A summary of the proposed work;
   (ii) A justification of the need for the supplemental funds; and
   (iii) A budget and budget justification, highlighting the use by budget category of the additional funding as distinguished from the original funding provided in those categories of cost. AORs are required to electronically sign the supplemental funding request via the Authorized Organizational Representative Functions in FastLane.

c. NSF will not approve requests for supplemental support for such purposes as defraying the costs of increases in salaries, wages or staff benefits or for additional indirect cost (F&A) reimbursement, whether caused by a change in the indirect cost rate or by changes in direct cost expenditures which affect the indirect cost base. (See Chapter X.A.2.a.)

d. If approved, the NSF Grants Officer will amend the grant to provide additional funding for the current support period. The amendment notice will specify both the amount of supplemental funding and the cumulative amount awarded through the end date, which normally will remain unchanged.

e. Special NSF programs such as Research Experiences for Undergraduates may provide their funding through supplements to other NSF grants. In such instances, the guidance in this section may not be applicable.

f. If supplemental funding is requested to support a postdoctoral researcher and the original proposal did not include a mentoring plan, then the supplemental funding request must include the requisite mentoring plan, as described in Chapter II.C.2.j. The plan should be uploaded to the “Other Supplementary Documents” section of the FastLane Supplemental Funding Request module. The PI must report on the mentoring activities provided to the individual in annual and final project reports.
SUPPLEMENTS

The use of existing supplement request mechanisms to engage underrepresented minorities and veterans, develop international collaboration, and consider career-life balance is encouraged.

Supplements can be made under an existing NSF award or within a proposal for a new or renewal NSF award. The Principal Investigator should consult with the Program Director of his/her particular NSF award.

- **NSF-NIST Interaction in Basic and Applied Scientific Research in BIO, ENG & MPS (NSF-NIST)**

- **Developing Country Collaborations in Plant Genome Research (DCC-PGR)**

- **Research Assistantships for High School Students (RAHSS): Supplemental Funding to Current BIO Awards to Broaden Participation in the Biological Sciences** - These research experience supplements are intended to encourage talented high school students who are members of minority groups traditionally underrepresented in US science to participate in NSF-supported research projects.

- **Research Experience for Teachers (RET)** - The purpose of these supplemental awards is to facilitate professional development of K-12 science teachers through research experience at the cutting edge of science. The Division is particularly interested in encouraging its researchers to build mutually rewarding partnerships with teachers at inner city schools and less well endowed school districts.

- **Research Experiences for Undergraduates (REU) Supplements** - The purpose of these supplemental awards is to enable undergraduate students to participate in NSF supported research. They provide summer or calendar year stipends for the students and possibly modest supplies for the undergraduate project. The students must be US citizens or permanent residents and may not receive REU support after graduating.
  - guidance from DBI
  - guidance from DEB
  - guidance from IOS
  - guidance from MCB

- **Research Opportunity Awards (ROA)** - The purpose of these supplemental awards is to enable faculty from primarily undergraduate colleges to participate in NSF supported research projects. They can provide support (e.g., salary, per diem, and travel funds) for summer research or during sabbatical leave.
  - guidance from DBI
  - guidance from DEB
  - guidance from IOS
  - guidance from MCB
Supplements

Administrative Supplements

An administrative supplement is a non-competing award that provides additional funding to a currently funded grant to meet increased costs that are within the scope of the approved project, but that were unforeseen when the new or competing renewal application was awarded.

Requirements for Submitting Requests for Administrative Supplements

- Submit a request for supplemental funding before the award expires.
- Consult with the NIH grants management officer and program official assigned to your award before submitting a request for an administrative supplement.
- Review the agency’s and center’s FOA web site to determine any IC-specific submission deadlines or eligibility criteria before submitting an administrative supplement request.
- Identify an appropriate funding opportunity announcement (FOA) by searching the NIH Guide to Grants and Contracts. Use the advanced search feature, use the activity code field and select “Admin Supp.” NIH offers:
  - Administrative supplement FOAs for specific programs such as the Research Supplements to Promote Diversity.
  - A parent administrative supplement FOA for requests that do not fall under a specific program.
- Find the application package linked from the FOA.
- Submit administrative supplement requests in one of three ways: directly to the eRA Commons, through Grants.gov, or on paper. Multi-project applications must be submitted on paper. (Note: per NOTOD-18-111 NIH is requiring all applications for diversity supplements to be submitted electronically as of January 26, 2018.)

Electronic requests submitted through the eRA Commons

- Login to the eRA Commons
- Identify the parent award for which you are submitting a supplement.
- The system will pre-populate as much of the request as possible from information from the initial award. Applicants only need to provide information justifying the supplement.
- Principal investigators or delegates can initiate the request in the Commons, a Signing Official must submit.

Electronic requests submitted through Grants.gov

- Applicants choosing this method will need to complete all required fields in the application package and provide additional information justifying the supplemental dollars as described in the FOA.
- You may not submit a cover letter attachment in applications for administrative supplements. Attempting to include a cover letter will generate an error message and block your application from successful submission.

Paper-based applications

- Send written requests for administrative supplement to the grants management official at the IC that awarded the original funded grant.
- Describe the need for additional funding and include the categorical costs.
- The authorized business official must sign the request.
- The justification should state what “research activities” will not be accomplished if the request is denied.

Admin supplements are available for almost all activity codes, including F1. See the parent FOA for Administrative Supplements to Existing NIH Grants and Cooperative Agreements. Administrative supplements are generally not available for individual fellowship applications. (Note: per NOTOD-18-111 NIH is requiring all applications for single and multi-project diversity supplements to be submitted electronically as of January 26, 2018.)
Administrative Supplements to Existing NIH Grants & Cooperative Agreements (PA-16-287)

PA-16-287

Applicants should review any IC-specific submission deadlines, eligibility criteria, or application before submitting administrative supplement requests under PA-16-287. A list of IC websites for all potential awarding ICs is available below:

NHI Institute or Center

- National Cancer Institute (NCI)
- National Eye Institute (NEI)
- National Heart, Lung, and Blood Institute (NHLBI)
  - Administrative Supplements
- National Human Genome Research Institute (NHGRI)
  - Guidelines for Administrative Supplements (PDF)
- National Institute on Aging (NIA)
- National Institute on Alcohol Abuse and Alcoholism (NIAAA)
- National Institute of Allergy and Infectious Diseases (NIAID)
  - Administrative Supplements to Grants and Cooperative Agreements (PDF)
- National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS)
- National Institute of Biomedical Imaging and Bioengineering (NIBIB)
- Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD)
  - NICHD Policy and Procedures for Administrative Supplements
- National Institute on Deafness and Other Communication Disorders (NIDCD)
  - Guidance from NHI on Administrative Supplements
- National Institute of Dental and Craniofacial Research (NIDCR)
- National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK)
  - Administrative Supplements Guidance
- National Institute on Drug Abuse (NIDA)
  - Administrative Supplements to Grants and Cooperative Agreements
- National Institute of Environmental Health Sciences (NIEHS)
  - General Administrative Supplements
- National Institute of General Medical Sciences (NIGMS)
- National Institute of Mental Health (NIMH)
  - Administrative Supplements to Research Grants and Cooperative Agreements
- National Institute on Minority Health and Health Disparities (NIzMHD)
- National Institute of Neurological Disorders and Stroke (NINDS)
- National Institute of Nursing Research (NINR)
  - Supplements
- National Library of Medicine (NLM)
  - Research Supplements to Promote Diversity in Health-Related Research
  - Research Supplements to Promote Faculty into Biomedical and Behavioral Research Careers
- John E. Fogarty International Center for Advanced Study in the Health Sciences (FIC)
- National Center for Complementary and Integrative Health (NCCIH)
  - Supplements to Existing Grants
- National Center for Advancing Translational Sciences (NCATS)
Funds may be requested:

- To provide funding to meet **unanticipated costs** not included in the previous competitive or non-competitive application
- To provide **funding opportunities for special populations to enter or re-enter biomedical research**.

Special Caveats:

- Administrative supplements may be submitted throughout the fiscal year, but **should be requested at least 90 days prior to the anticipated need and no later than by May 15**.
- Only in rare situations will a supplement request be considered if submitted after this date.
- Due to fiscal and system constraints, **supplements are not awarded in the Oct-Nov timeframe**.
FUNDING FOR DIVERSITY INITIATIVES
NSF INCLUDES

CISE Broadening Participation in Computing
Division of Materials Research: Broadening Participation for Greater Diversity
Broadening Participation in Engineering
Research Related to the Science of Broadening Participation
UNDERREPRESENTED GROUPS MAY INCLUDE:
(BUT ARE NOT NECESSARILY LIMITED TO)

- Women and girls,
- People with disabilities
- Underrepresented minorities (e.g., African Americans, Hispanics, Native Americans, Alaska Natives, Native Hawaiians, and Pacific Islanders)
- English-language learners
- Veterans
- Students from rural or lower socio-economic backgrounds.
DEADLINE
APRIL 2, 2019

- EAGER Proposals – $300,000/2 years
- Conference Proposals
- Coordination Hub
- Alliance Proposals - ~$3 million/5 years
- Supplemental Requests

"Our nation's future prosperity relies on advancing the frontiers of science – and reaching our full potential requires including all Americans in that effort."

- Dr. France A. Córdova

NSF INCLUDES is a comprehensive initiative to enhance U.S. leadership in science and engineering discovery and innovation by proactively seeking and effectively developing science, technology, engineering and mathematics (STEM) talent from all sectors and groups in our society.

By facilitating partnerships, communication and cooperation, NSF aims to build on and scale up what works in broadening participation programs to reach underserved populations nationwide.
19. What is NSF INCLUDES looking for in requests for supplemental funding?

NSF INCLUDES supplements should involve connecting an existing NSF award or a group of NSF awards to, and becoming part of, the NSF INCLUDES National Network. NSF INCLUDES will consider supplemental funding for existing NSF grants to create opportunities among NSF-funded projects with the goal of building a collaborative infrastructure for broadening participation and connection to the NSF INCLUDES National Network. Supplements may also provide seed money for experiments using collaborative change strategies for broadening participation in conjunction with the NSF INCLUDES National Network. Supplement grantees might develop linkages between an NSF-funded project and an NSF INCLUDES Design and Development Launch Pilot. Supplements may also be used to generate new ideas for bringing a community of NSF-funded projects into the NSF INCLUDES National Network. Becoming part of the NSF INCLUDES National Network is the important part of any supplement activity. We do ask that you send us a one-page description of your Supplement idea to NSFINCLUDES@nsf.gov and discuss your idea with your cognizant program officer in advance of formally submitting a supplement request, so that we may discuss with you the appropriateness of your idea prior to your submitting a supplement request.

20. If we have a current NSF INCLUDES Design and Development Launch Pilot project, can we also submit a Supplement request?

Current NSF INCLUDES Design and Development Launch Pilot grantees are not eligible for Supplements.

21. How are NSF INCLUDES Supplements different from Design and Development Launch Pilots (NSF 17-522) or other broadening participation efforts?

Requests for supplements should describe a collaborative change strategy effort to link an existing NSF-funded activity to the NSF INCLUDES National Network and thereby become a part the NSF INCLUDES National Network. Supplements are not held to the requirements for Design and Development Launch Pilots as described in NSF 17-522 and are not considered Design and Development Launch Pilot projects. Supplements should not be used to implement a single intervention for broadening participation (e.g., offering a summer camp or an after-school program) and are not evaluation studies of interventions. In addition, NSF INCLUDES supplements are not supplements for Research Experiences for Undergraduates, or to add undergraduate or graduate assistants to your project, unless their participation is facilitating networking activities. They should also not be used to add new participants or participant groups to an existing intervention.

22. What kinds of outcomes does NSF INCLUDES expect from Supplements?

Supplement grantees might share data with the NSF INCLUDES National Network, present at PI or stakeholder meetings or produce a summary report of lessons learned about broadening participation and collaborative change. Other outcomes of NSF INCLUDES supplements might involve publishing scholarly journal articles about collaborative change or developing a plan or logic model for how NSF-funded projects might join the NSF INCLUDES National Network and sharing that broadly with other NSF grantees through national and disciplinary conferences. We invite other creative ideas for how to link existing NSF grantees to the NSF INCLUDES National Network through supplements. Supplement grantees are expected to participate in the NSF INCLUDES National Network by attending PI and other stakeholder meetings.
CISE Broadening Participation in Computing (BPC)

The National Science Foundation’s (NSF) Directorate for Computer and Information Science and Engineering (CISE) is committed to broadening the participation of underrepresented populations in computing and closely-related disciplines. Indeed, CISE strongly encourages meaningful actions that address the longstanding underrepresentation of various populations including women, minorities (African Americans/Blacks, Hispanic Americans, American Indians, Alaska Natives, Native Hawaiians, Native Pacific Islanders, and persons from economically disadvantaged backgrounds), and persons with disabilities, in the computing field.

In summer 2017, CISE commenced a pilot effort to enhance the community’s awareness of and barriers to broadening participation in computing (BPC), as well as to provide information and resources to principal investigators (PIs) so that they can develop interest, skills, and activities in support of BPC at all levels (K-12, undergraduate, graduate, and postgraduate). Importantly, this effort builds on CISE’s long history of support for BPC. For example, over the last decade, CISE has supported a set of BPC Alliances, which are national and regional collaborations of academic institutions, educators, professional societies, community organizations, and industrial partners that serve to create the best practices, educational resources, advocacy networks, and forums needed to broadly address issues of engagement and education across the K-20 academic pipeline. It also aligns with the recommendations of the CISE Advisory Committee contained in a Strategic Plan for Broadening Participation.

CISE recognizes that BPC requires an array of long-term, sustained efforts from across the spectrum, and that efforts to broaden participation must be innovative, varied, and welcoming of multiple pathways that eliminate or overcome barriers. BPC depends on many factors, including larger institutional programs and activities, and involves changing the culture throughout academia, including within departments, classrooms, and research groups. This culture change begins with enhanced exposure to broadening participation issues and remedies throughout the CISE community. CISE expects to support this enhanced exposure through a range of outreach activities, resource creation, research, and active community engagement in proposals, awards, and review panels.

Towards this end, CISE is pursuing a pilot BPC effort:

- Beginning this fall, CISE will enhance support for the foundations of BPC through dedicated outreach to the community and support for PIs to learn about BPC. In addition, all CISE PIs will be strongly encouraged to include meaningful BPC plans in the Broader Impacts section of submitted proposals, starting with deadlines in fall 2017 (refer to program-specific solicitations for details), and/or to begin preparing to include such plans in future proposal submissions.

- Building on NSF’s experience with center-scale activities such as the Engineering Research Centers (ERC) and Science and Technology Centers (STC) programs, CISE will also pilot a requirement for meaningful BPC plans in all proposals submitted to the Expeditions in Computing program, and to the Frontier competitions of the Cyber-Physical Systems (CPS) and Secure and Trustworthy Cyberspace (SaTC) programs.

- CISE will continue with outreach and education efforts throughout the community and will expand the BPC pilot requirement to additional CISE programs calling for multi-investigator, team-oriented science in fall 2018.

- During this period, CISE will conduct an evaluation of the pilot to assess the effectiveness of the approach and determine appropriate next steps, including potential further expansion of this effort in 2019 and beyond.

For further information concerning CISE’s BPC efforts, please contact CISE_BPC@NSF.gov.
Division of Materials Research (DMR): Broadening Participation for Greater Diversity

NSF has a strong commitment to broadening participation [https://www.nsf.gov/od/broadeningparticipation/bp.jsp]. Groups underrepresented in materials research include women, underrepresented minorities (African Americans, American Indians including Native Alaskans, Hispanics and Native Pacific Islanders), and persons with disabilities.

Selected Active MPS and DMR Activities & Programs Aimed at Broadening Participation

- Partnerships for Research and Education in Materials (PREM) [aimed at the pipeline]
- MPS Graduate Research Supplement for Veterans (MPS- GRSV) Dear Colleague Letter (NSF 15-024)
- MPS Alliances for Graduate Education and the Professoriate - Graduate Research Supplements (AGEP-GRS) Dear Colleague Letter (NSF 16-125)
  - List of AGEP and AGEP-Legacy Institutions

Archived DMR Activities & Programs Aimed at Broadening Participation

- American Competitive and Innovation Fellows, 2010
- American Competitive and Innovation Fellows, 2009
- American Competitive and Innovation Fellows, 2008
- Presentation of DMR's Strategy for Diversity (Fiscal Year 2008)

The links below provide a sampling of information that may help Principal Investigators and others in broadening participation in their activities. This list is not meant to be exhaustive or to imply any special endorsement by DMR (or NSF). Most of these links are specific to Materials Research. More general links can be found on the MPS website [https://www.nsf.gov/mps/broadening_participation/index.jsp].
BROADENING PARTICIPATION IN ENGINEERING (BPE)

Directorate-wide initiative dedicated to supporting the development of a diverse and well-prepared engineering workforce across every educational juncture (e.g., elementary, secondary, and post-secondary levels).

Projects should be informed by the current theoretical and scientific literature as well as add to the extant knowledge base. A successful proposal should, therefore, provide appropriate data to support selection of the targeted group(s), with specific and applicable objectives, demonstrate applicable knowledge of the relevant literature on underrepresentation and describe a clear strategy for improving representation.

Given the breadth of targeted groups, it is expected that all institutions of higher learning (i.e., 2-year and 4-year) have at least one if not more targeted demographics that they could propose a strategy for improving diversity (e.g., creation of a professoriate preparation program for graduate students, development of a postdoctoral program, or creation of a mentoring program for early career faculty).

These demonstration projects should also integrate assessment and evaluation protocols capable of measuring how well they achieve their stated objectives as part of the project management plans. The effectiveness of the proposed evaluation is one aspect of a project's intellectual merit. Similarly, there should be evidence of clear, measureable outcomes and consideration of how the strategy will work for disparate institutions. It is expected that proposed projects would advance our knowledge of this field in many ways.
DCL: STIMULATING RESEARCH RELATED TO THE SCIENCE OF BROADENING PARTICIPATION

SBP research will provide scientific evidence that STEM educators, STEM employers, and policy makers need to make informed decisions and to design effective programs and interventions.

**Institutional and organizational factors** (e.g., studies of organizational, structural, cultural or climate factors that impact STEM participation)

**Cultural and social factors** (e.g., studies of psychological or behavioral factors that affect STEM participation and achievement rates)

**Economic and policy-related factors** (e.g., studies of economic factors that impact STEM participation and the relationship between broader participation and social innovation).
Diversity enhances scientific discovery

NATIONAL INSTITUTES OF HEALTH
Supplemental Funding
GROUPS UNDERREPRESENTED IN THE BIOMEDICAL SCIENCES
(NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES)

- Blacks or African-Americans
- Hispanics or Latinos
- American Indians or Alaska Natives
- Native Hawaiians and other Pacific Islanders
- Individuals with Disabilities
NIH Programming specifically for broadening participation
SUPPLEMENT SUCCESS THROUGH PARTNERSHIPS
Connecting the people, resources, tools, and ideas of UM System research and creative activities for the purposes of growing research, strengthening communication, and increasing engagement to benefit the people of Missouri, the nation, and the world.
On-line platform currently available to UM System researchers for entering, collecting, and tracking evaluation information related to engagement activities.

Benefits to researchers:

- **Access to high-quality evaluation** resources at **minimal cost**.
- Provides a **competitive advantage** in the proposal review process.
- Ability to **aggregate** data for **reporting** at the individual, department, college, institution, and system levels.

arc-binders.missouri.edu
THANK YOU!
Any questions?

TheConnector.Missouri.edu