Program Expectations for FY19
Prospective NRP PIs

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• Congratulations!
• FY19 IREFs and Budget Overview
• FY19 PI Requirements
  • FY19 NPS Research PI Annual Training - Due 30 Aug
  • Research Proposal Package Submission - Due 05 Sep
  • Research Execution
• Discussion
<table>
<thead>
<tr>
<th>FY19</th>
<th>IREFs</th>
<th>Budget Requested</th>
<th>Avg Budget / IREF</th>
</tr>
</thead>
<tbody>
<tr>
<td>USN</td>
<td>194</td>
<td>$25,510,835</td>
<td>$131,499</td>
</tr>
<tr>
<td>USMC</td>
<td>44</td>
<td>$5,324,500</td>
<td>$121,011</td>
</tr>
<tr>
<td>Total</td>
<td>238</td>
<td>$30,835,335</td>
<td>$129,560</td>
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Summary of all IREFs approved for FY19 funding consideration. Of the 238 proposed IREFs, 74 were able to be recommended for funding based on the available FY19 NRP budget.
The service allocation is first divided equally by the number of sponsor organizations (8 USN / 11 USMC). Any remaining funds will carry over to the collaboration reserve ($2M), which will then be allocated to projects that have been identified as priority by an organization or service other than the primary sponsor.

### Allocation Model

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY19 NPS NRP Budget</td>
<td>11.588</td>
</tr>
<tr>
<td>FY19 SBIR Tax (6%)</td>
<td>0.695</td>
</tr>
<tr>
<td>NPS NRP Operating Cost (5%)</td>
<td>0.579</td>
</tr>
<tr>
<td>FY18 Project Completion</td>
<td>0.611</td>
</tr>
<tr>
<td>Prioritized for Collaboration</td>
<td>2.000</td>
</tr>
<tr>
<td>Initial FY19 Allocation</td>
<td>7.702</td>
</tr>
<tr>
<td>FY19 USN (85%)</td>
<td>6.547</td>
</tr>
<tr>
<td>FY19 USMC (15%)</td>
<td>1.155</td>
</tr>
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</table>

**"Equal Share plus Collaboration"**

A look at the allocation model that was used for the FY19 Navy Topics Review Board (TRB) and the Marine Corps Executive Review Board (ERB) funding recommendation process.
NRP Proposal Process - Overview

- Register for and attend FY19 NRP project PI brief.
- Complete FY19 NPS required Annual PI Training.
- Develop a NRP research proposal in collaboration with the Topic Sponsor.
- Develop a NRP FY19 budget.
- Complete the NPS NRP proposal routing form.
- Email your signed and complete proposal, budget spreadsheet and proposal routing form to: NPS_NRP_POC@nps.edu.

The NRP Funding Guidance page provides information and requirements specific to NRP research participation, proposal submission and project execution.
FY19 Annual PI/PD Training -- Trainings are required for anyone who functions as a PI/PD on sponsored projects at NPS. The three modules cover Accountability/Fiscal Law, Protection of Human Subjects and Stewardship. Training modules are in Sakai. A quick start guide is available on the training site that will assist in getting you through logging in and taking the trainings.

Your account cannot be funded if you have not completed your annual training.
Research Proposal Package - Overview

• Detailed Research Proposal Package (Proposal, Budget/Spend Plan, Routing Form)
  – culmination of iterative discussions with Topic Sponsor
  – definitive agreement of proposed work and the timeline between Topic Sponsor, research PI and the NPS NRP
  – required signatures: the PI’s Dean and Chair and the Topic Sponsor and Dean of Research
  – the NRP reviews and approves the package
  – funds allocated and released to begin research
Due 05 Sep - proposals submitted after the deadline risk delay in account funding
Use current template
PI and Topic Sponsor must sign
All sections required*
Milestones should reflect 14 OCT 2019 PoP expiration
Ability for Topic Sponsor to apply CAC signature
document cannot be edited after signature is applied
Due 05 Sep
FY 19 Period of Performance

• FY19 Standard Period of Performance (PoP):
  10/15/18 – 10/14/19
  – Standard PoP is 10/15/18 - 10/14/19 unless otherwise previously approved.
  – Projects cannot start earlier than 10/15/18.
  – Spend requirement allows for 12 months of work on a project.
  – Last 2 weeks of FY19 PoP (October 1-15) are provided for manpower to complete the project.

The FY19 spend requirement allows for 12 months of work on a project.
The FY19 period of performance is 10/15/18 - 10/14/19 unless otherwise previously approved.
The last 2 weeks of FY19 PoP (October 1-15) are provided for manpower to complete the project.

*Note: As per the IREF submission guidance, requests for alternate PoP outside of the standard should be requested prior to IREF submission. Alternate PoPs can only be considered for a small number of projects. ≤ 10%
Milestones listed should link directly back to the supporting tasks that were identified. Quarterly In-Progress Reviews (IPRs) during the period of performance and a final out-brief to the Topic Sponsor, completion of an NRP Executive Summary, and a NRP Research Poster at the end of the period of performance are mandatory. All other tasks are dependent on the research and should be adjusted as necessary to address the effort. Additional Topic Sponsor data requirements should be identified as soon as possible.

### SCHEDULE, MILESTONES AND DELIVERABLES:

<table>
<thead>
<tr>
<th>Period of Performance Start Date:</th>
<th>10/15/2018</th>
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</thead>
<tbody>
<tr>
<td>Tasks</td>
<td></td>
</tr>
<tr>
<td>1. Review Prior Lit.</td>
<td></td>
</tr>
<tr>
<td>2. Develop Model</td>
<td></td>
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<tr>
<td>6. IPR#1 with Topic Sponsor (Required)</td>
<td>12/31/2018</td>
</tr>
<tr>
<td>3. Provide Evidence</td>
<td></td>
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<tr>
<td>4/6 IPR#2 with Topic Sponsor (Required): Present Findings</td>
<td>03/30/2019</td>
</tr>
<tr>
<td>5. Develop Pilot Program</td>
<td></td>
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<tr>
<td>6. IPR#3 with Topic Sponsor (Required)</td>
<td>06/29/2019</td>
</tr>
<tr>
<td>6. IPR#4 with Topic Sponsor (Required)</td>
<td>09/30/2019</td>
</tr>
<tr>
<td>8. NRP Executive Summary &amp; Project Poster (Required)</td>
<td>10/14/2019</td>
</tr>
</tbody>
</table>

Milestones listed should link directly back to the supporting tasks that were identified. Quarterly In-Progress Reviews (IPRs) during the period of performance and a final out-brief to the Topic Sponsor, completion of an NRP Executive Summary, and a NRP Research Poster at the end of the period of performance are mandatory. All other tasks are dependent on the research and should be adjusted as necessary to address the effort. Additional Topic Sponsor data requirements should be identified as soon as possible.
NRP RDTEN Funding Description

- RDT&E budget activities (BA) are seven broad categories reflecting different types of RDT&E efforts.
- NRP RDT&E funds are categorized as “BA6-RDT&E Management Support” only.
- Review the BA6 category definition prior to developing your IREF.

Budget Activity 6, RDT&E Management Support.

This budget activity includes research, development, test and evaluation efforts and funds to sustain and/or modernize the installations or operations required for general research, development, test and evaluation. Test ranges, military construction, maintenance support of laboratories, operation and maintenance of test aircraft and ships, and studies and analyses in support of the RDT&E program are funded in this budget activity. Costs of laboratory personnel, either in-house or contractor operated, would be assigned to appropriate projects or as a line item in the Basic Research, Applied Research, or ATD program areas, as appropriate. Military construction costs directly related to major development programs are included.

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The advantage to using RDT&E funds is that they are exempt from Indirect. What you receive in your budget, is that exactly how much you have available to spend. The current NPS Indirect model for projects outside of the NPR requires that all payroll and travel receive a 24.99% Indirect tax above the cost. As you can see, payroll and travel budgets stretch significantly further in the NRP than standard research funds.
• **Proposal should:**
  – Contain clear research questions/definition to support research objectives and deliverables

• **Proposal should not Propose/Describe:**
  – only data collection & report generation
  – development of a *prototype, proof of concept/principle*
  – curriculum review/development.
  – only Thesis/Capstone project with Faculty supervision
This spreadsheet is part of the proposal package that is reviewed and signed by the PI, Department Head, Topic Sponsor, and Dean of Research. All budget proposals and subsequent updated spend plans (as needed) must be submitted using the most recent FY19 NRP provided template.

- The monthly spend plan submitted in this budget is a critical element of the program. Although they are estimates of how the PI intends to work on the project, please make every effort to submit a realistic spend plan. Deviations from the spend plan requires NRP leadership approval.

- NRP funds are RDT&E and are appropriated solely for specific selected NRP projects. There must be a logical relationship between funds spent and the selected NRP research project. This money cannot be used for academic/curriculum support.

- See the “READ ME – Guidance” tab in the NRP FY19 budget template for more additional policy/procedure guidance.
Example budget - Populating the data in the lower half of the spreadsheet will automatically feed into the summary at the top, which provides a monthly breakdown and running total.

The FY19 spend requirement allows for 12 months of work on a project. The FY19 period of performance is 10/15/18 - 10/14/19 unless otherwise previously approved. Start date cannot be earlier than 10/15/18. The last 2 weeks of FY19 PoP (October 1-15) are provided for manpower to complete the project.
• Your budget amount should be equal to or less than that stated on your IREF proposal unless you were otherwise notified of an alternate funding award.
• Please make sure that the spend plans are as realistic as possible. They influence how decisions are made during a Continuing Resolution, and also burn rate issues.
• List all employees who will be working on the project. If an employee is not listed on the proposal, payroll approval will be delayed.
• Labor cells do not automatically calculate the labor rate. FY19 fully burdened rate is "Hourly Rate x 153.2%" The NPR is exempt from Indirect Costs. Do not include Indirect Costs.
• Travel should be completed as early in the project as possible - preferably by 30 SEP 19.
• The timeline for all acquisitions must be congruent with the projects period of performance.
• All items listed in the spreadsheet that have gone through this vetting process in advance, have a higher chance of being approved and processed quicker.
Before the fiscal year begins, the NRP cumulates month to month spend plans from each new proposal package, and then we are required to provide an overall month to month spend plan to N1 and BUPERS.

What is the impact of the spend plans?

- N1 use this data to identify how much money we need during a continuing resolution. We cannot ask for more than we can spend during this time, but we also need enough to cover each PI’s requirements.
- N1 holds the NRP accountable to the rate in which we said we would spend the money.
- There are occasions in which N1 sweeps funds that behind schedule.
- If the slower burn rate is bad enough, N1 imposes marks against the program by reducing the overall budget for the following year, which essentially hurts the entire school.
- If N1 sweeps funds that are being spent too slowly, the NRP will not replace the funds later, and yet the agreed upon deliverable is still due.
Each year, the NRP is dependent upon a signed Federal Budget. When the federal budget is signed, the NPR typically received their full year budget. However, if we are in a Continuing Resolution (CR) status, then the NRP will only receive enough money based upon when the CR is scheduled to expire.

Although there are no guarantees until funds are received, this is the model we typically work with in a CR climate:

Each PI will receive funds based upon what they show they need to spend up to the date the CR expires. Until funds actually arrive, we cannot guarantee how much each project will receive during a CR, but based on experience, we have been fairly successful in funding up to the timeline required.

Potential for a CR is high – PIs should make contingency plans when scoping their projects. Like yourself, the NRP has no way of knowing what will happen until it is made public. We advise PI’s to stay apprised of the situation and make contingency plans accordingly. They can do this by reviewing Congress.gov, and the Appropriations for Fiscal Year 2019: https://www.congress.gov/resources/display/content/Appropriations+for+Fiscal+Year+2019
Include Safety Reviews and Control costs in your IREF budget!

The safety team is happy to help you:
Safety@nps.edu or x1072

Examples:
• $2500-$5000 for NSWC Lithium Battery Reviews
• Laser Controls- warning lights, separation barriers, training time, etc.
• Outdoor Activities – NEPA ENV reviews (CATEX, EA, etc)

See Safety Review page for OSHE Hazard identification Tips and Project Description/Planning Tips
https://my.nps.edu/nrp/
The NRP is the official sponsor for these projects. The Sponsor/Sponsor POC is the NRP at NPS. The address and phone number must match the NRP at NPS. The NRP template has this info prefilled. The Topic Sponsors role is purely as an advocate for the project and they have no actual relationship with the funding.

- The electronic fillable copy of the form must be submitted to the NRP.
- Chair and Dean/Director signatures are required.
- NSF research selection (near the top of page 2) must be completed.
- When signed and fully ready, proposal packages should be emailed directly to the NRP (Please do NOT send to the Research Office).
FY19 PI Reporting Expectations

- **NRP External Report Requirements**
  - Project burn rates by PI name

- **Internal Report Requirements**
  - Updated burn rate plans (if +20% behind),
  - Executive Summary
  - Research Poster
  - All other project specific deliverables

- **Adherence Affects Future Participation**

As mentioned the NRP is required to report our monthly spend rate to N1. At that time we will also report the stats to each school at NPS. In addition to deliverables agreed upon with your Topic Sponsor, the NRP Program Office requires that all projects include the following deliverables:
  - Quarterly Topic Sponsor In-Progress Reports (IPRs) (the form of these IPRs is at the discretion of the project PI)
  - Annual Report executive summary input [per the template], and
  - Project Completion Research Poster [per the template].
NRP Important dates are posted 9-12 months in advance when possible. A quick look at the important dates is located on the NRP homepage with a more detailed list of dates located on the NRP Events page. These dates are updated regularly as appropriate. Please check the dates periodically for updates.
Reminders

- All due dates are published on the NRP website
- Email to NPS_NRP_POC@nps.edu
  - Signed proposal
  - Budget spreadsheet
  - Proposal routing form
- Subject line
  - FY19 NRP Research Proposal – IREF ID#, PI Name
- Dates must match across all 3 documents
- Send complete packages only
- Do not send directly to RSPO
- Requirements must be met, regardless of who sends the email – make sure people helping you know the process

https://my.nps.edu/nrp/

- Email your signed proposal, budget spreadsheet and proposal routing form to: NPS_NRP_POC@nps.edu.
- Include the following in your Subject: FY19 NRP Research Proposal - IREF ID #, PI Name. Once reviewed for completion, it will be forwarded to the RSPO to initiate a JON for funding.
- All period of performance and milestone dates, in all three documents, must match.
- Do not send incomplete proposal packages. Incomplete packages cannot be processed and therefore do not meet the deadline. If you are having a delay in submission please reach out and communicate with us but please do not send any incomplete packages.
- When signed and fully ready, proposal packages should be emailed directly to the NRP (Please do NOT send to the Research Office).
- If an admin or another individual is routing the proposal package for you, make sure they are aware of the submission process.
Communication during project execution is very key. If you have any questions, concerns or life changes, please contact us as soon as possible to assisting in making the best way forward with your project.
Questions?

nps_nrp_poc@nps.edu