



NAVAL RESEARCH PROGRAM
NAVAL POSTGRADUATE SCHOOL

Program Expectations for FY18 Prospective NRP PIs

Excellence Through Knowledge
The Nation's Premier Defense Research University

Monterey, California
WWW.NPS.EDU



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Agenda

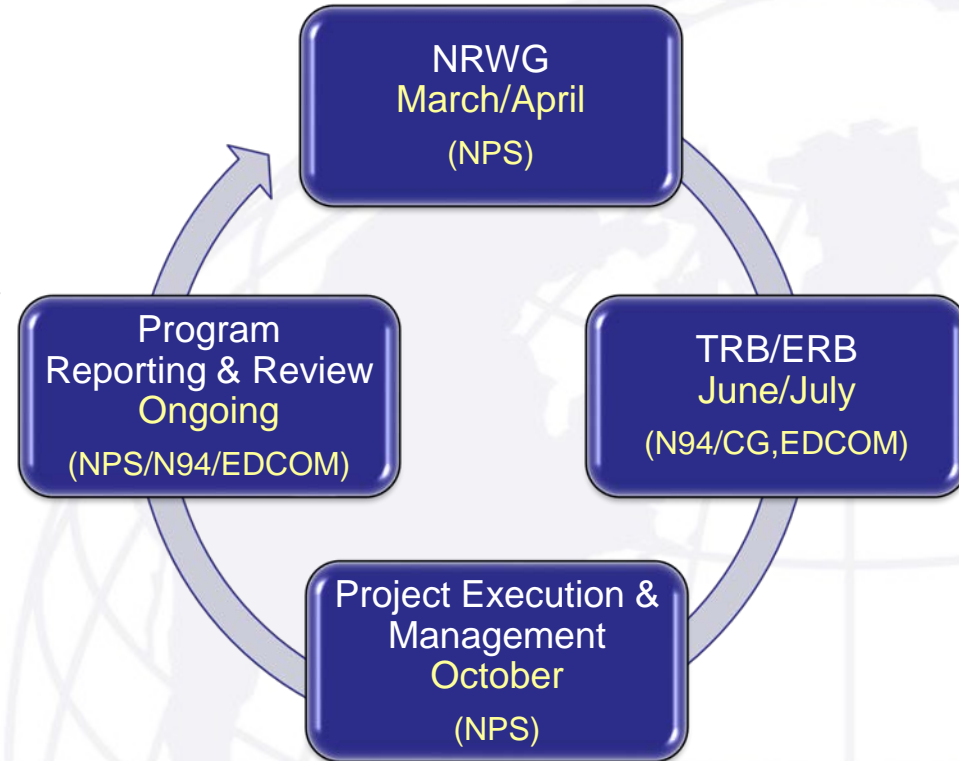
- Congratulations!
- NRP Timeline
- FY18 Topics, IREFs, and Budget
- FY18 PI Requirements
- Discussion



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NRP Overview

- \$12M annually across the Future Years Defense Program
- ~10% of the NPS research portfolio
- Supports operational requirements
- Synchronizes faculty with relevant Navy and Marine Corps issues
- Educates naval leadership about NPS capabilities
- Investment in intellectual capital of the Navy and Marine Corps





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FY 18 Topic and IREF Statistics

FY18

	Topics	Organizations
Total	389	64
USN	288	45
USMC	84	18
Faculty	17	1

	IREFs	Budget Requested	Avg Budget / IREF
Total	283	\$37,326,200	\$131,895
USN	216	\$30,226,442	\$139,937
USMC	67	\$7,099,758	\$105,491

Avg FY17 \$ / Awarded Project

\$115,643



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Topic and IREF Statistics Comparison

FY17

	Topics	Organizations
Total	375	62
USN	244	40
USMC	107	21
Faculty	24	1

FY18

	Topics	Organizations
Total	389	64
USN	288	45
USMC	84	18
Faculty	17	1

	IREFs	Budget Requested*	Avg Budget / IREF
Total	201	\$24,289,249	\$120,842
USN	128	\$15,724,727	\$122,849
USMC	73	\$8,564,522	\$117,322

	IREFs	Budget Requested	Avg Budget / IREF
Total	283	\$37,326,200	\$131,895
USN	216	\$30,226,442	\$139,937
USMC	67	\$7,099,758	\$105,491

Avg FY16 \$ / Awarded Project

\$127,000

Avg FY17 \$ / Awarded Project

\$115,643

*for prioritized IREFs



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FY18 Budget

	(in \$M)
Total FY18 NPS NRP Budget	\$13.800
FY18 SBIR Tax (6%)	\$0.828
NPS Operating costs (5%)	\$0.690
FY17 Projects	\$2.193
Funding available for new FY18 starts	\$10.089
FY18 Navy (85%)	\$8.576
FY18 Marine Corps (15%)	\$1.513



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Proposed Allocation Methods

Allocation Method Definition

Proportional (\$)

Service allocation distributed proportionally based on the amount of money requested by each sponsor organization.

Proportional (IREFs)

Service allocation distributed proportionally based on the number of prioritized IREFs from each sponsor organization.

Equal Share and
Remaining

First, service allocation divided equally by the number of sponsor organizations. Then, those organizations whose equal share exceeds their budget request, make the excess available to those organizations whose budget request exceeds their initial equal share.

Equal Share and
Collaboration

First, service allocation divided equally by the number of sponsor organizations. Then, projects would receive funding if they have been identified as a priority by an organization or service other than the primary sponsor.

Research Funding Results

Funded Projects are **Preliminary**, contingent upon pending approvals.

FY18 NAVY & MARINE IREF/Topic Review Board Results	▼
FY17 NAVY IREF/Topic Review Board Results	▼
FY17 USMC IREF/Topic Review Board Results	▼
FY16 USMC IREF/Topic Review Board Results	▼
FY16 NAVY IREF/Topic Review Board Results	▼

NRP Funded Research Topic - Detailed Topic Proposal & Budget Submission

Completed Research Proposals for FY18 are due by 25 AUG.

PI Researchers selected for funded projects should proceed through the following steps. [\[FY18 NRP Candidate Principal Investigator Checklist\]](#)

1. Attend a [mandatory NRP project PI brief](#).
2. Develop a [NRP research proposal](#) and [NRP budget](#) through collaboration with the Topic Sponsor. When complete, the proposal must be signed by you and the Topic Sponsor.
3. Complete the [NRP proposal routing form](#). The NPS Naval Research Program is the official sponsor for these projects. The form must be signed by your Chair and Dean/Director. DO NOT forward this form and your other documents to the Research Program Office (RSPO).
4. Email your signed proposal, budget spreadsheet and proposal routing form to: NPS_NRP_POC@nps.edu Include the following in your Subject: FY18 NRP Research Proposal - IREF ID #, PI Name. Once reviewed for completion, it will be forwarded to the RSPO to initiate a JON for funding.

These three documents ([NRP research proposal](#), [NRP budget](#) and [NRP proposal routing form](#)) **must be filled out, fully signed, and then submitted to** NPS_NRP_POC@nps.edu

Announcements

Archive ▼

Budget Proposal Hints

Recommendations for how PIs can make the financial experience easier for themselves throughout the life of the project:

Travel	▼
Payroll	▼
Purchase Orders	▼

PI/PD Annual Online Trainings

FY18 Training is available. (posted 24 July 2017)

Trainings are required for anyone who functions as a PI/PD on sponsored projects. The three modules cover Accountability/Fiscal Law, Protection of Human Subjects and Stewardship. Training modules have moved to Sakai. A [quick start guide](#) has been created to get you through logging in and taking the trainings.

- [PI/PD Online Trainings - Sakai](#)

Instructions for accessing the NPS - Research Compliance Training site for the First-time training module user:

(Follow the steps below if you have NEVER taken the training in Sakai. Otherwise you can go directly to the [training](#).)

1. Go to the [Sakai \(https://ole.nps.edu\)](https://ole.nps.edu) site and click on "NPS Users click here to login"
2. Once you are in the site, click on the "Membership" link in the left-hand navigation menu
3. Click on "Joinable Sites" in the Membership banner across the page
4. Search for: *NPS - Research Compliance Training*
5. Click the "Join" link under the course title
6. If you are not taken to the site automatically, you should now see the link in your "Quicklinks" menu, or under the "My Active Sites" list. Click the link to get started.

Once you have completed the steps above, you will be able to go directly to the training site using this link: [NPS - Research Compliance Training](#).

NOTE: To see your **test scores** you'll need to click on the Gradebook link in the right-hand navigation menu.

Responsible Conduct of Research Training for NSF Proposals:

Additional training is required for National Science Foundation proposals involving Faculty Associates working on the sponsored project.

- [SPPGM-11-21: Responsible Conduct of Research \(RCR\) Plan \(pdf\)](#)
- [CITI RCR Training Website](#)
- [RCR Registration Instructions \(pdf\)](#)
- [RCR Certification Form \(pdf\)](#)

Human Subjects/IRB Ethics Training:

If your research requires Institutional Review Board (IRB) review, there are specific training requirements beyond those required by RSPO. Please see the IRB's [Ethics Training](#) page for more information.

Other NPS Training:

Other NPS training is also available on the [NPS Training Page](#). NPS Faculty members are also required to complete the [Unclassified Scholarly Material Public Release Training](#) in Sakai.

Sponsored Programs

- [Proposal Development](#)
- [External & Internal Funding Opportunities](#)
- [Financial Administration](#)
- [Policies](#)
- [Annual Trainings](#)**
- [Research Help Wanted / Help Available](#)

- Contact Information
 - 831-656-3008 (phone)
 - 831-656-2038 (fax)
 - research@nps.edu



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NRP Research Proposal

- **Due COB, 25 Aug**
- Use current template
- PI and Topic Sponsor must sign
- Include milestones, reflecting expiration on 30 Sept 2018, unless otherwise established
- Ability for Topic Sponsor to apply CAC signature – document cannot be edited after signature is applied
- **Due COB, 25 Aug**

FY18 NPS NRP Analysis Proposal

Title: [Taken from your Initial Research Estimate Form]

Proposal Date: [Day/Month/Year] IREF Project ID Number: [NPS-18-XXXX-X]

Naval Postgraduate School / School: [School/Department]

FY18 NPS Naval Research Program (NRP) Terms of Reference for Research Proposal

Purpose: These Terms of Reference establish common understanding of intent, roles, responsibilities, and processes for development, review, approval, and process oversight of research proposals under the Naval Research Program (NRP).

Background: Upon identification of Navy and Marine Corps research topics from topic sponsors and NPS faculty, the Dean of Research issues a solicitation for Initial Research Estimate Forms (IREFs) to the NPS population. Researchers are encouraged to initiate dialogue with potential topic sponsors prior to and during the Naval Research Working Group meeting (NRWG). The back-and-forth exercise between researchers and topic sponsors requires some art to decipher the true needs of the topic sponsor organization. The successful researcher will have the ability to articulate these needs and formulate an IREF approach that the topic sponsor can recognize as clearly satisfying those needs. As a result of the USMC Executive Review Board (ERB) and Navy Topics Review Board (TRB), action to select those IREFs deemed to be Requirements, NPS selects those research projects that can be funded under the FY18 budget. What is now required is a full research proposal, completed using the standard template. This full proposal requires mutual agreement from both researcher and topic sponsor, affirmed through signatures prior to any NRP funds being issued.

Definitions:

NRP Program Office – the NPS NRP organizational lead, residing under the Dean of Research office.

Topic Sponsor – an individual, entity, or organization that has identified an issue to be addressed.

Topic Sponsor POC – an individual that the topic sponsor has designated as the lead for the research.

Tasks: The final research proposal is the culmination of iterative discussions with the topic sponsor. It provides a definitive agreement of the proposed work between the topic sponsor and the research PI. The following essential elements have been identified and are all elements are required to be included in the proposal:

1. **Research Topic:** Describe the specific research topic question or questions being addressed and its importance to the topic sponsor.

2. **Proposed duration of research:** Provide the period of performance. Research conducted under this program is completed in a 12 month period (Periods of Performance exceeding 12 months require consent of the NRP Program Manager).

3. **Research Objectives:** List the objectives or questions that the research intends to address to satisfy the research topic. Within the objectives, the researcher should list the research project deliverables that the topic sponsor should expect at the end of the effort. The deliverables are concrete evidence that the research topic has been fully addressed to the satisfaction of the topic sponsor (i.e. technical report, quad chart(s), debrief, product).



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NRP Proposal Routing Form

- NRP info prefilled as official funding sponsor
- Chair and Dean/Director must sign
- NSF research section required (top of page 2)
- Send completed form to NRP **NOT** the RSPO
- All PIs and CoPIs must sign the routing form to be considered an official PI/CoPI

Naval Postgraduate School Proposal Routing Form (PRF) - SPPGM-12-03			
PI Name:		Proposal Dept:	School:
PI Title (faculty title):		Total Budget:	Phone No:
PI Email:		Period of Performance:	
		From:	To:
Proposal Title:		Competitive Solicitation? <input type="checkbox"/> Yes <input type="checkbox"/> No	
		If yes, cite announcement #	
Sponsor: NPS Naval Research Program		Date Proposal Due: 15 AUG 2016	
Address: NPS, HA-202		Sponsor POC: Rod Abbott	
		Sponsor POC Phone: (831)656-2579	
Activity Type: Choose Type		Sponsor POC Email: rpabbott@nps.edu	
Keywords:		Propose Type	
		List of Collaborators (i.e. Universities, Labs, Industry):	
Special Consideration & Compliance (answer each question yes or no; yes answers require extra information to be provided) REQUIRED			
Yes	No / N/A	Yes	No / N/A
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional or Modified Space required? If yes, attach <u>Resource Requirements Memo</u> .		Will proposed work involve observation of, or interaction with, people or use pre-collected data about people? If yes, see <u>IRB</u> for requirements. If protocol is approved, please provide protocol number.	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Personnel will be hired? If yes, attach <u>Resource Requirements Memo</u> .		Approved Protocol Protocol#: (NPS YYYY ####)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Includes Equipment Purchases greater than or equal to \$5,000? If yes, attach explanation for long-term maintenance requirements.		Will there be Export Controlled Material utilized in the proposed work? If yes, see <u>Export Control</u> for requirements.	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Computer <input type="checkbox"/> Other (attach details) <input type="checkbox"/>		Will the proposed work involve any Safety related hazards listed on the Checklist of OSHE Related Hazards to Consider? If yes, in what areas?	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contractual Support Required? If yes, will NPS space be provided? If yes, attach <u>Resource Requirements Memo</u> .		Aviation/Robotics <input type="checkbox"/> Chem/Air/Waste <input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Electrical/Plumbing <input type="checkbox"/> Laser <input type="checkbox"/>	
Does any part of the proposed work involve or is expected to produce Classified, Restricted or Controlled Information? If yes, review <u>Information Security Manual 5510.2E</u> .		Radar <input type="checkbox"/> Radiation <input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Other: <input type="checkbox"/>	
Restricted or Controlled Unclassified Information <input type="checkbox"/> Classified <input type="checkbox"/>		Will the proposed work be conducted all or in part by Foreign Nationals? If yes, notify the <u>Foreign Disclosure Officer</u> .	
<input type="checkbox"/>	<input type="checkbox"/>	Will any part of the proposed work be Intelligence Related? If yes, notify the <u>Intelligence Oversight Advisor</u> .	
Will the proposed work support the NPS Mission? Describe how:		Will the proposed work support the development, delivery and/or enrichment of one or more curriculum?	
<input type="checkbox"/>	<input type="checkbox"/>	Choose related curriculum:	
		Curric #1: <u>Select One</u>	
		Curric #2: <u>Select One</u>	
		Curric #3: <u>Select One</u>	
Publicly Releasable Abstract (attach a separate page if more space is needed) REQUIRED			



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NRP FY18 Budget

- Use current template
- Guidance tab pictured
- Use IREF proposal budget amount
- Travel
- Payroll
- Purchase orders

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
2	<u>Period of performance</u>														
3	The FY18 spend requirement allows for 12 months of work on project. Anything beyond 12 months requires review and approval from														
4	NRP leadership.														
6	<u>Explanation of the burn rate</u>														
7	The monthly spend plan submitted in this budget is a critical element of the program. Although they are estimates of how the PI intends														
8	to work on the project, please make every effort to submit a realistic spend plan. All NRP project spend plans are submitted to BUPERS,														
9	and the burn rate is reviewed on a monthly basis. Deviations from the spend plan requires NRP leadership approval. The burn rate														
10	(projected vs. executed) is extremely important as slower burn rates result in a loss of funds for the NRP.														
12	<u>How can the money be spent?</u>														
13	NRP funds are RDT&E and are appropriated solely for specific selected NRP projects. There must be a logical relationship between funds														
14	spent and the selected NRP research project.														
16	<u>Payroll - quick tips:</u>														
17	List all employees who will be working on the project. If an employee is not listed on the proposal, payroll approval will be delayed														
18	because the SPFA will be required to obtain additional documentation from the PI.														
20	The NRP funds are not appropriate for employee cash awards. All awards using NRP funds will be reversed upon detection.														
22	Up to 5% of the project budget may be used for administrative staff support. This includes both Contractors and GS employees.														
24	<u>Travel - quick tips:</u>														
25	Allowed are: travel for "this project related" data collections, meetings, and conferences														
27	Not allowed are: travel for academic purposes, thesis development, or other research projects														
29	Student participation is highly encouraged, however, the travel must always align with the research. Please educate your students to														
30	avoid justifications that merely state "for thesis research".														
32	<u>Purchasing - quick tips:</u>														
33	The timeline for all acquisitions must be congruent with the projects period of performance. Acquisitions for computers, equipment,														
34	contracts and MIPRS are ONLY approved for the benefit of the selected NRP project. Therefore, the item must be ordered soon enough														
35	that it arrives early enough to contribute into the deliverable of the project.														
37	Items that cannot be purchased with NRP funds are: cell phones & cell phone services, printers, toners, office supplies that are for general														
38	use, furniture, and publications. (Please refer to the NRP office for NRP related publication expenses)														
40	Blanket terms such as "Mission Essential / Critical" are not to be confused with a valid justification.														
41															

NRP FY18 Budget

Example tab

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
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NRP FY18 Budget

New Budget Template tab

NAVAL I	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
1	FY18 NPS Naval Research Program																	
2																		
3																		
4	Project Title		<Insert Project Title Here>										IREF #		<Insert IREF # here>			
5	Principal Investigator		<Insert PI Name Here>										Budget		\$0.00			
6	Period of Performance		From		10/1/17		to		9/30/18		JON		TBD					
7	<small>Do not edit this section</small>																	
8																		
9																		
10	CATEGORY		Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Total Project Costs:			
11	Labor		-	-	-	-	-	-	-	-	-	-	-	-	-			
12	Travel		-	-	-	-	-	-	-	-	-	-	-	-	-			
13	Equipment		-	-	-	-	-	-	-	-	-	-	-	-	-			
14	Contracts/MIPRS/Transfers		-	-	-	-	-	-	-	-	-	-	-	-	-			
15	Monthly Totals		-	-	-	-	-	-	-	-	-	-	-	-	-			
16	Cumulative Sum		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
17	<small>(Do not include indirect or overhead costs in this spreadsheet)</small>																	
18	<small>Justification & Comments:</small>																	
19	Labor	<insert employee name>																
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33	Labor	<insert employee name>																
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35	Travel	<traveler name & location>																
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48	Equipment	<insert description>																
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59	Contracts/ MIPRS/Transfers																	
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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
 - FY18 NRP Research Proposal – IREF ID#, PI Name
- Dates must match across 3 documents
- Send complete packages only
- Do not send directly to RSPO
- Requirements must be met, regardless of who sends the email

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



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FY18 PI Expectations

- NRP External Report Requirements
 - Project burn rates by PI name
- Internal Report Requirements
 - Updated burn rate plans (if more than 20% behind, Executive Summary, Poster, Survey)
- **Adherence affects future participation**

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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Communication is Key

- Questions?
- Concerns?
- Life Changes?
- Contact us!



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Questions?

nps_nrp_poc@nps.edu

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