Federal Funding Priorities
FY 12 and FY 13

Rich Dunfee,  dunfeer@aascu.org
Key Budget Dates

- President’s FY13 budget request released 2/13/12

- FY 14 administration budget not released—now April

- FY 2013 Sequestration Cuts Began on March 1, 2013

- Continuing Budget Resolution (CR) is scheduled to expire on March 27, 2013.
  Possibility of a one year CR extension.

- Debt Ceiling has been raised until May 18th.
  In reality wont have to be raised again until mid July
Notable FY 12 Increases

- **National Science Foundation** - $7 B (+2.5%)  
  *Note: Technology Innovation Program and Advanced Manufacturing Consortium Program funding was eliminated. Manufacturing Extension Partnership was preserved.*

- **National Institute of Standards and Technology** - $751 M (+0.1%)  

- **U.S. Department of Defense**  
  - Basic and Applied Research - $421 B (+6.5%)  
  - Note: Final bill also included a 10% increase for university partnerships.

- **U.S. Department of Energy**  
  - Office of Energy Efficiency and Renewable Energy - $1.05 B (+36.7%)  
  - Office of Science - $4.5 B (+4.9%)  
  - Advanced Research Projects Agency-Energy (ARPA-E) - $92 M (+53.1%)

- **U.S. Department of Transportation** - $1.1B (+6.4%)  
  *Note: Federal Transit Administration’s Research and University Research Centers budget was cut by 25.*
Notable FY 12 Decreases

- U.S. Department of Agriculture R&D - $1.9 B (-6%)
  
  *Note: National Institute for Food and Agriculture and Agriculture and Food Research Initiative were spared significant cuts.*

- National Aeronautics and Space Administration - $17.8 B (-3.5%)

- National Oceanic and Atmospheric Administration - $620 M (-4.3%)

- U.S. Department of Homeland Security Research, Development, and Innovation accounts – $266M (-59.7%)
What FY 13 Appropriations Mean for Applicants

- All federal agencies, even those that received increases, are tightening their budgets.
- Transparency, accountability, and public access are as important for awardees as they are for agencies.
- Collaboration is required across agencies, sectors, institutions, and disciplines.
- Earmarks are out, competitiveness is in.
- Energy, healthcare, education, and STEM continue as the priorities.
- Innovation is key catch phrase.
Sequestration is a fiscal policy procedure adopted by Congress to deal with the federal budget deficit. Simply put, sequestration is the cancellation of budgetary resources -- an "automatic" form of spending cutback.

The Budget Control Act of 2011 set into law discretionary spending caps for ten years. (FY2012-FY2021) Reduces spending by 900 Billion over 10 years.

These automatic budget cuts were triggered by the Super Committee failing to reach an agreement on spending cuts. 1.2 trillion in automatic cuts between FY 13-21; 50% from defense, 50% from nondefense.
Impact on Education

<table>
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<td>Higher Ed</td>
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<td>Head Start</td>
<td>-$409</td>
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Constrained budgets mean fewer opportunities for funding

In fact, there has been no reduction in the number of federal solicitations...and corporate and philanthropic increases offset federal decreases.

Lower success rates reduce opportunities for first-time awardees

In fact, agencies are under pressure to expand their applicant pools and their support for underrepresented groups, including minorities and early career investigators.
Challenges

- The promotion of undergraduate research and the integration of teaching/learning/research

- Strategic decisions about investments

- The lack of good assessment models to validate our contributions
FY 13 Request

- $7.4 B request, a 4% increase, would restore path to doubling.
- Excellent science isn’t enough.
- Opportunities will require applicants to be explicit about how research will solve national challenges.
- Overall funding rates may continue to decline (22% in FY 11), but only because applicant pool is growing—making room for new players.
$807 million would support these priority programs:

- Cyber-enabled Materials, Manufacturing, and Smart Systems
- Cyberinfrastructure Framework for 21st Century Science and Engineering
- Expeditions in Education
- Innovation Corps
- Integrated NSF Support Promoting Interdisciplinary Research and Education
- Secure and Trustworthy Cyberspace
- Science, Engineering, and Education for Sustainability
NSF in FY 13: What Works and What’s New

- Funding for CAREER and Graduate Research Fellowships awards would increase slightly.
- STEM education would retain significant support.
- NSF and the U.S. Department of Education would provide $30 million each for a new program to improve K-16 math education and knowledge building.
NSF in FY 13: Important for PUls

- Widening Implementation and Demonstration of Evidence-based Reforms (WIDER) program would receive $20 million.

- Transforming Undergraduate Education in STEM (TUES) would receive $61.5 million to improve the quality of STEM education for all undergraduate students.
Science of Broadening Participation  Sponsored by NSF Division of Behavioral and Cognitive Sciences and Division of Social and Economic Sciences (researchers submit proposals to standing programs)

- Cognitive, behavioral, social, and economic sciences approaches are eligible
- Research should identify psychological, sociological, behavioral, and economic causes and consequences of broadening participation
- A primary goal is to provide policymakers with evidence to foster broad participation in STEM and increase U.S. competitiveness
 Investing in early childhood education
 Challenging states to adopt higher academic standards and assessments
 Recruiting, preparing and rewarding effective teachers
 Promoting excellence in schools by expanding charter schools, extending learning time and assisting low-performing schools
 Increasing the number of people earning postsecondary degrees and certificates
 Improving the affordability and quality of postsecondary education
 Aligning job training programs with workforce demands
ED in FY 13

Total request of $69.8B, up from $68.1B

- Transition to Teaching and Arts in Education may be consolidated into other programs.

- First in the World, $55 M program to help scale up completion efforts, is the only FIPSE program slated to have a competition in FY13.
ED Investing In Innovation (i3) Fund

- Illustrates the federal push toward regional collaboration through strong public-private partnerships.
- Offers approximately $150 million in cooperative agreements for Scale-up grants and cooperative agreements or discretionary grants for Validation grants and Development grants.
- Allows eligible entities to:
  1. expand and develop innovative practices that can serve as models of best practices,
  2. work in partnership with the private sector and the philanthropic community,
  3. identify and document best practices that can be shared and taken to scale based on demonstrated success.
ED Fulbright-Hays Programs

- Group Projects Abroad support overseas training, research, and curriculum development in modern foreign languages and area studies for groups of teachers, students, and faculty.

- Doctoral Dissertation Research Abroad provides grants to IHEs to award six to 12 month international research fellowships for doctoral students in modern foreign languages or area studies.

- Seminars Abroad—Bilateral Projects provide short-term study and travel seminars for U.S. educators in the social sciences and humanities to improve their understanding of peoples and cultures of other countries.

- Faculty Research Abroad Fellowships help institutions strengthen foreign language and area studies programs. Next competition expected in FY 13
Economic Adjustment Assistance
Public Works and Economic Development Facilities
University Centers Program
Planning and Local Technical Assistance

Small Business Development Centers
Sixteen federal agencies are working together on this unprecedented initiative to drive job growth through public-private partnerships in at least 20 regions around the country. High-growth clusters from rural and urban regions across the nation will compete for award funds.

The Innovation Accelerator Challenge will accelerate the development of strong industry clusters - like the Research Triangle in North Carolina - that promote robust economic ecosystems and the development of a skilled workforce.
Regional Innovation Clusters competitions in FY 10

* Clemson University, Francis Marion University, South Carolina State University, and UNC Charlotte (*Carolinas Nuclear Collaborative* members)

* Delta State University, Jackson State University, and University of Southern Mississippi (*Enterprise for Innovative Geospatial Solutions* partners)

* Northern Illinois University, Southern Illinois University Carbondale, and University of Illinois at Chicago (*Illinois Science and Technology Coalition* partners, a unit of the *Illinois Smart Grid Regional Innovation Cluster*)

* Cleveland State University, Youngstown State University, and University of Akron (*NorTech* partners)

* (*Upper Michigan Green Aviation Coalition* has 41 partners, including universities, not clear which of our members belong)
RICs - $12 M

I6 Green - 2011

1. iGreen New England Partnership
2. Igniting Innovation (I²) Cleantech Acceleration Network (FL)
3. Proof of Concept Center for Green Chemistry Scale-up (MI)
4. Louisiana Tech Proof of Concept Center
5. Iowa Innovation Council I6 Green Project
6. Washington Clean Energy Partnership Project
RICs - $37 M

Jobs and Innovation Accelerator Challenge
1. GreenME
2. Finger Lakes Food Processing Cluster Initiative
4. Southwestern Pennsylvania Revitalization
5. Northeast Ohio Speed-to-Market Accelerator
7. Advanced Composites Employment Accelerator
8. Atlanta Health Information Technology Cluster
9. Space Coast Clean Energy Jobs Accelerator
10. Milwaukee Regional Water Accelerator Project
RICs - $37 M (continued)

Jobs and Innovation Accelerator Challenge
11. Rockford Area Aerospace Cluster
12. St. Louis Bioscience Jobs and Innovation Accelerator Project
13. Minnesota's Mining Cluster
14. KC Regional Jobs Accelerator
15. The ARK: Acceleration, Resources, Knowledge
16. Center for Innovation and Enterprise Engagement
17. Upper Missouri Tribal Environmental Risk Mitigation
18. Washington Interactive Media Accelerator
19. Portland Regional Clean Tech Advance Initiative
20. San Diego-Imperial Valley Renewable Energy Generation Training/Demonstration Center
RIC – 2012, $9 M

**Alaska**: Bristol Bay Jobs Accelerator Project, $405,023  
**Connecticut**: New England Food Hub Cluster Initiative, $568,150  
**Illinois**: Henry-Rural Rock Island-Mercer Co. Econ Dev Consortium, $193,500  
**Kansas**: Advanced Manufacturing Institute at Kansas St U, $715,000  
**Louisiana-Arkansas**: I-20 Corridor Regional Accelerator, $964,134  
**Mississippi**: Mississippi State University, $1,065,000  
**New Hampshire**: Northern Tier Farm and Forest Jobs Accelerator, $708,750  
**North Carolina**: WNC AgriVentures -- Jobs and Innovation Project, $815,000  
**North Carolina**: Eastern Region Aerospace & Auto Cluster Project, $715,000  
**South Carolina**: Rural Jobs & Innovation Accelerator Challenge, $650,000  
**Virginia**: Appalachian Spring –Asset-Based and Creative Economy Methods to Catalyze Rural Job Acceleration, $815,000  
**West Virginia**: So West Virginia Rural Jobs Accelerator Partnership, $717,985  
**West Virginia**: Value Chain Cluster Initiative, $815,000
SBIR/STTR Programs
http://www.sbir.gov/solicitations

- Coordinated by SBA; authorized through 2017
- 3 phase programs geared toward commercialization
- **Small Business Innovation Research**
  - Only small businesses can apply but universities can partner
  - 12 participating agencies
  - 2.5% of the agency R&D budget; increasing through 2017
- **Small Business Technology Transfer**
  - Small business must formally collaborate with research institutions
  - 5 participating agencies: DOD, DOE, HHS, NASA, NSF
  - 0.3% of the agency R&D budget; increasing through 2017
Figure 4-4
National R&D expenditures, by funding source: 1953–2008

Percent

80
70
60
50
40
30
20
10
0


NOTES: Data for 2008 are preliminary. Other includes universities and colleges, state and local government, and other nonprofit organizations.

SOURCE: National Science Foundation, Division of Science Resources Statistics, National Patterns of R&D Resources (annual series). See appendix table 4-7.

Science and Engineering Indicators 2010

Industry Commitment to R&D

$398B
R&D Funders
Upward Trend Continues
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<th>Source</th>
<th>Performer</th>
<th>Federal Gov't</th>
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<td>2.20%</td>
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Source: Battelle, R&D Magazine
FY 13 Forecast
R&D Magazine, Battelle

- Increase by 2.1% in 2013 to $12.7 billion.

- R&D performed by U.S. academia (funded by all sources) is expected to increase by 0.4% to $66.6 billion.

- Below 3% or larger range in previous Global R&D Funding Forecasts.

- 2013 reduced funding and performance reflects
  - 1) reduced government support due to across-the-board cuts,
  - 2) slower economic growth in the U.S., and
  - 3) the termination of ARRA
Multidisciplinary University Research Initiative (MURI)
Supports multidisciplinary team research at U.S. academic institutions. Focus on basic science and engineering research of critical importance to national defense.

Awards to Stimulate and Support Undergraduate Research Experiences (ASSURE)
Supports undergraduate research in DoD-relevant disciplines to increase the number of high-quality undergrad science and engineering majors who ultimately decide to pursue advanced degrees
FY 13 Budget

- Research Opportunities in Aeronautics Supports various aeronautic research projects.

- Research Opportunities in Space and Earth Sciences (ROSES)
  Supports research and technology in space and earth sciences.
  Solicitations released year-round.

- Continuing commitment to global climate change research and monitoring system.
DOE FY 13 Highlights

$27.2B in Discretionary Funding (+3.2%)

- $5 billion in funding to the Office of Science. Promotes long-range R&D to keep America competitive in STEM fields

- 80% increase in Energy Efficiency and Renewable Energy applied research funding

- Doubles advanced manufacturing processes and advanced industrial materials R&D funding
Long-Term, Strategic Planning

- Programmatic planning and research priorities across DOE are guided by the 2011 Strategic Plan and the Quadrennial Technology Review.
Specific Funding Opportunities on Office of Science Websites

• Advanced Scientific Computing Research
  – http://science.energy.gov/ascr/funding-opportunities/

• Basic Energy Sciences
  – http://science.energy.gov/bes/funding-opportunities/

• Biological and Environmental Research
  – http://science.energy.gov/ber/funding-opportunities/

• Fusion Energy Sciences
  – http://science.energy.gov/fes/funding-opportunities/

• High Energy Physics
  – http://science.energy.gov/hep/funding-opportunities/

• Nuclear Physics
  – http://science.energy.gov/np/funding-opportunities/

• Workforce Development for Teachers and Scientists
  – http://science.energy.gov/wdts/

• Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR)
  – http://science.energy.gov/sbir/funding-opportunities/
Training fellowship stipends would increase by 2%.

$80 M in new research money would be available for Alzheimer’s disease.

Early career investigators and new investigators are a major priority.
Academic Research Enhancement Award (AREA) Grants - (R15)

- Designed with GRC members in mind
- Limited to institutions receiving less than $6M per year (over last 7 years) from NIH
- Small (for NIH) awards: $300,000 total for up to three years
- Active involvement of undergraduate (preferred) and graduate students in the proposed research is essential
- R15 is a research grant; applications should not focus on student training objectives
- Each NIH institute/center has its own AREA contact.

Annual Deadlines: February 25, June 25, and October 25
Health Resources and Services Administration (HRSA)

- President’s FY 13 Request: $9.034B would mean an increase of nearly $1B since FY 10.

- Approximately $1.1M would support Health Center Program expansion under the Affordable Care Act.

- $71.3M would support health workforce activities. ($15M from the Public Health Fund).

- $250M would support Maternal, Infant, and Early Childhood Visiting Program.
Agency for Healthcare Research and Quality (AHRQ)

- **President’s FY 13 Request:** $408.8M would be an increase of $3.7M over FY 12.
- **Health Information Technology (HIT) Research** would receive $25.6M, level funding.
- $6.7M would support new research grants for investigator-initiated HIT research.
- $12M would support Prevention and Public Health Funds.
Administration for Children and Families

- President’s FY 13 Request of $16.2B would represent a small decrease.
- Priorities remain early childhood health and development and program integrity, quality, and accountability.
- $85M would support Head Start programs.
Highlights of Justice's FY 12 Budget

- $600 million for the Community Oriented Policing Services (COPS) to increase the number of police officers across the U.S.
- $55 million overall for the National Institute of Justice’s research, evaluation and demonstration programs
- $9.5 million for Grants to Reduce Violence Crimes Against Women on Campus

FY 13 Total Request of $27.1 B, down from $27.2

- No major cuts for discretionary grant programs
Corporation for National and Community Service

Highlights of CNS’ FY 12 Budget

- $400 million for the continued expansion of AmeriCorps State and National to almost 80,000 participants
- $70 million for the Social Innovation Fund to increase non-profits’ capacity to offer services in high-need communities

FY 13 Total Request of $1.063B, up from $1.048B
- No cuts for AmeriCorps or Social Innovation Fund
NEA is the nation's largest funder of the arts, supporting art projects in all 50 states, including rural areas, inner cities, and military bases. NEA also provides leadership in arts education.

More likely to fund professional artists and musicians, community arts organizations, local theaters and/or dance groups.

Applicants should ALWAYS consult with Arts Endowment staff to verify eligibility before preparing an application.
NEA Funding Opportunities in the Arts

- Arts Education
- Dance
- Design
- Folk and Traditional Arts
- Literature
- Local Arts Agencies
- Media Arts: Film/Radio/Television
- Art Museums
- Music
- Musical Theatre
- Opera
- Presenting
- State and Regional Theatre
- Visual Arts
Our Town

- Supports “creative place-making” projects that contribute to the livability of communities and place the arts at their core

- Partnerships important

- Grants range from $25,000 to $200,000. Last deadline: January 14, 2013
Grants for Art Projects

**Art Works:** supports a wide range of activities to make the arts more widely available particularly projects that extend to underserved populations. Grants generally range from $10,000 to $100,000. Next deadlines: March 7 and August 8, 2013.

**Challenge America Fast-Track:** supports projects that extend the reach of the arts to underserved populations. Grants are for $10,000. Next deadline: May 23, 2013.
NEA Additional Resources

- Webinar Series: Art Works guidelines for each discipline.
- Recent Grantees
  http://nea.gov/grants/recent/index.html
The California Arts Council

- Encourages public participation in the arts, builds strong arts organizations, assists with professional development, arts education in schools, and promotes awareness of the value of the Arts.

- Administers competitive grant programs and special projects, collecting and disseminating information, and assisting organizations and individuals. http://www.cac.ca.gov/index.php
National Endowment for the Humanities

- Offering grants in the following areas: Education Programs, Preservation & Access, Public Programs, Research Programs, Challenge Grants, Federal/State Partnerships, and the newest and fastest growing division Digital Humanities
- Increased focus on technology, digitization, and constant growth and changes from the Office of Digital Humanities. Appropriations request documents suggest this office will continue to grow.
- Continued emphasis on cultural understanding through Bridging Cultures Program
Major Disciplines Supported by NEH

- History
- Literature
- Art History
- Archaeology
- Philosophy
- Jurisprudence
- Criticism and Theory of the Arts
- Linguistics
- Language (modern and classical)
- Ethics, Comparative Religion
- Those Aspects of Social Sciences which have Humanistic Content
Drafts: NEH is willing to read drafts and provide comments for almost every program, usually up to **four weeks** before the due date of the application. Earlier submission of draft proposals will usually result in a quicker response and more substantive commentary.

Call: If drafts are not accepted or if the deadline is less than four weeks away, call the program officer. Usually they will still be willing and able to give suggestions and advice.

Reapply: There is a sharp increase in the success rate of applications submitted a second or third time.
NEH Programs

- **Fellowships**
  Supports individuals pursuing advanced research that is of value to humanities scholars, general audiences, or both. Projects may be at any stage of development. Next Deadline: May 1, 2013

- **Summer Seminars and Institutes (Participants and Hosts)**
  Supports two to five week faculty development programs in the humanities for school teachers and for college and university teachers.
  Last Deadlines: March 4 and 5, 2013 respectively

- **Institutes for Advanced Topics in the Digital Humanities**
  Supports national or regional (multistate) training programs for scholars and advanced graduate students to broaden and extend their knowledge of digital humanities. Next deadline: March 7, 2013
Bridging Cultures Initiative

- Programs consist of a forum and a workshop on one of two humanities themes: “Civility and Democracy” or “The Muslim World and the Humanities.”

- Awards range from $100,000 to $250,000

- No cost sharing is required, however, NEH is rarely able to support the full costs of projects approved for funding.

- Last Deadline: August, 2012

http://www.neh.gov/grants/guidelines/BridgingCultures.htm
Institute of Museum and Library Services (IMLS)

- Works with libraries and museums to advance innovation, lifelong learning, and cultural and civic engagement.
- Offers a variety of arts and humanities grants including:
  - Conservation Assessment Program
  - Learning Labs in Libraries and Museums
  - National Leadership Grants for Libraries and Museums

http://www.imls.gov/
Promotes the humanities in California. It is also a granting organization, that also implements their own humanities programs and projects.

Cal Humanities plays a critical role across the state in producing, funding, and supporting cultural experiences and events.

Offers Community Stories Grant, California Reads Grant, and California Documentary Project Grant.

http://www.calhum.org/
National Humanities Alliance

- Great source of news on status of funding for the humanities
- Also provides a way to participate in the process by providing an outlet for your concerns regarding research priorities
- Sign up for their newsletter at: http://www.nhalliance.org/
Social and Behavioral Sciences Research

Take a look at these agencies:

- National Science Foundation
- Centers for Disease Control
- Agency for Healthcare Research and Quality
- National Institutes of Health (esp. NICHD, NIA, NINR, NIAAA, NIDA, NIMH)
- USDA (Economic Research Service)
- U.S. Department of Commerce (Census Bureau, Bureau of Economic Analysis)
- U.S. Department of Education
- HUD (Policy Development and Research; Office of University Partnerships)
- U.S. Department of Justice (National Institute of Justice, Juvenile Justice)
- U.S. Department of Labor (Bureau of Labor Statistics)
- National Endowment for the Humanities (humanistic approaches to social/behavioral topics)
- U.S. Department of State (Educational and Cultural Exchanges)
SBE supports research that builds fundamental knowledge of human behavior, interaction, and social and economic systems, organizations and institutions (see http://www.nsf.gov/dir/index.jsp?org=SBE)

Examples of types of programs supported:

- **Science and Society Program** - interactions of engineering, science, technology, and society.
  http://www.nsf.gov/funding/pgm_summ.jsp?pims_id=5324

- **Human and Social Dynamics Program** - supports projects to increase collective ability to anticipate complex consequences of change.

- **Social Psychology Program** - supports basic research on human social behavior, including cultural differences & development over the life span.
  http://www.nsf.gov/funding/pgm_summ.jsp?pims_id=5712&org=BCS&from=home
Until 2009, these initiatives were rare, and even when they were promoted, were in practice meaningless.
**Labor & Education**
- The Trade Act Assistance Community College Career Training (ETA) program

**EDA, SBA, & DOL**
- Jobs and Innovation Accelerator Challenge

**NSF & DOE**
- Quantum Energy and Sustainable Solar Technologies (QESST) program

**NSF & NIH**
- Advancing Health Services through System Modeling Research
Federal Interagency Working Group on Environmental Justice (EJ IWG)

- Established in 1994, the role of the EJ IWG is to guide, support and enhance federal environmental justice and community-based activities.
- Comprised of 17 federal agencies and several White House offices.

- Environmental Protection Agency (Chair)
- Department of Agriculture
- Department of Commerce
- Department of Defense
- Department of Education
- Department of Energy
- Department of Health and Human Services
- Department of Homeland Security
- Department of Housing and Urban Development
- Department of Interior
- Department of Justice
- Department of Labor
- Department of State
- Department of Transportation
- Department of Veteran's Affairs
- General Services Administration
- Small Business Administration
- White House Offices
Advancing Health Services through System Modeling Research –

- fosters new collaborations among health services researchers and industrial and systems engineers, with a specific emphasis on the supportive role of health IT by accepting and reviewing investigator-initiated proposals in this area.
Private Foundation Agenda

- Think of the private sector as a partner to Federal projects and local for-profit initiatives

- Look at the program areas in which your campus can best position itself to work with private foundations

- Examine leaders in economic development in the foundation world

- Highlight various programs the funders offer that colleges and universities personnel can apply to
The Foundation Center

http://www.foundationcenter.org/
Questions

Grants Resource Center
Funding Expertise. Personally Delivered.