



NATIONAL SCIENCE FOUNDATION
GRANTS CONFERENCE

February 29 - March 1, 2016

Hosted by Portland State University



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NSF Policy Update

Speaker

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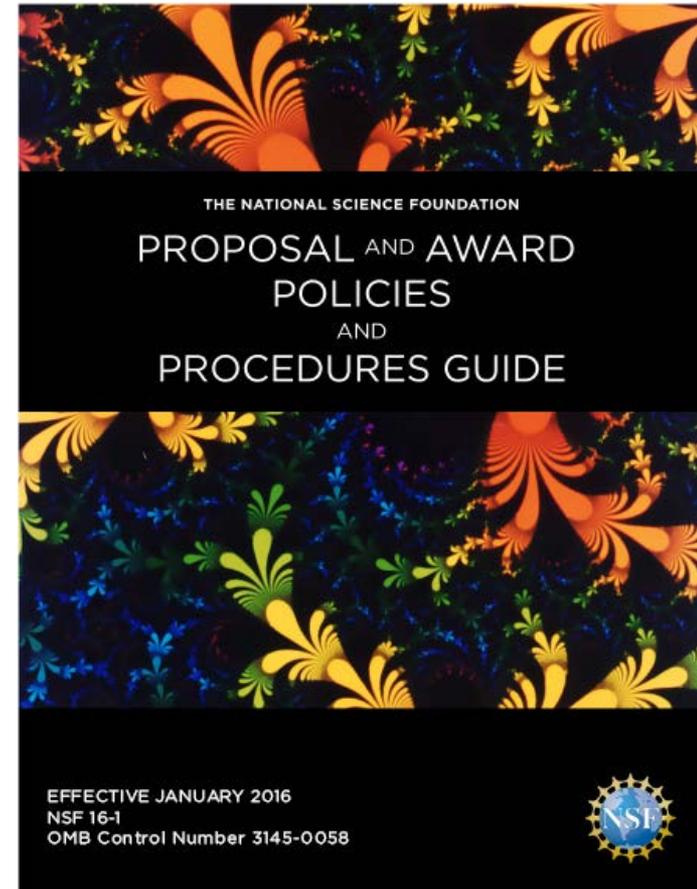
Topics

- Proposal & Award Policies & Procedures Guide (PAPPG) Significant Changes
- NSF Public Access Plan
- Automated Compliance Checking
- Proposal Submission Modernization
- Reducing Administrative Burden – Pilots
- Research Terms & Conditions



NEW PAPPG Implementation Schedule

- October 15, 2015 –
Published
- January 25, 2016 –
Effective Date



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PAPPG – Significant Changes

- AOR will now provide proposal certifications upon submission of the proposal, thus removing the ability for post-submission certification.
- 5 p.m. submitter's local time is standard for all submissions, including proposals submitted in response to solicitations.



PAPPG – Significant Changes (cont'd)

- Language has been removed permitting solicitations to specify different type size, margin and spacing requirements.
- Collaborator and Other Affiliation Information has been removed from Biographical Sketch and will now be submitted as a single copy document.
 - Page limitation on Biographical Sketch remains two pages.
- Use of “should” and “must” has been reviewed throughout, and revised, where appropriate.



Single Copy Documents

Some proposal documents are for “NSF Use Only” and are not provided to reviewers

- Authorization to deviate from proposal preparation requirements
- List of suggested reviewers to include or not to include
- Proprietary or privileged information
- Proposal certifications
- Information about collaborators and other affiliations



Procedures for Natural and Anthropogenic Events

- Proposers should contact the cognizant NSF Program Officer in the Division/Office to which they intend to submit their proposal and request authorization to submit a proposal after the deadline date. Effective January 25, 2016, proposers also must check the “Special Exception to the Deadline Date Policy” box on the NSF Cover Sheet, indicating NSF approval has been obtained. If available, written approval from the cognizant NSF Program Officer should be uploaded with the proposal as a Single Copy Document in FastLane. Proposers should then follow the written or verbal guidance provided by the cognizant NSF Program Officer.



Revised NSF Cover Sheet

COVER SHEET FOR PROPOSAL TO THE NATIONAL SCIENCE FOUNDATION

PROGRAM ANNOUNCEMENT/SOLICITATION NO./DUE DATE NSF 16-509		<input checked="" type="checkbox"/> Special Exception to Deadline Date Policy		FOR NSF USE ONLY	
FOR CONSIDERATION BY NSF ORGANIZATION UNIT(S) (Indicate the most specific unit known, i.e. program, division, etc.) DEB - Long-Term Ecological Research		NSF PROPOSAL NUMBER			
DATE RECEIVED	NUMBER OF COPIES	DIVISION ASSIGNED	FUND CODE	DUNS# (Data Universal Numbering System)	FILE LOCATION
				0748118034567	
EMPLOYER IDENTIFICATION NUMBER (EIN) OR TAXPAYER IDENTIFICATION NUMBER (TIN) 530206152	SHOW PREVIOUS AWARD NO. IF THIS IS <input type="checkbox"/> A RENEWAL <input type="checkbox"/> AN ACCOMPLISHMENT-BASED RENEWAL		IS THIS PROPOSAL BEING SUBMITTED TO ANOTHER FEDERAL AGENCY? YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> IF YES, LIST ACRONYM(S)		
NAME OF ORGANIZATION TO WHICH AWARD SHOULD BE MADE National Science Foundation		ADDRESS OF AWARDEE ORGANIZATION, INCLUDING 9 DIGIT ZIP CODE National Science Foundation 4201 Wilson Boulevard Arlington, VA. 222301000			
AWARDEE ORGANIZATION CODE (IF KNOWN) 4102852000					
NAME OF PRIMARY PLACE OF PERF ProdValid		ADDRESS OF PRIMARY PLACE OF PERF, INCLUDING 9 DIGIT ZIP CODE ProdValid AA.			
IS AWARDEE ORGANIZATION (Check All That Apply) (See GPG II.C For Definitions)		<input type="checkbox"/> SMALL BUSINESS	<input type="checkbox"/> MINORITY BUSINESS	<input type="checkbox"/> IF THIS IS A PRELIMINARY PROPOSAL THEN CHECK HERE	
		<input type="checkbox"/> FOR-PROFIT ORGANIZATION	<input type="checkbox"/> WOMAN-OWNED BUSINESS		
TITLE OF PROPOSED PROJECT SE ProdValid Jenkins Test					
REQUESTED AMOUNT \$ 4,444	PROPOSED DURATION (1-60 MONTHS) 24 months	REQUESTED STARTING DATE 12/12/16	SHOW RELATED PRELIMINARY PROPOSAL NO. IF APPLICABLE		
THIS PROPOSAL INCLUDES ANY OF THE ITEMS LISTED BELOW <input type="checkbox"/> BEGINNING INVESTIGATOR (GPG I.G.2) <input type="checkbox"/> DISCLOSURE OF LOBBYING ACTIVITIES (GPG II.C.1.e) <input type="checkbox"/> PROPRIETARY & PRIVILEGED INFORMATION (GPG I.D, II.C.1.d) <input type="checkbox"/> HISTORIC PLACES (GPG II.C.2.j) <input type="checkbox"/> VERTEBRATE ANIMALS (GPG II.D.6) IACUC App. Date _____ PHS Animal Welfare Assurance Number _____		<input type="checkbox"/> HUMAN SUBJECTS (GPG II.D.7) Human Subjects Assurance Number _____ Exemption Subsection _____ or IRB App. Date _____ <input type="checkbox"/> INTERNATIONAL ACTIVITIES: COUNTRY/COUNTRIES INVOLVED (GPG II.C.2.j) _____			
<input checked="" type="checkbox"/> FUNDING MECHANISM Research - other than RAPID or EAGER		<input checked="" type="checkbox"/> COLLABORATIVE STATUS Not a collaborative proposal			



PAPPG – Significant Changes (cont'd)

- Results from Prior NSF Support have been clarified:
 - Identify when the start of the five year period begins; and
 - Provide examples of the types of NSF awards included as prior support.
- Biographical Sketches and Current and Pending Support information may no longer be submitted as a single PDF (to permit automated compliance checking).
 - There is special treatment for biographical sketches of “Other Personnel” and “Equipment Users”



PAPPG – Significant Changes (cont'd)

- Internal funds allocated toward specific projects has been added as an example of Current and Pending Support.
- Greater clarity has been provided regarding the type of information necessary for proposals that include use of vertebrate animals.
- NSF implementation of Dual Use Research of Concern has been incorporated.
- Language has been added regarding NSF's implementation of the Federal Awardee Performance and Integrity Information System.



PAPPG – Significant Changes (cont'd)

- Post-award Notification and Request instructions have been revised to specify that such communications must be signed and submitted by the AOR.
- Public Access Implementation incorporated into the AAG, with a link to the award term and condition.
- Additional information provided regarding the types of costs appropriate for conference proposals.
- Due date for submission of the final project report and the Project Outcomes Report has been changed from 90 days to 120 days for consistency with financial reporting information.

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NSF Public Access

- Expanding Public Access to the Results of Federally Funded Research (February 22, 2013)
- NSF Public Access Website:
nsf.gov/news/special_reports/public_access/
 - NSF's Public Access Plan
- NSF partnered with DOE to develop NSF-PAR, the first NSF publication repository



NSF Public Access: Next Steps

- Launch NSF's first repository: end of calendar 2015
 - Finalizing wireframes and conducting usability testing
- Effective date of Public Access policy: January 25, 2016
 - Applies to awards made from proposals submitted after January 2016
 - First set of proposals awarded June - July 2016
 - Likely to see first publications requiring deposit in Fall 2016
- Prior to effective date:
 - PIs will have the option to voluntarily deposit publications in NSF-PAR

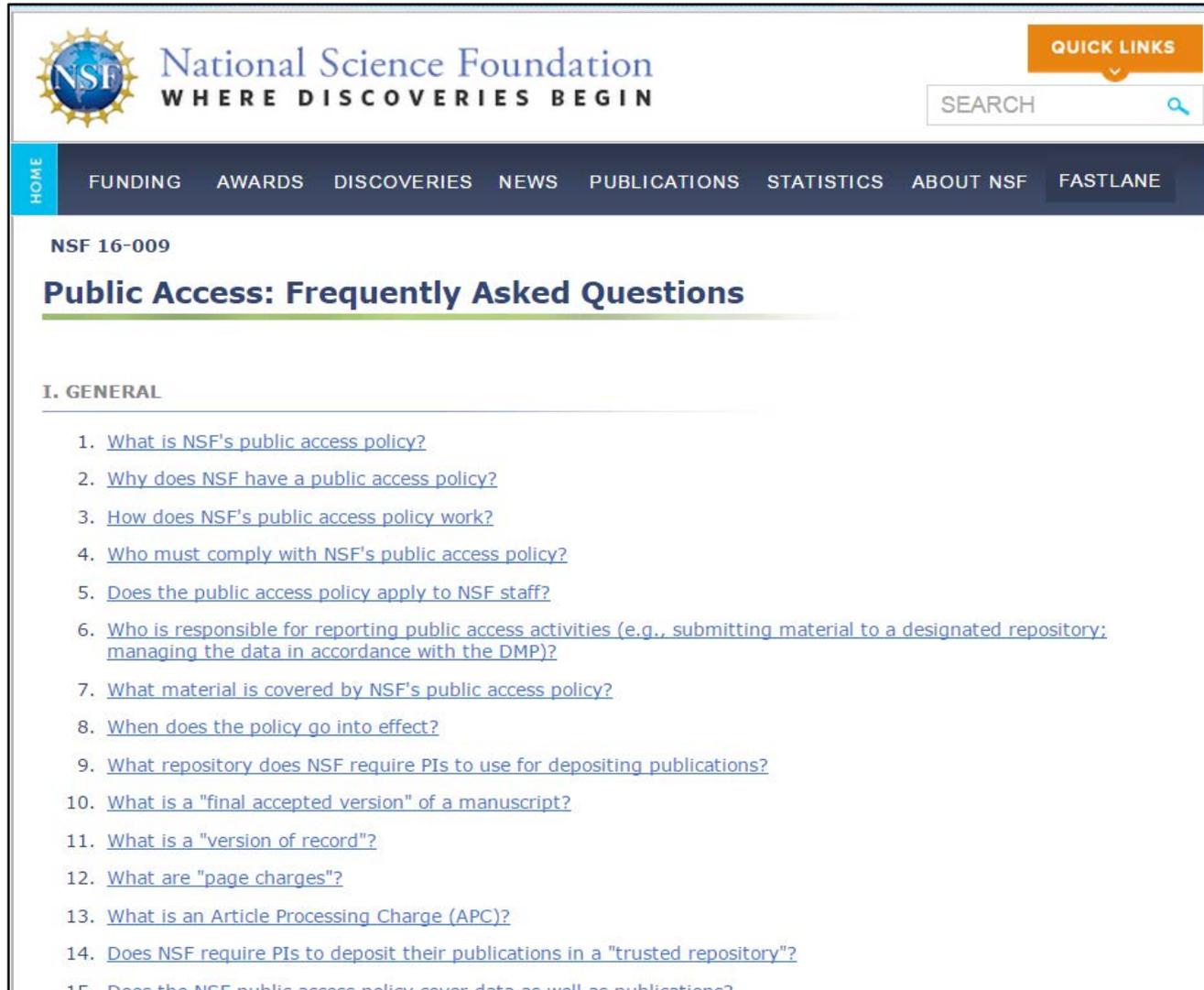


NSF Public Access: Next Steps

- Project Reporting
 - Reduce burden on PIs by automatically ingesting publication information submitted through NSF-PAR into annual and final project reports
 - Cumulative listing of all products
 - Simplify reporting of products
 - Automatic ingest will only happen for awards that must comply with the new Public Access policy
 - NSF will be working with a small group of PIs that will voluntarily deposit publications in NSF PAR to test the automatic ingest process prior to the effective date of new policy



NSF Public Access: FAQs



The screenshot shows the NSF website header with the logo and tagline 'National Science Foundation WHERE DISCOVERIES BEGIN'. A search bar and 'QUICK LINKS' button are in the top right. A navigation menu includes 'HOME', 'FUNDING', 'AWARDS', 'DISCOVERIES', 'NEWS', 'PUBLICATIONS', 'STATISTICS', 'ABOUT NSF', and 'FASTLANE'. The main content area is titled 'NSF 16-009' and 'Public Access: Frequently Asked Questions'. Below this is a section 'I. GENERAL' with a list of 15 numbered questions, each followed by a blue underlined link.

NSF 16-009

Public Access: Frequently Asked Questions

I. GENERAL

1. [What is NSF's public access policy?](#)
2. [Why does NSF have a public access policy?](#)
3. [How does NSF's public access policy work?](#)
4. [Who must comply with NSF's public access policy?](#)
5. [Does the public access policy apply to NSF staff?](#)
6. [Who is responsible for reporting public access activities \(e.g., submitting material to a designated repository; managing the data in accordance with the DMP\)?](#)
7. [What material is covered by NSF's public access policy?](#)
8. [When does the policy go into effect?](#)
9. [What repository does NSF require PIs to use for depositing publications?](#)
10. [What is a "final accepted version" of a manuscript?](#)
11. [What is a "version of record"?](#)
12. [What are "page charges"?](#)
13. [What is an Article Processing Charge \(APC\)?](#)
14. [Does NSF require PIs to deposit their publications in a "trusted repository"?](#)
15. [Does the NSF public access policy cover data as well as publications?](#)



Automated Compliance Checking

- NSF continues to focus on implementing automated proposal compliance checks to increase competitive fairness and reduce burden on both NSF programs and the research community.
- Compliance checks include
 - Deadline date
 - Proposal components
 - Page Counts
 - Budget checks
- Grants.gov does not perform these types of compliance checks and may allow a proposal to be submitted.



Automated Compliance Checking

AUTOMATED PROPOSAL COMPLIANCE CHECKS PERFORMED BY SYSTEM AS OF JULY 24TH, 2015.*

COMPLIANCE CHECK	FUNDING OPPORTUNITY TYPE	ERROR / WARNING	FUNDING MECHANISM TYPE								
			RESEARCH	RAPID	EAGER	IDEAS LAB	CONFERENCE	EQUIPMENT	INTERNATIONAL TRAVEL	FACILITY/CENTER	FELLOWSHIP
Proposal Section Exists Checks											
1. Project Summary is required.	GPG Program Description Program Announcement	ERROR	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Program Solicitation	ERROR	✓	✓	✓	✓	✓	✓	✓	✓	✓
2. Project Description is required.	GPG Program Description Program Announcement	ERROR	✓	✓	✓	✓	✓	✓	✓		
	Program Solicitation	ERROR	✓	✓	✓	✓	✓	✓	✓	✓	✓
3. References Cited is required.	GPG Program Description Program Announcement	ERROR	✓	✓	✓	✓	N/A	✓	N/A		
	Program Solicitation	WARNING	✓	✓	✓	✓	N/A	✓	N/A	✓	✓
4. Biographical Sketch(es) is required.	GPG Program Description Program Announcement	ERROR	✓	✓	✓	✓	N/A	✓	N/A		
	Program Solicitation	WARNING	✓	✓	✓	✓	N/A	✓	N/A	✓	✓
5. Primary Budget is required.	GPG Program Description Program Announcement	ERROR	✓	✓	✓	✓	✓	✓	✓		
	Program Solicitation	ERROR	✓	✓	✓	✓	✓	✓	✓	✓	✓
6. Budget Justification for the Primary Organization is required.	GPG Program Description Program Announcement	ERROR	✓	✓	✓	✓	✓	✓	✓		
	Program Solicitation	WARNING	✓	✓	✓	✓	✓	✓	✓	✓	✓
7. Budget Justification for each Subrecipient Organization that exists is required.	GPG Program Description Program Announcement	ERROR	✓	✓	✓	✓	✓	✓	✓		
	Program Solicitation	WARNING	✓	✓	✓	✓	✓	✓	✓	✓	✓

www.nsf.gov/bfa/dias/policy/autocheck/compliancechecks_jan16.pdf



Proposal Submission Modernization (PSM)

- PSM is a multi-year initiative to modernize the proposal submission capabilities currently in FastLane and implement new capabilities in Research.gov.
- Recent survey results indicate strong interest and support in the following areas:
 - Pre-populating proposals with existing data;
 - Allowing certain documents or approvals (e.g. data management plan, detailed budgets, Institutional Review Board approval) to be submitted after proposal submission;
 - Revising the format of NSF solicitations to identify the difference between solicitation-specific requirements and standard NSF proposal requirements;
 - Tailoring the proposal interface to reflect the requirements of a given funding opportunity;
 - Publishing and enforcing a NSF-wide list of proposal compliance requirements.



Proposal Submission Modernization Development

- NSF kicked off the IT project to modernize proposal preparation and submission
- Planning multi-year effort to improve existing functionality and migrate from FastLane to Research.gov
- Planning to use an iterative approach that will allow:
 - NSF to roll out features as they are developed
 - Incorporation of feedback from user community
 - Smooth transition for FastLane users



Reducing Administrative Burden

- In January 2015, NSF provided an update to the NSB Report, Reducing Investigators' Administrative Workload for Federally Funded Research.
- NSF is identifying pilot projects to reduce PI and NSF staff administrative burden.
- Considerations are related to preliminary proposals, streamlined budgeting, just-in-time submissions, IRB and IACUC protocols, project reporting and proposal development.



Reducing Administrative Burden: Pilot Programs

- “Just-in-Time” budget process for selected core programs in MPS/DMS, MPS/PHY, and SBIR/STTR
 - Require only a textual description of the resources necessary to complete the project.
 - Require detailed budget only if the proposal is recommended for an award.
 - Allows reviewers and NSF staff to focus on the science.
- Reducing Deadlines – Reducing Proposal Numbers in GEO/EAR
 - Do increasing numbers of deadlines increase proposals
 - Two core programs switching to no deadlines to assess proposal pressure



Reducing Administrative Burden: Pilot Programs

- “One-Plus” practice for select SBE/SES and SBE/BCS programs
 - Two programs with large volume of proposals invite “promising proposals” that were not recommended to submit in the next review cycle.
 - Strategy to invite promising, though declined proposals in the subsequent review cycle.
- Improving the IACUC process – award to PRIM&R
 - Award is to develop a Train-the-Trainer IACUC Institute
 - Goal is to improve oversight of animal care and use programs nationwide by ensuring IACUC accurately apply current regulatory standards
 - Funding also provided by NIH, FDA, and USDA



Research Terms & Conditions

Participating Agencies:

- Department of Agriculture
 - NIFA
- Department of Commerce
 - NIST/NOAA
- Department of Energy
- Department of Homeland Security
- Department of Transportation
 - FAA
- Environmental Protection Agency
- NASA
- NIH – co-Chair
- NSF – co-Chair



Research Terms & Conditions Status

- Federal Register Notice requested comments by December 14, 2015
- Currently analyzing more than 100 comments from 12 institutions
- All comments will be addressed and resolved

http://www.nsf.gov/bfa/dias/policy/fedrctc/draftRTC_2015.pdf



Archived Webcast

- Fall 2015 NSF Grants Conference webcast includes sessions covering:
 - Proposal Preparation
 - Merit Review Process
 - Award Management
 - Proposal & Award Policy Update
 - NSF CAREER Program Overview
- Available for on-demand viewing at:
 - <http://www.tvworldwide.com/events/nsf/151102/>



For More Information

Ask Early, Ask Often!

[nsf.gov/staff](https://www.nsf.gov/staff)

[nsf.gov/staff/orglist.jsp](https://www.nsf.gov/staff/orglist.jsp)

[nsf.gov/about/career_opps/rotators/index.jsp](https://www.nsf.gov/about/career_opps/rotators/index.jsp)

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