IT Modernization Initiatives at NSF
Agenda

• Recent updates and accomplishments
  – Notifications and Requests
  – Usability
  – Automated Compliance Checking

• Research.gov – a look ahead
  – NSF Public Access
  – Usability
  – Proposal Submission Modernization

• Proposal and Award Policies and Procedures Guide (PAPPG) (NSF 16-1) – Impacts to FastLane and Research.gov
  – 5 p.m. deadline submission
  – Authorized Organizational Representative (AOR) submission
  – New Proposal Preparation Policies
Recent Updates and Accomplishments
Notifications and Requests

Available in Research.gov as of October 24, 2015

- Long-term Disengagement of the PI (Principal Investigator)/PD (Project Director) or co-PI/co-PD (3+ months)
- Pre-award Costs in Excess of 90 Days
- Significant Changes in Methods/Procedures
- Significant Changes/Delays or Events of Unusual Interest
- Changes in Objectives or Scope
- Reallocation of Funds Provided for Participant Support Costs
- Change in Person-Months Devoted to Project
- Rearrangements/Alterations in excess of $25,000
- Withdrawal of PI/PD or co-PI/co-PD
- Conflicts of Interest
- Salaries of Administrative or Clerical Staff
- Travel Costs for Dependents
- Additional categories of participant support costs other than 2 CFR § 200.75
- Grantee-Approved No-Cost Extension
- NSF-Approved No-Cost Extension
Notifications and Requests

The remaining notifications and requests will continue to reside in FastLane and will be migrated to Research.gov in the future.

- Substitute PI/PD or co-PI/co-PD
- Subawarding, Transferring or Contracting Out Part of an NSF Award
- PI/PD or co-PI/co-PD Transfer from One Organization to Another
- Annual and Final Cost Share Notification by Recipient

- Awardees must login via R.gov to get to Notification and Requests functionality.
- Notifications & Requests function is available from Awards & Reporting menu on Research.gov.
Features:
• “Prepare New” or view N&Rs needing action
• View all N&Rs whether created in Research.gov or FastLane
• Click the “Go to FastLane” to view N&Rs created in FastLane without signing in again
• N&Rs organized by type
• User will be taken to FastLane if they select a N&R that is not yet available in Research.gov
Usability: Research.gov Homepage

- Updated look, feel and branding to NSF
- Simplified navigation
- Easy access to FastLane
- Enhanced screen width for easier viewing
### Usability: Navigation and Single Sign on

**New top level Navigation – Incorporating Single Sign on FastLane Integration**

#### Enhanced screen width for easier viewing

**Easy access to FastLane**

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#### Project Reporting Dashboard

- Annual, Final and Interim Report
- Create, edit and submit reporting requirements

**Project Outcomes Report**
- Total
- Due (0), Overdue (0), Submitted (1), Not Yet Due (0)

#### NSF FastLane Services

- Proposals, Awards & Status
- Research Administration
- Lookup NSF ID

#### Proposal Status Dashboard

<table>
<thead>
<tr>
<th>Agency</th>
<th>Agency Tracking Number</th>
<th>PD/PI</th>
<th>Submitting Institution</th>
<th>Descriptive Title of Project</th>
<th>Status</th>
<th>Status Date</th>
<th>Requested Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>NSF</td>
<td></td>
<td></td>
<td></td>
<td>Test Proposal - Rgov GAPPS</td>
<td>Pending</td>
<td>01/13/2015</td>
<td>$50</td>
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<td>$50</td>
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</table>

*The displayed proposals have had a status change during the last six months (maximum of 10 displayed). Proposal Statuses are updated nightly for NSF, and every Friday for CSREES.*

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Usability: InCommon Login

• Researchers and SPOs can use their university ID and password to login to Research.gov via InCommon
  – As of October 2015, 68 institutions are connected with Research.gov
  – 68 additional institutions are in the pipeline

• Goals
  – Convenience to research community
  – Integration opportunities with institutions
Usability: InCommon Login

NSF User Log In

There are 2 ways to log in to Research.gov. Use your NSF ID or your organization credentials.

**NSF ID**

- Last Name: 
- NSF ID: 
- Password: 

**Organization credentials**

Select your organization from the drop-down menu below, to be taken to the InCommon Log in page for your organization.

- Pick your organization: 
- Log In

If you don’t see your organization listed - Learn more / Register for InCommon

Log In for NSF Staff  Log In for NSF Visitors
## Usability: InCommon Login Statistics

<table>
<thead>
<tr>
<th>Month</th>
<th>Logins</th>
<th>% of total</th>
<th>% change</th>
</tr>
</thead>
<tbody>
<tr>
<td>September 2015</td>
<td>1,043</td>
<td>6.8%</td>
<td>-23%</td>
</tr>
<tr>
<td>August 2015</td>
<td>1,338</td>
<td>7.7%</td>
<td>-1%</td>
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<td>July 2015</td>
<td>1,349</td>
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<td>-2%</td>
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<td>June 2015</td>
<td>1,371</td>
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<tr>
<td>May 2015</td>
<td>918</td>
<td>6.8%</td>
<td>12%</td>
</tr>
<tr>
<td>April 2015</td>
<td>816</td>
<td>6.5%</td>
<td>11%</td>
</tr>
<tr>
<td>March 2015</td>
<td>735</td>
<td>5.9%</td>
<td>14%</td>
</tr>
<tr>
<td>February 2015</td>
<td>642</td>
<td>6.5%</td>
<td>6%</td>
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<table>
<thead>
<tr>
<th>Rank</th>
<th>University</th>
<th>Total Logins</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>University of Illinois</td>
<td>65</td>
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<tr>
<td>2</td>
<td>Temple University</td>
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<td>Purdue University</td>
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<td>4</td>
<td>Pennsylvania State U</td>
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<td>Texas A&amp;M</td>
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<td>7</td>
<td>North Carolina State U</td>
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<td>8</td>
<td>Berkeley</td>
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<td>9</td>
<td>University of Wisconsin-Madison</td>
<td>40</td>
</tr>
<tr>
<td>10</td>
<td>Clemson</td>
<td>35</td>
</tr>
</tbody>
</table>
Usability: Project Reporting

• Recent changes
  – Added Live Help service (technical support chat) for Project Reporting and at login
  – Unmasked NSF ID at login
  – Relocated Program Officer comments to increase visibility
  – Clarified language on form fields
  – “Clean up” – Standardize layout, language, navigation, optimize layout for readability
Automated Compliance Checking
Unsolicited Proposals

• Auto-compliance checks for unsolicited proposals – January 26, 2015:

• Enforce page count rules for the following proposal sections:
  – Project Description
  – Budget Justification
  – Mentoring Plan
  – Data Management Plan

• Budget Checks: implement duration and requested amount compliance checks
  – Example: maximum requested amount cannot exceed $200,000 for a RAPID proposal

• Enforce proposal sections depending on the funding mechanism type
  – Example: do not enforce References Cited for a Conference proposal
Automated Compliance Checking
Program Solicitations

• Auto-compliance checks for proposals submitted in response to Program Solicitations beginning April 24, 2015:
  – Error message if the following sections are not included (applies to all solicited proposals)
    • Project Summary
    • Project Description
    • Budget
    • Data Management Plan
    • Mentoring Plan (if necessary)
Automated Compliance Checking Program Solicitations

- Auto-compliance checks proposals submitted in response to *Program Solicitations* – July 26, 2015:
- Warning message appears if any of the following sections are not included for the applicable funding mechanism (Conference, Ideas Lab, Facility/Center, and Fellowship):
  - References Cited
  - Biographical Sketch(es)
  - Budget Justification
  - Current and Pending Support
  - Facilities, Equipment and Other Resources
Feedback and Questions
Research.gov – A Look Ahead
NSF Public Access

• Launch NSF’s first repository: December 2015
  – Starting in December, PIs will have the option to voluntarily deposit publications in NSF-PAR

• Effective date of Public Access policy: January 2016
  – Applies to awards made from proposals submitted, or due, on or after January 25, 2016
  – First set of proposals awarded Summer 2016
  – Likely to see first publications requiring deposit in Fall 2016
Usability

• Upcoming areas of focus
  – Decrease session timeouts and prevent data loss
  – Password Self Service
  – Integrate Research.gov and FastLane logins
  – Expand InCommon Network
  – Updates associated with Public Access implementation
  – Cumulative display of product Information from previously approved Project Reports
Proposal Submission Modernization Outreach

• NSF hosted two webinars to brief the research community
• Approximately 600 researchers and SPO staff attended
• Robust discussions with excellent, specific feedback and new ideas
  – Desire to minimize the burden of uploading proposal components
  – Efforts to clarify proposal requirements received praise
  – Tailored interfaces that reflect solicitation requirements received constructive feedback
Proposal Submission Modernization Survey

- NSF sent the survey in June 2015 to 116,638 researchers and administrative staff
- 16,000+ responses received
- Goals of the survey:
  - Gauge user experience with the current proposal process
  - Gather feedback on the improvements suggested in the first round of outreach
  - Seek input from researchers and SPO staff with experience reviewing and submitting proposals
Proposal Submission Modernization Survey

• NSF is analyzing responses and will use them to guide the planning and design of future systems

• Highlights from the survey:
  – Approximately 77% agreed that FastLane meets expectations
  – Nearly 25% of respondents indicated that NSF proposal requirements and systems result in unreasonable administrative burden
  – PI and SPO respondents indicated that there may be room to clarify proposal compliance requirements
    • Over 75% of respondents indicated that expanded compliance checking would be valuable
Proposal Submission Modernization Development

• NSF has kicked off the IT project to modernize proposal preparation and submission
• Currently planning the 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 the user community
  – A smooth transition for users from FastLane
Feedback and Questions
PAPPG (NSF 16-1) – Impacts to FastLane and Research.gov
PAPPG Changes Effective January 25, 2016

• 5 p.m. deadline submission
  – Proposals must be submitted by 5 p.m. local submitter’s time.
  – New organizations will be required to enter time zone information when registering in FastLane
  – For existing organizations NSF will be pre-populating time zone information
  – In cases where time zone cannot be mapped accurately by NSF, organizations will need to update the time zone information on their organization’s profile in FastLane
  – PIs should update the proposal coversheet to select applicable deadline information
PAPPG Changes Effective January 25, 2016

• Authorized Organizational Representative (AOR) Submission
  – AOR signature will be required for the following:
    • Proposal Submission
    • Proposal File Updates
    • Revised Budgets
    • Proposal Withdrawals
    • Notifications and Requests
    • PI Transfers
    • Supplemental Funding Requests
  – NSF will no longer provide a 5-day grace period between the submission of a document to NSF and receiving an AOR signature
  – Sponsor Projects Office (SPO) representatives who do not have AOR permissions will not be able to submit documents to NSF.
  – Organizations should ensure a designee with AOR permissions is available to submit proposals before their respective deadlines through the FastLane Research Administration’s Account Management module
PAPPG Changes Effective January 25, 2016

- New Proposal Preparation Policies
  - Prepare a new single copy document for “Collaborators and Affiliations” for each Senior Personnel listed on a proposal
  - Add a new certification to the coversheet of each Dual Use Research of Concern (DURC)
  - Upload each Current and Pending Support for Key Personnel in a single PDF file or as text associated with the individual. These support documents can no longer be grouped together in a single PDF document
  - Upload each Biographical Sketch of each Key Senior Personnel as a single PDF file or as text associated with the individual
Feedback and Questions
Additional Resources

• Listserv to get updates on events and enhancements to Research.gov and/or FastLane: mailto:system_updates-subscribe-request@listserv.nsf.gov

• NSF Public Access
  – NSF’s Public Access Plan