

NSF Proposal & Award Policy Update



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Speakers

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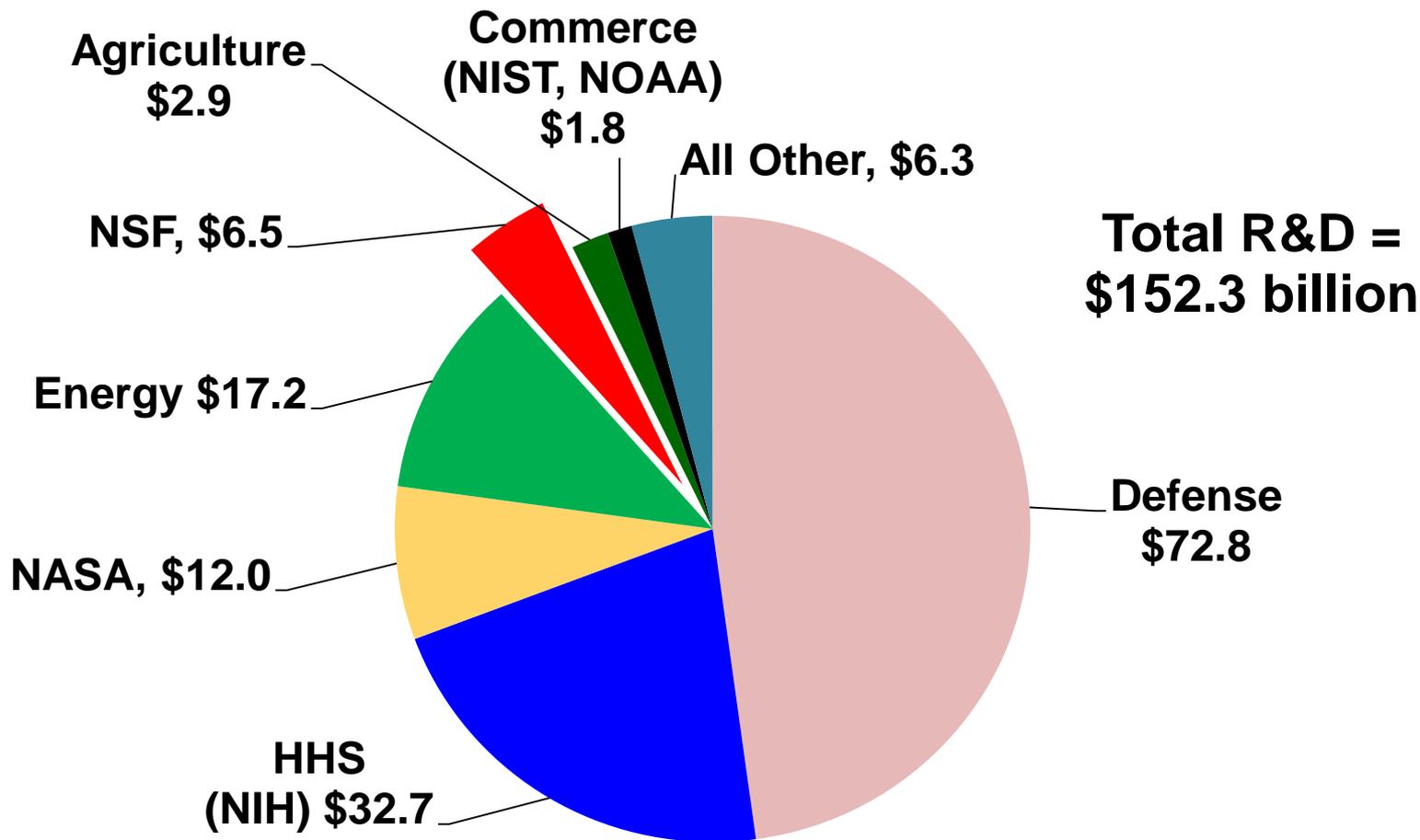
Topics

- NSF Budget Update
- NSF Policy Update
 - Proposal & Award Policies & Procedures Guide (PAPPG) Proposed Significant Changes
- NSF Policy Hot Topics
 - Participant Support
 - Human Subjects – Implementation of 45 CFR 690.118
 - Fair Labor Standards Act (FLSA) and Postdoctoral Salaries
 - Indirect Costs
- Automated Compliance Checking
- Proposal Submission Modernization



FY 2017 Request: Total R&D by Agency

Budget Authority in Billions of Dollars



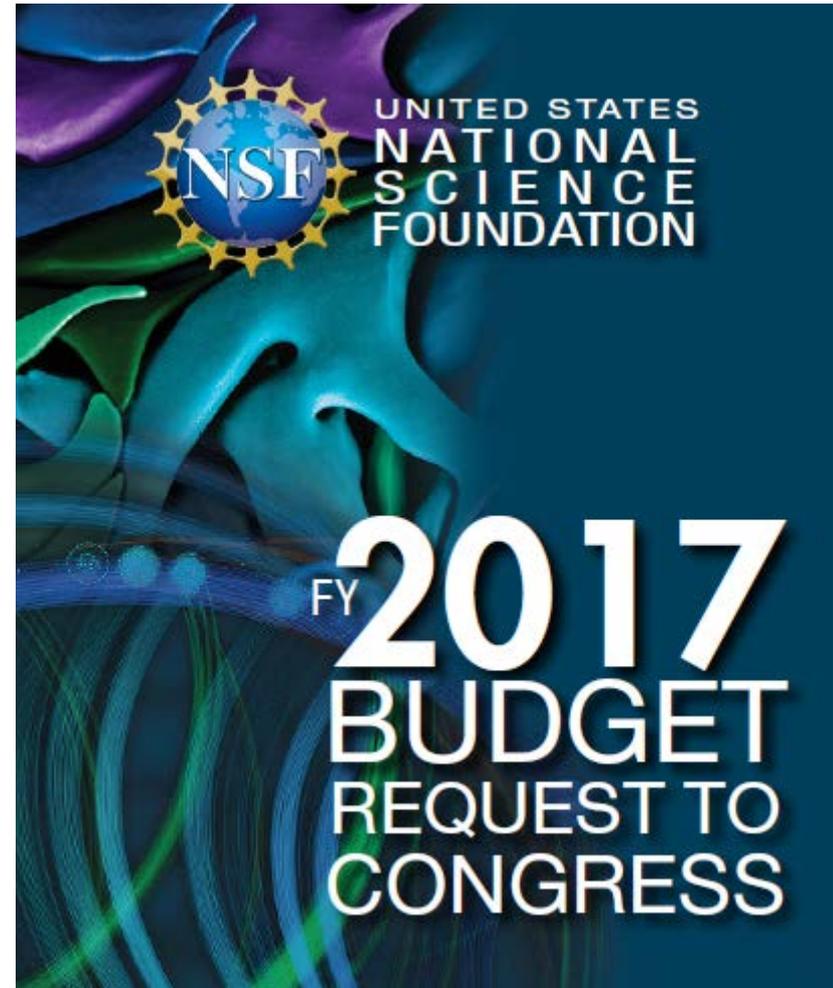
Total NSF Request

\$7.964 billion

- \$501 million increase
- 6.7 percent over FY 2016 Enacted

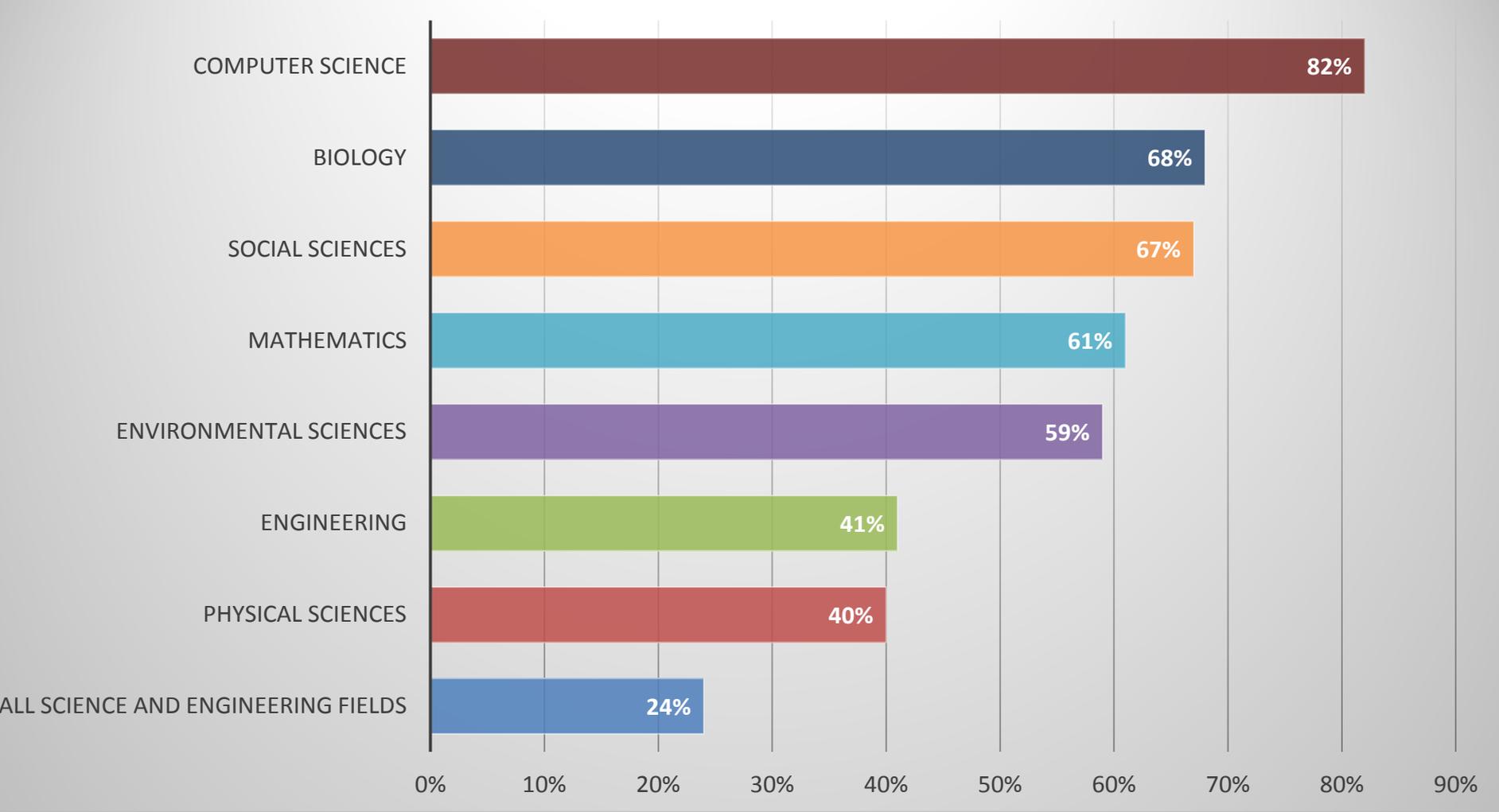
Two Funding Sources

- \$7.564 billion, discretionary funding (+1.3 percent)
- \$400 million, new one-time mandatory/direct spending authority



NSF Support of Academic Basic Research in Selected Fields

(as a percentage of total federal support)



FY 2017 Total Budget Request

NSF Budget by Appropriation (\$ in millions)

	FY 2017 Request	Change over FY 2016	
		Amount	Percent
Research & Related Activities	\$6,425.44	\$391.79	6.5%
Education & Human Resources	952.86	72.86	8.3%
Major Research Equipment & Facilities Construction	193.12	-7.19	-3.6%
Agency Operations & Award Management	373.02	43.02	13.0%
National Science Board	4.38	*	*
Office of Inspector General	15.20	*	*
Total NSF	\$7,964.02	\$500.53	6.7%

Totals may not add due to rounding.

* denotes <\$50,000 or <1%



FY 2017 Discretionary Budget Request

NSF Budget by Appropriation (\$ in millions)

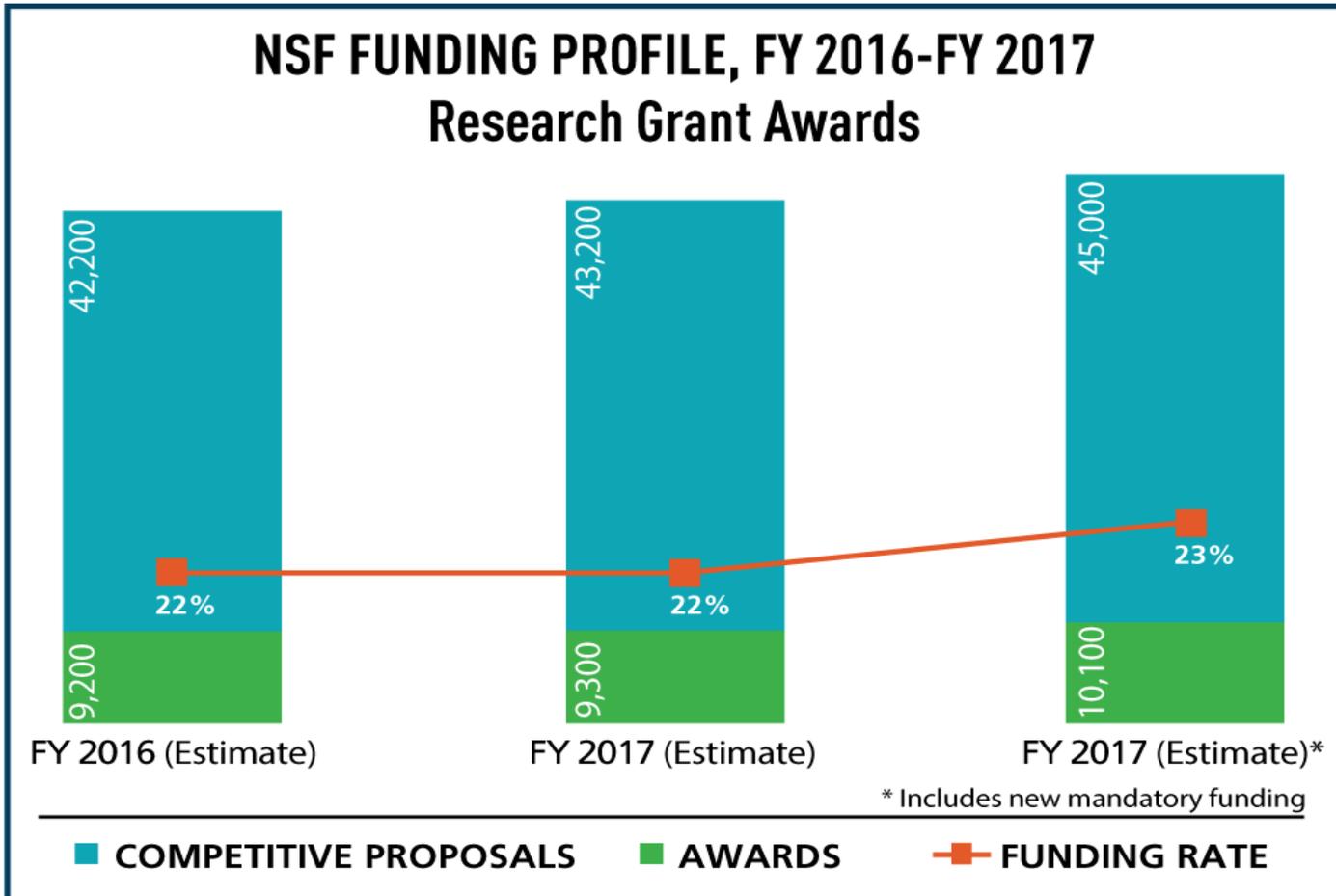
	FY 2017 Request	Change over FY 2016	
		Amount	Percent
Research & Related Activities	\$6,079.43	\$69.75	1.2%
Education & Human Resources	898.87	19.90	2.3%
Major Research Equipment & Facilities Construction	193.12	-5.19	-2.6%
Agency Operations & Award Management	373.02	16.02	4.5%
National Science Board	4.38	*	*
Office of Inspector General	15.20	*	*
Total NSF	\$7,564.02	\$100.53	1.3%

Totals may not add due to rounding.

* denotes <\$50,000 or <1%



NSF Funding Profile, FY 2016 - 2017



What to Watch

- Budget hearings took place in Spring
- Action on FY 2017 appropriations
- NSF's Reauthorization
- FY 2018 Request delay due to transition



FY 2017 House & Senate Marks

NSF Budget by Appropriation (\$ in millions)

	FY 2017 Senate Mark	change from Discretionary Request	FY 2017 House Mark	change from Discretionary Request
Research & Related Activities	\$6,033.6	-\$45.8	\$6,079.4	-
Education & Human Resources	\$880.0	-\$18.9	\$880.0	-\$18.9
Major Research Equipment & Facilities Construction	\$246.6	\$53.5	\$87.1	-\$106.0
Agency Operations & Award Management	\$330.0	-\$43.0	\$340.0	-\$33.0
National Science Board	\$4.4	*	\$4.4	-
Office of Inspector General	\$15.2	*	\$15.2	-
Total, NSF	\$7,509.8	-\$54.2	\$7,406.1	-\$157.9

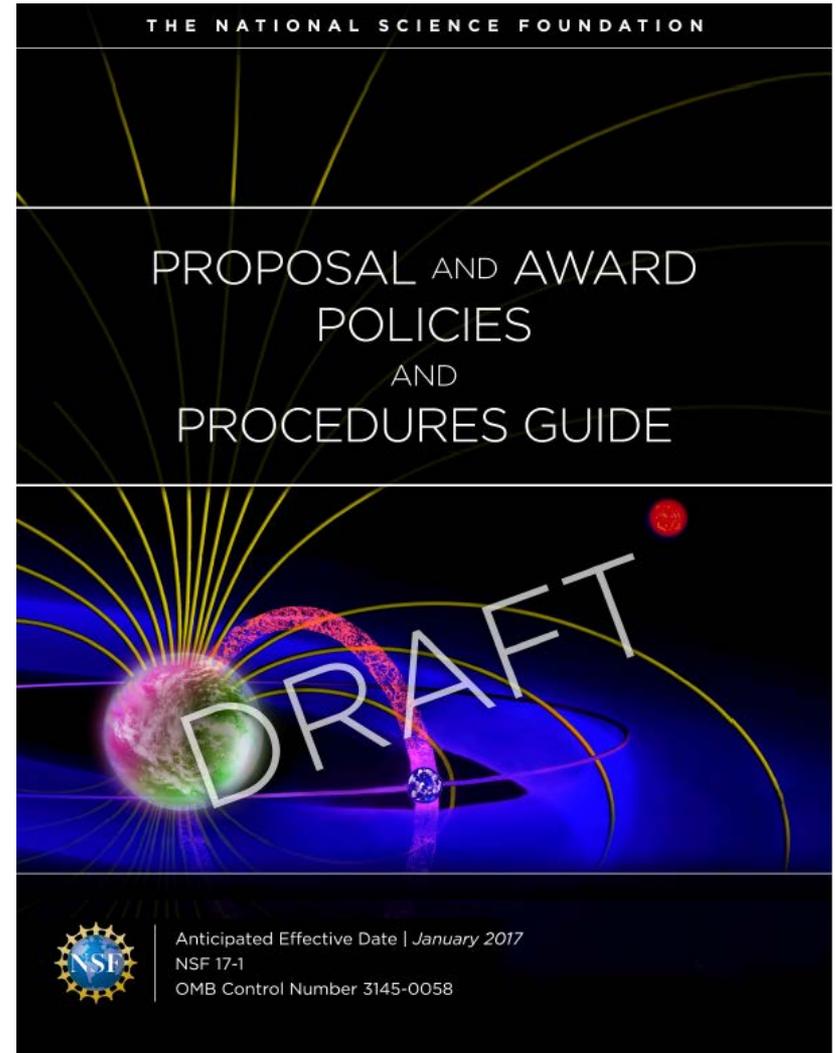
Totals may not add due to rounding.

* denotes <\$50,000 or <1%



PAPPG Implementation Schedule

- Publish in October 2016
- Effective January 30, 2017



PAPPG – Proposed Significant Changes

- Elimination of separate recognition of the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG)
 - Entire document referred to as PAPPG (Parts I & II)
 - Chapters will be sequentially numbered from I-XII
- Increased clarity regarding terms such as types of submissions and types of proposals.

PAPPG – Proposed Significant Changes

- Greater clarity on instructions for proposals submitted late due to natural or anthropogenic disasters.
- Collaborator & Other Affiliations Information
 - Thesis Advisor and Postgraduate Scholar Sponsor replaced with Ph.D. Advisor
 - Instructions added for placement of this section in separately submitted collaborative proposals
- Cost sharing coverage enhanced with increased coverage on the difference between voluntary committed and voluntary uncommitted cost sharing.



PAPPG – Proposed Significant Changes

- Human Subjects – New coverage has been added on 45 CFR 690.118, including new template
- Vertebrate Animals – Increased clarity regarding departures from the *Guide for the Care and Use of Laboratory Animals*.
- Environmental requirements have been supplemented with a standard Organizational Environmental Impacts Checklist and associated instructions that Proposers may be requested to submit

PAPPG – Proposed Significant Changes

- New Section has been added to Chapter II on Special processing instructions
 - Special Processing Instructions addresses issues such as Proprietary or Privileged Information, Collaborative Proposals, Beginning Investigators, Vertebrate Animals, Human Subjects, etc.
- Separate section developed for Types of Proposals which describes the various types of proposals that may be submitted to NSF such as RAPID, EAGER, etc.



PAPPG – Proposed Significant Changes

- Two new proposal types are being added:
 - Research Advanced by Interdisciplinary Science and Engineering (RAISE); and
 - Grant Opportunities for Academic Liaisons with Industry (GOALI)
- International Travel Grants have been expanded to address support for both domestic and international travel

Hot Policy Topics

Participant Support vs. Undergraduate Researcher

- The role of the REU student differs from the role of a student employee on a project
- An REU student's involvement in a research project is aimed at developing the students' research skills and providing a high-quality mentoring experience. The goal of the REU program is to provide a practical educational experience for undergraduate students, rather than simply a job.
- The institution must make the determination whether the undergraduate student is considered an undergraduate researcher (employee) or an REU participant. The student would need to be one or the other.



Hot Policy Topics

Implementation of 45 CFR § 690.118

- 45 CFR § 690.118 relates to proposals lacking definite plans for involvement of human subjects.
- Certain types of proposals are submitted knowing that human subjects may be involved, but definite plans would not normally be set forth in the proposal.
- These include activities such as institutional type grants when selection of specific projects is the institution's responsibility; research training grants in which the activities involving subjects remain to be selected; and projects in which human subjects' involvement will depend upon completion of instruments, prior animal studies, or purification of compounds.
- These applications need not be reviewed by an IRB before an award may be made. However, except for research exempted or waived under § 690.101 (b) or (i), no human subjects may be involved in any project supported by these awards until the project has been reviewed and approved by the IRB, as provided in this policy, and certification submitted, by the institution, to NSF.



Hot Policy Topics

45 CFR § 690.118 – Notification Format

Notification of 45 CFR 46.118 Determination for a Project Lacking Immediate Plans for Involvement of Human Subjects, their Data, or their Specimens

Date:

Principal Investigator:

Grant or Protocol #:

Grant or Protocol Title:

On <date>, it was determined that the above-referenced grant or protocol meets the requirements of 45 CFR 46.118. The study will involve research with human subjects for which the protocol is not yet fully developed.

One year from the date identified above, the Authorized Organizational Representative is required to either:

- verify that the project continues to lack immediate plans for the involvement of human subjects, their data, or their specimens; or
- provide documentation to the cognizant NSF Program Officer to demonstrate that IRB approval has been obtained.

No work with human subjects, including recruitment, may be conducted under this protocol or grant until IRB approval has been obtained.

Please contact <individual> with any questions.



Hot Policy Topics

45 CFR § 690.118 – Purpose of Notification

- Standardizes format for submission of these requests
- Establishes follow on requirements for the AOR:
- One year from the date identified above, the Authorized Organizational Representative is required to either:
 - verify that the project continues to lack immediate plans for the involvement of human subjects, their data, or their specimens; or
 - provide documentation to the cognizant NSF Program Officer to demonstrate that IRB approval has been obtained.
- The Division of Grants & Agreements (DGA) will include an award clause identifying that: No work with human subjects, including recruitment, may be conducted under this protocol or grant until IRB approval has been obtained.



Hot Policy Topics

Fair Labor Standards Act (FLSA) Final Overtime Rule

- FLSA automatically extends overtime pay protections and could impact some personnel on NSF awards.
- Most NSF postdoctoral fellowship programs already include a stipend or salary in excess of the new minimum identified in the FLSA rule.
- For postdoctoral fellows on standard research awards, the salary is determined by the institution, which must comply with the final overtime rule.
- http://www.nsf.gov/bfa/dias/policy/faqs/flsa_faqs.pdf



Hot Policy Topics

Indirect Costs

- Prime Organizations
 - Except where specifically identified in an NSF program solicitation, the applicable US federally negotiated indirect cost rate(s) must be used in computing indirect costs (F&A) for a proposal.
 - Use of an indirect cost rate lower than the organization's current negotiated indirect cost rate is considered a violation of NSF's cost sharing policy.
- Subawards
 - If available, NSF awardees must use the subrecipient's negotiated indirect cost rate.
 - For domestic subrecipients, absent a federally negotiated rate the prime recipient may negotiate a rate, or will use the *de minimis* rate of 10% of modified total direct costs.
 - For international subrecipients, absent a federally negotiated rate, the prime recipient will use the *de minimis* rate of 10% of modified total direct costs.



Automated Proposal Compliance Checking

- NSF continues to invest in expanding auto-compliance checking capabilities to reduce administrative burden levels on both NSF programs and the research community.
- Core PAPPG proposal section, page count, budget, and deadline requirements are checked during proposal preparation and submission activities in FastLane.
- The next release of auto-compliance checks in January 2017 will support additional standard proposal type requirements and include checks for new types of proposals such as RAISE and GOALI.
- A complete listing of current FastLane checks is available at:
http://www.nsf.gov/bfa/dias/policy/autocheck/compliancechecks_july16.pdf



Automated Proposal Compliance Checking – Project Summary

- The project summary is limited to one page and is provided as a text entry in FastLane.
- Only if it contains special characters may it be uploaded as a PDF.
- It must contain the three required sections: Overview, Statement on Intellectual Merit and Statement on Broader Impacts.
- Beginning September 23rd, FastLane will now check to ensure that the combined text (or uploaded PDF) does not exceed 1 page prior to submission.



Automated Proposal Compliance Checking

AUTOMATED PROPOSAL COMPLIANCE CHECKS PERFORMED BY SYSTEM AS OF JANUARY 25TH, 2016.*											
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	✓	✓	✓	✓	✓	✓	✓	✓	✓

http://www.nsf.gov/bfa/dias/policy/autocheck/compliancechecks_july16.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.
- It aims to reduce the administrative burden to the research community and NSF staff associated with preparation, submission, and management of proposals.
- In FY 2016, NSF has focused on establishing requirements, developing proposal section modernization concepts, and setting up the back-end application infrastructure.
- Plans for next year include a pilot launch for a single solicitation in Research.gov.



NSF Electronic Research Administration (ERA) Forum

- New initiative to gather opinions, perspectives and feedback around NSF ERA activities.
- A webinar was held in April 2016 to review Forum logistics and to share preliminary PSM modernization concepts.
- Upcoming Forum discussion topics and activities are currently being planned.
 - Next webinar event will be held in Fall 2016.
- More information at https://www.nsf.gov/bfa/dias/policy/era_forum.jsp
- Sign up for forum notifications by sending an email to NSF-ERA-FORUM-subscribe-request@listserv.nsf.gov



NSF Grants Conference

- November 14-15 in Pittsburgh, PA
 - Proposal Preparation
 - Merit Review Process
 - Award Management
 - Proposal & Award Policy Update
 - NSF CAREER Program Overview
 - Breakout sessions by NSF Directorate
 - To learn more about registration, send an e-mail to grants_conference@nsf.gov
- Fall 2015 conference is 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)

