

# National Science Foundation



W H E R E   D I S C O V E R I E S   B E G I N

## NSF Proposal & Award Policy Update

EPSCOR ANNUAL PI MEETING  
May 22, 2018

## SPEAKER

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## TOPICS

- PAPPG Eligibility Reminder
- NSF Important Notice on Harassment
- Revision of NSF's Grant Conditions
- Proposal Submission Modernization is **FINALLY** here!!
- Update of the NSF Award System
- Public Access Enhancement



# ELIGIBILITY STANDARDS IN 18-1

- For International Branch Campuses of US IHEs
  - If the proposal includes funding to be provided to an international branch campus of a US institution of higher education (including through use of subawards and consultant arrangements), the proposer must explain the benefit(s) to the project of performance at the international branch campus, and justify why the project activities cannot be performed at the US campus.



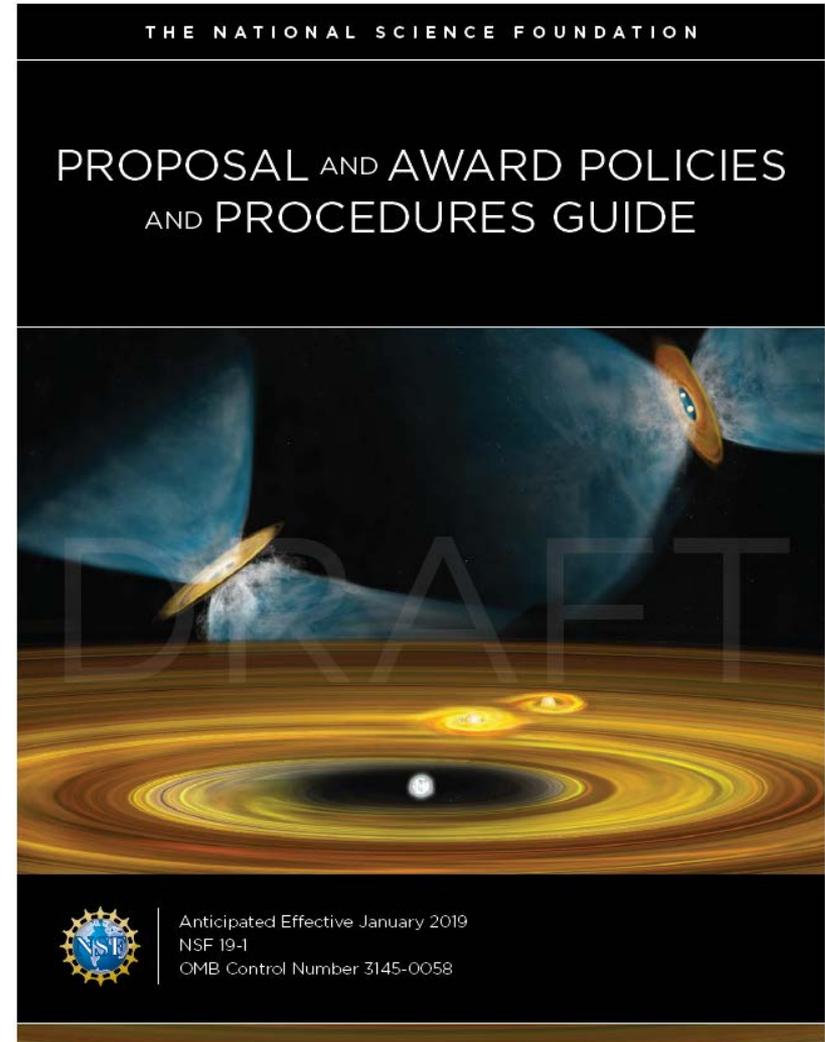
## ELIGIBILITY STANDARDS IN NSF 18-1 (CONT'D)

- For Foreign Organizations:
  - In cases however, where the proposer considers the foreign organization's involvement to be essential to the project (e.g., through subawards or consultant arrangements), the proposer must explain why local support is not feasible and why the foreign organization can carry out the activity more effectively. In addition, the proposed activity must demonstrate how one or more of the following conditions have been met:
    - The foreign organization contributes a unique organization, facilities, geographic location and/or access to unique data resources not generally available to US investigators (or which would require significant effort or time to duplicate) or other resources that are essential to the success of the proposed project; and/or
    - The foreign organization to be supported offers significant science and engineering education, training or research opportunities to the US.
- NSF solicitations can include more restrictive standards



## PAPPG 19-1

- A “For Comment” draft of the 19-1 version of the PAPPG will be announced in the Federal Register on Monday, May 14<sup>th</sup>.



# IMPORTANT NOTICE 144 ON HARASSMENT

- National Science Foundation (NSF) does not tolerate sexual harassment, or any kind of harassment, within the agency, at grantee organizations, field sites, or anywhere NSF-funded science and education are conducted.
- NSF is committed to promoting safe, productive research and education environments for current and future scientists and engineers.
- The PI and co-PI and all grant personnel must comport themselves in a responsible and accountable manner, including during the performance of award activities conducted outside the organization, such as at field sites or facilities, or during conferences and workshops.



# WHAT STEPS HAVE WE TAKEN?

To bolster our commitment, NSF is taking the following steps:

- Published in the Federal Register for public comment, a draft term and condition that would require grantee organizations to notify NSF:
  - 1) of any findings/determinations regarding the PI or any co-PI that demonstrate a violation of awardee codes of conduct, policies, regulations or statutes relating to sexual harassment, other forms of harassment, or sexual assault; and
  - 2) if the awardee places the PI, or any co-PI on administrative leave relating to a finding or investigation of a violation of awardee codes of conduct, policies, regulations or statutes relating to sexual harassment, other forms of harassment, or sexual assault. For purposes of this term and condition, “administrative leave” includes any administrative action by the awardee that could impact the PI’s or any co-PI’s ability to fulfill their responsibilities on the award.
- The Federal Register comment period closed on May 4, 2018.
- NSF will fully consider all comments received over the next several weeks.



## WHAT STEPS HAVE WE TAKEN? (CONT'D)

- Identified Expectations Regarding Harassment-Free Research Workplaces
  - NSF expects all awardee organizations to establish and maintain clear and unambiguous standards of behavior to ensure harassment-free workplaces wherever science is conducted. This expectation includes activities at all research facilities, field sites, and during conferences.
- Enhanced Web Resources
  - NSF recently launched a dedicated web portal to consolidate policies and procedures, promising practices, and frequently asked questions relating to sexual and other forms of harassment.
  - Visit [www.nsf.gov/harassment](http://www.nsf.gov/harassment)



## NSF AND HARASSMENT – WHY IS THIS IMPORTANT TO US?

- People who create unsafe environments disrupt the entire scientific ecosystem, discouraging scientists -- particularly young scientists -- from contributing, and harming their careers and scientific progress.
- NSF's mission is to promote the progress of science; to advance the national health, prosperity, and welfare; and to secure the national defense; and for other purposes.
- It's the law!



# REVISION OF THE NSF AGENCY SPECIFIC REQUIREMENTS TO THE RESEARCH TERMS AND CONDITIONS

Effective May 14, 2018, grants made to institutions of higher education and non-profit organizations will incorporate by reference the [Research Terms & Conditions](#) dated March 14, 2017 and the [NSF Agency Specific Requirements](#) dated May 14, 2018.

## Significant Changes

- **Equipment, Article 25.** The revisions update NSF's Equipment article to align with 2 CFR 200.313 requirements for all equipment purchased under NSF awards and provide clarity on reporting requirements for NSF-owned equipment.
- **Intangible Property, Article 26.** The revisions update NSF's Intangible Property article to implement government-wide changes to the Department of Commerce Bayh-Dole regulations at 37 CFR § 401 effective May 14, 2018.

## Clarifications and Other Changes

- **Copyright Ownership, Government License, Article 27.** The Copyright Ownership, Government License article has been removed from the Intangible Property article and has been added as a standalone article. The content of the article has not changed.



## PROPOSAL SUBMISSION MODERNIZATION (PSM) IS HERE!!

- 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.
- NSF previewed the environment for users from February through April.
- As of **April 30, 2018**, proposers are now able to prepare and submit non-collaborative research proposals in Research.gov



## PSM APRIL RELEASES

- Initial release allows submission of Full, Research non-collaborative proposals, enabling the following features:
  - AOR Proposal Submission
  - Proposal File Update & Budget Revision
- Future releases will enable other proposal types and features



# PROPOSAL SUBMISSION MODERNIZATION PREVIEW & LAUNCH

Supported Sections	Preview (Feb 2018)	Initial Release (Apr 2018)	Subsequent Releases
Proposal Setup Wizard	✓	✓	✓
Main Proposal Page	✓	✓	✓
Budget (New consolidated format)	✓	✓	✓
Manage Personnel	✓	✓	✓
Project Summary	✓	✓	✓
Senior Personnel Documents	✓	✓	✓
All other Research Proposal sections	✓	✓	✓
List of Submitted Proposals		✓	✓
Other Supplementary Documents	✓	✓ (Single Upload)	✓ (Improved Upload)
Single Copy Documents			✓
BIO Proposal classification form			✓
DUE form			✓
Other specialized forms			✓



## FUTURE PROPOSAL PREPARATION ENHANCEMENTS

- Incremental releases will be deployed quarterly after the initial release to expand features
  - Enhancements to Compliance Checking
  - Additional Email Notifications
  - Collaborative Proposals (subawards and multiple organizations)
  - Withdraw/Delete Proposal
  - All proposal documents and forms (e.g. Substitute Negotiator)
  - Additional Proposal Types (e.g. EAGER, RAPID, etc.)
  - Additional Submission Types (e.g. Letters of Intent, ABR, Pre-proposal)
  - Solicitation-specific proposal sections
  - Data pre-population (e.g. Current and Pending Support)
  - Unique FastLane Modules (e.g. SBIR/STTR, GRFP)



# UPDATE OF THE NSF AWARD SYSTEM

- NSF is modernizing and improving its Awards system used by DGA and DACS
- Moving to a standardized, easy-to-use format for both grants and cooperative agreements
- No changes are needed from awardees: both old and new documents will be in Fastlane as usual

Award Notice Types Updated	March 2018	Summer 2018	Fall 2018	2019
No Cost Extension Amendments	✓	✓	✓	✓
Other Non-Funded Amendments		✓	✓	✓
Funded Amendments			✓	✓
New Awards				✓
PI Transfers				✓



# NSF PUBLIC ACCESS

## Background

- NSF's Public Access policy requires NSF-funded investigators to deposit peer-reviewed, published journal articles and juried conference papers in the NSF Public Access Repository (NSF-PAR)

## Statistics

- Over 5,300 publications have been deposited by PIs
- Over 48,000 visitors accessed the NSF Public Access Repository
- Over 38,000 records in the repository, updated daily by PI deposits and records pulled from CHORUS

## Updates

- Effective March 26, 2018, NSF authors who are jointly funded by the National Science Foundation (NSF) and the Department of Energy (DOE) can retrieve previously submitted final manuscripts from the DOE system and pull them into NSF-PAR to meet NSF's Public Access requirement



# NSF PUBLIC ACCESS (CONT'D)

- Sign into Research.gov

My Desktop

**NSF FastLane Services**

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

**Submit Publications, Project Reports, and Outcomes**

- Annual, Final and Interim Report**  
View, complete and submit reporting requirements
- Project Outcomes Report**  
Create, edit and submit the outcomes of NSF-funded research
- 1 Publications in the NSF Public Access Repository (NSF-PAR)** [What is Public Access?](#)  
Deposit the final accepted version of your manuscript and publication details

[Deposit publication \(NSF-PAR\)](#) [Manage deposited publications \(NSF-PAR\)](#) [Public Access FAQs](#)

- Begin deposit with a DOI number

NSF Public Access Repository (NSF-PAR)  
A partnership with the Department of Energy,  
Office of Scientific and Technical Information

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\* Is the Digital Object Identifier(DOI) number available for this publication? [What is a DOI number?](#) [Where do I find my DOI number?](#)

Yes, the DOI number is available

No, proceed without the DOI number

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# NSF PUBLIC ACCESS (CONT'D)

- Retrieve Publication Info: Indicate that a previous deposit has been made

Manage Publications	Contact	FAQ	Welcome, Alphaman
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## Deposit Publication

1. Retrieve Publication Info

2. Deposit Final Accepted Version

3. Select Award & Acknowledge

4. Review

Enter the DOI number and click 'Submit' to retrieve the publication information from the publisher. Once you have reviewed the information, click 'Next' to proceed.

\* Required Fields

\* Enter Digital Object Identifier (DOI) Number:

? Where do I find my DOI number?

**Have you previously deposited your publication in another repository?** [? More Information](#)

Yes

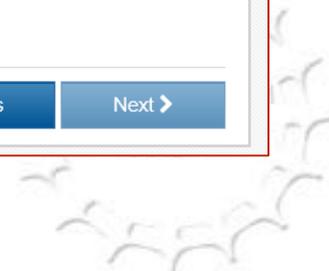
No

**Select a Federal Repository:**

Department of Energy (DOE) ▼

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# NSF PUBLIC ACCESS (CONT'D)

## Tips

- PDF/A Conversions
  - Work with the publisher to obtain a PDF/A compliant file
  - Work with third party tools to convert documents (Adobe Acrobat, PDF Creator, DocuPub, GhostScript, etc.)
  - Final printed version or final peer-reviewed manuscript is acceptable for deposit
- Publishing dates – Sometimes when depositing by DOI, the wrong publication date is pulled
  - Preferred before submission -Work with the publisher to correct, double check online publication date versus print date
  - Post Submission contact NSF Help Desk
- PIs can continue to add and deposit publications after an award is closed (regardless if the award is subject to the public access mandate)
- Additional deposits will appear for the closed award in NSF.gov's Award Search. Modifying the Project Outcome reports is not necessary

## Upcoming Enhancements to Products in Project Reporting

- Deposits for Interim project reports are carried over to the next annual or final report
- Usability – Cumulative product view, view by reporting period
- Usability – Consolidating navigation and reducing clicks



# FOR MORE INFORMATION ASK EARLY, ASK OFTEN!

- Listserv to get updates on events and enhancements to Research.gov and/or FastLane. Sign up by sending an email to: [system\\_updates-subscribe-request@listserv.nsf.gov](mailto:system_updates-subscribe-request@listserv.nsf.gov)

- NSF Public Access

FAQs: [https://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=nsf17060](https://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf17060)

- Automated Proposal Compliance Check

[http://www.nsf.gov/bfa/dias/policy/autocheck/compliancechecks\\_jan18.pdf](http://www.nsf.gov/bfa/dias/policy/autocheck/compliancechecks_jan18.pdf)

- Account Management

FAQs:

[https://www.research.gov/common/attachment/Desktop/Single\\_ID\\_FAQs.pdf](https://www.research.gov/common/attachment/Desktop/Single_ID_FAQs.pdf)

- Proposal Submission Modernization

[https://www.nsf.gov/bfa/dias/policy/era\\_forum.jsp](https://www.nsf.gov/bfa/dias/policy/era_forum.jsp)

- System-to-System Partners of NSF listserv. Send subscription request email to:

[s2s\\_partners-subscribe-request@listserv.nsf.gov](mailto:s2s_partners-subscribe-request@listserv.nsf.gov)



FOR MORE INFORMATION

**Ask Early, Ask Often!**

[policy@nsf.gov](mailto:policy@nsf.gov)

