National Science Foundation Update

SRA Annual Meeting

October 20, 2015

Speakers

- **Jean Feldman**
  - Head, Policy Office
  - Division of Institution & Award Support
  - Office of Budget, Finance & Award Management
  - **703.292.8243; jfeldman@nsf.gov**

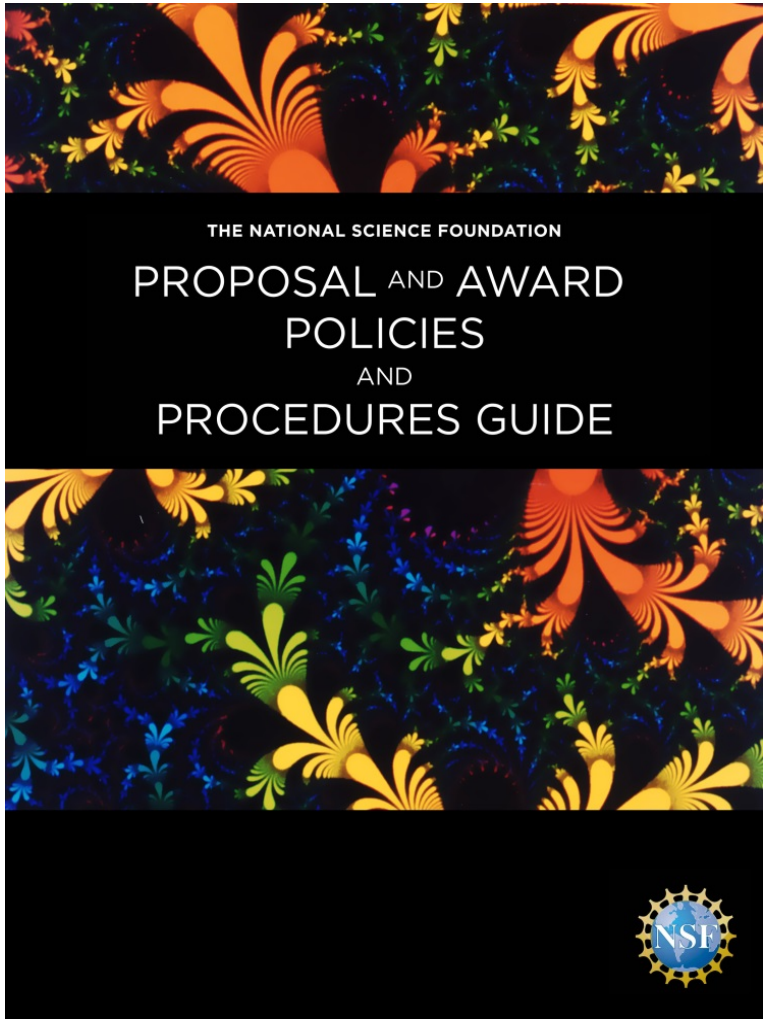
- **Jamie French**
  - Acting Division Director
  - Division Grants and Agreements
  - Office of Budget, Finance & Award Management
  - **703.292.8644; jhfrench@nsf.gov**

Topics

- Proposal & Award Policies & Procedures Guide (PAPPG) Revision: Implementation Schedule & Significant Changes
- NSF Public Access Plan
- Reducing Administrative Burden – Pilots
- Research.gov
  - Notifications & Requests
  - Compliance checking
- Upcoming Outreach

NEW PAPPG Implementation Schedule

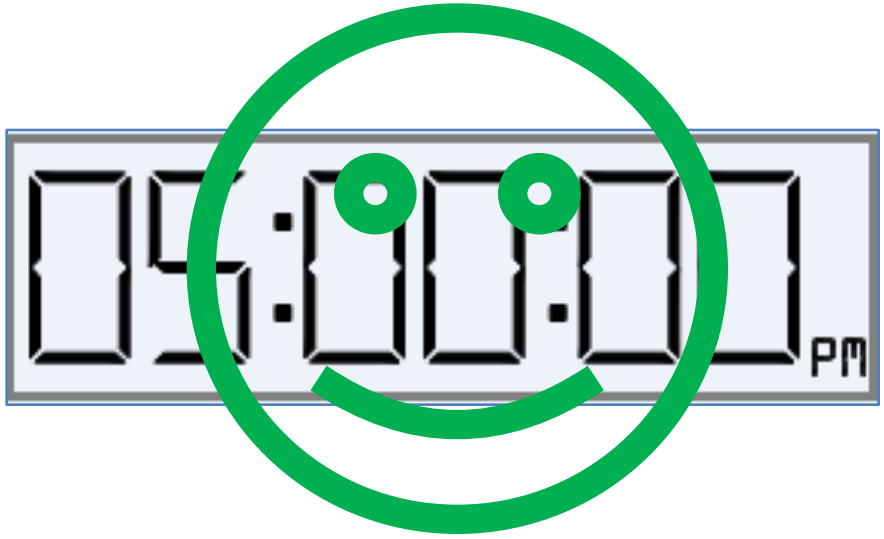
- May 19, 2015 – Posted in Federal Register
- October 2015 – Publish
- January 25, 2016 – Effective Date



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.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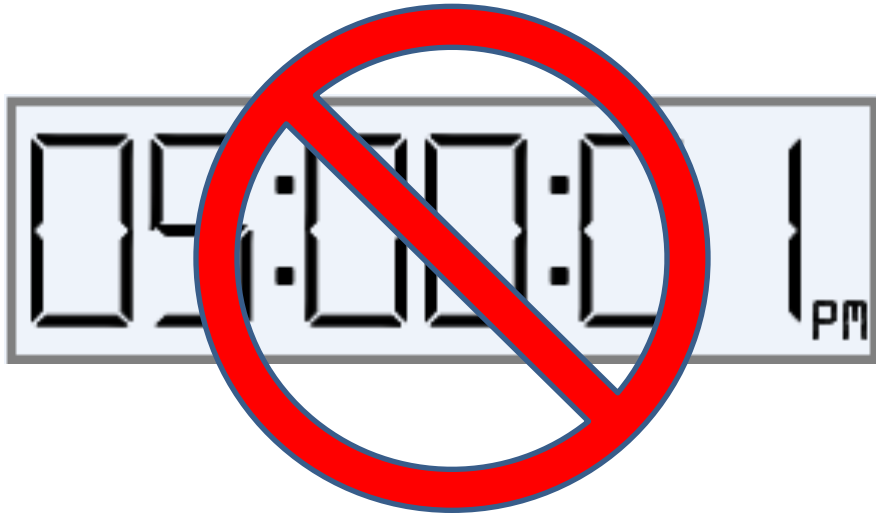
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PAPPG – Significant Changes (Cont'd)

- 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.

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.

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 Key Principles

- Focus on publications in the initial implementation
- Minimize burden on PI
- Protect PI autonomy
- Evolve incrementally
- Learn from one phase to inform the next
- Leverage existing practices and systems
- Honor NSF's customer service standard
- Provide ways to communicate and petition for a waiver
- Requirement will follow standard procedures and be implemented as part of the NSF PAPPG

NSF Public Access: What do I need to do?

- FY 2016 PAPPG language:

"NSF's policy on public access to copyrighted material (Public Access Policy) reflects the Foundation's commitment to making certain that, to the extent possible, the American public, industry and the scientific community have access to the results of federally funded scientific research. Pursuant to this policy, awardees must ensure that articles in peer-reviewed scholarly journals and papers in juried conference proceedings:

- *are deposited in a public access compliant repository (as identified in the Public Access Policy);*
- *are available for download, reading, and analysis within 12 months of publication;*
- *possess a minimum set of machine-readable metadata elements as described in the Public Access Policy; and*
- *are reported in annual and final reports with a persistent identifier.*

Either the final printed version or the final peer-reviewed manuscript is acceptable for deposit. NSF's Public Access Policy applies to awards, funded in whole or in part, as a result of proposals submitted, or due, on or after January 25, 2016. NSF's Public Access Policy may be viewed at http://www.nsf.gov/news/special_reports/public_access/index.jsp.

Each NSF grant contains as part of the grant terms and conditions, an article implementing the public access requirements."

- Requirement: Section 3.1 NSF plan

NSF Public Access: Next Steps

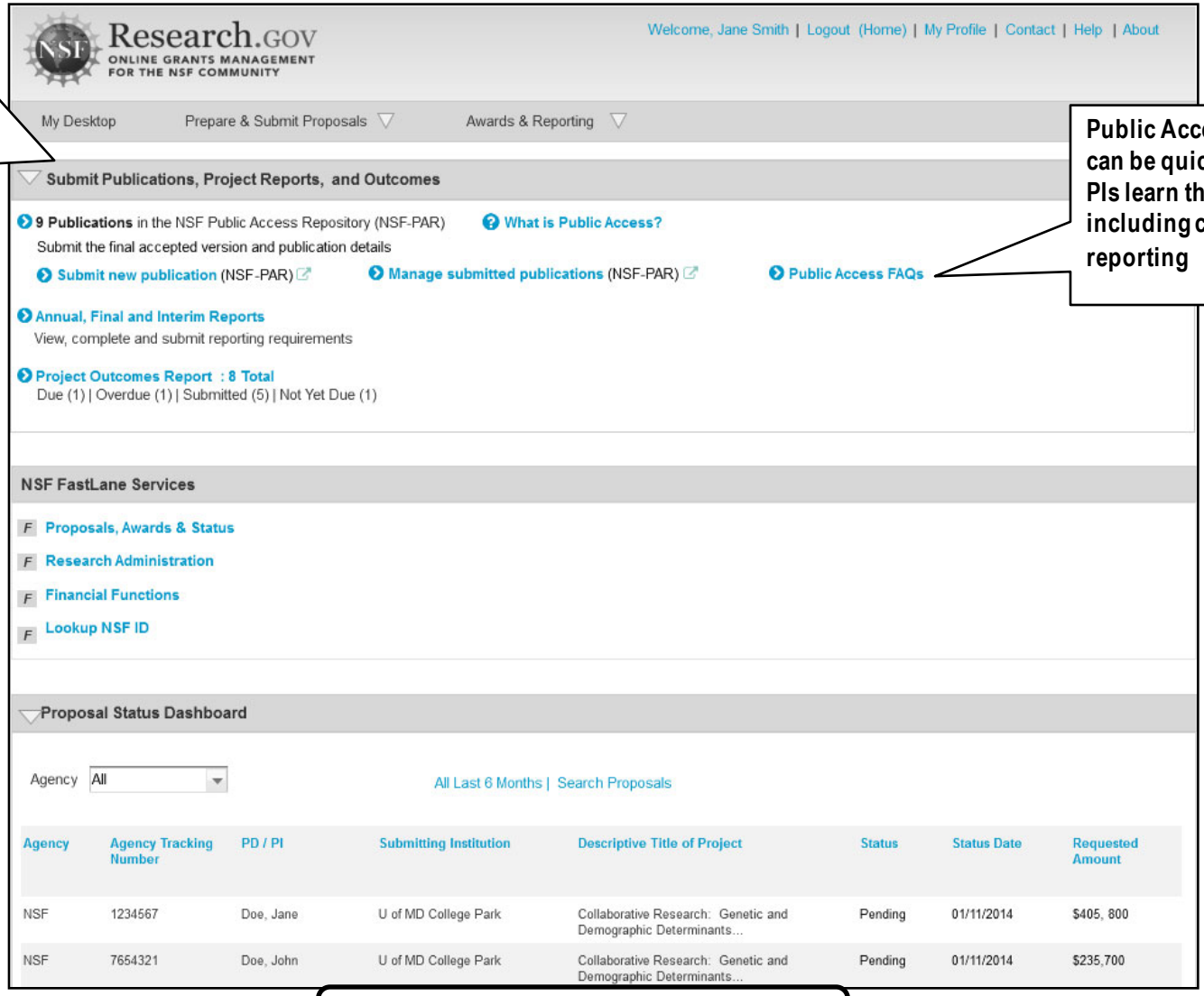
- Launch NSF's first repository: end of calendar 2015
  - Finalizing wireframes and conducting usability testing
- Effective date of Public Access policy: January 25, 2016
  - Applies to awards made from proposals submitted after January 2016
  - First set of proposals awarded June - July 2016
  - Likely 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: My Desktop

PI's can easily submit publications to the NSF Public Access Repository and manage them from a new dashboard area in Research.gov

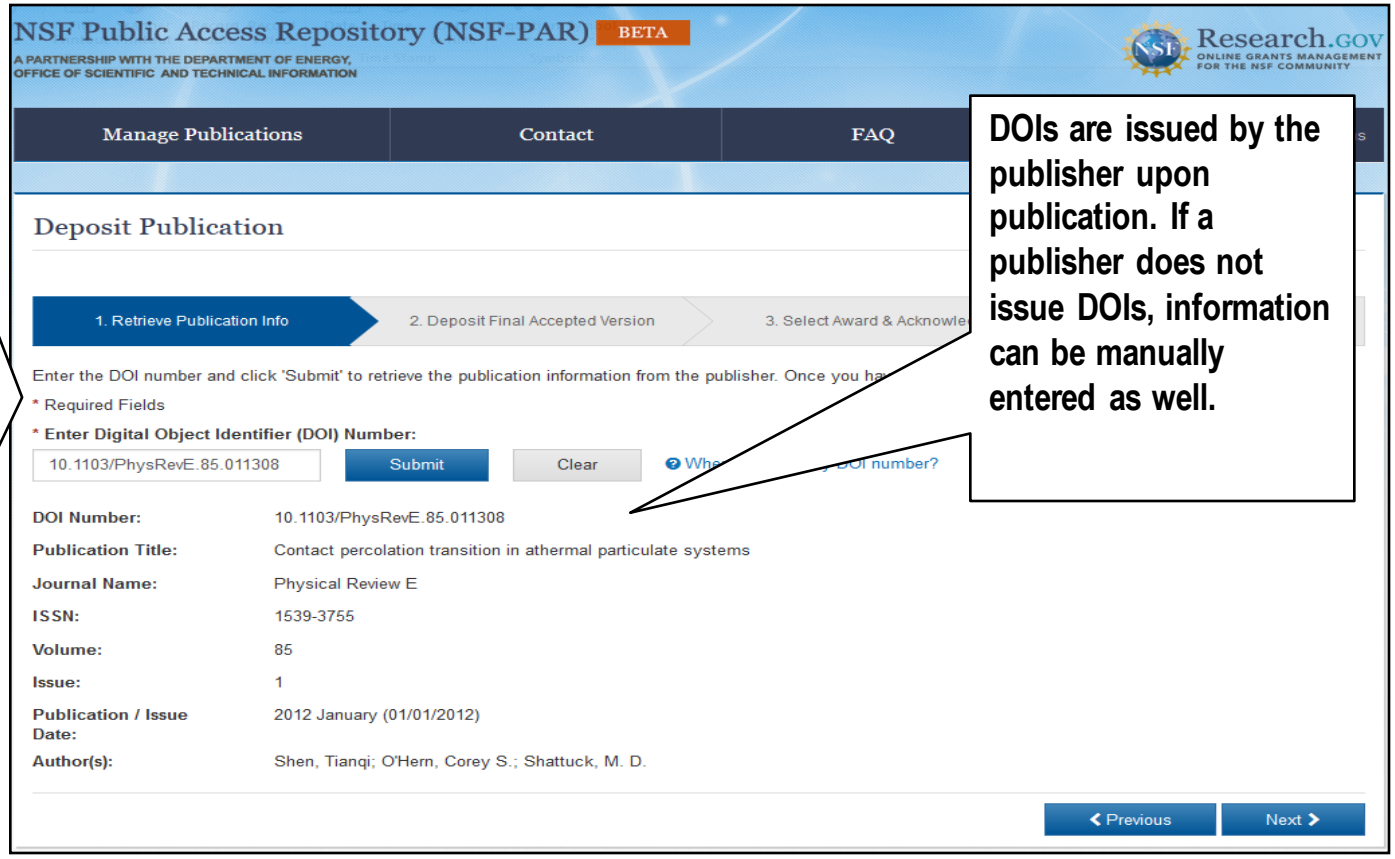


Public Access Information can be quickly found to help PIs learn the new process, including changes to project reporting

Conceptual Screenshots

NSF Public Access: Submit New Publication

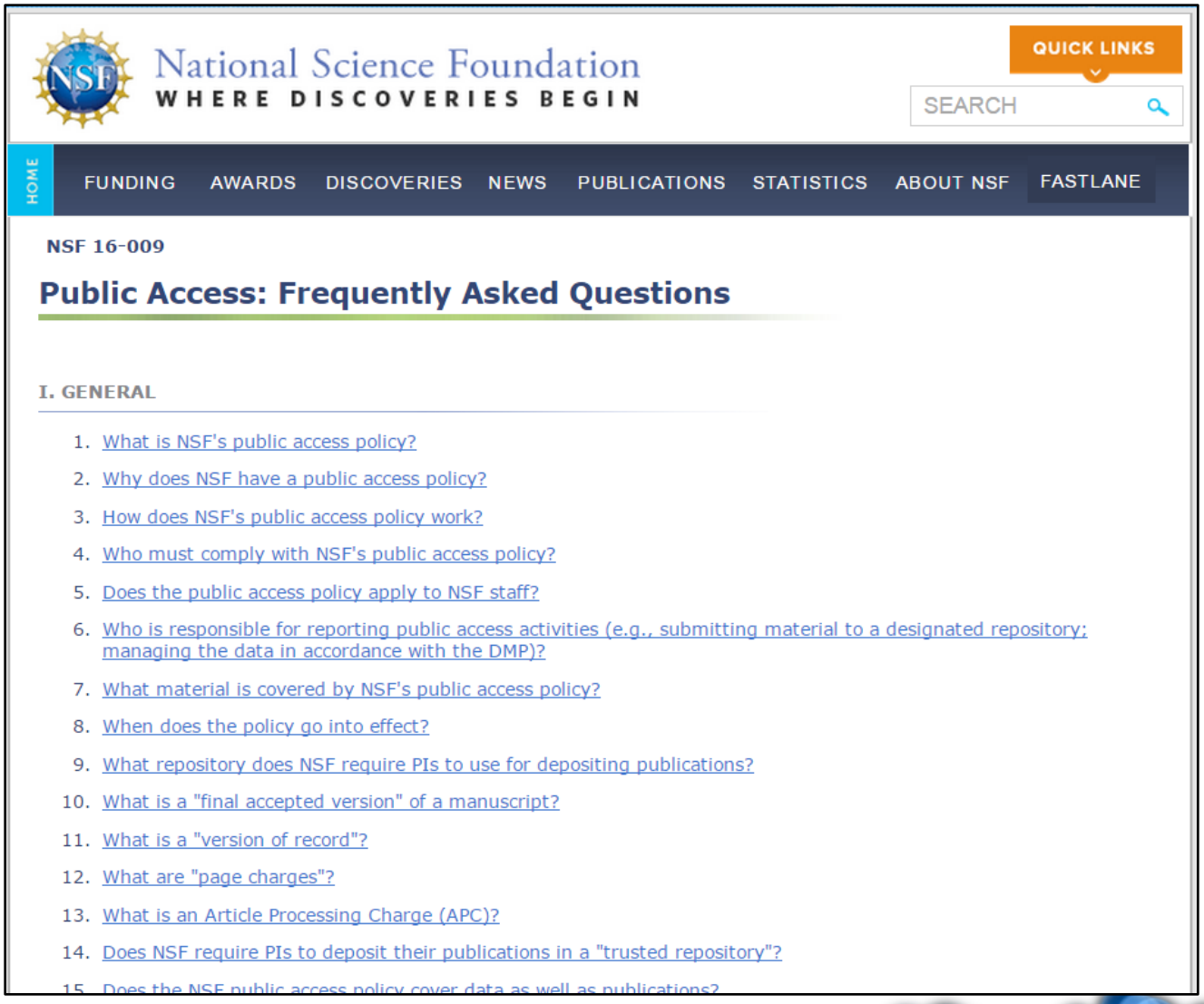
PIs can easily add in their publication info by using their Digital Object Identifier (DOI). Automatically pre-populates fields.



DOIs are issued by the publisher upon publication. If a publisher does not issue DOIs, information can be manually entered as well.

Conceptual Screenshots

NSF Public Access: FAQs



National Science Foundation
WHERE DISCOVERIES BEGIN

QUICK LINKS

SEARCH

HOME | FUNDING | AWARDS | DISCOVERIES | NEWS | PUBLICATIONS | STATISTICS | ABOUT NSF | FASTLANE

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?

Research.gov
Notifications and Requests

- Notifications and Requests are being migrated from FastLane to Research.gov

- Three requests included in the Uniform Guidance must be submitted in Research.gov
  - Salaries of Administrative or Clerical Staff
  - Travel Costs for Dependents
  - Additional categories of participant support costs other than those described in 2 CFR § 200.75 (such as incentives, gifts, souvenirs, t-shirts and/or memorabilia)

Research.gov Notifications and Requests (Cont'd)

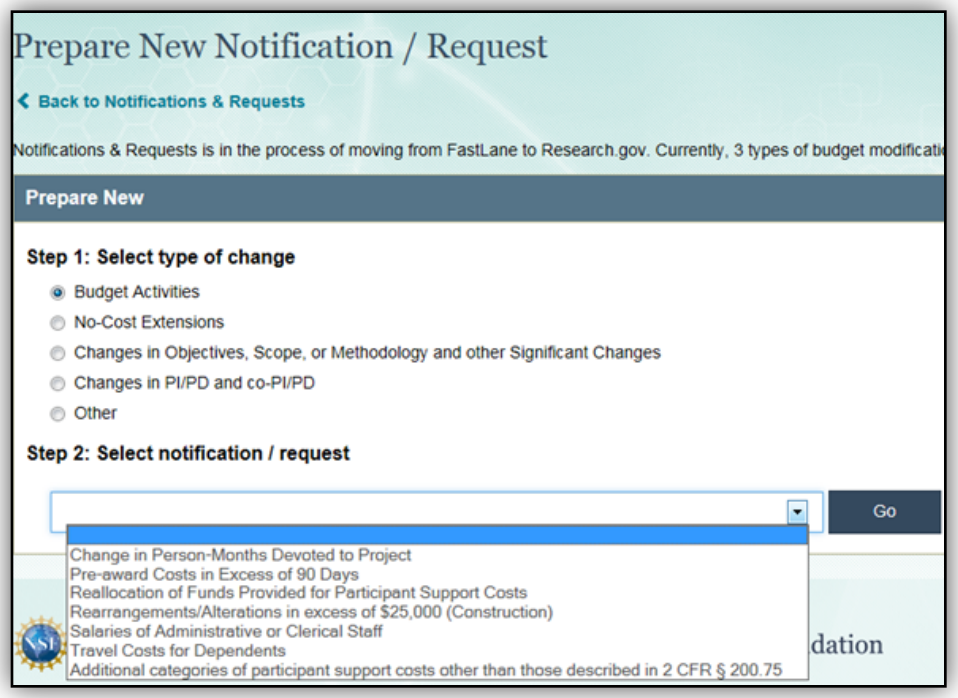
- Ten additional Notifications and Requests were migrated to Research.gov in August 2015. They include:
  - Long-Term Disengagement of the PI or Co-PI
  - Pre-Award Costs in Excess of 90 Days
  - Significant Changes in Methods/Procedures
  - Significant Changes/Delays or Events of Unusual Interest
  - Changes in Objectives or Scope
  - Reallocation of Funds Provided for Participant Support Costs
  - Change in Person-Months Devoted to the Project
  - Withdrawal of PI or Co-PI
  - Rearrangements/Alterations in Excess of $25,000 (Construction)
  - Conflicts of Interest

- No Cost Extensions will be migrated in FY 2016

Research.gov Notifications and Requests (Cont'd)

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



Automated Compliance Checking

- NSF continues to focus on implementing automated proposal compliance checks to reduce workload.

- Enforcing of page count rules for unsolicited proposals
  - Project Description
  - Budget Justification
  - Mentoring Plan
  - Data Management Plan

- Budget Checks: Implement duration and requested amount
  - Example: maximum amount for a RAPID proposal cannot exceed $200,000

- Enforce proposal sections depending on the funding mechanism type
  - Example: do not enforce References Cited for a Conference proposal

Automated Compliance Checking

- Newest set of compliance checks surround proposals submitted in response to program solicitations (by funding mechanism). Warning messages are triggered if any of the following sections are not included:
  - References Cited
  - Biographical Sketch(es)
  - Budget Justification: Primary Organization
  - Budget Justification: Sub-recipient Organization
  - Current and Pending Support
  - Facilities, Equipment and Other Resources

- 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	✓	✓	✓	✓	✓	✓	✓	✓	✓

http://www.nsf.gov/bfa/dias/policy/autocheck/compliancechecks_july15.pdf

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.

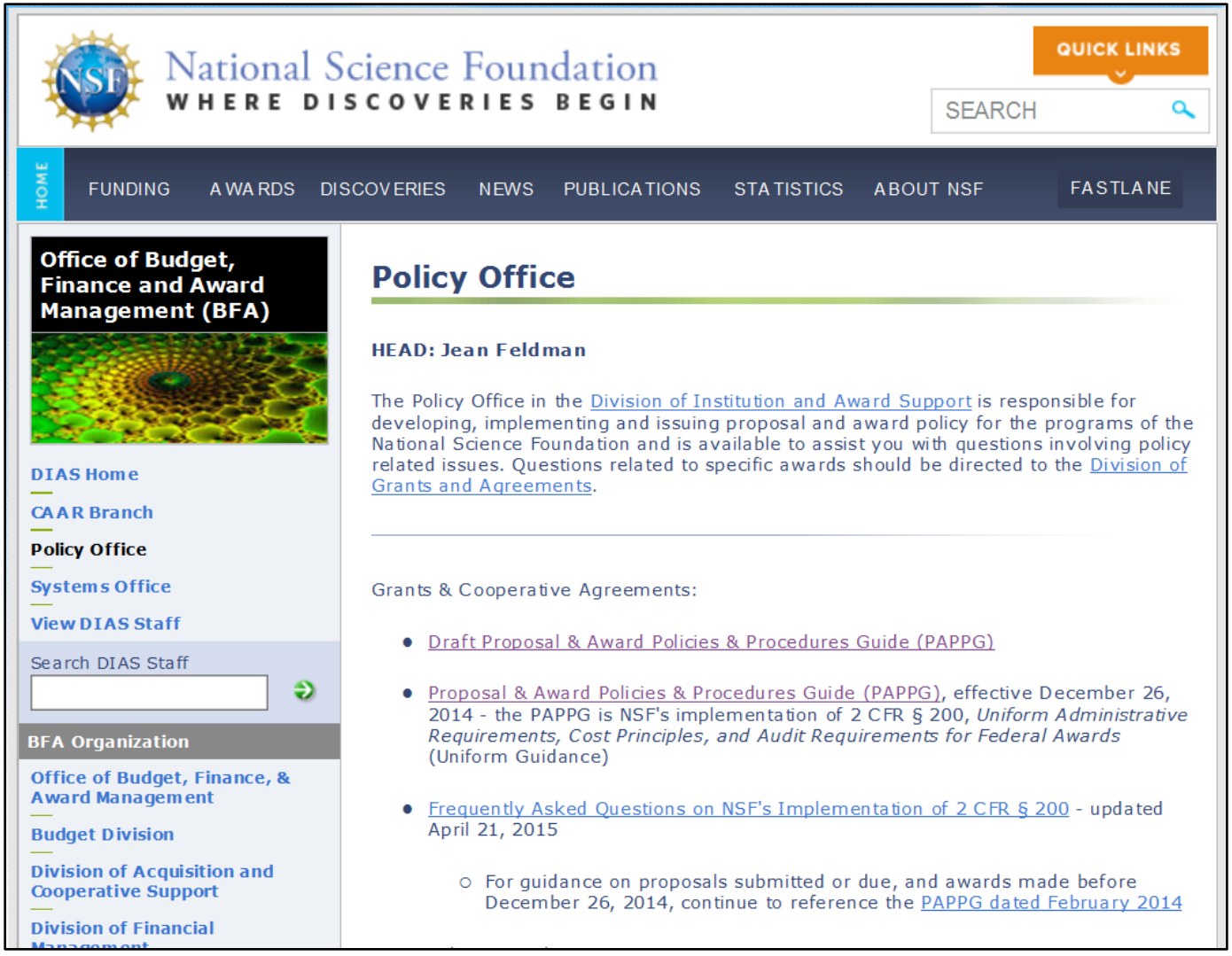
Reducing Administrative Burden Pilot Programs

- "Just-in-Time" budget process for selected core programs in MPS/DMS, MPS/PHY, and ENG/IIP
  - 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.

- Improving the IACUC process – MOU with NIH/OLAW
  - Standardizes the assurance process across NIH and NSF.
  - Improves communication to make policy language regarding institutional compliance consistent between both agencies.
  - Allows for sharing of reporting information

Proposal & Award Policy and Guidance

Visit the Policy Office website for NSF policies and guidance



nsf.gov/bfa/dias/policy/

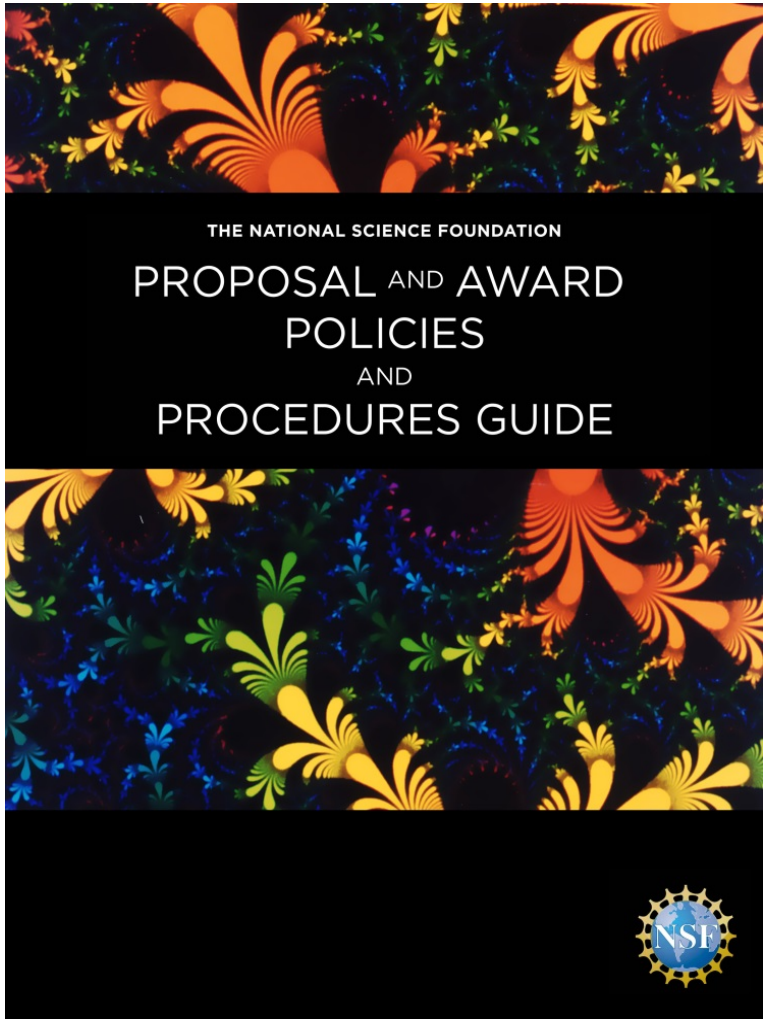
NSF Grants Conference

- Targeted for faculty and administrators. Topics include:
  - Proposal preparation
  - Merit review process
  - Award Management
  - Directorate breakout sessions
  - Award administration breakout sessions
- November 2-3 in Arlington, VA – SOLD OUT!
  - Hosted by Georgetown University
- February 29 – March 1 in Portland, OR
  - Hosted by Portland State University
- Sign up to be notified once registration is available
  - https://www.signup4.net/Public/ap.aspx?EID=NSFN10E

Webinar on PAPPG Updates

- October 29, 2015 at 2:00 PM Eastern Time

- Registration is required:
  - https://nsfevents.webex.com/nsfevents/onstage/g.php?d=747703895&t=a



NSF.gov / Special Notices

Key Documents

- **Proposal & Award Policies & Procedures Guide**

  nsf.gov/publications/pub_summ.jsp?ods_key=papp

- **Fiscal Year 2016 Budget Request**

  nsf.gov/about/budget/fy2016/index.jsp

- **NSF Strategic Plan for Fiscal Years 2014-2018**

  nsf.gov/publications/pub_summ.jsp?ods_key=nsf14043

- **NSB Report on Merit Review**

  nsf.gov/nsb/publications/pub_summ.jsp?ods_key=nsb1333

For More Information

Ask Early, Ask Often!

policy@nsf.gov