NSF Proposal & Award Policy Update

January 19, 2017

Speaker

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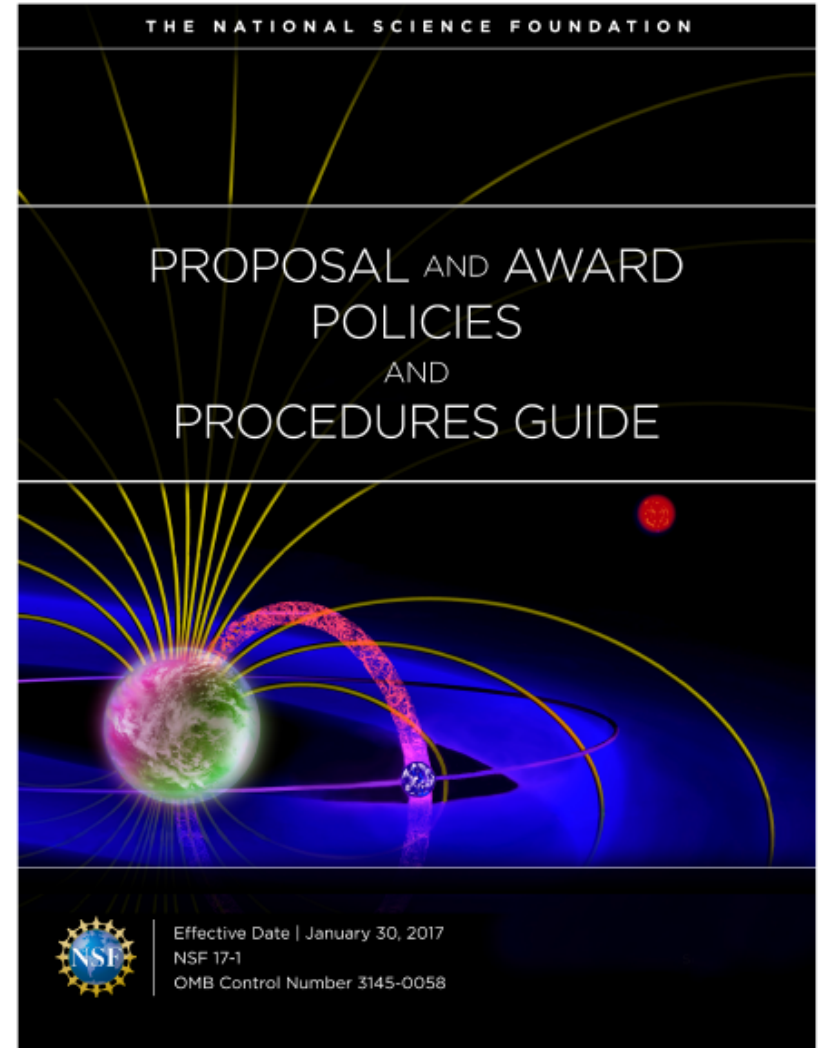Email: jfeldman@nsf.gov
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Topics

- NSF Policy Update - Proposal & Award Policies & Procedures Guide (PAPPG) Significant Changes
- Automated Proposal Compliance Checking
- Proposal Submission Modernization
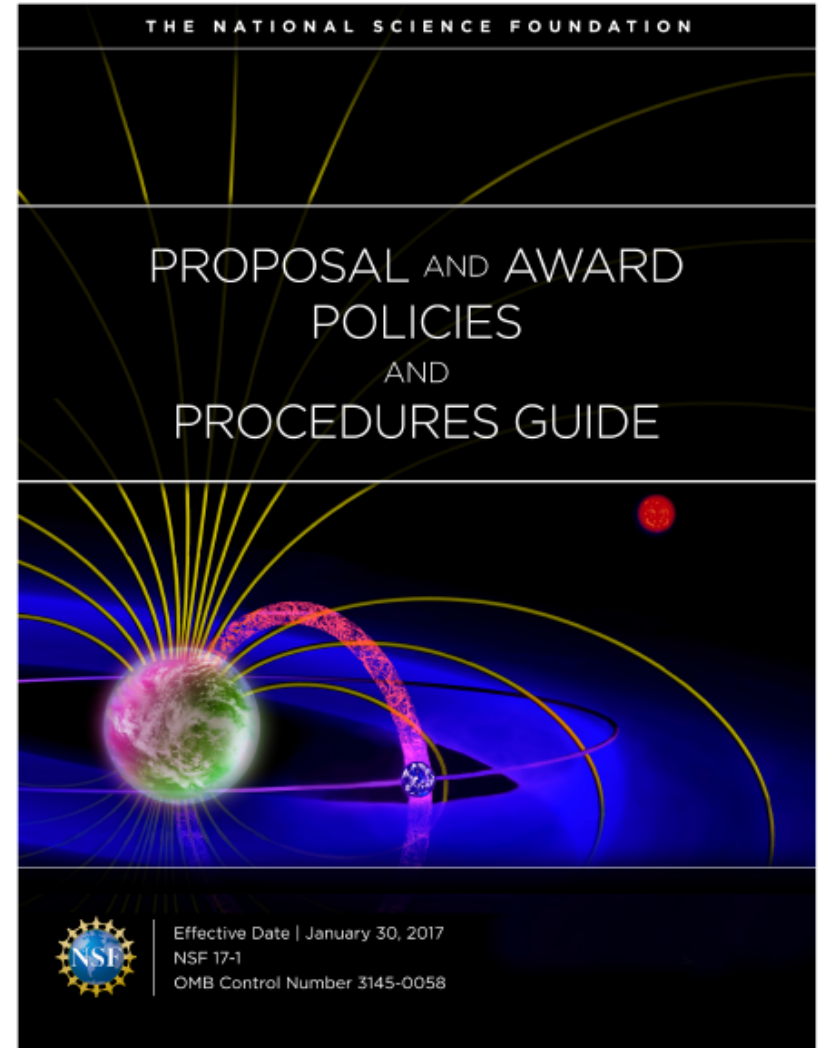- NSF is Moving
- Q&A

PAPPG Implementation Schedule

- Published: October 25, 2016

- Effective: January 30, 2017

PAPPG Implementation

- Proposals submitted, or due, on or after January 30, 2017

- Solicitations with before and after deadline dates
  - Preliminary & Full Proposals

THE NATIONAL SCIENCE FOUNDATION

PROPOSAL AND AWARD POLICIES AND PROCEDURES GUIDE

Effective Date | January 30, 2017
NSF 17-1
OMB Control Number 3145-0058

PAPPG – Significant Changes (Part I)

- 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

PAPPG – Significant Changes (Part I)

- Greater clarity on instructions for proposals submitted late due to natural or anthropogenic disasters.

- Single Copy Document explaining nature of event.

PAPPG – Significant Changes (Part I)

- 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

Required sections of the proposal differ based on the organization's role. The following sections are required for a collaborative proposal submitted by:

Lead Organization	Non-Lead Organization
Cover Sheet	Cover Sheet
Project Summary	Table of Contents (automatically generated)
Table of Contents (automatically generated)	Biographical Sketch(es)
Project Description	Budget and Budget Justification
References Cited	Current and Pending Support
Biographical Sketch(es)	Facilities, Equipment and Other Resources
Budget and Budget Justification	Collaborators & Other Affiliations Information
Current and Pending Support	
Facilities, Equipment and Other Resources	
Data Management Plan	
Postdoctoral Mentoring Plan (if applicable)	
Collaborators & Other Affiliations Information	

PAPPG – Significant Changes (Part I)

- Cost sharing coverage enhanced with increased coverage on the difference between voluntary committed and voluntary uncommitted cost sharing.

- Inclusion of indirect cost rates lower than negotiated rates is considered voluntary committed cost sharing

PAPPG – Significant Changes (Part I)

- Human Subjects – New coverage has been added on 45 CFR 690.118, including new template.
  - Please use the template when invoking 45 CFR 690.118!

- New award clause for projects involving human subjects:
  - It is the grantee's responsibility to ensure that any human subjects work conducted under this award has an Institutional Review Board (IRB) approval, where required, and that such approval remains valid at all times that human subjects work is conducted under the award. Failure to comply with this condition will result in suspension and/or termination of the award.

45 CFR 690.118 Template

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.

PAPPG – Significant Changes (Part I)

- Vertebrate Animals – Additional clarity has been added regarding departures from the Guide for the Care and Use of Laboratory Animals. Such departures must be approved by the IACUC and based on scientific, veterinary, medical must, or animal welfare issues.

- New award clause for projects involving the use of vertebrate animals:
  - It is the grantee's responsibility to ensure that any vertebrate animal work conducted under this award has an Institutional Animal Care and Use Committee (IACUC) approval, where required, and that such approval remains valid at all times that vertebrate animal work is conducted under the award. Failure to comply with this condition will result in suspension and/or termination of the award.

PAPPG – Significant Changes (Part I)

- Environmental requirements have been supplemented with a standard Organizational Environmental Impacts Checklist
  - Proposers may be requested to submit supplemental <u>post submission information to NSF</u>

PAPPG – Significant Changes (Part I)

- 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 – Significant Changes (Part I)

- Two new proposal types are being added:

    - Research Advanced by Interdisciplinary Science and Engineering (RAISE); and

    - Grant Opportunities for Academic Liaisons with Industry (GOALI)

PAPPG – Significant Changes (Part I)

GOALI	RAISE

• FastLane will add a new supplementary document, 'GOALI-Industrial PI Confirmation Letter'
 	
• New instructions and reminder messages in FastLane File upload screen when user selects GOALI proposal type
 	
• Two new compliance checks:
  – At least one Co-PI exists on the proposal
  – A GOALI-Industrial PI Confirmation Letter has been uploaded
	• FastLane will add a new supplementary document:
	  – 'RAISE PO Concurrence Email'
	
	• Three new compliance checks:
	  – 'RAISE-Program Officer Concurrence Email' must be uploaded at time of submission
	  – Award budget must be less than or equal to $1 Million
	  – Award duration must be less than or equal to 5 years

PAPPG – Significant Changes (Part I)

- International Travel Grants have been expanded to address support for both domestic and international travel

PAPPG – Participant Support vs. Student Employee

- The role of the student on the project must be used to determine how the student is compensated.

- Participant support costs should be used to defray the costs of students participating in a conference or training activity related to the project.

- Student employees are compensated for services rendered and their level of compensation is tied to the number of hours worked.

- A student cannot be compensated partially as an employee and as a participant.

PAPPG – Significant Changes (Part II)

- ## NSF-Approved Extension
  - Grantees made aware of limited time period of availability of funds due to cancelation of appropriations.

- ## Addition of co-PI/co-PD
  - Provides instructions for AOR to submit this request to NSF

- ## Travel & Temporary Dependent Care Costs
  - Costs of employees on travel status are limited to those authorized by 2 CFR § 200.474

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

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

Automated Proposal Compliance Checking

- Project Summary Enhancements
  - Effective last September, the Project Summary text boxes will be checked for one page in length;
  - It must contain the three required sections: Overview, Statement on Intellectual Merit and Statement on Broader Impacts.
  - Previous character count will be discontinued.
  - A Project Summary with special characters may still be submitted as a supplementary document

  Note that proposals submitted in Grants.gov do not follow the FastLane automated compliance checks and will be returned without review if the proposal is not in compliance with NSF proposal submission policies.

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.
    - Last webinar event was **September 28, 2016**
    - Next webinar is being scheduled
    - Additional information and registration 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 is Moving – What This Means For You

- NSF is moving from Arlington to Alexandria.

- August – October 2017

- What this means for you

For More Information

Ask Early, Ask Often!