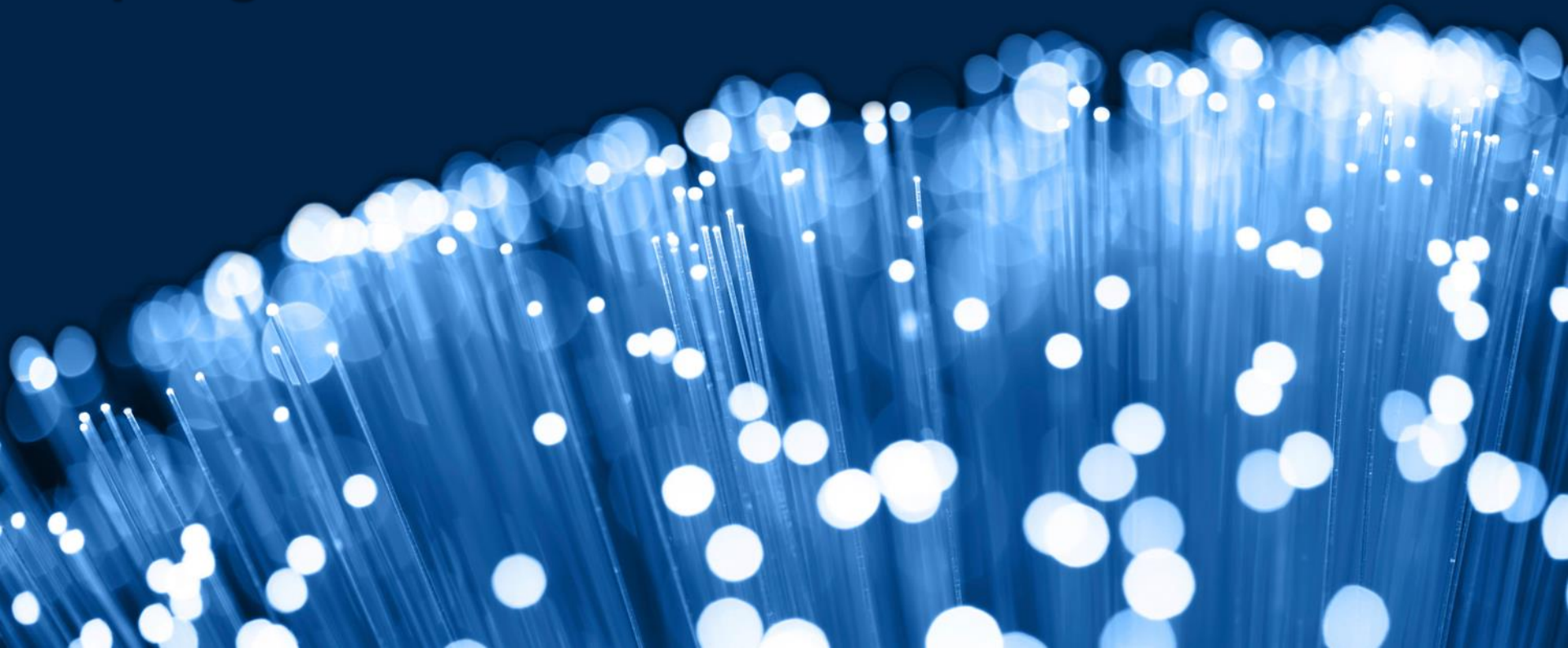


NSF Proposal & Award Policy Update



Spring 2016



Speaker

Beth Strausser

Senior Policy Specialist, Policy Office
Division of Institution & Award Support
Office of Budget, Finance & Award Management

Email: bstrauss@nsf.gov

Voice: 703.292.4574



Topics

- NSF Budget Update
- NSF Policy Update
 - Proposal & Award Policies & Procedures Guide (PAPPG) Significant Changes
 - NSF Public Access Plan
 - Automated Compliance Checking
 - Proposal Submission Modernization
 - NSF Electronic Research Administration Forum
 - Reducing Administrative Burden – Pilots
 - Federal Awardee Performance & Integrity Information System (FAPIIS)
- Research Terms & Conditions Update



NSF by the Numbers

\$8B FY 2017
budget request

93% funds research,
education and
related activities

 **50,000**
proposals



12,000
awards funded



2,000
NSF-funded
institutions



350,000
NSF-supported
researchers



Fund research in
all S&E
disciplines



Fund STEM
education &
workforce



217
Nobel Prize
winners

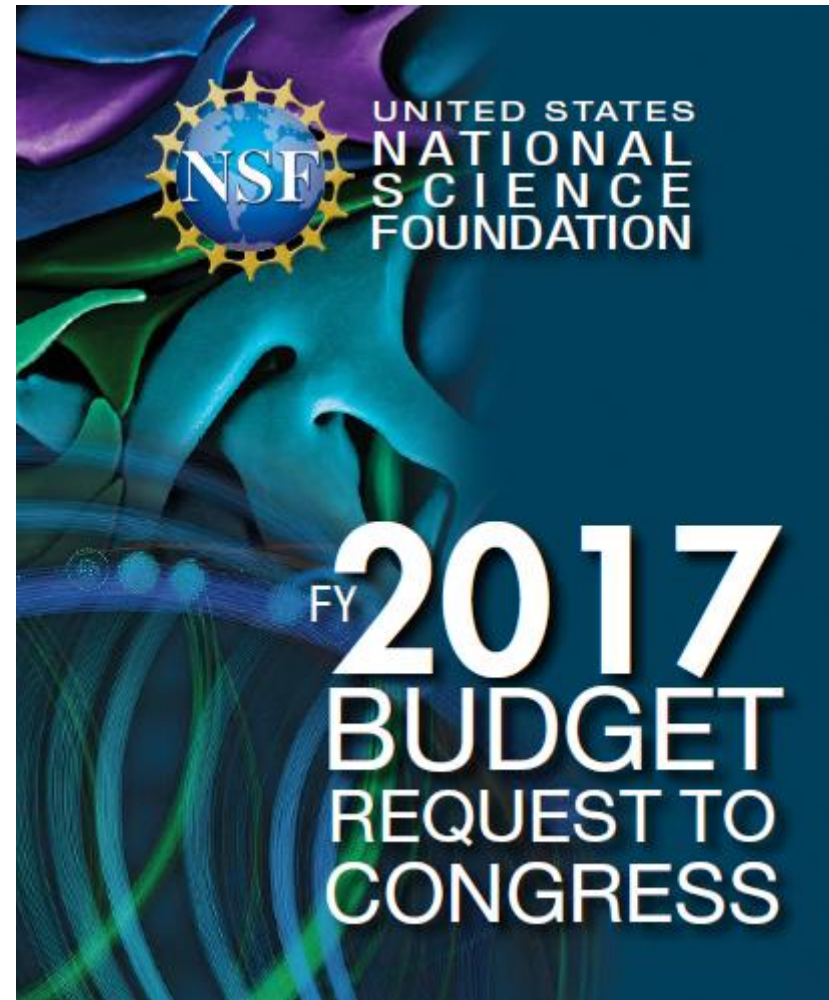
Total NSF Request

\$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



FY 2017 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%



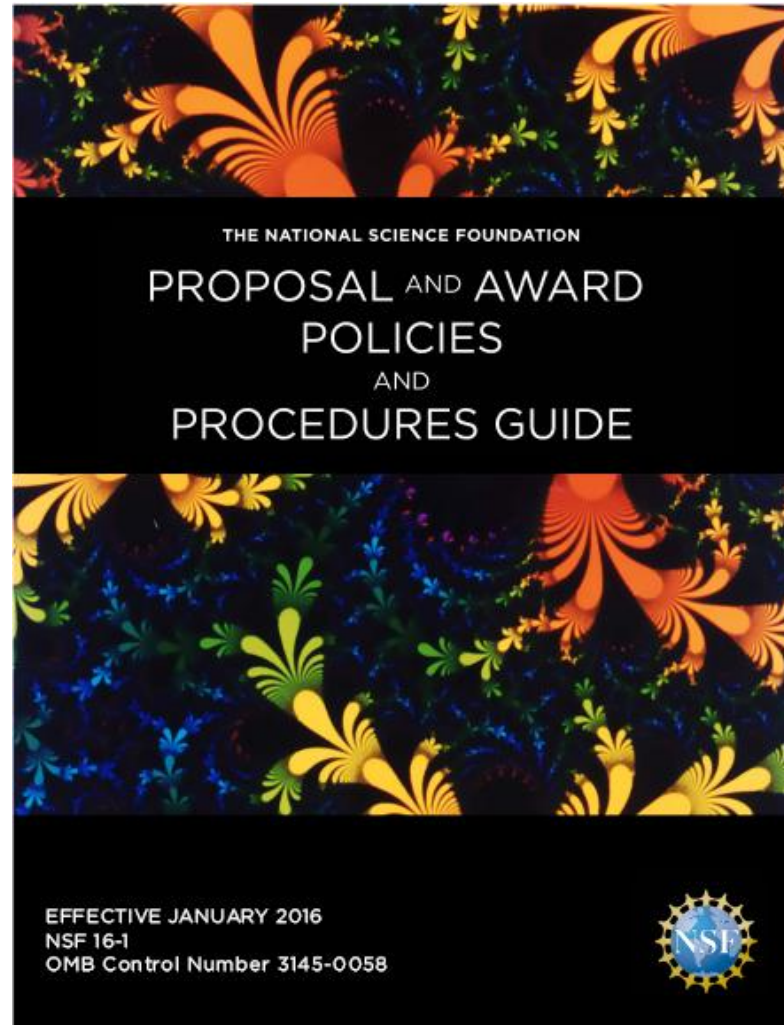
What to Watch

- Budget hearings - March and April
- Action on FY 2017 appropriations
- NSF's Reauthorization



PAPPG Implementation Schedule

- October 15, 2015 –
Published
- January 25, 2016 –
Effective Date



PAPPG – Significant Changes

- 5 p.m. submitter's local time is standard for all submissions, including proposals submitted in response to solicitations.
- Collaborators and Other Affiliations 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.
- 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.



PAPPG – Significant Changes

- 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”
- 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.

PAPPG – Significant Changes

- Post-award Notification and Request instructions have been revised to specify that such communications must be signed and submitted by the AOR.
- 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.



Procedures for Natural & Anthropogenic Events

- Proposers should contact the cognizant NSF Program Officer in the Division/Office to which they intend to submit their proposal and request authorization to submit a proposal after the deadline date. Effective January 25, 2016, proposers also must check the “Special Exception to the Deadline Date Policy” box on the NSF Cover Sheet, indicating NSF approval has been obtained. If available, written approval from the cognizant NSF Program Officer should be uploaded with the proposal as a Single Copy Document in FastLane. Proposers should then follow the written or verbal guidance provided by the cognizant NSF Program Officer.



Revised NSF Cover Sheet

COVER SHEET FOR PROPOSAL TO THE NATIONAL SCIENCE FOUNDATION				
PROGRAM ANNOUNCEMENT/SOLICITATION NO./DUE DATE NSF 16-509		<input checked="" type="checkbox"/> Special Exception to Deadline Date Policy		FOR NSF USE ONLY NSF PROPOSAL NUMBER
FOR CONSIDERATION BY NSF ORGANIZATION UNIT(S) (Indicate the most specific unit known, i.e. program, division, etc.) DEB - Long-Term Ecological Research				
DATE RECEIVED	NUMBER OF COPIES	DIVISION ASSIGNED	FUND CODE	DUNS# (Data Universal Numbering System)
				0748118034567
EMPLOYER IDENTIFICATION NUMBER (EIN) OR TAXPAYER IDENTIFICATION NUMBER (TIN) 530206152		SHOW PREVIOUS AWARD NO. IF THIS IS <input type="checkbox"/> A RENEWAL <input type="checkbox"/> AN ACCOMPLISHMENT-BASED RENEWAL		IS THIS PROPOSAL BEING SUBMITTED TO ANOTHER FEDERAL AGENCY? YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> IF YES, LIST ACRONYM(S)
NAME OF ORGANIZATION TO WHICH AWARD SHOULD BE MADE National Science Foundation		ADDRESS OF AWARDEE ORGANIZATION, INCLUDING 9 DIGIT ZIP CODE National Science Foundation 4201 Wilson Boulevard Arlington, VA. 222301000		
AWARDEE ORGANIZATION CODE (IF KNOWN) 4102852000				
NAME OF PRIMARY PLACE OF PERF ProdValid		ADDRESS OF PRIMARY PLACE OF PERF, INCLUDING 9 DIGIT ZIP CODE ProdValid AA.		
IS AWARDEE ORGANIZATION (Check All That Apply) (See GPG II.C For Definitions)				
<input type="checkbox"/> SMALL BUSINESS		<input type="checkbox"/> MINORITY BUSINESS		<input type="checkbox"/> IF THIS IS A PRELIMINARY PROPOSAL THEN CHECK HERE
<input type="checkbox"/> FOR-PROFIT ORGANIZATION		<input type="checkbox"/> WOMAN-OWNED BUSINESS		
TITLE OF PROPOSED PROJECT SE ProdValid Jenkins Test				
REQUESTED AMOUNT \$ 4,444	PROPOSED DURATION (1-60 MONTHS) 24 months	REQUESTED STARTING DATE 12/12/16	SHOW RELATED PRELIMINARY PROPOSAL NO. IF APPLICABLE	
THIS PROPOSAL INCLUDES ANY OF THE ITEMS LISTED BELOW				
<input type="checkbox"/> BEGINNING INVESTIGATOR (GPG I.G.2)		<input type="checkbox"/> HUMAN SUBJECTS (GPG II.D.7) Human Subjects Assurance Number _____ Exemption Subsection _____ or IRB App. Date _____		
<input type="checkbox"/> DISCLOSURE OF LOBBYING ACTIVITIES (GPG II.C.1.e)		<input type="checkbox"/> INTERNATIONAL ACTIVITIES: COUNTRY/COUNTRIES INVOLVED (GPG II.C.2.j)		
<input type="checkbox"/> PROPRIETARY & PRIVILEGED INFORMATION (GPG I.D, II.C.1.d)				
<input type="checkbox"/> HISTORIC PLACES (GPG II.C.2.j)				
<input type="checkbox"/> VERTEBRATE ANIMALS (GPG II.D.6) IACUC App. Date _____ PHS Animal Welfare Assurance Number _____		<input checked="" type="checkbox"/> COLLABORATIVE STATUS Not a collaborative proposal		
<input checked="" type="checkbox"/> FUNDING MECHANISM Research - other than RAPID or EAGER				



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: Next Steps

- Launched NSF's first repository: end of calendar 2015
- Effective date of Public Access policy: January 25, 2016
 - Applies to awards made from proposals submitted on or after January 25, 2016
 - First set of proposals awarded June - July 2016
 - Likely to see first publications requiring deposit in Fall 2016



Proposal Compliance Checking

Over past three years, NSF has ramped up pre-submission automated proposal compliance checking. Goals are to increase competitive fairness and reduce burden on both NSF programs and the research community.

Results depend on the funding opportunity and/or mechanism chosen by submitter.

- Deadline Checks – (since Jan 2016) a warning in the last 24 hours before the deadline, and an error when past the deadline. So far, 99.5% of proposals submitted on time.
- Section Exists Checks – checks on 11 sections
- Page Count Checks – lengths are checked for five sections
- Budget Checks – eight checks on rules such as caps on amounts, duration, and amounts matching.
- Other Checks – five checks related to international travel and human or animal use rules.

http://www.nsf.gov/bfa/dias/policy/autocheck/compliancechecks_jan16.pdf



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	✓	✓	✓	✓	✓	✓	✓	✓	✓

www.nsf.gov/bfa/dias/policy/autocheck/compliancechecks_jan16.pdf



Proposal Submission Modernization

- PSM is a multi-year initiative to modernize the proposal submission capabilities currently in FastLane and implement new capabilities in Research.gov.
- Recent survey results indicate strong interest and support in the following areas:
 - Pre-populating proposals with existing data;
 - Allowing certain documents or approvals (e.g. data management plan, detailed budgets, Institutional Review Board approval) to be submitted after proposal submission;
 - Revising the format of NSF solicitations to identify the difference between solicitation-specific requirements and standard NSF proposal requirements;
 - Tailoring the proposal interface to reflect the requirements of a given funding opportunity;
 - Publishing and enforcing a NSF-wide list of proposal compliance requirements.



NSF Electronic Research Administration (ERA) Forum

- New initiative to gather opinions, perspectives and feedback around NSF ERA activities
- First Forum was held on April 27th
 - Proposal Submission Modernization
- 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



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 SBIR/STTR
 - 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.
- Reducing Deadlines – Reducing Proposal Numbers in GEO/EAR
 - Question: Does an increased number of deadlines increase the number of proposals submitted?
 - Two core programs switching to no deadlines to assess proposal pressure



Reducing Administrative Burden: Pilot Programs

- “One-Plus” practice for select SBE/SES and SBE/BCS programs
 - Two programs with large volume of proposals invite “promising proposals” that were not recommended to submit in the next review cycle.
 - Strategy to invite promising, though declined proposals, in the subsequent review cycle.
- Improving the IACUC process – award to PRIM&R
 - Award is to develop a Train-the-Trainer IACUC Institute
 - Goal is to improve oversight of animal care and use programs nationwide by ensuring IACUCs accurately apply current regulatory standards
 - Funding also provided by NIH, FDA, USDA & VA



Federal Awardee Performance and Integrity Information System (FAPIIS)

- Requirements became effective January 1, 2016
- Federal awarding agencies must take into consideration any information about the entity.
- The information in the system must demonstrate a satisfactory record of executing programs or activities under Federal grants, and integrity and business ethics.
- Federal awarding agencies must report information on termination due to a material failure to comply or if entity is not qualified due to integrity or prior performance.

Research Terms and Conditions

High Level Concept

- The Research Terms and Conditions Overlay will:
 - Incorporate the entire Uniform Guidance by reference and provide additional clarity for select provisions.
 - Incorporate the OMB Frequently Asked Questions, which have the full force and effect of the Uniform Guidance.
 - Apply to an award when included as part of the award or when incorporated in the award by reference.
 - Apply to research and research-related grants made by the participating agencies to institutions of higher education and non-profit organizations.

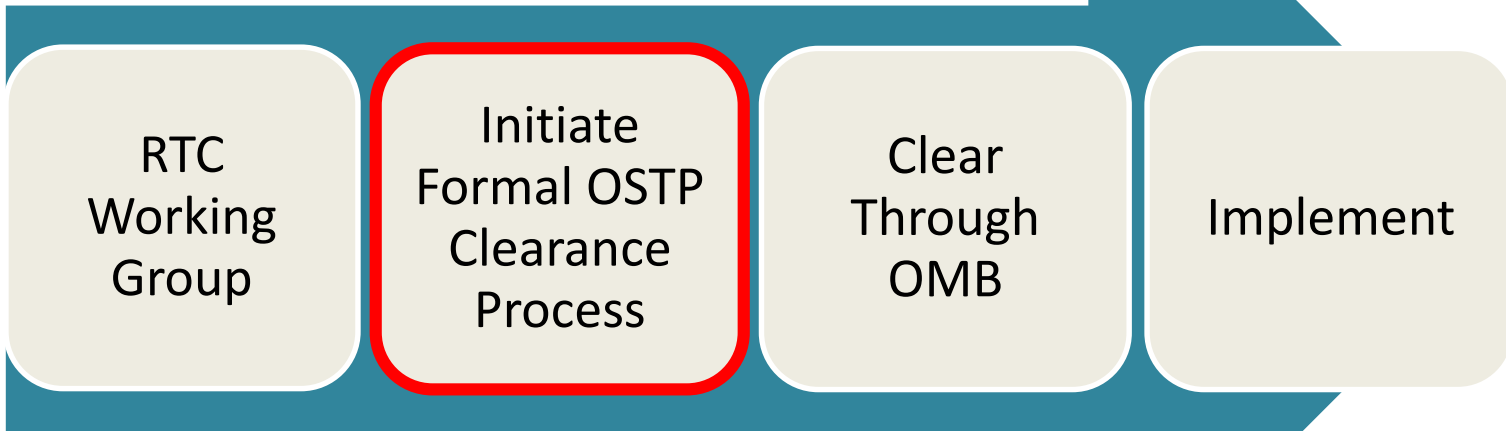
Research Terms and Conditions

Participating Agencies

- Department of Agriculture: NIFA
- Department of Commerce: NIST/NOAA
- Department of Energy
- Department of Homeland Security
- Department of Transportation: FAA
- Environmental Protection Agency
- NASA
- NIH – co-Chair
- NSF – co-Chair

Research Terms and Conditions

High Level Next Steps....



RTC working Group has reconvened to consider and resolve comments.	RBM SBE Research Subcommittee Committee on Science	OMB/OFFM will conduct Regulatory Review of the Final RTCs.	Each agency will implement according to the agency implementation plan.
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Archived Webcast

- Fall 2015 NSF Grants Conference webcast includes sessions covering:
 - Proposal Preparation
 - Merit Review Process
 - Award Management
 - Proposal & Award Policy Update
 - NSF CAREER Program Overview
- 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)

