

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

NSF Day
August 29, 2018



SPEAKER

- **Jeremy Leffler**
 - Outreach Specialist, Policy Office, Division of Institution & Award Support; Office of Budget, Finance & Award Management
 - **Phone:** (703) 292-8075
 - **E-Mail:** jleffler@nsf.gov

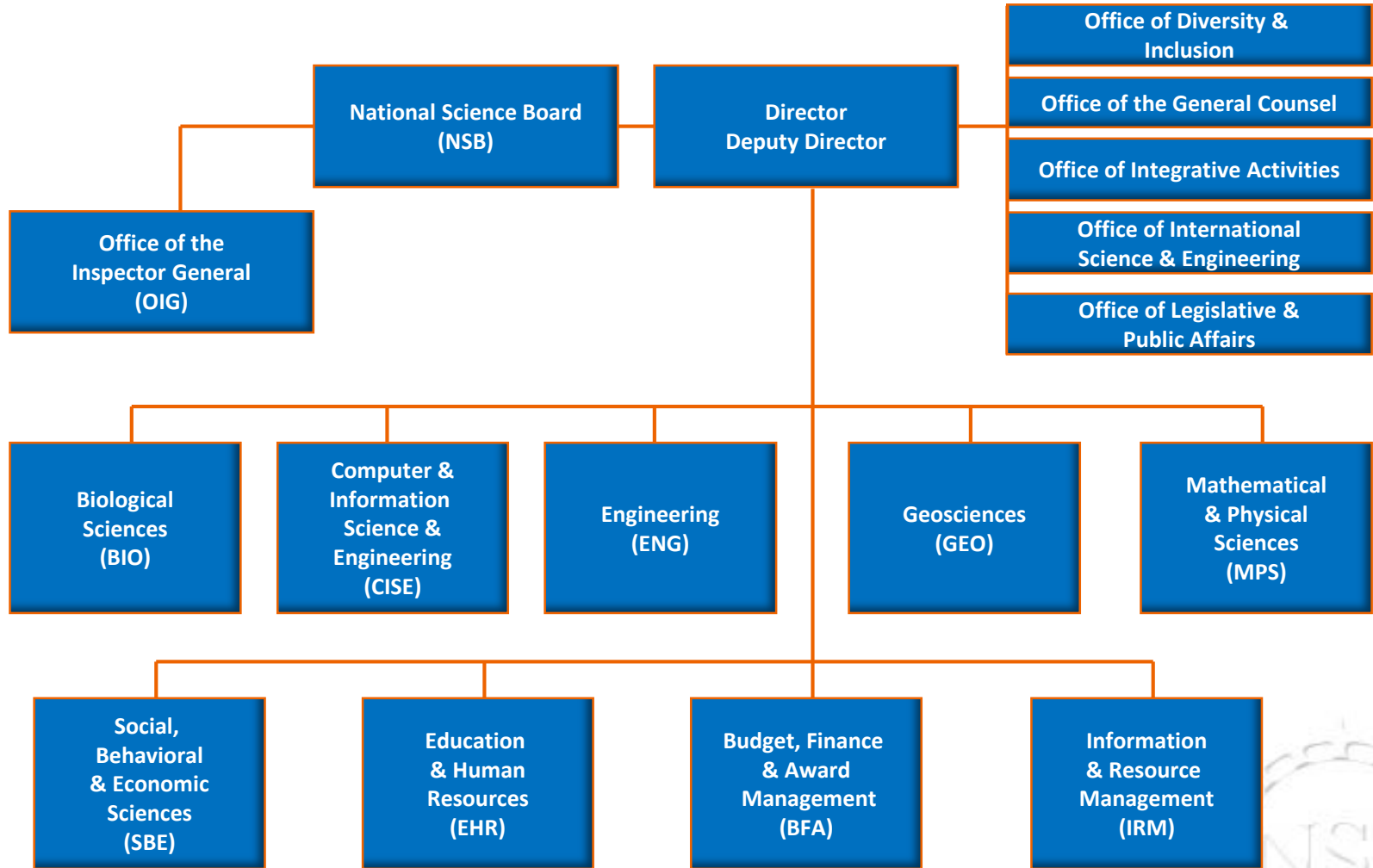


TOPICS

- NSF Personnel Updates
- PAPPG Proposed Significant Changes
- Update on NSF Important Notice 144 Implementation
- Changes in Objective or Scope - Reminders
- Proposal Submission in Research.gov is here!!
- Update of the NSF Award System
- Public Access Enhancement
- Responsible and Ethical Conduct of Research
- NSF Big Ideas Solicitations
- Upcoming Outreach Opportunities

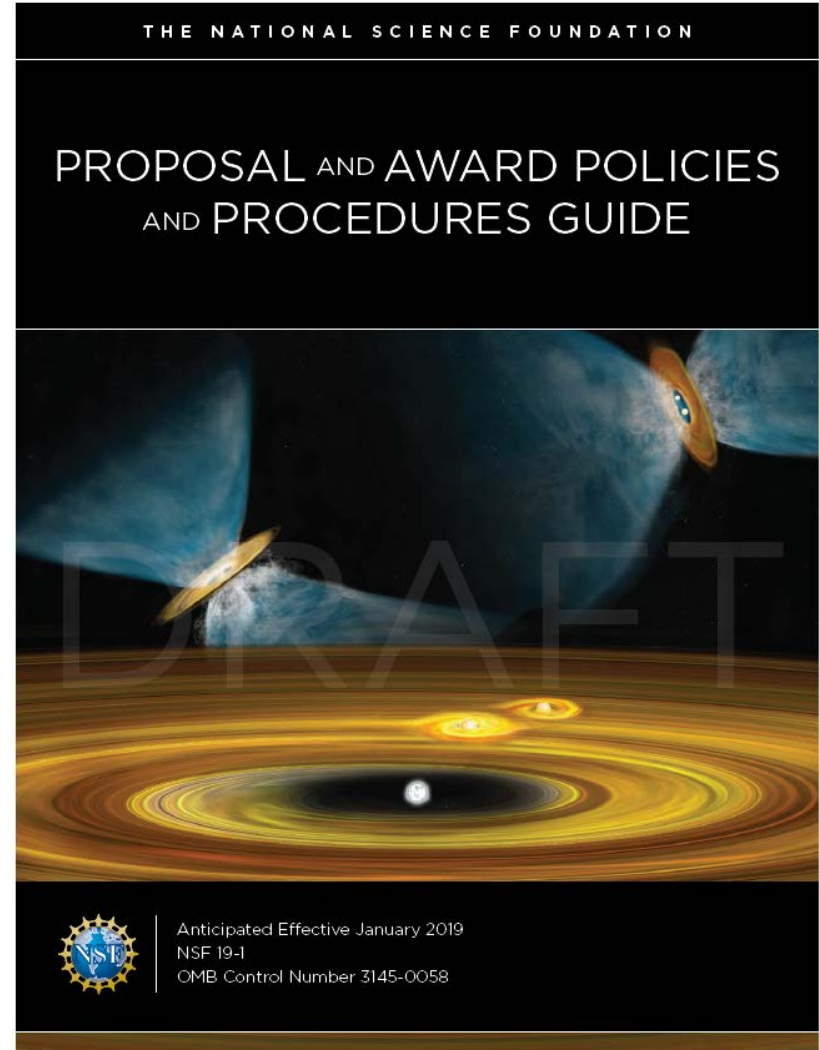


HOW NSF IS ORGANIZED



UPCOMING PAPPG IMPLEMENTATION SCHEDULE

- Spring 2018 – Federal Register for public comment
- Comments received by July 13, 2018
- Fall 2018 – Release to the community
- January 28, 2019 – PAPPG becomes effective



PAPPG PROPOSED SIGNIFICANT CHANGES

- Use of Research.gov for proposal submission: Policy versus on-screen instructions
- Expanded use of Dear Colleague Letters
- International Branch Campuses of US Institutions of Higher Education and Foreign Organizations
- Proposal font, spacing and margin requirements
- Additional highlighting of NSF's research misconduct policy
- Synergistic Activities clarification



PAPPG PROPOSED SIGNIFICANT CHANGES (CONT'D)

- Participant Support enhancements
- RAPID, EAGER and RAISE
- Resubmission
- Harassment policy – Implementation of Important Notice 144
- Final Project Report and Project Outcomes Report
- Definition (new) for Unexpended Balance
- Micropurchase threshold increase to \$10K
- Intellectual Property



IMPORTANT NOTICE 144 ON HARASSMENT

- National Science Foundation (NSF) will 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.



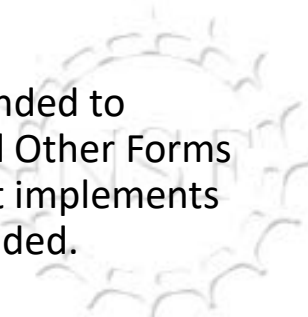
SEXUAL HARASSMENT TERM AND CONDITION STATUS

- Proposed new notification requirements were published in the Federal Register for public comment
- NSF was pleased to receive a significant number of comments – from institutions of higher education, scientific societies, for-profit organizations, faculty, students, etc. - during the 60 day comment period, which closed on May 4, 2018
- NSF carefully considered each comment in development of a revised term and condition
- NSF hosted a Roundtable on Sexual Harassment with representatives from professional societies (including representatives from COGR, AAU, APLU) on July 24th



PROPOSED CHANGES TO THE PAPPG TO ADDRESS HARASSMENT

- Draft PAPPG was available for public comment until cob July 13th
- Changes to new term and condition coverage will be reflected in new PAPPG coverage on harassment
- Proposed changes relating to Sexual Harassment have been made in the following areas:
 - New coverage has been added to the conference proposal section to require proposers to have a policy or code-of-conduct that addresses sexual and other forms of harassment and that includes clear and accessible means of reporting violations of the policy or code-of-conduct. This policy must be disseminated to conference participants prior to attendance at the conference as well as made available at the conference itself.
 - Change in PI coverage now has Changes in PI at the Initiation of the Grantee Organization, and Changes in PI at the Initiation of NSF.
 - Non-Discrimination Statutes and Regulations coverage has been expanded to include a new paragraph that addresses the “NSF Policy on Sexual and Other Forms of Harassment”, as well as a reference to the new grant condition that implements the harassment policy. Note: the full text of the condition is not included.



WHAT OTHER STEPS HAVE WE TAKEN?

- 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
 - This will be the same website where notifications, once implemented, will be submitted
 - Visit www.nsf.gov/harassment



CHANGES IN OBJECTIVE OR SCOPE - REMINDERS

- The objectives or scope of a project may not be changed without prior NSF approval.
- NSF does not define what constitutes a change in objectives or scope.
- Requests must be submitted by the AOR via Research.gov
- Prior NSF approval also is required for postaward changes to the Facilities, Equipment & Other Resources section of the approved proposal that constitute changes in objectives or scope.
- Post-award rebudgeting of person months devoted to the project may require NSF prior approval if the change would cause the objectives or scope of the project to change.

See PAPPG, Chapter VII.B.1.a



PROPOSAL SUBMISSION IN RESEARCH.GOV

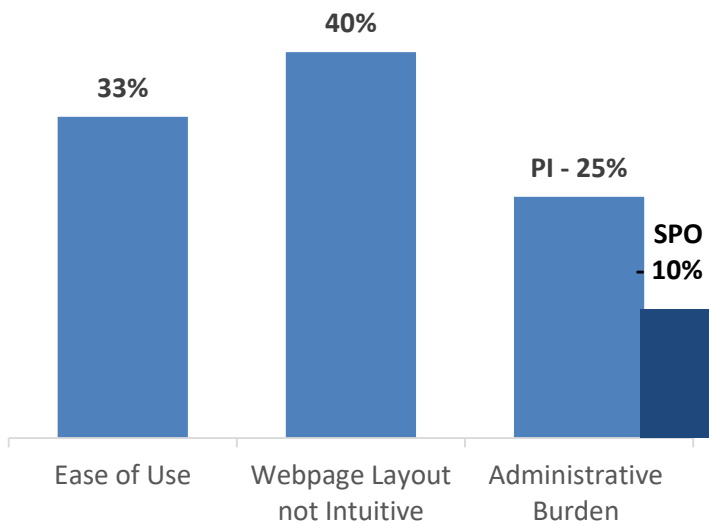
- Modernizes the applications supporting proposal submission and ***improves the user experience*** via the development of a new application
- ***Reduces the administrative burden*** to the research community and NSF staff associated with preparation, submission, and management of proposals
- ***Increases efficiencies*** in proposal preparation, submission, and management
- ***Improves data quality*** and captures proposal content in a way that ***supports data analytics***
- ***Improves availability***, security, and flexibility of proposal preparation and submission IT systems



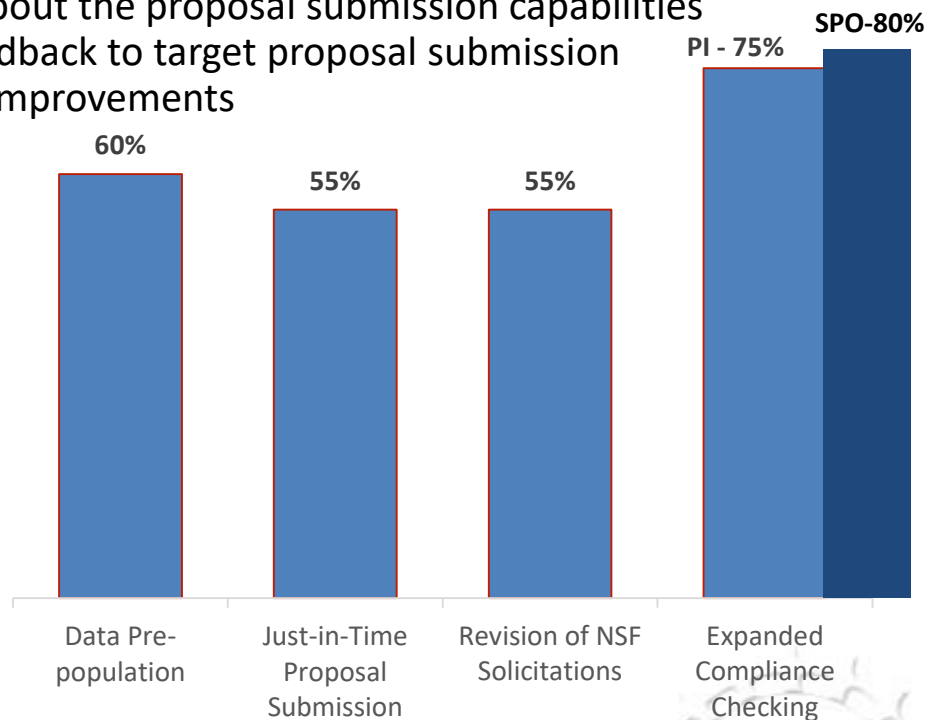
WHY ARE WE MODERNIZING NSF'S PROPOSAL SUBMISSION CAPABILITY?

The Problem Statement

In June 2015, NSF surveyed PIs and SPOs about the proposal submission capabilities available in FastLane and used this feedback to target proposal submission modernization improvements



Suggestions for Potential Solutions



*Results based on 16,736 responses from the June 2015 survey sent to 116,638 members of the research community



PROPOSAL SUBMISSION IN RESEARCH.GOV

- 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 IN RESEARCH.GOV

| 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 ENHANCEMENTS

- Incremental system releases are being deployed to expand features including:
 - Collaborative Proposals (subawards and separately submitted collaborative proposals from multiple organizations)
 - Additional Proposal Types (e.g., EAGER, RAPID, RAISE, etc.)
 - Enhancements to Compliance Checking
 - Withdraw/Delete Proposal
 - Additional Email Notifications
 - All proposal documents and forms (e.g. Substitute Negotiator)
 - Additional Submission Types (e.g. Letters of Intent, Preliminary proposals)
 - Solicitation-specific proposal content
 - Data pre-population (e.g. Current and Pending Support, Results from Prior NSF 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 the Division of Grants & Agreements (DGA) and the Division of Acquisition & Cooperative Support (DACCS)
- 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)

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



RESPONSIBLE AND ETHICAL CONDUCT OF RESEARCH

- NSF expects adherence to high standards of responsible and ethical conduct in the science, technology, engineering and mathematics (STEM) research and education that NSF supports
- All allegations of Research Misconduct should be reported promptly to the Office of the Inspector General (OIG)
- NSF awardees are subject to the responsible conduct of research requirement of the America COMPETES Act of 2007 (Public Law 110-69)
- NSF funds research and dissemination of findings on Cultivating Cultures for Ethical Science, Technology, Engineering, and Mathematics (STEM)



RESPONSIBLE AND ETHICAL CONDUCT OF RESEARCH (CONT'D)

- Upon proposal submission, AORs certify that the organization has a plan to provide RCR training to students and postdocs supported by NSF (see PAPPG, Chapters II.C.1.d and IX.B)
- NSF may review the plans upon request
- The Online Ethics Center (www.onlineethics.org) provides RCR resources to assist organizations in developing their training plans
- Each organization determines content, focus, and delivery method for training, tailored to specific needs
- NSF recommends that the content address fabrication, falsification, and plagiarism, at a minimum



NSF's 10 BIG IDEAS FOR FUTURE INVESTMENT

RESEARCH IDEAS

| | | | |
|---|---|--|---|
| <p>Harnessing Data for 21st Century Science and Engineering</p> | <p>Work at the Human-Technology Frontier: Shaping the Future</p> | <p>Windows on the Universe: Multi-messenger</p> | <p>Quantum Leap: Leading the Next Quantum Revolution</p> |
| <p>Navigating the New Arctic</p> | <p>Understanding the Rules of Life: Predicting Phenotype</p> | | |

PROCESS IDEAS

| | |
|---|--|
| <p>Mid-scale Research Infrastructure</p> | <p>NSF 2026</p> |
| <p>Growing Convergence Research at NSF</p> | <p>NSF INCLUDES: Enhancing STEM through Diversity and Inclusion</p> |

“ ... bold questions that will drive NSF's long-term research agenda -- questions that will ensure future generations continue to reap the benefits of fundamental S&E research. ”



UPCOMING BIG IDEAS SOLICITATIONS

- NSF is planning to ramp up its investments in the Big Ideas in FY 2019 as specified in the FY 2019 Request
- There will be a number of new program solicitations in FY 2019 for the Big Ideas
- The appearance of the Big Ideas solicitations will be different than what you have seen in the past due to the convergent nature of these programs
 - Instead of designating specific directorates as NSF has traditionally done, each of these solicitations will have the name of the Big Idea in the header.
 - We anticipate that proposals will be submitted to one directorate/division, but the reviews will be handled by all of the participating directorates/offices.



NSF OUTREACH

- NSF Grants Conference (November 8-9) in New Orleans
 - Registration opens September 6 at 12 PM EST
 - Plenary sessions will be webcast live and available on-demand
- PAPPG – Webcasts for the Research Community
 - November and January
- NSF Grants Conference (Spring 2019) in California
- Sign up to be notified of all policy-related events at:

<https://nsfgrantsconferences.com/get-notified/>



FOR MORE INFORMATION

Ask Early, Ask Often!

policy@nsf.gov

