Topics

• NSF Policy Update - Proposal & Award Policies & Procedures Guide (PAPPG) Significant Changes
• Automated Proposal Compliance Checking
• Proposal Submission Modernization
• NSF Single ID
• 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
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

• Updates to NSF websites
  – Policy Office vs. Program responsibilities
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
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.
Human Subjects – New coverage has been added on 45 CFR 690.118, including new template.
- Additional FAQs will be added on this topic

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 post submission information to NSF
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)

<table>
<thead>
<tr>
<th>GOALI</th>
<th>RAISE</th>
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</table>
| - FastLane will add a new supplementary document, ‘GOALI-Industrial PI Confirmation Letter’<br>- New instructions and reminder messages in FastLane File upload screen when user selects GOALI proposal type<br>- 2 new compliance checks:<br>  - At least one Co-PI exists on the proposal<br>  - A GOALI-Industrial PI Confirmation Letter has been uploaded | - FastLane will add a new supplementary document:  
  - ‘RAISE PO Concurrence Email’<br> - 3 new compliance checks:<br>  1. ‘RAISE-Program Officer Concurrence Email’ must be uploaded at time of submission<br>  2. Award budget must be less than or equal to $1 Million<br>  3. 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.

Automated Proposal Compliance Checking

<table>
<thead>
<tr>
<th>COMPLIANCE CHECK</th>
<th>FUNDING OPPORTUNITY TYPE</th>
<th>ERROR / WARNING</th>
<th>FUNDING MECHANISM TYPE</th>
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</thead>
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<td>RESEARCH</td>
</tr>
<tr>
<td>Proposal Section Exists Checks</td>
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<tr>
<td>1. Project Summary is required.</td>
<td>GPG Program Description Program Announcement</td>
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<tr>
<td></td>
<td>Program Solicitation</td>
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<tr>
<td>2. Project Description is required.</td>
<td>GPG Program Description Program Announcement</td>
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<tr>
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<td>Program Solicitation</td>
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<tr>
<td>3. References Cited is required.</td>
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<tr>
<td>5. Primary Budget is required.</td>
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<td>Program Solicitation</td>
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<tr>
<td>6. Budget Justification for the Primary Organization is required.</td>
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<td>Program Solicitation</td>
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<tr>
<td>7. Budget Justification for each Subrecipient Organization that exists is required.</td>
<td>GPG Program Description Program Announcement</td>
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<tr>
<td></td>
<td>Program Solicitation</td>
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Automated Proposal Compliance Checking

- Project Summary Enhancements
  - Effective September 26, 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.
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

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 introducing a new way to register and manage profiles using ONE single identity (Single ID) across all NSF systems.
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!