IT Modernization Initiatives at NSF

Federal Demonstration Partnerships

January 11, 2016

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Agenda

Recent updates and accomplishments

- – Notifications and Requests
- – Automated Compliance Checking

Research.gov – a look ahead

- – NSF Public Access
- – Usability
- – Proposal Submission Modernization

Proposal and Award Policies and Procedures Guide (PAPPG) (NSF 16-1) – Impacts to FastLane and Research.gov

- – 5 p.m. deadline submission
- – Authorized Organizational Representative (AOR) submission
- – New Proposal Preparation Policies

Notifications and Requests

Available in Research.gov as of October 24, 2015

- Long-term Disengagement of the PI (Principal Investigator)/PD (Project Director) or co-PI/co-PD (3+ months)

- 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 Project

- Rearrangements/Alterations in excess of $25,000

- Withdrawal of PI/PD or co-PI/co-PD

- Conflicts of Interest

- Salaries of Administrative or Clerical Staff

- Travel Costs for Dependents

- Additional categories of participant support costs other than 2 CFR § 200.75

- Grantee-Approved No-Cost Extension

- NSF-Approved No-Cost Extension

Notifications and Requests

The remaining notifications and requests will continue to reside in FastLane and will be migrated to Research.gov in the future

- Substitute PI/PD or co-PI/co-PD

- Subawarding, Transferring or Contracting Out Part of an NSF Award

- PI/PD or co-PI/co-PD Transfer from One Organization to Another

- Annual and Final Cost Share Notification by Recipient

- Awardees must login via R.gov to get to Notification and Requests functionality

- Notifications & Requests function is available from Awards & Reporting menu on Research.gov
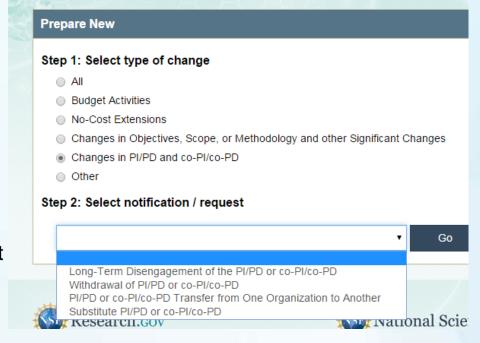
Notifications & Requests — Iowa State Un

+ Prepare New

Items Needing Action

Showing **1 to 25** of 26 « Prev **1** 2 Next>

Award Number	Award Date	Prepared by	Notification / Request Type	Status	Last Action Date	Actions
0911708	08/15/2009	Wiersema, Janice	Salaries of Administrative or Clerical Staff	Forwarded to SPO	03/11/2015	Edit | Submit
1461841	09/01/2014	Neese, Barbara	Subawarding, Transferring or Contracting Out Part of an NSF Award	Work in Progress	12/02/2014	Go to FastLane

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

Prepare New

Step 1: Select type of change
- ○ All
- ○ Budget Activities
- ○ No-Cost Extensions
- ○ Changes in Objectives, Scope, or Methodology and other Significant Changes
- ● Changes in PI/PD and co-PI/co-PD
- ○ Other

Step 2: Select notification / request

[▼] **Go**

Long-Term Disengagement of the PI/PD or co-PI/co-PD
Withdrawal of PI/PD or co-PI/co-PD
PI/PD or co-PI/co-PD Transfer from One Organization to Another
Substitute PI/PD or co-PI/co-PD

Research.gov National Scie

Usability: Project Reporting

Recent changes

- Added Live Help service (technical support chat) for Project Reporting and at login

- Unmasked NSF ID at login

- Relocated Program Officer comments to increase visibility

- Clarified language on form fields

- "Clean up" – Standardize layout, language, navigation, optimize layout for readability

Automated Compliance Checking Unsolicited Proposals

Auto-compliance checks for **unsolicited** proposals – January 26, 2015:

Enforce page count rules for the following proposal sections:

- Project Description
- Budget Justification
- Mentoring Plan
- Data Management Plan

Budget Checks: implement duration and requested amount compliance checks

- Example: maximum requested amount cannot exceed $200,000 for a RAPID proposal

Enforce proposal sections depending on the funding mechanism type

- Example: do not enforce References Cited for a Conference proposal

Automated Compliance Checking Program Solicitations

Auto-compliance checks for proposals submitted in response to **Program Solicitations** beginning April 24, 2015:

– Error message if the following sections are not included (applies to all solicited proposals)

- Project Summary
- Project Description
- Budget
- Data Management Plan
- Mentoring Plan (if necessary)

Automated Compliance Checking Program Solicitations

Auto-compliance checks proposals submitted in response to **Program Solicitations** – July 26, 2015:

Warning message appears if any of the following sections are not included for the applicable funding mechanism (Conference, Ideas Lab, Facility/Center, and Fellowship):

- References Cited
- Biographical Sketch(es)
- Budget Justification
- Current and Pending Support
- Facilities, Equipment and Other Resources

NSF Public Access

Launched NSF's first repository: December 2015

- Starting in December, PIs have the option to voluntarily deposit publications in NSF-PAR

Effective date of Public Access policy: January 2016

- Applies to awards made from proposals submitted, or due, on or after January 25, 2016
- First set of proposals awarded Summer 2016
- Likely to see first publications requiring deposit in Fall 2016

Usability

Upcoming areas of focus

- – Decrease session timeouts and prevent data loss
- – Password Self Service
- – Integrate Research.gov and FastLane logins
- – Expand InCommon Network
- – Updates associated with Public Access implementation
- – Cumulative display of product Information from previously approved Project Reports

Proposal Submission Modernization Outreach

NSF hosted two webinars to brief the research community

Approximately 600 researchers and SPO staff attended

Robust discussions with excellent, specific feedback and new ideas

- Desire to minimize the burden of uploading proposal components
- Efforts to clarify proposal requirements received praise
- Tailored interfaces that reflect solicitation requirements received constructive feedback

Proposal Submission Modernization Survey

NSF sent the survey in June 2015 to 116,638 researchers and administrative staff

16,000+ responses received

Goals of the survey:

– Gauge user experience with the current proposal process

– Gather feedback on the improvements suggested in the first round of outreach

– Seek input from researchers and SPO staff with experience reviewing and submitting proposals

Proposal Submission Modernization Survey

NSF is analyzing responses and will use them to guide the planning and design of future systems

Highlights from the survey:

- Approximately 77% agreed that FastLane meets expectations
- Nearly 25% of respondents indicated that NSF proposal requirements and systems result in unreasonable administrative burden
- PI and SPO respondents indicated that there may be room to clarify proposal compliance requirements
  - Over 75% of respondents indicated that expanded compliance checking would be valuable

Proposal Submission Modernization Development

NSF has kicked off the IT project to modernize proposal preparation and submission

Currently planning the multi-year effort to improve existing functionality and migrate from FastLane to Research.gov

Planning to use an iterative approach that will allow:

- NSF to roll out features as they are developed
- Incorporation of feedback from the user community
- A smooth transition for users from FastLane

PAPPG (NSF 16-1) – Impacts to FastLane and Research.gov

PAPPG Changes Effective January 25, 2016

5 p.m. deadline submission

- Proposals must be submitted by 5 p.m. local submitter's time.
- New organizations will be required to enter time zone information when registering in FastLane
- For existing organizations NSF will be pre-populating time zone information
- In cases where time zone cannot be mapped accurately by NSF, organizations will need to update the time zone information on their organization's profile in FastLane
- PIs should update the proposal coversheet to select applicable deadline information

PAPPG Changes Effective January 25, 2016

Authorized Organizational Representative (AOR) Submission

- AOR signature will be required for the following:
  - Proposal Submission
  - Proposal File Updates
  - Revised Budgets
  - Proposal Withdrawals
  - Notifications and Requests
  - PI Transfers
  - Supplemental Funding Requests
- NSF will no longer provide a 5-day grace period between the submission of a document to NSF and receiving an AOR signature
- Sponsor Projects Office (SPO) representatives who do not have AOR permissions will not be able to submit documents to NSF.
- Organizations should ensure a designee with AOR permissions is available to submit proposals before their respective deadlines through the FastLane Research Administration's Account Management module
- NSF is clarifying the permissions required for AORs and SPOs by grouping them into roles

PAPPG Changes Effective January 25, 2016

New Proposal Preparation Policies

- Prepare a new single copy document for "Collaborators and Affiliations" for each Senior Personnel listed on a proposal

- Add a new certification to the coversheet of each Dual Use Research of Concern (DURC)

- Upload each Current and Pending Support for Key Personnel in a single PDF file or as text associated with the individual. These support documents can no longer be grouped together in a single PDF document

- Upload each Biographical Sketch of each Key Senior Personnel as a single PDF file or as text associated with the individual

Feedback and Questions

Office of Information & Resource Management

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Additional Resources

Listserv to get updates on events and enhancements to Research.gov and/or FastLane: mailto:system_updates-subscribe-request@listserv.nsf.gov

NSF Public Access

- https://www.nsf.gov/news/special_reports/public_access/
- NSF's Public Access Plan
- FAQs Now Available: http://www.nsf.gov/pubs/2016/nsf16009/nsf16009.jsp?org=LIB