

National Science Foundation



Federal Demonstration Partnership

January 11, 2016



Speaker

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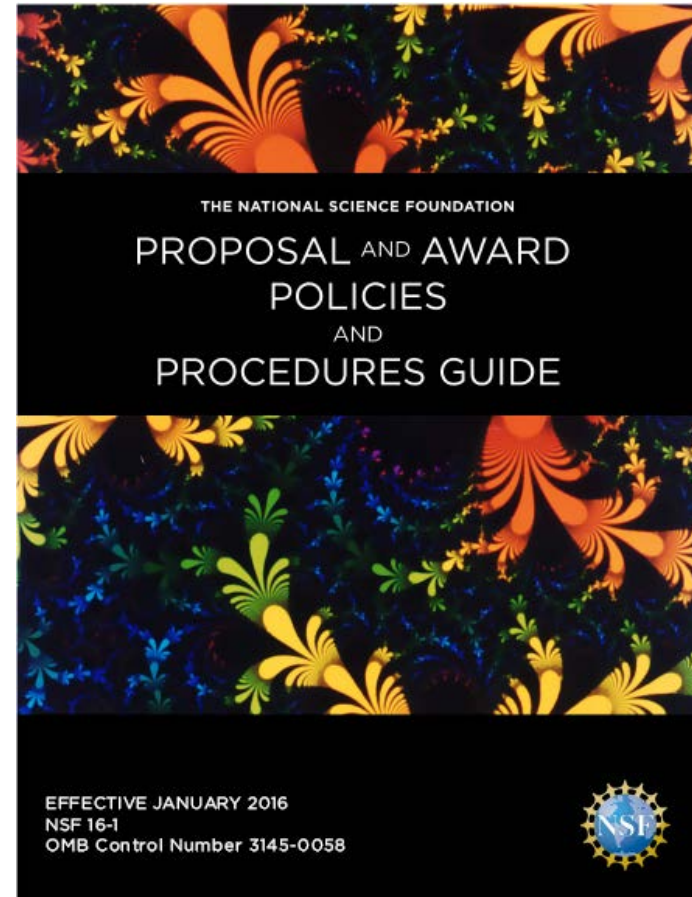


Topics

- Proposal & Award Policies & Procedures Guide (PAPPG) Revision: Implementation Schedule & Significant Changes
- NSF Public Access Plan
- Automated Compliance Checking
- Research Terms & Conditions Status
- Upcoming Outreach

NEW PAPPG Implementation Schedule

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



PAPPG – Significant Changes

- AOR will now provide proposal certifications upon submission of the proposal, thus removing the ability for post-submission certification.
- 5 p.m. submitter's local time is standard for all submissions, including proposals submitted in response to solicitations.

PAPPG – Significant Changes (Cont'd)

- Language has been removed permitting solicitations to specify different type size, margin and spacing requirements.
- Collaborator and Other Affiliation 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.
- Use of “should” and “must” has been reviewed throughout, and revised, where appropriate.

PAPPG – Significant Changes (Cont'd)

- 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.
- 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”



PAPPG – Significant Changes (Cont'd)

- 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.
- NSF implementation of Dual Use Research of Concern has been incorporated.
- Language has been added regarding NSF's implementation of the Federal Awardee Performance and Integrity Information System.



PAPPG – Significant Changes (Cont'd)

- Post-award Notification and Request instructions have been revised to specify that such communications must be signed and submitted by the AOR.
- Public Access Implementation incorporated into the AAG, with a link to the award term and condition.
- Additional information provided regarding the types of costs appropriate for conference proposals
- 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.

NSF Public Access Key Principles

- Focus on publications in the initial implementation
- Minimize burden on PI
- Protect PI autonomy
- Evolve incrementally
- Learn from one phase to inform the next
- Leverage existing practices and systems
- Honor NSF's customer service standard
- Provide ways to communicate and petition for a waiver
- Requirement will follow standard procedures and be implemented as part of the NSF PAPPG

NSF Public Access: Next Steps

- Effective date of Public Access policy: January 25, 2016
 - Applies to awards made from proposals submitted after January 2016
 - First set of proposals awarded June - July 2016
 - Likely to see first publications requiring deposit in Fall 2016
- Prior to effective date:
 - PIs will have the option to voluntarily deposit publications in NSF-PAR




NSF Public Access: Next Steps

- Project Reporting
 - Reduce burden on PIs by automatically ingesting publication information submitted through NSF-PAR into annual and final project reports
 - Cumulative listing of all products
 - Simplify reporting of products
 - Automatic ingest will only happen for awards that must comply with the new Public Access policy
 - NSF will be working with a small group of PIs that will voluntarily deposit publications in NSF PAR to test the automatic ingest process prior to the effective date of new policy



NSF Public Access: FAQs



National Science Foundation
WHERE DISCOVERIES BEGIN

QUICK LINKS

SEARCH

HOME

FUNDING

AWARDS

DISCOVERIES

NEWS

PUBLICATIONS

STATISTICS

ABOUT NSF

FASTLANE

NSF 16-009

Public Access: Frequently Asked Questions

I. GENERAL

1. [What is NSF's public access policy?](#)
2. [Why does NSF have a public access policy?](#)
3. [How does NSF's public access policy work?](#)
4. [Who must comply with NSF's public access policy?](#)
5. [Does the public access policy apply to NSF staff?](#)
6. [Who is responsible for reporting public access activities \(e.g., submitting material to a designated repository; managing the data in accordance with the DMP\)?](#)
7. [What material is covered by NSF's public access policy?](#)
8. [When does the policy go into effect?](#)
9. [What repository does NSF require PIs to use for depositing publications?](#)
10. [What is a "final accepted version" of a manuscript?](#)
11. [What is a "version of record"?](#)
12. [What are "page charges"?](#)
13. [What is an Article Processing Charge \(APC\)?](#)
14. [Does NSF require PIs to deposit their publications in a "trusted repository"?](#)
15. [Does the NSF public access policy cover data as well as publications?](#)



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 | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |

http://www.nsf.gov/bfa/dias/policy/autocheck/compliancechecks_july15.pdf



Research Terms & 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 & Conditions Status

- Federal Register Notice requested comments by December 14, 2015
- Currently analyzing more than 100 comments from 12 institutions
- All comments will be addressed and resolved

NSF Grants Conference

- Targeted for faculty and administrators. Topics include:
 - Proposal preparation
 - Merit review process
 - Award Management
 - Directorate breakout sessions
 - Award administration breakout sessions
- February 29 – March 1 in Portland, OR
 - Hosted by Portland State University
 - Registration begins this week!
- Sign up to be notified once registration is available
 - <https://www.signup4.net/Public/ap.aspx?EID=NSFN10E>



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/>



Key Documents

- **Proposal & Award Policies & Procedures Guide**

nsf.gov/publications/pub_summ.jsp?ods_key=papp

- **Fiscal Year 2016 Budget Request**

nsf.gov/about/budget/fy2016/index.jsp

- **NSF Strategic Plan for Fiscal Years 2014-2018**

nsf.gov/publications/pub_summ.jsp?ods_key=nsf14043

- **NSB Report on Merit Review**

nsf.gov/nsb/publications/pub_summ.jsp?ods_key=nsb1333



For More Information
Ask Early, Ask Often!

policy@nsf.gov

