NSF Proposal & Award Policy Update

NCURA PRA and FRA Meeting
March 15 & 17, 2022
Speaker

Jean Feldman
• Head, Policy Office
• Division of Institution & Award Support
• Office of Budget, Finance & Award Management
• policy@nsf.gov
Topics

• Proposal & Award Policies & Procedures Guide (PAPPG) – Status Update
• NSPM-33 and proposed changes to NSF policies
• Get ready for Research.gov!
• System Updates
  • Unique Entity Identifier (UEI)
  • Login.gov
• Upcoming NSF outreach opportunities
Proposal & Award Policies & Procedures Guide (PAPPG) – Anticipated Timeline

• Federal Register posting for public comment
  • Spring 2022

• PAPPG posting on NSF website
  • October 2022

• PAPPG becomes effective
  • January 2023
NSPM-33 Disclosure Requirements

• NSF has been working for almost three years to implement disclosure requirements for compliance with NSPM-33.
  • NSF has been collaborating with NIH to ensure our disclosure requirements are as consistent as possible, for use by researchers when preparing their Biographical Sketch and Current and Pending Support Documents.

• The disclosure tables contained in the Implementation Guidance are based on the work done by NSF and NIH and very minimal changes are required by NSF to ensure for full compliance.

• NSF, NIH, and OSTP co-chair an Interagency Working Group on Disclosure Policies.
  • We are creating standardized templates and instructions for use by all federal research funding agencies for the Biographical Sketch and Current and Pending Support.
NSF and NSPM-33 Disclosure Comparison

NSF Pre-Award and Post-Award Disclosures Relating to the Biographical Sketch and Current and Pending Support

NSPM-33 Guidance for Disclosure of Personal and Professional Information Within R&D Award Application Processes

<table>
<thead>
<tr>
<th>Type of Activity to be Disclosed</th>
<th>Biographical Sketch</th>
<th>Current &amp; Pending/Other Support</th>
<th>Annual Project Reports</th>
<th>Post-Award Information Terms &amp; Conditions</th>
</tr>
</thead>
<tbody>
<tr>
<td>PERSONAL INFORMATION</td>
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<tr>
<td>Professional preparation (e.g., educational degrees)</td>
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<tr>
<td>Organizational Affiliations*</td>
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</tr>
<tr>
<td>Academic, professional or institutional appointments, whether or not remuneration is received, and whether full-time, part-time, or voluntary</td>
<td>✔</td>
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<tr>
<td>Paid consulting that falls outside of an individual's appointment; separate from institution's agreement</td>
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<tr>
<td>RESEARCH FUNDING INFORMATION</td>
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<tr>
<td>Current and pending support: All R&amp;D projects currently under consideration from whatever source, and all ongoing projects, irrespective of whether support is provided through the proposing organization, another organization or directly to the individual</td>
<td>✔</td>
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</table>
NSPM-33 and NSF: Initial Disclosures and Update/Correction Requirements

• At the time of proposal submission: Collaborators and Other Affiliations, Biographical Sketch and Current and Pending Support.

• Prior to making an award: Updated Current and Pending Support information must be submitted.

• After an award is made: if the AOR discovers that a disclosure that should have been submitted at the time of proposal submission, but was not, they have 30 days to submit a post-award request to NSF.

• At the time of project reporting: PIs and co-PIs must specify whether new, active other support has been received in their annual and final project reports. If yes, they must provide updated Current and Pending Support information.
NSPM-33 and NSF: Proposed Changes to NSF Policies and Procedures

• Add new section on disclosure policies and the consequences for violation of disclosure requirements

• Add new language to the PAPPG to address NDAA 2021 Section 223 Certification Requirements for Senior Personnel
  • Actual certification will be included as part of the Biographical Sketch and Current and Pending Support in SciEENcv. Beginning in 2023, NSF will no longer permit submission of the NSF fillable format.
NSPM-33 and NSF: Proposed Changes to NSF Policies and Procedures

- Require program officers to request updated Current and Pending Support from senior personnel prior to making an award.
  - This is already a best practice at NSF; we are working to implement a mandatory electronic submission process that will include a certification requirement for all senior personnel in SciENcv.

- Incorporate the post-award term and condition requirement in the PAPPG and update the request submission process as a stand-alone request.

- Make minor changes to the Biographical Sketch and Current and Pending Support formats for consistency with the Federal-wide formats.
NSPM-33 and NSF: Remaining Issues/Concerns

• Implementation of a Digital Persistent Identifier (DPI)

• Implementation of the Research Security Program requirement (NSPM-33 requires research organizations awarded in excess of $50 million per year in total Federal research funding implement a research security program)

• Overall concerns with the timeframe associated with research agency implementation provided by OSTP

• Implementation in NSF research facilities and research contracts
Goodbye FastLane Proposal Preparation…Hello Research.gov

• FastLane is targeted to be removed as a submission option from all funding opportunities by the PAPPG implementation in January 2023
• About 80% of NSF funding opportunities are currently supported in Research.gov
• NSF is starting to migrate program descriptions to Research.gov only

IMPORTANT INFORMATION AND REVISION NOTE ABOUT RESEARCH.GOV PROPOSAL PREPARATION:

Innovating and migrating proposal preparation and submission capabilities from FastLane to Research.gov is part of the ongoing NSF information technology modernization efforts, as described in Important Notice No. 147. In support of these efforts, proposals submitted in response to this program solicitation must be prepared and submitted via Research.gov or via Grants.gov and may not be prepared or submitted via FastLane.
Research.gov Proposal Preparation: Advantages for Principal Investigators and Research Administrators

Features to help reduce proposal preparation administrative burden:

• Improved user experience through intuitive and dynamic interfaces that provide only relevant proposal preparation options

• Immediate feedback within each proposal section and for each document upload rather than at proposal submission in FastLane

• Faster document uploads (a few seconds versus 30-90 seconds for each document upload in FastLane)

• Expanded automated compliance checking utilizing error messages (preventing proposal submission) and warning messages (allowing proposal submission)
Research.gov Proposal Preparation: Advantages for Principal Investigators and Research Administrators

Features to help reduce proposal preparation administrative burden:

• Currently ~350 compliance checks in Research.gov across multiple submission types (full proposals, renewals, preliminary proposals, and letters of intent) versus 56 compliance checks in FastLane for full proposals only
• Specific, actionable error and warning messages
• Higher quality proposal submissions (e.g., PDF uploads are not altered)
• Minimized Return without Reviews due to some proposal formatting issues
Research.gov Proposal Preparation Tips

• Proposal information cannot be transferred from FastLane to Research.gov and vice versa.

• Letters of intent and preliminary proposals must be prepared in the same system as the full proposal (i.e., all in Research.gov or all in FastLane).

• All proposals in a separately submitted collaborative from multiple organizations must be prepared in the same system (i.e., all in Research.gov or all in FastLane).

• Proposal file updates (PFUs) and budget revisions must be executed in the same system as the proposal was submitted (i.e., all in Research.gov or all in FastLane).

• Proposals submitted in Research.gov are evaluated by NSF in the same way as proposals submitted in FastLane and Grants.gov, and this migration does not affect the merit review process in any way.
Research.gov Proposals: Where We Are and What’s Ahead

<table>
<thead>
<tr>
<th>Current Capabilities</th>
<th>Upcoming Capabilities</th>
<th>Future Capabilities</th>
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<tbody>
<tr>
<td><strong>Proposal Types</strong></td>
<td><strong>Proposal Type</strong></td>
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<tr>
<td>✓ Research: Single Submissions from One Organization <em>(April 2018)</em>; Single Submission Collaborative Proposals with Subawards <em>(June 2019)</em>; Separately Submitted Collaborative Proposals from Multiple Organizations <em>(March 2020)</em></td>
<td>• Postdoctoral Fellowship <em>(standard)</em> <em>(tentative April 2022 release)</em></td>
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<tr>
<td>✓ Rapid Response Research <em>(RAPID)</em> <em>(November 2020)</em></td>
<td>• Solicitation-specific Requirements</td>
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<tr>
<td>✓ EARly-concept Grants for Exploratory Research <em>(EAGER)</em> <em>(November 2020)</em></td>
<td>• EHR Project Data Form <em>(April 2022 release)</em></td>
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<tr>
<td>✓ Research Advanced by Interdisciplinary Science and Engineering <em>(RAISE)</em> <em>(November 2020)</em></td>
<td>• Secondary Units of Consideration <em>(April 2022 release)</em></td>
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<tr>
<td>✓ Facilitation Awards for Scientists and Engineers with Disabilities <em>(FASED)</em> <em>(March 2021)</em></td>
<td>• Proposal Feature</td>
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<tr>
<td>✓ Equipment <em>(March 2021)</em></td>
<td>• Separate Uploads of Multiple Supplementary Documents <em>(April 2022 release)</em></td>
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<tr>
<td>✓ Travel <em>(March 2021)</em></td>
<td>• Training</td>
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<tr>
<td>✓ Conference <em>(August 2021)</em></td>
<td>• Additional Topic-specific How-to Guides <em>(ongoing)</em></td>
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<tr>
<td>✓ Ideas Lab <em>(August 2021)</em></td>
<td>• Webinars <em>(e.g., Spring 2022 NSF Grants Conference and ERA Forum)</em></td>
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<tr>
<td>✓ Grant Opportunities for Academic Liaison with Industry <em>(GOALI)</em> <em>(October 2021)</em></td>
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<td>✓ Planning <em>(October 2021)</em></td>
<td></td>
<td><strong>Post-award Actions</strong></td>
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<tr>
<td>✓ Center <em>(November 2021)</em></td>
<td></td>
<td>• Supplemental Funding Requests, including Career Life Balance Supplemental Funding Requests <em>(fall 2022 release)</em></td>
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<tr>
<td>✓ Research Infrastructure <em>(November 2021)</em></td>
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<tr>
<th>Submission Types</th>
<th>Solicitation-specific Requirements</th>
<th>Post-award Actions</th>
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<tbody>
<tr>
<td>✓ Letter of Intent <em>(October 2021)</em></td>
<td>• EHR Project Data Form <em>(April 2022 release)</em></td>
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<tr>
<td>✓ Full Proposal <em>(April 2018)</em></td>
<td>• Secondary Units of Consideration <em>(April 2022 release)</em></td>
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<tr>
<td>✓ Preliminary Proposal: Ideas Lab <em>(August 2021)</em>; Non-Ideas Lab <em>(November 2021)</em></td>
<td>• Proposal Feature</td>
<td></td>
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<tr>
<td>✓ Full Proposal related to a Preliminary Proposal <em>(November 2021)</em></td>
<td>• Separate Uploads of Multiple Supplementary Documents <em>(April 2022 release)</em></td>
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<tr>
<td>✓ Renewal Proposal <em>(August 2021)</em></td>
<td>• Training</td>
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<tr>
<td>✓ Accomplishment-Based Renewal Proposal <em>(August 2021)</em></td>
<td>• Additional Topic-specific How-to Guides <em>(ongoing)</em></td>
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<thead>
<tr>
<th>Recent Proposal Features</th>
<th>Training</th>
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<tr>
<td>✓ Withdrawal <em>(Single and Separately Submitted Collaborative Proposal Submissions)</em> <em>(March 2021)</em></td>
<td>• Webinars <em>(e.g., Spring 2022 NSF Grants Conference and ERA Forum)</em></td>
<td></td>
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<tr>
<td>✓ Project Descriptions Exceeding 15 Pages <em>(November 2021)</em></td>
<td>• Webinars <em>(e.g., Spring 2022 NSF Grants Conference and ERA Forum)</em></td>
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<thead>
<tr>
<th>Training</th>
<th>Proposal Types</th>
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<tbody>
<tr>
<td>✓ Research.gov Proposal Preparation Demo Site <em>(October 2020)</em></td>
<td>• Postdoctoral Fellowship <em>(PRFB &amp; MSPRF proposals requiring reference letter writer and special postdoc forms)</em> <em>(tentative fall 2022 release)</em></td>
<td></td>
</tr>
<tr>
<td>✓ Initial Topic-specific How-to Guides <em>(March 2021)</em></td>
<td>• SBIR and STTR Phases I/II <em>(fall 2022 release)</em></td>
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As of 3/3/2022
2022 Research.gov Proposal Development Activities

• Postdoctoral fellowship proposals – standard (tentative April 2022 release)
• EHR Project Data form (April 2022 release)
• Secondary units of consideration (April 2022 release)
• Separate uploads of multiple supplementary documents (April 2022 release)
• Postdoctoral fellowship proposals – PRFB & MSPRF requiring reference letter writer and special postdoc forms (tentative fall 2022 release)
• SBIR/STTR Phases I/II program proposals (fall 2022 release)
• Supplemental funding requests (fall 2022 release)
Research.gov Proposal Preparation Demo Site

- Demo site can be used to explore preparing proposals and to check compliance of uploaded proposal documents (e.g., Collaborators and Other Affiliations and Biographical Sketch)

- All demo site users are automatically given the PI role for demo site purposes, in order to perform the proposal preparation functions that a PI can do in the actual system. Proposal submission capability is disabled

- See the demo site FAQs on the Research.gov About Proposal Preparation and Submission page for information on demo site access and features
Research.gov Proposal Training Resources

• Training resources on the Research.gov About Proposal and Submission page:
  • FAQs by topic
  • Links to video tutorials including 16-minute demo video highlighting key proposal preparation features and preparing proposal file updates/budget revisions
  • Link to Automated Compliance Checking of NSF Proposals page to view current Research.gov proposal compliance checks
  • Links to topic-specific how-to guides (e.g., Initiating a Proposal and Sharing Access with Sponsored Projects Office/Authorized Organizational Representative)

https://www.research.gov/research-web/content/aboutpsm
Implementation of SAM Unique Entity Identifier (UEI)

- Effective February 28, NSF began using the new System for Award Management (SAM) issued Unique Entity Identifier (UEI) in Research.gov and FastLane.
- NSF-registered organizations do not need to manually replace DUNS with their SAM UEI in NSF systems.
- Any subrecipients named in a proposal are also required to obtain a SAM UEI and register in Research.gov. Subrecipients named in the proposal, however, do not need to be registered in SAM.

<table>
<thead>
<tr>
<th>DUNS</th>
<th>February 4 - April 4, 2022</th>
<th>April 4, 2022 &amp; After</th>
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<tbody>
<tr>
<td></td>
<td>• Required for SAM registration • No longer used at NSF</td>
<td>• No longer required for SAM registration • Not used at NSF</td>
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Login.gov Option for Research.gov Sign-In

Using Login.gov credentials option:
• Choose Login.gov option from Research.gov Sign In screen
• Enter your Login.gov credentials
• Link/activate your NSF ID
NSF Outreach Opportunities

• Spring 2022 NSF Grants Conference – June 6-10
  • Registration opens in May – no cost to register
  • Live and on-demand sessions
  • Proposal Preparation and Merit Review
  • Award Management
  • Directorate-specific sessions

• NSF Policy Office Webinar Series
  • Topic-specific sessions
  • Available live and on-demand

• Resource Center
  • On-demand presentations – searchable by topic and year

More information at:
https://nsfpolicyoutreach.com