

NSF Proposal & Award Policy Update



University of Alaska Fairbanks
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Speaker

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Topics

- Uniform Guidance Update
- Research Terms and Conditions Update
- NSF Policy Update
 - Proposal & Award Policies & Procedures Guide (PAPPG) Significant Changes
 - NSF Public Access Plan
 - Automated Compliance Checking
 - Proposal Submission Modernization
 - Reducing Administrative Burden – Pilots
 - Federal Awardee Performance & Integrity Information System (FAPIIS)



Uniform Guidance Implementation and Update



**UNIFORM ADMINISTRATIVE
REQUIREMENTS, COST PRINCIPLES,
AND AUDIT REQUIREMENTS FOR
FEDERAL AWARDS**

(EXTRACTED FROM THE E-CFR)

Effective Date: September 10, 2015

2 CFR 200 - Basic Layout

- 6 Subparts A through F
 - Subpart A, 200.XX – Acronyms & Definitions
 - Subpart B, 200.1XX – General
 - Subpart C, 200.2XX – Pre Award - *Federal*
 - Subpart D, 200.3XX – Post Award – *Recipients*
 - Subpart E, 200.4XX – Cost Principles
 - Subpart F, 200.5XX – Audit
- 11 Appendices - I through XI
- “Should” and “Must”



Top Impacts for Research Universities

- Standard data
 - Definitions, NOFO, Application, Award Notice
- Computing devices as supplies – 200.94
- Conflict of Interest – 200.112
- Fixed award amount – 200.201 (b)
- Cost sharing policy – 200.306
- Procurement standards – 200.320
- Subrecipient Monitoring – 200.331

Top Impacts for Research Universities

- Direct charges of administrative SW – 200.413
- IDC Rate acceptance – 200.414
- Documentation for personal services -200.430
 - Internal controls – 200.430 (i)
 - Outcome based – 200.430 (i) (6)
 - Blended funding – 200.430 (i) (7)
- Family - Friendly Policies – 200.432 , 474
- Audit report transparency- 200.512
- Utility Cost Factor for all universities – Appendix III

Highlights of Technical Corrections (9/2015)

- **200.110** - Effective date for procurement standards (200.317-200.326) deferred for two years after the Guidance goes into effect.
- **200.101** – Revised applicability table to be more consistent with Guidance.
- **200.308** – Revision of Budget and Program Plans; renumbered and made provisions for application of additional items of prior approval widely applicable (rather than limited to one item).
- **200.331** – Provides enhanced guidance on the content of awards by pass-through entities to subrecipients.
- **200.431** – Revised provisions for tuition remission as an allowable cost for undergraduate and graduates and to allow the provision of this benefit at other institutions according to institutional policy.

Highlights of New and Revised FAQs (9/2015)

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- **.68-1** - Clarifies provision of \$25K allowance for subawards when the subaward is renegotiated.
- **.110-6** - Revised to address application of the 2 year deferral of procurement requirements.
- **.112-2** - Guidance on the potential application of 200.112 (Conflict of Interest) to subawards for scientific collaboration.
- **.320-2** - Revised to provide examples of sole source procurements for research.
- **.323-1** - Clarifies that the cost or price analysis is not required for procurements up to the simplified acquisition threshold.
- **.414-8** - Addresses voluntary waiver or reduction of IDC.



Highlights of New and Revised FAQs (9/2015)

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- **.425-4** – Clarifies that financial statement audits are an allowable cost for NFE exempted from Single Audit & Subpart F.
- **.425-5** – Clarifies that internal audit functions are allowable.
- **.449-1** – Clarifies implementation of the provision of interest costs for software development (Limited to assets acquired on or after the NFE fiscal years beginning on or after 1/1/16).
- **Appendix III-2** – Clarifies transition and application of the revised Utility Cost Adjustment.
- **Appendix III-3** – Requires the inclusion of salaries in excess of the HHS/NIH statutory limit in the MTDC base





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Council on Financial Assistance Reform 2 C.F.R 200: Uniform Guidance

OMB together with Federal awarding agencies is issuing a [joint interim final rule](#) to implement the new guidance at 2 C.F.R. 200 titled Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance). The rule will be available for public inspection December 18th, published in the Federal register December 19th (at www.Federalregister.gov) and effective for new awards or some funding increments on or after December 26, 2014.

The final guidance and implementing regulations delivers on President Obama's second term management agenda and his first term directives under [Executive Order 13520](#), the [February 28, 2011 Presidential Memorandum](#), and the objectives laid out in [OMB Memorandum M-13-17](#) to better target financial risks and better direct resources to achieve evidence-based outcomes. The final guidance, which was originally published December 26, 2013 ([available at 78 FR 78589](#)) simultaneously improves performance, transparency, and oversight for Federal awards. The COFAR will measure the impact of this guidance as described under [M-14-17](#).

This is the first I've heard of this. Where can I find a good summary of the Uniform Guidance and policy changes it includes?



Council on Financial Assistance Reform

- » [Uniform Guidance](#)
- » [Resources for Uniform Guidance](#)
- » [Measuring the Impact of Uniform Guidance](#)
- » [Uniform Guidance Training Webcasts](#)
- » [Federal Spending Transparency](#)
- » [About COFAR](#)



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What happens to my organization on December 26th?

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Resources for Understanding the Uniform Guidance

- [2 CFR 200 – Uniform Guidance](#) (Note: the CFR will be updated to reflect the technical corrections and changes to agency regulations after the December 26th effective date.)
- [Joint Interim Final Rule Implementing the Uniform Guidance](#) (xx FR xxxx)
- [Blog Post Announcing Implementation of the Uniform Guidance](#)
- [Uniform Guidance Crosswalk for Federal agency Exceptions and Additions](#)
- [Preamble and original Federal Register Notice for Uniform Guidance](#) (78 FR 78589)
- [Frequently Asked Questions- updated as of November 2014](#)
- [Uniform Guidance Crosswalk from Predominant Source in Existing Guidance](#) (29 pages, 442 kb)
- [Uniform Guidance Crosswalk to Predominant Source in Existing Guidance](#) (10 pages, 282 kb)
- [Uniform Guidance Cost Principles Text Comparison](#) (174 pages, 1.62 mb)
- [Uniform Guidance Audit Requirements Text Comparison](#) (46 pages, 731 kb)
- [Uniform Guidance Definitions Text Comparison](#) (76 pages, 476 kb)
- [Uniform Guidance Administrative Requirements Text Comparison](#) (123 pages, 1 mb)
- [M-13-17 Next Steps in the Evidence and Innovation Agenda](#)
- [M-14-17 Metrics for Uniform Guidance](#)

Measuring the Impact of the Uniform Guidance

Metrics

On September 30, 2014, OMB published [Memorandum M-14-17](#) Metrics for Uniform Guidance to measure the impact of the Uniform Guidance and to evaluate the extent to which it achieves the COFAR's goal of reducing administrative burden and risk of waste, fraud and abuse.

The feedback tool for non-Federal stakeholders closed on March 17th and the COFAR and OMB are in the process of reviewing submissions. Once aggregate and summarize the information, we will publish the non-Federal feedback and Federal awarding agency metrics here.

COFAR Training Webcast Series



Research Terms and Conditions Update

Appendix 1¶

Research Terms and Conditions Overlay to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), 2 CFR § 200¶

June 4, 2015¶

These Research Terms and Conditions implement the requirements of the [Uniform Guidance](#), issued by the U.S. Office of Management and Budget, as it applies to research and research-related grants made by the Federal awarding agencies specified below to institutions of higher education and non-profit organizations. While the Uniform Guidance outlines provisions that are specific to research, these terms and conditions:¶

- → Incorporate the entire Uniform Guidance by reference, clarifying or supplementing select provisions where appropriate and consistent with government-wide research policy.¶
- → Apply to an award when included as part of the award or when incorporated in the award by reference.¶

In addition to these Research Terms and Conditions, recipients also must review the following companion resources:¶

- → Appendix A, Prior Approval Matrix, which will be finalized upon completion and approval of this document.¶¶
- → Appendix B, [Subaward](#) Requirements Matrix, which will be finalized upon completion and approval of this document.¶
- → Appendix C, National Policy Requirements Matrix, which will be finalized upon completion and approval of this document.¶

The agencies participating in this activity include the: U.S. Department of Commerce/National Oceanic and Atmospheric Administration and National Institute of Standards and Technology; U.S. Department of Energy; U.S. Environmental Protection Agency; National Aeronautics and Space Administration; National Science Foundation; U.S. Department of Health and Human Services/National Institutes of Health; U.S. Department of Agriculture/National Institute of Food and Agriculture; U.S. Department of Transportation/Federal Aviation Administration; and U.S. Department of Homeland Security.¶¶

Clarity is provided only for the specific Uniform Guidance provisions that are noted in the following table. Unless noted below, the Uniform Guidance provisions apply to these Research General Terms and Conditions as written in 2 CFR § 200. Recipients must also refer to Agency-Specific Requirements, which will be finalized upon completion and approval of this document.¶

Section Break (Continue)¶	
Uniform Guidance¶	Proposed Research Terms Clarifications¶
Subpart A—Acronyms and Definitions¶	Subpart A—Acronyms and Definitions¶



Participating Agencies

- Department of Agriculture: NIFA
- Department of Commerce: NIST/NOAA
- Department of Homeland Security
- Department of Energy
- Department of Transportation: FAA
- Environmental Protection Agency
- NASA
- NIH – co-Chair
- NSF – co-Chair

High Level Concept

Appendix 1¶

Research Terms and Conditions Overlay to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), 2 CFR § 200¶

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- Incorporate the entire Uniform Guidance by reference, clarifying or supplementing select provisions where appropriate and consistent with government-wide research policy.¶
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- Appendix B, Subaward Requirements Matrix, which will be finalized upon completion and approval of this document.¶
- Appendix C, National Policy Requirements Matrix, which will be finalized upon completion and approval of this document.¶

The agencies participating in this activity include the: U.S. Department of Commerce/National Oceanic and Atmospheric Administration and National Institute of Standards and Technology; U.S. Department of Energy; U.S. Environmental Protection Agency; National Aeronautics and Space Administration; National Science Foundation; U.S. Department of Health and Human Services/National Institutes of Health; U.S. Department of Agriculture/National Institute of Food and Agriculture; U.S. Department of Transportation/Federal Aviation Administration; and U.S. Department of Homeland Security.¶

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Section Break (Continuous)	
Uniform Guidance¶	Proposed Research Terms Clarification¶
Subpart A—Acronyms and Definitions¶	Subpart A—Acronyms and Definitions¶

High Level Concept (Cont'd)

- The Research Terms and Conditions Overlay will:
 - Incorporate the entire Uniform Guidance by reference and provide additional clarity for select provisions.
 - Reference the OMB Frequently Asked Questions, which have the full force and effect of the Uniform Guidance.
 - Apply to an award when included as part of the award or when incorporated in the award by reference.
 - Apply to research and research-related grants made by the participating agencies to institutions of higher education and non-profit organizations.

Companion Documents

The following additional documents will be included in the implementation:

- Appendix A, National Policy Matrix
- Appendix B, Subaward Requirements Matrix
- Appendix C, National Policy Requirements Matrix

These documents will be finalized upon completion and approval of the RTCs Overlay.

Federal Register Comments

- The Request for public comment on the Draft Research Terms and Conditions Overlay was published in the Federal Register on October 14, 2015.
- The comments period closed December 14, 2015.
- 122 comments were received from over a dozen organizations/ entities.

Federal Register Comments by Topic

Uniform Guidance Section	Topic
200.17	Cluster of Programs
200.86	Recipient
200.110	Effective Date
200.112	Conflict of Interest
200.211	Public Access
200.300	National Policy Requirements
200.306	Cost Sharing
200.307	Program Income
200.308	Revision of Budget
200.318	Procurement Standards
200.320	Methods of Procurement
200.332	Fixed Amount Subawards
200.400	Policy Guide
200.407	Prior Written Approval
200.439	Equipment and Other Capital Expenditures
200.456	Participant Support Costs
N/A	Appendices, Agency-specific Requirements, Federal Participation, Resolution of Disputes or Discrepancies, Technical Corrections



Federal Register Comments: Themes

The Federal Register comments can be grouped into 3 overarching themes:

- Requests
- Concerns
- Positive Feedback

Federal Register Comments: Themes (Cont'd)

Requests for:

- Additional clarification
- Deviations from the Uniform Guidance
- Incorporation of technical changes to the Uniform Guidance from September 2015

Federal Register Comments: Themes

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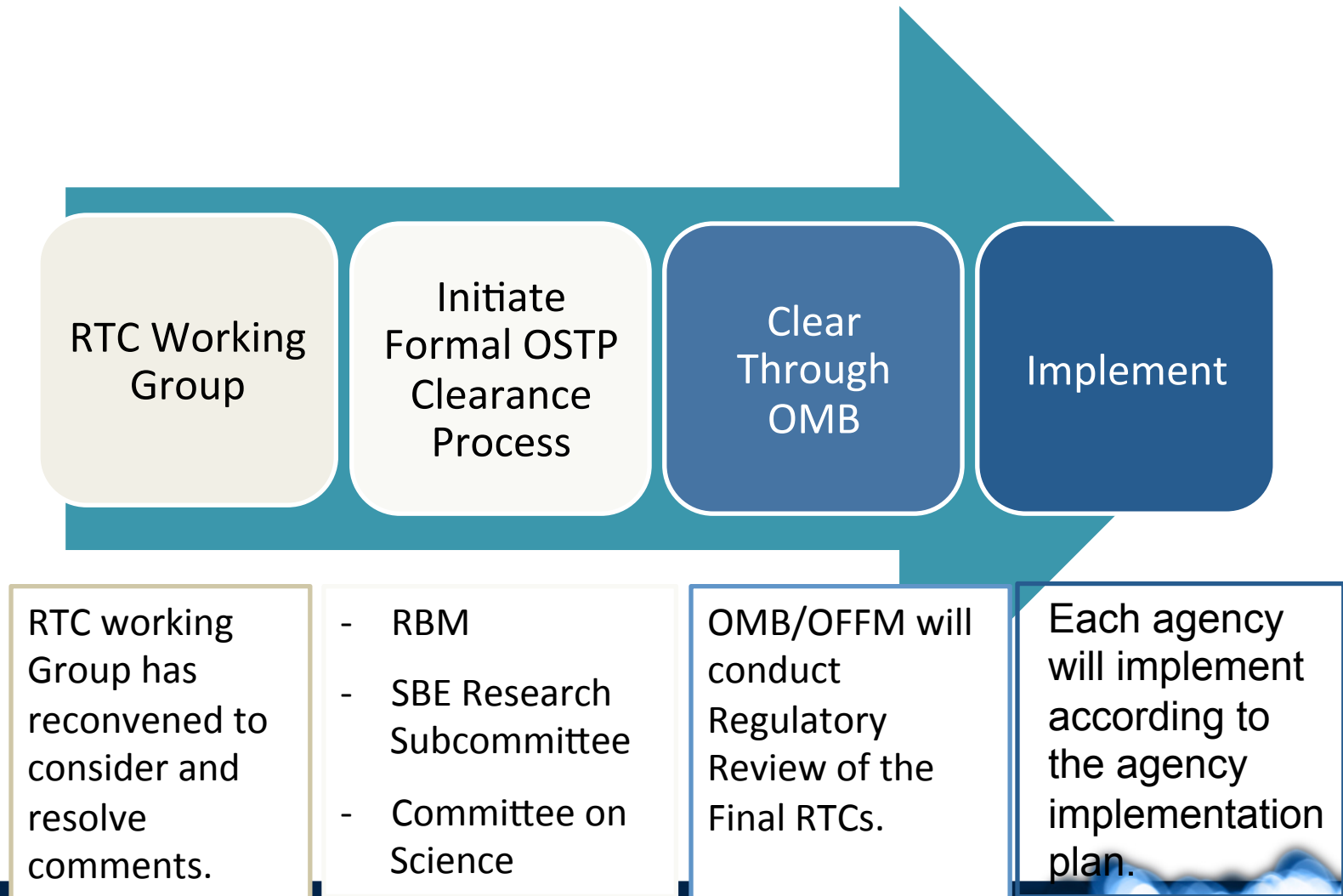
The agencies participating in this activity include the: U.S. Department of Commerce/National Oceanic and Atmospheric Administration and National Institute of Standards and Technology; U.S. Department of Energy; U.S. Environmental Protection Agency; National Aeronautics and Space Administration; National Science Foundation; U.S. Department of Health and Human Services/National Institutes of Health; U.S. Department of Agriculture/National Institute of Food and Agriculture; U.S. Department of Transportation/Federal Aviation Administration; and U.S. Department of Homeland Security.¶

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Section Break (Continuous)	
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Subpart A—Acronyms and Definitions¶	Subpart A—Acronyms and Definitions¶

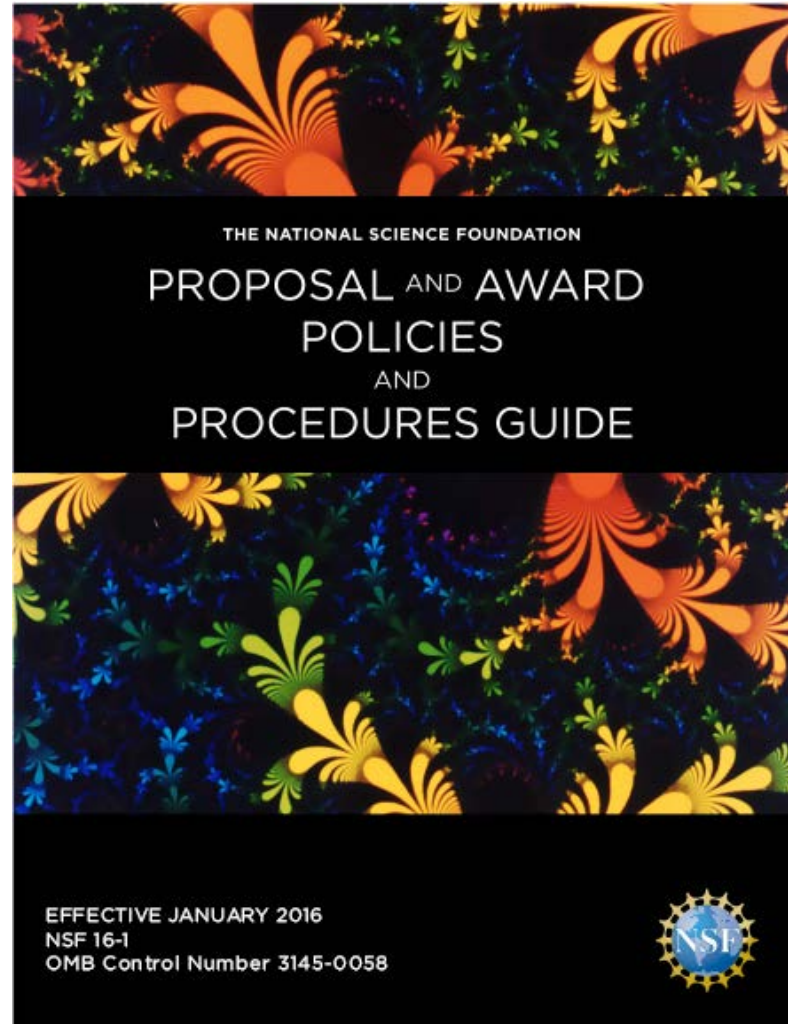


High Level Next Steps....



PAPPG Implementation Schedule

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



PAPPG – Significant Changes

- 5 p.m. submitter's local time is standard for all submissions, including proposals submitted in response to solicitations.
- 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.
- 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.



PAPPG – Significant Changes

- 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”
- 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.



PAPPG – Significant Changes

- Post-award Notification and Request instructions have been revised to specify that such communications must be signed and submitted by the AOR.
- 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.



Procedures for Natural and Anthropogenic Events

- Proposers should contact the cognizant NSF Program Officer in the Division/Office to which they intend to submit their proposal and request authorization to submit a proposal after the deadline date. Effective January 25, 2016, proposers also must check the “Special Exception to the Deadline Date Policy” box on the NSF Cover Sheet, indicating NSF approval has been obtained. If available, written approval from the cognizant NSF Program Officer should be uploaded with the proposal as a Single Copy Document in FastLane. Proposers should then follow the written or verbal guidance provided by the cognizant NSF Program Officer.



Revised NSF Cover Sheet

COVER SHEET FOR PROPOSAL TO THE NATIONAL SCIENCE FOUNDATION					
PROGRAM ANNOUNCEMENT/SOLICITATION NO./DUE DATE NSF 16-509		<input checked="" type="checkbox"/> Special Exception to Deadline Date Policy		FOR NSF USE ONLY NSF PROPOSAL NUMBER	
FOR CONSIDERATION BY NSF ORGANIZATION UNIT(S) (Indicate the most specific unit known, i.e. program, division, etc.) DEB - Long-Term Ecological Research					
DATE RECEIVED	NUMBER OF COPIES	DIVISION ASSIGNED	FUND CODE	DUNS# (Data Universal Numbering System)	FILE LOCATION
				0748118034567	
EMPLOYER IDENTIFICATION NUMBER (EIN) OR TAXPAYER IDENTIFICATION NUMBER (TIN) 530206152		SHOW PREVIOUS AWARD NO. IF THIS IS <input type="checkbox"/> A RENEWAL <input type="checkbox"/> AN ACCOMPLISHMENT-BASED RENEWAL		IS THIS PROPOSAL BEING SUBMITTED TO ANOTHER FEDERAL AGENCY? YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> IF YES, LIST ACRONYM(S)	
NAME OF ORGANIZATION TO WHICH AWARD SHOULD BE MADE National Science Foundation		ADDRESS OF Awardee ORGANIZATION, INCLUDING 9 DIGIT ZIP CODE National Science Foundation 4201 Wilson Boulevard Arlington, VA. 222301000			
AWARDEE ORGANIZATION CODE (IF KNOWN) 4102852000					
NAME OF PRIMARY PLACE OF PERF ProdValid		ADDRESS OF PRIMARY PLACE OF PERF, INCLUDING 9 DIGIT ZIP CODE ProdValid AA.			
IS AWARDEE ORGANIZATION (Check All That Apply) (See GPG II.C For Definitions)		<input type="checkbox"/> SMALL BUSINESS <input type="checkbox"/> FOR-PROFIT ORGANIZATION		<input type="checkbox"/> MINORITY BUSINESS <input type="checkbox"/> WOMAN-OWNED BUSINESS	
<input type="checkbox"/> IF THIS IS A PRELIMINARY PROPOSAL THEN CHECK HERE					
TITLE OF PROPOSED PROJECT SE ProdValid Jenkins Test					
REQUESTED AMOUNT \$ 4,444	PROPOSED DURATION (1-60 MONTHS) 24 months	REQUESTED STARTING DATE 12/12/16	SHOW RELATED PRELIMINARY PROPOSAL NO. IF APPLICABLE		
THIS PROPOSAL INCLUDES ANY OF THE ITEMS LISTED BELOW <input type="checkbox"/> BEGINNING INVESTIGATOR (GPG I.G.2) <input type="checkbox"/> DISCLOSURE OF LOBBYING ACTIVITIES (GPG II.C.1.e) <input type="checkbox"/> PROPRIETARY & PRIVILEGED INFORMATION (GPG I.D, II.C.1.d) <input type="checkbox"/> HISTORIC PLACES (GPG II.C.2.j) <input type="checkbox"/> VERTEBRATE ANIMALS (GPG II.D.6) IACUC App. Date _____ PHS Animal Welfare Assurance Number _____ <input checked="" type="checkbox"/> FUNDING MECHANISM Research - other than RAPID or EAGER					
<input type="checkbox"/> HUMAN SUBJECTS (GPG II.D.7) Human Subjects Assurance Number _____ Exemption Subsection _____ or IRB App. Date _____ <input type="checkbox"/> INTERNATIONAL ACTIVITIES: COUNTRY/COUNTRIES INVOLVED (GPG II.C.2.j) _____ <input checked="" type="checkbox"/> COLLABORATIVE STATUS Not a collaborative proposal					



NSF Public Access

- Expanding Public Access to the Results of Federally Funded Research (February 22, 2013)
- NSF Public Access Website:
nsf.gov/news/special_reports/public_access/
 - NSF's Public Access Plan
- NSF partnered with DOE to develop NSF-PAR, the first NSF publication repository




NSF Public Access: Next Steps

- Launch NSF's first repository: end of calendar 2015
 - Finalizing wireframes and conducting usability testing
- 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
 - Automatic ingest will only happen for awards that must comply with the new Public Access policy
 - Cumulative listing of all products
 - Simplify reporting of products
 - 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



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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?](#)



Proposal Compliance Checking

Over past three years, NSF has ramped up pre-submission automated proposal compliance checking. Goals are to increase competitive fairness and reduce burden on both NSF programs and the research community.

Results depend on the funding opportunity and/or mechanism chosen by submitter.

- Deadline Checks – (since Jan 2016) a warning in the last 24 hours before the deadline, and an error when past the deadline. So far, 99.5% of proposals submitted on time.
- Section Exists Checks – checks on 11 sections
- Page Count Checks – lengths are checked for five sections
- Budget Checks – eight checks on rules such as caps on amounts, duration, and amounts matching.
- Other Checks – five checks related to international travel and human or animal use rules.

http://www.nsf.gov/bfa/dias/policy/autocheck/compliancechecks_jan16.pdf

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	✓	✓	✓	✓	✓	✓	✓	✓	✓

www.nsf.gov/bfa/dias/policy/autocheck/compliancechecks_jan16.pdf



Proposal Submission Modernization

- PSM is a multi-year initiative to modernize the proposal submission capabilities currently in FastLane and implement new capabilities in Research.gov.
- Recent survey results indicate strong interest and support in the following areas:
 - Pre-populating proposals with existing data;
 - Allowing certain documents or approvals (e.g. data management plan, detailed budgets, Institutional Review Board approval) to be submitted after proposal submission;
 - Revising the format of NSF solicitations to identify the difference between solicitation-specific requirements and standard NSF proposal requirements;
 - Tailoring the proposal interface to reflect the requirements of a given funding opportunity;
 - Publishing and enforcing a NSF-wide list of proposal compliance requirements.



Proposal Submission Modernization Outreach

- NSF hosted two webinars to brief the research community
- ~600 researchers and Sponsored Project Office (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 a survey in June 2015 to 116,638 researchers and administrative staff
- 16,000+ responses received
- NSF analyzed responses to guide the planning and design of future systems
- Survey goals:
 - Gauge PI/SPO experience with the current proposal process
 - Gather feedback on the improvements suggested in the first round of outreach

Proposal Submission Survey Findings

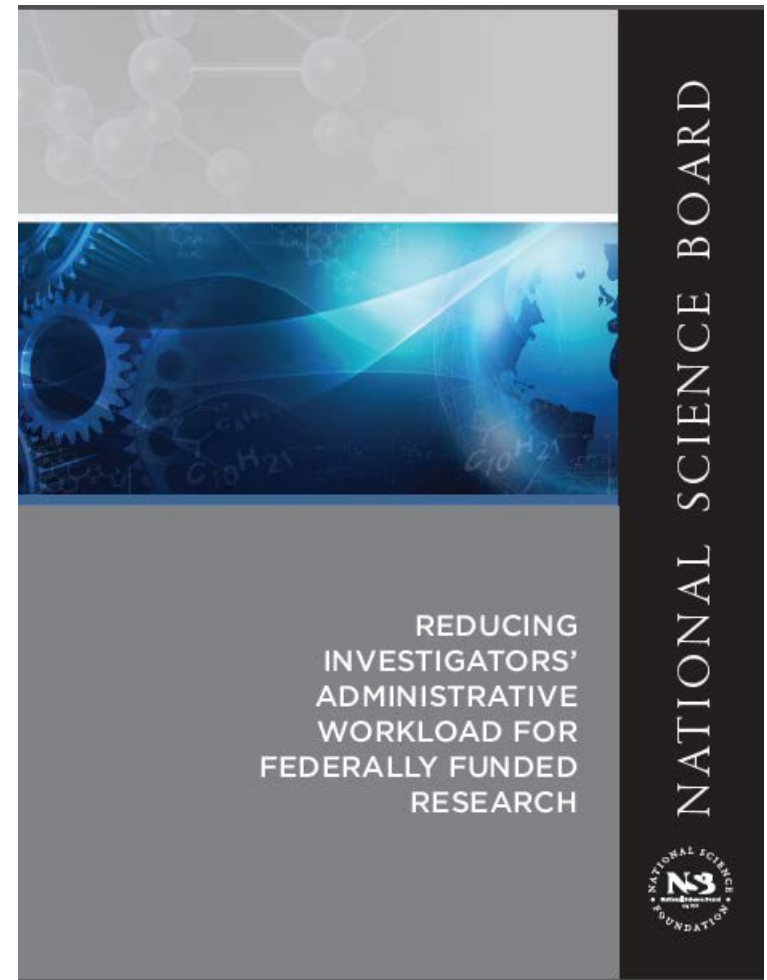
- Goal: Gauge experience with the proposal process
 - More than 75% indicated that FastLane meets expectations
 - 40% reported that FastLane webpage layout is unintuitive
 - Around 10% of SPOs and 25% of PIs believe proposal preparation results in unreasonable burden
- Goal: Gather feedback on suggested improvements
 - Widely cited enhancements that could reduce burden included data pre-population and revision of the format of the solicitation
 - Nearly 80% indicated that expanded automatic compliance checking would be valuable
 - Less than 20% indicated that expanded use of preliminary proposals or additional help functionality would mitigate workload

Proposal Submission Modernization Development

- NSF kicked off the IT project to modernize proposal preparation and submission
- Planning 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 user community
 - Smooth transition for FastLane users

Reducing Administrative Burden

- In January 2015, NSF provided an update to the NSB Report, Reducing Investigators' Administrative Workload for Federally Funded Research.
- NSF is identifying pilot projects to reduce PI and NSF staff administrative burden.
- Considerations are related to preliminary proposals, streamlined budgeting, just-in-time submissions, IRB and IACUC protocols, project reporting and proposal development.



Reducing Administrative Burden: Pilot Programs

- “Just-in-Time” budget process for selected core programs in MPS/DMS, MPS/PHY, and SBIR/STTR
 - Require only a textual description of the resources necessary to complete the project.
 - Require detailed budget only if the proposal is recommended for an award.
 - Allows reviewers and NSF staff to focus on the science.
- Reducing Deadlines – Reducing Proposal Numbers in GEO/EAR
 - Question: Does an increased number of deadlines increase the number of proposals submitted?
 - Two core programs switching to no deadlines to assess proposal pressure



Reducing Administrative Burden: Pilot Programs

- “One-Plus” practice for select SBE/SES and SBE/BCS programs
 - Two programs with large volume of proposals invite “promising proposals” that were not recommended to submit in the next review cycle.
 - Strategy to invite promising, though declined proposals, in the subsequent review cycle.
- Improving the IACUC process – award to PRIM&R
 - Award is to develop a Train-the-Trainer IACUC Institute
 - Goal is to improve oversight of animal care and use programs nationwide by ensuring IACUC accurately apply current regulatory standards
 - Funding also provided by NIH, FDA, USDA & VA



Federal Awardee Performance and Integrity Information System (FAPIIS)

- Requirements became effective January 1, 2016
- Federal awarding agencies must take into consideration any information about the entity.
- The information in the system must demonstrate a satisfactory record of executing programs or activities under Federal grants, and integrity and business ethics.
- Federal awarding agencies must report information on termination due to a material failure to comply or if entity is not qualified due to integrity or prior performance.



Awardee Responsibilities and Opportunities

- Termination information not posted until awardee has exhausted opportunities to appeal the decision
- Awardees have the opportunity to comment on their FAPIIS records.
- Awardees exceeding \$10 million in federal funds must maintain information in SAM about civil, criminal, or administrative proceedings. This is a statutory requirement under section 872 of Public Law 110-417.
- Records remain in FAPIIS for a period of 5 years.

For More Information

Ask Early, Ask Often!

nsf.gov/staff

nsf.gov/staff/orglist.jsp

nsf.gov/about/career_opps/rotators/index.jsp

