

Federal Panel

June 2022 COGR Meeting

PANELISTS:

Michelle Bulls, National
Institutes of Health

Jean Feldman, National Science
Foundation

Debbie Rafi, Office of Naval
Research

Gilbert Tran, Office of
Management and Budget



NSF Policy Update

COGR Meeting

June 8, 2022

Speaker

Jean Feldman

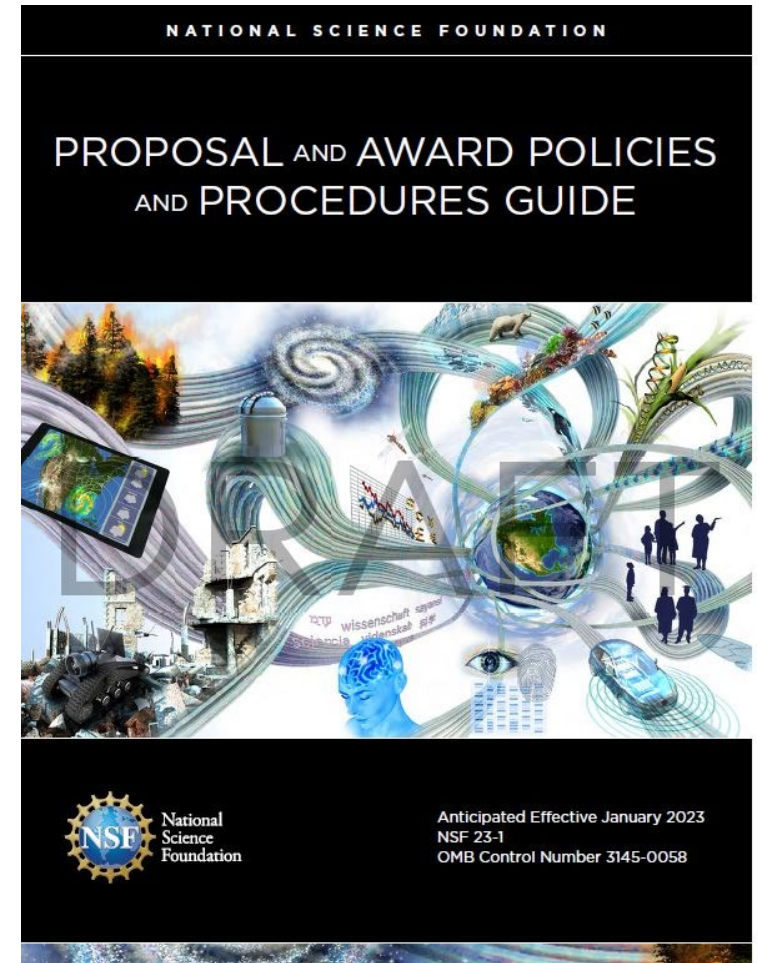
- Head, Policy Office
 - Division of Institution & Award Support
 - Office of Budget, Finance & Award Management
 - policy@nsf.gov



Topics

- Draft Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 23-1)
 - Timeline
 - NSF Disclosure Policies
 - Transition to Research.gov
 - Plan for Safe and Inclusive Field/Vessel/Aircraft Research (PSI-FVAR)

See the Draft PAPPG (NSF 23-1) for all the proposed changes:
<https://nsf.gov/bfa/dias/policy/>



Proposed Proposal & Award Policies & Procedures Guide (PAPPG) (NSF-23-1) Anticipated Timeline

- Federal Register 60-day public comment
 - April 13, 2022 - announced in Federal Register
 - June 13, 2022 - comments due
- PAPPG to be issued and posted
 - October 2022
- PAPPG to become effective
 - January 2023



PAPPG (NSF 23-1) Proposed Changes

- Revision to the Biographical Sketch
 - Professional Preparation standardization
 - Must be submitted via SciENcv; will include requisite certification from NDAA 2021, Section 223 regarding information being accurate, current and complete.
 - ORCID encouragement
- Revision of Current and Pending Support
 - Increased standardization with NSPM-33 Implementation Guidance
 - Current and Pending Support will be resubmitted prior to making a funding recommendation
 - Must be submitted via SciENcv; will include requisite certification from NDAA 2021, Section 223 regarding information being accurate, current and complete
 - ORCID encouragement



PAPPG (NSF 23-1) Proposed Changes

NSF Implementation of NSPM-33 Guidance

- NSF has been working for over 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.
- NSF, NIH, and OSTP co-chair an Interagency Working Group on Disclosure Policies
 - NSPM-33 Implementation Guidance included Harmonized Disclosure Requirements for use by Federal Research Funding Agencies.
 - Standardized data elements, instructions and templates are being developed for use by all federal research funding agencies for the Biographical Sketch and Current and Pending Support.
- New section on NSF disclosure requirements added to the PAPPG



NSF Implementation of NSPM-33 Guidance: Initial Disclosures and Update/Correction Requirements

- NSF Pre- and Post-award Requirements for Disclosures and Update/Correction of Disclosures are as follows:
 - 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 attach updated Current and Pending Support information.



PAPPG (NSF 23-1) Proposed Changes

- Transition from FastLane to Research.gov
- Inclusion of a new supplementary document: Plan for Safe and Inclusive Field/Vessel/Aircraft Research (PSI-FVAR)
 - Each proposal that proposes to conduct research in the field must include a PSI-FVAR as a supplementary document
 - Limited to two pages
 - New checkbox on the Coversheet



Resources

- Policy Office Website
- Current PAPPG (NSF 22-1)
- For-Comment Draft PAPPG (NSF 23-1)
- NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending Support
- Current and Pending Support FAQs



NIH Update – COGR

NIH OFFICE OF POLICY FOR EXTRAMURAL RESEARCH ADMINISTRATION

JUNE 2022

MICHELLE G. BULLS



Budget News & Fiscal Policy Updates

- On March 15, 2022, President Biden signed the Consolidated Appropriations Act, 2022 ([Public Law 117-103](#)) into law, providing funding to NIH for the Fiscal Year (FY) ending September 30, 2022.
- NIH maintains several important fiscal policy Guide Notices:
 - [NOT-OD-22-076](#), FY2022 Salary Cap
 - Effective Jan 2, 2022: \$203,700
 - [NOT-OD-22-132](#), Correction to Stipend Levels for Ruth L. Kirschstein National Research Service Award (NRSA) Stipends, Tuition/Fees and Other Budgetary Levels Effective for Fiscal Year 2022
 - Effective for all FY22 NRSA awards
 - [NOT-OD-22-105](#), Notice of Fiscal Policies in Effect for FY2022
 - [NOT-OD-22-117](#), Notice of Legislative Mandates in Effect for FY2022

New Legislative Mandate - Harassment

- **Section 239:** requires that the NIH Director require institutions that receive funds through a grant or cooperative agreement during fiscal year 2022 and in future years to notify the Director when individuals identified as a principal investigator or as key personnel in an NIH notice of award are removed from their position or are otherwise disciplined due to concerns about harassment, bullying, retaliation, or hostile working conditions.
- Notification must be provided by the Authorized Organization Representative within 30 days of the removal or disciplinary action and must be submitted to NIH through a [dedicated web form](#).
- **Effective Date:** July 9

See details: [NOT-OD-22-129](#), [FAQs](#)

General Updates

- Interim-Updated [RPPR Instruction Guide](#) Posted in May 2022
 - Final update, to align with the new look and feel of eRA will be published June 23 (see [NOT-OD-22-130](#)).
- NIH will roll out Forms-H for due dates on or after January 25, 2023
 - Federal Register Notice for our OMB Clearance Package will be published in the coming weeks
 - Main changes:
 - Updates to accommodate submission of data sharing plans as required by the new NIH Policy for Data Management and Sharing (see GN [NOT-OD-21-013](#))
 - RPPR updates to allow reporting on use of Childcare Costs
- The FY23 NIH GPS will be published in the Federal Register for public comment
 - Will be posted in Fall 2022



DISCLOSURE UPDATES

Updated Disclosures Table – June 8, 2022


Type of Activity	Biographical Sketch	Other Support	Annual Project Reports	Post-Award Information Terms & Condition	Disclosure Not Required
Professional preparation (e.g., educational degrees)	X				
Organizational Affiliations and Appointments	X				
Academic, professional, or institutional appointments, whether or not remuneration is received, and whether full-time, part-time, or voluntary	X				
All 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, and regardless of whether or not they have monetary value (e.g., even if the support received is in-kind such as office/laboratory space, equipment, supplies, or employees.)		X	X	X	
Recently completed support or support that has ended					X
Current or pending participation in, or applications to, programs sponsored by foreign governments, instrumentalities, or entities, including foreign government-sponsored talent recruitment programs	X (Appropriate placement may be contract-dependent)	X (Appropriate placement may be contract-dependent)			
In-kind contributions not intended for use on the project/proposal being proposed		X	X	X	
Visiting Scholars in Labs funded by an external entity		X		X	
Students and postdoctoral researchers funded by an external entity		X	X	X	
Consulting that falls outside of an individual's appointment; separate from institution's agreement		X	X	X	
Consulting that is considered part of an individual's appointment/agreement with their home institution (e.g., a PI at a foreign institution's retention contracts within their home institution)					X
Travel supported/paid by an external entity to perform research activities with an associated time commitment		X	X	X	
Travel supported/paid by an external entity to attend a conference or workshop					X

Updated Disclosures Table – June 8, 2022

Type of Activity	Biographical Sketch	Other Support	Annual Project Reports	Post-Award Information Terms & Condition	Disclosure Not Required
Honoraria or other payments given for the purpose of conferring distinction or to symbolize respect, esteem, or admiration unrelated to research oversight, supervision, or co-authorship					X
Teaching commitments					X
Startup company based on organization-licensed Intellectual Property (IP)					X
Startup packages provided to the individual from the proposing/home institution					X
Startup packages from organizations other than the proposing/home institution		X	X	X	
Training awards, prizes, and gifts. Gifts are resources provided where there is no expectation of anything, (e.g., time, services, specific research activities, money, etc.) in return					X
Mentoring as part of an appointment, or mentor/mentee arrangements that do not involve the individual's research activities					X
Academic year salary, or salary provided to the individual by the home institution					X
Core facilities and/or shared equipment that is broadly available					X
F&A Reimbursement provided to the proposing/home institution					X
Certification by the individual that the information disclosed is accurate, current, and complete (e.g., signature of the researcher)		X	X		
Supporting Documentation (e.g., contracts, grants, other agreements)		X			
Significant Financial Interests: Disclosure Not Required in Other Support. See NIH FCOI Policy NIH GPS 4.1.10 . Disclosures must be made in FCOI module.					

Ongoing Disclosures Activities

- Continuing our collaboration with National Science Foundation (NSF) and the Office of Science and Technology Policy (OSTP) to carry out the [implementation guidance](#) issued for NSPM-33. Current topics under consideration:
 - Use of persistent digital identifiers, such as ORCID
 - Timeframe for implementation
 - Application of requirements to FAR-based contracts
- Developing standardized instructions and templates for Biosketch and Other Support.
- Working with SciENCv on an NIH Biosketch and Other Support template.



SYSTEMS PROCESS UPDATES

Changes to the Federal Financial Report Cash Transaction Section effective April 1

- Effective April 1, 2022, recipients no longer complete the cash transaction section (lines 10a through 10c) of the SF-425 Federal Financial Report (FFR) in the HHS Payment Management System (PMS).
- Instead, PMS will **pre-populate the cash transaction section** using recipient real-time cash expense information from PMS and **adjust recipient-reported disbursements** to equal cash advance drawdowns on all non-closed sub-accounts.
 - Recipients must certify at the time of each drawdown whether the cash drawdown request is for reimbursement of actual expenditures or is an advance for immediate disbursement and must assert that funds are used in compliance with all award conditions and federal statutory requirements.

See Guide Notice for details: [NOT-OD-22-099](#)

iEdison to Transition from NIH eRA to NIST

- Management of the iEdison system will transition from the NIH eRA to the National Institute of Standards and Technology (NIST), U.S. Dept. of Commerce (DOC) in late summer 2022.
- The transition will also include several new capabilities and enhancements, including:
 - Ability to initiate discussions with the agency staff within an invention record using two-way communications.
 - Integration with the US Patent and Trademark Office (USPTO) database to ensure accuracy and reduce recipient reporting burden.
 - Optional real-time email notifications to both recipient and agency users for notifications regarding certain required reporting and reviewing actions.
 - Enhanced security through Login.gov
- All existing data and any attachments associated with individual invention and patent reports will be transferred to the new iEdison system. In addition, existing and active iEdison accounts will be associated with the new iEdison system.



HHS AND FED- WIDE SYSTEM UPDATES

Change in Federal-wide Unique Entity Identifier Requirements

- In March 2019, the General Services Administration (GSA) announced that the U.S. Government is moving to a new government-owned Unique Entity Identifier (UEI) which will replace the DUN and Bradstreet (D&B) Data Universal Numbering System (DUNS) number in all systems.
- As of April 4, DUNS no longer displays in Integrated Award Environment (IAE) systems (e.g. SAM.gov, FSRS) and is not accepted for entity registration.

Questions?

Division of Grants Policy:

- E-Mail: GrantsPolicy@mail.nih.gov

Division of Grants Compliance & Oversight:

- E-Mail: GrantsCompliance@mail.nih.gov

Systems Policy Branch

- E-Mail: OPERAsystemspolicy@mail.nih.gov

Division of Extramural Inventions and Technology Resources:

- E-Mail: Inventions@nih.gov

Office of Naval Research Agency Update

COGR

June 9, 2022



ONR Update

Wakes (a look back)



Horizon (a look forward)

DISTRIBUTION STATEMENT A. Approved for public release



ONR Update

- **Looking Back: How the pandemic changed ONR**
- **NavalX Tech Bridges**
 - Innovation centers across the US and overseas
- **Looking Forward**

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ONR Update

A look back

How the pandemic changed ONR

- Shift to virtual operations across the Command/Navy/DOD/Federal Govt.
- Disruption to performers' expenditure rates
- The new “normal” – a hybrid workforce

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ONR Update

Naval X Tech Bridges

- **Connected network to enhance collaboration between Naval Labs, industry, academia, state/local government, and other military branches**
- **Offers collaboration space in a commercial business space for easy access and collaboration**

<https://www.secnav.navy.mil/agility/Pages/techbridges.aspx>

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ONR Update

Naval X Tech Bridges

Current Locations		Tech Focus Areas
Capital	National Capital Region	View
Central Coast	Monterey, CA	View
Central Florida	Orlando, FL	View
Gulf Coast	Panama City, FL	View
Hawaii	Honolulu, Hawaii	View
Inland Empire	Norco, CA	View
London	London, UK	View
Mid-Atlantic	Norfolk, VA	View
Midwest	Crane, IN	View
Northeast	Newport, RI	View
Northwest	Keyport, WA	View
Palmetto	Charleston, SC	View
SoCal	San Diego, CA	View
Southern Maryland	Patuxent River, MD	View
Ventura	Ventura, CA	View



<https://www.secnav.navy.mil/agility/Pages/techbridges.aspx>

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ONR Update

Naval X Tech Bridges



**"TECH BRIDGES ARE PLACES WHERE
GREAT MINDS CAN COME TOGETHER
IN A UNIQUE ATMOSPHERE,
SHARE IDEAS AND TECHNOLOGIES,
AND EXPLORE 'WHAT IF ... '"**

- Rear Admiral Lorin Selby | Chief of Naval Research

STAGES OF THE INNOVATION PIPELINE

SOURCE

CURATE

SCAN

INCUBATE

PROTOTYPE

VALIDATE

TRANSITION

SUSTAIN

SOURCE: Gather problems from across the DON

CURATE: Define stakeholders / problem owners / funding sources / requirement holders for the deficiency

SCAN: Market surveys, tech scanning, government labs scanning to identify how others are handling or solving similar deficiencies

INCUBATE: Creates and iterates minimum viable products (MVPs)

PROTOTYPE: Create and test prototypes with end users

VALIDATE: Works with the fleet / end user to validate solutions on test platforms

TRANSITION: Scales the solution

SUSTAIN: Creates/works with lifecycles for products, predictive maintenance schedules, obsolescence

<https://www.secnv.navy.mil/agility/Pages/techbridges.aspx>

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ONR Update Looking Forward

- **New ONR Website – device friendly**

www.nre.navy.mil



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ONR Update Looking Forward

CHIEF OF NAVAL RESEARCH (CNR) PRIORITIES 2022

THE SMALL, THE AGILE, AND THE MANY *New Vision, Faster Results*

The Naval Research Enterprise (NRE) is providing a Strategic Hedge for our naval forces, through new, cutting-edge unmanned capabilities that will support and complement our existing platforms. In 2022, the NRE will work with operators across the Fleets, beginning with U.S. Southern Command (SOUTHCOM), to develop groundbreaking capabilities to solve key operational problems at speed. Our efforts will include a demonstration in the summer of 2022, designed to help solve one of SOUTHCOM's largest operational problems: improving maritime domain awareness with attritable, relatively inexpensive, but highly capable platforms in support of the counter narcotics mission.



DECISION SUPERIORITY *Dominance in the Cognitive Domain*

As the cyber and the physical domains become increasingly intertwined, it is clear that the advantage will go to the competitor who can utilize digital tools, to include analytics and artificial intelligence (AI), to distill information and data into actionable decisions that are richer and faster than the adversary. To that end, ONR is crafting a program to maintain operational dominance in the cognitive domain.

POINT DEFENSE *Asset Protection*

The NRE is developing modern defensive capabilities against manned and unmanned attacks on naval assets – and enhancing offensive capabilities against an adversary. Programs include Innovative Naval Prototypes and Future Naval Capabilities across numerous fields such as Directed Energy, Missiles, Small Projectiles, and more.



NAVAL STEM/HBCU-MIs

To maintain naval dominance, the future workforce must be the best-trained, most innovative and highly motivated in the world, and it must reflect American society. For this reason, targeting the enduring advantage of our research universities and supporting naval Science, Technology, Engineering and Math (STEM) throughout all phases of American students' academic development and investing in Historically Black Colleges and Universities (HBCU) and Minority Institutions (MI) are matters of national security.

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ONR Update Looking Forward

- **Increased use of non-traditional authorities**
 - **10 USC §3458. Authority to acquire innovative commercial products and commercial services using general solicitation competitive procedures**
 - **10 USC §2373. Procurement for experimental purposes**
 - **10 USC §2371b. Authority of the Department of Defense to carry out certain prototype projects**

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ONR Update Looking Forward

- **Research Protections and protecting the Defense Industrial Base & Supply chain**
 - This will be an ongoing challenge
- **S&T Budget**
 - BA6.1 – protected but pay attention to expenditures
 - BA6.2-6.4 – pay attention to expenditures
 - FY23 and beyond – ongoing budget pressures

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ONR Update Looking Forward

- **Cost Policy – stable?**
 - Maintain diligence
 - Several Navy audits ongoing focused on ONR oversight of allowable cost and invoice documentation on assistance awards
- **OUSD/R&E Grant Policy Office**
 - Recently staffed with a new Policy lead
 - Focus on Research Protections

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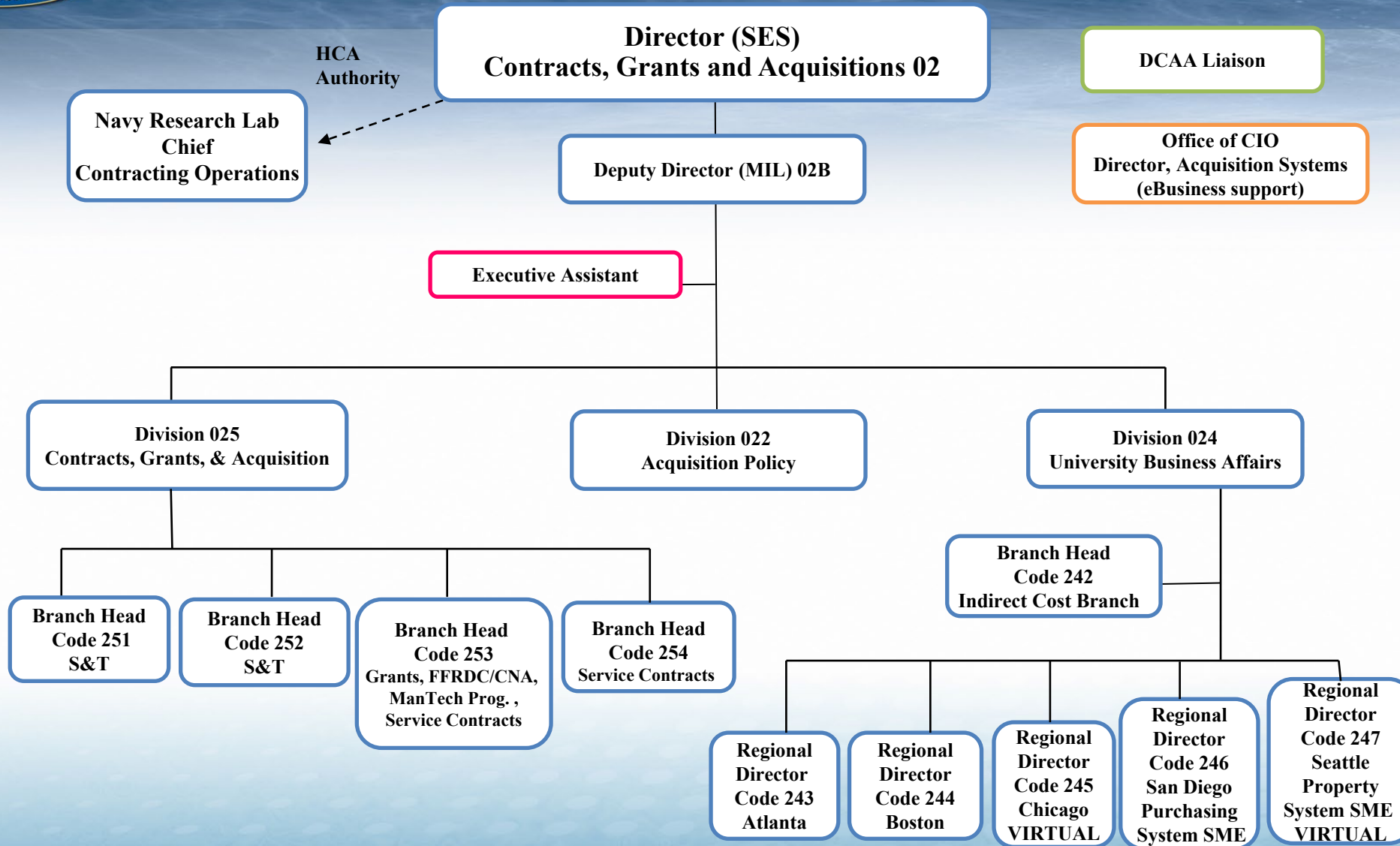
ONR Update Looking Forward

- **Navy and DOD enterprise solutions for e-business**
 - **ONR piloting to leverage DOD PIEE enterprise-wide capabilities to offer more to university performers and our DOD customers**
 - **ONR is Navy lead for a grant writing solution**
 - **Potential for a Standard grant form for Navy and DOD?**

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ONR Update Looking Forward



2022, the Grand Year for Grants

**Council on Governmental Relations
June 09, 2022**





May 4, 2022 – USA Olympic Team Welcome

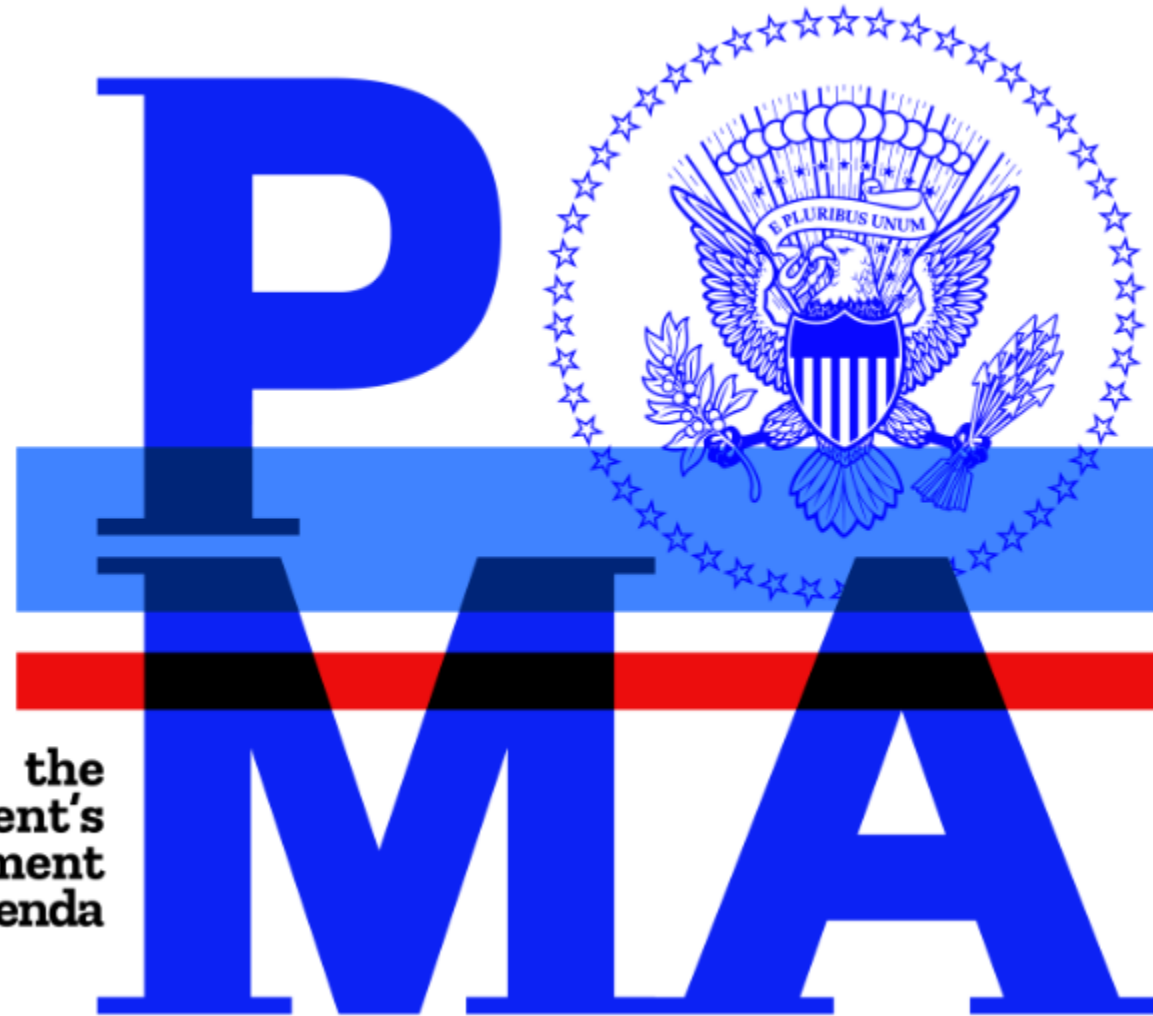


2022, The Grand Year for Grants

- **OMB priorities – The President’s Management Agenda**
- **ARP and IIJA Acts**
- **OMB Memo M-22-11 – Impact on grants**
- **OMB Memo M-22-12 – Impact on single audits and Compliance Supplement**



**the
president's
management
agenda**

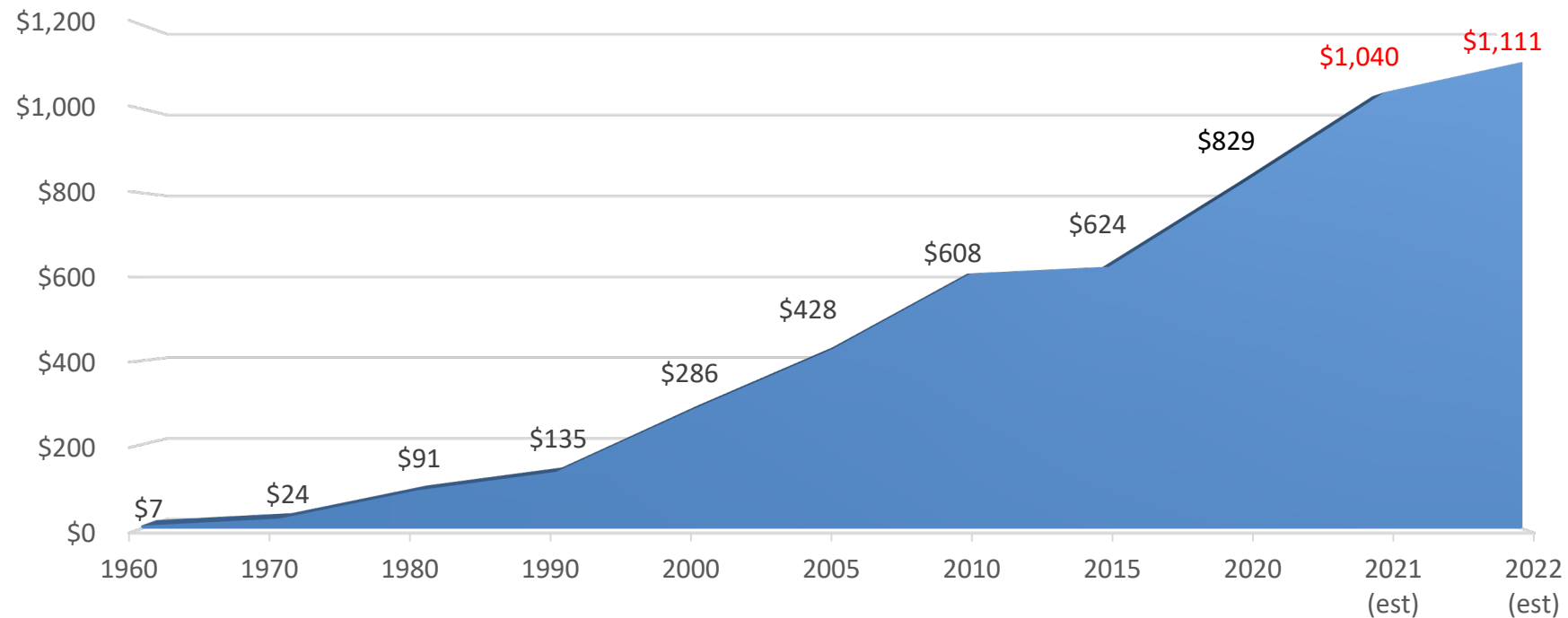


Growth of Grant Funding Over Time

**does not include COVID funding*



Grant Growth (Dollars in Billions)



Source: President's Budget: Analytics Perspectives: 11.1- TRENDS IN FEDERAL GRANTS TO STATE AND LOCAL GOVERNMENTS

■ Dollars of Grants



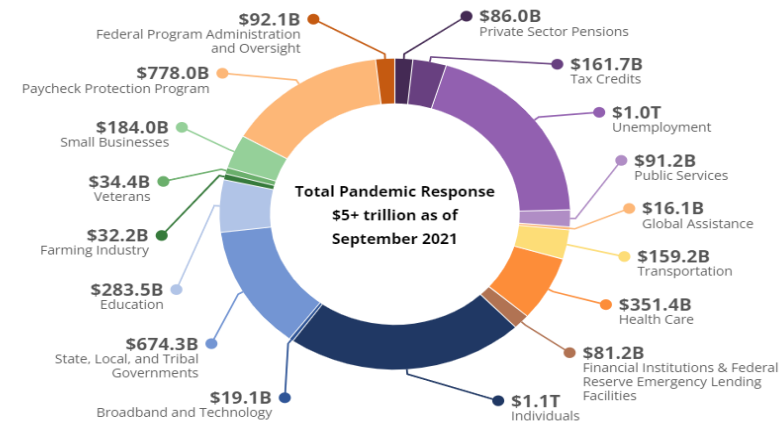
American Rescue Plan Act of 2021 (ARPA)

- 6th COVID Relief Act – P.L.117-2 (P.L. 116-123, 116-127, 116-136, 116-139, 116-260)
- \$1.9 Trillion Dollars
 - Assistance to Individuals - \$400 Billion
 - State and Local Support - \$362 Billion
 - Unemployment Insurance - \$246 Billion
 - Health and Vaccines – \$228 Billion
 - Child Care, Head Start - \$194 Billion
 - Other Provisions (Schools) - \$173 Billion
 - Tax Credits for Organizations - \$143
 - Civic and Community Infrastructure - \$85 Billion
 - Small Business Administration Programs - \$84 Billion

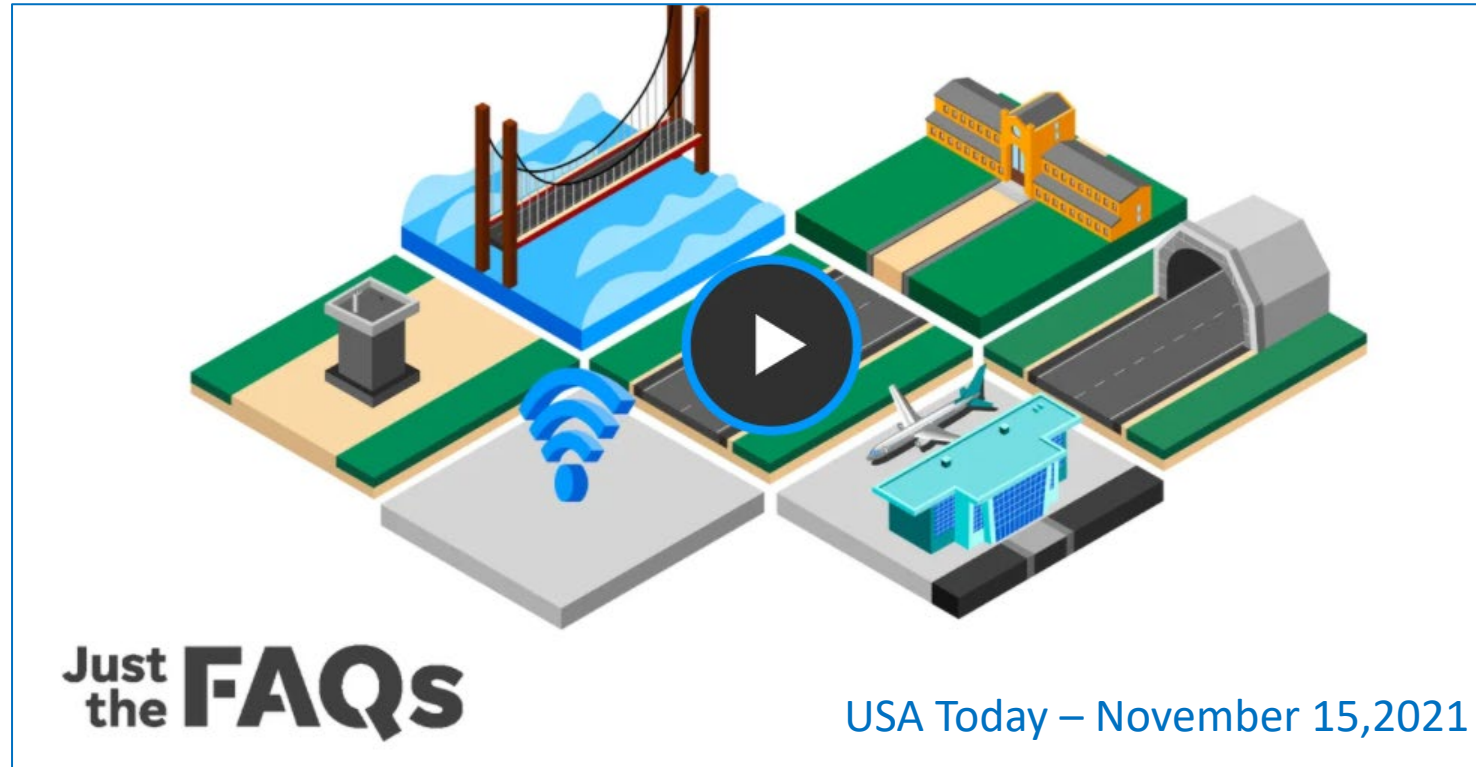
<https://www.pandemicoversight.gov/>



Where did Pandemic Relief Funds Go?

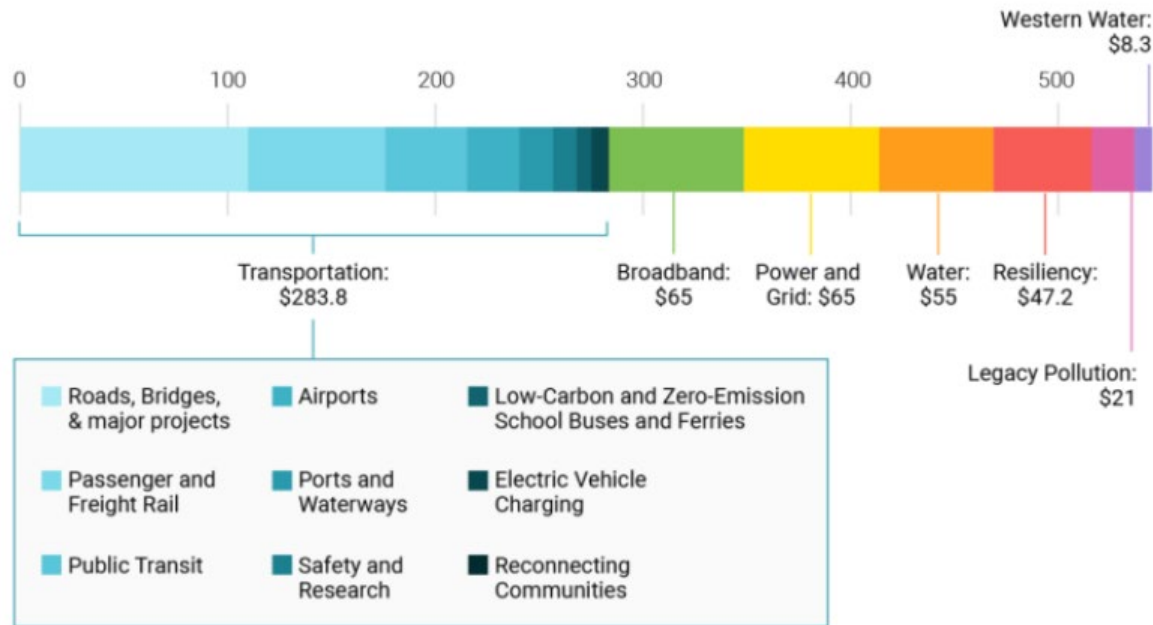


Infrastructure Investment and Jobs Act (IIJA)



Infrastructure Investment and Jobs Act (IIJA)

Figure 1. Topline above-baseline spending in IIJA (billions of USD)



Source: Bipartisan Infrastructure Investment and Jobs Act Summary

B Metropolitan Policy Program
at BROOKINGS

Funds by Agency - \$Billions

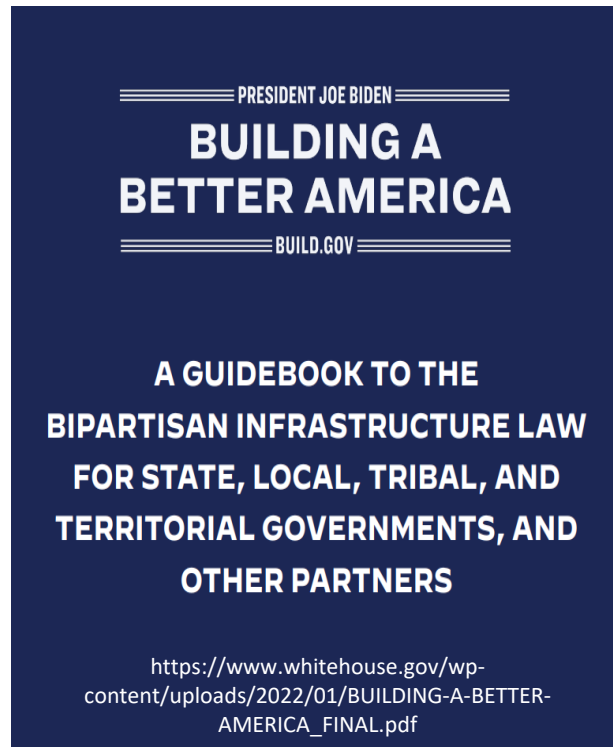
• DOT	274
• EPA	75
• Energy	65
• Commerce	51
• Interior	32
• Army CE	17
• FCC	14
• USDA	8
• Homeland	8
• HHS	4
• GSA	3
• Independent	1
• Treasury	.6
• EXOP	.02
Total	551

Broadband Equity, Access, And Deployment Program: \$42.45 billion



All IIJA DOC programs in *National Oceanic and Atmospheric Administration* and *National Telecommunications and Information Administration*.

Infrastructure Investment and Jobs Act (IIJA)

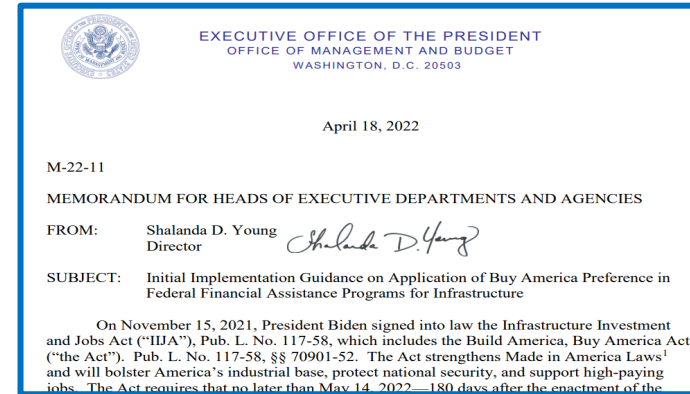


Infrastructure Investment and Jobs Act (IIJA)

New!

M-22-11: Initial Implementation Guidance on Application of Buy America Preference in Federal Financial Assistance Programs for Infrastructure

<https://www.whitehouse.gov/wp-content/uploads/2022/04/M-22-11.pdf>



- No later than May 14, 2022: none of the funds made available for a Federal financial assistance program for infrastructure may be obligated for a project unless all of the iron, steel, manufactured products, and construction materials used in the project are produced in the United States.
- Federal financial assistance program for infrastructure:
 - any program under which an award may be issued for an infrastructure project, regardless of whether infrastructure is the primary purpose of the award.

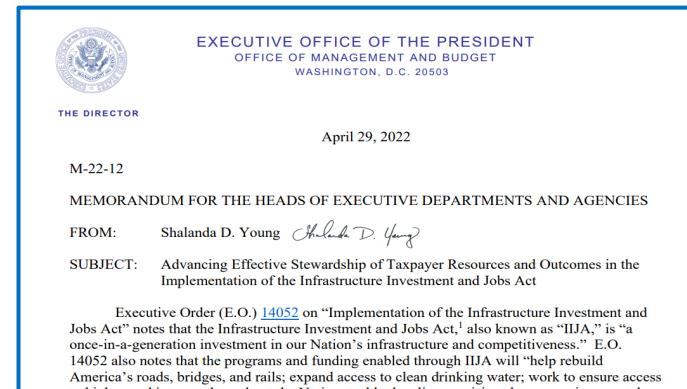


Infrastructure Investment and Jobs Act (IIJA)

- [M-22-12](#) guidance issued April 29, 2022 draws lessons learned and effective practices from implementation of American Rescue Plan, American Recovery and Reinvestment Act, and other government-wide implementation efforts
- Elements of M-22-12:
 - I. Governance, Management, and Oversight
 - II. Effective and Accountable Implementation and Stewardship

M-22-12: Advancing Effective Stewardship of Taxpayer Resources and Outcomes in the Implementation of the Infrastructure Investment and Jobs Act

New!



<https://www.whitehouse.gov/wp-content/uploads/2022/04/M-22-11.pdf>

2023 – Future of Grants



Thank You!



Q & A
