# NSF Proposal & Award Policy Update

Spring 2018

TOPICS

- NSF Budget Update

- PAPPG Significant Changes

- Policy FAQs

- NSF Important Notice on Harassment

- Account Management Changes

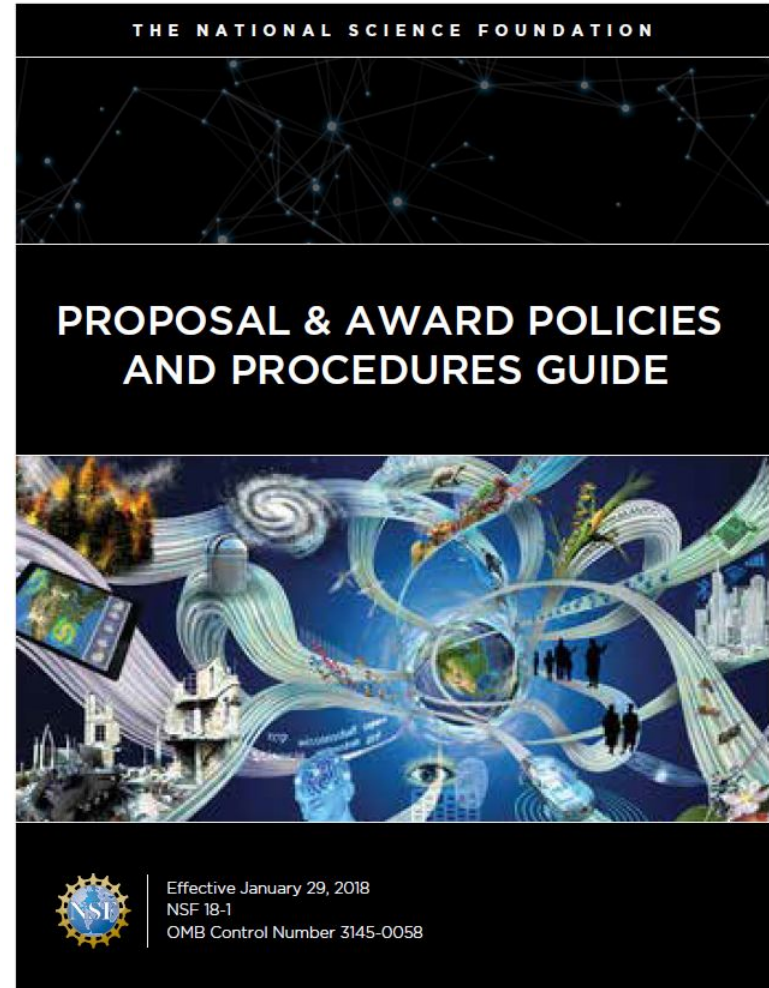- Proposal Submission Modernization

- NSF Outreach

NSF BUDGET

- FY 2018 Appropriation
  - Approved on March 22nd for $7.7 billion or 3.9% above the FY 2017 level

- FY 2019 Request
  - $7.4 billion or $32 million below the FY 2017 level

UNITED STATES
National Science Foundation

NSF

FY 2019
BUDGET REQUEST TO CONGRESS
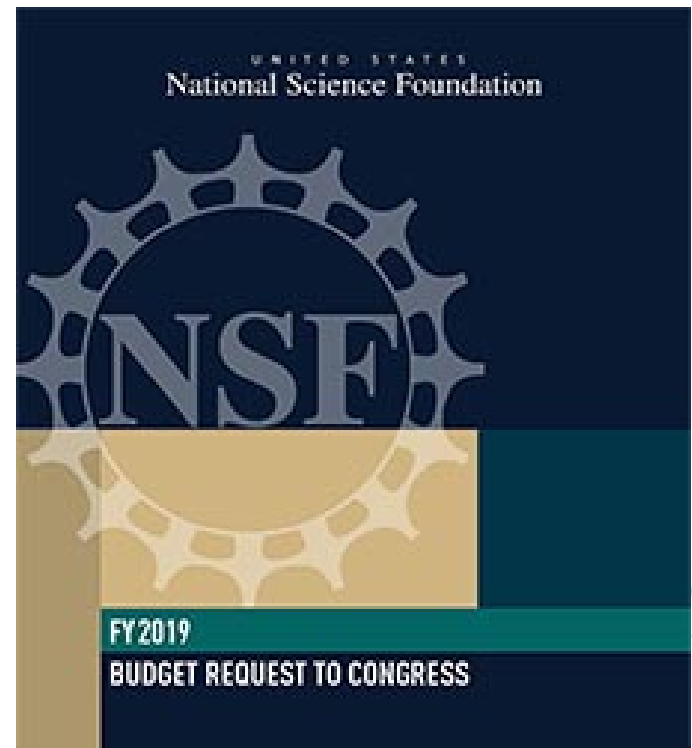
PAPPG IMPLEMENTATION

- October 30, 2017 – Released to the community

- January 29, 2018 – Effective date

THE NATIONAL SCIENCE FOUNDATION

PROPOSAL & AWARD POLICIES AND PROCEDURES GUIDE

Effective January 29, 2018
NSF 18-1
OMB Control Number 3145-0058

PAPPG SIGNIFICANT CHANGES

- Revises eligibility standards to:

  - Add a new subcategory for Institutions of Higher Education
  - Revises the eligibility of foreign organizations

  - Solicitations can add more restrictive language

PAPPG SIGNIFICANT CHANGES (CONT'D)

- Increases the budget justification from three-page limit to five-page limit

- Implements current pilot on Collaborators and Other Affiliations (COA)
  - COA template will now mirror content of PAPPG
  - New footnotes have been added to address frequently asked questions
  - More expansive FAQs are available at:

  https://www.nsf.gov/bfa/dias/policy/coa/faqs_coatemplatemarch18.pdf

PAPPG SIGNIFICANT CHANGES (CONT'D)

- Specifies that the Project Description must contain, "as a separate section within the narrative, a section labeled "Intellectual Merit."

- Clarifies that the five year period of support in Results from Prior NSF Support means "an award with an END date in the past five years or in the future…"

PAPPG SIGNIFICANT CHANGES (CONT'D)

- Reminds organizations that it is their responsibility to define and consistently apply the term "year" in the Senior Personnel Salaries and Wages Policy section

Updated vertebrate animals coverage:

- Adds new language that reflects the new award-specific condition on organizational responsibilities for the life of the grant.

- Guidance further states that "additional IACUC approval must be obtained if the protocols for the care and use of vertebrate animals have changed substantively from those originally proposed and approved."

- Supplements do not require a separate IACUC approval letter unless the scope of the project has substantively changed, in which case a new signed IACUC approval letter is required.

Updated human subjects coverage:

- Adds language to reflect the organizational responsibilities regarding the use of human subjects for the life of the grant.

- Adds language on post-award responsibilities stating that "IRB approval must be obtained if the protocols for the use of human subjects have been changed substantively from those original proposed and approved."

- Adds language regarding supplemental funding. Such requests do not require a separate IRB approval letter. However, if the scope of the project has been substantively changed, a new signed IRB letter is required.

PAPPG SIGNIFICANT CHANGES (CONT'D)

- Removes Exhibit VII-I, Grantee Notifications and Requests for Approval from the PAPPG.

  - Grantee Notifications are in Chapter VII.

  - Requests for Approval are in the Research Terms and Conditions, Appendix A

- Streamlines Allowability of Costs Chapter to remove sections that simply restate the Uniform Guidance.

RESEARCH TERMS & CONDITIONS APPENDIX A – PRIOR APPROVALS MATRIX

Research Terms and Conditions Appendix A
Prior Approval Matrix
October 1, 2017

	Reference	RTC Overlay	NSF	DOE	NIH	USDA NIFA	DOC	NASA
Prior Written Approval (prior approval)*	200.407							
Use of grant agreements (including fixed amount awards), cooperative agreements, and contracts	200.407(a)							
Changes in principal investigator (PI), project leader, project partner, or scope of effort.	200.201(b)(5)	Required	Required	Required	Required	Required	Required	Required
Cost sharing or matching	200.407(b)							
Use of unrecovered indirect costs, including indirect costs on cost sharing or matching.	200.306(c)	Waived	Waived	Waived	Waived	Waived[15]	Waived	Waived
Use of current fair market value to determine the value of non-Federal entity donations of services and property for the purposes of cost sharing or matching.	200.306(d)(2)	Waived	Waived	Waived	Waived	Waived	Waived	Required
Costs of the fair market value of equipment or other capital assets and fair rental charges for land when the Federal award supports activities that require use of equipment, buildings or land.	200.306(h)(2)	Required	Required	Required	Required	Required	Required	Required
Program Income	200.407(c)							
Use of program income during the period of performance (additive method).	200.307(e)(2)	Waived	Waived	Waived	Waived[5]	Waived	Waived	Waived[20]
Revision of budget and program plans	200.407(d)							
Change in the scope or the objective of the project or program.	200.308(c)(1)(i)	Required	Required	Required	Required	Required	Required	Required
Change in PI/PD specified in the application or Federal award.	200.308(c)(1)(ii)	Required	Required[14]	Required	Required	Required	Required	Required
Disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project by the approved PI/PD.	200.308(c)(1)(iii)	Required	Required[14]	Required	Required[6]	Required	Required	Required[21]
Inclusion, unless waived, of costs that require prior approval in accordance with Subpart E -- Cost Principles.	200.308(c)(1)(iv)	Required	Waived[1]	Required	Waived[7]	Required	Required	Required
Transfer of funds budgeted for participant support costs to other categories of expense.	200.308(c)(1)(v)	Required	Required[2]	Required	Waived[8]	Required	Required	Waived[22]
Subawarding, transferring or contracting out any work under a Federal award. This provision does not apply to the acquisition of supplies, material, equipment or general purpose services.	200.308(c)(1)(vi)	Required	Required	Required	Waived[9]	Waived[16]	Required	Waived
Changes in the approved cost-sharing or matching provided by the non-Federal entity.	200.308(c)(1)(vii)	Required	Required	Required	Required	Waived[17]	Required	Waived
Need for additional Federal funding to complete the project.	200.308(c)(1)(viii)	Required	Required	Required	Required	Required	Required	Required
Incur project costs 90 calendar days before the Federal awarding agency makes the award.	200.308(d)(1)	Waived	Waived	Waived	Waived	Waived	Waived	Waived
Incur project costs more than 90 calendar days pre-award.	200.308(d)(1)	Required	Required	Required	Required	Required	Required	Required
Initiate a one-time extension of the period of performance by up to 12 months.	200.308(d)(2)	Waived	Waived	Waived	Waived	Waived	Waived	Waived
Subsequent no-cost extension or extension of more than 12 months.	200.308(d)(2)	Required	Required	Required	Required	Required	Required	Required
Carry-forward of unexpended balances to subsequent funding periods.	200.308(d)(3)	Waived	Waived	Waived	Waived[10]	Waived	Waived	Waived
Transfer amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa.	200.308(d)(4)	Waived	Waived	Waived	Waived[11]	Waived	Waived	Waived
Rebudgeting among direct cost categories for Federal awards in which the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the approved budget.	200.308(e)	Waived	Waived	Waived	Waived[11]	Waived	Waived	Waived[22, 23]
Transfer of funds between construction and non-construction activities.	200.308(g)(5)	Required	Required	Required	Required	Required	Required	Required
Real Property	200.407(e)							
Encumber real property acquired with Federal funds.	200.311(b)	Required	Required	Required	Required	Required	Required	Required
Transfer of title to the Federal awarding agency or to a third party.	200.311(c)(3)	Required	Required	Required	Required	Required	Required	Required

POLICY FAQS – PARTICIPANT SUPPORT COSTS

- May I include conference speaker fees in the participant support costs section of the budget?

  - No, the participant support category is for the support of participants or trainees only. Speakers and trainers are not considered participants and should not be included in this section of the budget. These costs should be included on line G6 Other Direct Costs.

- We would like to rebudget our NSF award to move funds out of the participant support category. Do we need NSF approval to do this?

  - Yes. While NSF does provide rebudgeting authority for many categories, you must receive the approval of the cognizant NSF program officer to reallocate funds <u>out of</u> the participant support category. You may, however, rebudget funds <u>into</u> this category without prior NSF approval (unless you're trying to move funds into the "other" category of participant).

- Are costs such as room rental fees, catering, supplies, etc. related to an NSF-sponsored conference considered participant support costs?

  - No, the participant support cost line in the NSF budget should not be used for such costs. These costs should be included on line G6 Other Direct Costs.
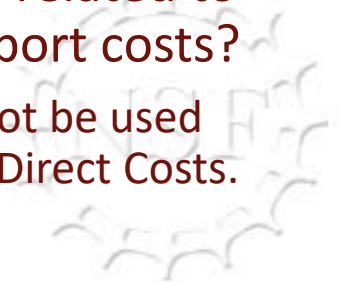
POLICY FAQS – PARTICIPANT SUPPORT COSTS

- Do participant support costs apply for all participants, or do they only apply for non-awardee organization participants?

  - Participants from the proposing organization and other organization(s) could be considered participants.

- May human subjects that are being paid as survey takers be considered participants?

  - No, the participant support section of the budget may not be used to provide incentive payments to research subjects. Human subject payments should be included on line G6 of the NSF budget under "Other Direct Costs," and indirect costs should be calculated on the payments in accordance with the organization's federally negotiated indirect cost rate.

- Is it acceptable to categorize students as both employees and participants in a REU proposal if we have made the appropriate determination?

  - No, the REU program is different. The goal of the program is to provide a practical educational experience for undergraduate students, rather than simply a job. The role of an REU student differs from the role of a student employee because the REU program is aimed at developing the students' research skills and providing a high-quality mentoring experience. Based on this role, an REU student is considered a participant in a training activity and funds for their support should be included as a stipend in the participant support cost section of the budget.

IMPORTANT NOTICE 144 ON HARASSMENT

NSF has developed a new draft award term and condition that will require organizations to notify NSF:

- 1) of any findings/determinations regarding the PI or any co-PI

- 2) if the awardee places the PI, or any co-PI on administrative leave

- Such notification must be submitted by the Authorized Organization Representative via email to NSF's Office of Diversity and Inclusion at: harassmentnotifications@nsf.gov within seven business days from the date of the finding/determination or the awardee's placement of the PI or co-PI on administrative leave.

IMPORTANT NOTICE ON HARASSMENT (CONT'D)

- Awardee findings/determinations and placement on administrative leave during investigation must have been conducted in accordance with organizational processes and policies that are consistent with federal law and regulation. *See, e.g.,* NSF *Research Terms and Conditions, Appendix C.*

  - NSF will solicit feedback on this new award term and condition through the Federal Register (FR) process. The community will have 60 days to comment. Published in the FR on Monday, March 5th.

- Harassment-Free Research Workplaces

  - NSF expects all awardee organizations to establish and maintain clear and unambiguous standards of behavior to ensure harassment-free workplaces

- Enhanced Web Resources

  - NSF recently launched a dedicated web portal to consolidate policies and procedures, promising practices, and frequently asked questions relating to sexual and other forms of harassment.

  - Visit www.nsf.gov/harassment

MODERNIZING ACCOUNT MANAGEMENT

- NSF has modernizing its grant systems to streamline the user experience for maintaining accounts and centralizing access.

- A person's NSF ID will be used to manage his/her profile data and permission information.

- The new functionality was launched in March 2018 in Research.gov.

- Initial release is for PIs, SPOs, AORs, Administrators, ACM$ users and GRFP Coordinating and Financial Officials

- As of March 26th, existing users will be migrated to the new system and will confirm their account information

- Video tutorials and FAQs now available in Research.gov

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MODERNIZING ACCOUNT MANAGEMENT

MODERNIZING ACCOUNT MANAGEMENT
Add a New Role

MODERNIZING ACCOUNT MANAGEMENT
Administrator's Dashboard

MODERNIZING ACCOUNT MANAGEMENT

Migrating Existing Users

PROPOSAL SUBMISSION MODERNIZATION (PSM)

- PSM is a multi-year initiative to modernize the proposal submission capabilities currently in FastLane and implement new capabilities in Research.gov.

- It aims to reduce the administrative burden to the research community and NSF staff associated with preparation, submission, and management of proposals.

- As of **February 26, 2018**, NSF is previewing the new Research.gov proposal preparation interface to the community for feedback and for a chance to get used to the new environment.

- Beginning **April 30, 2018**, proposers will be able to prepare and submit non-collaborative research proposals in Research.gov

PSM FEBRUARY AND APRIL RELEASES

- The preview period will allow PIs to:
  - Initiate proposal
  - Add Co-PIs, Senior Personnel, and Other Authorized Users
  - Upload required proposal documents
  - Create budget
  - Check compliance
  - Enable SPO/AOR access for review

- In April, the initial release will allow submission of Full, Research non-collaborative proposals, enabling the following features:
  - AOR Submission
  - Proposal File Update & Budget Revision

- Subsequent releases will enable additional features

PROPOSAL SUBMISSION MODERNIZATION
Create New Proposal Wizard

My Desktop › Proposal Preparation › Create New Proposal

Create New Proposal

| 1. Funding Opportunity ✔ | 2. Where to Apply ✔ | 3. Proposal Type | 4. Submission Type | 5. Title & Collaborative Info |

Select Proposal Type

What type of proposal will be used? ⓘ

- ● Research
- ○ Rapid Response Research (RAPID) Proposals
- ○ Early-concept Grants for Exploratory Research (EAGER)
- ○ Research Advanced by Interdisciplinary Research and Engineering (RAISE)
- ○ Grant Opportunities for Academic Liaison with Industry (GOALI)
- ○ Ideas Lab
- ○ Facilitation Awards for Scientists and Engineers with Disabilities (FASED)
- ○ Conferences
- ○ Equipment
- ○ Travel
- ○ NSF Center Proposals
- ○ Major Research Equipment and Facility Construction Proposals
- ○ Fellowship

Previous   Next

- Indicator shows required proposal setup process steps that addresses current frustrations with the FastLane Cover Sheet module

- User chooses the applicable proposal type

- The choices shown here will be customized to the funding opportunity based on enhancements to PIMS that will be made in FY18-FY19

PROPOSAL SUBMISSION MODERNIZATION

Title: Demo Proposal Title ✎

Funding Opportunity: NSF 17-554 ☐ - Geophysics

Where to Apply: Directorate For Geosciences (GEO) - Division Of Earth Sciences (EAR), GEOPHYSICS

Proposal Type: Research

Submission Type: Full Proposal

- Inline edit of the title

Proposal Actions	Proposal Sections	Last Updated	Compliance Status
🔒 Allow SPO Access	**Required**		
≣ Check Proposal Compliance	Cover Sheet		Not checked
🖨 Print Proposal	Project Summary		Not checked
🗑 Delete Proposal	Project Description		Not checked
	References Cited		Not checked
	Data Management Plan		
Personnel Access	Postdoctoral Mentoring Plan ❶ Conditionally required		
Your role(s): Authorized Organizational Representative (AOR), Sponsored Program Officer (SPO), Principal Investigator (PI)	Senior Personnel Documents ❶		Not checked
	Facilities, Equipment and Other Resources		Not checked
👥 Manage Personnel	Budget(s)		Not checked
	Budget Justification(s)		Not checked
Collaborative Status	**Optional**		
Lead proposal	Other Personnel Biographical I...		ot checked
Link(s): Not linked	List of Suggested Reviewers ❶		ot checked
🔗 Link Collaborative Proposals	List of Reviewers Not to Include		ot checked

- Conditionally required sections become required after corresponding data is input

- Add and Remove Co-PIs, Senior Personnel, and OAUs
- Quick access to link Collaborative proposals

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PROPOSAL SUBMISSION MODERNIZATION

PROPOSAL SUBMISSION MODERNIZATION

| My Desktop | Prepare & Submit Proposals | Awards & Reporting | Manage Financials | Administration |

My Desktop › Proposal Preparation › Proposal - 2212 › Project Summary

☐ Hide Menu

Proposal - 2212

Required ⌄

- Cover Sheet
- Project Summary
- Project Description
- References Cited
- Data Management Plan
- Postdoctoral Mentoring Plan
- Senior Personnel Documents
- Facilities, Equipment & Other Resources
- Collaboration Plan
- Management Plan
- Budgets
- Budget Justification
- Deviation Authorization

Optional ⌄

Project Summary

❶ Your file contains an unallowable font type. Please update your file and try uploading it again. ✕

❶ Your file does not include the required document section heading of Broader Impacts. Please update your file and try uploading ✕ it again.

❶ Your file contains a left document margin that is less than one inch. Please update your file and try uploading it again. ✕

Instructions to upload Project Summary:

- Only 1 document can be uploaded
- Accepted file types include: Adobe PDF
- Your file must include three separately labeled sections: Overview, Intellectual Merit, and Broader Impacts
- Text cannot exceed 1 page - Proposal margin and spacing requirements (PAPPG)
- Max file size permitted is 10MB

| **Browse for file to upload** | Browse ... |

- Immediate feedback on compliance of all documents that are uploaded to the system

Preview/Print

PROPOSAL SUBMISSION MODERNIZATION

■ Hide Menu

My Desktop › Proposal Preparation › Proposal - 51 › Budget(s)

Proposal - 51

Manage Personnel

Required ⌄

Cover Sheet

Project Summary

Project Description

References Cited

Budg

Budg

Faci
Resources

Senior Personnel Documents

Data Management Plan

Optional ⌄

Other Personnel Biographical
Information

Other Supplementary Documents

List of Suggested Reviewers

List of Reviewers Not to Include

Budget(s)

For Virginia Polytechnic Institute and State University ❸

$161,200
Total Requested Amount

❸ More years have been added than can fit in the table. Click the arrows in the table headers or total rows to view the r
years. Total funds requested will continue to show the total for all years in the budget. To view additional years simult
may hide the page's left navigation menu.

Expand all rows | Collapse all rows

Years in budget: **2**

Add Year

• **Rows expand
and collapse for
easy navigation**

• **All totals are
dynamically
summed and
the total
amount is
placed on the
cover sheet**

Personnel Direct Costs

Section	Year 1			Year 2			Total Funds Requested
	# Personnel	Months	Funds	# Personnel	Months	Funds	
⊖ A. **Senior Personnel** [Manage]	1	1.00	$70,000	1	1.00	$70,00	
Ricky I Researcher (PI)	1		$ 70,000	1		$ 70,00	
⊖ B. **Other Personnel** ❸	11		$10,100	11		$10,100	$20,200
Postdoctoral Scholars ❸	1	12	$ 10,000	1	12	$ 10,000	$20,000
Other Professionals	0	0.00	$ 0	0	0.00	$ 0	$0
Graduate Students	10		$ 100	10		$ 100	$200
Undergraduate Students	0		$ 0	0		$ 0	$0
Administrative/Clerical	0		$ 0	0		$ 0	$0
Other	0		$ 0	0		$ 0	$0
⊖ C. **Fringe Benefits**			$0			$0	$0

• **Multiple years
displayed on
one screen**

PROPOSAL SUBMISSION MODERNIZATION

- Preview began February 26, 2018

- Launch April 30th will be available for non-collaborative research, full proposals

- Future releases will enable other proposal types and features

PAPPG UPDATE WEBINAR

https://nsfgrantsconferences.com/2017/12/14/pappg-update-webinar/

PROPOSAL & AWARD POLICY NEWSLETTER

- Quarterly newsletter

- Stay abreast of policy and procedural developments

NSF GRANTS CONFERENCE

- Spring 2018 conference is full

- Fall 2018 conference will be held in New Orleans

- Click "Get Notified" for reminders about registration and other conference and outreach opportunities