

Fall 2017 Grants Conference

NSF POLICY UPDATE

NSF



NOVEMBER 13 - 14, 2017, PHOENIX, AZ / NATIONAL SCIENCE FOUNDATION

Speaker

Jean Feldman

Head, Policy Office

Office of Budget, Finance & Award Management

Division of Institution & Award Support



Topics

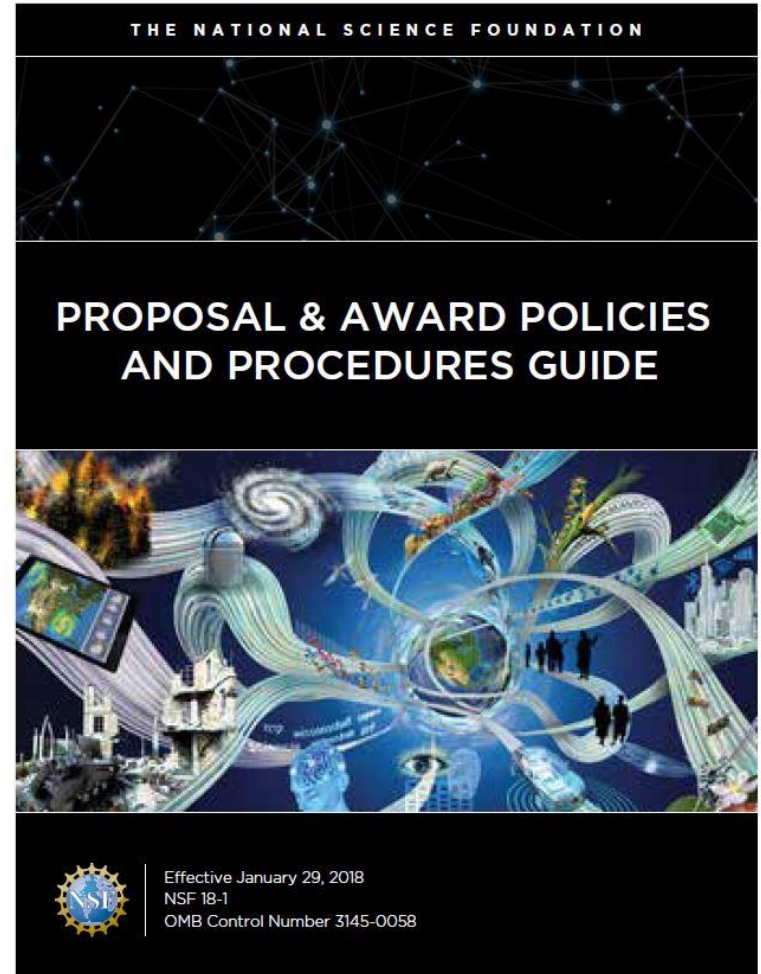
- PAPPG Significant Changes
- NSF Response to Natural Disasters
- Policy FAQs
- Modernizing Account Management
- Proposal Submission Modernization
- NSF Outreach Opportunities



“Ask Early, Ask Often!”

PAPPG Implementation Schedule

- Spring 2017 – Federal Register for public comment
- Comments received by July 24, 2017
- October 30, 2017– Released to the community
- January 29, 2018 – PAPPG becomes effective



PAPPG Significant Changes

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

PAPPG Significant Changes

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

PAPPG Significant Changes

Updated vertebrate animals coverage:

- PAPPG also includes 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.

PAPPG Significant Changes

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

- 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
 - NSF will be adding an “Other Request” to address those requests not currently included in Research.gov
- 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(q)(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

NSF Responses To Natural Disasters

NSF Responses to Natural Disasters



- Current NSF Policy in PAPPG, Chapter I.F.
 - Special Exceptions to NSF's Deadline Date Policy
 - Process in place to submit proposals after the NSF deadline
- Types of Proposals Available
 - RAPID
 - EAGER
- Related Information
 - GRFP Applicants and Reference Writers
 - News Release on NSF Funding
- Email address for inquiries: naturaldisasters@nsf.gov, and updated information on NSF.gov

Policy FAQs

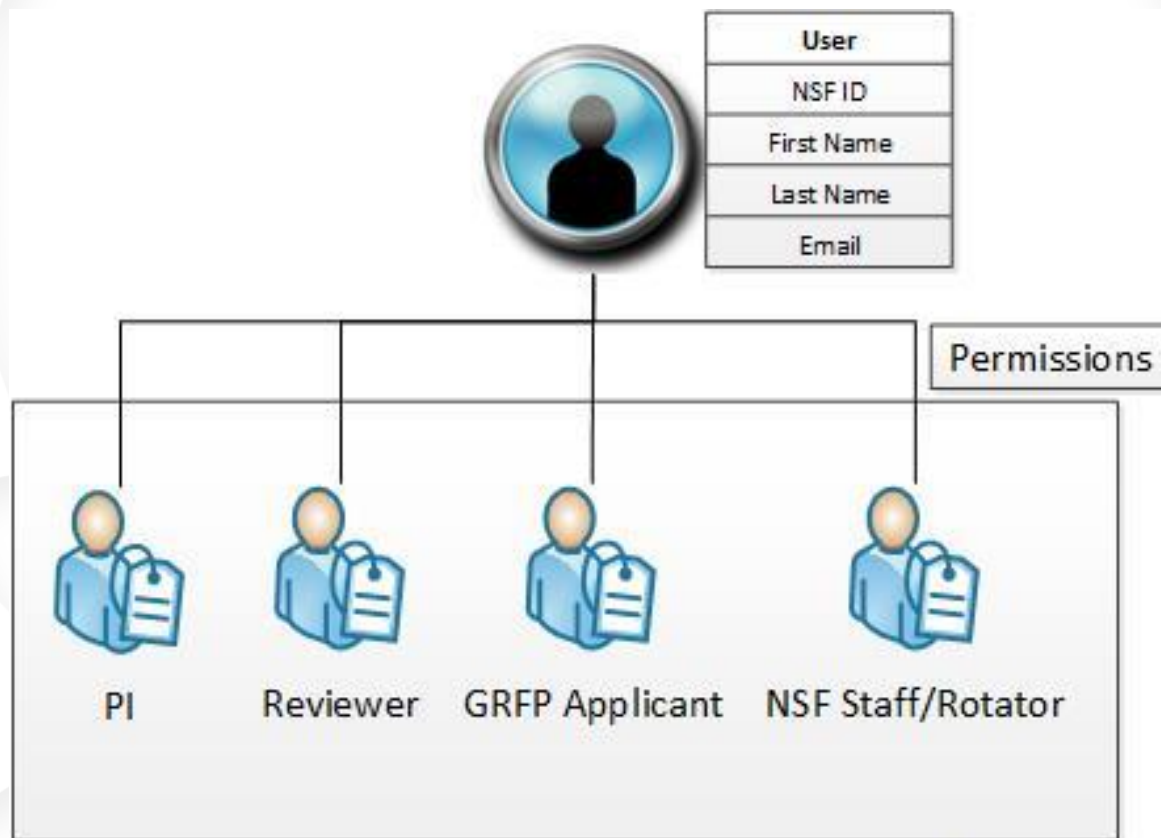
Participant Support Costs

- May I include conference speaker fees in the participant support costs section of the budget?
- 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?
- Are costs such as room rental fees, catering, supplies, etc. related to an NSF-sponsored conference considered participant support costs?
- Do participant support costs apply for all participants, or do they only apply for non-awardee organization participants?
- May human subjects that are being paid as survey takers be considered participants?
- We are preparing a REU proposal. Is it acceptable to categorize students as both employees and participants if we have made the appropriate determination?

Modernizing Account Management

NSF is modernizing the account management of our external 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.

Target State – A Single Identity per User



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.
- It aims to reduce the administrative burden to the research community and NSF staff associated with preparation, submission, and management of proposals.
- In FY 2017, NSF has focused on completing proposal section modernization concepts that incorporate feedback received by the community and NSF staff.
- In FY 2018 NSF will begin the use of Research.gov to prepare and submit proposals.

Proposal Submission Modernization

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 (FASSED)
- Conferences
- Equipment
- Travel
- NSF Center Proposals
- Major Research Equipment and Facility Construction Proposals
- Fellowship

Previous Next

• Indicator shows required proposal setup process steps

• User chooses the applicable proposal type

• The choices shown here will be customized to the funding opportunity

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

- Allow SPO Access
- Check Proposal Compliance
- Print Proposal
- Delete Proposal

Personnel Access

Your role(s):
 Authorized Organizational Representative (AOR), Sponsored Program Officer (SPO), Principal Investigator (PI)

- Manage Personnel

Collaborative Status

Lead proposal

Link(s): Not linked

- Link Collaborative Proposals

Proposal Sections	Last Updated	Compliance Status
Required		
Cover Sheet		Not checked
Project Summary		Not checked
Project Description		Not checked
References Cited		
Data Management Plan		
Postdoctoral Mentoring Plan ⓘ Conditionally required		
Senior Personnel Documents ⓘ		Not checked
Facilities, Equipment and Other Resources		Not checked
Budget(s)		Not checked
Budget Justification(s)		Not checked
Optional		
Other Personnel Biographical Inform...		Not checked
List of Suggested Reviewers ⓘ		Not checked
List of Reviewers Not to Include		Not 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

Proposal Submission Modernization



Research.GOV
ONLINE GRANTS MANAGEMENT
FOR THE NSF COMMUNITY

Welcome Mollie Hodge | [Logout \(Home\)](#) | [My Profile](#) | [Contact](#) | [Help](#) | [About](#)

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

- Hide Menu
- Proposal - 5841
- Manage Personnel
- Required ▾
- Cover Sheet
- Project Summary
- Project Description
- References Cited
- Data Management Plan
- Senior Personnel Documents
- Facilities, Equipment and Other Resources
- Budget(s)
- Budget Justification(s)

My Desktop > Proposal Preparation > Proposal - 5841 > Senior Personnel Documents

Senior Personnel Documents

Expand all | Collapse all

Manage Personnel

Personnel Name	Role	Organization												
<table border="1"> <thead> <tr> <th>Documents</th> <th>Last Updated</th> <th>Compliance Status</th> </tr> </thead> <tbody> <tr> <td>Biographical Sketch</td> <td>10/18/2016</td> <td></td> </tr> <tr> <td>Collaborators & Other Affiliations</td> <td>10/15/2016</td> <td>✔ No issues found</td> </tr> <tr> <td>Current & Pending Support</td> <td>10/22/2016</td> <td>❗ Error(s)</td> </tr> </tbody> </table>	Documents	Last Updated	Compliance Status	Biographical Sketch	10/18/2016		Collaborators & Other Affiliations	10/15/2016	✔ No issues found	Current & Pending Support	10/22/2016	❗ Error(s)	Mollie K Hodge	Principal Investigator
Documents	Last Updated	Compliance Status												
Biographical Sketch	10/18/2016													
Collaborators & Other Affiliations	10/15/2016	✔ No issues found												
Current & Pending Support	10/22/2016	❗ Error(s)												
	Shiferaw Berhanu	co-Principal Investigator												
		TEMPLE UNIVERSITY-OF THE COMMONWEALTH SYSTEM OF HIGHER EDUCATION												

Proposal Submission Modernization

The screenshot displays a web application interface for proposal submission. At the top, there is a navigation bar with five tabs: 'My Desktop', 'Prepare & Submit Proposals', 'Awards & Reporting', 'Manage Financials', and 'Administration'. Below this is a sidebar menu with a 'Hide Menu' toggle and a list of proposal sections: 'Proposal - 2212', 'Required' (with a dropdown arrow), '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' (with a dropdown arrow), and 'Letters of Collaboration'. The main content area shows the breadcrumb 'My Desktop > Proposal Preparation > Proposal - 2212 > Project Summary' and the title 'Project Summary'. Three red error messages are displayed in a list, each with an 'X' icon: 'Your file contains an allowable font type. Please update your file and try uploading it again.', 'Your file does not include the required document section heading of Broader Impacts. Please update your file and try uploading it again.', and 'Your file contains a left document margin that is less than one inch. Please update your file and try uploading it again.'. Below the errors, there are 'Instructions to upload Project Summary:' followed by a bulleted list: '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)', and 'Max file size permitted is 10MB'. At the bottom of the main area, there is a 'Browse for file to upload' button with a 'Browse ...' input field and a 'Preview/Print' button.

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

Project Summary

- ❗ Your file contains an allowable font type. Please update your file and try uploading it again. ✕
- ❗ Your file does not include the required document section heading of Broader Impacts. Please update your file and try uploading it again. ✕
- ❗ 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

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

Proposal Submission Modernization

- Proposal - 6577
- Manage Personnel
- Required ▼
- Cover Sheet
- Project Summary
- Project Description
- References Cited
- Data Management Plan
- Senior Personnel Documents
- Facilities, Equipment and Other Resources
- Budget(s)
- Budget Justification(s)
- Optional ▼
- Other Personnel Biographical Information
- List of Suggested Reviewers
- List of Reviewers Not to Include

Budget(s)

For KANSAS STATE UNIVERSITY ⓘ

\$100,200
Total Requested Amount

* Information is required for at least one year for this line

Expand all rows | Collapse all rows

Years in budget: 2

Add Year Delete Year

Personnel Direct Costs							
Section	Year 1			Year 2			Total Funds Requested
	# Personnel	Months	Funds	# Personnel	Months	Funds	
⊕ A. Senior Personnel [Manage]	2	18.00	\$15,000	2	18.00	\$15,000	\$30,000
⊕ B. Other Personnel ⓘ	6		\$35,000	6		\$35,000	\$70,000
⊕ C. Fringe Benefits			\$100			\$100	\$200
Total Salaries, Wages & Fringe Benefits (A-C)			\$50,100			\$50,100	\$100,200

Additional Direct Costs					
Section	Year 1		Year 2		Total Funds Requested
	# Participants	Funds	# Participants	Funds	
⊕ D. Equipment ⓘ		\$0		\$0	\$0
⊕ E. Travel		\$0		\$0	\$0
⊕ F. Participant Support Costs		\$0		\$0	\$0
⊕ G. Other Direct Costs		\$0		\$0	\$0
H. Total Direct Costs (A-G)		\$50,100		\$50,100	\$100,200

Indirect Costs			
Section	Year 1 Rate x Base	Year 2 Rate x Base	Total Funds Requested
⊕ I. Indirect Costs		\$0	\$0
J. Total Amount Requested (H + I)		\$50,100	\$100,200

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

• Multiple years displayed on one screen

Proposal Submission Modernization

- Video demonstration available online.
- Soft Launch will begin in 2018
- Launch will only be available for non-collaborative research, full proposals
- Future releases will enable other proposal types and features



The image shows a YouTube video player interface. At the top, there is a search bar and the YouTube logo. The video content is a presentation slide with the following text: "National Science Foundation (NSF) Modernization of Proposal Preparation and Account Management" and "September 7, 2017". The slide also features the NSF logo and the text "National Science Foundation OFFICE OF INFORMATION & RESOURCE MANAGEMENT". The video player controls at the bottom show a progress bar at 0:03 / 1:09:06 and various icons for play, volume, and settings.

NSF Modernization of Proposal Preparation and Account Management Sept 2017

<https://www.youtube.com/watch?v=tbU5agcTe1o&feature=youtu.be>

Proposal & Award Policy Newsletter

- New quarterly newsletter
- Stay abreast of policy and procedural developments
- Next edition scheduled for November/December

ISSUE III ■ AUG/SEP ■ 2017 ■ NATIONAL SCIENCE FOUNDATION

Proposal & Award Policy Newsletter

What's Inside

- PAPPG – Proposed Significant Changes
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PAPPG – Proposed Significant Changes

The Proposal & Award Policies & Procedures Guide (PAPPG) provides guidance on NSF policies and procedures for proposals to, and awards from NSF. The annual revision and implementation of the PAPPG is currently underway. NSF published a draft “for comment” version in the Federal Register this past spring and comments from the community were accepted until July 24th. The Policy Office in the Division of Institution and Award Support (DIAS) is currently reviewing and responding to all comments, and expects to issue a final version of the guide this fall. Per NSF standard practice, the community receives a full 90 days to review the significant changes prior to the document taking effect. The current draft PAPPG is available on the NSF website and a summary of the significant changes and clarifications to this version is provided below.

Proposed Revision of Eligibility Standards

NSF has revised eligibility standards by adding the new subcategory Institutions of Higher Education (IHE). Special instructions have been added for international branch campuses of IHEs. Specifically, if a proposal includes funding to be provided to an international branch campus of a U.S. institution (including through use of subawards and consultant arrangements), the proposer must explain the benefit(s) of performing (part or all) of the project at the international campus. Further, the proposer must justify why the project activities cannot be performed at the U.S. campus.

Foreign organization eligibility will be revised so that the proposer must demonstrate that one or more of the following criteria will be met:

- The foreign organization contributes a unique organization, facilities, geographic location and/or access to unique data resources not generally available to U.S. investigators (or which would require significant effort or time to duplicate), or other resources that are essential to the success of the proposed project
- The organization to be supported offers significant scientific and engineering education, training or research opportunities to the U.S.

Continued on page 6



Contact

Contact the Division of Institution and Award Support Contacts via e-mail at policy@nsf.gov or by phone at 703.292.8243

Links

Proposal & Award Policies & Procedures Guide (PAPPG)
FAQs on Proposal Preparation & Award Administration

NSF Grants Conference
Presentations from Recent Events

This issue showcases images from CISE – one of the many research and education areas funded by NSF. SOURCE: <https://www.nsf.gov/news/mmj/>.

For More Information

Ask Early, Ask Often!

- [nsf.gov/staff](https://www.nsf.gov/staff)
- [nsf.gov/staff/orglist.jsp](https://www.nsf.gov/staff/orglist.jsp)
- [nsf.gov/about/career_opps/rotators/index.jsp](https://www.nsf.gov/about/career_opps/rotators/index.jsp)

