

National Science Foundation



W H E R E D I S C O V E R I E S B E G I N

NSF – Update

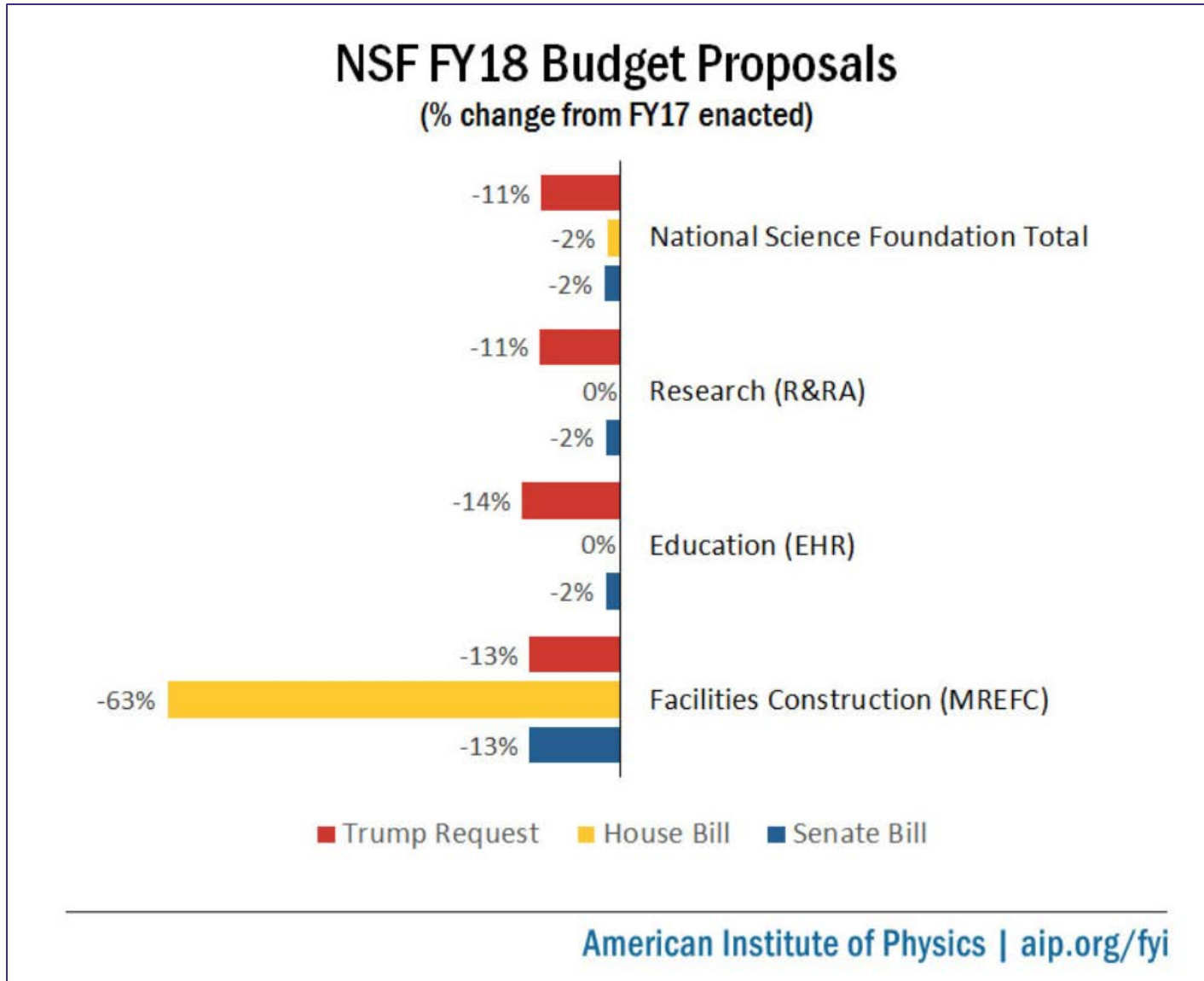
November 2017

TOPICS

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



FY 2018 BUDGET REQUEST



PAPPG IMPLEMENTATION

- October 30, 2017 – Released to the community
- January 29, 2018 – Effective date



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



PAPPG SIGNIFICANT CHANGES (CONT'D)

- 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 (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



PAPPG SIGNIFICANT CHANGES (CONT'D)

Updated vertebrate animals coverage:

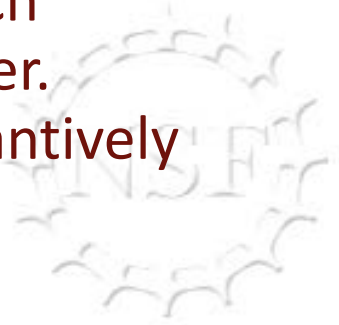
- Adds new language that reflects the new award-specific condition on organizational responsibilities for the life of the grant.
- Guidance further states that “additional IACUC approval must be obtained if the protocols for the care and use of vertebrate animals have changed substantively from those 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.



PAPPG SIGNIFICANT CHANGES (CONT'D)

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.



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?
 - 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.
- 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 out of the participant support category. You may, however, rebudget funds into 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.



POLICY FAQs – PARTICIPANT SUPPORT COSTS

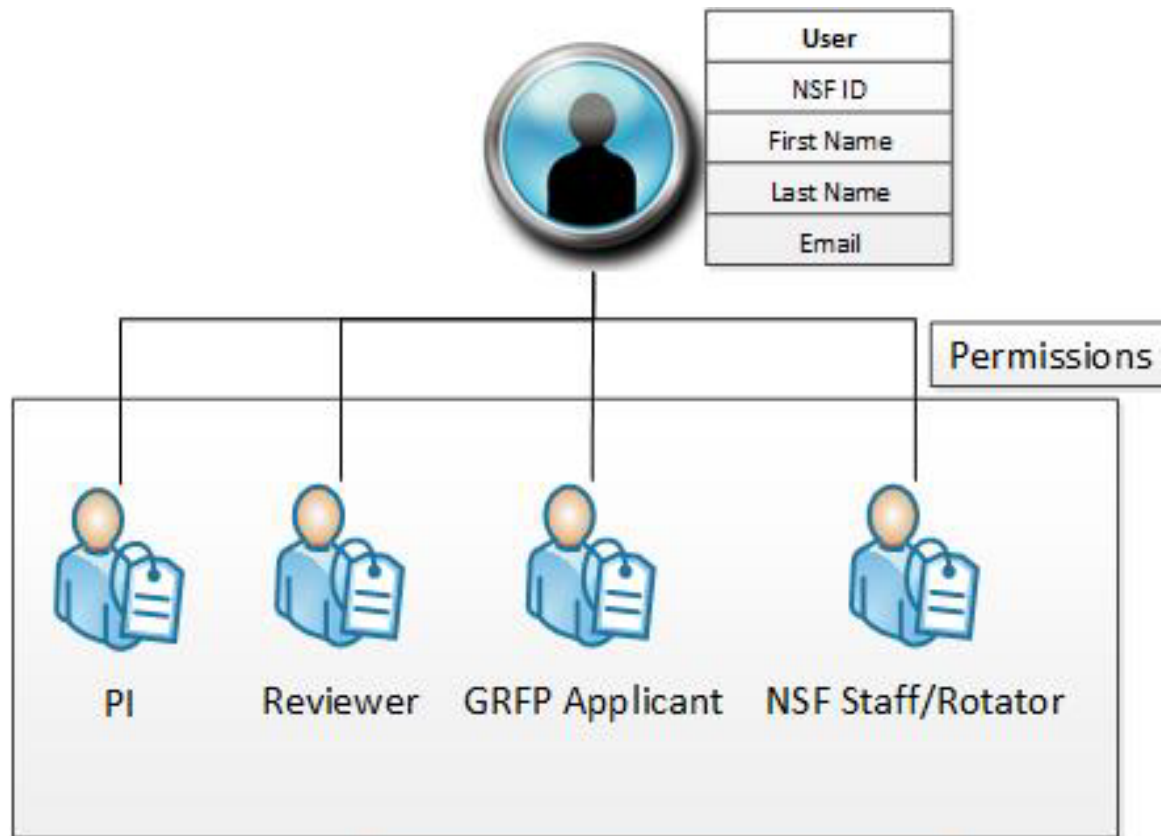
- Do participant support costs apply for all participants, or do they only apply for non-awardee organization participants?
 - Participants from the proposing organization and other organization(s) could be considered participants.
- May human subjects that are being paid as survey takers be considered 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.



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

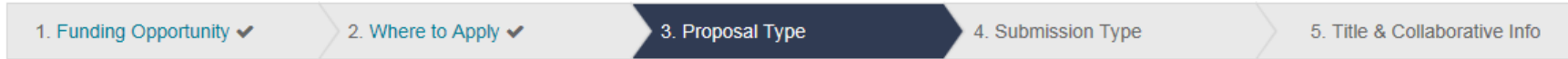
- PSM is a multi-year initiative to modernize the proposal submission capabilities currently in FastLane and implement new capabilities in Research.gov.
- It aims to reduce the administrative burden to the research community and NSF staff associated with preparation, submission, and management of proposals.
- 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 piloting the use of Research.gov to prepare and submit proposals.



PROPOSAL SUBMISSION MODERNIZATION

My Desktop > Proposal Preparation > Create New Proposal

Create New Proposal



• Indicator shows required proposal setup process steps

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

• 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	Proposal Sections	Last Updated	Compliance Status
<ul style="list-style-type: none"> Allow SPO Access Check Proposal Compliance Print Proposal Delete Proposal 	Required		
	Cover Sheet		Not checked
	Project Summary		Not checked
	Project Description		Not checked
	References Cited		Not checked
	Data Management Plan		Not checked
	Postdoctoral Mentoring Plan i Conditionally required		Not checked
	Senior Personnel Documents i		Not checked
	Facilities, Equipment and Other Resources		Not checked
	Budget(s)		Not checked
	Budget Justification(s)		Not checked
	Optional		
	Other Personnel Biographical Info		Not checked
	List of Suggested Reviewers i		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

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 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												
<div style="display: flex; align-items: center;"> - <div style="flex-grow: 1;">Mollie K Hodge</div> </div>	Principal Investigator	KANSAS STATE UNIVERSITY												
<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)
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<div style="display: flex; align-items: center;"> + <div style="flex-grow: 1;">Shiferaw Berhanu</div> </div>	co-Principal Investigator	TEMPLE UNIVERSITY-OF THE COMMONWEALTH SYSTEM OF HIGHER EDUCATION												

PROPOSAL SUBMISSION MODERNIZATION

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

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

Project Summary

❗ Your file contains an unallowable 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 Browse ...

Preview/Print

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

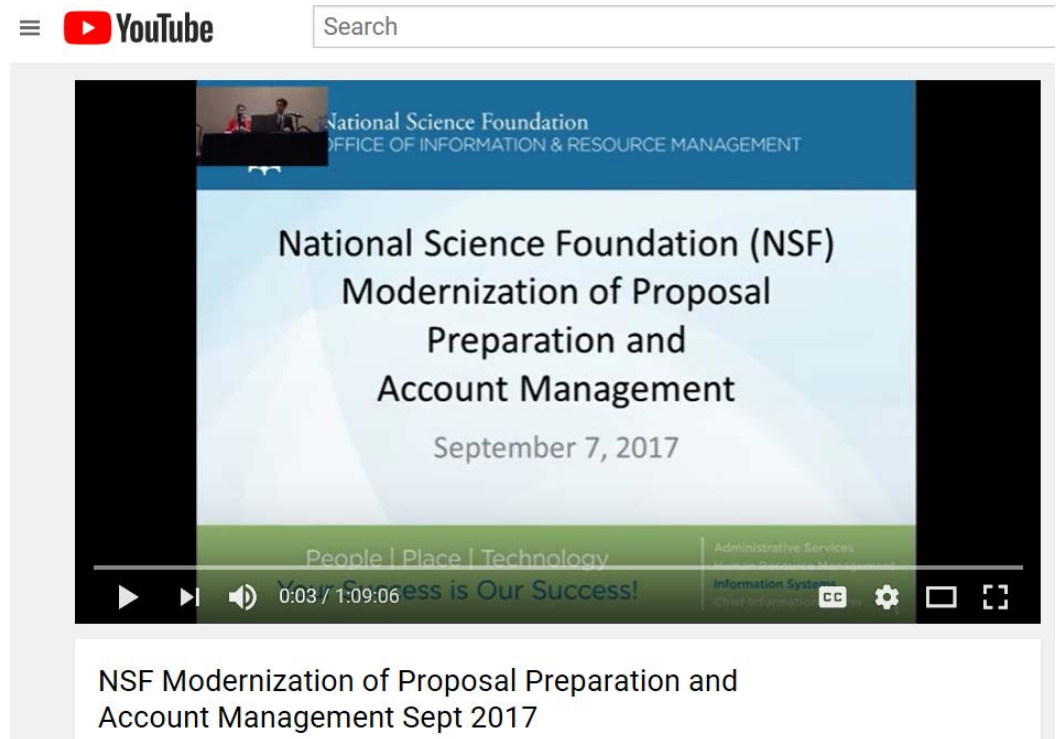
- All totals are dynamically summed and the total amount is placed on the cover sheet

- Multiple years displayed on one screen



PROPOSAL SUBMISSION MODERNIZATION

- Video demonstration available online.
- Pilot will begin in early 2018
- Pilot will only be available for non-collaborative research, full proposals that do not require any solicitation specific supplementary documents
- 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 September 7, 2017". The slide also includes the NSF logo and the text "National Science Foundation OFFICE OF INFORMATION & RESOURCE MANAGEMENT". The video player controls at the bottom show a play button, a progress bar at 0:03 / 1:09:06, and various settings icons.

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



PROPOSAL & AWARD POLICY NEWSLETTER

- Quarterly newsletter
- Stay abreast of policy and procedural developments
- Next edition will be November/December

ISSUE II ■ MAY/JUNE ■ 2017 NATIONAL SCIENCE FOUNDATION

Proposal & Award Policy Newsletter

What's Inside

- NSF Pilots a New Collaborator and Other Affiliations Template
Page 1
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Page 4
- ERA Forum Information
Page 5

NSF Pilots a New Collaborator and Other Affiliations Template

Last month NSF began piloting a new format for submitting *Collaborators and Other Affiliations Information* in FastLane. Proposers are required to include collaborators and other affiliations information for principal investigators (PIs), co-PIs and other senior project personnel. NSF uses this information to manage reviewer selection.

The pilot standardizes the collection of this data across the Foundation and ensures that the information is submitted in a searchable format. This reduces the burden on NSF program staff who currently must spend time manipulating non-searchable files. Likewise, for the community, proposers can rest assured knowing that their format is acceptable to NSF.

The new format requires PIs, co-PIs and other senior project personnel who are identified on the proposal to individually upload their *Collaborators and Other Affiliations Information* as a Single Copy Document which are only seen by NSF staff and not by reviewers.

Proposers will be directed to the new spreadsheet template while in FastLane. The template is fillable, and the content and format requirements must not be altered by the user. Proposers should not convert the file to PDF format prior to submitting the proposal to NSF, rather it should be completed and saved in .xlsx or .xls format to ensure preservation of searchable text, and uploaded into FastLane as a Single Copy Document. Using any other file format may delay the timely processing and review of the proposal.

The template has been tested in Microsoft Excel, Google Sheets and LibreOffice.

In addition to benefiting the merit review process, this template provides a compliant and reusable format for PIs to maintain

Continued on page 3

Contact
Contact the Policy Office 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 Earth Sciences – one of the many research and education areas funded by NSF. SOURCE: nsf.gov/news/mmg

NSF GRANTS CONFERENCE

- November 13-14 in Phoenix, AZ
 - Proposal Preparation
 - Merit Review Process
 - Award Management
 - Proposal & Award Policy Update
 - NSF CAREER Program Overview
 - Breakout sessions by NSF Directorate
- Webcast the plenary sessions at no cost!
- Spring 2018 conference will be June 5-6 in Detroit, MI



To learn more visit <https://nsfgrantsconferences.com/>

FOR MORE INFORMATION



Ask Early, Ask Often!

nsf.gov/staff

policy@nsf.gov

