Office of Sponsored Research

NSF Proposal and Award Guide Update

ABC Meeting
December 15, 2014

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NSF’s PAPPG Changes & Clarifications

New NSF GUIDE (NSF 15-1) takes effect for proposals submitted or due on or after, December 26, 2014
Failure to submit LOI (letter of intent) when required will result in rejection of proposal

Cover sheet limits *International Activities Countries* section to maximum of 5 countries

Project description needs to include a separate section labeled: “Broader Impacts of the Proposed Work”
Significant Changes

➢ *Special exceptions* to NSF’s Deadline Date Policy due to *inclement weather*

- Prior approval required
- Typical approval timeframe will be 5 days
Significant Changes

- Budget justification limited to **3 pages** for proposing organization and each subawardee

- Requests for senior personnel salaries in **excess of 2 months** must be:
  - included in proposal budget and budget justification
  - approved in the award notice budget
Biographical Sketch(es)

- Professional Preparation. The location of the individual's undergraduate, graduate and postdoctoral institution(s) must be provided.
- Other personnel biographical information should be included in the bio-sketches section of the proposal if needed.
- Total number for each of these sections is required:
  - collaborators and co-editors
  - graduate advisors and postdoctoral sponsors
  - thesis advisors and post-graduate scholar sponsors
Results from Prior NSF Support

- Listing of publications needs to include a complete bibliographic citation for each publication in:
  - the *Results from Prior NSF Support* section
  - or
  - in the *References Cited* section of the proposal
Letters of commitment now called letters of collaboration

- They should be limited to stating the intent to collaborate and **should not contain endorsements or evaluation** of the proposed project
- Proposals that are not consistent with the instructions in this section **will be returned without review**
Clarifications

Proposals for conferences

- NSF funds cannot be spent for meals and coffee breaks for intramural meetings of an organization or any of its components as a direct cost

- Program income: Registration fees collected for NSF supported conferences are considered program income
Clarifications

➢ Proposals for equipment
  ▪ References cited section no longer required
  ▪ Facilities, Equipment and Other Resources section needs to include a brief description of other support services available

➢ Proposal for Supplemental Funding
  ▪ Mentoring plan required if a post-doc is now included but was not supported in the original proposal
    • Include in other supplementary documents section
A proposal WILL NOT be accepted or WILL be returned without review by NSF for the following reasons:

The proposal:

- does not meet NSF proposal preparation requirements, such as page limitations, formatting instructions, and electronic submission, as specified in the *Grant Proposal Guide*, the *NSF Grants.gov Application Guide* or program solicitation

- is submitted with insufficient lead-time before the activity is scheduled to begin

- is a full proposal that was submitted by a proposer that has received a "not invited" response to the submission of a preliminary proposal

- is a duplicate of, or substantially similar to, a proposal already under consideration by NSF from the same submitter
All travel (domestic and international) requires a detailed justification

Travel to Mexico and Canada changed from domestic to foreign

Travel support for dependents of key personnel allowable when duration is 6 months or more

- It has to be approved by NSF in the proposal budget or by written approval from NSF Grants Officer
Participant Support Costs

- Participant Support costs other than stipends, travel allowances and registration fees (such as incentives, gifts, souvenirs, t-shirts and memorabilia) must be justified in the budget justification.
- Closely scrutinized by NSF.
- Re-budgeting out of these costs requires prior NSF written approval.
Changes from NSF and the Uniform Guidance
Materials and Supplies: Computing Devices

*From the Uniform Guidance and NSF:*

- Charging as a direct cost is allowable for devices that are *essential* and *allocable*, but not *solely dedicated*, to the performance of the NSF Award.
- Budget justifications may be used at the discretion of the principal investigator.
- Inventory tags may be affixed to computing devices at the discretion of the department; inventory tagging facilitates accountability, availability for reuse, and appropriate disposal.
Administrative and Clerical Salaries

From the Uniform Guidance and NSF

- **Four conditions** need to be explicitly met and described in the **budget justification**:

  1. Administrative or clerical salaries are **integral** to a project or activity
     - the requirement that the cost is “integral” means the services are essential, vital, or fundamental to the project or activity
  2. Individuals involved can be **specifically identified** with the project or activity
  3. Such costs are **explicitly included** in the approved budget or have the prior written approval of the cognizant NSF Grants Officer
  4. The costs are **not** also **recovered as indirect costs**
Indirect Costs

From the Uniform Guidance and NSF:

- Subawardees (including foreign) without a federally negotiated rate can now charge 10% indirect costs on modified total direct costs
Visa Costs

From the Uniform Guidance and NSF:

- Short-term, travel visa costs (as opposed to longer-term, immigration visas) can be proposed as a direct cost. Since short-term visas are issued for a specific period and purpose, they can be clearly identified as directly connected to work performed.

- For these costs to be directly charged to a Federal award, they must be:
  - critical and necessary for the conduct of the project
  - allowable under the applicable cost principles.

- Basic visa application and required fees, such as anti-fraud fees, are allowable direct costs provided they meet the definition above.

- Premium processing fees, dependent form fees, or Stanford internal processing fees are NOT allowable as direct charges to a federal award.
Memberships

**From the Uniform Guidance:**

- Costs are unallowable
  - Do not propose or charge individual memberships (business, technical or professional)
Cost Sharing

NSF:

- Voluntary cost sharing is prohibited
- Mandatory cost sharing allowed for when explicitly authorized by the NSF Director, the National Science Board, or legislation

Uniform Guidance:

- Cost sharing may not be a factor in the review process unless it is both in accordance with federal awarding agency regulations and specified in the notice of funding opportunity.
Let’s Look at a New Tool

Uniform Guidance: Concepts that are changing:

- [https://doresearch.stanford.edu/uniform-guidance-concepts-are-changing](https://doresearch.stanford.edu/uniform-guidance-concepts-are-changing)
Questions?