NATIONAL SCIENCE FOUNDATION
UPDATE 2018

DECEMBER 18, 2017

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FY 2018 BRINGS LESS MONEY FOR FUNDING
PAPPG IMPLEMENTATION

- New NSF PAPPG (NSF 18-1) becomes effective for proposals submitted or due, or awards made, on or after January 29, 2018
- Further refinement to align with the Uniform Guidance
PAPPG SIGNIFICANT CHANGES

• Alignment with UG by changing the Universities and Colleges eligibility section to Institutions of Higher Education

• Proposing work at an international branch campus of a U.S. Institution of Higher Education requires special justification to be included in the Project Description:

  1. Explain the benefit(s) of performing (part or all) of the project at the international campus
  2. Justify why the proposed activities cannot be performed at the U.S. Campus
PAPPG SIGNIFICANT CHANGES

• Revised standards for foreign organization eligibility
  • NSF rarely provides funding support to foreign orgs.
  • Foreign organization inclusion (via subaward or consultant arrangements) in a proposal requires a justification in the Project Description that includes:

  1. An explanation as to why local support is not feasible
  2. and why the foreign organization can carry out the activity more effectively

  3. Meeting one or more of the following criteria
PAPPG SIGNIFICANT CHANGES

- The foreign organization contributes a unique organization, facilities, geographic location and/or access to unique data resources not generally available to US 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.
PAPPG SIGNIFICANT CHANGES

• Budget justification has been increased from three-page limit to five-page limit

• Senior Personnel Salaries & Wages Policy has been supplemented with guidance that reflects it is the proposing organization’s responsibility to define and apply the term “year” and include the definition in the budget justification

Stanford University’s fiscal year runs from September 1st through August 31st. Calendar effort is committed during this same period for faculty and other senior personnel. For faculty on an academic appointment, effort committed can include effort during the academic year (October 1st through June 30) and/or during the summer (July 1st through September 30th).
PAPPG SIGNIFICANT CHANGES

- Full implementation of current pilot on Collaborators and Other Affiliations (COA) template

  - COA template is fillable
  - TIPS:
    - do not alter the content or format
    - Save as .xlsx or .xls file only
    - Exception: save as .txt if there are >10 Senior Key Personnel listed
  - New footnotes have been added to address frequently asked questions
  - Template link: https://www.nsf.gov/bfa/dias/policy/coa.jsp
• New Header requirement in the Project Description: Specifies that the Project Description must contain, “as a separate section within the narrative, a section labeled “Intellectual Merit”

• Results from Prior NSF Support: Clarification 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

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

Updated Vertebrate Animals Coverage

• PAPPG 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: OTHER POSTAWARD REQUIREMENTS AND CONSIDERATIONS

**Intellectual Property**

- Disclosure of inventions has to be done electronically via the iEdison System

- NSF now reserves the option to request an Annual Utilization Report or a Final Invention Statement and Certification
Life Sciences Dual Use Research of Concern (DURC)

- New language has been added regarding NSF funded research with certain high-consequence pathogens and toxins to align with the *U.S. Government Policy for Institutional Oversight of Life Sciences DURC* ([https://www.phe.gov/s3/dualuse/ Documents/durc-policy.pdf](https://www.phe.gov/s3/dualuse/Documents/durc-policy.pdf))

- NSF will not consider funding research that would lead to a gain of function for agents of concern
Notifications and Requests

- Exhibit VII-I, Grantee Notifications and Requests for Approval has been removed from the PAPPG and instead:
  - Grantee Notifications are now included in Chapter VII
  - Requests for Approval are in the Research Terms and Conditions, Appendix A
# Research Terms & Conditions

## Appendix A – Prior Approvals Matrix

### Research Terms and Conditions Appendix A

Prior Approval Matrix

**October 1, 2017**

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### Program Income

- Use of program income during the period of performance (additive method).

**:200.467(j)** | Waived | Waived | Waived | Waived | Waived | Waived | Waived |

### Revision of Budget and Program Plans

- Change in the scope or the objective of the project or program.
  - **200.368(a)**: Required
- Change in PIPD specified in the application of Federal award.
  - **200.368(b)**: Required
- Disenrollment from the project for more than three months, or a 25 percent reduction in time devoted to the project by the approved PIPD.
  - **200.368(c)**: Required
- Inclusion, unless waived, of costs that require prior approval in accordance with Subpart E—Cost Principles.
  - **200.368(d)**: Required
- Transfer of funds budgeted for participant support costs to other categories of expense.
  - **200.368(e)**: Required
- 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.
  - **200.368(f)**: Required
- Changes in the approved cost-sharing or matching provided by the non-Federal entity.
  - **200.368(g)**: Required
- Need for additional Federal funding to complete the project.
  - **200.368(h)**: Required
- Incur project costs 90 calendar days before the Federal awarding agency makes the award.
  - **200.368(i)**: Waived
- Incur project costs more than 90 calendar days pre-award.
  - **200.368(j)**: Required
- Initiate a one-time extension of the period of performance by up to 12 months.
  - **200.368(k)**: Waived
- Subsequent non-cost extension or extension of more than 12 months.
  - **200.368(l)**: Waived
- Carry-forward of unexpended balances to subsequent funding periods.
  - **200.368(m)**: Waived
- Transfer amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa.
  - **200.368(n)**: 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.
  - **200.368(o)**: Waived
- Transfer of funds between construction and non-construction activities.
  - **200.368(p)**: Required

### Real Property

- Encumber real property acquired with Federal funds.
  - **200.407(a)**: Required
- Transfer of title to the Federal awarding agency or to a third party.
  - **200.311(b)**: Required

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Note: The table continues with similar entries for various conditions and requirements, each with corresponding references and conditions.
• New Guidance for Natural Disasters Website + Existing NSF Policy in PAPPG, Chapter I.F.
  • Special Exceptions to NSF’s Deadline Date Policy: NSF permits extension of the deadline by up to five business days at the discretion of the cognizant NSF Program Officer
  • Process in place to submit proposals after the NSF deadline:
    ▪ Seek and get written (preferred) or verbal guidance for the NSF Program Officer. If written, upload approval as single copy document
    ▪ Check the “special exception to the deadline policy” box in Cover Sheet
    ▪ Upload single copy document with a justification of the nature of the impacting event
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.
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**
• 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

• 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

https://www.youtube.com/watch?v=tbU5agcTe10&feature=youtu.be
Create New Proposal

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

- 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

- Inline edit of the title
- 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
### Senior Personnel Documents

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<tr>
<td>Shiferaw Berhanu</td>
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• Immediate feedback on compliance of all documents that are uploaded to the system
All totals are dynamically summed and the total amount is placed on the cover sheet.

Multiple years displayed on one screen.
PAPPG SIGNIFICANT CHANGES

OVERDUE REPORTS

CONSEQUENCES OF NOT SUBMITTING REPORTS ON TIME INCLUDE:

• For PIs:
  • no future funding for the PI and all associated co-PIs
  • Also no administrative functions can be performed on awards that have overdue reports, e.g., a no cost extension

• For the institution:
  • Awards to institutions with project reports >2 years overdue will be reported to Congress, in accordance with the GONE Act. NSF will issue letters informing institutions of awards that fall into this category
All the documents referenced in this presentation can be found [here](#).

This presentation can be found [here](#).

Additional questions? Contact us:

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Phone: 650-725-9830

Zoom: [https://stanford.zoom.us/my/cverduca](https://stanford.zoom.us/my/cverduca)