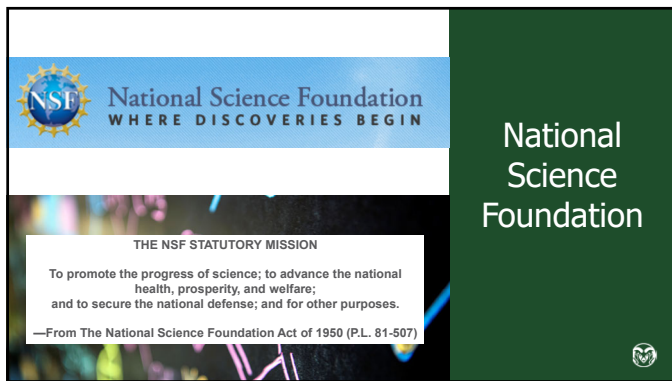




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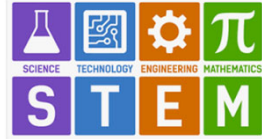


3

About

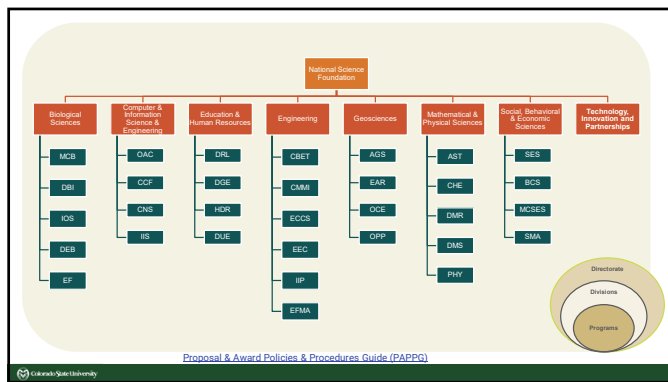
NSF

- Independent federal agency
- Supports basic research in STEM disciplines
- Organized by Directorates and Divisions



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Proposal & Award Policies & Procedures Guide (PAPPG)

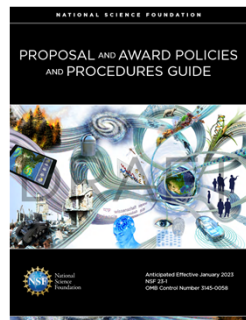
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General Guidance

NSF

- [Proposal & Award Policies & Procedures Guide \(PAPPG\)](#)
- 2 CFR 2500-2599 DHHS



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Upcoming PAPPG changes

- **January 2023**
- Fastlane will be largely decommissioned by the time the new PAPPG is incorporated.
- Broad Agency Announcements (BAA) have been added as a new type of funding opportunity for NSF.
 - Proposals under a BAA will be able to use the new Broad Agency Announcement Management (BAAM) Site as well as Research.gov, and Grants.gov for submission.
 - BAAM – valid Login.gov account required
- Submission of a Concept Outline will be required prior to submission of a Planning Proposal, a RAPID Proposal, an EAGER Proposal, and a RAISE Proposal. Will gauge the appropriateness for program type or solicitation.
 - Submitted via Program Sustainability and Proposal Concept Tool (ProSPCT) – valid Login.gov account required.

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Upcoming PAPPG changes, continued

- Use of SciENcv will be mandatory for required Biographical Sketches and Current and Pending documents.
- Updated Current and Pending documents are required at the proposal stage, *prior to a new award*, and as part of the annual and final reporting process.
- Senior Personnel will have to certify in SciENcv that their Biographical Sketches and Current and Pending documents are accurate, current, and complete in order to comply with the FY 2021 National Defense Authorization Act (NDAA).
- New Supplementary Document – Plan for Safe and Inclusive Field/Vessel/Aircraft Research (PSI-FVAR) – if applicable.
- New checkboxes on coversheet for Potential Life Sciences Dual Use Research of Concern (DURC) and (PSI-FVAR) above.
- New section on Research Security.



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NSF eRA Systems



- NSF Account Management
- Login for all systems
- Pilot Proposal Functions



- Proposal Functions: Submission, Revise Submitted Budget, and Proposal Final Update
- Award Documents
- Award Functions: ~~Requests~~ for Supplemental Funding, New Subawards



- All Project Reporting
- ~~Requests~~ for Change in PI, Change in Scope, No-Cost Extensions, Budget Deviations that require prior approval
- FUTURE: All proposal and award related actions

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Deciphering NSF application/grant numbers

Application #: NSF 18-585

- 18 = 2018

Award #: DEB-2115719


- Division of Environmental Biology



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Funding Opportunity Examples


- **CAREER: Faculty Early Career Development Program**
 - NSF 20-525
 - Eligibility: Tenure-Track faculty
 - Limit: Only 3 submissions allowed in PI's career
- **MRI: Major Research Instrumentation Program**
 - NSF 18-513
 - Equipment Development or Equipment Acquisition
 - Limit: only 3 per organization
- **REU: Research Experience for Undergraduates**
 - NSF 19-582
 - Site Proposal or Supplement Proposal
 - Support for Undergraduates is considered Participant Support



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Proposal Types

- Letter of Intent
- Preliminary Proposal
- Full Proposal
- Renewal Proposal
- Accomplishment-Based Renewal Proposal




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NSF Budgets

2 Month Rule

- As a general policy, NSF limits salary compensation for senior project personnel to no more than two months of their regular salary in any one year. This limit includes salary compensation received from all NSF-funded grants.
- If anticipated, any compensation for such personnel in excess of two months must be disclosed in the proposal budget, justified in the budget justification, and must be specifically approved by NSF in the award.
- Under normal rebudgeting authority, a grantee can internally approve an increase or decrease in person months devoted to the project after an award is made, **even if doing so results in salary support for senior personnel exceeding the two-month salary policy**. No prior approval from NSF is necessary unless the rebudgeting would cause the objectives or scope of the project to change. NSF prior approval is necessary if the objectives or scope of the project change.



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NSF Budgets

Participant Support

- Costs of transportation, per diem, stipends, and other related costs for participants or trainees (but generally not employees) in connection with NSF-sponsored conferences, meetings, symposia, training activities, and workshops.
- Cost going directly to the novice participant; does not include items such as: Speaker Costs, Catering Costs, Room rentals, etc.
- Payment to research subjects is NOT participant support

Cost Share

- Prohibited by NSF – should not be indicated in Statement of Work, Budget, Budget Justification, Facilities and other Resources, or Letters of Collaboration. Deviation from federally negotiated rate agreement is considered Cost Share and not allowed by NSF (this includes investigator effort and voluntary F&A waivers)
- Required only for select specific program solicitations (e.g., MRI Program)



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NSF Required Docs at Proposal

Collaborators and Other Affiliations

- Key personal document that allows NSF to determine potential conflicts of interest when selecting reviewers. Within the past 2 years, this has moved out of the Biosketch and into an excel document.

Post-Doc Mentoring Plan

- System requires if salary support has been indicated for Post-Doc within budget section of proposal.

Letters of Collaboration

- Must not include "supportive" language. Only statements of intent to collaborate or commit resources is allowed.

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NSF Required Docs at Proposal

Biosketch, C&P, or Facilities and Other Resources?

NSF Pre-award and Post-award Disclosures⁽¹⁾⁽²⁾
 Relating to the Biographical Sketch and Current and Pending Support
 April 20, 2022

Table 101
 * For new requests only
 † If indicated at the time of proposal submission

Type of Activity	Biographical Sketch	Current & Pending Support	Facilities, Equipment & Other Resources	Progress Reports	Post-Award Information: Change & Extension	Disclosures Not Required
Undergraduate, graduate, and postdoctoral training, including teaching assistantships and fellowships and other support	✓					
Academic, professional or institutional appointments, whether or not compensation is received, such as sabbaticals, leave, or other support	✓					
All projects including the proposed activity, under consideration from whatever source, and all ongoing projects, irrespective of whether support is provided through the proposing organization, in either proposed or direct to the individual		✓		✓	✓	
Individuals who have been or will be used in the project to conduct research			✓			

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NSF Proposal Assurances

By electronically signing the certification pages the Authorized Organizational Representative is certifying that...

- Certification Regarding Conflict of Interest
 - The organization has implemented and is enforcing a written policy on conflicts of interest (COI); all financial disclosures required by the conflict of interest policy were made; and that conflicts of interest, if any, were, or prior to the organization's expenditure of any funds under the award, will be, satisfactorily managed, reduced or eliminated in accordance with the organization's conflict of interest policy.
- Certification Regarding Responsible Conduct of Research (RCR)
 - In accordance with the NSF Proposal & Award Policies & Procedures Guide, Chapter IX.B., the institution has a plan in place to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students and postdoctoral researchers who will be supported by NSF to conduct research. The AOR shall require that the language of this certification be included in any award documents for all subawards at all tiers.

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NSF Proposal Assurances

By electronically signing the certification pages the Authorized Organizational Representative is certifying that...

- Certification Dual Use Research of Concern (DURC)
 - The organization will be or is in compliance with all aspects of the United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern.



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NSF Proposal Highlights

- Intellectual Merit and Broader Impacts are the two main review criteria. As such separate descriptions for each are required in the Summary, Project Description, and section for Prior NSF Results.
- NSF uses Target dates for some programs
- NSF uses Preliminary Proposals for some programs (Biological Directorate)
- Additional forms for some programs
- Two different supporting mechanisms for Collaborative proposals (Sub vs Linked)
- Clear guidance for participant support and cost-share

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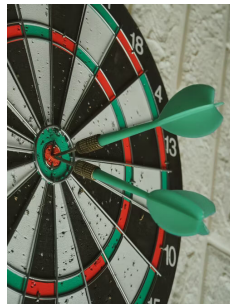
NSF Merit Review



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Scoring

- E = Excellent
- V = Very good
- G = Good
- F = Fair
- P = Poor
- Hybrid = V/G/G





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FAPIS

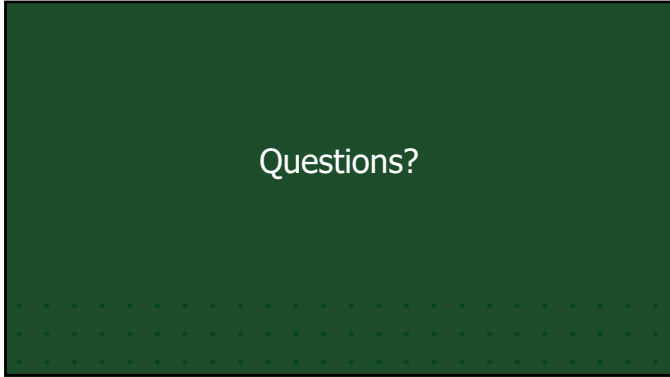
- **Federal Awardee Performance and Integrity Information System**
 - Suspension/Debarment Information
 - Material Failure to Comply

2 CFR 200.339 : Enter report in FAPIS when agency terminates award prior to end of period of performance due to grantee's material failure to comply with federal award terms and conditions

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Questions?



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Resources

- National Science Foundation: <https://www.nsf.gov/>
- PAPPG: https://www.nsf.gov/publications/pub_summ.jsp?ods_key=pappg
- Research.gov: <https://www.research.gov/research-web/>
- Broad Agency Announcement Management Site – BAAM: <https://baam.nsf.gov>
- Program Suitability & Proposal Concept Tool – ProSPCT: <https://suitability.nsf.gov>
- YouTube Tuesday – NSF Proposed PAPPG Revisions, Part I, Jean Feldman NSF - <https://www.youtube.com/watch?v=HINpshHxNTI>
- YouTube Tuesday – NSF Proposed PAPPG Revisions, Part II, Jean Feldman NSF - <https://www.youtube.com/watch?v=OKppnyJQ5o0>
- YouTube Tuesday - NSF Proposed PAPPG Revisions, Part III, Jean Feldman NSF - <https://www.youtube.com/watch?v=8s09xs9lebo>



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Resources, con't

- RAO Office Limited Submission via InfoReady Review - <https://www.research.colostate.edu/rao/limited-submissions/>
- NCE Request Form: <https://www.research.colostate.edu/osp/forms/>
- Participant Support Costs Self-Assessment Checklist - https://www.nsf.gov/bfa/dias/resources/Participant_Support_Costs_Self-Assessment_Tool_Interactive.pdf
- NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending Support: https://www.nsf.gov/bfa/dias/policy/disclosures_table.jsp
- Research Terms and Conditions Schedule A- Prior approval matrix - https://www.nsf.gov/bfa/dias/policy/rdct/appendix_a.pdf
- FAPIS: <https://www.fapis.gov>
- Uniform Guidance 2 CFR 200.206 Federal awarding agency review of risk posed by applicants: <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-C/section-200.206>

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Thank you for Attending!

- Next Session options: 2:15-3:15 PM MT
- Dive into Effort on Sponsored Projects
 - Participant Support or Incentive Payments?
 - NIH - Belaying the Basics and Beyond

Please remember to do the 1-Minute Feedback survey in your email!



RAM SYMPOSIUM

OCTOBER 13, 2022



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