TOPICS
• NSF Budget Update
• PAPPG Significant Changes
• Policy FAQs
• NSF Important Notice on Harassment
• Account Management Changes
• Proposal Submission Modernization
• NSF Outreach
NSF BUDGET

• FY 2018 Appropriation
  ▪ Approved on March 22\textsuperscript{nd} for $7.7 billion or 3.9% above the FY 2017 level

• FY 2019 Request
  ▪ $7.4 billion or $32 million below the FY 2017 level
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
  ▪ Solicitations can add more restrictive language
PAPPG SIGNIFICANT CHANGES (CONT’D)

• 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
  - More expansive FAQs are available at:

• 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...”
• 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.
• 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.
# Research Terms & Conditions

## Appendix A – Prior Approvals Matrix

<table>
<thead>
<tr>
<th>Prior Written Approval (prior approval)*</th>
<th>Reference</th>
<th>RTC Overlay</th>
<th>NSF</th>
<th>DOE</th>
<th>NIH</th>
<th>USDA NIFA</th>
<th>DOC</th>
<th>NASA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use of grant agreements (including fixed amount awards), cooperative agreements, and contracts</td>
<td>200.457</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
</tr>
<tr>
<td>Changes in principal investigator (PI), project leader, project partner, or scope of effort.</td>
<td>200.201(b)(5)</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>Use of unrecovered indirect costs, including indirect costs on cost sharing or matching.</td>
<td>200.306(c)</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>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.</td>
<td>200.306(d)(2)</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>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.</td>
<td>200.306(n)(2)</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
</tr>
<tr>
<td>Program Income</td>
<td>Use of program income during the period of performance (additive method).</td>
<td>200.307(a)(2)</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>Revision of budget and program plans</td>
<td>Change in the scope or the objective of the project or program.</td>
<td>200.308(a)(1)(i)</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
</tr>
<tr>
<td>Change in PI/PD specified in the application or Federal award.</td>
<td>200.308(c)(1)(iii)</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
</tr>
<tr>
<td>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.</td>
<td>200.308(c)(1)(iii)</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
</tr>
<tr>
<td>Inclusion, unless waived, of costs that require prior approval in accordance with Subpart E – Cost Principles.</td>
<td>200.308(c)(1)(iv)</td>
<td>Required</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>Transfer of funds budgeted for participant support costs to other categories of expense.</td>
<td>200.308(c)(1)(v)</td>
<td>Required</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>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.</td>
<td>200.308(c)(1)(vi)</td>
<td>Required</td>
<td>Required</td>
<td>Waived</td>
<td>Required</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>Changes in the approved cost-sharing or matching provided by the non-Federal entity.</td>
<td>200.308(c)(1)(vii)</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>Need for additional Federal funding to complete the project.</td>
<td>200.308(c)(1)(viii)</td>
<td>Required</td>
<td>Required</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>Incur project costs 90 calendar days before the Federal awarding agency makes the award.</td>
<td>200.308(d)(1)</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>Incur project costs more than 90 calendar days pre-award.</td>
<td>200.308(d)(1)</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>Initiate a one-time extension of the period of performance by up to 12 months.</td>
<td>200.308(d)(2)</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>Subsequent no-cost extension or extension of more than 12 months.</td>
<td>200.308(d)(3)</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>Carry-forward of unexpended balances to subsequent funding periods.</td>
<td>200.308(d)(4)</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>Transfer amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa.</td>
<td>200.308(d)(4)</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>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.</td>
<td>200.308(d)(5)</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
<td>Waived</td>
</tr>
<tr>
<td>Transfer of funds between construction and non-construction activities.</td>
<td>200.308(q)(15)</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
</tr>
<tr>
<td>Real Property</td>
<td>Encumber real property acquired with Federal funds.</td>
<td>200.311(b)</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
</tr>
<tr>
<td>Transfer of title to the Federal awarding agency or to a third party.</td>
<td>200.311(c)(3)</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
<td>Required</td>
</tr>
</tbody>
</table>
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. These costs should be included on line G6 Other Direct Costs.

• 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. These costs should be included on line G6 Other Direct 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.
IMPORTANT NOTICE 144 ON HARASSMENT

NSF has developed a new draft award term and condition that will require organizations to notify NSF:

• 1) of any findings/determinations regarding the PI or any co-PI
• 2) if the awardee places the PI, or any co-PI on administrative leave
• Such notification must be submitted by the Authorized Organization Representative via email to NSF’s Office of Diversity and Inclusion at: harassmentnotifications@nsf.gov within seven business days from the date of the finding/determination or the awardee’s placement of the PI or co-PI on administrative leave.
IMPORTANT NOTICE ON HARASSMENT (CONT’D)

• Awardee findings/determinations and placement on administrative leave during investigation must have been conducted in accordance with organizational processes and policies that are consistent with federal law and regulation. See, e.g., NSF Research Terms and Conditions, Appendix C.
  - NSF will solicit feedback on this new award term and condition through the Federal Register (FR) process. The community will have 60 days to comment. Published in the FR on Monday, March 5th.

• Harassment-Free Research Workplaces
  - NSF expects all awardee organizations to establish and maintain clear and unambiguous standards of behavior to ensure harassment-free workplaces

• Enhanced Web Resources
  - NSF recently launched a dedicated web portal to consolidate policies and procedures, promising practices, and frequently asked questions relating to sexual and other forms of harassment.
  - Visit www.nsf.gov/harassment
MODERNIZING ACCOUNT MANAGEMENT

• NSF has modernizing its 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.

• The new functionality was launched in March 2018 in Research.gov.

• Initial release is for PIs, SPOs, AORs, Administrators, ACM$ users and GRFP Coordinating and Financial Officials

• As of March 26th, existing users will be migrated to the new system and will confirm their account information

• Video tutorials and FAQs now available in Research.gov
MODERNIZING ACCOUNT MANAGEMENT

Account Registration

- NSF Proposal & Award Policies & Procedures Guide (PAPPG) specifies that each individual user of NSF systems should not have more than one NSF ID. (Chapter I.G.4 NSF ID)

- Required Fields
  - Prefix
  - * First Name
  - Middle Name
  - * Last Name
  - Suffix

- Alternate Name(s) Nickname, maiden name, etc.

- * Primary Email
- * Confirm Primary Email

- Secondary Email
- Confirm Secondary Email

- ORCID iD 16 digits in 1234-1234-1234-1234
- Phone Number

- I'm not a robot
- reCAPTCHA

- * I confirm that I am at least 13 years of age.

- Save & Preview
- Cancel
MODERNIZING ACCOUNT MANAGEMENT

Add a New Role
MODERNIZING ACCOUNT MANAGEMENT

Administrator’s Dashboard

View My Users

Welcome to the View My Users page. Here you can:
- Manage existing user roles for your organization
- Approve pending role requests
- Add new users to your organization

For help and more information go to the About Account Management page

Pending Role Requests

<table>
<thead>
<tr>
<th>Name</th>
<th>Role</th>
<th>Organization Name</th>
<th>Work Email</th>
<th>Date Requested</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACMSTest</td>
<td>Alternate Coordinating Official</td>
<td>IDAHO FRESH COOPERATIVE INC</td>
<td><a href="mailto:anotheracms@acms.edu">anotheracms@acms.edu</a></td>
<td>01/24/2018</td>
<td>Approve</td>
</tr>
</tbody>
</table>

Manage User Roles

<table>
<thead>
<tr>
<th>Name</th>
<th>Organization Name</th>
<th>Work Phone</th>
<th>Work Email</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Claude Elton</td>
<td>IDAHO FRESH COOPERATIVE INC</td>
<td></td>
<td>@ct.com</td>
<td>Manage Roles</td>
</tr>
</tbody>
</table>

Role(s) Date Added

<table>
<thead>
<tr>
<th>Role(s)</th>
<th>Date Added</th>
</tr>
</thead>
<tbody>
<tr>
<td>Awardee Preparer</td>
<td>01/31/2018</td>
</tr>
<tr>
<td>Principal Investigator / co-Principal Investigator (PI)</td>
<td>01/15/2018</td>
</tr>
</tbody>
</table>

Add User

Show 5
Filler Results

[Image of the Research.gov Administrator’s Dashboard]
MODERNIZING ACCOUNT MANAGEMENT

Migrating Existing Users

Verify Your Information

NSF is updating its account management system and we need you to verify your account information. This is a one-time process.

On the next screen, you will be asked to review your account’s primary email address and phone number.

If you have questions, please contact the NSF IT Help Desk at 1-800-381-1532 or rgov@nsf.gov.

Verify Your Information

Please verify your primary email address and phone number. After this one time verification process, you will be able to make future updates to this account information in My Profile.

Charles A Bobrow-Strain (NSF ID: 000300002)

Required

- Primary Email
  - cabs@socrates.berkeley.edu
  - 5555555555

Next
PROPOSAL SUBMISSION MODERNIZATION (PSM)

• 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.

• As of **February 26, 2018**, NSF is previewing the new Research.gov proposal preparation interface to the community for feedback and for a chance to get used to the new environment.

• Beginning **April 30, 2018**, proposers will be able to prepare and submit non-collaborative research proposals in Research.gov
PSM FEBRUARY AND APRIL RELEASES

• The preview period will allow PIs to:
  ▪ Initiate proposal
  ▪ Add Co-PIs, Senior Personnel, and Other Authorized Users
  ▪ Upload required proposal documents
  ▪ Create budget
  ▪ Check compliance
  ▪ Enable SPO/AOR access for review

• In April, the initial release will allow submission of Full, Research non-collaborative proposals, enabling the following features:
  ▪ AOR Submission
  ▪ Proposal File Update & Budget Revision

• Subsequent releases will enable additional features
PROPOSAL SUBMISSION MODERNIZATION

Create New Proposal Wizard

- User chooses the applicable proposal type
- The choices shown here will be customized to the funding opportunity based on enhancements to PIMS that will be made in FY18-FY19

- Indicator shows required proposal setup process steps that addresses current frustrations with the FastLane Cover Sheet module
PROPOSAL SUBMISSION MODERNIZATION

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

**Proposal Sections**

<table>
<thead>
<tr>
<th>Required</th>
<th>Last Updated</th>
<th>Compliance Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cover Sheet</td>
<td></td>
<td>Not checked</td>
</tr>
<tr>
<td>Project Summary</td>
<td></td>
<td>Not checked</td>
</tr>
<tr>
<td>Project Description</td>
<td></td>
<td>Not checked</td>
</tr>
<tr>
<td>References Cited</td>
<td></td>
<td>Not checked</td>
</tr>
<tr>
<td>Data Management Plan</td>
<td></td>
<td>Not checked</td>
</tr>
<tr>
<td>Postdoctoral Mentoring Plan</td>
<td>Conditionally required</td>
<td>Conditionally required</td>
</tr>
<tr>
<td>Senior Personnel Documents</td>
<td></td>
<td>Not checked</td>
</tr>
<tr>
<td>Facilities, Equipment and Other Resources</td>
<td></td>
<td>Not checked</td>
</tr>
<tr>
<td>Budget(s)</td>
<td></td>
<td>Not checked</td>
</tr>
<tr>
<td>Budget Justification(s)</td>
<td></td>
<td>Not checked</td>
</tr>
</tbody>
</table>

**Optional**
- Other Personnel Biographical Information
- List of Suggested Reviewers
- List of Reviewers Not to Include

**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

- 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
**PROPOSAL SUBMISSION MODERNIZATION**

The image shows a screenshot of the Research.gov platform, specifically the Senior Personnel Documents section. The screenshot includes a list of personnel documents with details such as names, roles, organizations, last updated dates, and compliance statuses.

**Example of the table:***

<table>
<thead>
<tr>
<th>Personnel Name</th>
<th>Role</th>
<th>Organization</th>
<th>Last Updated</th>
<th>Compliance Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mollie K Hodge</td>
<td>Principal Investigator</td>
<td>KANSAS STATE UNIVERSITY</td>
<td>10/18/2016</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>No issues found</strong></td>
</tr>
<tr>
<td>Shiferaw Berhanu</td>
<td>co-Principal Investigator</td>
<td>TEMPLE UNIVERSITY-OF THE COMMONWEALTH SYSTEM OF HIGHER EDUCATION</td>
<td>10/22/2016</td>
<td><strong>Error(s)</strong></td>
</tr>
</tbody>
</table>

The screenshot also includes a navigation menu with options such as "My Desktop," "Prepare & Submit Proposals," "Awards & Reporting," and "Manage Financials."
Immediate feedback on compliance of all documents that are uploaded to the system.
PROPOSAL SUBMISSION MODERNIZATION

- Multiple years displayed on one screen
- All totals are dynamically summed and the total amount is placed on the cover sheet
- Rows expand and collapse for easy navigation
- Multiple years displayed on one screen
PROPOSAL SUBMISSION MODERNIZATION

• Preview began February 26, 2018
• Launch April 30th will be available for non-collaborative research, full proposals
• Future releases will enable other proposal types and features
PAPPG UPDATE WEBINAR

https://nsfgrantsconferences.com/2017/12/14/pappg-update-webinar/
• Quarterly newsletter

• Stay abreast of policy and procedural developments
• Spring 2018 conference is full
• Fall 2018 conference will be held in New Orleans
• Click “Get Notified” for reminders about registration and other conference and outreach opportunities
Ask Early, Ask Often!

policy@nsf.gov