

Office of Sponsored Programs (OSP) Roundtable

The National Science Foundation Proposal and Award Policies and Procedures Guide

Tammy Custer, Grant and Contract Officer/Research Administration Systems Specialist
Office of Sponsored Programs







What is the PAPPG?

- The Proposal & Award Policies & Procedures Guide (PAPPG) is comprised of documents relating to NSF's proposal and award process for the assistance programs of NSF. The PAPPG, in conjunction with NSF's Grant General Conditions, serves as the Foundation's implementation of 2 CFR § 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. If the PAPPG and NSF Grant Conditions are silent on a specific area covered by 2 CFR § 200, the requirements specified in 2 CFR § 200 must be followed.
- Currently updated annually every January.

https://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf18001





SEARCH Q

RESEARCH AREAS FUNDING AWARDS DOCUMENT LIBRARY NEWS ABOUT NSF

Proposal & Award Policies & Procedures Guide

Significant Changes and Clarifications

PAPPG - Introduction

- A. About the NSF
- B. Foreword
- C. Acronym List
- D. Definitions
- E. NSF Organizations
- F. NSF Electronic Capabilities Modernization Status

Table of Contents

Part I: Proposal Preparation and Submission Guidelines

- I. Pre-Submission Information
- II. Proposal Preparation Instructions

NSF 18-1 January 29, 2018

Table of Contents

PAPPG - printable version (PDF)

Significant Changes and Clarifications to the PAPPG

Introduction

- A. About the National Science Foundation
- B. Foreword
- C. Listing of Acronyms
- D. Definitions & NSF-Grantee Relationships
- E. NSF Organizations
- F. NSF Electronic Capabilities Modernization Status
- Part I Proposal Preparation and Submission Guidelines
 - I Dea Cubmiccion Information

https://www.nsf.gov/pubs/policydocs/pappg18_1/index.jsp



PAPPG Structure

- Consists of two parts:
 - Part I sets for NSF's proposal preparation and submission guidelines.
 - Chapters I V
 - Pre-Submission Information
 - Proposal Preparation Instructions
 - Proposal Processing and Review
 - Non-Award Decisions and Transactions
 - Renewal Proposals
 - Part II sets forth NSF policies and procedures regarding the award, administration, and monitoring of grants and cooperative agreements.
 - · Chapters VI XI
 - NSF Awards
 - Grant Administration
 - Financial Requirements and Payments
 - Grantee Standards
 - Allowability of Costs
 - Other Post Award Requirements and Considerations

Table of Contents

Part I: Proposal Preparation and Submission Guidelines

I. Pre-Submission Information

II. Proposal Preparation Instructions

III. NSF Proposal Processing and Review

IV. Non-Award Decisions and Transactions

V. Renewal Proposals

Part II: Award, Administration and Monitoring of Grants and Cooperative Agreements

VI. NSF Awards

VII. Grant Administration

VIII. Financial Requirements and Payments

IX. Grantee Standards

X. Allowability of Costs

XI. Other Post Award Requirements and Considerations

XII. Grant Administration Disputes and Misconduct

Subject Index

Privacy Act and Public Burden Statements



OSP Roundtable – NSF PAPPG 18-1 Significant Changes and Clarifications to Proposals



Who May Submit: Eligibility Standards

- Revises eligibility standards to:
 - Add a new subcategory for Institutions of Higher Education (IHEs) for two- and four-year IHEs (including community colleges) accredited in, and having a campus located in the US, acting on behalf of their faculty members. Also provides special instructions for International Branch Campuses of US IHEs
 - Revises the eligibility of foreign organizations to include detail of when a foreign organization's involvement is essential to the project (through a subaward or consultant arrangement), instead of in the US.

https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_1.jsp#IE



Project Description

 Specifies that the Project Description must now contain, as a separate section within the narrative, a section labeled "Intellectual Merit"

https://www.nsf.gov/pubs/policydocs/pappg18 1/pappg 2.jsp#IIC2d



Results from Prior NSF Support

- 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
 - Any current funding, including any no cost extension
- Must include all information stated in PAPPG, including:
 - a summary of the results of the completed work, including accomplishments, supported by the award. The results must be separately described under two distinct headings: Intellectual Merit and Broader Impacts

https://www.nsf.gov/pubs/policydocs/pappg18 1/pappg 2.jsp#IIC2diii



Data Management Plan

- Special Information and Supplementary Documentation:
 - Includes detailed information for Data Management Plans that involve collaborative activities
 - Simultaneously submitted collaborative proposals and proposals that include subawards are a single unified project and should include only one supplemental combined Data Management Plan, regardless of the number of non-lead collaborative proposals or subawards included. In such collaborative proposals, the data management plan should discuss the relevant data issues in the context of the collaboration.

https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_2.jsp#IIC2j



Collaborators and Other Affiliations (COA)

- Implementation of current pilot of Collaborators and Other Affiliations (COA)
 - Used to help manage reviewer selection during the merit review process
 - Expedite identification of potential reviewers by providing a searchable format
 - COA template will now mirror content of PAPPG:
 https://www.nsf.gov/bfa/dias/policy/coa/coa/coa/template.xlsx
 - New footnotes have been added to address frequently asked questions
 - COA FAQ: https://www.nsf.gov/bfa/dias/policy/coa/faqs_coatemplate1217.pdf

https://www.nsf.gov/pubs/policydocs/pappg18 1/pappg 2.jsp#IIC1e



Budget Justification

- Increases the budget justification from three-page limit to five-page limit for both proposers and subawardees
- Indirect Costs: Updated to state amounts for indirect costs should be specified in the budget justification.
- Reminds organizations that it is their responsibility to define and consistently apply the term "year" in the Senior Personnel Salaries and Wages Policy section.
 - Cornell Guidance https://www.dfa.cornell.edu/sites/default/files/senior-personnel-salaries-nsf-awards.pdf

https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_2.jsp#IIC2g



Updated Vertebrate Animals Compliance

- Clarity of guidance on use for research or education.
 - Provides more detailed information on how to input IACUC information on cover sheet of proposal if animal-use protocol is pending at time of proposal submission.
 - Provides updated information on submission of approval letter and required information for use of animals if proposal is recommended for funding
- Use of vertebrate animals with international organizations:
 - Projects involving the care or use of vertebrate animals at an international organization or international field site also require approval of research protocols by the US grantee's IACUC.
 - If the project is to be funded through an award to an international organization or through an individual fellowship award that will support activities at an international organization, NSF will require a statement from the international organization explicitly listing the proposer's name and referencing the title of the award to confirm that the activities will be conducted in accordance with all applicable laws in the international country and that the International Guiding Principles for Biomedical Research Involving Animals (see: http://www.cioms.ch/) will be followed.

https://www.nsf.gov/pubs/policydocs/pappg18 1/pappg 2.jsp#IID4



Renewal Proposals

- Modified to update reference information regarding recompetition of expiring awards.
 - Language added in foot note: For the operation of a major facility, the National Science Board has endorsed the principle that NSF should perform a rigorous review prior to the end date of the award to determine whether it is in the best interest of US science and engineering to recompete that award (Reference NSB-2015-46).
- Section B on Accomplishment-Based Renewals has been updated to provide greater clarity regarding the submission of reprints.
 - Previously stated during the preceding three to five year period. Three to five has been removed.

https://www.nsf.gov/pubs/policydocs/pappg18 1/pappg 5.jsp



OSP Roundtable – NSF PAPPG 18-1

Significant Changes to Awards



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.

https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_2.jsp#IID4



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 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.
- Adds language on post-award responsibilities stating the "IRB approval must be obtained if the protocols for the use of human subjects have been changed substantively from those originally proposed and approved."



Prior Approvals

- Grantee Notifications to NSF:
 - Restructured to remove information on requests for NSF approval.
 - Removes Exhibit VII-I, Grantee Notifications and Requests for Approval as it is contained in the Research Terms and Conditions, Appendix A
- Prior Written Approvals updated to reference the RTC Appendix A, which is the authoritative source of NSF prior approval requirements.

https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_10.jsp#XA3

Research Terms and Conditions Appendix A Prior Approval Matrix October 1, 2017

	Reference	RTC Overlay	NSF	DOE	NIH	USDA	DOC	NASA
Prior Written Approval (prior approval)*	200.407							
Use of grant agreements (including fixed amount awards), cooperative agreements, and contracts	200.407(a)							
Changes in principal investigator (PI), project leader, project partner, or scope of effort.	200.201(b)(5)	Required	Required	Required	Required	Required	Required	Required
Cost sharing or matching	200.407(b)							
Use of unrecovered indirect costs, including indirect costs on cost sharing or matching.	200.306(c)	Waived	Waived	Waived	Waived	Waived ¹⁵	Waived	Waived
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.	200.306(d)(2)	Waived	Waived	Waived	Waived	Waived	Waived	Required
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.	200.306(h)(2)	Required	Required	Required	Required	Required	Required	Required
Program Income	200.407(c)	7					1	
Use of program income during the period of performance (additive method).	200.307(e)(2)	Waived	Waived	Waived	Waived ⁵	Waived	Waived	Waived ²⁰
Revision of budget and program plans	200.407(d)						1	
Change in the scope or the objective of the project or program.	200.308(c)(1)(i)	Required	Required	Required	Required	Required	Required	Required
Change in PI/PD specified in the application or Federal award.	200.308(c)(1)(ii)	Required	Required ¹⁴	Required	Required	Required	Required	Required
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.	200.308(c)(1)(iii)	Required	Required ¹⁴	Required	Required ⁶	Required	Required	Required ²¹
Inclusion, unless waived, of costs that require prior approval in accordance with Subpart E Cost Principles.	200.308(c)(1)(iv)	Required	Waived ¹	Required	Waived ⁷	Required	Required	Required
Transfer of funds budgeted for participant support costs to other categories of expense.	200.308(c)(1)(v)	Required	Required ²	Required	Waived ⁸	Required	Required	Waived ²²
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.	200.308(c)(1)(vi)	Required	Required	Required	Waived ⁹	Waived ¹⁶	Required	Waived
Changes in the approved cost-sharing or matching provided by the non-Federal entity.	200.308(c)(1)(vii)	Required	Required	Required	Required	Waived ¹⁷	Required	Waived
Need for additional Federal funding to complete the project.	200.308(c)(1)(viii)	Required	Required	Required	Required	Required	Required	Required
Incur project costs 90 calendar days before the Federal awarding agency makes the award.	200.308(d)(1)	Waived	Waived	Waived	Waived	Waived	Waived	Waived
Incur project costs more than 90 calendar days pre-award.	200.308(d)(1)	Required	Required	Required	Required	Required	Required	Required
Initiate a one-time extension of the period of performance by up to 12 months.	200.308(d)(2)	Waived	Waived	Waived	Waived	Waived	Waived	Waived
Subsequent no-cost extension or extension of more than 12 months.	200.308(d)(2)	Required	Required	Required	Required	Required	Required	Required
Carry-forward of unexpended balances to subsequent funding periods.	200.308(d)(3)	Waived	Waived	Waived	Waived ¹⁰	Waived	Waived	Waived
Transfer amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa.	200.308(d)(4)	Waived	Waived	Waived	Waived ¹¹	Waived	Waived	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.	200.308(e)	Waived	Waived	Waived	Waived ¹¹	Waived	Waived	Waived ^{22, 23}
Transfer of funds between construction and non-construction activities.	200.308(q)(5)	Required	Required	Required	Required	Required	Required	Required
Real Property	200.407(e)							
Encumber real property acquired with Federal funds.	200.311(b)	Required	Required	Required	Required	Required	Required	Required
Transfer of title to the Federal awarding agency or to a third party.	200.311(c)(3)	Required	Required	Required	Required	Required	Required	Required



Costing

 Streamlines Allowability of Costs Chapter to remove sections that simply restate the Uniform Guidance

https://www.nsf.gov/pubs/policydocs/pappg18 1/pappg 10.jsp



Useful Links

PAPPG 18-1Webinar

https://nsfgrantsconferences.com/pappg-update-webinar/

NSF Newsletter

https://www.nsf.gov/bfa/dias/policy/newsletter.jsp

NSF Policy Office

https://www.nsf.gov/bfa/dias/policy/

NSF Conferences/Events

https://nsfgrantsconferences.com/conferences-events/

National Science Foundation (NSF) Fundamentals Workshop

https://osp.cornell.edu/Education/default.html



OSP Roundtable – NSF PAPPG 18-1 Questions?



Next OSP Roundtable

Participant Support

Presenter: Jeff Silber

Thursday, February 15, 2018 9:30-10:30am