

Speaker

Jean Feldman

- Head, Policy Office
- Division of Institution & Award Support
- Office of Budget, Finance & Award Management
- policy@nsf.gov



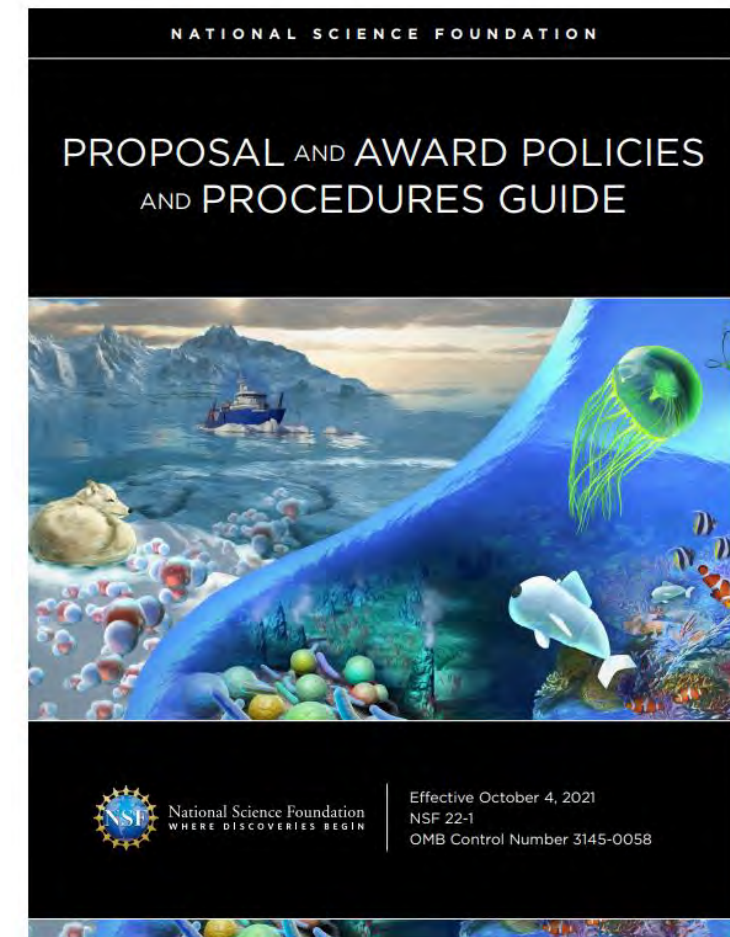
Topics

- Proposal & Award Policies & Procedures Guide (PAPPG)
 - Significant changes and important clarifications
- Research.gov Updates
- Natural Disasters – Policy Reminders

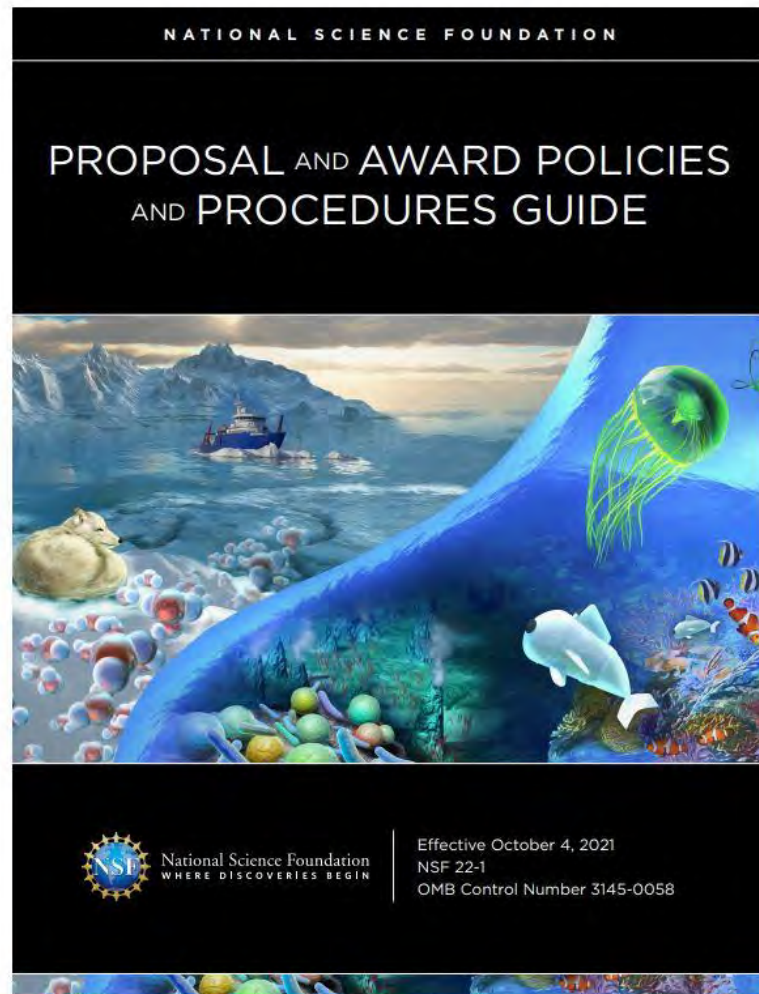


Proposal & Award Policies & Procedures Guide (PAPPG) Implementation

- Posted to the NSF website on June 22, 2021.
- Effective **October 4, 2021**, for proposals submitted or due on or after that date.
- Released to the community more than 90 days prior to the effective date



PAPPG Significant Changes



- Implementation of 2 CFR §200
 - Changes were made to the NSF award terms and conditions to implement the revised 2 CFR 200 in November 2020.
- Requests for Reasonable and Accessibility Accommodations for Individuals with Disabilities
 - Individuals who need reasonable accommodations as part of the proposal process must contact the [NSF Office Equity and Civil Rights \(OECR\)](#) Disability Program Manager (DPM) at rarequest@nsf.gov at least 30 days prior to the proposal deadline date.
 - Individuals who need accessibility accommodations to access NSF proposal submission and award management systems, websites and other digital content must contact the NSF Section 508 Compliance Officer at least 30 days prior to the proposal deadline date.
- Addition of context language for proposal sections
 - Includes purpose of the section and how NSF uses this information in the merit review process.



Policy Implementation Biographical Sketch

- The Biographical Sketch is used to assess how well qualified the individual, team, or organization is to conduct the proposed activities.
- Appointments section must include any titled academic, professional, or institutional position whether or not remuneration is received and whether full-time part-time, or voluntary (including adjunct, visiting or honorary).
- Synergistic Activities must be specific and may not include multiple examples to describe a single activity.
- See PAPPG Chapter II.C.2.f



PAPPG Significant Changes/Clarifications – Biographical Sketch

- Biographical sketch expanded from two to three pages.
- Other Biographical Sketch clarifications include:
 - Appointment language has been clarified to address professional appointments: Senior personnel must identify all current domestic and foreign professional appointments outside of the individual's academic, professional, or institutional appointments at the proposing organization.
 - Senior personnel who wish to include publications in the products section of the biographical sketch that include multiple authors may, at their discretion, choose to list one or more of the authors and then "et al." in lieu of including the complete listing of authors' names.
- Revised NSF-approved Biographical Sketch formats are available.



Policy Implementation Current and Pending Support

- NSF uses the information to assess the capacity of the individual to carry out the research as proposed as well as to help assess any potential overlap/duplication.
- Information must be provided for all current and pending support irrespective of whether such support is provided through the proposing organization or directly to the individual.
- In-kind contributions intended for use on the project being proposed must be included in Facilities, Equipment and Other Resources. In-kind contributions not intended for use on the project being proposed and which have an associated time commitment must be reported in Current and Pending Support.
- See PAPPG Chapter II.C.2.h



PAPPG Significant Changes/Clarifications Current and Pending Support



- Objectives and Overlap added to the NSF-approved formats to help reviewers and NSF assess overlap and duplication.
- New table developed entitled, *NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending Support*.
- NSF is now removing blank pages from current and pending support documents with PAPPG implementation.
- Revised NSF-approved formats are now available.



NSF Pre-award and Post-award Disclosures

NSF Pre-award and Post-award Disclosures^{1/2/3} Relating to the Biographical Sketch and Current and Pending Support September 1, 2021

Table Key

◆ = for new support only

◆ = if undisclosed at the time of proposal submission

Type of Activity	Biographical Sketch	Current & Pending Support	Facilities, Equipment & Other Resources	Project Reports	Post-Award Information Term & Condition	Disclosure Not Required
Undergraduate, graduate, and postdoctoral training, including location, major/area and degree and year	✓					
Academic, professional ⁴ or institutional appointments, whether or not remuneration is received, and, whether full-time, part-time, or voluntary	✓					
All projects (including this project) currently under consideration from whatever source, and all ongoing projects, irrespective of whether support is provided through the proposing organization, another organization or <i>directly</i> to the individual		✓		✓*	✓◆	
In-kind contributions that support the research activity for use on the project/proposal being proposed			✓			

Current and Pending Support PDF Update: Blank Page Trimming Functionality

- Effective August 30, trimming functionality was incorporated in FastLane and Grants.gov to remove any blank pages from the NSF-approved current and pending support fillable PDF
- Trimming functionality will be integrated in Research.gov on October 4 for proposals submitted in Research.gov and project reports submitted in the Research.gov Project Reporting System
- Functionality **only** applies to the NSF-approved current and pending support fillable PDF and not to any other uploaded PDFs. Current and pending support PDFs generated in SciENCv do not include blank pages
- PDF page numbers will not be updated during the trimming process in the paginated current and pending support fillable PDF document, so it is possible for the trimmed PDF to have skipped page numbers corresponding to the blank pages removed



Post-Award Disclosure of Current Support

- Awardees are required to inform NSF within 30 days of becoming aware of the failure to disclose.
 - New term and condition entitled, *Post-award Disclosure of Current Support and In-Kind Contribution Information*, went into effect on October 5, 2020.
- If an organization discovers that a PI or co-PI on an active NSF award failed to disclose current support or in-kind contribution information as part of the proposal submission process, the AOR must submit this information.
- NSF may consult with the AOR, or designee, if necessary, and determine the impact of the new information on the NSF-funded grant, and, where necessary, take appropriate action.



Post-Award Disclosure of Project Support Information

- The AOR must submit the following information:
 - PI/co-PI Name
 - Project Title
 - Award Number (if available)
 - Source of Support
 - Primary Place of Performance
 - Project Start and End Date
 - Total Award Amount (including Indirect Costs)
 - Brief Description of the Major Goals of the Project
 - Description of any Overlap/Duplication of the project with the NSF award
 - Impact on the ability of the PI/co-PI to carry out the NSF award
 - Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project



Post-Award Disclosure of In-Kind Contribution Information

- The AOR must submit the following information:
 - PI/co-PI Name
 - Source of Support
 - Primary Place of Performance
 - Summary of In-Kind Contributions
 - Description of any Overlap/Duplication of the project with the NSF award
 - Impact on the ability of the PI/co-PI to carry out the NSF award
 - Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project



Active Other Support Requirements in Annual and Final Project Reports

- PIs and co-PIs must indicate the percentage of the award's budget that was spent in a foreign country
 - New NSF-specific instructions direct awardees when developing award budget percentage to **only include** consultant arrangements with foreign individuals and first-tier subawards to foreign organizations. No other budget categories should be included.
- PIs and co-PIs must notify NSF when active other support has changed since the award was made, or since the most recent annual report.
 - An NSF-approved format for Current and Pending Support must be used to notify NSF in annual and final reports.



Adding Current and Pending Support to a Project Report

1. Has there been a change to the active other support since the last reporting period?
2. If you select, “Yes” you will be required to upload your most up-to-date Current and Pending Support document.
3. The Current and Pending Support document must be submitted in an NSF-approved format.

Edit Participant ⓘ
< Back to Participants

* Required fields

* First Name:
Middle Name:
* Last Name:
* E-mail Address:
* Most Senior Project Role:
* Nearest Person Month Worked: A person month equals approximately 160 hours of effort, regardless of funding source.
* Contribution to the Project:
* Funding Support: ⓘ

* Has there been a change in the active other support of the PI/PD(s) since the last reporting period? Yes No
*If you select Yes, you are required to upload your most updated Current and Pending Support document which includes other support since the last reporting period.
Please note: Current & Pending Support document must be submitted in an NSF-Approved Format. Failure to submit this document in an NSF-Approved Format will prevent your project report from being approved. Please see NSF Approved Format to complete the form.*

Browse for file to upload ⓘ NSF Specific

* Identify whether this person is collaborating internationally on this project: Yes No
Country(ies) of foreign collaborator: ⓘ Required if yes
AFGHANISTAN
ALAND ISLANDS
ALBANIA
ALGERIA

* Traveled internationally for this award: Yes No



Adding Current and Pending Support to a Project Report

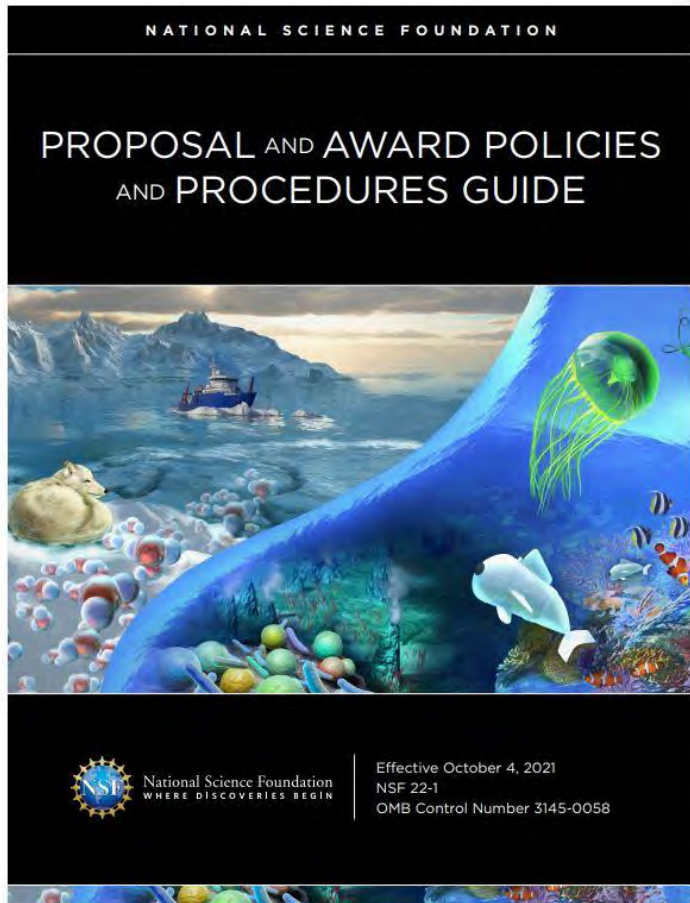
NSF-specific help text states:

For NSF-Specific Purposes, in the year one annual report has there been a change in current other support since the award was made. For subsequent annual reports has there been a change in current other support since the last reporting period.

The screenshot shows the 'Report Content' section of an NSF reporting interface. The 'Participants/Organizations' tab is selected. Below the navigation tabs are buttons for '< Save / Previous Section', 'Save', and 'Save / Next Section >'. The main content area contains a form with a text input field labeled 'Support:' containing the word 'Testing'. Below this is a question: 'Has there been a change in current other support since the award was made?' with radio buttons for 'Yes' (selected) and 'No'. A red box highlights the following help text: 'For NSF Specific Purposes, in the year one annual report has there been a change in current other support since the award was made. For subsequent annual reports has there been a change in current other support since the last reporting period.' Below the help text is a 'Browse for file to upload' button and an 'NSF Specific' label. At the bottom, there is a dropdown menu for 'Country:' with 'AFGHANISTAN' and 'ALAND ISLANDS' visible, and a 'Required if yes' label.



Other PAPPG Significant Changes



- Planning Proposal Added as New Proposal Type
 - Used to support initial conceptualization, planning and collaboration activities that aim to formulate new and sound plans for large-scale projects in emerging research areas for future submission to an NSF program.
 - Pls must contact the appropriate NSF program officer prior to submission.
 - Requests may be up to \$100,000 per year for up to two years.
 - Proposals must be submitted in Research.gov.
- Travel Proposal Certification Requirement
 - AORs must certify that the meeting organizer has a written policy or code-of-conduct addressing harassment.

Other PAPPG Significant Changes (Cont'd)



- Career-Life Balance Supplements
 - Added as a new proposal type
 - Supplemental funding available for research award recipients postdoctoral fellows and Graduate Research Fellowship awardees.
 - Must be submitted as a supplemental funding request function in FastLane.
- Grant Closeout
 - Grantees must submit all required reports within one year of the period of performance end date;
 - Non-compliance requires reporting to the Federal Awardee Performance and Integrity Information System (FAPIIS)
- Increased Visibility of Research.gov
 - Terminology and links in various sections have been added to align with NSF's goal

Proposal Submission Modernization



Research.gov Implementation

- Per [Important Notice No. 147](#), NSF is taking proactive steps to incrementally move the preparation and submission of all proposals from FastLane to Research.gov
- FastLane is targeted to be removed as a submission option from all funding opportunities **by December 31, 2022**
- Program descriptions are supported in Research.gov
- Funding opportunities clearly specify whether submission via Research.gov is required or available

Important Notice No. 147

Research.gov Implementation Update

Important Notice to Presidents of Universities and Colleges and Heads of Other National Science Foundation Grantee Organizations

September 22, 2020

The National Science Foundation (NSF) has been at the forefront in the development of Federal agency electronic systems designed to prepare and submit proposals for Federal financial assistance. From the introduction of FastLane in 1994, to the incremental development of Research.gov as its eventual replacement, NSF has led the way with modern, agile systems tailored to meet the needs of the research community.

While NSF's FastLane system has been a resounding success story, it is now an aging, antiquated system that has become increasingly expensive to maintain and even harder to improve. Over the past few years, NSF has partnered with and received valuable input from the research community, resulting in the development of a modern, flexible Research.gov system that reduces administrative burden to meet the current and future needs of researchers, administrators and organizations. As a result, NSF has successfully migrated important research functions from FastLane to Research.gov including the preparation and submission of annual and final project and outcomes reports, most notifications and requests and award payments. NSF is now taking proactive steps to incrementally move the preparation and submission of all proposals from FastLane to Research.gov with a tentative target date for completion by 2022.

In support of this effort, in the coming weeks and months, NSF will begin making changes to specific funding opportunities to require the use of Research.gov for the preparation and submission of proposals to NSF.¹ The Directorate for Biological Sciences (BIO) will soon require the use of Research.gov for the preparation and submission of proposals in response to its core programs that do not have deadline dates. NSF funding opportunities will clearly specify whether submission via Research.gov is available or required.

To ensure that researchers and administrators are prepared for these changes, NSF is developing additional training materials to meet the needs of the community. This includes video tutorials, Frequently Asked Questions, step-by-step guides and a demonstration site. Current training materials are available on the [About Research.gov site](#).

NSF encourages the community to become familiar with Research.gov and to begin using it for the preparation and submission of proposals, as well as to provide NSF with valuable feedback. For additional information, FAQs, opportunities for training and to provide feedback, please visit [Research.gov](#).

Dr. Sethuraman Panchanathan
Director

¹During this time, NSF will continue to permit proposals to be prepared and submitted via Grants.gov.

Research.gov Proposals: Where We Are and What's Ahead

Current Capabilities	Upcoming Capabilities	Future Capabilities
<p>Proposal Types</p> <ul style="list-style-type: none"> ✓ Research: Single Submissions from One Organization (<i>April 2018</i>) ✓ Research: Single Submission Collaborative Proposals with Subawards (<i>June 2019</i>) ✓ Research: Separately Submitted Collaborative Proposals from Multiple Organizations (<i>March 2020</i>) ✓ Rapid Response Research (RAPID) (<i>November 2020</i>) ✓ EARly-concept Grants for Exploratory Research (EAGER) (<i>November 2020</i>) ✓ Research Advanced by Interdisciplinary Science and Engineering (RAISE) (<i>November 2020</i>) ✓ Facilitation Awards for Scientists and Engineers with Disabilities (FASED) (<i>March 2021</i>) ✓ Equipment (<i>March 2021</i>) ✓ Travel (<i>March 2021</i>) ✓ Conference (<i>August 2021</i>) ✓ Ideas Lab (<i>August 2021</i>) <p>Submission Types</p> <ul style="list-style-type: none"> ✓ Preliminary Proposal (<i>Ideas Lab only</i>) (<i>August 2021</i>) ✓ Renewal Proposal (<i>August 2021</i>) ✓ Accomplishment-Based Renewal Proposal (<i>August 2021</i>) <p>Proposal Features</p> <ul style="list-style-type: none"> ✓ Withdrawal (Single and Separately Submitted Collaborative Proposal Submissions) (<i>March 2021</i>) <p>Training</p> <ul style="list-style-type: none"> ✓ Research.gov Proposal Prep Demo Site (<i>October 2020</i>) ✓ Initial Topic-specific How-to Guides (<i>March 2021</i>) ✓ Proposal Preparation Demo Video (<i>March 2021</i>) 	<p>Proposal Types</p> <ul style="list-style-type: none"> • Grant Opportunities for Academic Liaison with Industry (GOALI) (<i>October 2021 release</i>) • Planning (<i>October 2021 release</i>) <p>Submission Types</p> <ul style="list-style-type: none"> • Letter of Intent (<i>October 2021 release</i>) • Preliminary Proposal (<i>non-Ideas Lab</i>) (<i>targeting winter 2022 release</i>) • Full Proposal related to a Preliminary Proposal (<i>targeting winter 2022 release</i>) <p>Solicitation-specific Requirements</p> <ul style="list-style-type: none"> • EHR Project Data Form (<i>targeting winter 2022 release</i>) <p>Training</p> <ul style="list-style-type: none"> • Additional Topic-specific How-to Guides (<i>ongoing</i>) • Webinars (<i>e.g., Fall 2021 ERA Forum and NSF Grants Conference</i>) 	<p>Proposal Types</p> <ul style="list-style-type: none"> • SBIR and STTR Phases I/II • Center • Research Infrastructure • Fellowship <p>Solicitation-specific Requirements</p> <ul style="list-style-type: none"> • Additional specified forms or documents (e.g., post-doc forms) • Approved deviations from the PAPPG (e.g., Project Descriptions exceeding 15 pages) <p>Post-award Actions</p> <ul style="list-style-type: none"> • Supplemental Funding Requests, including Career Life Balance Supplemental Funding Requests per PAPPG (NSF 22-1)

Note: Since July 2020, Research.gov is able to support all Research proposals that conform to standard *Proposal & Award Policies & Procedures Guide* (PAPPG) requirements for formatting and document content.



Recent Research.gov Proposal Enhancements: Proposal Preparation Landing Page

- New submission types available effective August 30:
 - Preliminary Proposal (Ideas Lab only)
 - Renewal Proposal
 - Accomplishment-Based Renewal Proposal
- Conferences are also now available as a new proposal type in Research.gov

Updated Landing Page: "Prepare New" Tile Drop-down Menu Options

The screenshot displays the Research.gov Proposal Preparation Landing Page. At the top, there is a navigation bar with five tabs: "My Desktop", "Prepare & Submit Proposals", "Awards & Reporting", "Manage Financials", and "Administration". Below the navigation bar is an "Attention" banner with a red arrow pointing to the right, containing the text: "Research.gov now supports preparation and submission of many proposal types including Preliminary (Ideas Lab only) and Renewal. View the [Research.gov Proposal Submission Capabilities](#) for details."

The main content area is titled "Proposals (Preliminary, Full, and Renewal)" and is highlighted with a yellow border. Below this title is the question "What would you like to work on?". There are three main tiles:

- Prepare New:** This tile is highlighted with a yellow border. It contains a drop-down menu with the following options: "Preliminary Proposal", "Full Proposal", "Renewal Proposal", "Accomplishment-Based Renewal", and "Prepare New". The drop-down menu is highlighted with a red border.
- In Progress:** This tile contains the text "Continue working on a previously prepared proposal, that has not yet been submitted to NSF." and a button labeled "Work with In Progress" with a downward arrow.
- Submitted and Updates:** This tile contains the text "View, download, or perform a Proposal File Update/Budget Revision on proposals that have previously been submitted to NSF." and a button labeled "View/Update Submitted" with a downward arrow. Below this button are two links: "Proposal File Update (PFU) / Budget Revision" and "Proposal Withdrawal", both with information icons.



Upcoming Research.gov Proposal Enhancements: Proposal Preparation Landing Page

- Letter of Intent submission type will be available in Research.gov effective October 4
- Individuals with a PI, Sponsored Project Officer (SPO), or Authorized Organizational Representative (AOR) role can initiate a letter of intent

Updated Landing Page: "Prepare New" Tile Drop-down Menu Options (10/4)

The screenshot displays the Research.gov Proposal Preparation Landing Page. At the top, a yellow-bordered box contains the text "Letters of Intent and Proposals (Preliminary, Full, and Renewal)". Below this, the heading "What would you like to work on?" is followed by three main tiles: "Prepare New", "In Progress", and "Submitted and Updates".

The "Prepare New" tile is highlighted with a red border and contains a drop-down menu with the following options: "Prepare New", "Letter of Intent", "Preliminary Proposal", "Full Proposal", "Renewal", and "Accomplishment-Based Renewal".

The "In Progress" tile features a "Work with In Progress" button with a drop-down arrow.

The "Submitted and Updates" tile features a "View/Update Submitted" button with a drop-down arrow and two informational links: "Proposal File Update (PFU) / Budget Revision" and "Proposal Withdrawal".



Upcoming Research.gov Proposal Enhancements: Proposal Types

Effective October 4, the following new full proposal types and associated automated compliance checks will be enabled in Research.gov and in the Research.gov demo site:

- Grant Opportunities for Academic Liaison with Industry (GOALI)
- Planning Proposals

Research.gov Proposal Screenshot: Full Proposal Type Options (10/4)

The screenshot shows the 'Prepare New Full Proposal' interface. At the top, a yellow box highlights the title. Below it is a progress bar with four steps: 1. Funding Opportunity, 2. Where to Apply, 3. Proposal Type (highlighted in dark blue), and 4. Proposal Details. The main section is titled 'Select Proposal Type' and asks 'What type of proposal will be used?'. It lists various proposal types with radio buttons and 'Available' status indicators. Two options are highlighted with red boxes: 'Grant Opportunities for Academic Liaison with Industry (GOALI) PAPPG II.E.4' and 'Planning', both with 'Available 10/4' status. Other options include Research, Rapid Response Research (RAPID), Early-concept Grants for Exploratory Research (EAGER), Research Advanced by Interdisciplinary Science and Engineering (RAISE), Ideas Lab, Facilitation Awards for Scientists and Engineers with Disabilities (FASED), Conference, Equipment, Travel, Center, Research Infrastructure, Fellowship, Small Business Innovation Research Program (SBIR), and Small Business Technology Transfer Program (STTR).

Note: All Proposal Types are listed in Research.gov but only those currently supported will be available for selection (i.e., unavailable selections are grayed out). View the [Research.gov Proposal Submission Capabilities](#) for details.

Note: Career-Life Balance (CLB) Supplemental Funding Requests has been added as a new "Other Proposal Type" in the revised *Proposal & Award Policies & Procedures Guide* (PAPPG) ([NSF 22-1](#)) and must be submitted by using the "Supplemental Funding Request" function in FastLane.



Research.gov Proposal Preparation Demo Site

- Demo site can be used to explore preparing proposals and to check compliance of uploaded proposal documents (e.g., Collaborators and Other Affiliations and Biographical Sketch)
- All demo site users are automatically given the PI role for demo site purposes, in order to perform the proposal preparation functions that a PI can do in the actual system. Proposal submission capability is disabled
- See the demo site FAQs on the Research.gov [About Proposal Preparation and Submission](#) page for information on demo site access and features

Research.gov Demo Site: Proposal Preparation Homepage

Propose Preparation Demo Site

Research.gov
ONLINE GRANTS MANAGEMENT
FOR THE NSF COMMUNITY

DEMO

Demo user: Alan Alphaman, Principal Investigator (PI)
< Return to Research.gov

Proposal Preparation

What would you like to work on?

Prepare New Proposal

By answering a few questions, NSF will customize the process and compliance rules.

[Prepare Proposal](#)

What information will need to be provided?
Video: How to Initiate a Proposal

In Progress Proposals

Continue working on a previously prepared proposal, that has not yet been submitted to NSF.

[Work on an In Progress Proposal](#)

Submitted Proposals

View, download, or perform a Proposal File Update/Budget Revision on proposals that have previously been submitted to NSF.

[View/Update Submitted Proposals](#)



Information Resources for the Research Community

- NSF System Updates listserv to receive the latest Research.gov system enhancement information and FastLane news. Sign up by sending a blank email to: system_updates-subscribe-request@listserv.nsf.gov
- [Automated Compliance Checking of NSF Proposals webpage](#)
- NSF [Biographical Sketch](#) and [Current and Pending Support](#) websites with FAQs, as well as links to SciENcv video tutorials and reference resources with step-by-step instructions and screenshots
- [Research.gov About Proposal Preparation and Submission webpage](#) with new and updated FAQs organized by topic and links to video tutorials (*new information is being added on an ongoing basis, so please check back frequently....*)
- [Research.gov About Account Management webpage](#)
- [NSF Electronic Research Administration \(ERA\) Forum webpage](#)
- NSF ERA Forum listserv to receive updates on ERA Forum activities. Sign up by sending a blank email to: NSF-ERA-FORUM-subscribe-request@listserv.nsf.gov



NSF Policy Reminders Regarding Natural Disasters

- NSF policy allows for flexibility in meeting deadline dates due to a natural disaster or anthropogenic event.
- Proposers should contact the cognizant program officer in the Division/Office where they intend to submit their proposal and request authorization to submit after the deadline date.
- A statement identifying the nature of the event that impacted the ability to submit the proposal on time should be uploaded under Nature of Natural or Anthropogenic Event in the Single Copy Document section in FastLane or Research.gov.
- RAPID proposals may be submitted in accordance with NSF policies.
- See the PAPPG Chapter I.F.

