

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



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## Proposal & Award Policies & Procedures Guide

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NSF 18-1 January 29, 2018

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#### Part I - Proposal Preparation and Submission Guidelines

I. [Pre-Submission Information](#)

[https://www.nsf.gov/pubs/policydocs/pappg18\\_1/index.jsp](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
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      - Financial Requirements and Payments
      - Grantee Standards
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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**

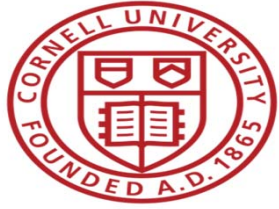
**X. Allowability of Costs**

**XI. Other Post Award Requirements and Considerations**

**XII. Grant Administration Disputes and Misconduct**

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**Privacy Act and Public Burden Statements**



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# 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](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](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](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](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\\_template.xlsx](https://www.nsf.gov/bfa/dias/policy/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/bfa/dias/policy/coa/faqs_coatemplate1217.pdf)

[https://www.nsf.gov/pubs/policydocs/pappg18\\_1/pappg\\_2.jsp#IIC1e](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](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.

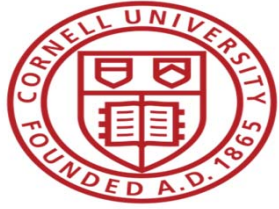
[https://www.nsf.gov/pubs/policydocs/pappg18\\_1/pappg\\_2.jsp#IID4](https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_2.jsp#IID4)



## 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 re compete 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](https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_5.jsp)



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





## 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](https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_10.jsp)



## Useful Links

### **PAPPG 18-1 Webinar**

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

### **NSF Newsletter**

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

### **NSF Policy Office**

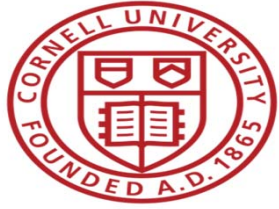
<https://www.nsf.gov/bfa/dias/policy/>

### **NSF Conferences/Events**

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

### **National Science Foundation (NSF) Fundamentals Workshop**

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



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Questions?



Next OSP Roundtable

**Participant Support**

Presenter: Jeff Silber

Thursday, February 15, 2018

9:30-10:30am