

NSF Update: Revised GPG & Other Topics

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National Science Foundation

- NSF is the funding source for approximately 20 percent of all federally supported basic research conducted by America's colleges and universities
- NSF is the only federal agency whose mission includes support for all fields of fundamental science and engineering



National Science Foundation

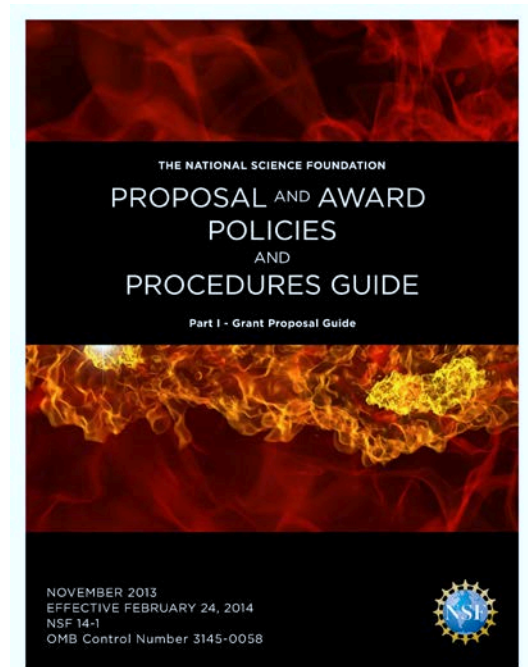
- In FY2013, Northwestern submitted proposals to NSF totaling more than \$201M
- In FY2013, Northwestern received grant awards from NSF totaling over \$39M
- While NSF proposal and award activity is heavily concentrated on the Evanston campus, the Chicago campus does apply for and receive NSF funding



Grant Proposal Guide Update

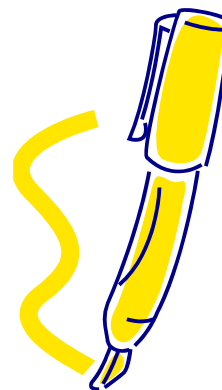
- NSF recently issued an updated Grant Proposal Guide (GPG) which must be used for proposals submitted or due on or after February 24, 2014.

<http://www.nsf.gov/pubs/policydocs/pappguide/nsf14001/gpgprint.pdf>



Highlights of Changes

- Proposal Preparation Module
- Updated COI Proposal Certification
- Visa Fees
- Unfunded Collaborations
- Biographical Sketch
- Cost Sharing



Proposal Preparation Module

- Upon entering the proposal preparation module in FastLane, will be prompted to select:
 - (1) Whether the proposal is:
 - A collaborative proposal from one organization
 - A collaborative proposal from multiple organizations
 - Not a collaborative proposal
 - (2) The type of proposal being developed:
 - RAPID; EAGER; Research; Equipment/Instrumentation; Conference/Symposium/Workshop; International Travel; Fellowship; Facility/Center



Updated COI Certification

- The AOR is required to complete certifications stating that the organization has implemented and is enforcing a written policy on conflicts of interest (COI) consistent with the provisions of AAG Chapter IV.A.; that to the best of his/her knowledge, 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.
- Conflicts that cannot be satisfactorily managed, reduced, or eliminated, ***and research that proceeds without the imposition of conditions or restrictions when a conflict of interest exists***, must be disclosed to NSF via use of the Notifications and Requests module in FastLane.



Visa Fees

- Short-term, travel visa costs are allowable and may be proposed as a direct cost
- These are issued for a specific period and purpose and can be directly connected to the work performed on the applicable project
- In order to request the above, costs must be:
 - Critical and necessary to conduct the project
 - Allowable under applicable cost principles
 - Consistently treated
 - Meet definition of direct cost



Unfunded Collaborations

- Any substantial collaborations with individuals not included in the budget should be described in the Facilities, Equipment and Other Resources section of the proposal
- Also documented in a letter of commitment from each collaborator



Biographical Sketches

- “Publications” section turned to “Products” with last revision
- If only publications are included, the heading “Publications” (as opposed to “Products”) may be used for this section
- If all uploaded as a single PDF file, insert text or upload document that states “Not Applicable” for any co-PI or Senior Person
- Inclusion of information beyond the required elements may result in the proposal being returned w/o review



Required Proposal Sections

- Cover Sheet
- Project Summary
- Project Description
- References Cited
- Biographical Sketch(es)
- Budget & Budget Justification
- Current & Pending Support
- Facilities, Equipment & Other Resources
 - Data Management Plan
 - Postdoctoral Mentoring Plan (if applicable)

If there is a specific reason a section will not be included, a statement to that effect should be included and uploaded in FastLane



Lead vs. Non-Lead

LEAD ORGANIZATION

- Cover Sheet
- Project Summary
- Table of Contents*
- Project Description
- References Cited
- Biographical Sketch(es)
- Budget & Budget Justification
- Current & Pending Support
- Facilities, Equipment & Other Resources
- Data Management Plan
- Postdoctoral Mentoring Plan**



NON-LEAD ORGANIZATION

- Cover Sheet
- Table of Contents*
- Biographical Sketch(es)
- Budget & Budget Justification
- Current & Pending Support
- Facilities, Equipment & Other Resources



*Automatically generated

** If applicable

Misc. Updates

- Project Summary
 - Clarifies that if the Project Summary contains special characters is submitted as a supplementary document, it still must be formatted with separate headings for the overview, intellectual merit, and broader impacts sections
- Participant Support Costs
 - Emphasizes that per the last GPG update, indirect costs are not allowed on participant support costs



Cost Share Update

- Inclusion of voluntary committed cost sharing remains prohibited
- In mandatory cost sharing situations:
 - For purposes of budget preparation, cumulative cost sharing amount must be entered on Line M of the **first year's budget**
 - Should an award be made, the cost sharing commitment (as specified on the first year's approved budget) must be met prior to award expiration



Cost Share - Reminders

- Removal of PI from Budget
 - If no person months are requested for senior personnel, they should be removed from budget.
 - Even if removed from budget page, will still appear on cover page
- Role should be described in Facilities, Equipment and Other Resources
- Facilities provides an overall description of the internal and external resources the organization will provide to the project.



PI Effort

- If PI is not requesting salary but is still committing effort (including 1%) –
 - Effort should not be listed or quantified on the budget or in the budget justification
 - Effort should be listed on Current & Pending and in Facilities & Other Resources
 - Internally, effort should be listed on OSR-1 as cost shared



Recent NSF Proposals Returned without Review

- Results from NSF Prior Support
 - Continues to be the main non-compliant section where we see proposals returned without review
 - Missing certain required information (e.g., total award amount)
 - Missing two separate sections discussing intellectual merit and broader impacts



Results from Prior NSF Support

- Note that Results from Prior NSF Support includes *current* NSF funding
- Maximum of 5 pages (within 15-page Project Description)
- The following information must be included –
 - Award Number, Amount, and Period
 - Title of Project
 - Summary of the Results (***separate sections on Broader Impacts & Intellectual Merit***)
 - Publications
 - Evidence of Research Products
 - If proposal is for renewed support, a description of the relation of the completed work to the proposed work



Division Notices

“Please note that CMMI checks all proposals submitted to the Division for proposal formatting compliance with the proposal submission requirements of the current [NSF Grant Proposal Guide \(NSF 13-1\)](#). The Division enforces the GPG requirements and returns without review all non-compliant proposals.”

“To 2014 Applicants: Please note that NSF 13-1 explicitly states the requirements for addressing BOTH the Intellectual Merit (IM) and the Broader Impact (BI) review criteria for NSF proposals.... If any of these requirements (or any other requirement from NSF 13-1 document) are not met, the proposal will not pass the NSF compliance check and will be returned without review. We would like to avoid such unfortunate instances for our Division.”



Questions?

Grant Proposal Guide

<http://www.nsf.gov/pubs/policydocs/pappguide/nsf14001/gpgprint.pdf>



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