



An Overview of Changes to the NSF's *Proposal & Award Policies & Procedures Guide*

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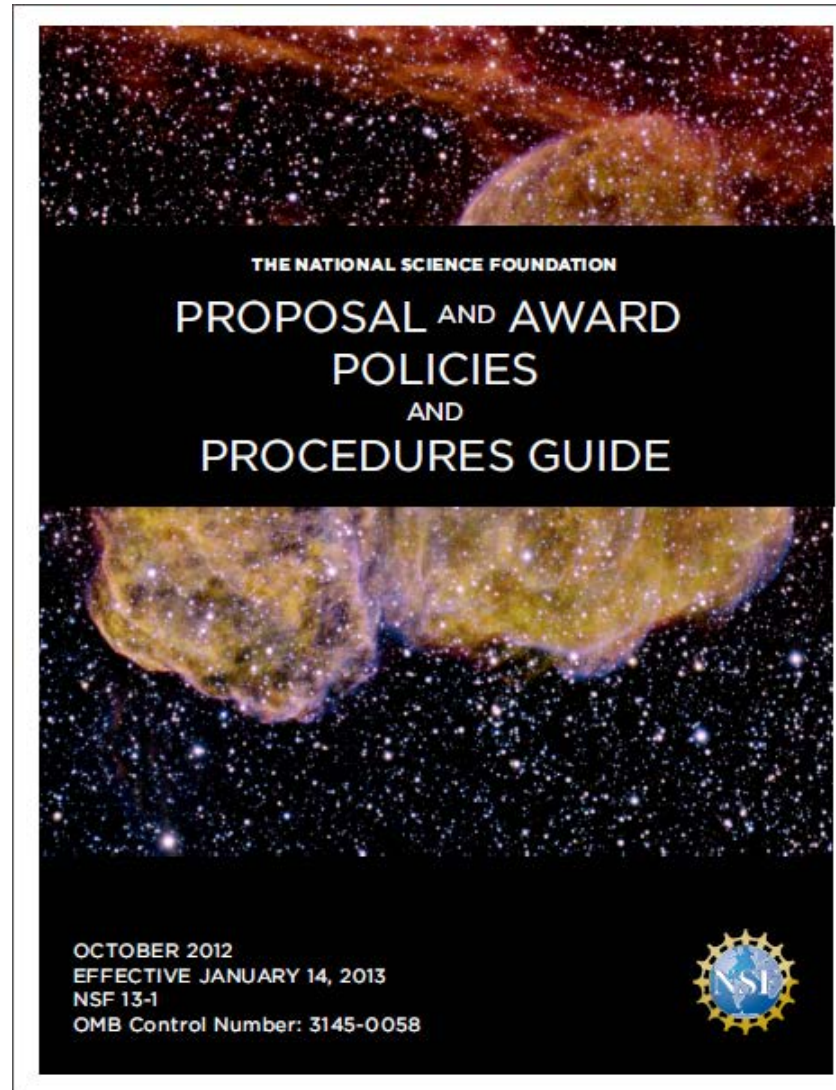
Goals of this Presentation

- Describe major changes to the National Science Foundation (NSF)'s *Proposal and Award Policies and Procedures Guide* (PAPPG), **effective January 14, 2013**
- Describe other relevant changes and clarifications regarding NSF applications.
- Highlight relevant UNL resources available to faculty developing NSF grant applications



What is the PAPPG?

- The PAPPG is a foundation-wide guidance document for the preparation of grant proposals to the NSF.
 - Part I: Grant Proposal Guide (GPG)
 - Part II: Award and Administration Guide (AAG)



MAJOR CHANGES TO THE GRANT PROPOSAL GUIDE (GPG)



Major Changes to the GPG: Overview

- Merit Review Principles and Criteria
- Project Summary
- Project Description
- References Cited
- Biographical Sketch
- Facilities, Equipment and Other Resources



Major Changes to the GPG

Merit Review Principles and Criteria

- Review Criteria has been renamed “Merit Review Principles and Criteria” and revised to incorporate recommendations from the National Science Board.
- New language has been added on merit review principles, and revised merit review criteria language was inserted.
- While the two merit review criteria remain unchanged (Intellectual Merit and Broader Impacts), guidance has been provided to clarify and improve the function of the criteria.



Major Changes to the GPG

Merit Review Principles and Criteria (continued)

- ***Recommendations from the National Science Board***
 - Three guiding review principles
 - Two review criteria
 - Five review elements



Major Changes to the GPG

Merit Review Principles and Criteria (continued)

- ***Three Guiding Merit Review Principles***

- All NSF projects should be of the highest quality and have the potential to advance, if not transform, the frontiers of knowledge.
- NSF projects, **in the aggregate**, should contribute more broadly to achieving societal goals.
- Meaningful assessment and evaluation of NSF-funded projects should be based on appropriate metrics, keeping in mind the likely correlation between the effect of broader impacts and the resources provided to implement projects.



Major Changes to the GPG

Merit Review Principles and Criteria (continued)

- ***Two Merit Review Criteria***

Reviewers will be asked to consider what the proposers want to do, why they want to do it, how they plan to do it, how they will know if they succeed, and what benefits could accrue if the project is successful. These issues apply both to the technical aspects of the proposal and the way in which the project may make broader contributions. To that end, reviewers will be asked to evaluate all proposals against two criteria:

- **Intellectual Merit:** the potential to advance knowledge; and
- **Broader Impacts:** the potential to benefit society and contribute to the achievement of specific, desired societal outcomes.



Major Changes to the GPG

Merit Review Principles and Criteria (continued)

- ***Five Review Elements***

The following elements should be considered in the review for **both criteria**:

1. What is the potential for the proposed activity to:
 - a. Advance knowledge and understanding within its own field or across different fields (Intellectual Merit); and
 - b. Benefit society or advance desired societal outcomes (Broader Impacts)?
2. To what extent do the proposed activities suggest and explore creative, original, or potentially transformative concepts?



Major Changes to the GPG

Merit Review Principles and Criteria (continued)

- ***Five Review Elements***

3. Is the plan for carrying out the proposed activities well-reasoned, well-organized, and based on a sound rationale? Does the plan incorporate a mechanism to assess success?
4. How well qualified is the individual, team, or organization to conduct the proposed activities?
5. Are there adequate resources available to the PI (either at the home organization or through collaborations) to carry out the proposed activities?



Major Changes to the GPG

Merit Review Principles and Criteria (continued)

- Proposers should familiarize themselves with the Merit Review Principles and Criteria described in the [GPG, Chapter III.A.](#)
- For comprehensive outreach and training materials, visit the NSF [Revised Merit Review Criteria Resource site.](#)



Questions

- Questions regarding the Merit Review Principles and Criteria?



Major Changes to the GPG

Project Summary

- Language regarding the inclusion of separate headings to address the two merit review criteria has been modified.
- Beginning January 14, FastLane will display three separate text boxes in which proposers must provide an “Overview” and address the “Intellectual Merit” and “Broader Impacts” of the proposed activity.
- The page limit for the Project Summary will still be one page (no more than 4600 characters, including spaces); however, instead of being uploaded as one document, text will be inserted into the separate text boxes.



Major Changes to the GPG

Project Summary

- If a Project Summary contains special characters, it must be uploaded as a Supplementary Document.
- Proposals that do not provide all three elements – Overview, Intellectual Merit, and Broader Impacts – will be returned without review.



Major Changes to the GPG

Project Description

- ***Results from Prior NSF Support***

- The GPG clarifies that “prior” NSF support includes current NSF funding.
- Information should be included irrespective of whether or not the support was/is directly related to the proposal, or whether or not salary support was/is provided.
- Intellectual Merit and Broader Impact activities must now be described in two separate sections for each project described.



Major Changes to the GPG

Project Description (continued)

- ***Broader Impacts***
 - The Project Description must now contain, as a separate section within the narrative, a discussion of the broader impacts of the proposed activities.



Major Changes to the GPG

References Cited

- If there are no references cited, a statement to that effect must be included and uploaded into FastLane.
- References must include the names of all authors.



Major Changes to the GPG

Biographical Sketch

- The “Publications” section has been renamed “Products.”
- Products may include, but are not limited to, publications, data sets, software, patents, and copyrights.
- To access an NSF biographical sketch template, please visit the Office of Proposal Development [website](#).



Major Changes to the GPG

Facilities, Equipment and Other Resources

- An aggregated description of the internal and external resources available to the project (**both physical and personnel**) should be provided.
- A new format for submission of this proposal component will be available in FastLane in January 2013.
- If there is no facilities, equipment and other resources information, a statement to that effect must be included and uploaded to FastLane.



Questions

- Questions regarding the updates to the Grant Proposal Guide?



OTHER RELEVANT CHANGES AT NSF



Changes and Clarifications

Investigators with No Salary Requested

- If no person months and no salary are being requested for senior personnel, they should be removed from Section A of the budget. **This includes lead PIs.**
- Their name(s) will remain on the cover sheet and the individual(s)' role on the project should be described in the facilities, equipment and other resources.



Changes and Clarifications

Policy Change: Research Experience for Undergraduates (REU)

- **Old:** Budgets were to include only an “administrative allowance” of 25% of the participant support stipend amount, and no other administrative or facilities costs were allowed.
- **New:** Budgets are now treated consistently with NSF’s policy of full reimbursement of indirect costs. However, there are now limitations on the total project costs allowable per student per week (\$1,200 in the summer and comparable pro rata during the academic year).
- NSF encourages PIs to budget for undergraduate student researchers in the original project budget, instead of a later post-award supplemental request.



Changes and Clarifications

Foreign Subawardees and F&A

- Foreign subawardees are not eligible for indirect cost recovery unless the subawardee has a previously negotiated rate agreement with a U.S. Federal agency that has a practice of negotiating rates with foreign entities.

Proposals Not Accepted or Returned Without Review

- This means that the proposal was rejected on technical grounds (e.g., duplicate proposal, previously declined and not substantially revised, exceeds page length, past deadline, etc.).

Research Performance Project Reports (RPPR)

- All project reporting activities are moving, effective early January 2013, to Research.gov exclusively. Your login to Research.gov is the same as that for FastLane.



Changes and Clarifications

Two Types of Collaborative Proposals

- Can be submitted by one institution – this mechanism uses subawards to fund collaborators.
- Can be submitted by multiple institutions – this mechanism uses web-based linking of multiple individual proposals for funding.
 - Lead: The lead PI (at the lead institution) is responsible for linking the proposals in FastLane.
 - Non-lead: The non-lead PI is responsible for furnishing the lead PI with their PIN and temporary proposal ID so that applications can be linked.

It is not necessary to submit NSF linked collaborative proposals simultaneously.



Changes and Clarifications

Collaborative Proposals (continued)

The lead organization's submission will include:

- Cover Sheet
- Project Summary
- Project Description
- References Cited
- Biographical Sketches
- Budgets and Budget Justification
- Current and Pending support
- Facilities, Equipment and Other Resources
- Data Management Plan
- If applicable, a Mentoring Plan that addresses the mentoring activities for all postdocs for the entire collaborative project



Changes and Clarifications

Collaborative Proposals (continued)

Non-lead organization submissions will include the same documents as the lead organization **except:**

- Project Summary
- Project Description
- References Cited
- Mentoring Plan (if applicable)
- Data Management Plan (must be single plan for all institutions)



Questions

- Questions regarding other relevant changes or clarifications?



STEPS FOR SUCCESS



Steps for Success

- Access the [updated PAPPG](#) and read the new instructions carefully. Significant changes are detailed at the beginning of Part I and Part II.
- For due dates on or after January 14, 2013, submit your proposals according to the new guidelines.
- Visit ORED's [NSF application resources web page](#) for additional information.
- NSF is currently developing a list of Frequently Asked Questions. Please send your questions to policy@nsf.gov.



Steps for Success

- **Proposal Development:** Request proposal development assistance from the Office of Proposal Development well in advance of the application deadline.
- **Proposal Submission:** Provide your completed application to the Office of Sponsored Programs at least four business days in advance of the deadline to ensure proper review and a timely submission.



Steps for Success

Contact Information

- **Narrative:** Contact Tisha Mullen, Director of Proposal Development (472.2894 or tgilreathmullen2@unl.edu).
- **Budget:** Contact Gene Hogan, Senior Proposal Budget Coordinator in the Office of Sponsored Programs (472.3510 or ehogan3@unl.edu).
- **Review & Submission:** Contact your pre-award grants coordinator. Determine who this person is by visiting: <http://research.unl.edu/sp1/index.shtml>.



Thank you!



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