National Science Foundation

Overview

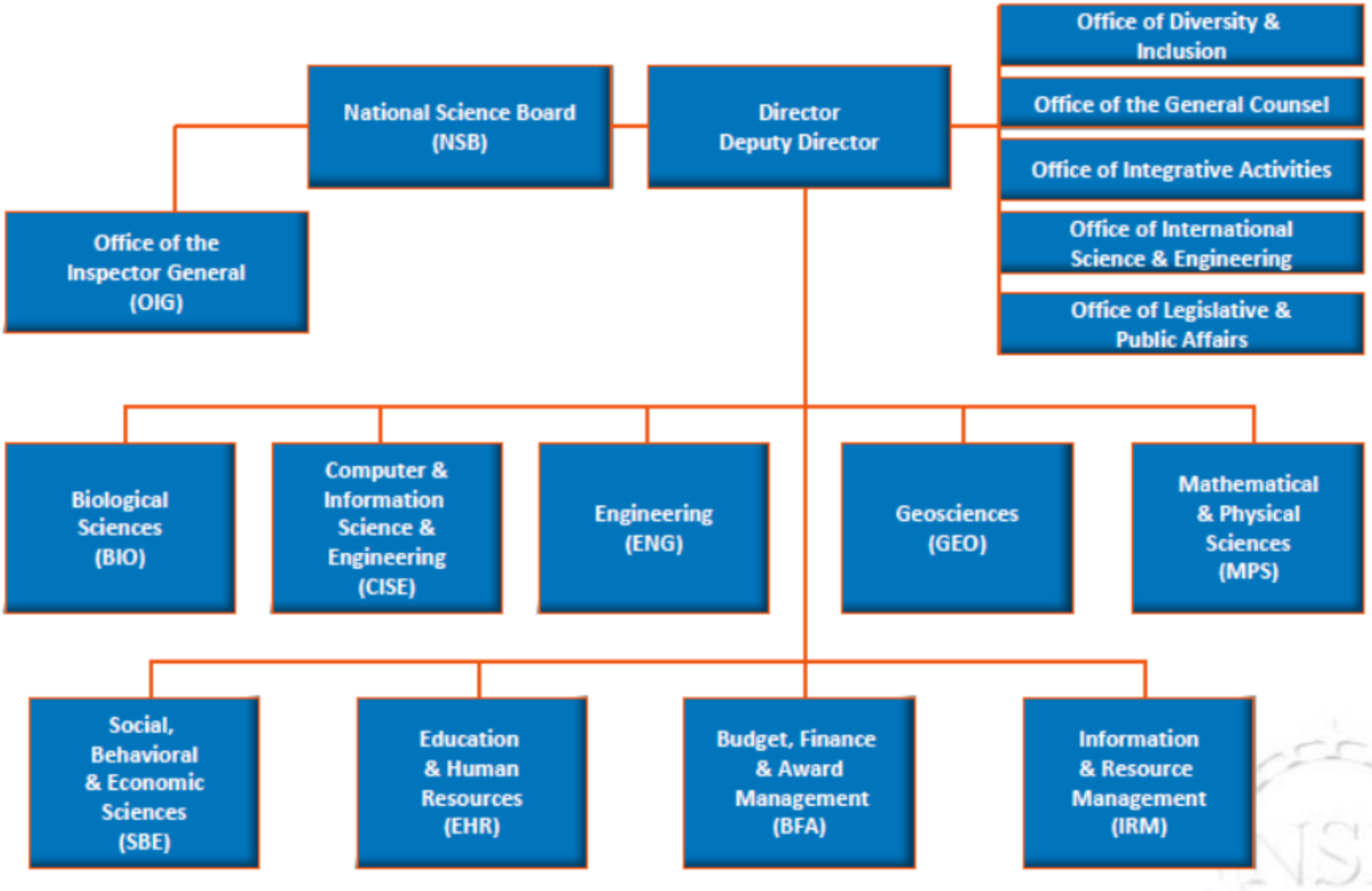
- Overview of NSF Structure and Operation
- Types of NSF Awards
- The National Science Board Merit Review Criteria
- Elements of the Proposal
- The NSF Review Timeline and Process

The National Science Foundation (NSF)

- An independent Federal agency
- Funds research and education in most fields of science and engineering
- Annual budget: Generally ~ $7.5 billion
- Receives ~45,000 proposals each year; ~11,000 funded
- Unlike other science agencies, NSF does not maintain its own research laboratories

Mission: **To promote the progress of science; to advance the national health, prosperity, and welfare; and to secure the national defense.**

Vision: **Advancing discovery, innovation, and education beyond the frontiers of current knowledge, and empowering future generations in science and engineering.**


National Science Board (NSB)
Director
Deputy Director
Office of Diversity & Inclusion
Office of the General Counsel
Office of Integrative Activities
Office of International Science & Engineering
Office of Legislative & Public Affairs
Office of the Inspector General (OIG)
Biological Sciences (BIO)
Computer & Information Science & Engineering (CISE)
Engineering (ENG)
Geosciences (GEO)
Mathematical & Physical Sciences (MPS)
Social, Behavioral & Economic Sciences (SBE)
Education & Human Resources (EHR)
Budget, Finance & Award Management (BFA)
Information & Resource Management (IRM)

NSF Organization

- Discipline-based **Directorates** (7)
  - Biological Sciences
  - Computer & Info Sciences & Engineering (CISE)
  - Education & Human Resources (EHR)
  - Engineering (ENG)
  - Geosciences (GEO)
  - Mathematical & Physical Sciences (MPS)
  - Social, Behavioral & Economic Sciences (SBE)
- **Divisions** within each Directorate
- **Sections** within each Division
- **Programs** within Sections
- **Program Directors** **(permanent and IPAs, aka “rotators”)**

Offices that interact with Grantees

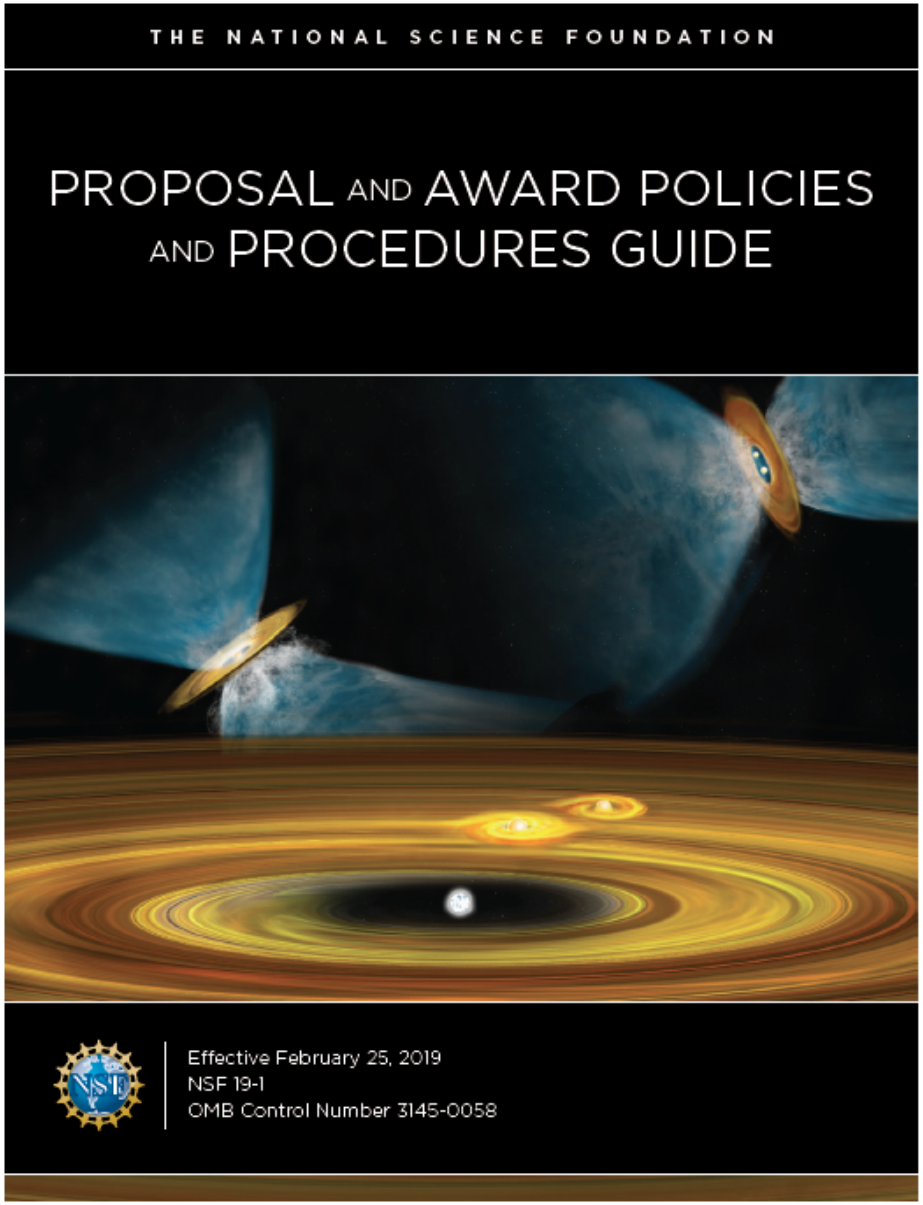
- Division of Grants and Agreements
  - From pre-award through closeout reviews to ensure compliance with NSF policies
  - Responsible for the award and administration
  - Grants & Agreements Officers (Grants Officers) have authority to issue awards
- Policy Office
  - responsible for issuance of NSF pre- and post-award policies
  - provides guidance on policies and procedures
  - Provides clearance - funding announcements

Office of the Inspector General (OIG)

- Independent oversight office that reports directly to the NSB and Congress
- Responsible for conducting audits, reviews, and investigations of NSF programs, and of organizations and individuals that apply for or receive NSF funding
- Investigates allegations of research misconduct, such as plagiarism, falsification, or fabrication

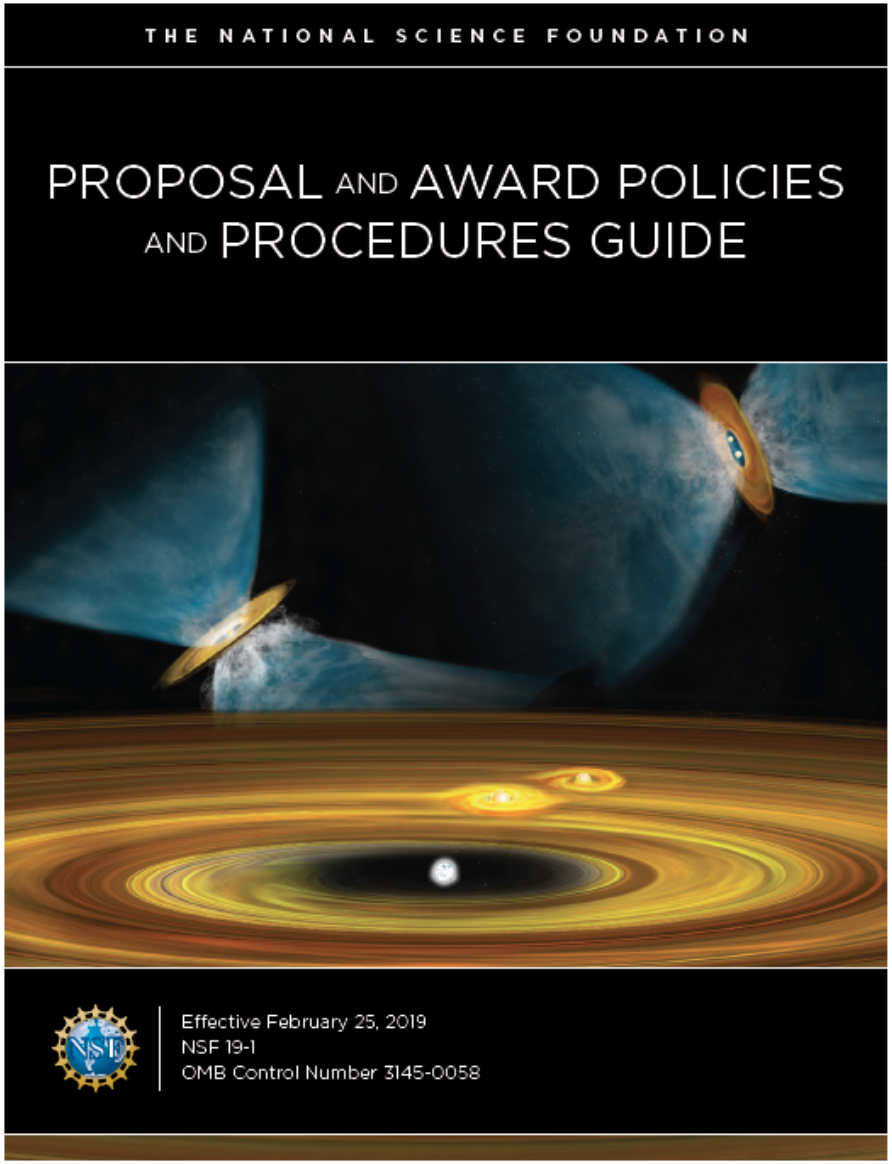
PAPPG – Proposal and Award Policies and Procedures Guide

- Provides guidance for preparation and submission of proposals to NSF
- Describes process and criteria by which proposals will be reviewed
- Outlines reasons why a proposal may be returned without review
- Describes process for withdraws, returns and declinations



PAPPG – Proposal and Award Policies and Procedures Guide

- sets forth NSF policies regarding the award and administration of grants and cooperative agreements
- in conjunction with the award terms and conditions
- If the PAPPG is silent on a specific area covered by 2 CFR § 200, the requirements specified in 2 CFR § 200 must be followed.
- This Guide does not apply to NSF contracts.



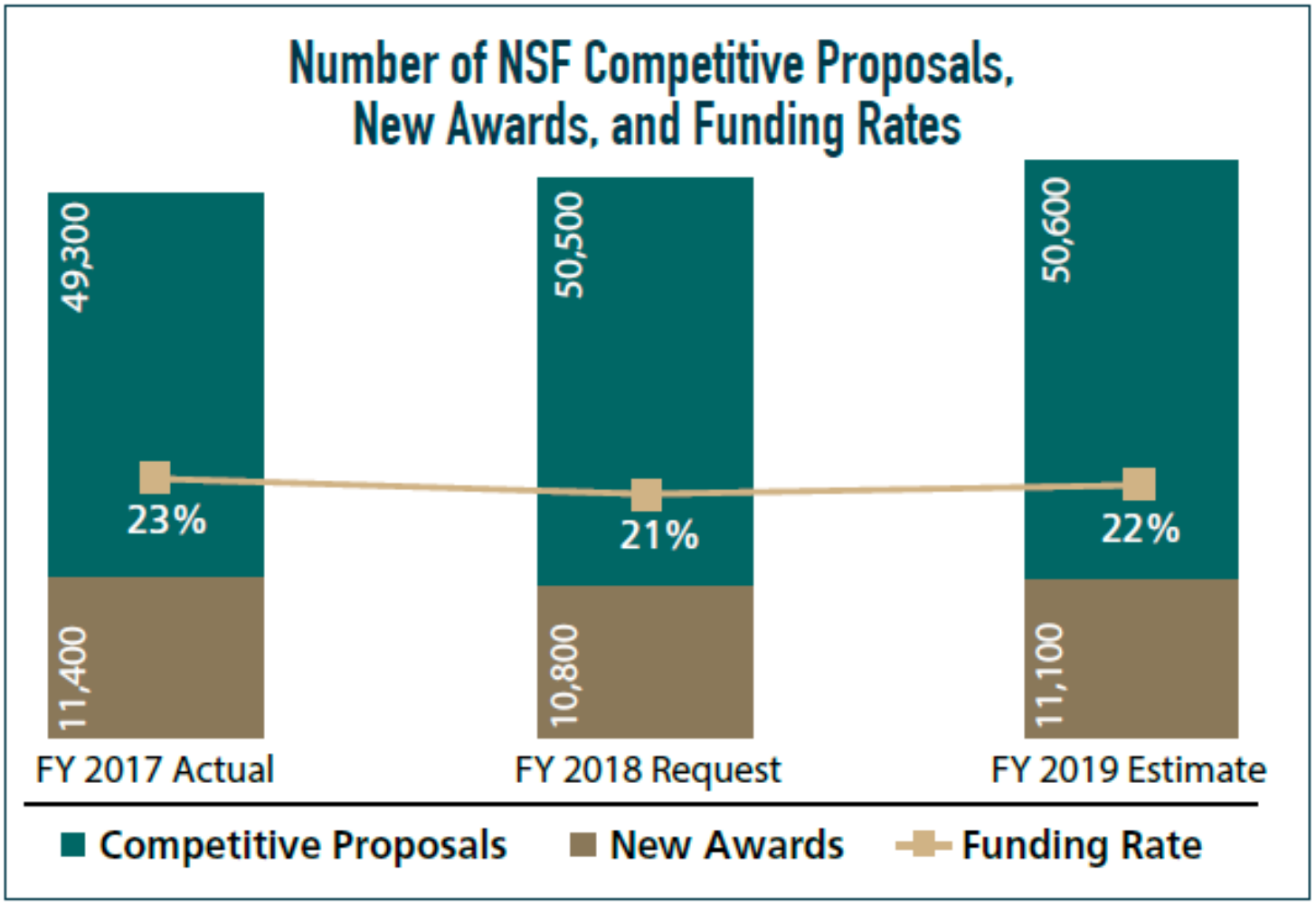
FY 2019 BUDGET REQUEST

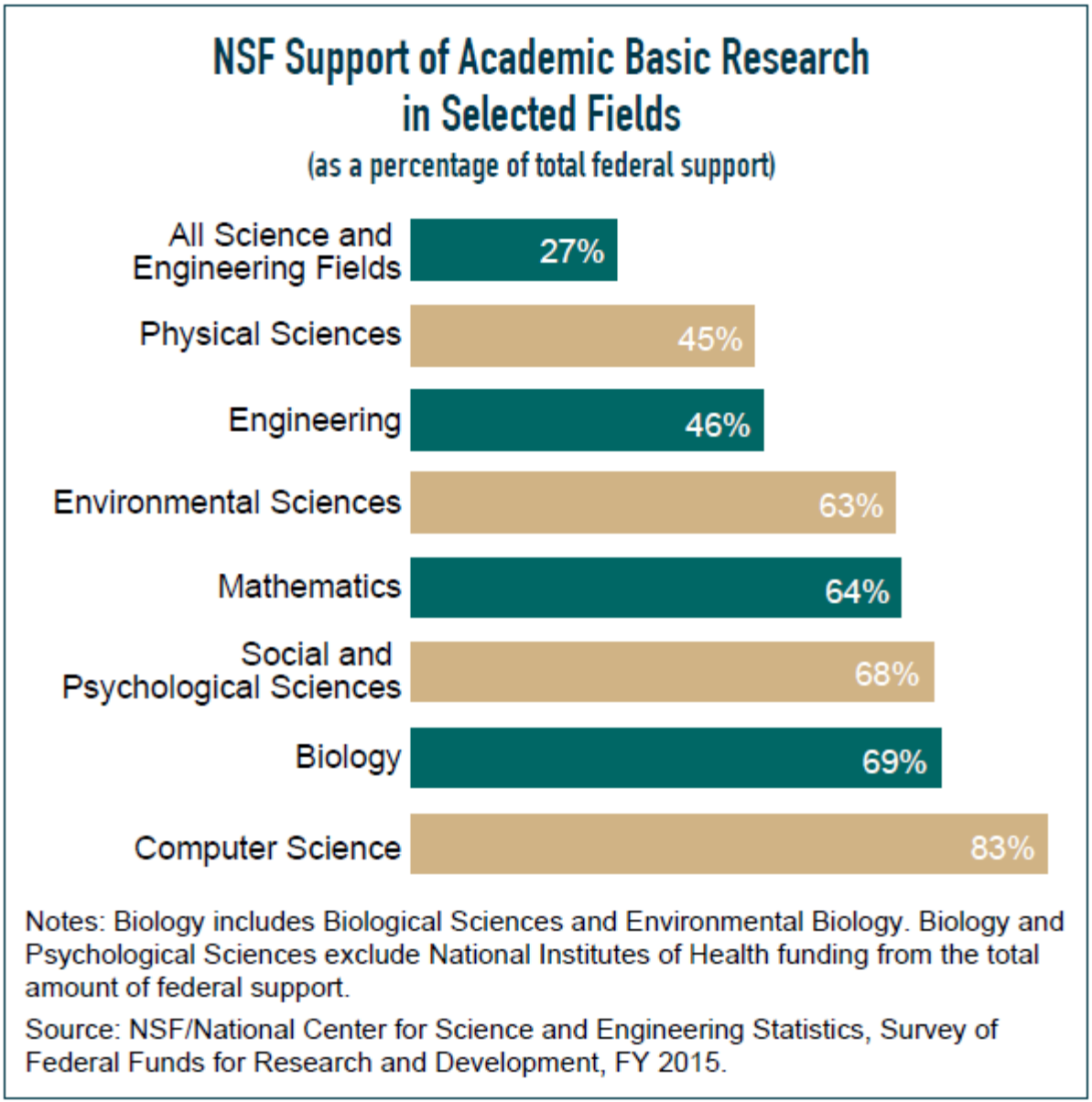
(Dollars in Millions)

NSF by Account	FY 2018 Enacted	FY 2019 Request	change over FY 2018 Amount	Percent
Research & Related Activities	$6,334	$6,151	-$183	-3%
Education & Human Resources	$902	$873	-$29	-3%
Major Research Equipment & Facilities Construction	$183	$95	-$88	-48%
Agency Operations & Award Management	$329	$334	$5	2%
National Science Board	$4	$4	*	*
Office of Inspector General	$15	$15	*	*
Total	**$7,767**	**$7,472**	**-$295**	**-4%**

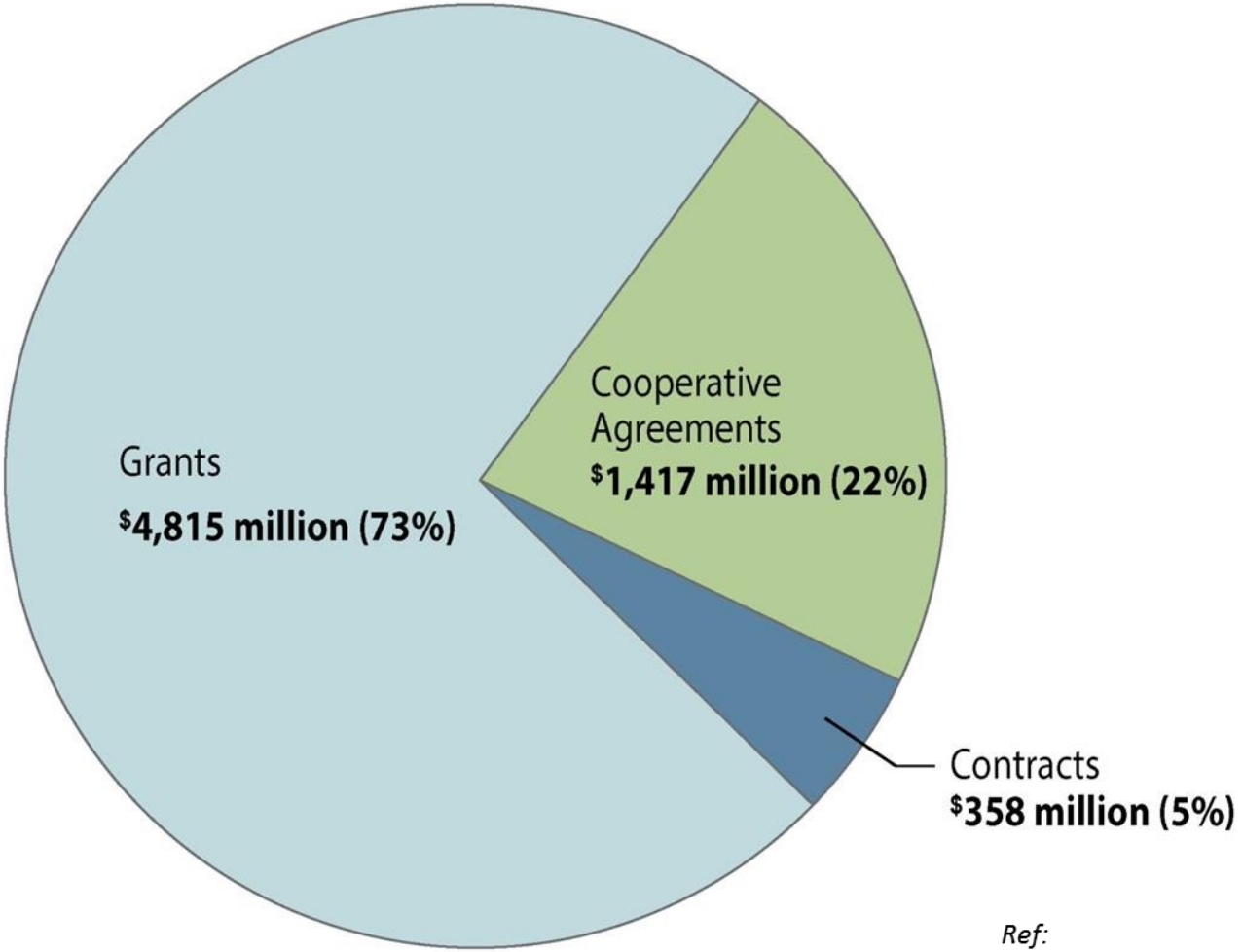
* denotes <$50,000 or <1%

NSF by the Numbers	
$7.5 billion	FY 2017 Enacted Budget
2,000	Colleges, universities, and other institutions receiving NSF funding in FY 2017
49,000	Proposals evaluated in FY 2017 through a competitive merit review process
11,000	Competitive awards funded in FY 2017
203,000	Proposal reviews conducted in FY 2017
359,000	Estimated number of people NSF supported directly in FY 2017 (researchers, postdoctoral fellows, trainees, teachers, and students)
55,700	Students supported by NSF Graduate Research Fellowships since 1952


Number of NSF Competitive Proposals, New Awards, and Funding Rates
49,300
11,400
23%
50,500
10,800
21%
50,600
11,100
22%
FY 2017 Actual
FY 2018 Request
FY 2019 Estimate
Competitive Proposals
New Awards
Funding Rate

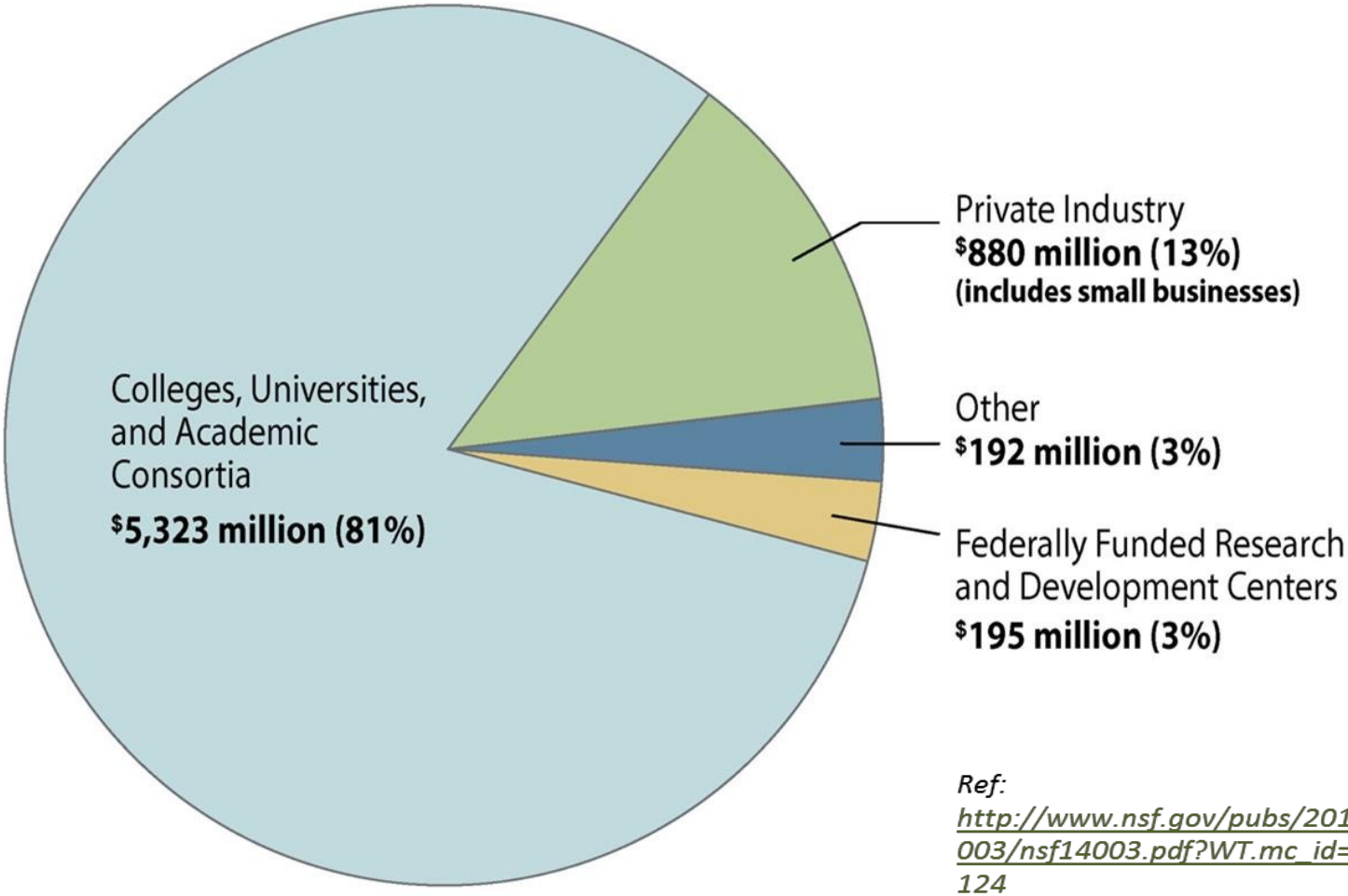

NSF Support of Academic Basic Research in Selected Fields
(as a percentage of total federal support)
All Science and Engineering Fields
27%
Physical Sciences
45%
Engineering
46%
Environmental Sciences
63%
Mathematics
64%
Social and Psychological Sciences
68%
Biology
69%
Computer Science
83%
Notes: Biology includes Biological Sciences and Environmental Biology. Biology and Psychological Sciences exclude National Institutes of Health funding from the total amount of federal support.
Source: NSF/National Center for Science and Engineering Statistics, Survey of Federal Funds for Research and Development, FY 2015.

NSF Award Mechanisms



Ref:
http://www.nsf.gov/pubs/2014/nsf14003/nsf14003.pdf?WT.mc_id=USNSF_124

NSF – Who receives funding?



Ref:
http://www.nsf.gov/pubs/2014/nsf14003/nsf14003.pdf?WT.mc_id=USNSF_124

Categories of Proposers

- **Institutions of Higher Education (IHEs)**
- **Non-profit, Non-academic Organizations**
- **For-profit Organizations**
- **State and Local Governments**
- **Unaffiliated Individuals -** rarely receive direct funding support from NSF
- **Foreign Organizations -** NSF rarely provides funding support to foreign organizations
- **Other Federal Agencies** - NSF does not normally support research or education activities by scientists, engineers or educators employed by Federal agencies or FFRDCs.

What does NSF Fund?

- Research Proposals
- Equipment proposals (Major Research Instrumentation, etc.)
- Conferences, symposia and workshops
- Travel proposals – domestic and international
- Joint solicitations with other agencies ***and more!!!***

Mechanisms to Communicate Funding Opportunities

- **Program Descriptions** broad, general descriptions of programs and activities in NSF Directorates/Offices and Divisions posted on their websites

- **Program Announcements** refers to formal NSF publications that announce NSF programs. Program announcements utilize the generic eligibility and proposal preparation guidelines specified in the PAPPG

- **Program Solicitations** refers publications that encourage the submission of proposals in specific program areas of interest to NSF; more focused than program announcements, and normally apply for a limited period of time.

- **Dear Colleague Letters** (DCLs) provide general information to the community, clarify or amend an existing policy or document, or inform the NSF proposer community about upcoming opportunities or special competitions for supplements to existing awards.

Types of Submissions

- **Letters of Intent (LOI) -** is non binding document that helps NSF program staff gauge the size and range of the competition, enabling earlier selection and better management of reviewers and panelists.
- the information contained in an LOI is used to help avoid potential conflicts of interest in the review process.

Preliminary Proposals

Reasons for requiring submission of a preliminary proposal are to:

- Reduce the proposers' unnecessary effort in proposal preparation when the chance of success is very small. This is particularly true of exploratory initiatives when the community senses that a major new direction is being identified, or competitions that will result in a small number of awards;
- Increase the overall quality of the full submission; and
- Assist NSF program staff in managing the review process and in the selection of reviewers.
- Invite/Not Invite Decisions
- Encourage/Discourage Decisions

Full Proposals

(1) objectives and scientific, engineering, or educational significance of the proposed work;

(2) suitability of the methods to be employed;

(3) qualifications of the investigator and the grantee organization;

(4) effect of the activity on the infrastructure of science, engineering and education, if applicable;

(5) amount of funding required

It should present the intellectual merit and broader impacts of the proposed project

When to Submit Proposals?

- **Target dates:** dates after which proposals will still be accepted, although they may miss a particular panel or committee meeting
- **Deadline dates:** dates after which proposals will not be accepted or will be returned without review by NSF
- **Submission windows:** designated periods of time during which proposals will be accepted for review by NSF. It is NSF's policy that the end date of a submission window converts to, and is subject to, the same policies as a deadline date
- **Special Exceptions to NSF's Deadline**

Electronic Submission of Proposals

Research.gov

NSF is transferring functions from Fastlane to Research.gov. Currently available:

Submission of non-collaborative proposals

Check Proposal status

Notifications and Requests

Project reports

Deposit Public Access Publication

Submit or manage payment transactions

Program Income Reporting

Administration – user management

Submission of Proposals by Former NSF Staff

- From one year following separation from the foundation by a former employee or IPA
- Must name a “substitute negotiator” for a new proposal.
- Must be from the same organization as the PI or co-PI
- Information should be submitted as a single copy document and uploaded in the “Additional Single Copy Documents” category.

Sections of the Proposal

- Cover Page
- Project Summary (1 page)
- Table of Contents – automatically generated
- Project Description (15 pages)
- References Cited
- Biographical Sketches
- Budget and Budget Justification (limited to 5 pages)
- Current & Pending Support
- Facilities, Equipment, and Other Resources
- Special Information and Supplementary Documentation
- Single Copy Documents

Proposal Single-Copy Documents for “NSF Use Only”

a) Authorization to deviate form NSF proposal preparation requirements
b) List of Suggested Reviewers or reviewers Not to include
c) Proprietary or privileged information
d) Proposal certifications
e) Collaborators and other affiliations information

Project Summary

- Summary of the proposed project not more than one page in length. The Project Summary consists of an overview, a statement on the intellectual merit of the proposed activity, and a statement on the broader impacts of the proposed activity.

- Overview
  - description of the activity that would result
  - statement of objectives and methods

- Intellectual merit should describe the potential of the proposed activity to advance knowledge.

- Broader impacts should describe the potential of the proposed activity to benefit society and contribute to the achievement of specific, desired societal outcomes.

Project Description (15 pages)

- Detailed description of the project's overall purpose, specific objectives and expected significance including contribution to present state of knowledge and description of experimental methods and procedures.
- Proposers should address what they 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.
- Results from prior NSF support, includes an award with an end date in the past five years; or any current funding, including any no cost extensions,
- Section labeled "Intellectual Merit"
- Section labeled "Broader Impacts"

References

- This section is required
- Include: Author(s), article and journal title, vol. #, page numbers, year of publication
- If available electronically, include URL
- Follow an accepted scholarly format
- Do NOT include commentary parenthetical to narrative!
- No page limit

Biographical Sketches

- Required for Senior Personnel (PI's, co-PI's and Faculty Associates)
- Two-page limit, NSF format required:
  - Professional preparation
  - Appointments
  - Products (Publications, data sets, software, patents, copyrights))
  - Synergistic activities
- Optional: Other personnel w/exceptional qualifications may be listed (Postdocs, GRA's, etc.)
- Must be uploaded as separate pdfs for each individual

Budget

- Must be supplied for each year of project duration plus a cumulative budget (form 1030)
- Inclusion of Voluntary Committed cost sharing is prohibited. Mandatory cost sharing is shown on Line M.
- Budget Justification required for all major items (5-page limit). Should detail the rates of pay by individual for senior personnel, postdoctoral associates, and other professionals.
- Each subaward must include a separate budget justification of no more than five pages.

Budget Notes – Salary Compensation

As a general policy, NSF limits the salary compensation requested in the proposal budget for senior personnel to no more than **two months of their regular salary in any one year.** This limit includes salary compensation received from **all NSF-funded** grants. If anticipated, any compensation for such personnel in excess of two months must be disclosed in the proposal budget, justified in the budget justification, and must be specifically approved by NSF in the award notice budget.

Under normal rebudgeting authority, an awardee can internally approve an increase or decrease in person months devoted to the project after an award is made, even if doing so results in salary support for senior personnel exceeding the two month salary policy. No prior approval from NSF is necessary as long as that change would not cause the objectives or scope of the project to change. NSF prior approval is necessary if the objectives or scope of the project changes.

Participant Support

- Refers to direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with NSF-sponsored conferences or training projects.
- Payments to human subjects are not participant support and theses costs go under the “Other Direct Cost” category.
- Speakers and trainers generally are not considered participants and should not be included in this section of the budget.
- may not be budgeted to cover room rental fees, catering costs, supplies, etc. related to an NSF-sponsored conference.

Cost Share - Voluntary Committed and Uncommitted Cost Sharing

- *Voluntary committed cost sharing* means cost sharing specifically pledged on a voluntary basis in the proposal's budget and becomes a binding requirement of Federal award. Inclusion of voluntary committed cost sharing is prohibited by NSF.
- Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the NSB, or legislation. Mandatory cost sharing is shown on line M of the budget.
- Organizational resources are described in the Facilities, Equipment and Other Resources section.
- Grantee may, at its own discretion, continue to contribute voluntary uncommitted cost sharing.

Current and Pending Support

- Information on all current and pending support for ongoing projects and proposals, including current proposal.
- Includes total award amount as well as the number of person-months per year to be devoted to the project
- Current project support from whatever source (e.g., Federal, State, local, foreign, public or private foundations, industrial or other commercial organizations, or internal funds allocated toward specific projects) must be listed.
- All other projects of time of the PI and any other senior personnel must be included, even if they receive no salary support from the project(s).

Additional Documentation

Facilities, Equipment and Other Resources

- Used to assess the adequacy of the organizational resources available to complete the project successfully
- Must describe only those resources that are directly applicable

Special Info and Supplementary Documentation

- Included if needed for special circumstances (Performing part of project off campus or in foreign countries, documenting collaborative arrangements, environmental impacts, etc.)
- Not to be used as an appendix

Letters of Collaboration – limited to stating the intent to collaborate, should not contain endorsement or evaluation of the proposal.

Letters of Support – not allowed unless required by specific solicitation

Appendix - May be included only if a deviation from guidelines has been requested and authorized by NSF!

Postdoctoral Mentorship Plan

NSF grant applications that include funding support for post-doctoral fellows must include a mentoring plan. In no more than one page, the mentoring plan must describe the mentoring that will be provided to all postdoctoral researchers supported by the project, regardless of whether they reside at the submitting organization, any subrecipient organization, or at any organization participating in a simultaneously submitted collaborative proposal.

Examples of mentoring activities include:

- career counseling;
- training in preparation of grant proposals
- Training in publications and presentations
- guidance on ways to improve teaching and mentoring skills
- guidance on how to effectively collaborate with researchers from diverse backgrounds and disciplinary areas
- training in responsible professional practices.

Data Management Plan

- All proposals must describe plans for data management and sharing of the products of research.
- Proposals must include a document of no more than two pages uploaded under "Data Management Plan" in the supplementary documentation section.
    1. the types of data, samples, physical collections, software, curriculum materials, and other materials to be produced in the course of the project;
    2. the standards to be used for data and metadata format and content (where existing standards are absent or deemed inadequate, this should be documented along with any proposed solutions or remedies);
    3. policies for access and sharing including provisions for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights or requirements;
    4. policies and provisions for re-use, re-distribution, and the production of derivatives; and
    5. plans for archiving data, samples, and other research products, and for preservation of access to them

Separate Collaborative Proposals

- Proposals from 2+ institutions linked together in FastLane with one lead organization
- Title begins with “Collaborative Research”
- Each institution is awarded funds separately by NSF, but work together as a common unit on research
- Lead organization will link proposals from collaborative institutions by using a temporary proposal # and PIN
- All components of the collaborative proposal must meet any established deadline date, and failure to do so may result in the entire collaborative proposal being returned without review.
- Alternative: Single Proposal Method, Lead institution subcontracts to collaborators

Separate Collaborative

Lead Organization

Cover Sheet

Project Summary

Project description

References Cited

Biographical Sketches

Budget/Budget Justification

Current & Pending Support

Facilities, Equipment & Other Resources

Data Management Plan

Postdoc mentoring Plan

Collaborators & Affiliations

Non-Lead Organization

Cover Sheet

Biographical Sketches

Budget/Budget Justification

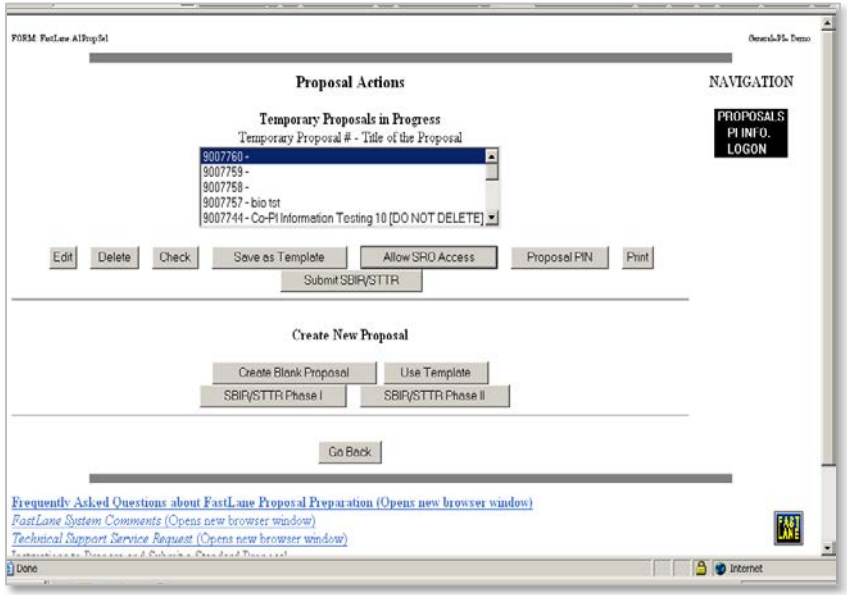
Current & Pending Support

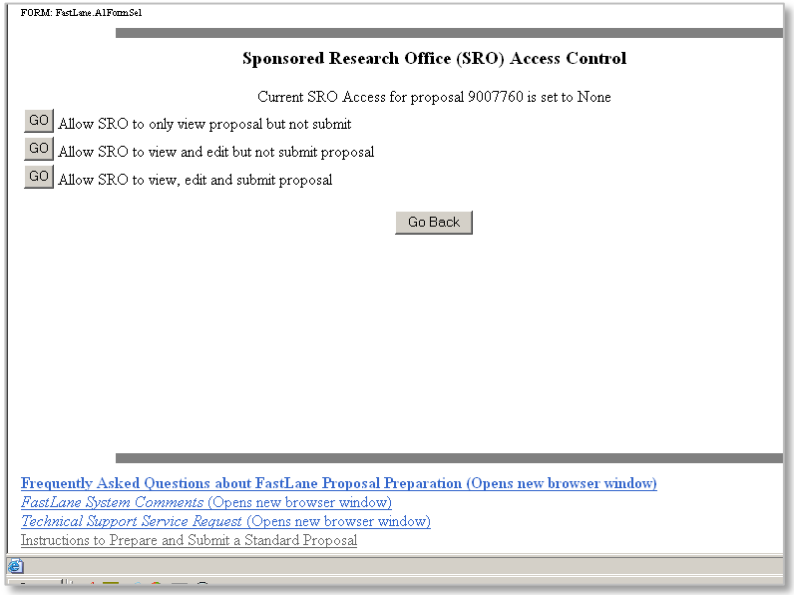
Facilities, Equipment & Other Resources

Collaborators & Affiliations

Submitting the Proposal

- Once the proposal has been completed, allow SRO/OSP access
- OSP submits the proposal to NSF electronically
- Only an Authorized Official can sign/submit a proposal





Rapid Response Research (RAPID) Proposal

Rapid release of funds and expedited merit review

having a severe urgency with regard to availability of, or access to data, facilities or specialized equipment, including quick-response research on natural or anthropogenic disasters and similar unanticipated events

Requirements:

- Program Manager approval
- Budget consistent with project scope and existing programmatic activities (up to $200K for 1 year)
- Require internal review/with optional external input
- Up to 5-page project description
- Title begins with RAPID:

Early Concept Grant for Exploratory Research (EAGER)

Type of proposal used to support exploratory work in its early stages on untested, but potentially transformative, research ideas or approaches. May be considered especially "high risk-high payoff" in the sense that it, for example, involves radically different approaches, applies new expertise, or engages novel disciplinary or interdisciplinary perspectives.

- Contact Program Officer for prior submission approval
- No more than 8 page project description
- Up to $300K and up to two year duration
- Internal review with optional external input

Research Advanced by Interdisciplinary Science and Engineering (RAISE) Proposal

RAISE is a type of proposal that may be used to support bold, interdisciplinary projects whose:

1. Scientific advances lie in great part outside the scope of a single program or discipline, such that substantial funding support from more than one program or discipline is necessary.
2. Lines of research promise transformational advances.
3. Prospective discoveries reside at the interfaces of disciplinary boundaries that may not be recognized through traditional review or co-review.

- Contingent on Two Program Officers' approval to submit a proposal
- Requests may be for up to $1,000,000 and up to five years in duration.

Grant Opportunities for Academic Liaison with Industry (GOALI) Proposal

Type of proposal that seeks to stimulate collaboration between academic research institutions and industry. GOALI is not a separate program; GOALI proposals must be submitted to an active NSF funding opportunity

- Contact the Program Officer prior to submission
- At least one industrial co-PI must be listed on the Cover Sheet at the time of submission although the industrial participant cannot use or receive any NSF funds;
- Letter from the industrial partner that confirms the participation of a co-PI from industry must be submitted with the proposal
- Academic and industry partners should agree in advance as to how intellectual property (IP) rights will be handled.

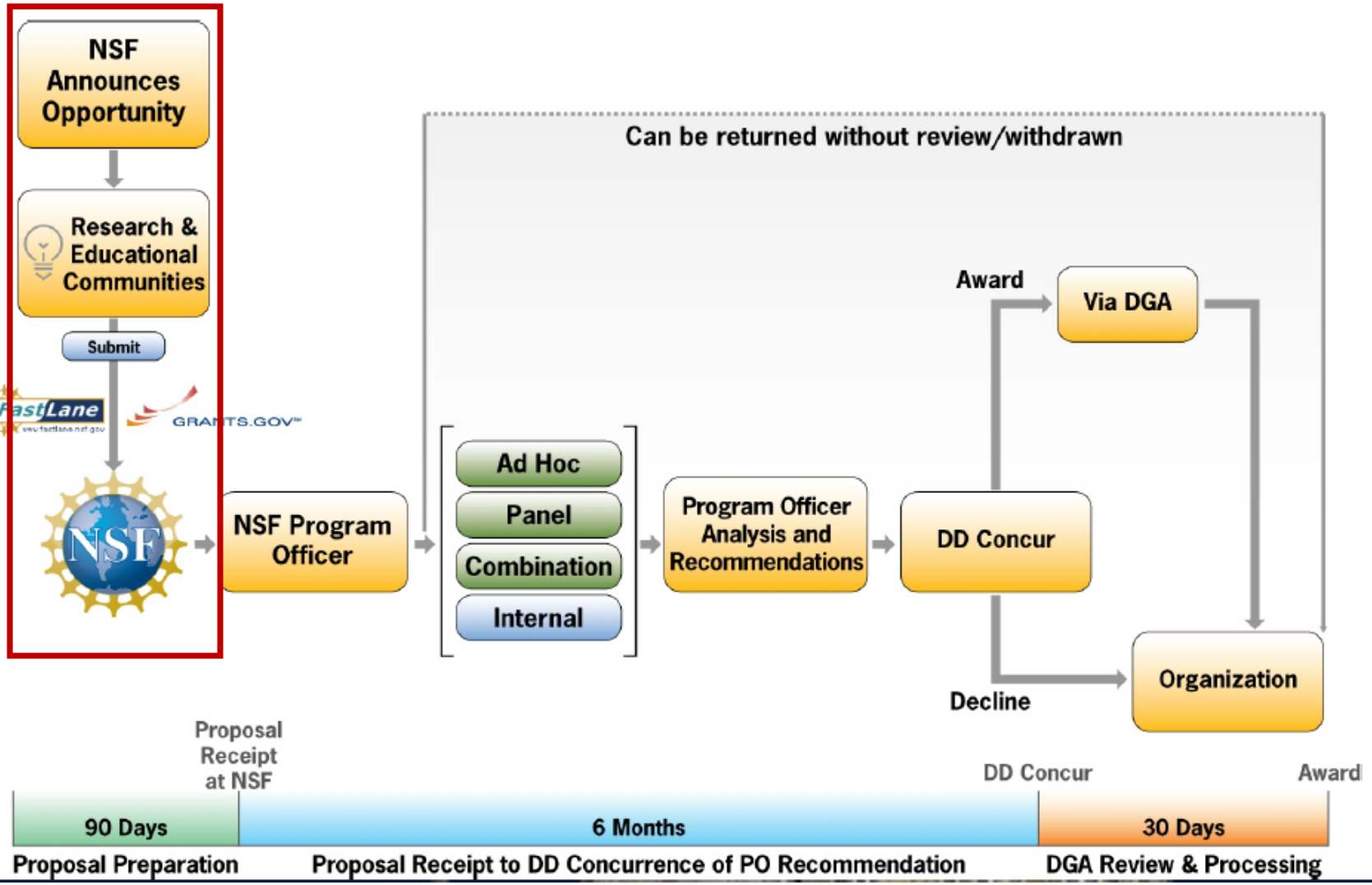
Ideas Lab Proposal

- Supports the development and implementation of creative and innovative project ideas that have the potential to transform research paradigms and/or solve intractable problems. The Ideas Lab type of proposal is implemented using the four-stage process:
- Stage 1: Selection of Panelists
- Stage 2: Selection of Participants
- Stage 3: Ideas Lab - A diverse sub-set of participants from a range of disciplines and backgrounds will be selected from the submitted applications by NSF and will be brought together in an intensive, interactive and free-thinking environment, where participants immerse themselves in a collaborative dialog in order to construct bold and innovative approaches.
- Stage 4: Review and recommendation of full proposals - a sub-set of these teams are then invited to submit full proposals.

Facilitation Awards for Scientists and Engineers with Disabilities (FASED)

- To reduce or remove barriers to participation in research and training by persons with physical disabilities by providing special equipment and assistance under awards made by NSF
- To encourage persons with disabilities to pursue careers in science and engineering by stimulating the development and demonstration of special equipment that facilitates their work performance.

NSF Proposal & Award Process Timeline



Merit Review Criteria: Guiding 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.
- **Intellectual merit and Broader impacts**

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

- Advance knowledge and understanding within its own field or across different fields (Intellectual Merit); and
- Benefit society or advance desired societal outcomes (Broader Impacts)?
- To what extent do the proposed activities suggest and explore creative, original, or potentially transformative concepts?
- 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?
- How well qualified is the individual, team, or organization to conduct the proposed activities?
- Are there adequate resources available to the PI (either at the home organization or through collaborations) to carry out the proposed activities?

Program Officer Review

- **Upon receipt at NSF, proposals are routed to the correct program office.**
- **NSF staff conducts a preliminary review to ensure they are:**
  - Complete;
  - Timely; and
  - Conform to proposal preparation requirements.

- **NSF may not accept a proposal or may return it without review if it does not meet the requirements above.**

Types of Reviews

- ***Ad hoc*: Proposals sent out for review**
  - *Ad hoc* reviewers usually have specific expertise in a field related to the proposal.
  - Some proposals may undergo *ad hoc* review only.

- **Panel: Face-to-face sessions conducted by reviewers mainly at NSF but also in other settings**

  - Panel reviewers usually have a broader scientific knowledge.
  - Some proposals may undergo only a panel review.
  - Some proposals may undergo reviews by multiple panels (especially for those proposals with crosscutting themes).

Funding Decisions

- The merit review panel summary provides:

  - Review of the proposal and a recommendation on funding.

  - Feedback (strengths and weaknesses) to the proposers.

- NSF Program Officers make funding recommendations guided by program goals and portfolio considerations.
- NSF Division Directors either concur or reject the Program Officers' funding recommendations.
- Recommendation goes to Division of Grants and Agreements(DGA) or the for review of business, financial and policy implications.

Non-Award Decisions and Transactions

- Withdrawal – may be done anytime prior to a funding recommendation
  - PI or Sponsored Projects office may initiate
- Proposal Not Accepted or Returned Without Review
- Declinations – PI – will receive information and an explanation of the reason(s) for declination along with copies of the reviews
- Reconsideration - If the PI is not satisfied that the proposal was fairly handled and reasonably reviewed, may request reconsideration
- Resubmission – only after it has undergone substantial revision

Issuing the Award

- NSF's Division of Grants and Agreements (DGA) reviews the recommendation from the program office for business, financial, and policy implications.

- NSF's grants and agreements officers make the official award as long as:

  - The institution has an adequate grants management capacity.

  - The PI/Co-PIs do not have overdue annual or final reports.

  - There are no other outstanding issues with the institution or PI.

Types of Awards

- **Standard Grants -** a type of grant in which NSF agrees to provide a specific level of support for a specified period of time with no statement of NSF intent to provide additional future support without submission of another proposal. Typically a 3 or 5 year award period.

- **Continuing Grant** - a type of grant in which NSF agrees to provide a specific level of support for an initial specified period of time, usually a year, with a statement of intent to provide additional support of the project for additional periods, provided funds are available and the results achieved warrant further support.

- **Supplements** to standard grants

NSF Awards

- Grantees are free to accept or reject the grant as awarded
- NSF transmits award notices to organizations via e-mail.
- **Normally a request to drawdown funds constitutes acceptance, however in limited circumstances NSF may require formal acceptance of a grant.**

- Composition of an NSF award includes:
  - The award notice including any special conditions applicable to the award and any numbered amendments
  - General Federal award information required by 2CFR 200.21
  - The budget, which indicates the amount by categories of expenses
  - The applicable NSF general conditions referenced in the award notice
  - The proposal referenced in the award notice
  - Any NSF program announcement, program solicitation or other document or special requirements incorporated by reference in the award notice.

Grantee Responsibilities

The grantee has full responsibility for the conduct of the project or activity supported under an NSF grant and for the results achieved. Assure that expenditures are allowable, necessary and reasonable for the conduct of the project, and that the proposed action:

- is consistent with grant terms and conditions;
- is consistent with NSF and grantee policies;
- represents effective utilization of resources; and
- does not constitute changes in objectives or scope.

Grantee Notifications to NSF and Requests for NSF Approval

Grantee approved no-cost extension – one time up to 12 months

Changes in objective or scope

- Significant changes in Methods or Procedures
- Significant changes, delays or Events of Unusual Interest

Changes in PI/PD, co-PI/co-PD or Person-Months Devoted to the Project

- Changes in PI/PD, co-PI/co-PD or Person-Months Devoted to the Project
- Disengagement of PI for period greater than 3 months
- Withdrawal of PI/PD or co-PI/co-PD
- Substitute PI/PD or co-PI/co-PD
- Disposition of a Grant When a PI/PD Transfers from One Organization to Another Organization

Subawarding, Transferring or Contracting Out Part of an NSF Award (Subaward)

PI Transfers

- Option to nominate a substitute PI
- Request that the grant be terminated and closed out
- Facilitate transfer of the grant to the new organization via a tripartite agreement (NSF and original and new organization)
  - Original organization relinquishes the award completes online transfer request including total disbursements
  - PI provide brief summary of progress to date and description of work to be done
  - New organization provides detail budget for the transferred amount

Technical Reporting Requirements

Annual Project Reports - should be submitted no later than 90 days prior to the end of the current budget period to allow adequate time for the cognizant Program Officer to review and approve the report.

Interim project reports - are not required and are used to update the progress of a project any time during or before the award period expires

Final project reports should be submitted no later than 120 days following end date of the grant.

Project outcomes report - (for general public)
The Project Outcomes Report is a report written for new and existing awards, specifically for the public.

Submitted via Research.gov

Financial Reporting Requirements

- A final cost share notification documented and certified by the AOR for grants where there is mandatory cost sharing established for the program.

- The Award Cash Management Service (ACM$) is NSF's approach to award payments and post-award financial processes. Requires the submission of award level detail at the time of payment request.

- Program Income: Registration fees collected under NSF-supported conferences are considered program income. On an annual basis, grantees are required to submit a Program Income Reporting Worksheet to NSF in order to report program income earned and expended

Other Cost Considerations

Pre-award costs

- Grantees may incur allowable pre-award costs within the 90-day period immediately preceding the start date of the grant providing:
  - (a) the approval of pre-award spending is made and documented in accordance with the grantee's procedures; and
  - (b) the advanced funding is necessary for the effective and economical conduct of the project.
- Pre-award expenditures are made at the grantee's risk.

Post end date costs

Publication and Printing costs, grantees may charge the NSF award before closeout for the costs of publication or sharing of research results, if the costs are not incurred during the period of performance of the award.

Conflict of Interest Policies

- NSF requires each grantee organization employing more than fifty persons to maintain an appropriate written and enforced policy on conflict of interest and that all conflicts of interest for each award be managed, reduced or eliminated prior to the expenditure of the award funds.

FCOI

- An organizational conflict of interest policy should require that each investigator disclose to a responsible representative of the organization all significant financial interests of the investigator (including those of the investigator's spouse and dependent children): (i) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding by NSF; or (ii) in entities whose financial interests would reasonably appear to be affected by such activities.
- The term "investigator" means the PI/PD, co-PI/co-PDs, and any other person identified on the proposed project who is responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by NSF.
- The term "significant financial interest" means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interest (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights).

FCOI - The term does not include:

- a. salary, royalties or other remuneration from the proposing organization;
- b. any ownership interests in the organization, if the organization is an applicant under the Small Business Innovation Research Program or Small Business Technology Transfer Program;
- c. income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities;
- d. income from service on advisory committees or review panels for public or nonprofit entities;
- e. an equity interest that, when aggregated for the investigator and the investigator's spouse and dependent children, meets both of the following tests: does not exceed $10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a 5% ownership interest in any single entity; or
- f. salary, royalties or other payments that, when aggregated for the investigator and the investigator's spouse and dependent children, are not expected to exceed $10,000 during the prior twelve-month period.

Responsible Conduct of Research (RCR)

NSF's implementation of Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act --

The responsible and ethical conduct of research (RCR) is critical for excellence, as well as public trust, in science and engineering. Consequently, education in RCR is considered essential in the preparation of future scientists and engineers.

An institution must have a plan in place to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF to conduct research.

While training plans are not required to be included in proposals submitted to NSF, institutions are advised that they are subject to review, upon request.

RESEARCH MISCONDUCT

- means fabrication, falsification, or plagiarism in proposing or performing research funded by NSF, reviewing research proposals submitted to NSF, or in reporting research results funded by NSF.
- The Office of Inspector General oversees investigations of research misconduct

Questions