Submitting NSF Proposals in Research.gov

April 27, 2023

Research Administration Workshop

Presented by the

UC Davis Sponsored Programs Office

UCDAVIS
OFFICE OF RESEARCH

Instructors

Alyssa Bunn
Proposals Team Leader

Perry King
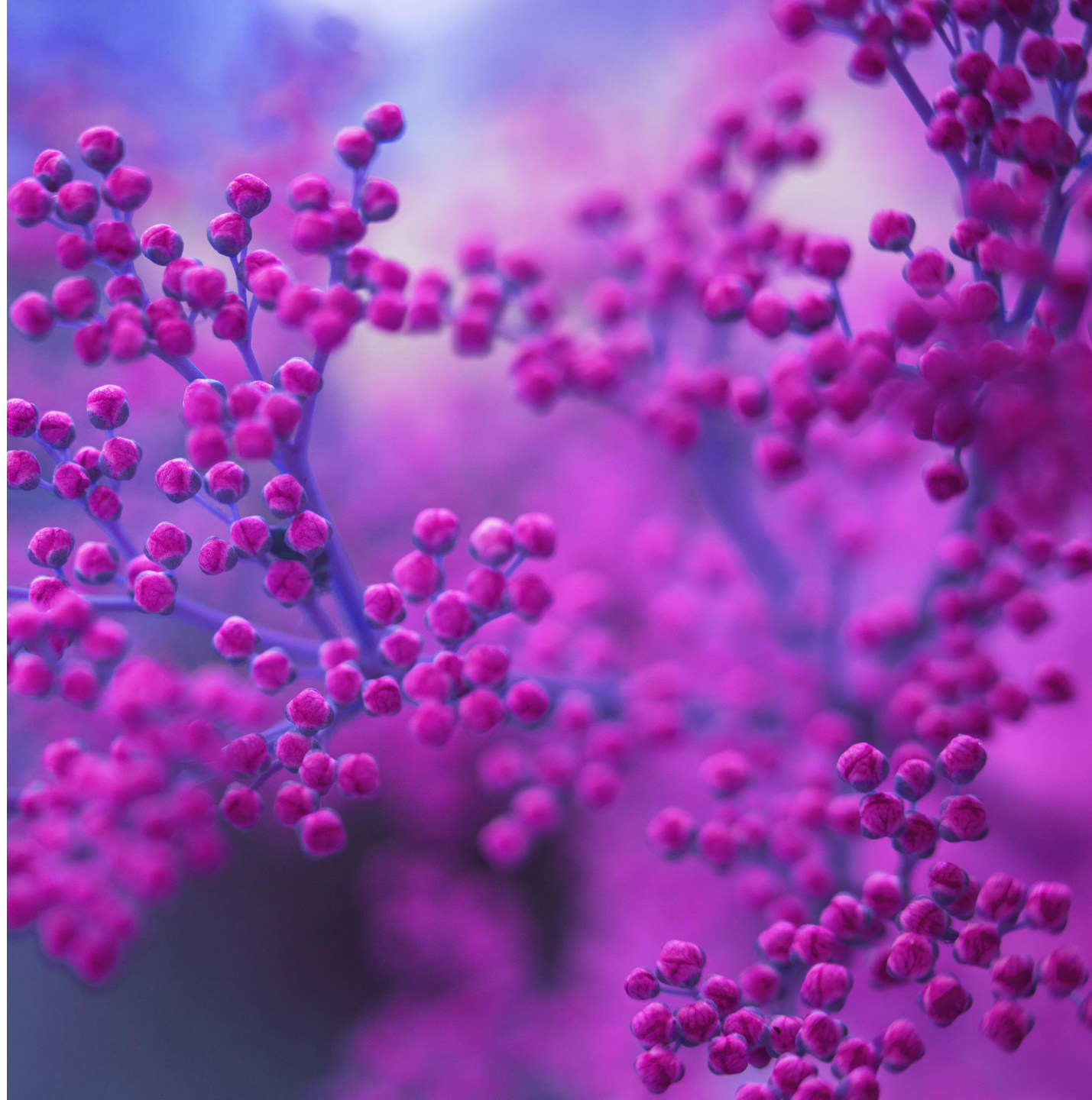Training Officer

Sponsored Programs Office (SPO)

Learning Objectives

- Know how to determine the required elements of an NSF application

- Understand how to create an application in Research.gov

- Know where to find helpful resources

Training Outline

- Research.gov Overview

- Research.gov Lab

- Resources

NSF Proposal Submission Overview

Find NSF Funding Opportunity Announcements (FOAs) in a variety of ways:

- **UC Davis Finding Funding page**
  - **Weekly Research Funding Updates** *(click link on page above to subscribe)*
  - **Pivot**
  - **Grants.gov**
- **NSF funding website**

Read the FOA guidelines carefully

- NSF proposals must also abide by the **NSF Proposal and Award Policies & Procedures Guide (PAPPG)**
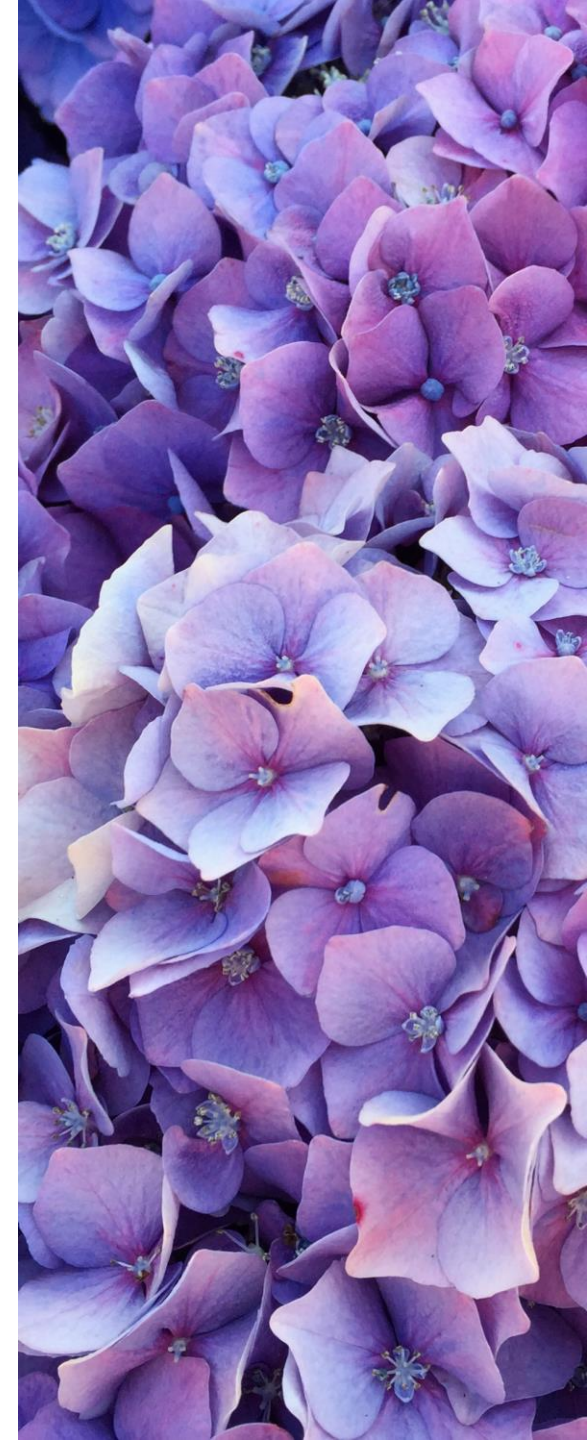
NSF Proposal Submission Overview

Tools to assist with NSF proposal preparation:

- **IRS Research Development Toolbox** (in box.com): This has NSF templates for all common proposal elements:

- SPO checklists:
  - **Call for Proposals Checklist**: Helps extract key information from a call for proposals (2 pages)
  - **New Proposals Checklist**: Items to consider when you begin preparing a new grant proposal (4 pages)
  - **Proposal Preparation Checklist**: Assists with proposal preparation (1 page)
 - **Budget Justification Checklist**: Budget justification checklist (1 page)

NSF Proposal Submission Overview

First Step: Route IPF (Internal Processing Form; i.e., "Proposal") in **Cayuse SP** for internal approvals.

The certified (by PIs & Co-PIs) and authorized (by dept/dean's office) IPF (internal processing Form) should be received by SPO **at least 5 business days before NSF deadline**.

Minimum Documents to be included with IPF for SPO Review/Approval:

- **Budget** (spreadsheet)
- **Budget justification**
- **Scope of Work** (may submit a draft and provide the final before submission to sponsor)
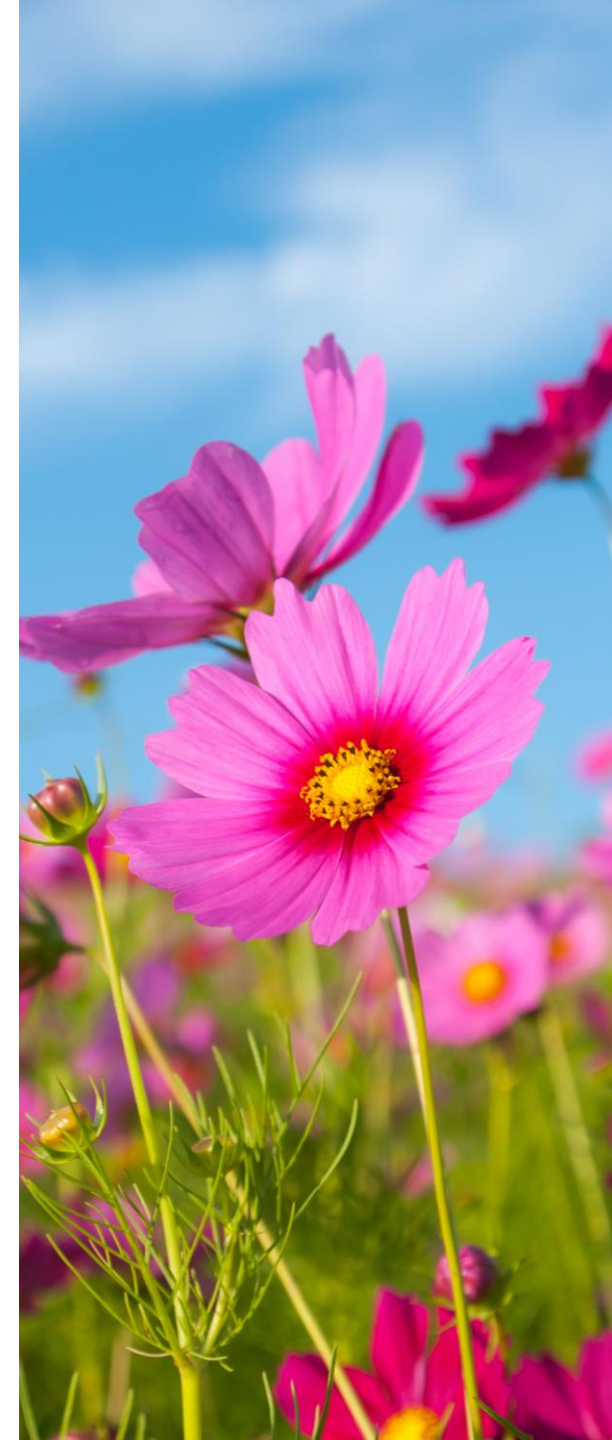
Form 800

Required for **all NSF proposals**

Required for **all investigators**

Due **before** submission to NSF

Electronic Conflict of Interest (eCOI)

Online Form Submission

https://or-forms.ucdavis.edu/

Form 800 (Non-PHS Government Sponsors/Human Subject Research)

Must be filed at time of proposal, annually, and/or within 30 days of acquiring a new outside financial interest.

Required for all investigators (all persons who have responsibility for the design, conduct or reporting of the research). List of non-PHS government sponsors

Need Assistance? Email or_coi@ad3.ucdavis.edu

NSF Collaborative Proposals

Collaborative proposals are those in which investigators from two or more organizations wish to collaborate on a unified research project.

There are two methods to submit these to NSF:

1. **Subaward**: A **single proposal** is submitted by the lead organization that includes subawards to non-leads.
2. **Simultaneous Submission**: Simultaneous proposals are submitted from different organizations, each requesting a **separate award**.
    - The lead institution uploads the main documents and links the separate awards in Research.gov.
    - Non-leads provide their proposal #s to the lead (to link) and enter their own budgets and personnel documents.
    - NSF then funds these as **separate but linked awards**.
    - NSF PAPPG guidelines re: Collaborative Proposals

What's Happened to FastLane?

- **NSF discontinued the use of FastLane** to submit proposals in <u>January 2023</u>.

- Letters of intent and proposals submitted (and in-progress) via FastLane **will not be transferred to Research.gov**. See <u>Instructions to Access and Download/Print FastLane Proposals and Supplemental Funding Requests</u>

- **FastLane Decommissioning Deadline**
  - **Friday, September 29, 2023** is the last day to:
    - Submit proposal file updates and budget revisions in FastLane (5pm local time)
    - Withdraw proposals submitted in FastLane (5pm local time)
    - Access FastLane submitted and in-progress letters of intent and proposals (11pm EST)
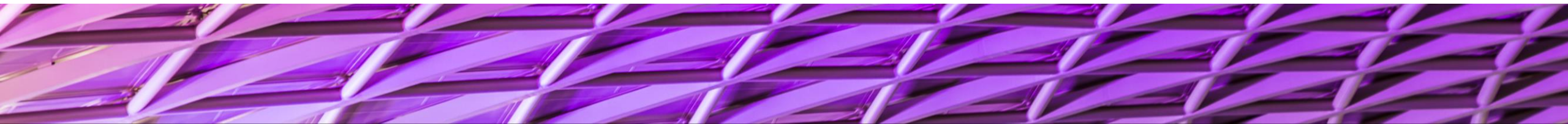
Research.gov

Research.gov provides quick access to research information and grants management services, all in one location.

🔒 To access restricted features, add a role

Proposals

Prepare and Submit Proposals
(Letters of Intent, Preliminary, Full, Renewal, Postdoctoral Fellowships and SBIR/STTR)

🇫 Access FastLane for Limited Functionality 🔒
(Proposal File Updates, Proposal Downloads, Budget Revisions)

Demo Site: Prepare Proposals (Training)

🇫 Proposal Status 🔒

Awards & Reporting

Notifications & Requests 🔒

Supplemental Funding Requests (including Career-Life Balance)

Demo Site: Supplemental Funding Requests (Training)

Project Reports 🔒

Continuing Grant Increments Reports 🔒

Award Documents 🔒

🇫 Award Functions 🔒

NSF Public Access Repository (NSF-PAR):
Add Research Products 🔒
Manage Research Products 🔒

Fellowships

Graduate Research Fellowship Program (Applicants, Fellows)

Graduate Research Fellowship Program (Officials) 🔒

Manage Financials

ACM$ (Award Cash Management $ervice) 🔒

Program Income Reporting

Individual Banking
(Postdoctoral Fellows, Honorary Awardees, Invitational Travelers, and other payees)

🇫 Financial Functions 🔒

Grant Post-Award Financial Contacts

Administration

User Management 🔒

🇫 Research Administration 🔒

🇫 Look Up NSF ID

Role:
Other Authorized User (OAU)

- Allows a user to **assist a PI** with proposal preparation (and more)
- The **PI must initiate the proposal** and provide the OAU with the **proposal ID number**

Research.gov Registration

Users must have an NSF ID and be affiliated with UC Davis

- Each user can have **only one NSF ID**. Confirm you don't already have an NSF Account:
  - NSF account lookup: https://www.fastlane.nsf.gov/researchadmin/nsfIdLookupRead.do *(yes, still FastLane)*

There are only three roles available to prepare proposals: **PI (or Co-PI)**, **OAU**, and **Postdoctoral Fellow**

- **Register for an NSF account** at https://www.research.gov/accountmgmt/#/registration and select the appropriate role.
- Request affiliation using UC Davis's UEI number *(TX2DAGQPENZ5; found on SPO's Institutional Information page)*.
- UC Davis **SPO will be notified** to approve and grant access.
- **To expedite the process**: SPO recommends you **email your name,** (UCD) **email address** and **NSF ID** (found under "My Profile"), to **spoerahelp@ucdavis.edu**.

NSF page: How to Register for an NSF ID

PI Responsibilities

In Research.gov, the PI is required to take the lead on a number of key activities:

- Initiating a proposal

- Adding OAUs to a proposal

- Sharing proposal with SPO

How a PI Initiates a Proposal

From the Research.gov home page:

Prepare and Submit Proposals

Letters of Intent, Preliminary, Full, Renewal, Postdoctoral Fellowships, and SBIR/STTR

What would you like to work on?

ℹ Only users with a Principal Investigator (PI), Sponsored Projects Office (SPO), or Authorized Organizational Representative (AOR) role can prepare new letters of intent. Only users with a Principal Investigator (PI) role can prepare new proposals (including renewals). Additional roles can be requested from the Add a New Role page.

My Desktop

🔒 To access restricted features, add a role

Proposals

Prepare and Submit Proposals
(Letters of Intent, Preliminary, Full, Renewal, Postdoctoral Fellowships and SBIR/STTR)

Prepare New

Answer a few questions to set up letters of intent or proposals (including renewals ☐).

Prepare New ▼
Letter of Intent
Preliminary Proposal
Full Proposal
Renewal Proposal
Accomplishment-Based Renewal

In Progress

Continue working on a previously prepared letter of intent or proposal that has not yet been submitted to the NSF.

Work with In Progress ▼

Submitted and Updates

View or download a submitted letter of intent or proposal. Perform a Proposal File Update/Budget Revision on a submitted proposal.

View/Update Submitted ▼

ℹ Proposal File Update (PFU) / Budget Revision

ℹ Proposal Withdrawal

This leads to a series of prompts to:
- Select the specific funding opportunity
- Further define the proposal being submitted

How a PI Adds an OAU to a Proposal

From the initiated proposal:

Proposal - 13478

Give Feedback >

Proposal Title:	Demo proposal for UCD NSF class 4/27/23 ☑ Edit
Funding Opportunity:	NSF 23-507 ☐ - Experiential Learning for Emerging and Novel Technologies
Where to Apply:	Dir for Tech, Innovation, & Partnerships (TIP) - Innovation and Technology Ecosystems (ITE), ExLENT
	☑ Manage Where to Apply
Proposal Type:	Research
Submission Type:	Full Proposal
Collaborative Type:	Not Collaborative

* Due Date: 09/14/2023 ☑
ⓘ Date Type: Deadline

Proposal Actions
🔒 **Share Proposal with SPO/AOR**   ⓘ
👥 Manage Personnel and Subaward Organizations
🖨 Print Proposal
🗑 Delete Proposal

Proposal Sections	Last Updated	Compliance Status [Key]
Required		
Cover Sheet		Form not checked
Project Summary		Document unavailable for check
Project Description		Document unavailable for check
References Cited		Document unavailable for check
Budget(s)		Form not checked

How a PI Adds an OAU to a Proposal

How a PI Adds an OAU to a Proposal

Note:
While the PI can add **Co-PIs** or other **Senior Personnel**, an assigned OAU can also perform this function on the PI's behalf.

Methods to identify an OAU:
- NSF ID
- Email

Manage Personnel (Prime Organization)

Give Feedback >

For National Science Foundation ⓘ

ⓘ Senior Personnel Roles   ▶ Video: How to Manage Personnel

| Show All ⬍ | | | Showing **1-1** of 1 |

Senior Personnel		Add co-Principal Investigator	Add Other Senior Personnel
Personnel Name	**Role**	**Organization**	**Actions**
Perry King	Principal Investigator	National Science Foundation	

| Show All ⬍ | | | Showing **1-1** of 1 |

Other Authorized User(s) - Data preparation only ⓘ			Add Other Authorized User
Personnel Name ⬍	**Organization** ⬍	**Actions**	
There are currently no Other Authorized Users.			

Giving SPO Access to Submit Proposal

The AOR submits proposals on behalf of UC Davis.

Proposal - 13478

Give Feedback >

Proposal Title:	Demo proposal for UCD NSF class 4/27/23 ☑ Edit
Funding Opportunity:	NSF 23-507 ☑ - Experiential Learning for Emerging and Novel Technologies
Where to Apply:	Dir for Tech, Innovation, & Partnerships (TIP) - Innovation and Technology Ecosystems (ITE), ExLENT
	☑ Manage Where to Apply
Proposal Type:	Research
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Proposal Actions	Proposal Sections	Last Updated	Compliance Status [Key]
🔒 Share Proposal with SPO/AOR ⓘ	**Required**		
👥 Manage Personnel and Subaward Organizations	Cover Sheet		Form not checked
	Project Summary		Document unavailable for check
🖨 Print Proposal	Project Description		Document unavailable for check
	References Cited		Document unavailable for check
🗑 Delete Proposal	Budget(s)		Form not checked

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Giving SPO Access to Submit Proposal

Share Proposal with SPO/AOR

Give Feedback >

Share the proposal with the ⓘ Sponsored Projects Office (SPO) and ⓘ Authorized Organizational Representative (AOR) by changing the assigned access to the proposal. Any errors or warnings associated with the proposal are also shown below.

Current SPO/AOR Proposal Access

Change Proposal Access

The SPO/AOR can be given permission to view or edit the proposal, and the AOR can be given an additional permission to submit.

Sponsored Projects Office (SPO)
Proposal not shared

Authorized Organizational Representative (AOR)
Proposal not shared

Giving SPO Access to Submit Proposal

Proposal Sections: Form Not Checked

Compliance Status Key   ✕

The following statuses may appear as your proposal is updated. View the specific proposal section to see specific errors and warning messages.

Form not checked: Initial status before any validation occurs on a data entry form

Document unavailable for check: A document has not been uploaded into the section

Error(s) will prevent submission: These errors can be forwarded to the SPO/AOR but will stop the submission of the proposal if not fixed

Warning(s): Items that should be manually checked before submission

No issues found: All compliance checks have been successfully met

Close

Proposal –

Proposal Title:

Funding Opportun

Where to Apply:

Proposal Type:

Submission Type:

Collaborative Type

Give Feedback >

*Due Date: 09/14/2023 ✎

ℹ Date Type: Deadline

Proposal Actions		Compliance Status [Key]
🔒 Share Proposal with SPO/AOR ℹ		
👥 Manage Personnel and Subaward Organizations		
🖨 Print Proposal		
🗑 Delete Proposal		

	What does this mean?	
Cover Sheet		Form not checked
Project Summary		Document unavailable for check
Project Description		Document unavailable for check
References Cited		Document unavailable for check
Budget(s)		Form not checked

Proposal Sections: Document unavailable for check

Proposal –

Proposal Title:
Funding Opportuni
Where to Apply:

Proposal Type:
Submission Type:
Collaborative Type

Give Feedback >

* Due Date: 09/14/2023 ✎
ⓘ Date Type: Deadline

Compliance Status Key ✕

The following statuses may appear as your proposal is updated. View the specific proposal section to see specific errors and warning messages.

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Close

Proposal Actions		Compliance Status [Key]
🔒 Share Proposal with SPO/AOR ⓘ		
👥 Manage Personnel and Subaward Organizations	Cover Sheet	Form not checked
	Project Summary	Document unavailable for check
🖨 Print Proposal	Project Description	Document unavailable for check
	References Cited	Document unavailable for check
🗑 Delete Proposal	Budget(s)	Form not checked

Proposal Budget

Co-PIs and other **Senior Personnel** added under '**Manage Personnel and Subaward Organizations'** automatically appear in the budget.

mo proposal for UCD NSF class 4/27/23 ☑ Edit

F 23-507 ☐ - Experiential Learning for Emerging and Novel Technologies

for Tech, Innovation, & Partnerships (TIP) - Innovation and Technology Ecosystems (ITE), ExLENT

Manage Where to Apply
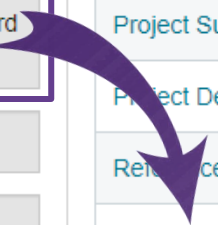
search

Proposal

Collaborative

Give Feedback >

*Due Date: 09/14/2023 ☑
ⓘ Date Type: Deadline

Proposal Actions	
🔒 Share Proposal with SPO/AOR ⓘ	
👥 Manage Personnel and Subaward Organizations	
🖨 Print Proposal	
🗑 Delete Proposal	

Proposal Sections	Last Updated	Compliance Status [Key]
Required		
Cover Sheet		Form not checked
Project Summary		Document unavailable for check
Project Description		Document unavailable for check
References Cited		Document unavailable for check
Budget(s)		Form not checked

Proposal Budget

When you select '**Budget**', you arrive to this interim window.

Simply click the link under '**Budget for:**' to continue.

Proposal Budget

Note: the budget always starts on **Year 1** of the project only.

To remove personnel who will receive no funding, select '**Manage**'.

Budget (Prime Organization)

For National Science Foundation ⓘ

Give Feedback >

$0
Total Requested Amount

▶ Video: How to Work on a Proposal Budget

Expand all rows | Collapse all rows

Years in Budget: **1**

Add Year

Delete Year

Personnel Direct Costs

Section	Year 1 # Personnel	Year 1 Months	Year 1 Funds	Total Funds Requested
⊖ A. Senior Personnel [Manage]	2	0.00	$0	$0
Perry King (PI)		0.00	$ 0	$0
Kassie M Obelleiro (co-PI)		0.00	$ 0	$0
⊖ B. Other Personnel ⓘ	0		$0	$0

Proposal Budget

Manage Senior Personnel Shown in Budget
For National Science Foundation

Any Senior Personnel with zero funds requested, should be removed from the budget, and instead noted in the Facilities, Equipment and Other Resources section.

Select personnel below, then use the >> button to remove the person from the budget. To select multiple personnel, hold the Ctrl key when selecting personnel.

Shown in Budget

Perry King (PI)
Kassie M Obelleiro (co-PI)

Removed from Budget

»

«

You can add additional senior personnel to your proposal, and make changes to personnel information by navigating to the Manage Personnel and Subaward Organizations page.

Update Budget Personnel   Cancel

Give Feedback >

$0
Total Requested Amount

Any **senior personnel** or **postdoctoral researchers** for whom no funds are being requested in the budget should have their role explained in the '**Facilities, Equipment and Other Resources**' section.

⊖ B. Other Personnel ⓘ   0 $0 $0

Proposal Budget

Question:

Co-PI Obelleiro will have no effort charged during year 1, but will have effort in subsequent years. Should she be included on the first page of the budget?

Yes, with zero Months and Funds, since removing her from the first page will remove her from subsequent years.

Proposal Budget

Add individuals not considered **Senior Personnel** under '**Other Personnel**' by indicating the **number involved**.

For **multiple individuals** in a category row, **total all their months and funds**.

Personnel Direct Costs				
Section	**Year 1**			**Total Funds Requested**
	# Personnel	**Months**	**Funds**	
A. Senior Personnel [Manage]	2	0.00	$0	$0
Perry King (PI)		0.00	$ 0	$0
Kassie M Obelleiro (co-PI)		0.00	$ 0	$0
B. Other Personnel ⓘ	0		$0	$0
Postdoctoral Scholars ⓘ	0	0.00	$ 0	$0
Other Professionals	0	0.00	$ 0	$0
Graduate Students	0		$ 0	$0
Undergraduate Students	0		$ 0	$0
Administrative/Clerical	0		$ 0	$0
Other	0		$ 0	$0
Total Salaries and Wages for Senior and Other Personnel (A-B)			$0	$0

Proposal Budget

A **Postdoctoral Mentoring Plan** is required when postdocs are included in the budget.

There is a Proposal Section specifically for the **Postdoctoral Mentoring Plan**.

Personnel Direct Costs				
Section	**Year 1**			**Total Funds Requested**
	# Personnel	Months	Funds	
⊖ A. Senior Personnel [Manage]	2	0.00	$0	$0
Perry King (PI)		0.00	$ 0	$0
Kassie M Obelleiro (co-PI)		0.00	$ 0	$0
⊖ B. Other Personnel ⓘ	0		$0	$0
Postdoctoral Scholars ⓘ	0	0.00	$ 0	$0
Other Professionals	0	0.00	$ 0	$0
Graduate Students	0		$ 0	$0
Undergraduate Students	0		$ 0	$0
Administrative/Clerical	0		$ 0	$0
Other	0		$ 0	$0
Total Salaries and Wages for Senior and Other Personnel (A-B)			$0	$0

Proposal Budget

Participant Support Costs

Additional Direct Costs			
Section	**Year 1**		**Total Funds Requested**
	# Participants	**Funds**	
⊕ D. Equipment ⓘ		$0	$0
⊕ E. Travel		$0	$0
⊕ F. Participant Support Costs		$0	$0
⊖ G. Other Direct Costs		$0	$0
Materials and Supplies		$ 0	$0
Publication Costs/Documentation/Distrib		$ 0	$0
Consultant Services		$ 0	$0
Computer Services		$ 0	$0
Other		$ 0	$0
H. Total Direct Costs (A-G)		$0	$0

Proposal Budget

Participant Support Costs

Participants receive services or training from a workshop, conference, seminar, symposium or other short-term instructional or information sharing activity funded by a sponsored award. Participants do not perform work or provide services other than for their own benefit.

The following <u>cannot</u> be participants:
- UC Davis employees
- Students or project staff who receive compensation for work performed directly or indirectly from the grant
- Research subjects receiving incentive payments
- Federal employees
- Paid speakers or other invitees providing a service

Include costs such as:
- Stipends
- Subsistence allowances
- Travel allowances
- Registration fees for meetings, conferences, symposia or training projects

Proposal Budget

Question:

Where in the **'Additional Direct Costs'** section of the budget should **GSR Tuition/Fees** be entered?

Additional Direct Costs			
Section	**Year 1**		**Total Funds Requested**
	# Participants	Funds	
⊕ D. Equipment ⓘ		$0	$0
⊕ E. Travel		$0	$0
⊕ F. Participant Support Costs		$0	$0
⊖ G. Other Direct Costs		$0	$0
Materials and Supplies		$ 0	$0
Publication Costs/Documentation/Distrib		$ 0	$0
Consultant Services		$ 0	$0
Computer Services		$ 0	$0
Other		$ 0	$0
H. Total Direct Costs (A-G)		$0	$0

Proposal Budget

To add an additional year, select '**Add Year**'

Select '**Copy from an existing year**' to copy data entered in Year 1

Research.gov Demo Site

Now is your chance to ~~play~~ practice ☺.

1. Log into **research.gov** (https://www.research.gov/)

2. Select **'Demo Site: Prepare Proposals'**

   *The **Demo Site** can be problematic. If you encounter an error message, try logging out of research.gov then back in.*

🔒 To access restricted features, add a role

Prepare and Submit Proposals
(Letters of Intent, Preliminary, Full, Renewal, Postdoctoral Fellowships and SBIR/STTR)

🔲 Access FastLane for Limited Functionality 🔒
(Proposal File Updates, Proposal Downloads, Budget Revisions)

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Supplemental Funding Requests (including Career-Life Balance)

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Add Research Products ⬈ 🔒
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🔲 Financial Functions 🔒

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Administration

User Management 🔒

🔲 Research Administration 🔒

🔲 Look Up NSF ID

Research.gov Demo Site

3. **Your goal**: Enter all the info you can for a new **full proposal** based on the project in the next slide.

    - *Due to **Demo Site** limitations, you will have the role of **PI**.*
    - *A **calculator** will help with the budget.*

Research.gov Demo Site

Download Scenario Budget from https://research.ucdavis.edu/wp-content/uploads/Scenario-Budget-4-27-23.xlsx

Create a **Full Proposal** (Research) – single proposal – for **Funding Opportunity NSF 23-507**

Additional Project Details to complete Project Summary and Budget

- You will need to include yourself as PI.
- Co-PI (but consider as PI) Harris Lewin (lewin@ucdavis.edu), Department of Viticulture and Enology
- Co-PI Barbara Horwitz (bahorwitz@ucdavis.edu), Department of Music (no summer effort)
- OAU: Grace I Liu (giliu@ucdavis.edu). Organization: University of California-Davis

- Research will be done on-campus:
  UC Davis (the "Prime Organization"), One Shields Avenue, Davis, CA 95616-5270

- The research involves human subjects
  - Approved IRB protocol #12345, approved 3/15/23
  - UC Davis Federal Wide Assurance Number: FWA00004557
    (online at https://research.ucdavis.edu/about-us/institutional-information/)
  - From PAPPG: "If available at the time of proposal submission, the [IRB] determination notice should be uploaded as an "Other Supplementary Document"."

Learning Objectives Recap

- Know how to determine the required elements of an NSF application

- Understand how to create an application in Research.gov

- Know where to find helpful resources

Contact Us

Let us know how we did:

https://ucdavis.co1.qualtrics.com/jfe/form/SV_4HhzAkhwupoqFTw

Alyssa Bunn
Contracts and Grants Officer
Email: aabunn@ucdavis.edu

Perry King
Training Officer
Email: pking@ucdavis.edu

NSF Resources

- NSF Proposal and Award Policies & Procedures Guide (PAPPG)

- NSF account lookup (to make sure you don't create a duplicate NSF account): https://www.fastlane.nsf.gov/researchadmin/nsfIdLookupRead.do

- Register for an NSF account at https://www.research.gov/accountmgmt/#/registration

- Research.gov Help ("About Proposal Preparation and Submission")
  - Video Tutorials
  - How-To Guides

- Research.gov System Help System (library of articles)

UC Davis Resources

- [UC Davis Finding Funding page](#)

- Electronic Conflict of Interest page (eCOI): https://or-forms.ucdavis.edu

- [Institutional Information](#)

- To expedite a new NSF account, email spoerahelp@ucdavis.edu *(incl. name, email and NSF ID)*

- [Call for Proposals Checklist](#): Helps extract key information from a call for proposals (2 pgs)

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- [Budget Justification Checklist](#): Budget justification checklist (1 pg)

- [UC Davis Sponsored Programs Office (SPO)](#)

- [SPO Training](#)

- Proposal questions? Write proposals@ucdavis.edu