Overview of Proposal Preparation, Submission and Review

To ask a question, please use the chat function in Zoom

If your question is not answered during the webinar, please feel free to email it to pose@nsf.gov
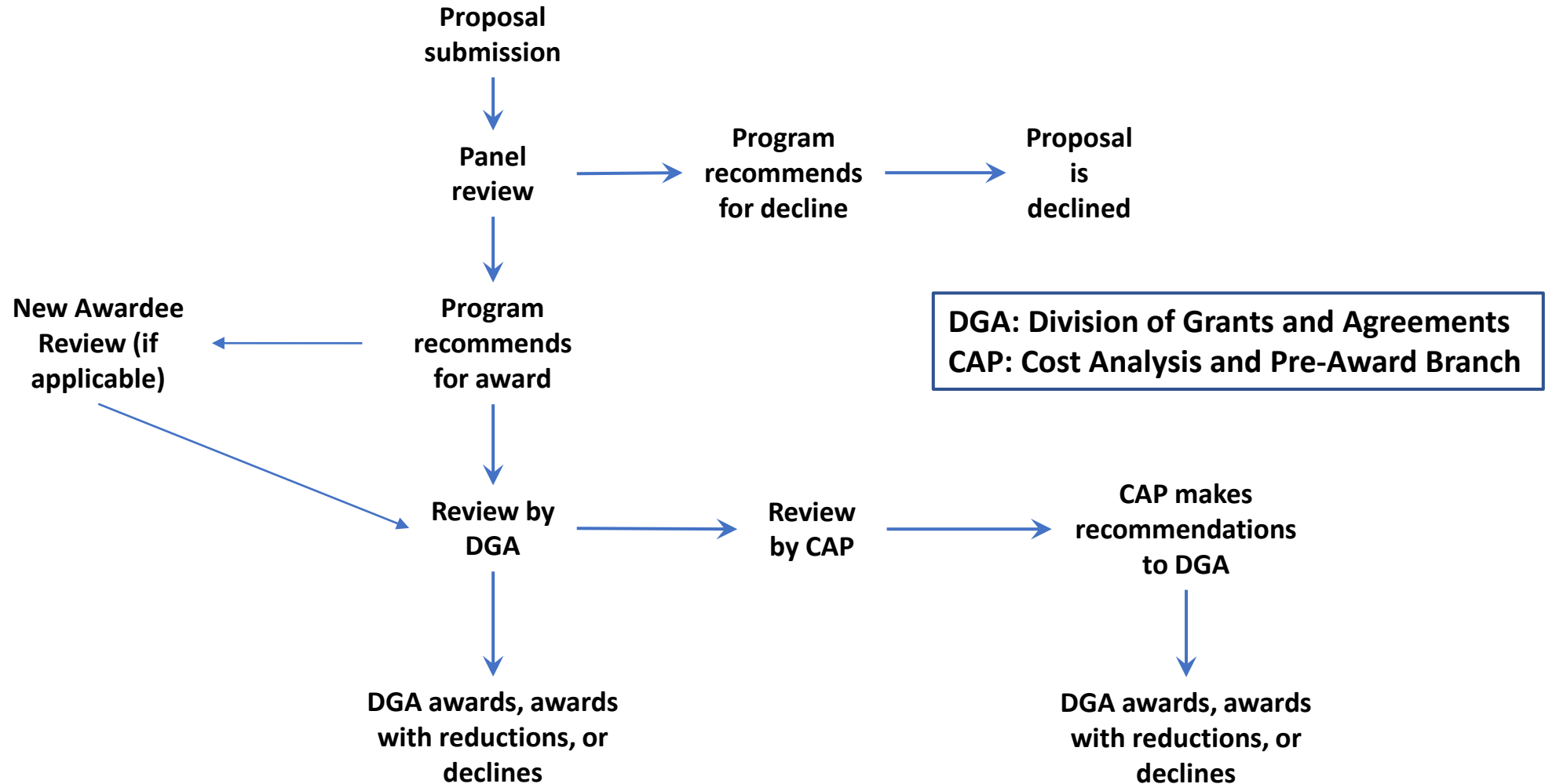
POSE

What we will cover:

➢ The life of a POSE Phase II proposal

➢ Preparation and submission of a POSE Phase II proposal

➢ Post-panel assessment of proposals under consideration for award

The life of a POSE Phase II proposal

The Life of a POSE Phase II Proposal

Proposal submission

Panel review

Program recommends for decline

Proposal is declined

New Awardee Review (if applicable)

Program recommends for award

DGA: Division of Grants and Agreements
CAP: Cost Analysis and Pre-Award Branch

Review by DGA

Review by CAP

CAP makes recommendations to DGA

DGA awards, awards with reductions, or declines

DGA awards, awards with reductions, or declines

POSE

Preparation and submission of a POSE Phase II proposal

Preparation and Submission of a POSE Phase II Proposal

➢ Who is eligible:

- Institutions of Higher Education (IHEs) – see the solicitation for details.
- Non-profit, non-academic organizations: Independent museums, observatories, research labs, professional societies and similar organizations in the U.S. associated with educational or research activities.
- For-profit organizations: U.S. commercial organizations, especially small businesses with strong capabilities in scientific or engineering research or education.
- State and Local Governments: State educational offices or organizations and local school districts.
- **Note that unaffiliated individuals and foreign organizations are not included.**

➢ When to submit: Full proposals must be submitted by 5pm (submitter's time) October 21, 2022

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Preparation and Submission of a POSE Phase II Proposal

➢ For general guidance regarding proposal preparation and submission, consult the [Proposal and Award Policies and Procedures Guide (PAPPG)](#)

  ▪ See Part 1 of the PAPPG

  ▪ Note that PAPPG Part 1, Chapter II includes a link to the [NSF Grants.gov Application Guide](#)

➢ Additional relevant information can be found in the [Prospective New Awardee Guide](#) (PNAG)

➢ You must be registered in [SAM](#) and [research.gov](#)

➢ Note that SAM registrations are slow at present – 1 month or more

  ▪ Please report SAM issues to pose@nsf.gov and provide as much supporting documentation as possible

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Preparation and Submission of a POSE Phase II Proposal

➢ You are submitting to POSE solicitation [NSF 22-572](#)

➢ Managing Directorate is TIP – [Directorate for Technology, Innovation and Partnerships](#)

➢ Managing Division is TIP/TI (Translational Impacts)

➢ Proposal type is "Research" and "Not a collaborative proposal"

  ▪ See check boxes on the Cover Page:

THIS PROPOSAL INCLUDES ANY OF THE ITEMS LISTED BELOW	
☐ BEGINNING INVESTIGATOR	☐ HUMAN SUBJECTS Human Subjects Assurance Number _____
☐ DISCLOSURE OF LOBBYING ACTIVITIES	Exemption Subsection _____ or IRB App. Date _____
☐ PROPRIETARY & PRIVILEGED INFORMATION	☐ FUNDING OF INT'L BRANCH CAMPUS OF U.S IHE
☐ HISTORIC PLACES	☐ FUNDING OF FOREIGN ORGANIZATION OR FOREIGN INDIVIDUAL
☐ VERTEBRATE ANIMALS IACUC App. Date _____	☐ INTERNATIONAL ACTIVITIES: COUNTRY/COUNTRIES INVOLVED
PHS Animal Welfare Assurance Number _____	
☒ TYPE OF PROPOSAL **Research** _____	☒ COLLABORATIVE STATUS **Not a collaborative proposal** _____

Preparation and Submission of a POSE Phase II Proposal

➢ Be sure to address the POSE review criteria – see section VI of the POSE [solicitation](#)

➢ Pay particular attention to the solicitation-specific review criteria

➢ Note that for POSE, Broader Impacts should be focused on how the proposed OSE will address an issue of significant societal or national importance that is not currently being adequately addressed

➢ Observe formatting requirements set out in the [PAPPG](#)

➢ Be sure to complete all required sections, as set out in the [PAPPG](#) and the [solicitation](#)

➢ **Failure to comply with the above may result in your proposal being returned without review**

[POSE](#)

Preparation and Submission of a POSE Phase II Proposal

➢ If your proposal has been successfully submitted, you will receive a 7-digit proposal number beginning with 22 or 23

➢ If you have any questions about the submission process, contact the FastLane Help Desk at 1-800-673-6188 OR the research.gov Help Desk at 1-800-381-1532

➢ If you are delayed beyond the submission deadline due to an NSF systems issue, report the issue ASAP to the FastLane or research.gov Help Desk and obtain a ticket number, **then email the ticket number, any other available details (screenshots, etc.), and an explanation to pose@nsf.gov**

➢ **Submit early!** Don't leave it until an hour before the deadline!
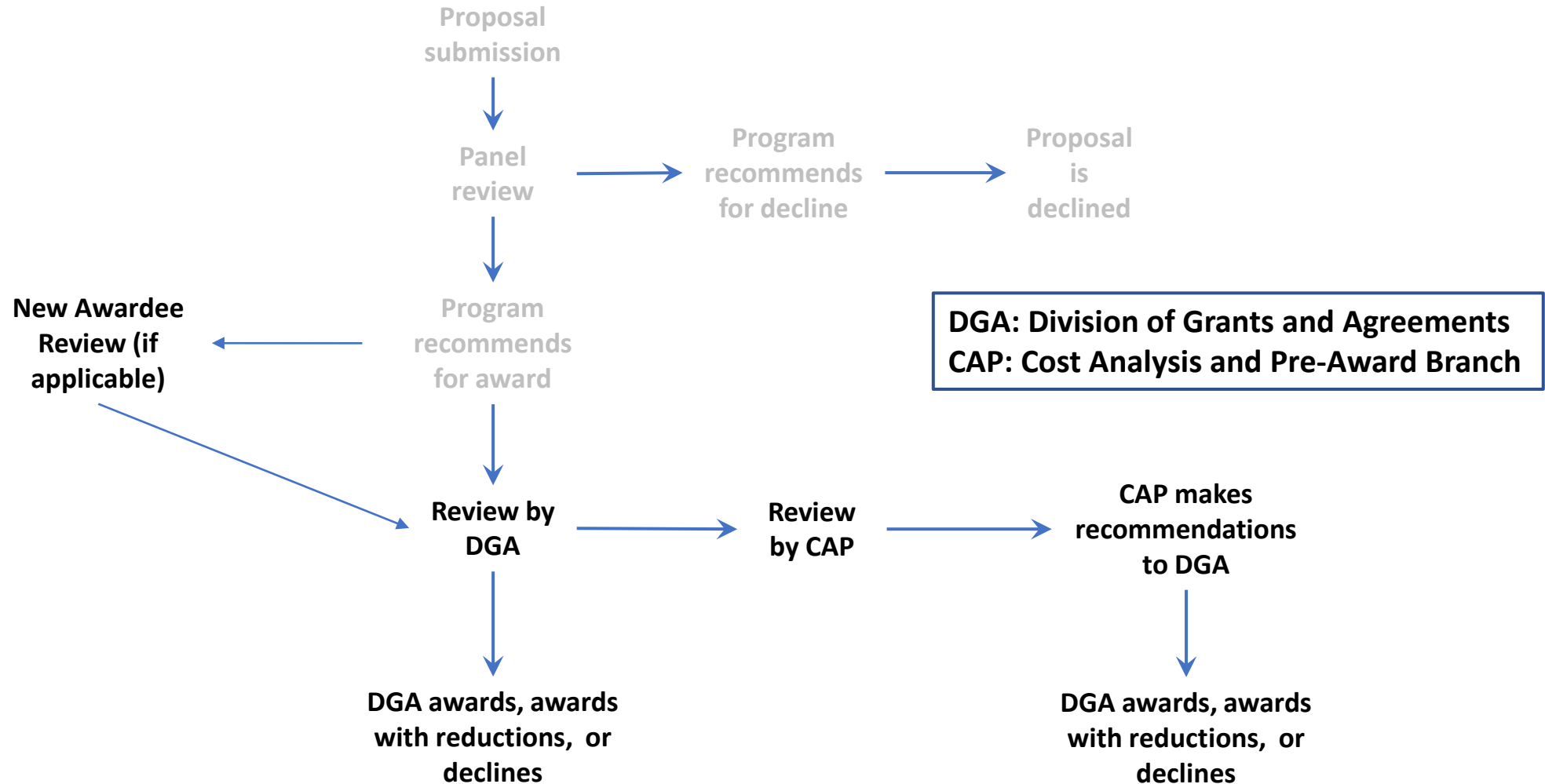
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Post-panel assessment of proposals under consideration for award

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General resources regarding cost accounting and award management

➢ NSF PAPPG for general guidance

➢ Educational organizations, nonprofit organizations, and state, local, and Indian tribal governments must follow Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, issued as 2 CFR 200

➢ For-profit organizations follow 2 CFR 200, Subparts A-D for award management and Federal Acquisition Regulations (FAR), Part 31 for cost principles

The Life of a POSE Phase II Proposal

Proposal
submission

↓

Panel
review → Program
recommends
for decline → Proposal
is
declined

↓

New Awardee
Review (if
applicable) ← Program
recommends
for award

DGA: Division of Grants and Agreements
CAP: Cost Analysis and Pre-Award Branch

Review by
DGA → Review
by CAP → CAP makes
recommendations
to DGA

↓

DGA awards, awards
with reductions, or
declines

↓

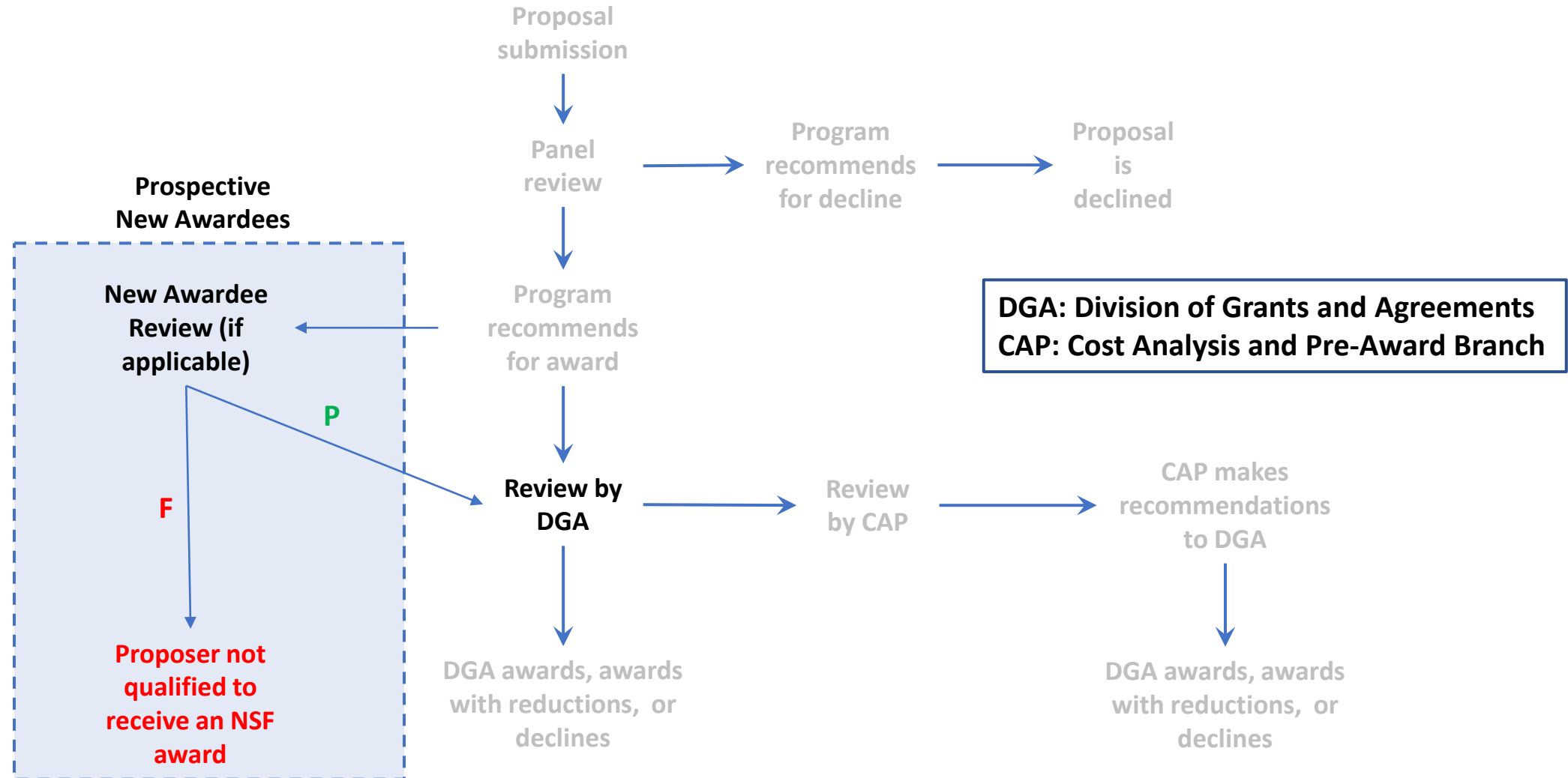DGA awards, awards
with reductions, or
declines

POSE

Prospective New Awardee Review

➢ Applicants being considered for NSF funding for the first time will undergo a prospective new awardee review

➢ This review is carried out by DGA

➢ This is a comprehensive review – be prepared!

➢ Details regarding the prospective new awardee review can be found in the Prospective New Awardee Guide (PNAG)

▪ Familiarize yourself with the PNAG

▪ Note the checklist at the end of the PNAG

The Life of a POSE Phase II Proposal

Proposal submission

Panel review

Program recommends for decline

Proposal is declined

Prospective New Awardees

New Awardee Review (if applicable)

Program recommends for award

DGA: Division of Grants and Agreements
CAP: Cost Analysis and Pre-Award Branch

P

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Review by DGA

Review by CAP

CAP makes recommendations to DGA

Proposer not qualified to receive an NSF award

DGA awards, awards with reductions, or declines

DGA awards, awards with reductions, or declines

POSE

Reviews undertaken by the [Division of Grants and Agreements](#) (DGA)

➢ DGA is responsible for the business, financial and administrative review of all recommended grants, most cooperative agreements and other assistance awards to assure they are consistent with applicable policies, regulations, directives and fund certifications

POSE

The Life of a POSE Phase II Proposal
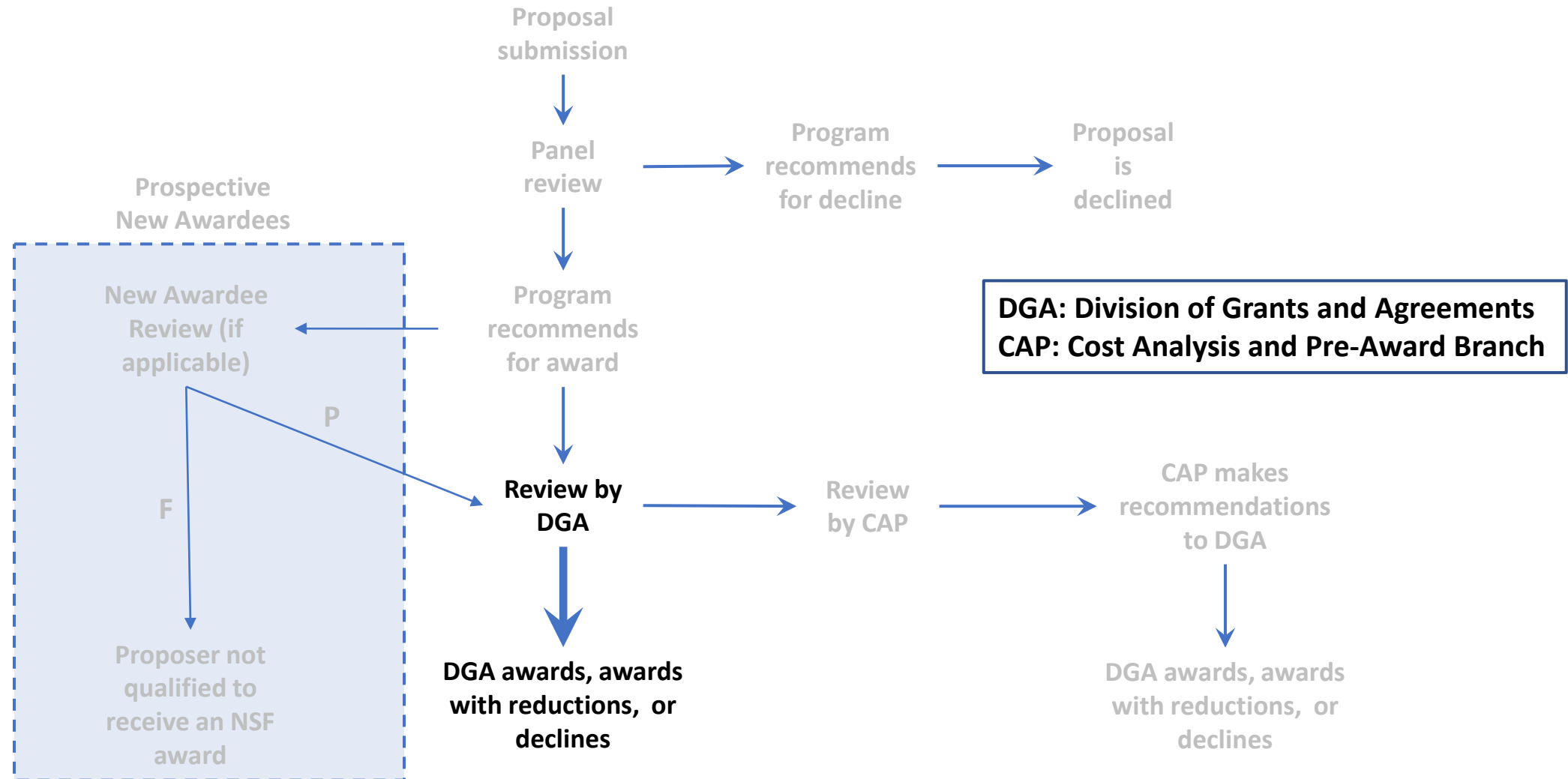
The Life of a POSE Phase II Proposal
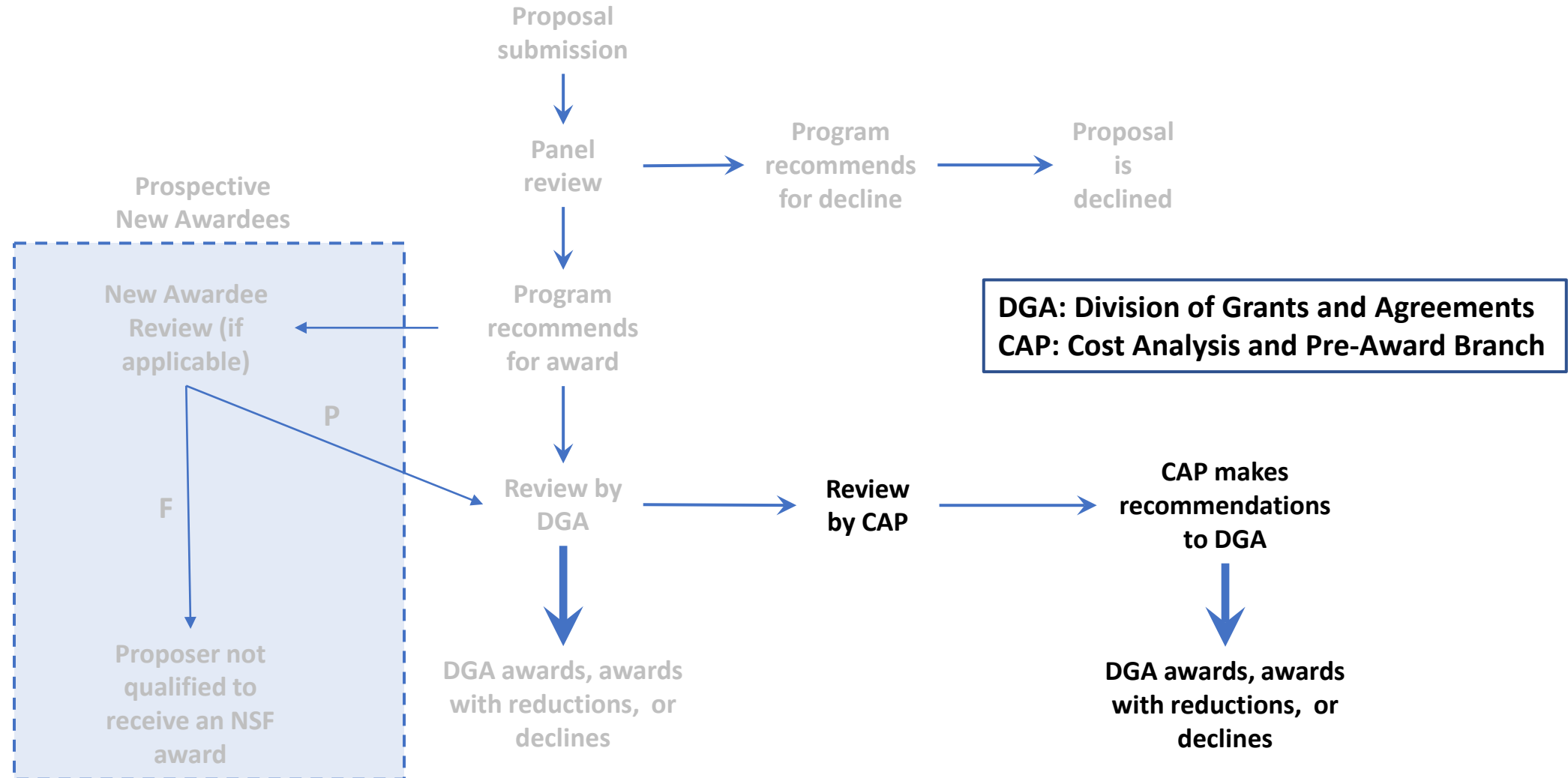
Reviews undertaken by the Cost Analysis and Pre-Award Branch (CAP)

➢ CAP responsibilities include the performance of accounting system reviews, financial capability reviews, budget reviews, and indirect cost rate reviews.

➢ Note that a CAP review is not always required!

➢ Typically, a CAP review will be required for new awardee organizations or organizations that have not had an active NSF award in the prior five years

➢ See https://www.nsf.gov/bfa/dias/caar/index.jsp for an overview of what may be reviewed by CAP

A CAP review may include:

➤ Budget Review: Verify that costs are reasonable, allowable, and allocable in accordance with Federal regulations and NSF guidance (refer to "General Resources" slide above). See https://www.nsf.gov/bfa/dias/caar/bud.jsp for additional guidance.

➤ Accounting Systems Review: Verify that the organization is likely to be able to manage Federal funds in accordance with applicable regulations, terms, and conditions of the award. See https://www.nsf.gov/bfa/dias/caar/account.jsp for additional guidance.

A CAP review may include (continued):

➢ Financial Capability Review:

  ▪ Determine whether a prospective awardee has adequate financial resources or the ability to obtain such resources as may be necessary to administer the proposed NSF award

  ▪ Multi-faceted review that takes into account various factors, including: cash on-hand; current and contingent liabilities; burn rate; revenue history and pipeline; other funding sources; audit results (if any); etc.

➢ See https://www.nsf.gov/bfa/dias/caar/fin.jsp and section B.1 of the PNAG for additional guidance.

A CAP review may include (continued):

➢ Review of indirect cost rates:

- In general, indirect cost rates for POSE Phase II proposals will be limited to either:
  - the existing Negotiated Indirect Cost Rate (NICR) in place for the proposing organization, or
  - for organizations that have not received a NICR, a de-minimis rate of 10% of Modified Total Direct Costs (MTDC).

➢ See the PNAG, Section C and https://www.nsf.gov/bfa/dias/caar/indirect.jsp for additional guidance.

A CAP review may include (continued):

➢ Personnel Compensation Reviews:

- CAP reviews organizations receiving NSF awards to verify that they have adequate personnel compensation systems.

- As specified in applicable cost principles, at a minimum, organizations need to maintain adequate personnel compensation records to support labor costs charged to NSF awards. Cost principles for [for-profit organizations](#) are detailed in [FAR Part 31](#). Cost principles for nonprofit organizations, state, local, and Indian tribal governments, and colleges and universities are detailed in [2 CFR §200.430](#).

A CAP review may include (continued):

➢ Timekeeping procedures

- Guidance for for-profit organizations: https://nsf.gov/bfa/dias/caar/attachb.jsp and the PNAG, Section B. Grantee Standards, Personal Expenses

- Guidance for non-profit organizations: 2 CFR 200.430(i) and the PNAG, Section B. Grantee Standards, Personal Expenses

- The proposing organization must maintain adequate timekeeping records that account for 100% of the time of each person receiving NSF support.

- Timesheets must be maintained using an adequate timekeeping system. **Important:** Do not, under any circumstances, backdate timesheets.

➢ See the PNAG and https://www.nsf.gov/bfa/dias/ (and linked resources) for further information

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Important Considerations:

➢ The proposing organization must maintain current written policies regarding the points discussed above. Please see the [Prospective New Awardee Guide](#) for an overview of the key policies.

➢ The proposing organization MUST be using an accounting system that meets the Federal requirements specified in the Uniform Guidance Subpart D - Post Federal Award Requirements in 200.302 Financial Management and 303 Internal Controls to manage federal funds. An Excel spreadsheet is NOT acceptable.

➢ It is recommended that the proposing organization engage a qualified accountant familiar with grants management and Federal requirements to ensure that the accounting system has been properly set up and that any financial reports provided to DGA or CAP have been properly prepared. It is not necessary to prepare audited accounts for a CAP review, but you may be required to provide recent audit results if you have them.

NSF and Federal Resources

➢ [Pathways to Enable Open-Source Ecosystems (POSE) Program Solicitation](#)

➢ [Proposal & Award Policies & Procedures Guide](#)

➢ [Prospective New Awardee Guide](#)

➢ [NSF BFA/DIAS Training, Tools and Resources](#)

➢ [2 CFR Part 200 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#)

➢ [Federal Acquisition Regulations (FAR), Part 31](#)

Additional Resources

➢ [National Counsel of University Research Administrators](#)

➢ [National Grants Management Association](#)

➢ [The Federal Demonstration Partnership](#)

Q&A

To ask a question, please use the chat function in Zoom