NSF Proposal & Award Policy Update

SRAI Annual Meeting
October 17, 2023

Speaker

- **Jeremy Leffler, Outreach Specialist, Policy Office**

  Division of Institution and Award Support

 Office of Budget, Finance and Award Management

  policy@nsf.gov

Topics

- Current Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 23-1)

- Draft Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 24-1)

- NSF System Updates

- NSF Outreach Opportunities

- Resources

Proposal & Award Policies & Procedures Guide (PAPPG) (NSF-23-1)

- Upcoming Effective Date for SciENcv
  - October 23, 2023: Mandatory use of SciENcv for the Biographical Sketch and Current and Pending (Other) Support
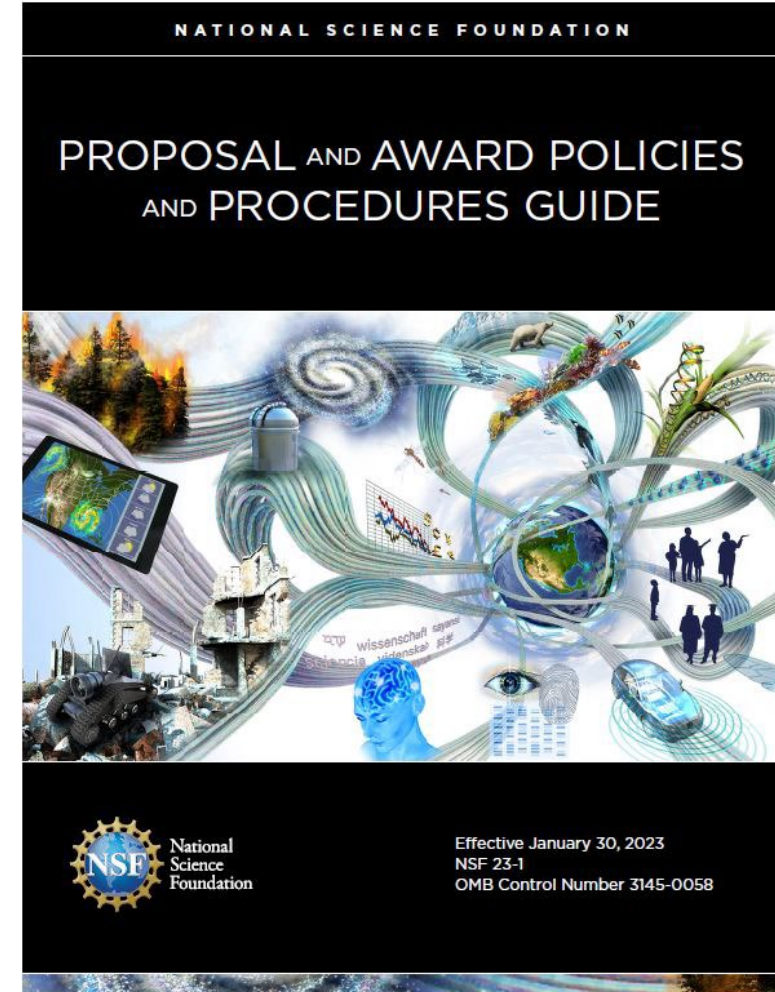
PAPPG (NSF 23-1): Safe and Inclusive Working Environments for Off-Campus or Off-Site Research

- For each proposal that proposes to conduct research off-campus or off-site, the AOR must complete a certification that the organization has a plan in place *for that proposal* regarding safe and inclusive working environments

- Off-campus or off-site research is defined as data/information/samples being collected off-campus or off-site, such as fieldwork and research activities on vessels and aircraft

- The plan itself is not submitted to NSF as part of the proposal

PAPPG (NSF 23-1): Safe and Inclusive Working Environments for Off-Campus or Off-Site Research

- The plan must describe how the following types of behavior will be addressed
  - Abuse of any person, but not limited to harassment, stalking, bullying or hazing of any kind, whether the behavior is carried out verbally, physically, electronically, or in written form; or
  - Conduct that is unwelcome, offensive, indecent, obscene, or disorderly
- The plan should identify steps the proposing organization will take to nurture an inclusive off-campus or off-site working environments
- The plan should consider communications within the team and to the organization

PAPPG (NSF 23-1): Safe and Inclusive Working Environments for Off-Campus or Off-Site Research - FAQs

- How does NSF define off-campus or off-site?

  - It is the proposing organization's responsibility to establish what constitutes an off-campus or off-site location

- How do collaborative proposals comply with this requirement?

  - If more than one collaborating organization proposes to conduct research off-campus or off-site, one joint plan must be developed

- Must the plan be in place prior to proposal submission?

  - Yes, the language contained in the certification was carefully crafted to require that the organization has a plan in place for that proposal that describes how the types of behavior specified in Chapter II.E.9 will be addressed.

Biographical Sketch and Current and Pending (Other) Support (NSF 23-1): Senior/Key Personnel Document Certification

- Senior/Key personnel must certify that the information is accurate, current and complete
  - Both forms include the requisite certification from NDAA 2021, Section 223

  - In SciENcv the certification is completed upon download of the document

Certification ✖

When the individual signs the certification on behalf of themselves, they are certifying that the information is current, accurate, and complete. This includes, but is not limited to, information related to domestic and foreign appointments and positions. Misrepresentations and/or omissions may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. § 287, 1001, 1031 and 31 U.S.C. § 3729-3733 and 3802.

Agree   Cancel

Initial Disclosures and Update/Correction Requirements

- Proposal Submission
  - Biographical Sketch, Current and Pending (Other) Support, and Collaborators and Other Affiliations must be submitted

- Pre-Award
  - Updated Current and Pending (Other) Support will be requested by the NSF Program Officer and must be submitted for senior personnel before an award can be made

- Post-Award
  - If the AOR discovers that a disclosure should have been submitted at the time of proposal submission, but was not, they have 30 days to submit a post-award request to NSF. This is completed by a new, separate "Post Award Information" notification which provides more space that the "Other" notification that was being used previously

- Project Reports
  - PIs and co-PIs must specify whether new, active other support has been received in their annual and final annual project reports. If yes, they must include updated Current and Pending (Other) Support information

FAQs Current and Pending (Other) Support Requirements

- What do I do if there have been no changes to my Current and Pending (Other) Support if I'm asked to provide a revised version?

  - If there have been no changes to the information, senior personnel must download the existing current and pending (other) support information and recertify with a new date

- A project that was listed as "pending" has since been awarded. Do we need to notify NSF that this project has been funded?

  - After an award has been made, a change in active other support must be reported to NSF as part of the annual or final project report submission

- If the individual is not requesting salary on the budget, does the proposal still need to be listed in Current and Pending (Other) Support

  - Person-month information included in current and pending (other) support may differ from the person-months requested on the budget for a given project. For current and pending (other) support, senior personnel are required to provide the number of person-months (or partial person-months) per year to be devoted to the project by the individual.

Development of Common Forms for the Biographical Sketch and Current and Pending (Other) Support

- Co-chair the NSTC disclosure policies working group to develop Common Forms for the Biographical Sketch and Current and Pending (Other) Support
  - NSF is serving as "steward" of the Common Forms
  - Common Forms will include the CHIPS and Science Malign Foreign Talent Recruitment Program Certification for senior personnel
  - Target for implementation by agencies: 2024
  - There will be additional changes to NSF formats in FY24 PAPPG but will continue to be as close as possible to the Common Forms

NSTC Research Subcommittee – NSPM-33 Implementation Guidance – Disclosure Requirements and Standardization

https://www.nsf.gov/bfa/dias/policy/nstc_disclosure.jsp

Draft PAPPG (NSF 24-1)

- Fall 2023 Release (Anticipated)

- Winter 2024 Effective Date (Anticipated)
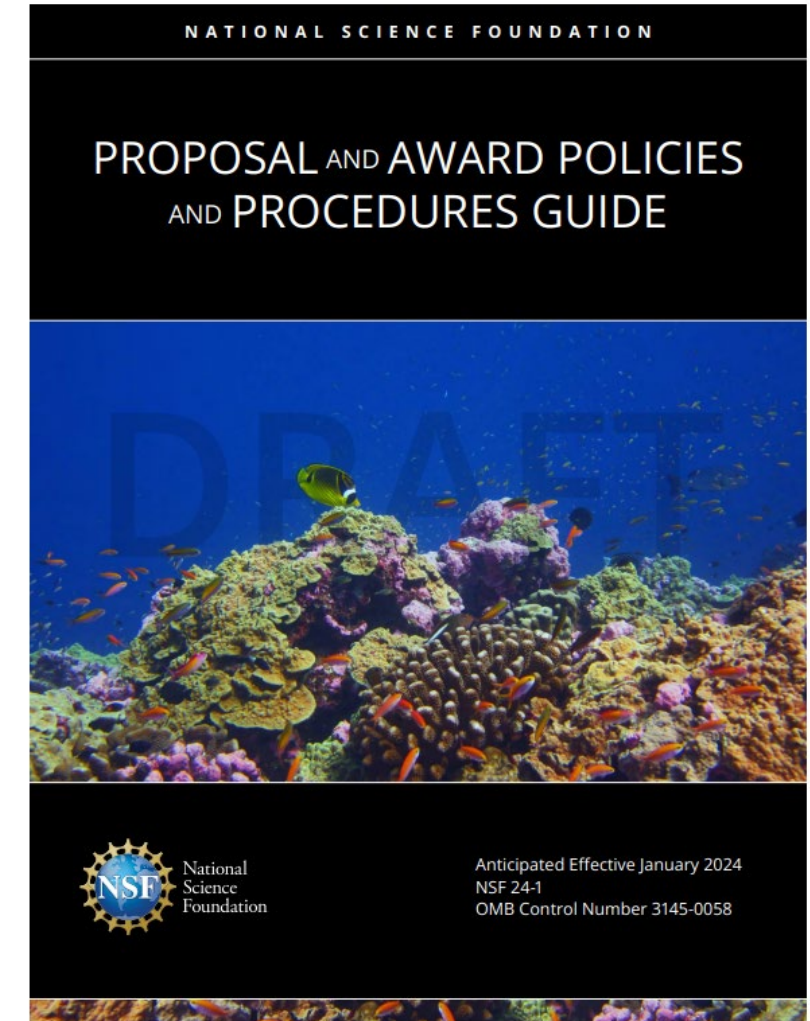
Draft PAPPG (NSF 24-1) Proposed Changes

- CHIPS and Science Act of 2022
  - New definitions for malign foreign talent recruitment programs (MFTRP); countries of concern; and institution of higher education
  - Parties to MFTRP from a country of concern are considered ineligible to serve as senior personnel
  - New certifications regarding MFTRP by the organization and for senior personnel
    - If awarded, PIs and co-PIs will be required to certify annually during the life of the award
  - Mentoring plan requirement expanded to include graduate students
  - Individual development plan requirement for graduate students and postdoctoral researchers
  - Foreign gifts and contracts disclosure requirement

Draft PAPPG (NSF 24-1)
Proposed Changes

- Biographical Sketch and Synergistic Activities

- Current and Pending (Other) Support

- New proposal type: Research Opportunity Supplemental Funding Requests for Predominantly Undergraduate Institutions (ROA/PUI)

- New category for proposals returned without review

- Postaward addition of off-site or off-campus research

- Senior Personnel Terminology Update

Senior/Key Personnel

Senior/key personnel include the individuals designated by the proposer/recipient organization and approved by NSF, who contribute in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award.

There are two categories of senior/key personnel as follows:

1. (co) Principal Investigator (PI) - NSF does not infer any distinction in scientific stature among multiple PIs, whether referred to as PI or co-PI. If more than one, the first one listed will serve as the contact PI, with whom all communications between NSF program officials and the project relating to the scientific, technical, and budgetary aspects of the project should take place.

2. Faculty Associate (faculty member) (or equivalent) -- an individual other than the Principal Investigator(s) considered by the performing institution to be a member of its faculty (or equivalent) or who holds an appointment as a faculty member at another institution, and who will participate in the project being supported.

# Important October 20th NSF Fillable PDF Format Upload Deadline

Action	Deadline
UPLOAD	
Last day to **upload** the **NSF fillable PDF format** for the biographical sketch and current and pending (other) support in Research.gov and Grants.gov ***Note:*** *Biographical sketch and current and pending (other) support format is validated for Grants.gov proposals at proposal submission to NSF rather than at document upload as in Research.gov. Grants.gov proposals including the NSF fillable PDF format will not pass the submission validations after Friday, October 20, 2023 (5:00 PM submitter's local time).*	**Friday, October 20, 2023** (5:00 PM submitter's local time)

- Proposers currently may use either SciENcv or the fillable PDFs

- Beginning October 23, 2023, use of SciENcv will become mandatory

- See the NSF biographical sketch and current and pending (other) support websites for additional information

All Notifications and Requests Now in Research.gov

- PI Transfer request transitioned from FastLane to Research.gov effective June 26, 2023. All notifications and requests are now in Research.gov and accessible from the Research.gov homepage

- Notifications and requests previously submitted in FastLane were transferred to Research.gov

- See the Research.gov <u>About Notifications and Requests</u> page and <u>FastLane System Decommissioning</u> page for additional information
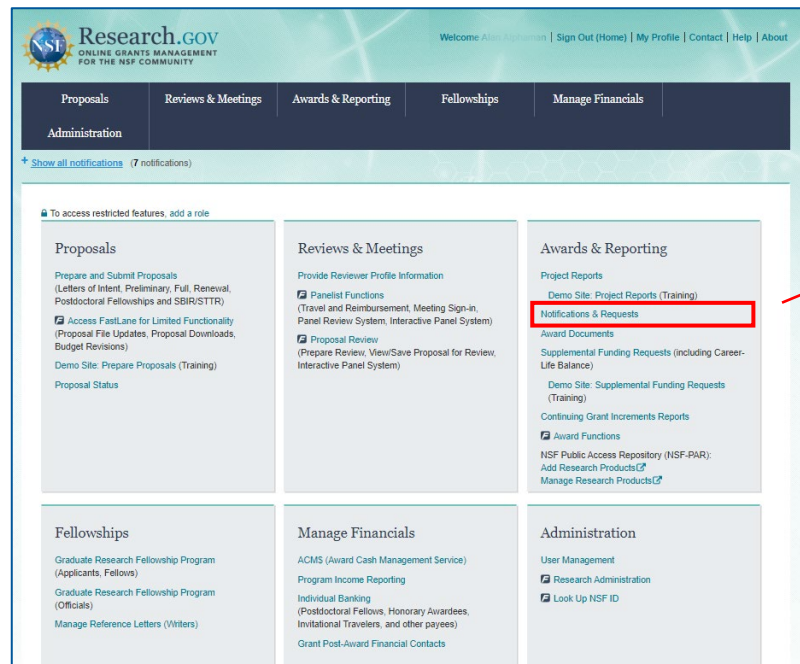
New Proposal Evaluation System

- A new Proposal Evaluation System will replace the Interactive Panel System (IPS) module in FastLane in FY 2024

- New system improves the user experience through modernized, intuitive, and easy to navigate interfaces and enhanced functionalities for the preparation and submission of reviews by panelists, to support panel meetings, and for real-time collaboration on panel summaries

- The IPS module in FastLane will be decommissioned after the Proposal Evaluation System is released for use NSF-wide

Information Resources

- Join our NSF **System Updates listserv** to receive the latest Research.gov system enhancement information and FastLane decommissioning news! Sign up by sending a blank email to: system_updates-subscribe-request@listserv.nsf.gov

- [Automated Compliance Checking of NSF Proposals](#) page

- [FastLane Decommissioning](#) page

- [Grants.gov Proposal Processing in Research.gov](#) page

- NSF [Biographical Sketch](#) and [Current and Pending (Other) Support](#) websites

- Research.gov [About Account Management](#) page

- Research.gov [Account Management – Reviewer](#) page

- Research.gov [About Proposal Preparation and Submission](#) page

- Research.gov [About Supplemental Funding Request Preparation and Submission](#) page

- [Research.gov Proposal Preparation Demo Site](#) *(You will be prompted to sign into Research.gov if you are not already signed in.)*

- [Research.gov Supplemental Funding Request Demo Site](#) *(You will be prompted to sign into Research.gov if you are not already signed in.)*

- Resources for LaTeX Users: https://github.com/nsf-open/nsf-proposal-latex-samples

NSF Outreach Opportunities

- Fall 2024 Virtual NSF Grants Conference
  - December 4-7
  - Registration Opens November 8th

- NSF Policy Office Webinar Series
  - Most recent covered eligibility for NSF funding opportunities

- Resource Center
  - On-demand presentations – searchable by topic and year

For on-demand opportunities and to be notified of upcoming events:

https://nsfpolicyoutreach.com/

Additional Resources

- Policy Office Website
- PAPPG (NSF 23-1)
- Draft PAPPG (NSF 24-1)
- FAQs On Proposal Preparation and Award Administration
- NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending (Other) Support
- Current and Pending (Other) Support FAQs

QUESTIONS?

- **Policy Office Website**
  https://nsf.gov/bfa/dias/policy/

- **NSF Staff Directory**
  https://nsf.gov/staff/

- **Career Opportunities | National Science Foundation**
  https://new.nsf.gov/careers