Office of Sponsored Programs (OSP) Roundtable

NSF Updates

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Agenda

- Proposal and Award Policies and Procedures Guide (PAPPG)
- Updated NSF Standard Terms & Conditions
- NSF Harassment Policy
- No-deadline proposal submission model
- Research.gov Update
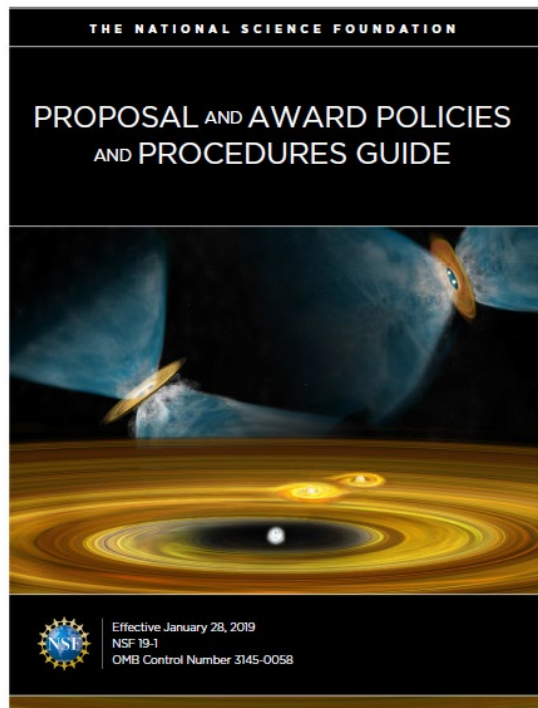- Other Updates, Reminders, and Resources

OSP Roundtable – NSF Updates

Proposal and Award Policies and Procedures Guide (PAPPG)

Proposal and Award Policies and Procedures Guide (PAPPG)

- Proposal and award process for NSF assistance programs
- NSF 19-1
- Effective January 28, 2019

National Science Foundation
WHERE DISCOVERIES BEGIN

SEARCH

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Proposal & Award Policies & Procedures Guide

Significant Changes and Clarifications

PAPPG - Introduction

A. About the NSF

B. Foreword

C. Acronym List

D. Definitions

E. NSF Organizations

F. NSF Electronic Capabilities Modernization Status

Table of Contents

Part I: Proposal Preparation and Submission Guidelines

I. Pre-Submission Information

II. Proposal Preparation Instructions

NSF 19-1 January 28, 2019
Table of Contents

Significant Changes and Clarifications to the PAPPG

Introduction

A. **About the National Science Foundation**

B. **Foreword**

C. **Listing of Acronyms**

D. **Definitions & NSF-Grantee Relationships**

E. **NSF Organizations**

Part I - Proposal Preparation and Submission Guidelines

I. **Pre-Submission Information**

A. NSF Proposal Preparation and Submission

NSF 19-1 January 28, 2019
Significant Changes and Clarifications to the PAPPG

OVERALL DOCUMENT

- Editorial changes have been made throughout to either clarify or enhance the intended meaning of a sentence or section.

SIGNIFICANT CHANGES

- **Chapter I.A, NSF Proposal Preparation and Submission**, has been updated to provide information about the modernization of the proposal preparation functionality in Research.gov. The new coverage specifies that the on-screen instructions in Research.gov may differ from what is stated in the PAPPG and that the on-screen instructions must be followed.

- **Chapter I.C.4, Dear Colleague Letters (DCLs)**, has been revised to address an expanded use of the DCL. They also may now be used to announce NSF's interest in receiving proposals in specified topical areas via the following types of proposals described in Chapter II.E.: Rapid Response Research (RAPID); Early-concept Grants for Exploratory Research (EAGER); Research Advanced by Interdisciplinary Science and Engineering (RAISE); and Conference.

- **Chapter I.D.3, Full Proposals**, incorporates reminders regarding the importance of strict adherence to the rules of proper scholarship and attribution throughout the entire proposal and award lifecycle, including: proposing or performing research funded by NSF; reviewing research proposals submitted to NSF; or reporting research results funded by NSF. Serious failure to adhere to such standards can result in findings of research misconduct.

- **Chapter I.E.5, Unaffiliated Individuals**, has been revised to state that unless specifically authorized in an NSF solicitation, unaffiliated individuals are ineligible to receive direct funding support from NSF.

- **Chapter II.C.2.g(vi)(e), Subawards**, has been updated to clarify that the description of the work to be performed by the subaward must be included in the project description.

NSF 19-1 Significant Changes

- **Expanded Use of Dear Colleague Letters (DCL)**
  - Use is be expanded to announce NSF's interest in receiving RAPID, EAGER, RAISE, and Conference proposals.

- **International Branch of Domestic IHEs**
  - New checkbox has been added to the Cover Page - "Funding of an International Branch Campus of a U.S. IHE, including through use of a subaward or consultant arrangement".
  - Collaborative proposals submitted by multiple organizations, only the organization proposing funding to an International Branch Campus of a U.S. IHE must check the appropriate box on the proposal cover sheet.

NSF 19-1 Significant Changes

- **Subawards**
  - Specifies that a description of the work to be performed by the subaward must be included in the project description.
  - Clarifies that prior approval is not required when entering into procurement agreements.

- **Types of Proposals**
  - Specifies that "RAPID", "EAGER" and "RAISE" must be included in the proposal project title.
  - Confirms that these proposal types are **not** eligible for reconsideration.

- **Equipment Proposals**
  - Must include the Collaborators & Other Affiliations Information.

NSF 19-1 Significant Changes

- **Conference Proposals**
  - Must have a policy or code-of-conduct that addresses sexual harassment, other forms of harassment, or sexual assault, and that includes clear and accessible means of reporting violations of the policy or code-of-conduct. Must be disseminated to conference participants prior to attendance and made available at the conference itself.
  - Proposals in excess of $50,000 must include the Collaborators & Other Affiliations Information document.
  - Speakers and trainers are not considered participants and should not be included in this section of the budget.

NSF 19-1 Significant Changes

- **Responsible Conduct of Research (RCR)**
  - Supplemented with language encouraging the training of faculty in the responsible and ethical conduct of research.
  - New coverage to state NSF's responsibility regarding allegations of research misconduct. Confirms that NSF will not tolerate research misconduct in proposing or performing research funded by NSF, in reviewing research proposals submitted to NSF, or in reporting research results funded by NSF.

- **Proposal Font, Spacing and Margin Requirements**
  - Fonts not listed in the PAPPG may be used for mathematical formulas, equations, or when inserting Greek letters or special characters.

NSF 19-1 Significant Changes

- **Biographical Sketch(es) and Current & Pending**
  - Updated to specify that these documents must be uploaded in FastLane as a single PDF file, or another NSF-approved template, for each individual.

- **Biosketch(es), Synergistic Activities**
  - Up to five distinct examples that demonstrate the broader impact of the individual's professional and scholarly activities that focuses on the integration and transfer of knowledge as well as its creation.

- **Technical Reporting Requirements**
  - The submission of the Final Project Report and Project Outcomes Report for the General Public (POR) indicates that the research on the project is completed.

NSF 19-1 Significant Changes
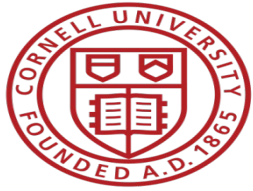
- **Participant Support Costs**
  - Updated to clarify when an individual should be classified as a participant or a speaker at a conference.
  - Participant support costs may not be budgeted to cover room rental fees, catering costs, supplies, etc., related to an NSF-sponsored conference.
  - Human subject payments are not participant support costs. They should be included on line G6 of the NSF budget under "Other Direct Costs".

NSF 19-1 Significant Changes

- **No-deadline Proposal Model**
  - Changes made to make accommodations for no-deadline models.

- **Research.gov**
  - Updates made to provide information about the modernization of the proposal preparation functionality.
  - Clarifies that in instances where the instructions in Research.gov differ from that in the PAPPG, follow Research.gov instructions.

- **Harassment Policy**
  - Updates made to change of PI/Co-PI and PI/Co-PI disengagement prior approvals.

OSP Roundtable – NSF Updates

Updated NSF Standard Terms & Conditions

Updated NSF Standard Terms & Conditions

- Two recent updates:

  - Applies to all new NSF awards and funding amendments to existing NSF awards made on or after **October 22, 2018**.
    - Micro-purchase and Simplified Acquisition Thresholds (Procurement Standards)
    - Implementation of the harassment award term and condition

  - Applies to all new NSF awards and funding amendments to existing NSF awards made on or after **January 28, 2019**.
    - Updates for consistency with the Uniform Guidance and NSF 19-1
    - Revisions to discussions of *prior* approval requirements

NSF Suite of T&Cs with Significant Changes Documents:
https://www.nsf.gov/awards/managing/award_conditions.jsp?org=NSF

OSP Roundtable – NSF Updates

NSF Harassment Policy

NSF Harassment Policy

- Important Notice 114

- **New award term and condition requires notification to NSF when:**
    1) **Any findings of policy violation by PI/Co-PI, or**
    2) **PI/Co-PI is placed on leave as a result of findings or an investigation.**

- New post-award actions:
    - Notification Requirements Regarding Sexual Harassment, Other Forms of Harassment, and Sexual Assault
    - Change in PI/Co-PI *at the Initiation of NSF*
    - Change in PI/Co-PI Person-Months Devoted to the Project *at the Initiation of NSF*

NSF Harassment Policy FAQs: https://www.nsf.gov/od/odi/docs/Sexual_Harassment_FAQs.pdf

OSP Roundtable – NSF Updates

No-deadline proposal submission model

No-deadline proposal submission model

- Elimination of proposal submission deadlines

- **Goals:**
  - Allow PIs more flexibility
  - Facilitate interdisciplinary research and build strong collaborations
  - Provide time to carefully prepare proposals
  - Reduce burden

- Currently adopted by multiple divisions in three directorates…

Participating Directorates/Divisions

- **Directorate for Geosciences (GEO)**
  - Ocean Sciences (OCE)
  - Earth Sciences (EAR)

- Initially announced and implemented in 2015. Expanded in 2017.

- Resubmission Policy: Declined proposals are not eligible for resubmission for one year from the original date of submission. https://www.nsf.gov/geo/ear/resubmission_policy.jsp

  Dear Colleague Letter NSF 15-020 (EAR): https://www.nsf.gov/pubs/2015/nsf15020/nsf15020.jsp
  Dear Colleague Letter NSF 17-086 (OCE): https://www.nsf.gov/pubs/2017/nsf17086/nsf17086.jsp
  NSF 17-086 FAQs: https://www.nsf.gov/pubs/2017/nsf17087/nsf17087.jsp?org=GEO

Participating Directorates/Divisions

- **Directorate for Biological Sciences (BIO)**
  - Environmental Biology (DEB)
  - Integrative Organismal Systems (IOS)
  - Molecular and Cellular Biosciences (MCB)
  - Research Resources Cluster of the Division of Biological Infrastructure (DBI)
  - Infrastructure Capacity for Biology program (ICB)

- Announced October 2017. Core Program solicitations updated August 2018.

- Resubmission Policy: Initially restricted to one proposal per PI per year. Limitation was removed in November 2018.

Dear Colleague Letter NSF 18-011: https://www.nsf.gov/pubs/2018/nsf18011/nsf18011.jsp
FAQs: https://www.nsf.gov/pubs/2018/nsf18012/nsf18012.jsp

Participating Directorates/Divisions

- **Directorate for Engineering (ENG)**
  - Chemical, Bioengineering, Environmental and Transport Systems (CBET)
  - Mechanical and Manufacturing Innovation (CMMI)
  - Electrical, Communications and Cyber Systems (ECCS)
  - Engineering Education and Centers (EEC)

- Announced June 2018. Effective August 15, 2018.

- Resubmission Policy: A declined or substantively similar proposal is ineligible for resubmission until a minimum of one year has passed from the date of its initial submission.

Dear Colleague Letter NSF 18-082: https://www.nsf.gov/pubs/2018/nsf18082/nsf18082.jsp?org=NSF
FAQs: https://www.nsf.gov/pubs/2018/nsf18083/nsf18083.jsp#q2

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Research.gov Update

Research.gov

- Current features:
  - **Non-collaborative** (i.e. no subawards or collaborative proposals) **research** (i.e. no fellowships, RAPID, EAGER, etc.) **full** (i.e. no LOIs or pre-proposal) **proposal submission**
  - Enhanced proposal compliance checks
  - Some post-award notifications and requests
  - Project Reporting
  - Account Management, including FastLane log-in and password reset

Research.gov

- Future development:
  - Collaborative proposal submission
  - LOIs and Pre-proposals
  - Non-research proposals
  - Delete/withdraw/copy a proposal
  - Remaining post-award prior approvals
  - Funding opportunity search
  - Research.gov "Sandbox"

Due to the current limitations in Research.gov and the upcoming implementation of RASS, OSP is not recommending Research.gov for proposal submission at this time.

Research.gov Release Timeline: https://www.research.gov/proposalprep/#/release-timeline

OSP Roundtable – NSF Updates

Other Updates, Reminders, and Resources

Other Updates

- **New Award Notice**
  - November 2018: Incremental and supplemental funding.
  - March 2019: New awards.

Reminders!

- **Annual and Final Technical Reports**
- **Post-award *Prior* Approvals**
  - Changes in Objective or Scope
  - Disengagement of PI/Co-PI

Resources

- **November 2018 Proposal and Award Policy Newsletter**
  - https://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf19020

- **PAPPG, NSF 19-1 Webinar Recording (11/20/2018)**
  - https://nsfgrantsconferences.com/2018/11/20/pappg-2019-live-stream/

- **NSF Grants Conference Webcast (11/8-11/9/2018)**
  - https://nsfgrantsconferences.com/2018/08/28/fall-2018-live-stream/

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Questions?

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Next OSP Roundtable
Thursday, January 17th, 9:30-10:30am