Office of Sponsored Programs (OSP) Roundtable

National Science Foundation (NSF) Policy & System Updates

Jamie Sprague
Sr. Grant & Contract Officer/Federal Team Lead
Office of Sponsored Programs
Agenda

• Updated Proposal and Award Policies and Procedures Guide (PAPPG), NSF 23-1
• Research.gov Updates
• Standard Terms & Conditions Updates
• Reminders and Resources
• **What:** Proposal and award process for NSF assistance programs, as well as NSF’s implementation of the OMB Uniform Guidance (2 CFR 200)

• **When:** Effective for proposals submitted or due on or after January 30, 2023*

*Some PAPPG imposed requirements will have delayed implementation. More on that soon.

**Big changes this year!**
Proposal & Award Policies & Procedures Guide (PAPPG)

NSF 23-1: Effective for proposals submitted or due on or after January 30, 2023

PAPPG (NSF 23-1) dated January 30, 2023 (PDF, 3.35 MB)

Summary of Changes to the PAPPG

Table of Contents

Introduction

A. About the National Science Foundation

The National Science Foundation (NSF) is an independent Federal agency created by Congress in 1950 to “promote the progress of science; [and] to advance the national health, prosperity, and welfare” by supporting research and education in all fields of science and engineering.

From those first days, NSF has had a unique place in the Federal Government: it is responsible for the overall health of science and engineering across all disciplines. In
Updated Disclosure Requirements
(Current & Pending and Biosketch)
Big changes to the Biosketch/Current & Pending Support requirements

Update #1 – Increased scope of required disclosure
Update #2 – Disclosures required in Facilities, Equipment, and Other Resources
Update #3 – Must be submitted in a NSF approved format only
  - Option 1: SciENcv
  - Option 2: NSF approved PDF format

*FLASHBACK*
NSF 20-1 Significant Changes

April 2020 OSP Roundtable, “NSF Updates”
https://vod.video.cornell.edu/media/April+2020+OSP+Roundtable+Zoom+Recording/1_m3t1xeuv
*FLASHBACK*

NSF 22-1 Significant Changes

- Big changes *again* to the Biosketch/Current & Pending Support requirements
  
  **Update #1** – New table which identifies where pre- and post-award current and pending support disclosure information must be provided
  
  **Update #2** – Biosketch page limit increased from 2 to 3 pages
  
  **Update #3** – Objectives and overlap section added to Current & Pending document requirements

August 2021 OSP Roundtable, “NSF Updates”
[https://www.youtube.com/watch?v=bQEGVf_0nsQ&feature=youtu.be](https://www.youtube.com/watch?v=bQEGVf_0nsQ&feature=youtu.be)
Updated Disclosure Requirements (Current & Pending and Biosketch)

- Major developments in the last year that go beyond NSF!
  - NSF, NIH, and the Office of Science and Technology Policy (OSTP) co-chair an Interagency Working Group on Disclosure Policies in response to the NSPM-33 mandate for harmonized disclosure requirements across all federal agencies.
  - Working Group released standardized templates for use by all federal agencies in the Federal Register for public comment August 31, 2022
  - NSF has taken what was released for comment and developed policy in the updated PAPPG that matches the harmonized standardized templates as close as possible

What does this mean for NSF proposals and awards?
Updated Disclosure Requirements
(Current & Pending and Biosketch)

• **Update #1** – Effective January 30, 2023 all key personnel are required to certify by signing their Current & Pending and Biosketches that the information within is current, accurate, and complete.

• **Update #2** – Effective October 23, 2023 (delayed implementation) SciENcv must be used to generate all Current & Pending and Biosketches. NSF fillable PDF forms will no longer be permitted. Use of ORCID is encouraged as well to help pre-populate SciENcv data.

• **Update #3** – Updated Current & Pending Support must be provided to the Program Officer before an award is recommended for funding (akin to NIH’s Just-in-Time process).

PAPPG 23-1, Chapter II.B, Chapter II.D.1.d, Chapter II.D.1.e, Chapter II.D.2.h(i) & (ii)
SciENcv Reminders

- Web-based system created and hosted by National Institutes of Health (NIH)
- Key features
  - Stores information needed for federal applications in one location
  - Links to other accounts (ORCID, NIH ID, NSF ID, NCBI) to help pre-populate data
  - Has flexibility to create documents from scratch, copy a previous version as a starting point, or base information off of a linked account
  - Researchers can delegate administrators permission to assist with document creation.

December 2020 OSP Roundtable, “Intro to SciENcv”
https://www.youtube.com/watch?v=SAA4O83mqRE&feature=youtu.be
Responsible and Ethical Conduct of Research (RECR)

• Effective July 31, 2023 (delayed implementation)

• Expansion and renaming of the current Responsible Conduct of Research (RCR) requirements
  – All faculty and other senior personnel named in the proposal and/or working on the project must complete RECR training, with the institution responsible for enforcing compliance
  – Scope is topics covered expanded to include mentor training and mentorship

• A new certification that the GCO will sign off on upon submission in Research.gov for all proposals submitted on or after July 31, 2023

• More information will be forthcoming in early 2023

PAPPG 23-1, Chapter II.D.1.d and Chapter IX.B.1
Safe and Inclusive Working Environments for Off-campus or Off-Site Research

- Effective January 30, 2023

- Any proposal that includes research activities off-campus or off-site must include an Authorized Organizational Representative (AOR, i.e. GCO) certification that the organization (i.e. Cornell) has in place a plan for that project regarding safe and inclusive working environments.

- How is off-campus or off-site research defined? Data/information/samples being collected off-campus or off-site, such as fieldwork and research activities on vessels and aircraft.
Safe and Inclusive Working Environments for Off-campus or Off-Site Research (Cont.)

• Plans 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

• Plans need to identify steps the proposing organization will take to nurture inclusive off-campus or off-site working environments, including communications within the team and organization.

• Plans are not intended to be standardized across an institution, but instead responsive to the needs of each individual project.

PAPPG 23-1, Chapter II.D.1.d and Chapter II.E.9
Formalization of the use of Concept Outlines

• What is a Concept Outline?
  – Concise summary of a project idea including title, keywords, brief narrative, PI name
  – *Not* a letter of intent or a preliminary proposal

• Why is a Concept Outline required?
  – Ensure that the concept being proposed is appropriate for the proposal type/funding opportunity
  – Helps to reduce administrative burden associated with the submission of a full proposal

• When and how does a Concept Outline get submitted?
  – Will be required by some solicitations, typically Planning Grants, RAPID, EAGER, and RAISE proposal types
  – Can also be submitted at any time to a Program Officer even when not required by a solicitation
  – May be submitted via email or ProSPCT

PAPPG 23-1, Chapter I.D and Chapter II.F
The Program Suitability & Proposal Concept Tool (ProSPCT)

- https://suitability.nsf.gov/s/
- Consists of a dashboard and a webform to prepare and track the status of Concept Paper submissions
- Users must have a valid Login.gov account to access the system
- Concept Outlines & ProSPCT Demonstration Webinar Recording
  https://nsfspolicyoutreach.com/resources/september-27-webinar-concepts/
Use of Broad Agency Announcements (BAA)

- New type of proposal solicitation for NSF that is used by other agencies (ex: DOD)
- What is a BAA? A solicitation for a broad scope of basic and applied research where the funding mechanism may be a grant, cooperative agreement, *contract*, or *other agreement*

- Policy/procedural guidance for submitting in BAAM will be provided in the BAA
New Checkboxes on the Proposal Cover Sheet

• Checkbox #1: Potential Life Sciences Dual Use Research of Concern (DURC)
  – What is DURC? Research that, based on current understanding, can be reasonably anticipated to provide knowledge, information, products, or technologies that could be directly misapplied to pose a significant threat with broad potential consequences to public health and safety, agricultural crops and other plants, animals, the environment, materiel, or national security. This includes DHHS policy regarding Potential Pandemic Pathogens (PPP).
  – Proposing organizations are responsible for identifying NSF-funded life sciences proposals that could potentially be considered DURC or involve enhanced PPPs by checking the box for “Potential Life Sciences Dual Use Research of Concern”.

• Checkbox #2: Off-Campus or Off-Site Research
  – Box must be checked if there is off-campus or off-site research contemplated in the proposal.

PAPPG 23-1, Chapter II.D.2, Chapter II.E.6, and Chapter XI.B.5
Revision of GOALI Requirements

• What is GOALI?
  – Grant Opportunities for Academic Liaison with Industry
  – Aimed at stimulating collaboration between academic research institutions and industry
  – Funds both individual GOALI proposals as well as GOALI supplements
  – See https://www.nsf.gov/eng/eec/goali.jsp

• Requirements for the for-profit partner have been modified to now allow a small business who has not received SBIR/STTR funding to serve in this role. There remain other eligibility requirements that the small business must meet.
Build America, Buy America (BABA)

• What is BABA?
  – Government-wide requirement that mandates the use of U.S.-produced materials when spending federal funds to build, alter, repair or maintain infrastructure projects 
    unless an exception is granted
  – The term and condition does flow down to any lower-tier subrecipient
  – See https://beta.nsf.gov/funding/build-america-buy-america

• NSF’s standard terms and conditions had been updated previously to incorporate this requirement, and is now being added to the PAPPG
FastLane Decommissioning/Research.gov Full Implementation

- Document-wide updates to incorporate Research.gov as the replacement to FastLane
FastLane will be decommissioned in 2023!

January 27, 2023
• 5:00 PM: Last day to submit proposals

September 29, 2023
• 5:00 PM: Last day to submit proposal file updates and budget revisions
• 11:00 PM: Last chance to access and download/print FastLane submitted and in-progress proposals
Current Research.gov Functionality

• All proposals, *except Postdoctoral Fellowship proposals with reference letter requirements*
  – See https://www.research.gov/research-web/content/aboutpsm

• All post-award notifications and requests, *except PI transfers and adding subawards*
  – See https://www.research.gov/research-web/content/aboutnr

• All project reporting

• All account management activities

• Research.gov “Sandbox”
Updates to Standard Award Terms & Conditions

• NSF’s full suite of standard terms and conditions has been updated to incorporate Safe and Inclusive Work Environments for Off-Campus or Off-Site Research;
  – Research Terms and Conditions
  – Grant General Conditions
  – Cooperative Agreement Conditions
  – Special Conditions

• The revised terms and conditions will apply to all new NSF awards and funding amendments to existing NSF awards made on or after January 30, 2023.
Summary Timeline of Major Changes

January 27
- Last day to submit proposals in FastLane

January 30
- All Current & Pending and Biosketches must be signed
- Safe and Inclusive Working Environments certification
- Standard T&Cs updated

July 31
- Responsible and Ethical Conduct of Research (RECR) training and certification

September 29
- Last day to submit proposal file updates and revised budgets, as well as access previously submitted proposals in FastLane

October 23
- Use of SciENcv to generate Current & Pending and Biosketches is required
Reminders!

- **Annual and Final Technical Reports, and the Project Outcomes Report**
  - 2 CFR §200.344(i). If a grantee does not submit all required reports within one year of the period of performance end date, NSF must report the grantee’s material failure to comply with the terms and conditions of the award with the OMB-designated integrity and performance system.

- **Post-award *Prior* Approvals**
  - Changes in Objective or Scope
  - Disengagement of PI/Co-PI
Resources – PAPPG 23-1

NSF 23-1, HTML

NSF 23-1, PDF (203 pages)

NSF 23-1 Significant Changes

NSF 23-1 Webinar Recording
OSP Roundtable – NSF Updates

Questions?

Jamie Sprague
Sr. Grant & Contract Officer/Federal Team Lead
jas2233@cornell.edu