NSF Proposal & Award Policy Update

NCURA FRA/PRA Meetings

March 2023

Speaker

Jean Feldman

- Head, Policy Office
  - Division of Institution & Award Support
  - Office of Budget, Finance & Award Management
  - policy@nsf.gov

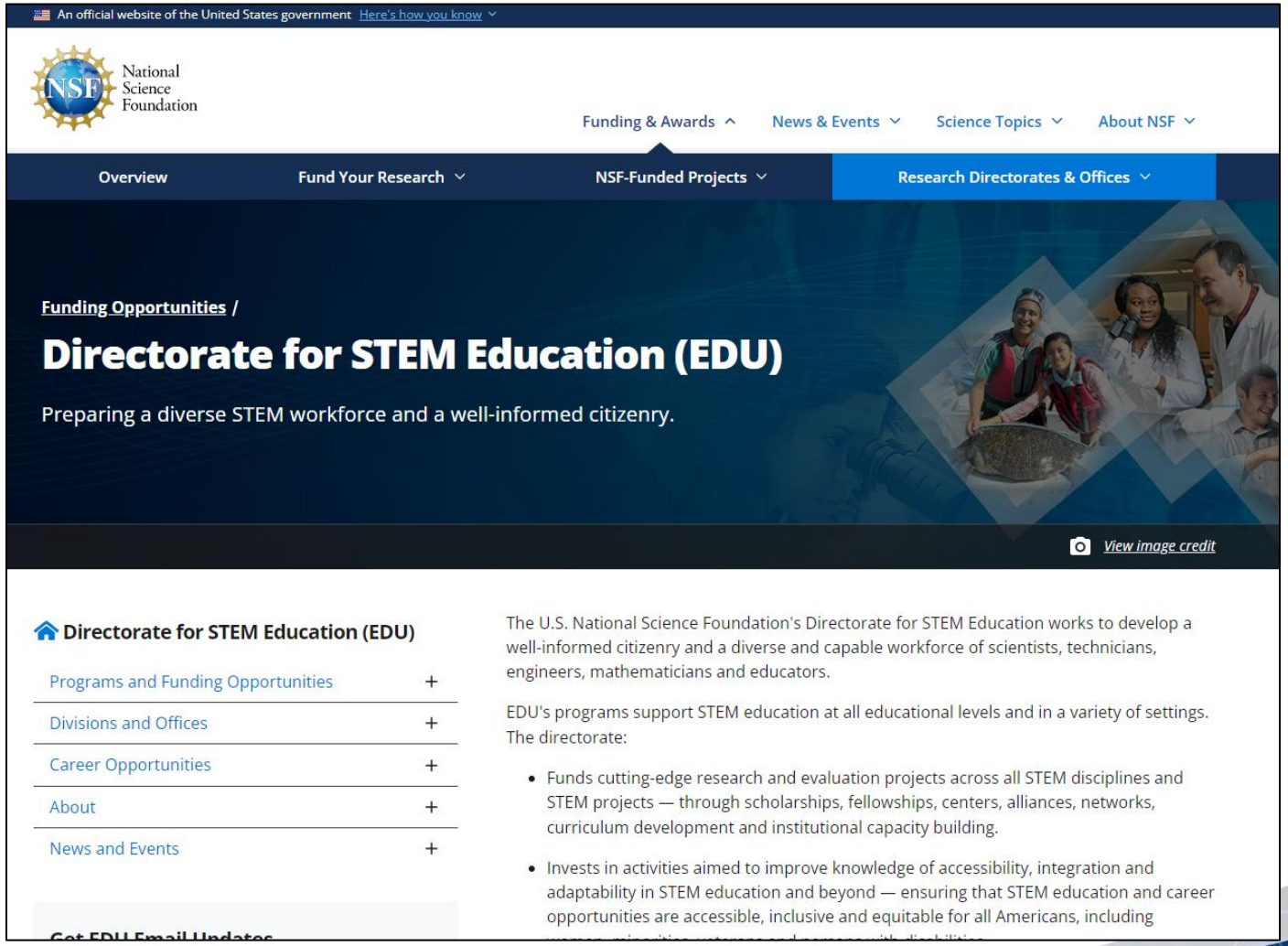
Topics

- Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 23-1)
- NSF implementation of National Security Presidential Memorandum 33 (NSPM-33)
  - Biographical Sketch
  - Current and Pending (Other) Support
- NSF system updates
- Upcoming NSF outreach opportunities
- Resources

Directorate for STEM Education (EDU)

- The NSF Directorate for Education and Human Resources has been renamed the Directorate for STEM Education (EDU).

- The Division of Human Resource Development has also been renamed to the Division of Equity for Excellence in STEM (EES).



Proposal & Award Policies & Procedures Guide (PAPPG)

- PAPPG issued
  - October 26, 2022
- PAPPG (NSF 23-1) became effective
  - January 30, 2023
- Draft PAPPG (NSF 24-1) being prepared for public comment

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

- PAPPG (NSF 23-1) Overall Effective Date
  - January 30, 2023

- PAPPG – Other Effective Dates
  - July 31, 2023: Responsible and Ethical Conduct of Research (RECR)
  - October 23, 2023: Mandatory use of SciENcv for Current and Pending (Other) Support and the Biographical Sketch

PAPPG (NSF 23-1) Revisions

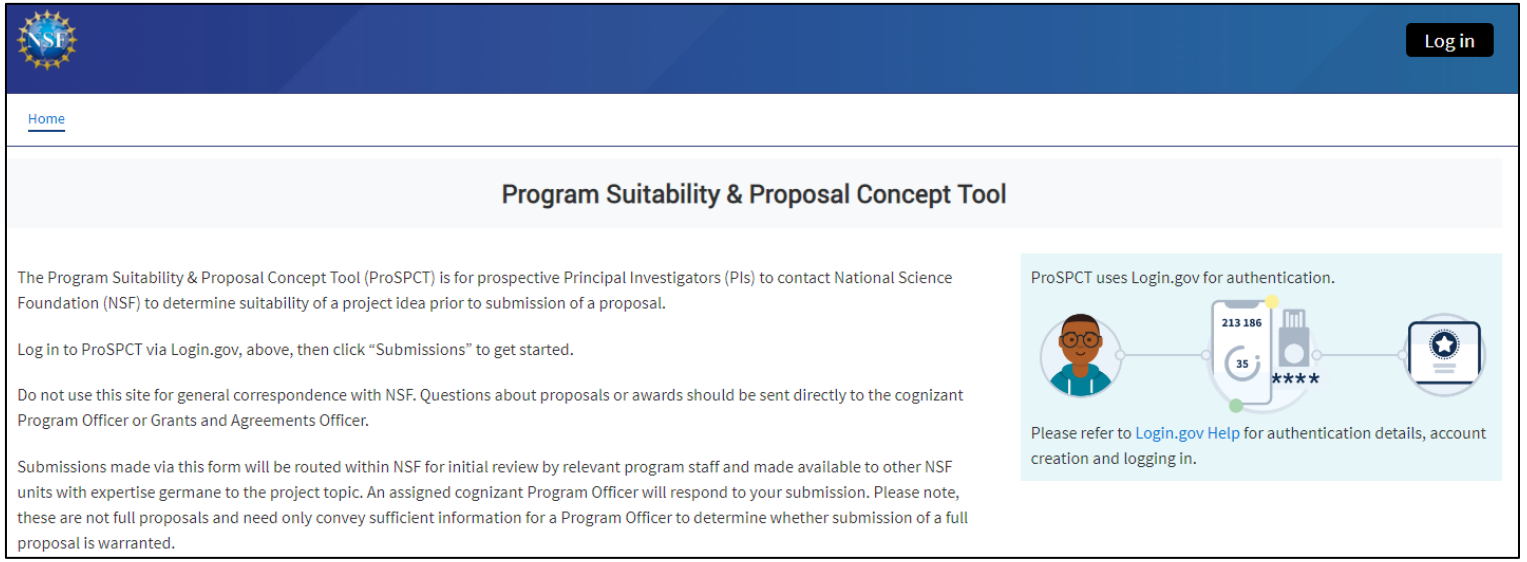
- Transition from FastLane to Research.gov
- Use of Broad Agency Announcements (BAAs)
- Revised certification for Responsible and Ethical Conduct of Research (RECR)
  - Provides a new certification for proposals submitted on or after July 31, 2023
  - Does not apply to proposals for conferences, symposia, and workshops
  - Requires training for faculty and other senior personnel
  - Requires mentor training and mentorship from the America COMPETES Act as amended by CHIPS and Science Act

PAPPG (NSF 23-1) Revisions: Concept Outlines

- Primary purpose of Concept Outlines
  - Ensure the concept being proposed is appropriate for the proposal type/funding opportunity
  - Help reduce administrative burden associated with submission of a full proposal
- Types of proposals that require submission of Concept Outlines
  - Planning
  - Rapid Response Research (RAPID)
  - EArly-Concept Grants for Exploratory Research (EAGER)
  - Research Advanced by Interdisciplinary Science and Engineering (RAISE)
- Funding opportunities may require Concept Outlines
- Concept Outlines may also be submitted at any time
- Concept Outlines may be submitted via e-mail or via ProSPCT

PAPPG (NSF 23-1) Revisions: Concept Outlines & Program Suitability and Proposal Concept Tool (ProSPCT)

- ProSPCT consists of a dashboard and webform to prepare send and tract the status of submissions
- Users must have a valid Login.gov account to access and use ProSPCT



https://suitability.nsf.gov/s/

Concept Outline and ProSPCT Demonstration Webinar:
https://nsfpolicyoutreach.com/resources/september-27-webinar-concepts/

PAPPG (NSF 23-1) Revisions: Eligibility

- Eligibility categories
  - Organizations that are eligible
  - Organizations that may be eligible
  - Not eligible to submit proposals

- Changes to NSF's eligibility categories:
  - For-profit organization eligibility
  - State and local Government eligibility
  - Tribal Government eligibility
  - Unaffiliated individuals

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

- Program solicitation pilots expanding this requirement
- Frequently Asked Questions
  - How does NSF define off-campus or off-site?
  - How do separately submitted collaborative proposals comply with this requirement?
  - Must the plan be in place prior to proposal submission?

PAPPG (NSF 23-1) Revisions

- Revision of GOALI requirements
- Incorporation of new section on Research Security
- Incorporation of new section on Scientific Integrity
- Check Boxes on the Proposal Cover Sheet
  - Potential Life Sciences Dual Use Research of Concern
  - Off-Campus or Off-Site Research

PAPPG (NSF 23-1) Revisions: NSF Implementation of NSPM-33 Guidance

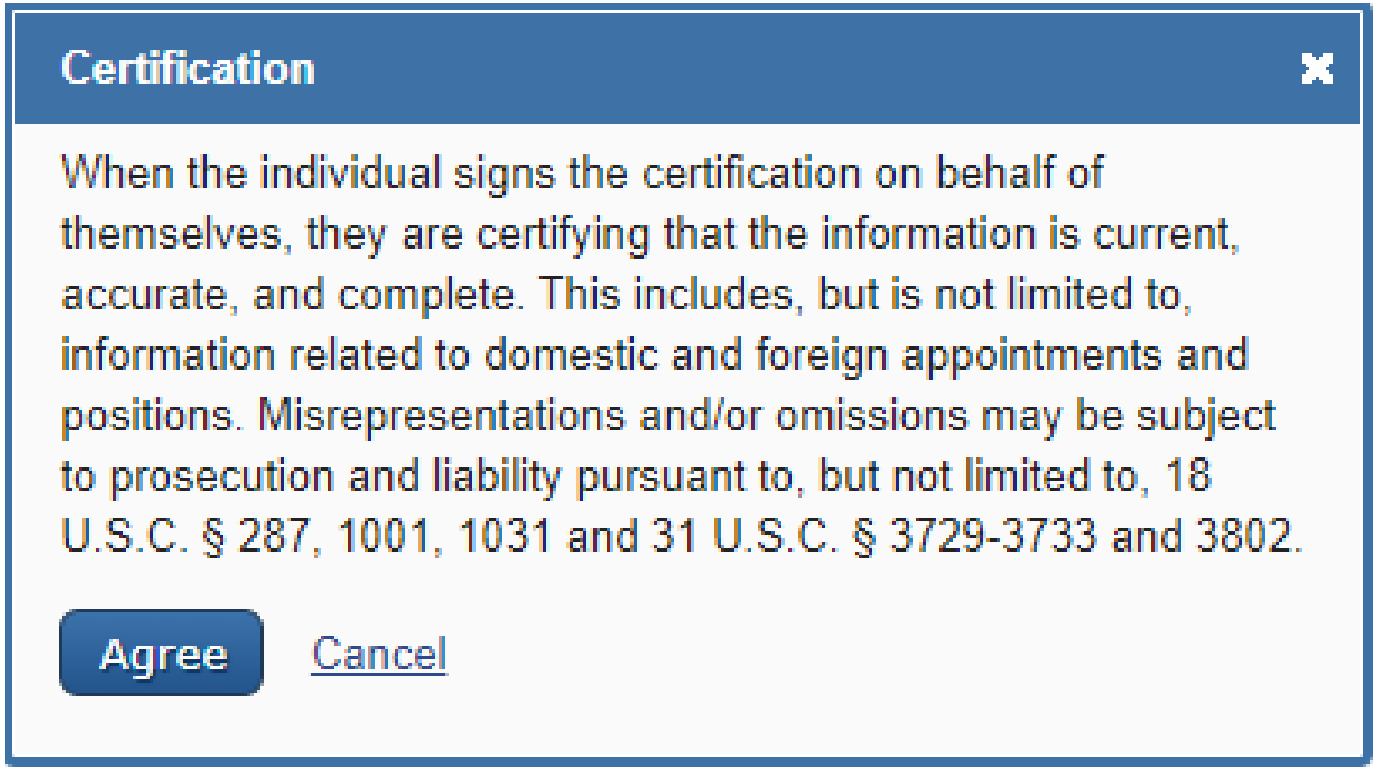
- NSF has been working to implement disclosure requirements for compliance with NSPM-33.
  - NSF has been collaborating with NIH to ensure our disclosure requirements are as consistent as possible, for use by researchers when preparing their Biographical Sketch and Current and Pending (Other) Support Documents.
- NSF, NIH, and OSTP co-chair an Interagency Working Group on Disclosure Policies
  - NSPM-33 Implementation Guidance included Harmonized Disclosure Requirements for use by Federal Research Funding Agencies.
- New section on NSF disclosure requirements added to the PAPPG

Revisions to the Biographical Sketch and Current and Pending (Other) Support

- Revision of the Biographical Sketch and Current and Pending (Other) Support
  - Co-chair the NSTC disclosure policies working group to develop a harmonized version of both documents.
  - Status: The revised formats are moving into the OMB clearance process and changes are targeted for implementation in FY24. There will be additional changes to NSF formats in FY24 PAPPG but will continue to be as close as possible to the interagency formats
  - Includes requisite certification from NDAA 2021, Section 223 regarding information being accurate, current and complete.
  - ORCID encouragement

Policy Context: Senior Personnel Document Certification

- Senior personnel must certify that the information is accurate, current and complete.
  - In SciENcv the certification is completed upon download of the document.
  - For the fillable formats, the senior personnel must type their name and date on the form. NSF does not allow for certification via DocuSign or other comparable products.



PAPPG (NSF 23-1) Revisions: Biographical Sketch and Current and Pending (Other) Support

- Both SciENcv and NSF fillable formats may be used through October 22, 2023.

- Use of SciENcv only will be mandated for proposals submitted or due on or after October 23, 2023.

Policy Context: Initial Disclosures and Update/Correction Requirements

- Proposal Submission
  - Collaborators and Other Affiliations, Biographical Sketch, and Current and Pending (Other) Support 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 project reports. If yes, they must include updated Current and Pending (Other) Support information.

Policy Context: Updated Current and Pending (Other) Support Requirements

- Updated Current and Pending (Other) Support Must Be Submitted for the following due date scenarios
  - Deadlines: Proposals that were submitted or due on or after January 30, 2023
  - Proposals Submitted Anytime (No Deadlines): Proposals submitted on or after January 30, 2023
  - Submission Windows: Proposals to submission windows that open prior to January 30, 2023, and close on or after January 30, 2023
  - Target Dates: Proposals submitted on or after January 30, 2023

Policy Context: 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.

Policy Office Website: Biographical Sketch

NSF-Approved Formats for the Biographical Sketch

The mandate to use SciENcv only for preparation of the biographical sketch will go into effect for new proposals submitted or due on or after October 23, 2023. In the interim, proposers may continue to prepare and submit this document via use of SciENcv or the NSF fillable PDF. NSF, however, encourages the community to use SciENcv prior to the October 2023 implementation.

NSF requires a biographical sketch for each individual identified as senior personnel. See the *Proposal and Award Policies and Procedures Guide* (PAPPG) Chapter II.D.2.h(i) for complete coverage on the content and formatting requirements for the biographical sketch.

A table entitled, NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending (Other) Support, has been developed to provide helpful reference information regarding pre-award and post-award disclosure information in the biographical sketch and current and pending support proposal sections. The table identifies where these disclosures must be provided in proposals as well as in project reports.

Senior personnel are required to certify that the information is current, accurate, and complete. This includes, but is not limited to, information related to domestic and foreign appointments and positions. The certification language is included on both the NSF fillable PDF and SciENcv template.

Approved formats for creating biographical sketches are:

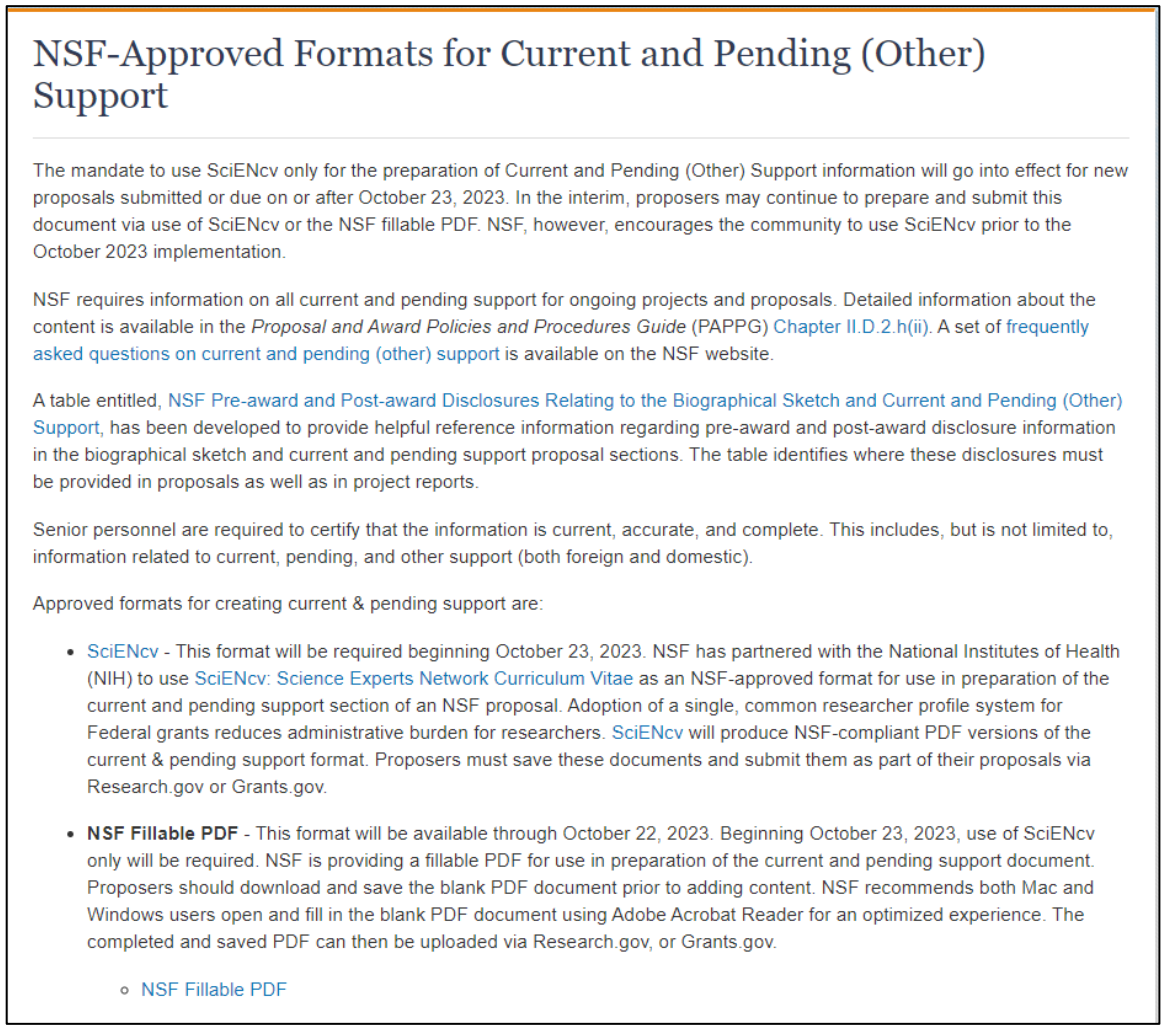
- SciENcv - This format will be required beginning October 23, 2023. NSF has partnered with the National Institutes of Health (NIH) to use SciENcv: Science Experts Network Curriculum Vitae as an NSF-approved format for use in preparation of the biographical sketch section of an NSF proposal. Adoption of a single, common researcher profile system for Federal grants reduces administrative burden for researchers. SciENcv will produce an NSF-compliant PDF version of the biographical sketch. Proposers must save these documents and submit them as part of their proposals via Research.gov or Grants.gov.
- **NSF Fillable PDF** - This format will be available through October 22, 2023. Beginning October 23, 2023, use of SciENcv only will be required. NSF is providing a fillable PDF for use in preparation of the biographical sketch. Proposers should download and save the blank PDF document prior to adding content. NSF recommends both Mac and Windows users open and fill in the blank PDF document using Adobe Acrobat Reader for an optimized experience. The completed and saved PDF can then be uploaded via Research.gov or Grants.gov.
    - NSF Fillable PDF

Links to PAPPG and Pre- and Post-Award Disclosure Table

Links to SciENcv and Fillable Formats

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

Policy Office Website: Current and Pending (Other) Support



NSF-Approved Formats for Current and Pending (Other) Support

The mandate to use SciENcv only for the preparation of Current and Pending (Other) Support information will go into effect for new proposals submitted or due on or after October 23, 2023. In the interim, proposers may continue to prepare and submit this document via use of SciENcv or the NSF fillable PDF. NSF, however, encourages the community to use SciENcv prior to the October 2023 implementation.

NSF requires information on all current and pending support for ongoing projects and proposals. Detailed information about the content is available in the *Proposal and Award Policies and Procedures Guide* (PAPPG) Chapter II.D.2.h(ii). A set of frequently asked questions on current and pending (other) support is available on the NSF website.

A table entitled, NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending (Other) Support, has been developed to provide helpful reference information regarding pre-award and post-award disclosure information in the biographical sketch and current and pending support proposal sections. The table identifies where these disclosures must be provided in proposals as well as in project reports.

Senior personnel are required to certify that the information is current, accurate, and complete. This includes, but is not limited to, information related to current, pending, and other support (both foreign and domestic).

Approved formats for creating current & pending support are:

- SciENcv - This format will be required beginning October 23, 2023. NSF has partnered with the National Institutes of Health (NIH) to use SciENcv: Science Experts Network Curriculum Vitae as an NSF-approved format for use in preparation of the current and pending support section of an NSF proposal. Adoption of a single, common researcher profile system for Federal grants reduces administrative burden for researchers. SciENcv will produce NSF-compliant PDF versions of the current & pending support format. Proposers must save these documents and submit them as part of their proposals via Research.gov or Grants.gov.
- **NSF Fillable PDF** - This format will be available through October 22, 2023. Beginning October 23, 2023, use of SciENcv only will be required. NSF is providing a fillable PDF for use in preparation of the current and pending support document. Proposers should download and save the blank PDF document prior to adding content. NSF recommends both Mac and Windows users open and fill in the blank PDF document using Adobe Acrobat Reader for an optimized experience. The completed and saved PDF can then be uploaded via Research.gov, or Grants.gov.
    - NSF Fillable PDF

Links to PAPPG, Pre- and Post-Award Disclosure Table, and FAQs

Links to SciENcv and Fillable Formats

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

Important FastLane Decommissioning Deadlines

Action	*Deadline*
UPDATE EXISTING	
Last day to **submit** **proposal file updates and budget revisions** in FastLane	**Friday, September 29, 2023** (5:00 PM submitter's local time)
WITHDRAW EXISTING	
Last day to **withdraw** **FastLane submitted proposals**	**Friday, September 29, 2023** (5:00 PM submitter's local time)
VIEW EXISTING	
Last day to **access** **FastLane submitted and in-progress proposals and letters of intent** **FastLane submitted and in-progress letters of intent and proposals will **not** be transferred to Research.gov. See* Instructions to Access and Download/Print FastLane Proposals and Supplemental Funding Requests	**Friday, September 29, 2023** (11:00 PM Eastern Time)

Notes:

- **Last day to submit new proposals in FastLane was January 27, 2023**
- **See the FastLane Decommissioning page for more information**

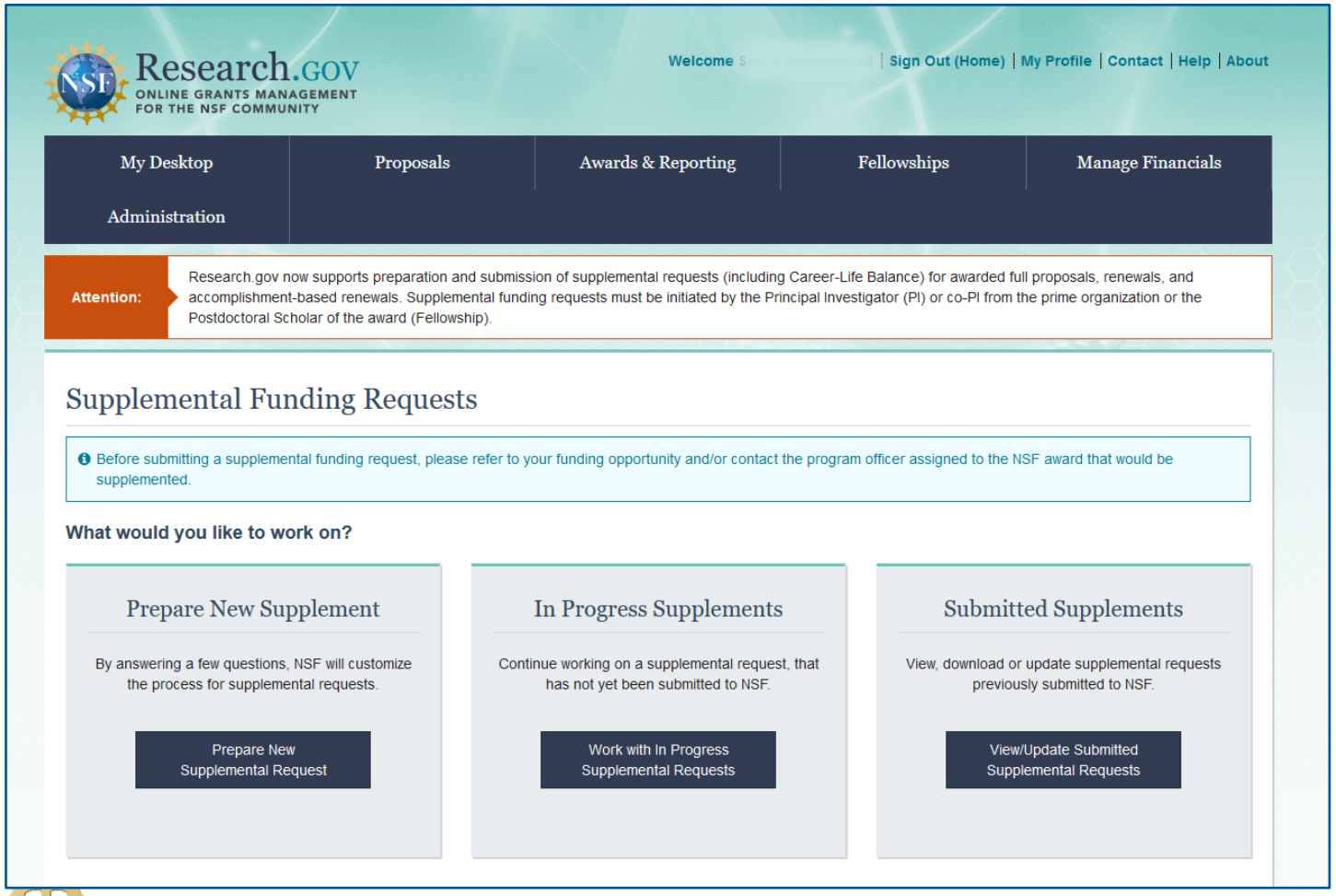
Important FastLane Supplemental Funding Decommissioning Deadlines

Action	*Deadline*
WITHDRAW EXISTING	
Last day to **withdraw** **supplemental funding requests** submitted in FastLane	**Friday, September 29, 2023** (5:00 PM submitter's local time)
VIEW EXISTING	
Last day to **access** **FastLane submitted** or **in-progress supplemental funding requests** **FastLane submitted and in-progress supplemental funding requests will **not** be transferred to Research.gov. See* Instructions to Access and Download/Print FastLane Proposals and Supplemental Funding Requests	**Friday, September 29, 2023** (11:00 PM Eastern Time)

Notes:

- **Last day to submit new supplemental funding requests in FastLane was January 27, 2023. Supplemental funding requests can be submitted in Research.gov regardless which system (Research.gov, FastLane, or Grants.gov) was used for proposal submission**
- **See the FastLane Decommissioning page for more information**

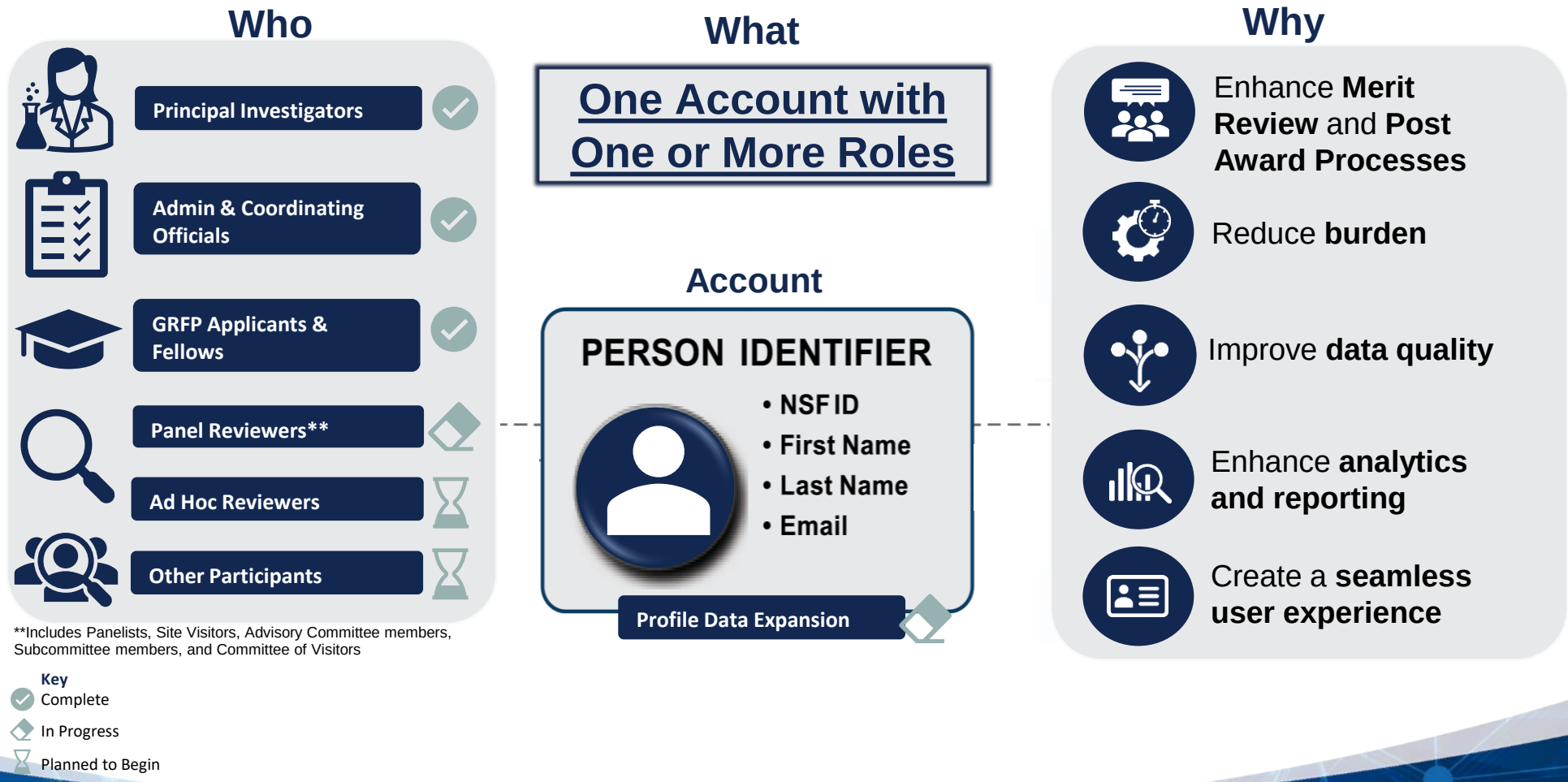
Supplemental Funding Requests in Research.gov



- All supplemental funding requests, including Career Life Balance requests per PAPPG Chapter II.F.8., must be prepared and submitted in Research.gov
- Supplemental requests can be submitted in Research.gov regardless which system (Research.gov, FastLane, or Grants.gov) was used for proposal submission

Account Management Across NSF Systems

A single unique identity that persists across all NSF business applications for each member of the research community throughout their career.



NSF System-Related Resources

- Join the NSF System Updates listserv to receive the latest Research.gov system enhancement information! Sign up by sending a blank email to: system_updates-subscribe-request@listserv.nsf.gov
- Automated Compliance Checking of NSF Proposals page
- Research.gov About Proposal Preparation and Submission page
- Research.gov About Account Management page
- FastLane Decommissioning page
- Resources for LaTeX Users: https://github.com/nsf-open/nsf-proposal-latex-samples
- NSF Electronic Research Administration (ERA) Forum page
- NSF ERA Forum listserv to receive updates on ERA Forum activities. Sign up by sending a blank email to: NSF_ERA_FORUM-subscribe-request@listserv.nsf.gov

NSF Outreach Opportunities

- Spring 2023 Virtual NSF Grants Conference – June 5-8
  - Registration opens in May
  - Proposal Preparation and Merit Review
  - Award Management
  - Directorate-specific sessions
- NSF Policy Office Webinar Series
  - Topic-specific sessions
  - Most recent session: Biographical Sketch, Current and Pending (Other) Support: SciENcv and NSF Formats
- 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)
- 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://beta.nsf.gov/careers