MAY 20 - 21, 2019

SPRING GRANTS
CONFERENCE

Policy Update

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Speakers

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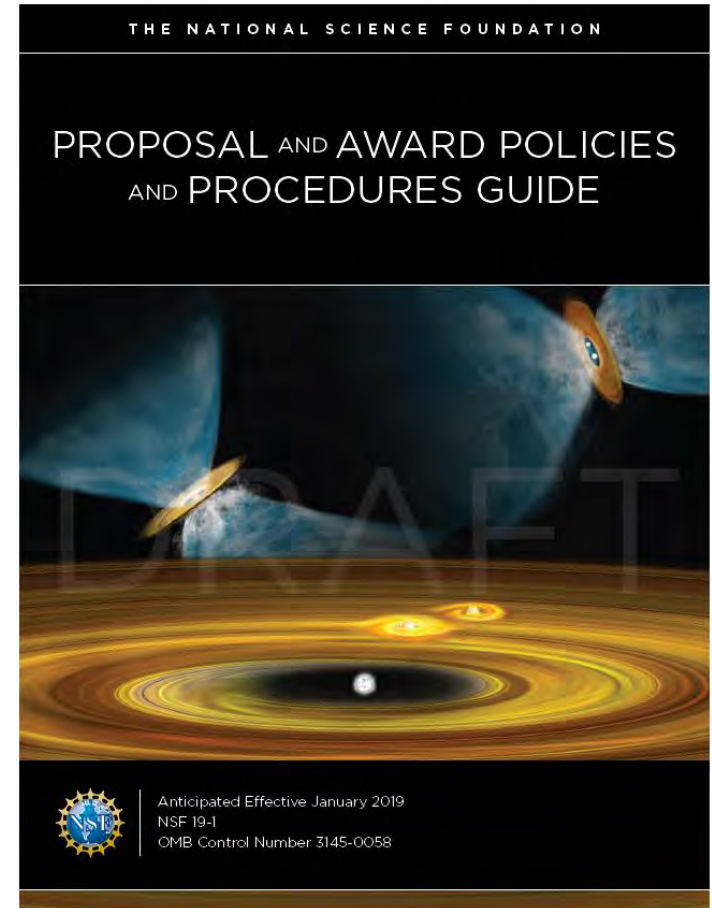
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Topics

- PAPPG 2019 Significant Changes
- NSF Harassment Term and Conditions Implementation
- Changes in Objective or Scope - Reminders
- Responsible and Ethical Conduct of Research
- Proposal Submission in Research.gov

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Upcoming PAPPG Implementation

- November 2, 2018 – Released to the community

- February 25, 2019 – (REVISED) PAPPG became effective

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PROPOSAL AND AWARD POLICIES AND PROCEDURES GUIDE

Anticipated Effective January 2019
NSF 19-1
OMB Control Number 3145-0058

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PAPPG Significant Changes

- Use of Research.gov for proposal submission: Policy versus on-screen instructions

- Expanded use of Dear Colleague Letters
  - "They also may be used to announce NSF's interest in receiving proposals in specified topical areas for the following proposal types contained 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."

- International Branch Campuses of US Institutions of Higher Education and Foreign Organizations
  - If the proposal includes funding to be provided to an international branch campus of a U.S. institution of higher education (including through use of subawards and consultant arrangements), the proposer must explain the benefit(s) to the project of performance at the international branch campus and justify why the project activities cannot be performed at the U.S. campus.
  - If the proposal includes funding to a foreign organization (including through use of subawards and consultant arrangements) the proposer must explain why local support is not feasible and why the foreign organization can carry out the activity more effectively.

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PAPPG Significant Changes (cont'd)

- Proposal font, spacing and margin requirements

- Additional highlighting of NSF's research misconduct policy

- New language encouraging the training of faculty in the responsible and ethical conduct of research

- Synergistic Activities clarification
  - A list of 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.

- Participant Support enhancements

- RAPID, EAGER and RAISE

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PAPPG Significant Changes (cont'd)

- Resubmission – Policy for programs using "no deadlines" for core programs

- Harassment policy – Implementation of Important Notice 144

- Final Project Report and Project Outcomes Report

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Sexual Harassment Term and Condition

- New term and condition announced on September 21st
  - Applies to all new awards and funding amendments to existing awards issued on or after October 22, 2018
  - Requires the awardee to notify NSF:

    1) of any findings/determinations regarding the PI/PD or co-PI/co-PD that demonstrate a violation of awardee codes of conduct, policies, regulations or statutes relating to sexual harassment, other forms of harassment, or sexual assault; or

    2) if the awardee places the PI/PD, or co-PI/co-PD on administrative leave or imposes an administrative action relating to a finding or investigation of a violation of awardee policies, codes of conduct, statutes or regulations relating to sexual harassment, other forms of harassment, or sexual assault

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Changes to the PAPPG to Address Harassment

- New coverage has been added to the conference proposal section

- Two new notification requirements have been added to the listing of required grantee notifications to NSF in accordance with the new term and condition

- Change in PI coverage now has Changes in PI at the Initiation of the Grantee Organization, and Changes in PI at the Initiation of NSF

- Non-Discrimination Statutes and Regulations coverage has been expanded to include a new paragraph that addresses the "NSF Policy on Sexual and Other Forms of Harassment", as well as a reference to the new grant condition that implements the harassment policy

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Harassment Notification Form

Organizational Notification of Harassment Form

Please use this web form to submit a notification of a PI's or co-PI's placement on administrative leave or a finding of harassment to the National Science Foundation's Office of Diversity and Inclusion.

Only the identification of the PI or co-PI is required. Personally identifiable information regarding any complainants or other individuals involved in the matter must not be included in the notification.

This form also should be used by subrecipients to provide any requisite notifications to NSF.

NSF Award Numbers: *

Name of Principal Investigator (PI/Co-PI) being reported: *

Awardee Information

Awardee Name: *

Awardee Address: *

Authorized Organizational Representative (AOR): *

AOR Title: *

AOR Phone: *

AOR Email: *

DUNS Number: *

Type of Notification: * Please select one of the following.

○ Finding/Determination that the reported individual has been found to have violated awardee policies or codes of conduct, statutes, regulations or executive orders relating to sexual harassment, other forms of harassment, or sexual assault; or

○ Placement by the awardee of the reported individual on administrative leave or the imposition of any administrative action on the PI or any co-PI by the awardee relating to any finding/determination or an investigation of an alleged violation of awardee policies

Explanation/Description of Events: *

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What Other Steps Have We Taken?

- NSF launched a website [nsf.gov/harassment] to consolidate policies and procedures, promising practices, and FAQs relating to sexual and other forms of harassment

  - https://www.nsf.gov/od/odi/docs/Sexual_Harassment_FAQs.pdf

- This is the same website where notifications from the Authorized Organizational Representative are submitted to NSF

- Questions should be directed to the Office of Diversity & Inclusion (ODI) at programcomplaints@nsf.gov

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Changes in Objective or Scope Reminders

- The objectives or scope of a project may not be changed without prior NSF approval.

- NSF does not define what constitutes a change in objectives or scope.

- Requests must be submitted by the AOR via Research.gov

- Prior NSF approval also is required for postaward changes to the Facilities, Equipment & Other Resources section of the approved proposal that constitute changes in objectives or scope.

- Post-award rebudgeting of person months devoted to the project may require NSF prior approval if the change would cause the objectives or scope of the project to change.

See PAPPG, Chapter VII.B.1.a

Responsible and Ethical Conduct of Research

- NSF expects adherence to high standards of responsible and ethical conduct in the science, technology, engineering and mathematics (STEM) research and education that NSF supports

- All allegations of Research Misconduct should be reported promptly to the Office of the Inspector General (OIG)

- NSF awardees are subject to the responsible conduct of research requirement of the America COMPETES Act of 2007 (Public Law 110-69)

- NSF funds research and dissemination of findings on Cultivating Cultures for Ethical Science, Technology, Engineering, and Mathematics (STEM)

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Responsible and Ethical Conduct of Research (cont)

- Upon proposal submission, AORs certify that the organization has a plan to provide RCR training to students and postdocs supported by NSF (see PAPPG, Chapters II.C.1.d and IX.B)

- NSF may review the plans upon request

- The Online Ethics Center (www.onlineethics.org) provides RCR resources to assist organizations in developing their training plans

- Each organization determines content, focus, and delivery method for training, tailored to specific needs

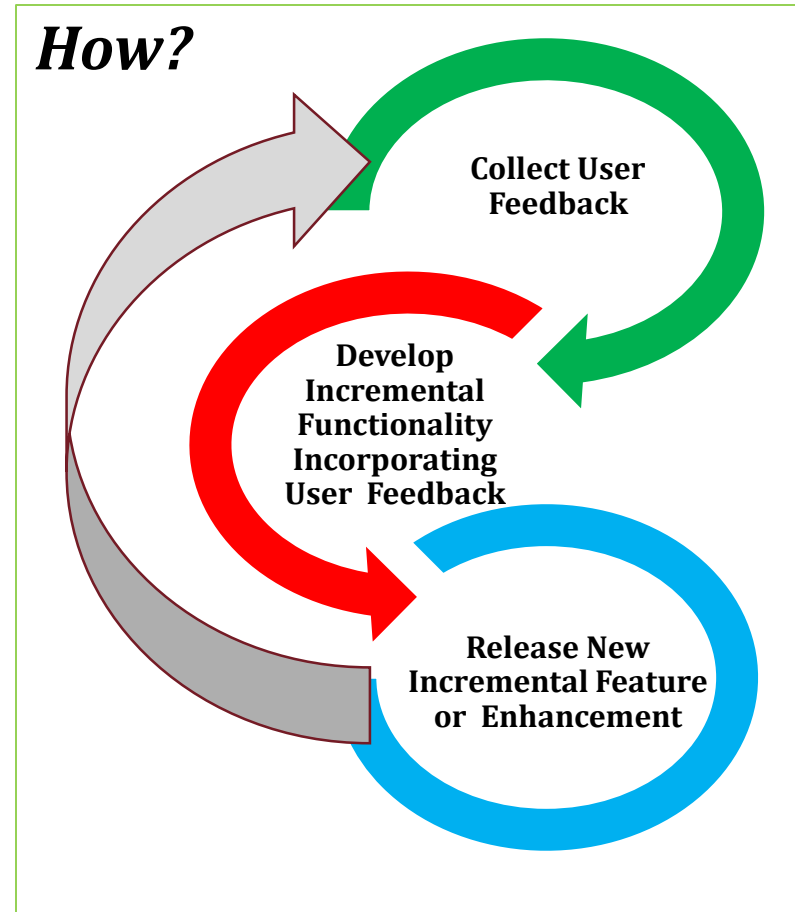- NSF recommends that the content address fabrication, falsification, and plagiarism, at a minimum

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Modernizing Proposal Preparation and Submission

Why?

- Improve the user experience

- Reduce administrative burden

- Increase efficiencies

- Improve data quality and analytics

- Improve availability of proposal preparation and submission

How?

Collect User Feedback

Develop Incremental Functionality Incorporating User Feedback

Release New Incremental Feature or Enhancement

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Proposal Submission in Research.gov

February 2019 Incremental Enhancement

- Capability to delete in-progress proposals, proposal file updates (PFUs), and budget revisions

- Ability for PI to select organization during proposal creation if the PI is affiliated with multiple organizations

- Enhanced error messages for Collaborators and Other Affiliations (COA) uploads

Summer 2019 Incremental Release

- Ability to prepare and submit collaborative proposals from one organization (collaborative proposals with subaward)

- Email notification to SPO/AOR when PI enables proposal access to SPO/AOR
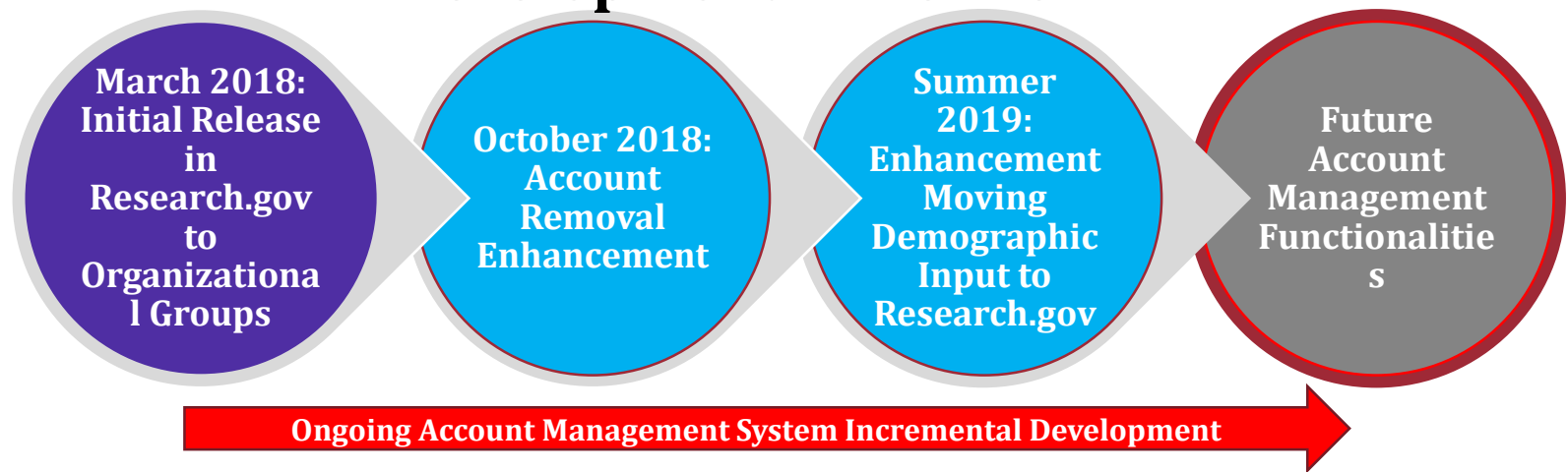
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Future Development Activities

- Additional Single Copy Documents

- Separately submitted collaborative proposals from multiple organizations

- Ability to withdraw submitted proposals

- Data pre-population (e.g., Biographical Sketch, Current and Pending Support)

- Additional proposal types (e.g., EAGER, RAPID)

- Additional submission types (e.g., Letters of Intent, ABR, Pre-proposal)

- Unique FastLane modules (e.g., SBIR/STTR, GRFP)

- All proposal documents and forms (e.g., Substitute Negotiator, DUE form)

- Solicitation-specific proposal sections (e.g., BIO classification form)

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Account Management Modernization

- One-year anniversary of new account management system in Research.gov

- Account management is expanding in Research.gov with additional functionalities moving from FastLane and new functionalities planned for Research.gov in the future

Development Timeline

March 2018: Initial Release in Research.gov to Organizational Groups → **October 2018: Account Removal Enhancement** → **Summer 2019: Enhancement Moving Demographic Input to Research.gov** → **Future Account Management Functionalities**

Ongoing Account Management System Incremental Development

- Ongoing duplicate account reconciliations and group email alias account resolutions

- Contact the NSF Help Desk at 1-800-381-1532 or rgov@nsf.gov if you need to have your account fixed or updated

- If you have a pending deadline...CALL and tell us

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For More Information

"Ask Early, Ask Often!"

- nsf.gov/staff
- nsf.gov/staff/orglist.jsp
- nsf.gov/about/career_opps/rotators/index.jsp

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