



Office of Sponsored Programs (OSP) Roundtable

National Science Foundation (NSF) Policy & System Updates



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Agenda

- Updated Proposal and Award Policies and Procedures Guide (PAPPG), NSF 23-1
- Research.gov Updates
- Standard Terms & Conditions Updates
- Reminders and Resources

NATIONAL SCIENCE FOUNDATION

PROPOSAL AND AWARD POLICIES AND PROCEDURES GUIDE

National
Science
FoundationEffective January 30, 2023
NSF 23-1
OMB Control Number 3145-0058

- **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

[Home](#) [Proposal & Award Policies & Procedures Guide \(PAPPG\) \(NSF 23-1\)](#)

[PAPPG - printable version \(PDF\)](#)

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[Part I: Proposal Preparation and Submission Guidelines](#)



[Part II: Award, Administration and Monitoring of NSF Assistance Awards](#)



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[PAPPG \(NSF 23-1\) dated January 30, 2023 \(PDF, 3.35 MB\)](#)

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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)





FLASHBACK

NSF 20-1 Significant Changes

- 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

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



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).



SciENcv Reminders

- <https://www.ncbi.nlm.nih.gov/sciencv/>
- 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



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.



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 proposal 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



The Program Suitability & Proposal Concept Tool (ProSPCT)



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Program Suitability & Proposal Concept Tool

The Program Suitability & Proposal Concept Tool (ProSPCT) is for prospective Principal Investigators (PIs) to contact National Science Foundation (NSF) to determine suitability of a project idea prior to submission of a proposal.

Log in to ProSPCT via Login.gov, above, then click "Submissions" to get started.

Do not use this site for general correspondence with NSF. Questions about proposals or awards should be sent directly to the cognizant Program Officer or Grants and Agreements Officer.

Submissions made via this form will be routed within NSF for initial review by relevant program staff and made available to other NSF units with expertise germane to the project topic. An assigned cognizant Program Officer will respond to your submission. Please note, these are not full proposals and need only convey sufficient information for a Program Officer to determine whether submission of a full proposal is warranted.

To complete the submission, you will be asked to select a proposal type and then provide information about the prospective PI(s), relevant NSF unit(s), and the project idea. This information will aid in determining the appropriateness of the work for consideration under the selected proposal type.

- The NSF Proposal and Award Policies and Procedures Guide (PAPPG) describes four types of proposals (Planning Proposal, RAPID, EAGER, and RAISE) that require a PI to first contact NSF for Program Officer approval to submit a proposal. See the [NSF PAPPG](#) for further details for each proposal type.
- If you are submitting a request in response to a specific funding opportunity that requires contacting NSF before proposal submission, you will have an opportunity to identify the opportunity. Please be sure to follow any instructions about the content of your submission described in the funding opportunity.

See the NSF PAPPG for the applicable [Privacy Act](#) and [Public Burden Statement](#).

For technical questions or immediate assistance, please [Email](#) or call the ProSPCT Help Desk at (866) 653-6731
8 AM - 5 PM Eastern Time, Monday through Friday (except for federal holidays)

[Website Policies](#) | [Budget and Performance](#) | [Inspector General](#) | [Privacy](#) | [FOIA](#) | [No FEAR Act](#) | [USA.gov](#) | [Accessibility](#) | [Plain Language](#) | [Research.gov](#)

National Science Foundation, 2415 Eisenhower Avenue, Alexandria, Virginia 22314, USA Tel: (703) 292-5111, FIRS: (800) 877-8339 | TDD: (800) 281-8749

ProSPCT uses Login.gov for authentication.



Please refer to [Login.gov Help](#) for authentication details, account creation and logging in.

- <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://nspolicyoutreach.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*

Home

Broad Agency Announcement Management

Welcome to the National Science Foundation's Broad Agency Announcement Management site.

The Broad Agency Announcement Management (BAAM) site, is a document management system for submission of letters of intent, preliminary proposals, and full proposals in response to a National Science Foundation (NSF), Broad Agency Announcements (BAA).

A BAA is a funding opportunity method used by NSF for basic and applied research, scientific study, and experimentation. NSF can choose to fund proposals as either grants, cooperative agreements, or contracts. Each BAA will specify the award type. BAAs are broad in their subject matter and focus on advancing science and increasing knowledge rather than acquiring specific products.

Login to submit a Letter of Intent, Preliminary and/or Full Proposal, or Concept Outline.

NSF BAAM uses Login.gov for authentication.

Please refer to [Login.gov Help](#) for authentication details, account creation and logging in.

For technical questions or immediate assistance, please Email or call the BAAM Help Desk at (866) 653-6731
8 AM - 5 PM Eastern Time, Monday through Friday (except for federal holidays)

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- Broad Agency Announcement Management System (BAAM): <https://baam.nsf.gov/s/>
- 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.



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

<https://beta.nsf.gov/policies/pappg/23-1/table-of-contents>

NSF 23-1, PDF (203 pages)

https://nsf-gov-resources.nsf.gov/2022-10/nsf23_1.pdf

NSF 23-1 Significant Changes

<https://beta.nsf.gov/policies/pappg/23-1/summary-changes>

NSF 23-1 Webinar Recording

<https://nsfpolicyoutreach.com/resources/fall-2022-gc-revisions-to-the-pappg-nsf-23-1/>



OSP Roundtable – NSF Updates

Questions?

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