

National Science Foundation



W H E R E D I S C O V E R I E S B E G I N

NSF Proposal & Award Policy Update

November 27, 2018



SPEAKER

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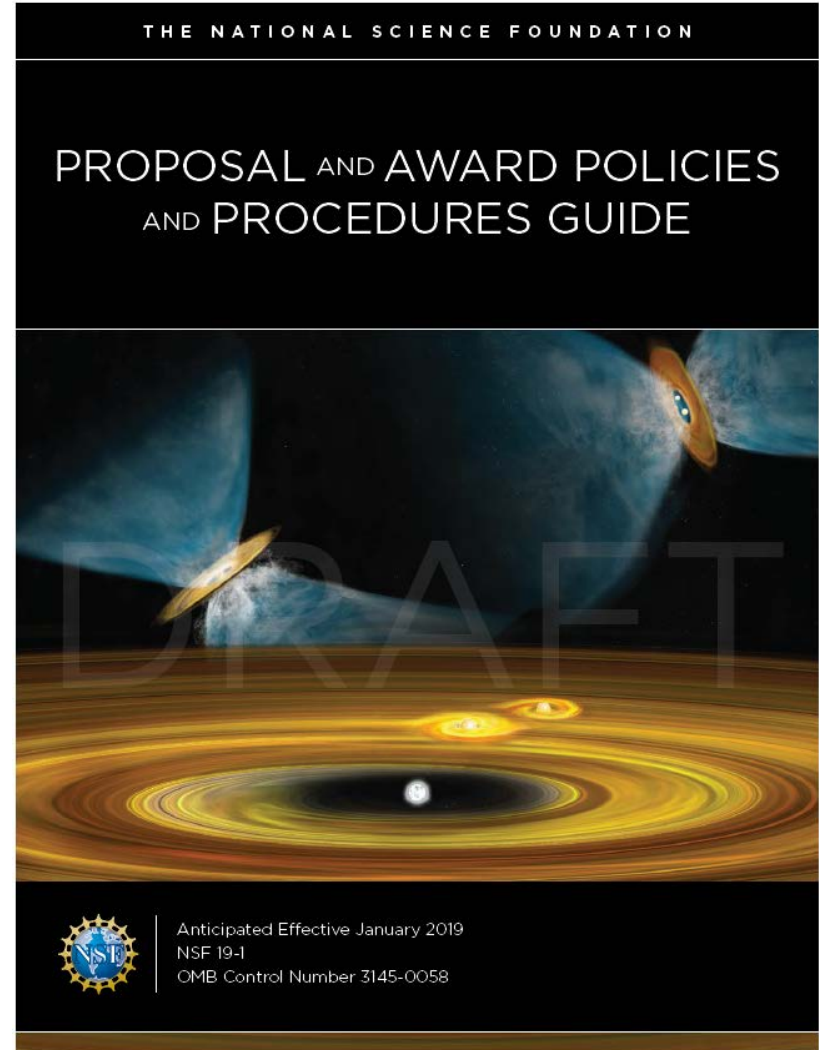
TOPICS

- PAPPG Proposed Significant Changes
- NSF Harassment Term & Condition Implementation
- Changes in Objective or Scope - Reminders
- Responsible and Ethical Conduct of Research
- Proposal Submission in Research.gov
- Account Management Updates
- Update of the NSF Award System



UPCOMING PAPPG IMPLEMENTATION SCHEDULE

- November 2, 2018 – Released to the community
- January 28, 2019 – PAPPG becomes effective



PAPPG SIGNIFICANT CHANGES

- Use of Research.gov for proposal submission: Policy versus on-screen instructions
- Expanded use of Dear Colleague Letters
- Unaffiliated Individuals
- International Branch Campuses of US Institutions of Higher Education and Foreign Organizations
- Proposal font, spacing and margin requirements
- Additional highlighting of NSF's research misconduct policy
- Synergistic Activities clarification



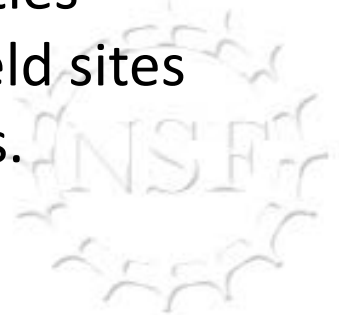
PAPPG SIGNIFICANT CHANGES

- Participant Support enhancements
- Resubmission
- Harassment policy – Implementation of Important Notice 144
- Final Project Report and Project Outcomes Report
- Micropurchase threshold increase to \$10K
- Intellectual Property



IMPORTANT NOTICE 144 ON HARASSMENT

- National Science Foundation (NSF) will not tolerate sexual harassment, or any kind of harassment, within the agency, at grantee organizations, field sites, or anywhere NSF-funded science and education are conducted.
- NSF is committed to promoting safe, productive research and education environments for current and future scientists and engineers.
- The PI and co-PI and all grant personnel must comport themselves in a responsible and accountable manner, including during the performance of award activities conducted outside the organization, such as at field sites or facilities, or during conferences and workshops.



SEXUAL HARASSMENT TERM AND CONDITION STATUS

- NSF received a significant number of comments – from institutions of higher education, scientific societies, for-profit organizations, faculty, students, etc. - during the 60 day comment period, which closed on May 4, 2018
- NSF carefully considered each comment in development of a revised term and condition
- NSF hosted a Roundtable on Sexual Harassment with representatives from professional societies (including representatives from COGR, AAU, APLU) on July 24th



SEXUAL HARASSMENT TERM AND CONDITION STATUS

- 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 AOR 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.



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.



WHAT OTHER STEPS HAVE WE TAKEN?

- Enhanced Web Resources
 - NSF recently launched a dedicated web portal [www.nsf.gov/harassment] to consolidate policies and procedures, promising practices, and frequently asked questions relating to sexual and other forms of harassment
 - This will be the same website where the form is housed that is used to submit the notification
 - Questions should be directed to the Office of Diversity & Inclusion (ODI) at programcomplaints@nsf.gov



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)



RESPONSIBLE AND ETHICAL CONDUCT OF RESEARCH (CONT'D)

- 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 encourages training of faculty in the ethical conduct of research.



PROPOSAL SUBMISSION IN RESEARCH.GOV

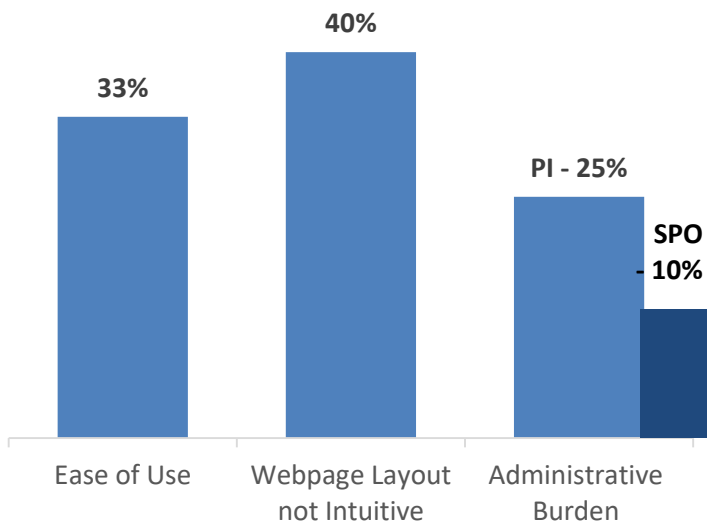
- Modernizes the applications supporting proposal submission and ***improves the user experience*** via the development of a new application
- ***Reduces the administrative burden*** to the research community and NSF staff associated with preparation, submission, and management of proposals
- ***Increases efficiencies*** in proposal preparation, submission, and management
- ***Improves data quality*** and captures proposal content in a way that ***supports data analytics***
- ***Improves availability***, security, and flexibility of proposal preparation and submission IT systems



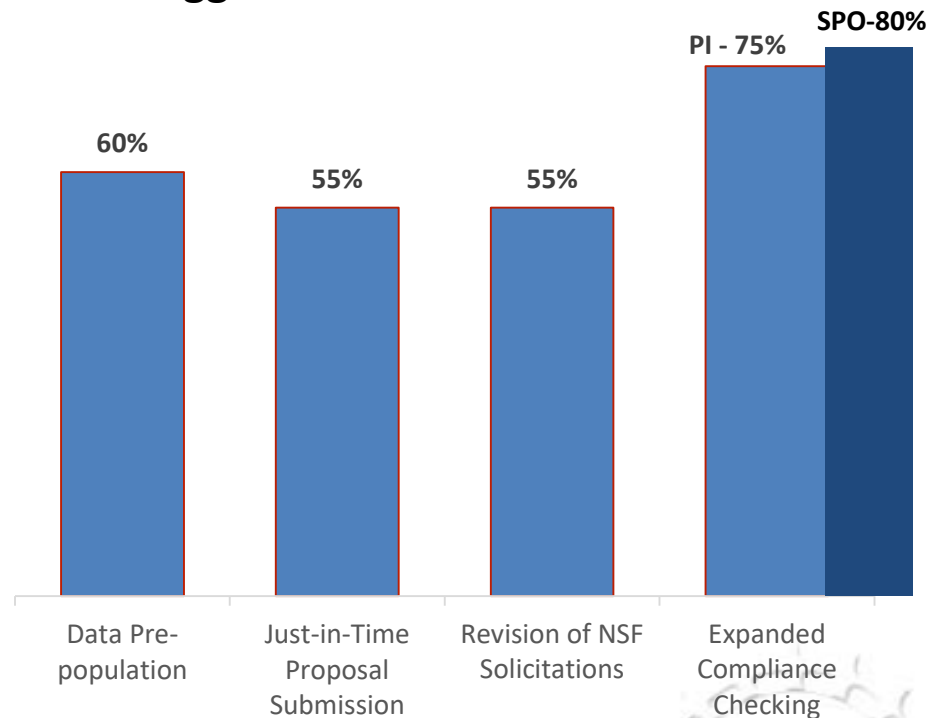
WHY ARE WE MODERNIZING NSF'S PROPOSAL SUBMISSION CAPABILITY?

In June 2015, NSF surveyed PIs and SPOs about the proposal submission capabilities available in FastLane and used this feedback to target proposal submission modernization improvements

The Problem Statement



Suggestions for Potential Solutions



*Results based on 16,736 responses from the June 2015 survey sent to 116,638 members of the research community



PROPOSAL SUBMISSION IN RESEARCH.GOV

- Initial release allows submission of full, research non-collaborative proposals, enabling the following features:
 - AOR Proposal Submission
 - Proposal File Update & Budget Revision
- Future releases will enable other proposal types and features



RESEARCH.GOV: RECENT ENHANCEMENTS

- Additional flexibilities for PDF uploads
 - Support for PDFs generated from LaTeX source documents
 - Compliance checks for fonts and font sizes
 - Arial (not Arial Narrow), Courier New, Palatino, Palatino Linotype, or Helvetica at a font size of 10 points or larger.
 - Times New Roman at a font size of 10 points or larger
 - Computer Modern family of fonts at a font size of 10 points or larger.
 - Other fonts not specified above such as Cambria Math, may be used for mathematical formulas, equations, or when inserting Greek letters or special characters.
- Sign up for enhancements and events. Send an e-mail to: system_updates-subscribe-request@listserv.nsf.gov



FUTURE ENHANCEMENTS

- Withdraw/delete proposal
- Collaborative proposals
- Additional proposal types (e.g., EAGER, RAPID, etc.)
- Additional submission types (e.g., Letters of Intent, ABR, Pre-proposal)
- All proposal documents and forms (e.g., Substitute Negotiator, DUE Form)
- Additional Single Copy Documents
- Solicitation-specific proposal sections (e.g., BIO classification form and company commercialization history form for SBIR proposals)
- Data pre-population (e.g., Current and Pending Support)
- Unique FastLane modules (e.g., SBIR/STTR, GRFP)



ACCOUNT MANAGEMENT MODERNIZATION

- **NEW: Account Removal**
 - Administrators can remove users from their organizations who have not migrated to the new account management system
 - Unmigrated users include those who have left the organization
 - Available as of October 22, 2018
- **Ongoing and Coming Soon**
 - NSF is continuing to reconcile duplicate accounts
 - Contact the NSF Help Desk at 1-800-381-1532 or rgov@nsf.gov if you need to have your account fixed
 - If you have a pending deadline...CALL and tell us
 - This fall, NSF plans to start contacting users utilizing group email aliases as their primary email addresses
 - NSF is not supporting group email aliases as account recovery email addresses



UPDATE OF THE NSF AWARD SYSTEM

- NSF is modernizing and improving its Awards system used by the Division of Grants & Agreements (DGA) and the Division of Acquisition & Cooperative Support (DACS)
- Moving to a standardized, easy-to-use format for both grants and cooperative agreements
- No changes are needed from awardees: both old and new documents will be in Fastlane as usual

Award Notice Types Updated	March 2018	Summer 2018	Fall 2018	2019
No Cost Extension Amendments	✓	✓	✓	✓
Other Non-Funded Amendments		✓	✓	✓
Funded Amendments			✓	✓
New Awards				✓
PI Transfers				✓



FOR MORE INFORMATION

Ask Early, Ask Often!

policy@nsf.gov

