NSF UPDATE 2019

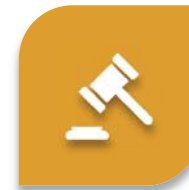CATALINA VERDU-CANO, ASSOCIATE DIRECTOR, VP-DOR

TOPICS
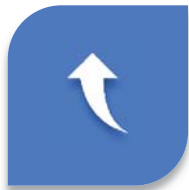
PAPPG SIGNIFICANT CHANGES

NSF POLICY ON HARASSMENT AND NSF HARASSMENT TERM AND CONDITION IMPLEMENTATION

REMINDERS

RESPONSIBLE AND ETHICAL CONDUCT OF RESEARCH
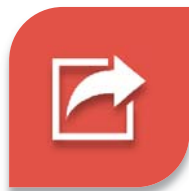
PROPOSAL SUBMISSION IN RESEARCH.GOV

NSF AND THE GOVERNMENT SHUTDOWN

NSF 19-1 PAPPG IMPLEMENTATION SCHEDULE

- The new PAPPG applies to proposals submitted or due, or awards made, on or after January 28, 2019

THE NATIONAL SCIENCE FOUNDATION

PROPOSAL AND AWARD POLICIES AND PROCEDURES GUIDE

Effective January 28, 2019
NSF 19-1
OMB Control Number 3145-0058
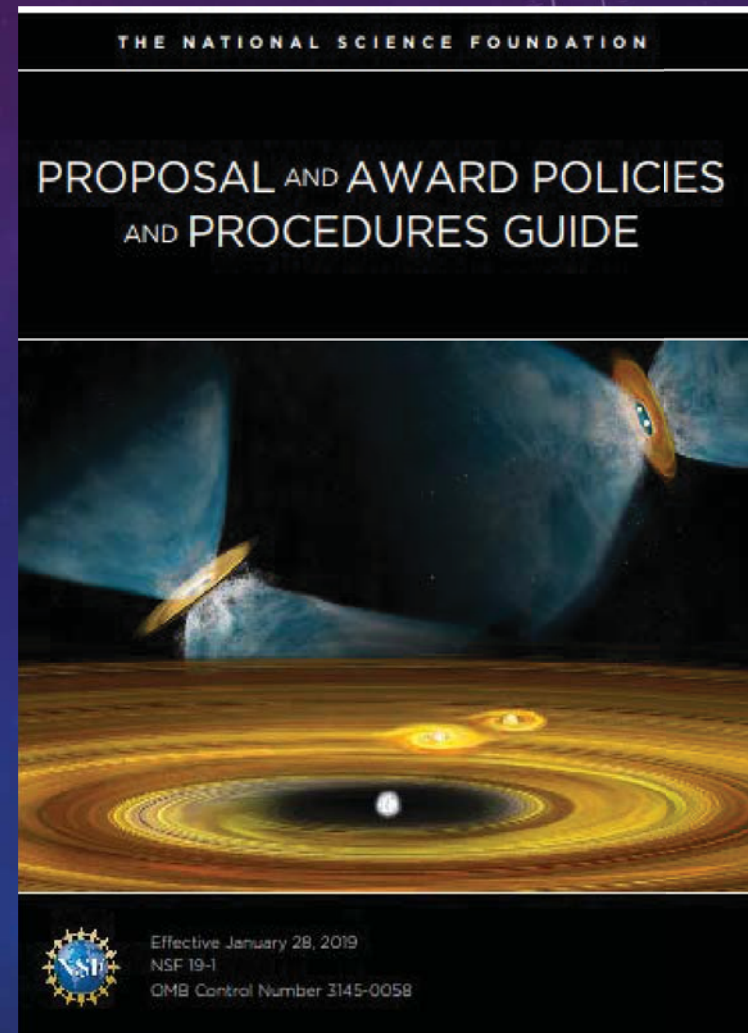
PAPPG SIGNIFICANT CHANGES AND CLARIFICATIONS

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

- Expanded use of Dear Colleague Letters

- 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

- Unaffiliated individuals

PAPPG SIGNIFICANT CHANGES AND CLARIFICATIONS

PARTICIPANT SUPPORT ENHANCEMENTS

RAPID, EAGER AND RAISE

RESUBMISSION
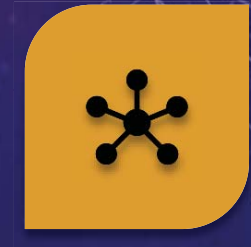
COLLABORATORS AND OTHER AFFILIATIONS

PAPPG SIGNIFICANT CHANGES AND CLARIFICATIONS

Micro-purchase threshold increased to $10K However, for Stanford it is 25k

Final Project Report and Project Outcomes Report

Subawards

Intellectual Property

NSF POLICIES ON HARASSMENT

Recent attention to sexual misconduct has led NSF to implement several new initiatives. NSF has actively addressed sexual misconduct in NSF Awardee programs funded by academic and research institutions

It is a violation of NSF's Title IX regulations when a grantee institution fails to address known incidents of sexual misconduct

Media reports of sexual harassment by prominent scholars and researchers in academia

#MeToo movement, also #astroSH, #MeTooPhD, #MeTooSTEM and others

NSF'S 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.

- NSF expects all awardee organizations to establish and maintain clear and unambiguous standards of behavior to ensure harassment-free workplaces wherever science is conducted. This includes activities at all research facilities and field sites and during conferences and workshops.

- 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.

NSF NEW TERM AND CONDITIONS FOR REPORTING FINDINGS OF HARASSMENT

- 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 Pl/PD or co Pl/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 Pl/PD, or co-Pl/ 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.

STANFORD'S IMPLEMENTATION OF NSF'S HARASSMENT REQUIREMENTS

1. Harassment or misconduct occurrence reported to Sexual Harassment Policy Office

2. SHPO coordinates responses to concerns: Finding/determination or administrative leave or action identified

3. Cross reference faculty names with PI's or CO-PI's sources of funding in SeRA via Current and Pending Support Report

4. Sexual Harassment Policy Office notifies ORA (Russell Brewer) or RMG (Kathleen Thompson)

5. NSF's webform submitted by Russell Brewer (Non-SoM) or Kathleen Thompson (SoM)

For conferences, a link to Stanford's policies on harassment needs to be provided to registrants, attendees, etc...

https://harass.stanford.edu/be-informed/overview-stanford-policies

National Science Foundation
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Office of the Director

ODI Home

Term and Condition Required Notification of Harassment

Sexual Harassment

Awardee Civil Rights

Equal Employment Opportunity

Reasonable Accommodations

Diversity and Inclusion

ODI Staff

Home   ✉ Email   🖨 Print   ↗ Share

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: *

[   ]

[Submit]   [Clear]

EACH NOTIFICATION MUST INCLUDE THE FOLLOWING INFORMATION:

- NSF Award Number

- Name of PI or co-PI being reported

- Type of Notification: 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 or codes of conduct, statutes, regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault.

- Description of the finding/determination and action(s) taken, if any; and

- Reason(s) for, and conditions of, placement of the PI or any co-PI on administrative leave or imposition of administrative action.

IN REVIEWING THE NOTIFICATION, NSF WILL CONSIDER, AT A MINIMUM, THE FOLLOWING FACTORS:

The safety and security of personnel supported by the NSF award;

The overall impact to the NSF-funded activity;

The continued advancement of taxpayer-funded investments in science and scientists; and

Whether the awardee has taken appropriate action(s) to ensure the continuity of science and that continued progress under the funded project can be made.

WHAT WILL NSF DO AFTER REVIEW AND CONSULTATION?

Upon receipt and review of the information provided, NSF will consult with the AOR, or designee.

Based on the results of this review and consultation, the Foundation may, if necessary, assert its programmatic stewardship responsibilities and oversight authority to

1. initiate the substitution or removal of the PI or any co-PI,

2. reduce the award funding amount, or

3. where neither of those previous options is available or adequate, to suspend or terminate the award.

RESOURCES ON HARASSMENT POLICIES AND IMPLEMENTATION

STANFORD

https://harass.stanford.edu

Policies and Resources

https://harass.stanford.edu/be-informed/overview-stanford-policies

Training

Title IX report

NSF

https://www.nsf.gov/harassment

Policies and procedures

Frequently asked questions relating to sexual and other forms of harassment

This is also the website where AORs submit notifications

CHANGES TO THE PAPPG TO ADDRESS HARASSMENT

- Two 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 includes *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 Harassment and Other Forms of Harassment", as well as a reference to the new term and condition that implements the harassment policy

- New coverage has been added to the conference proposal section

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

- 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 11.C.1.d and IX.BJ

- 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.

RESPONSIBLE AND ETHICAL CONDUCT OF RESEARCH

- Stanford's PI Training includes section on RCR.

- Stanford requires all NSF undergraduate, graduate students and postdoctoral researchers to complete RCR training in CITI.

- You can find the link to this course in DoResearch, keyword search: RCR

Responsible Conduct of Research

Required for NIH trainees and NSF undergraduate, graduate students and postdoctoral researchers

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

  - Additional flexibilities for PDFs uploads

  - Compliance checks for fonts and font sizes

RESEARCH.GOV: FUTURE ENHANCEMENTS

- INCREMENTAL SYSTEM RELEASES ARE BEING DEPLOYED TO EXPAND FEATURES INCLUDING:

  - Collaborative Proposals (subawards and separately submitted collaborative proposals from multiple organizations)

  - Additional Proposal Types (e.g., EAGER, RAPID, RAISE, etc.)

  - Enhancements to Compliance Checking

  - Withdraw/Delete Proposal

  - Additional Email Notifications

  - All proposal documents and forms

  - Additional Submission Types (e.g. Letters of Intent, Preliminary proposals)

  - Solicitation-specific proposal content

  - Data pre-population (e.g. Current and Pending Support, Results from Prior NSF Support)

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

GOVERNMENT SHUTDOWN: PROPOSAL PREPARATION AND SUBMISSION

- No new funding opportunities (Dear Colleague Letters, program descriptions, announcements or solicitations) will be issued.

- FastLane and Research.gov proposal preparation and submission will be available; however, proposals will not be processed until normal operations resume.

- Responses to any inquiries received regarding upcoming deadlines, including proposal preparation, will be deferred until normal operations resume.

Impact on Existing Deadlines

- During a lapse in appropriations, NSF will continue to accept proposal submissions pursuant to existing deadlines.

Proposal Processing Time

- The Foundation may not be able to meet our customer service standard of informing proposers whether their proposals have been declined or recommended for funding within six months of the deadline or target date, or receipt date, whichever is later.

GOVERNMENT SHUTDOWN: AWARDS ISSUANCE AND MANAGEMENT

Issuance of New Grants and Cooperative Agreements

- No new grants or cooperative agreements will be awarded.

Issuance of Continuing Grant Increments (CGIs)

- No new CGIs will be awarded.

Performance of Work

- Awardees may continue performance under their NSF awards during a lapse in appropriations, to the extent funds are available, and the period of performance of the grant or cooperative agreement has not expired. Any expenses must be allowable and in accordance with the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (2 CFR § 200). During a lapse in appropriations, NSF cannot authorize costs exceeding available award amounts or obligate additional funds to cover such costs.

GOVERNMENT SHUTDOWN: AWARDS ISSUANCE AND MANAGEMENT

Payments

- No payments will be made during a lapse in appropriations. The Award Cash Management Service (ACM$) will not be available.

Project Reporting

- Principal Investigators (PIs) will be able to submit annual and final project reports and Project Outcomes Reports via Research.gov. For continuing grants, however, awardees should be aware that no new CGIs will be awarded (see above) until normal operations resume. NSF's Public Access Repository will be available to deposit peer-reviewed scholarly journal articles and papers in juried conference proceedings.

No-Cost Extensions

- FastLane will be available to submit both grantee-approved and NSF-approved no cost extensions (NCEs).

- Grantee-approved NCEs do not require NSF approval; therefore, assuming all business rule checks have passed, the NCE would be processed automatically and the award date would be extended.

- NSF-approved NCEs will not be processed until normal operations resume. Awardees, therefore, are cautioned that Federal funds cannot be obligated for expenses that occur beyond the award end date.

GOVERNMENT SHUTDOWN: AWARDS ISSUANCE AND MANAGEMENT

Award Transfer Requests

- FastLane will be available to prepare and submit award transfer requests. However, these requests will not be processed until normal operations resume.

Supplemental Funding Requests

- FastLane will be available to submit supplemental funding requests. However, these requests will not be processed until normal operations resume.

Other Post-award Notifications & Requests

- Research.gov will be available to submit post-award notifications and requests. However, these notifications and requests will not be processed until normal operations resume.

NSF has an email address, fundinglapse@nsf.gov, that is still being monitored and certain actions can be taken based on items received, when possible, e.g., an NSF approved no cost extension.

FOR MORE INFORMATION GO TO: https://www.nsf.gov/shutdown/grantees.jsp

THANK YOU!