

# Research Administration Practices (RAP) Sessions

# **NSF Proposal Resources and Updates**

May 9, 2024

Courtney Bensey, Assistant Director & Consortia Lead, NSF Lead Liaison, RAS

# **Agenda**

RAP Sessions: Targeted skills based educational offerings open to the Research Administration community at MIT. Information gathered and shared with attendees can be taken back to their desks and applied immediately.



- Introductions
- RAS NSF Proposal Checklist
- NSF PAPPG 24-1
- Mentoring plan (Graduate students & PostDocs)
- Common Forms / SciENcv
- New Synergistic Activities Document
- Questions/Help

# Introductions

# Courtney Bensey Assistant Director & Consortia Lead, RAS NSF Lead Liaison

# NSF PAPPG 24-1 Significant Changes & RAS Resources

# PROPOSAL AND AWARD POLICIES AND PROCEDURES GUIDE



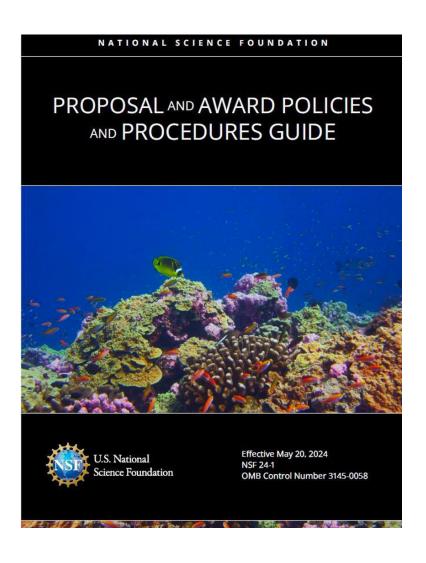
U.S. National Science Foundation

Effective May 20, 2024 NSF 24-1 OMB Control Number 3145-0058 Effective for proposals submitted or due on or after May 20, 2024.

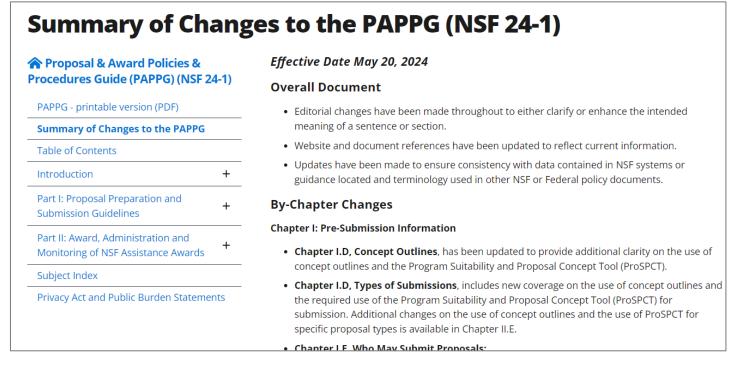
**PAPPG NSF 24-1** is available online as <a href="https://example.com/html">HTML</a> or <a href="https://example.com/PDF">PDF</a>

# **NSF Sponsor Updates**

## Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 24-1)



# Effective for proposals submitted or due on or after May 20, 2024



Review the by-chapter <u>Summary of Changes</u> in the PAPPG.

## **RAS NSF Proposal Checklist**



#### NSF Proposal Route/Review/Submission Checklist

Solicitation-specific instructions may supplement or deviate from these instructions. Always read the solicitation carefully.

This checklist is intended to be used primarily for "Research" proposal types in Research.gov. This does not address NSF's use of the Broad Agency Announcement (BAA) and the associated Broad Agency Announcement Management System (BAAM).

Proposals must be submitted via Research.gov.

\*\*PLEASE NOTE, once a proposal is created in Research.gov, the title CANNOT be changed\*\*

Official NSF Guidance effective for proposals with deadlines May 20, 2024, and later: Proposal & Award Policies & Procedures Guide (PAPPG), 24-1

#### New with PAPPG 24-1:

- Biographical Sketch has been revised to remove the 3-page limit and the Synergistic Activities section has been removed from the Biographical Sketch. This information must now be submitted by individuals designated as senior/key persons as part of the senior/key personnel documents in Research.gov.
- Mentoring Plan has been expanded to address a mentoring plan for postdoctoral researchers or graduate students supported on the project. This page limitation for the Mentoring Plan remains one page.
- Malign Foreign Talent Recruitment Programs, the AOR must certify that all
  individuals identified as senior/key personnel have been made aware of and have
  complied with their responsibility under that section to certify that the individual is not a
  party to a malign foreign talent recruitment program. Additional certifications are included
  in the Biographical Sketch and Current and Pending Support generated from SciENcv.

#### Required Components for Lead vs. Non-Lead organizations

Use for simultaneously submitted Collaborative Research proposals (must be linked online prior to RAS review).

#### Lead Organization

NSF REQUIRES
Cover Sheet
Project Summary
Table of Contents (automatically generated)
Project Description
References Cited
Biographical Sketches
Synergistic Activities
Budget and Justification

Current and Pending Support Facilities, Equipment and Other Resources Data Management Plan Collaborators & Other Affiliations document(s) Mentoring Plan (if applicable) Other Supplementary documents (if applicable)

**Non-Lead Organization** 

MIT REQUIRES

# MIT checklist for standard NSF research proposals subject to PAPPG 24-1

MIT checklist for standard NSF research proposals subject to PAPPG 24-1[PDF] - for proposals due May 20, 2024 and after.

Includes required components for lead vs. non-lead organizations, and links to pertinent NSF PAPPG and MIT policies.

## **Proposal Checklist: Guidance on NSF & MIT Policies**



Collaborators & Other Affiliations document(s)

SUBAWARDS UNDER MIT
Need added as Organization in KC
Must obtain a UEI when named in proposal
Signed Letter of Commitment from Authorized
Representative

SOW
Budget and Justification
Biographical Sketches, C&P, Synergistic
Activities and Collaborators & Other
Affiliations documents for any subaward
personnel named as Senior Personnel
Facilities, Equipment and Other Resources

#### Dates and Deadlines

- If a NSF deadline date falls on a <u>Federal Holiday</u> or weekend, the deadline is extended to the following business day.
- ☐ Requested start date should be at least 7 months after the deadline (See PAPPG Exh III-1)

#### Letters of Intent/Pre-proposals (Continued)

- □ Letters of Intent do not need to be routed to RAS in KC for approval unless specified in the solicitation that AOR approval is required and the Letter of Intent is binding. If a proposal in KC is not required, be sure to email your CA that the LOI needs to be processed.
- □ Preliminary proposals must be routed to RAS
  - KC proposal type "Pre-proposal" for submission
  - PI certification is not required
  - Subawardee/Collaborator certification letters not required

#### System Validations

- ☐ Has Sponsored Projects Office (AOR = RAS) Submit Access been allowed? PLEASE NOTE, ONLY PI can give SPO access, OAU cannot
- ☐ Please use the CHECK button to reveal any system errors or warnings

#### Personnel, Project Roles

- ☐ MIT PI status is required for PIs, Co-PIs, and all other Senior Personnel for NSF proposals
   ☐ All faculty funded by an NSF proposal must be listed as either a PI/Co-PI, or as Senior Personnel
- All PIs/Co-PIs/Senior Personnel must have completed KC Proposal certification/COI screening
  - set COI Discl. Reg to include Key Persons if any are listed
- ☐ All PIs and Co-PIs must have a Research.gov ID #s authorized for PI submission by MIT.
  - Research.gov registration is now self-service. RAS can no longer create new Research.gov accounts. If individual needs to request a role, they will need MIT's DUN's # 001425594. RAS will be notified of the request and will review it.

#### Certifications & MIT Internal Attachment Requirements

- ☐ When a subaward is budgeted, MIT requires Institutionally Authorized subawardee assurances and certifications regarding NSF policy. This letter does not need to be submitted to the NSF unless specified in the solicitation.
- ☐ MIT requires a letter quoting any named consultant's role, expertise, and established consultant rate. See <u>RAS: Proposal Preparation Basics</u>

#### Important guidance:

**Read Solicitation** 

Letters of Intent

Senior Key/Personnel

Coversheet

**Project description** 

**Budget Justification** 

Current and Pending (Other) Support

Supplementary documents

And more ...

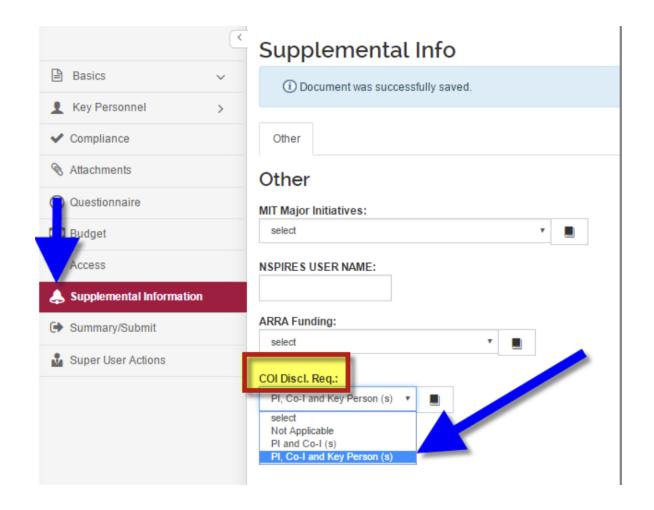
# **Senior Personnel and MIT Faculty**

- MIT PI status is required for PIs, Co-PIs, and all other Senior Personnel for NSF proposals
- All faculty funded by an NSF proposal must be listed as either a PI/Co-PI, or as Senior Personnel
- All PIs/Co-PIs/Senior Personnel must have completed KC Proposal certification/COI screening
  - set COI Discl. Req to include Key Persons if any are listed
- All PIs and Co-PIs must have a Research.gov ID #s authorized for PI submission by MIT (Research.gov registration is self-service. An email for approval is received and completed by RAS)

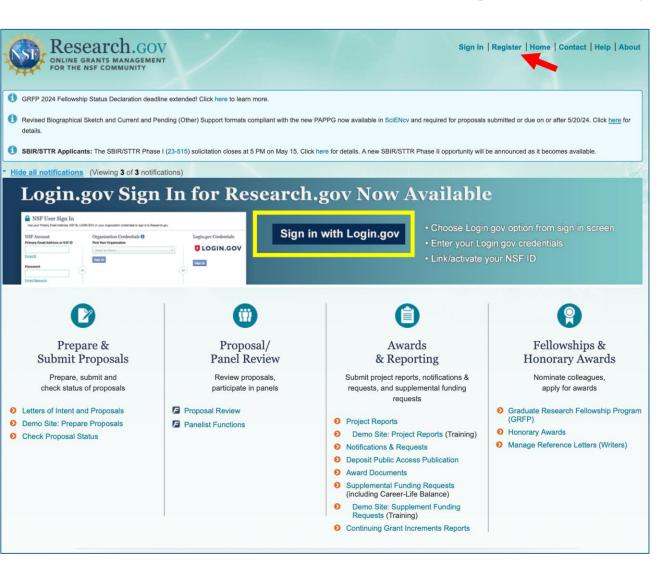
# KC Senior/Key Personnel - Certification

All Faculty funded on an NSF proposal must be listed as PI, Co-PI or Senior Personnel. They must have PI Status and certify in KC.

On the Supplemental Information screen, make sure to select PI, Co-I, and Keyperson(s) from the COI Discl. Req. menu to apply certification requirement.



# **Research.gov Proposal Preparation**



NSF proposals must be submitted via Research.gov.

To learn more, see NSF <u>About</u>
<u>Proposal Preparation and</u>
<u>Submission</u> and <u>How-to Guides</u>,

Research.Gov Demo and Tips
MIT Atlas Learning Center

Make sure to check Errors/Warnings in Research.gov before sending to liaison for review and submission!!!

# **NSF ID for Research.gov**

NSF uses a unique identifier (**NSF ID**) as a single profile and sign-in.

#### **NSF ID creation is self-service at:**

https://www.research.gov/accountmgmt/#/registration

#### **New NSF Users:**

Primary email (required), secondary email (optional) Will receive **2 confirmation emails** from NSF:

- •NSF ID
- Temporary Password

Follow instructions to update your password to complete the registration process. **Affiliate account with MIT and Add Roles** (will need MIT's UEI #: E2NYLCDML6V1). RAS will be notified of your role request and will review it.

Note: the OAU (Other Authorized User) role allows Research Administrators to be assigned by PI to work on a proposal

# Mentoring plan requirement expanded to include graduate students

- Post-Doctoral Mentoring Plan now "Mentoring Plan" has been expanded to address a mentoring plan for postdoctoral researchers and/or graduate students supported on the project. Page limitation for the Mentoring Plan remains one page.
- This document includes the description of the mentoring activities that will be provided for such individuals. In no more than one page, the mentoring plan must describe the mentoring that will be provided to all postdoctoral scholars or graduate students supported by the project, regardless of whether they reside at the submitting organization, any subrecipient organization, or at any organization participating in a simultaneously submitted collaborative proposal. Please note that separate plans are not required for postdoctoral scholars or graduate students.

# Individual development plan requirement for graduate students and postdoctoral researchers

- Graduate students and postdoctoral researchers with substantial support must have an individual development plan (updated annually), which maps to educational coals, career exploration, and professional development.
- NSF defines substantial support as an individual who has received one person month or more of support during the annual reporting period.
- Certification that each graduate student or postdoctoral scholar has a plan is completed by the PI or co-PI in Research.gov as part of the annual reporting process.
- A new term and condition will be added implementing this requirement post-award.
- More information from RAS coming soon.

# **Common Forms Implementation**

- NIH, NSF, and OSTP co-chair an Interagency Working Group on Disclosure Policies developing proposed common disclosure forms for the Biographical Sketch and Current and Pending (Other) Support.
- NSF serves as steward of the Common Forms.

#### NSTC Research Security Subcommittee NSPM-33 Implementation Guidance Disclosure Requirements & Standardization

Over the past several months, the National Science and Technology Council (NSTC) Research Security Subcommittee has worked to develop consistent disclosure requirements for use by senior personnel, as well as to develop proposed common disclosure forms for the Biographical Sketch and Current and Pending (Other) Support sections of an application for Federal research and development (R&D) grants or cooperative agreements.

The National Science Foundation (NSF) has agreed to serve as steward for these common forms as well as for posting and maintenance of the table entitled, NSPM-33 Implementation Guidance Pre- and Postaward Disclosures Relating to the Biographical Sketch and Current and Pending (Other) Support.

The objective of the *Disclosure Requirements and Standardization* section of NSPM-33 Implementation Guidance is to, "Provide clarity regarding disclosure requirements (e.g., who discloses what, relevant limitations and exclusions), disclosure process (e.g., updates, corrections, certification, and provision of supporting documentation), and expected degree of cross-agency uniformity".

#### COMMON DISCLOSURE FORMS FOR THE BIOGRAPHICAL SKETCH AND CURRENT AND PENDING (OTHER) SUPPORT

- New! Common Form for Biographical Sketch
- New! Common Form for Current and Pending (Other) Support Information
- New! Definitions

NSTC Research Security Subcommittee NSPM-33 Implementation Guidance Disclosure Requirements & Standardization

# Common Forms for the Biographical Sketch & Current and Pending (Other) Support

- Revision of the Biographical Sketch and Current and Pending (Other) Support
  - Common Forms harmonize content requirements for both forms for use by Federal Research Funding Agencies
  - Both forms include the requisite certification from NDAA 2021, Section 223 regarding information being accurate, current and complete and that the individual is not a party to a MFTRP
  - PAPPG (NSF 24-1) implements revisions

## **New NSF format in SciENcv**

- Research.gov validates Biographical Sketch, Current and Pending (Other) Support documents to ensure the correct format.
- DLCI Research Administrators should work as a Delegate in SciENcv as the PI and Senior/Key Personnel must self-certify prior to generating a PDF.
- SciENcv indicates the format of all documents created.

22-Apr-2024 <u>training 9 27 23</u>

27-Sep-2023 <u>test 9 27</u>

23-Apr-2024 <u>trainor may-24</u>

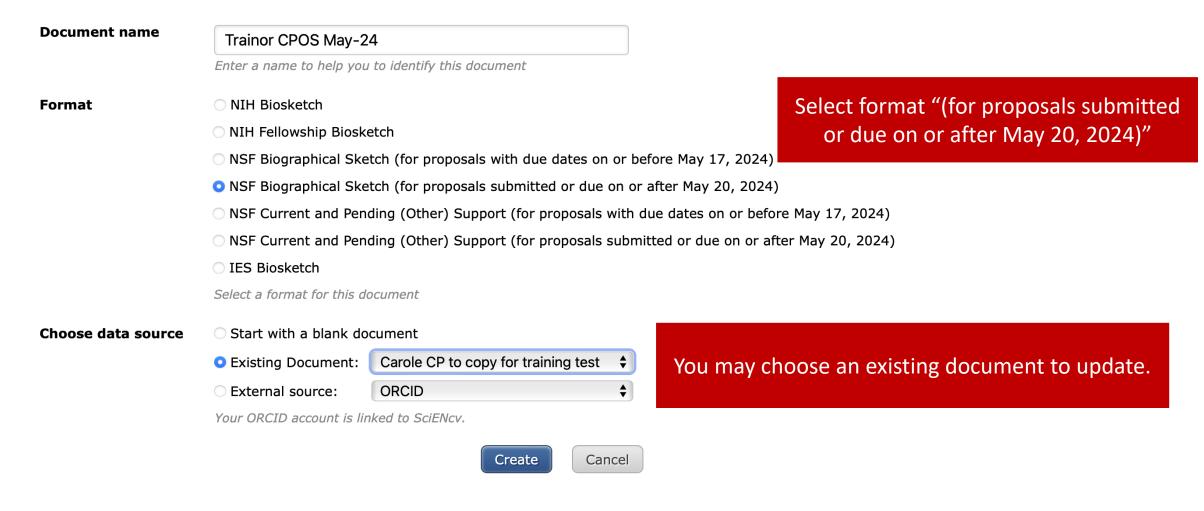
NSF Current and
Pending (Other)
Support (for proposals
with due dates on or
before May 17, 2024)

NIH Biosketch

NSF Current and
Pending (Other)
Support (for proposals
submitted or due on
or after May 20, 2024)

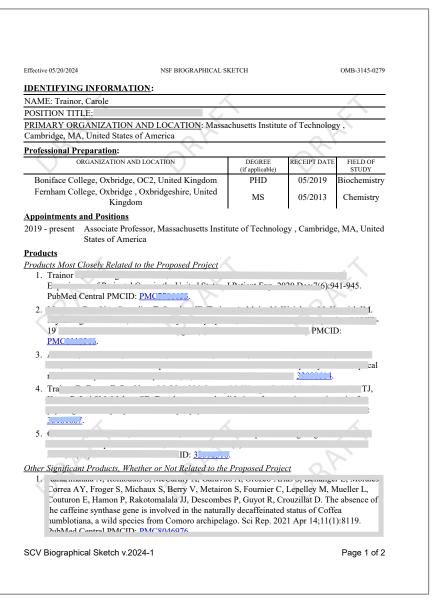
## **SciENcy: Create Document in New Format**

#### **Create a New Document**



# **Biographical Sketch**

- Required for each individual identified as a senior/key person.
- Used to assess how well qualified the individual, team, or organization is to conduct the proposed activities.
- Individuals are required to disclose contracts associated with participation in programs sponsored by foreign governments, instrumentalities, or entities, including foreign government-sponsored talent recruitment programs.
- Must certify that they are not a party to a MFTRP
- Page limitation has been removed
- Must be created in SciENcv.



# **Synergistic Activities**

- Removed as an element of the Biographical sketch.
- Uploaded as a separate document for each Senior/Key person in Research.gov.
- Limited to 1 page
- Limited to 5 distinct examples that show the broader impacts of the Senior/Key person's professional and scholarly activities that focus on the integration and transfer of knowledge as well as its creation.

Examples may include, among others: innovations in teaching and training; contributions to the science of learning; development and/or refinement of research tools; computation methodologies and algorithms for problem-solving; development of databases to support research and education; broadening the participation of groups underrepresented in STEM; participation in international research collaborations; participation in national and/or international standards development efforts; and service to the scientific and engineering community outside of the individual's immediate organization

# **Current and Pending (Other) Support**

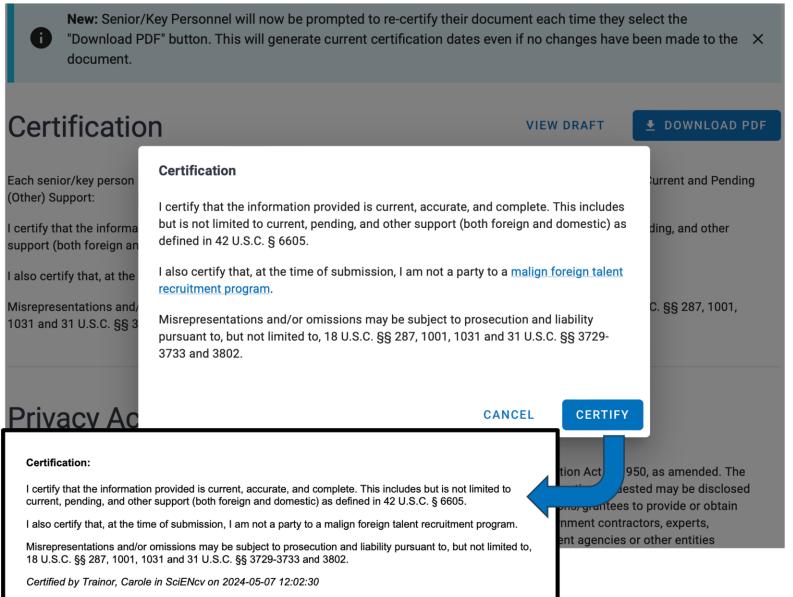
- Required for each individual identified as a senior/key person.
- Used to assess the capacity or any conflicts of commitment that may impact the ability of the individual to carry out the research effort as proposed.
- Information helps assess any potential scientific and budgetary overlap/duplication with the project being proposed.
- Must certify that they are not a party to a MFTRP
- Must be created in SciENcv
- Reminder: Current proposal must be listed;
   Cannot list 0 as effort, must have at least .01 listed

Effective 05/20/2024 OMB-3145-0279 **CURRENT AND PENDING (OTHER) SUPPORT INFORMATION** Provide the following information for the Senior/key personnel and other significant contributors Follow this format for each person. \*NAME: Trainor, Carole \*POSITION TITLE: Sr Research Admin Support and Education Specialist \*ORGANIZATION AND LOCATION: MIT, Cambridge, Massachusetts, United States Proposals/Active Projects \*Proposal/Active Project Title: Equipment (DURIP) \*Status of Support: Current Proposal/Award Number: N00014-20-1-2222 \*Source of Support: ONR \*Primary Place of Performance: MIT \*Proposal/Active Project Start Date: (MM/YYYY): 04/2023 \*Proposal/Active Project End Date: (MM/YYYY): 03/2024 \*Total Anticipated Proposal/Project Amount: \$500,000 \* Person Months per budget period Devoted to the Proposal/Active Project Person Months 0.01 \*Overall Objectives: Overall Objectives TBC \*Statement of Potential Overlap: No overlap TBC \*Proposal/Active Project Title: Design of Materials \*Status of Support: Current Proposal/Award Number: 1234567890 \*Primary Place of Performance: MIT \*Proposal/Active Project Start Date: (MM/YYYY): 06/2021 \*Proposal/Active Project End Date: (MM/YYYY): 05/2025 \*Total Anticipated Proposal/Project Amount: \$554.321 \* Person Months per budget period Devoted to the Proposal/Active Project SCV C&P(O)S v.2024-1 Page 1 of 4

# **Current and Pending (Other) Support - Updates**

- Revised definition of In-kind contribution: "In this section, please disclose all in-kind contributions with an estimated dollar value of \$5000 or more and that require a commitment of the individual's time. An in-kind contribution is a non-cash contribution provided by an external entity that directly supports the individuals' research and development efforts. An in-kind contribution may include but is not limited to: real property; laboratory space; equipment; data or data sets; supplies; other expendable property; goods and services; employees or student resources. In-kind contributions with an estimated value of less than \$5000 need not be reported."
- Clarification "Consulting activities must be disclosed under the Proposals and Active Projects Section of the form when any of the following scenarios apply:
  - The consulting activity will require the senior/key person to perform research as part of the consulting activity;
  - The consulting activity does not involve performing research, but is related to the senior/key person's research portfolio and may have the ability to impact funding, alter time or effort commitments, or otherwise impact scientific integrity; and
  - The consulting entity has provided a contract that requires the senior/key person to conceal or withhold confidential financial or other ties between the senior/key person and the entity, irrespective of the duration of the engagement."

# Senior/Key Person Certification: Biographical Sketch & Current and Pending (Other) Support

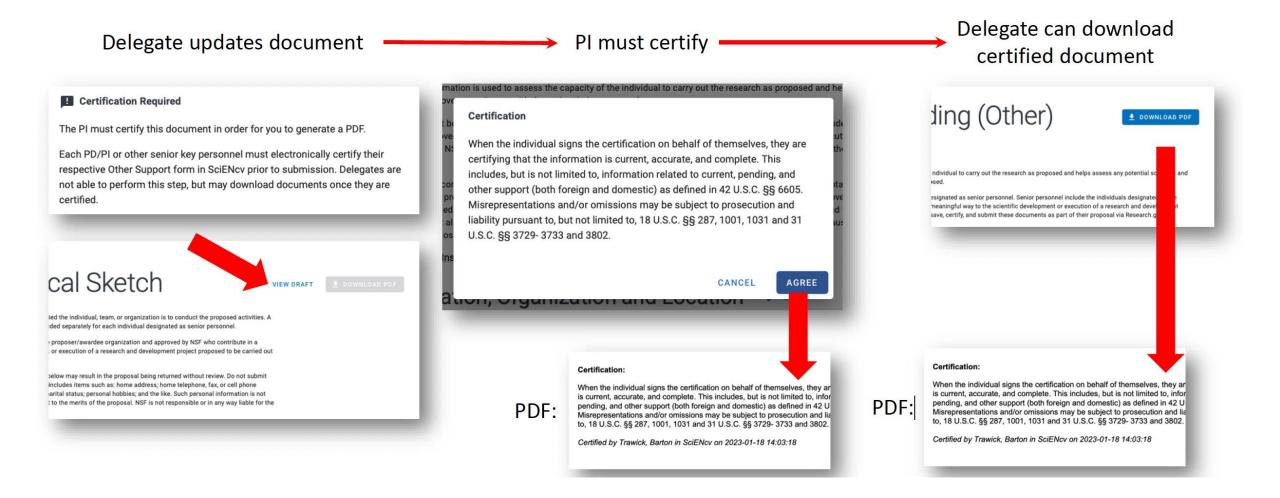


# Must be certified by the Senior/Key person to download

**New:** Senior/Key Personnel will now be prompted to recertify their document each time they select the **Download PDF** button.

This will generate current certification dates even if no changes have been made to the document.

# SciENcv Delegate – Download certified BioSketch or Current and Pending (Other) Support



## Malign Foreign Talent Recruitment Program Certification

 Certification Regarding Malign Foreign Talent Recruitment Programs: In accordance with Section 10632 of the CHIPS and Science Act of 2022 (42 U.S.C. § 19232), the AOR must certify that all individuals identified as senior/key personnel have been made aware of and have complied with their responsibility under that section to certify that the individual is not a party to a malign foreign talent recruitment program

#### Example of new cert that will be also added to Bio-Sketch & C&P In SciENcv

I certify that the information provided is current, accurate, and complete. This includes, but is not limited to, information related to current, pending, and other support (both foreign and domestic) as defined in 42 U.S.C. § 6605.

I also certify that, at the time of submission, I am not a party in a malign foreign talent recruitment program. Misrepresentations and/or omissions may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§ 287, 1001, 1031 and 31 U.S.C. §§ 3729-3733 and 3802. Signature34: Date:

 In accordance with Section 10339B, Foreign Financial Support, of the CHIPS and Science Act of 2022, (42 U.S.C. § 19040) each institution of higher education that receives NSF funding must disclose annually, all "current financial support, the value of which is \$50,000 or more, including gifts and contracts, received directly or indirectly from a foreign source" which is associated with a foreign country of concern

# Malign Foreign Talent Recruitment Programs (MFTRP)

- Any individual who is a current party to a MFTRP is ineligible to serve as a senior/key person on an NSF proposal or award. This requirement applies to any proposal submitted or due on or after May 20, 2024
- Definition of MRTRP is contained in <a href="PAPPG Introduction">PAPPG Introduction</a>, <a href="Section D">Section D</a>.
- Each senior/key person must certify prior to proposal submission that they are not a party to a MTFRP (Biographical Sketch and Current and Pending (Other) Support).
- Each PI and co-PI on any NSF award must certify annually thereafter.
- A new term and condition will be added implementing this requirement post-award.
- Organizations must certify upon proposal submission that all senior/key personnel have been made aware of and complied with the requirement that they are not a party to a MFTRP.

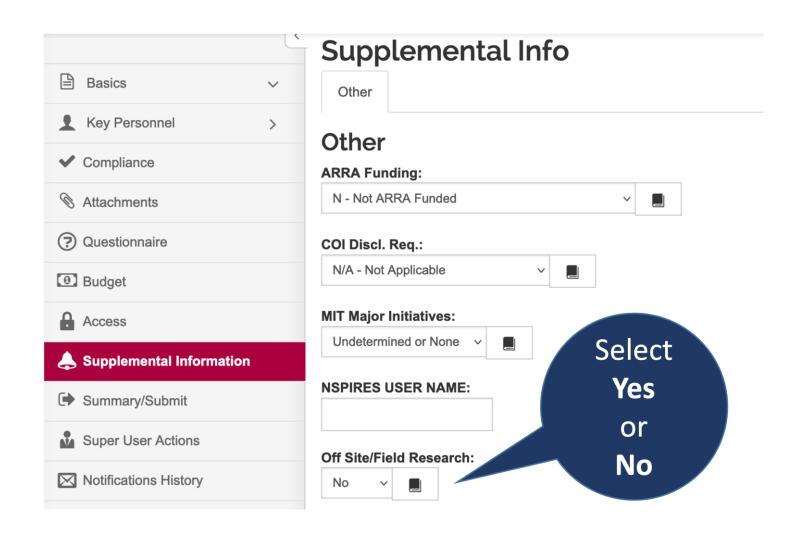
# Safe and Inclusive Working Environments for Off-Campus or Off-Site Research

Simultaneously submitted collaborative proposals and proposals that include subawards are a single unified project and, as such, only one combined plan for the project should be developed, regardless of the number of non-lead collaborative proposals or subawards included. The lead organization is responsible for checking the "Off-Campus or Off-Site Research" box on the Cover Sheet, if applicable

# **New KC Supplemental Information field**

- In KC on the Supplemental Information screen, a new field *Off*Site/Field Research was added on April 10, 2024.
- A Yes/No response to the Off Site/Field Research field is required for all NSF proposal submitted to route in KC after April 10, 2024.
- This complies with the NSF requirement from Chapter II.E.9, Safe and Inclusive Working Environments for Off-Campus or Off-Site Research, which requires the AOR to certify that an organization has a plan in place for safe and inclusive research for any proposal that proposes to conduct off-campus or off-site research.

# Off Site/Field Research

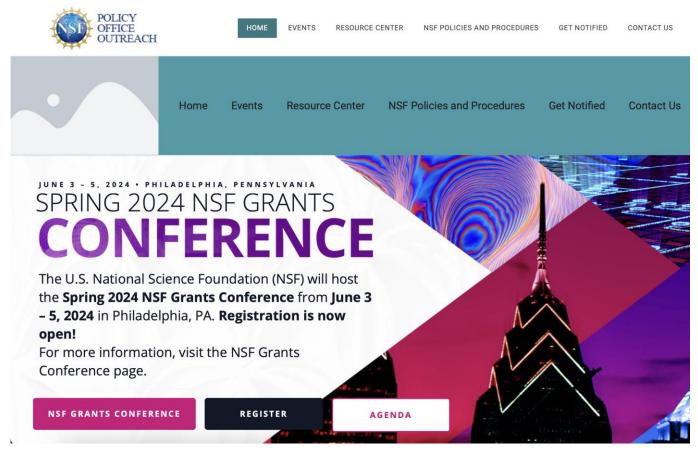


Required for NSF proposal submission effective April 10, 2024.

# Foreign Financial Support annual disclosure

• Chapter II.B, NSF Disclosure Requirements, has been modified to incorporate the annual post-award annual reporting requirements mandated by Section 10339B, "Foreign Financial Support", of the CHIPS and Science Act of 2022, (42 U.S.C. § 19040). Language also has been added to this section to reference the certification regarding malign foreign talent recruitment programs.

# **NSF Outreach Opportunities**



Register and learn about upcoming events:

https://nsfpolicyoutreach.com

#### Spring 2024 NSF Grants Conference

- June 3-5 in Philadelphia, PA
- In-person and virtual options
- Registration now open

#### NSF Policy Office Webinar Series

- Common Forms –Date TBD
- Most recent covered eligibility for NSF funding opportunities

#### Resource Center

 On-demand presentations – searchable by topic and year

### **RAS NSF Resources**

- MIT Specific Guidance Proposal Preparation Checklists
- National Science Foundation Disclosure Guidance
- RECR Training
- NSF Proposals: Administrative Review Stage
- NSF Collaborations
- NSF Pre-Award and Post-Award Actions
- NSF Reporting
- NSF FAQs
- Broader Impacts Statements

### **NSF** Resources

- Join the NSF System Updates listserv to receive the latest Research.gov system enhancement information Sign up by sending a blank email to: <u>system\_updates-subscribe-request@listserv.nsf.gov</u>
- Policy Office Website
- PAPPG (NSF 24-1)
- PAPPG (NSF 23-1) (for proposals submitted prior to May 20, 2024)
- FAQs On Proposal Preparation and Award Administration
- Current and Pending (Other) Support FAQs
- NSTC Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending Support

# Questions – Help

- RAS Contract Administrator
- RA-Help@mit.edu
- <u>Nsf-help@mit.edu</u> (for NSF ID setup)