

The following sections of the PAPPG have been revised to address the revised language on Safe and Inclusive Working Environments for Off-Campus or Off-Site Research. Note that the entire section is provided to facilitate review. The revised language is highlighted in yellow. This package does not include the deleted sections that were in place for PSI-FVAR.

Chapter II.D.1.d(viii)

d. Proposal Certifications Provided by the Organization

Government-wide certifications and representations are provided by the proposer on an annual basis in SAM (see PAPPG Chapter I.G.2). Note that the box for "Disclosure of Lobbying Activities" must be checked on the Cover Sheet if, pursuant to the Lobbying certification provided in SAM, submission of the SF LLL is required. The AOR must use the "Authorized Organizational Representative function" to sign and submit the proposal, including NSF-specific proposal certifications. It is the proposing organization's responsibility to assure that only properly authorized individuals perform this function.¹

See also PAPPG Chapters II.F.8 and II.F.11 for additional information on proposal certifications.

The required NSF-specific proposal certifications are as follows:

(i) Certification for Authorized Organizational Representative (AOR) or Individual Proposer:

The AOR is required to complete certifications regarding the accuracy and completeness of statements contained in the proposal, as well as to certify that the organization (or individual) agrees to accept the obligation to comply with award terms and conditions.

(ii) Certification Regarding Conflict of Interest: The AOR is required to complete certifications stating that the organization has implemented and is enforcing a written policy on conflicts of interest (COI), consistent with the provisions of Chapter IX.A: that, to the best of the AOR's knowledge, all financial disclosures required by the conflict of interest policy were made; and that conflicts of interest, if any, were, or prior to the organization's expenditure of any funds under the award, will be, satisfactorily managed, reduced or eliminated in accordance with the organization's conflict of interest policy. Conflicts that cannot be satisfactorily managed, reduced or eliminated, and research that proceeds without the imposition of conditions or restrictions when a conflict of interest exists, must be disclosed to NSF via use of NSF's electronic systems.

(iii) Certification Regarding Flood Hazard Insurance²: Two sections of the National Flood Insurance Act of 1968 (42 USC §4012a and §4106) bar Federal agencies from giving financial assistance for acquisition or construction purposes in any area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards unless the:

(1) community in which that area is located participates in the national flood insurance program; and

(2) building (and any related equipment) is covered by adequate flood insurance.

¹ Detailed instructions for completion of this process are available in Research.gov.

² This government-wide certification is not included in SAM and must be submitted as part of an NSF proposal.

By signing the certification pages, AORs for prospective recipients located in FEMA-designated special flood hazard areas are certifying that adequate flood insurance has been or will be obtained in the following situations:

- (1) for NSF awards for the construction of a building or facility, regardless of the dollar amount of the award; and
- (2) for other NSF awards when more than \$25,000 has been budgeted in the proposal for repair, alteration, or improvement (construction) of a building or facility.

Prospective recipients should contact their local government or a Federally-insured financial institution to determine what areas are identified as having special flood hazards and the availability of flood insurance in their community.

(iv) Certification Regarding Responsible and Ethical Conduct of Research (RECR):

Note: The requirement specified in Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act (42 USC 1862o–1), as amended, to have a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to faculty and other senior personnel who will be supported by NSF to conduct research will go into effect for new proposals submitted or due on or after July 31, 2023. NSF, however, encourages the community to establish such training and oversight for faculty and other senior personnel prior to the **July 31, 2023, implementation. In the interim, proposers must continue to meet the guidance specified in PAPPG Chapter IX.B.**

The AOR is required to complete a certification that the institution has a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, postdoctoral researchers, faculty, and other senior personnel who will be supported by NSF to conduct research.

NSF's RECR policy is available in Chapter IX.B. While training plans are not required to be included in proposals submitted to NSF, institutions are advised that they are subject to review upon request. NSF has provided funding to the [Online Ethics Center for S&E](#), an online collaborative resource environment that provides resources that may be used by the institution in developing their training plan. This site contains RECR resources by discipline, provides links to published codes of ethics, as well as includes pages dedicated to resources produced or used by specific professional groups.

(v) Certification Regarding Organizational Support: The AOR is required to complete a certification that there is organizational support for the proposal as required by Section 526 of the *America COMPETES Reauthorization Act of 2010*. This support extends to the portion of the proposal developed to satisfy the broader impacts review criterion as well as the intellectual merit review criterion, and any additional review criteria specified in the solicitation. Organizational support will be made available, as described in the proposal, in order to address the broader impacts and intellectual merit activities to be undertaken.

(vi) Certification Regarding Dual Use Research of Concern: The AOR is required to complete a certification that the organization will be or is in compliance with all aspects of the

United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern.

(vii) Certification Requirement Specified in the *William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021, Section 223(a)(1) (42 USC 6605(a)(1))*: The AOR is required to complete a certification that each individual employed by the organization and identified on the proposal as senior personnel has been made aware of the certification requirements identified in the *William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021, Section 223(a)(1) (42 USC 6605(a)(1))*.

(viii) Certification Regarding Safe and Inclusive Working Environments for Off-Campus or Off-Site Research: For each proposal that proposes to conduct research off-campus or off site, the AOR must complete a certification that the organization has a plan in place **for this proposal** regarding safe and inclusive working environments. See Chapter II.E.9 for additional information.

Chapter II.D.2.a

Cover Sheet -- Other Information

If any of the following items on the Cover Sheet are applicable to the proposal being submitted, the relevant box(es) must be checked.

- o Beginning Investigator (See [Chapter II.E.2](#)) (Note: this box is applicable only to proposals submitted to the Biological Sciences Directorate.)
- o Disclosure of Lobbying Activities (See Chapter II.D.1.d)
- o Proprietary or Privileged Information (See Chapter [II.D.1.c](#) and [II.E.1](#))
- o Special Exceptions to the Deadline Date Policy (See Chapter I.F.3)
- o Historic Places (See [Chapter II.D.2.i\(vii\)](#))
- o Live Vertebrate Animals³ (See [Chapter II.E.4](#))
- o Human Subjects⁴ (See Chapter [II.E.5](#))
- o Funding of an International Branch Campus of a U.S. IHE (See Chapter I.E.1) – If this box is checked, the proposer also must enter the name of the applicable country(ies) in the International Activities Country Name(s) box described below.
- o Funding of a Foreign Organization or Foreign Individual (See Chapter I.E.6) – If this box is checked, the proposer also must enter the name of the applicable country(ies) in the International Activities Country Name(s) box described below.

³ If the proposal includes use of live vertebrate animals, supplemental information is required. See Chapter II.E.4. for additional information.

⁴ If the proposal includes use of human subjects, supplemental information is required. See Chapter II.E.5. for additional information.

o International Activities Country Name(s) – each proposal that describes an international activity, proposers should list the primary countries involved. An international activity is defined as research, training, and/or education carried out in cooperation with international counterparts either overseas or in the U.S. using virtual technologies. Proposers also should enter the country/countries with which project participants will engage and/or travel to attend international conferences. If the specific location of the international conference is not known at the time of the proposal submission, proposers should enter “Worldwide”. (See Chapter II.E.8)

o Potential Life Sciences Dual Use Research of Concern (DURC) (See Chapters II.E.6 and XI.B.5)

o Off-Campus or Off-Site Research – For purposes of this checkbox, off-campus or off-site research is defined as data/information/samples being collected off-campus or off-site, including fieldwork and research activities on vessels and aircraft, and observatories and other facilities. (See Chapter II.D.1.d.(viii) and II.E.9)

Chapter II.E.9 – Special Processing Instructions

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

It is NSF policy (see Chapter XI.A.1.g.) to foster safe and harassment-free environments wherever science is conducted. NSF’s policy recognizes that a community effort is essential to eliminate sexual and other forms of harassment in science and to build inclusive scientific climates where people can learn, grow, and thrive. Accordingly, for each proposal that proposes to conduct research off-campus or off site⁵, the AOR must complete a certification⁶ that the organization has a plan in place for that proposal that describes how the following types of behavior will be addressed:

a. Abuse of any person, including, 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

b. Conduct that is unwelcome, offensive, indecent, obscene, or disorderly.

This plan should also identify steps the proposing organization will take to nurture an inclusive off-campus or off-site working environment, e.g., trainings; processes to establish shared team definitions of roles, responsibilities, and culture, e.g., codes of conduct; and field support, such as mentor/mentee support mechanisms, regular check-ins, and/or developmental events.

Communications within team and to the organization should be considered in the plan, minimizing singular points within the communications pathway (e.g., a single person overseeing access to a single satellite phone), and any special circumstances such as the involvement of

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⁶ See also Chapter II.D.1.d.(viii)

multiple organizations or the presence of third parties in the working environment should be taken into account. The process or method for making incident reports as well as how any reports received will be resolved should also be accounted for.

The organization's plan for the proposal must be disseminated to individuals participating in the off-campus or off-site research prior to departure. Proposers should not submit the plan to NSF for review.

Chapter XI M. – Scientific Integrity

Scientific integrity is essential to helping ensure informed government decision-making, accountability, and trust, while maintaining a vibrant scientific enterprise. Protecting scientific integrity results in better decisions, which translate into better policies that help people and communities of all backgrounds thrive.⁷ The National Science Foundation maintains high standards for [scientific integrity](#), as expressly described throughout this Guide, through [transparency and accountability](#) of NSF policies and procedures, and [responsible and ethical conduct of research](#). Additional information about scientific integrity is available on the [NSF website](#).

All organizations and personnel supported by NSF are expected to uphold the highest standards for scientific integrity. Scientific integrity builds on key principles of honesty, objectivity, ethical behavior, transparency, and professionalism in the conduct of scientific activities in an inclusive environment that is conducive to excellence in research and education.

Organizations and all individuals supported by NSF awards, are reminded that the principles, expectations, and requirements that support scientific integrity are integral to multiple topics specified in the PAPPG, including:

- Conflicts of interest (PAPPG Chapter, IX.A);
- Disclosure requirements (PAPPG Chapter II.B);
 - o Biographical Sketch (PAPPG Chapter II.D.2.h(i));
 - o Current and Pending Support (PAPPG Chapter II.D.2.h(ii));
 - o Collaborators and Other Affiliations (PAPPG Chapter II.D.2.h(iii));
- Human Subjects (PAPPG Chapters II.E.5 and XI.B);
- Live Vertebrate Animals (PAPPG Chapters II.E.4 and XI.B.3);
- Non-discrimination (PAPPG Chapter XI);
- NSF proposal processing and merit review (PAPPG Chapters III and IV);
[Safe and Inclusive Working Environments for Off-Campus or Off-site Research \(PAPPG Chapter II.E.9\);](#)
- Potential Life Science Dual Use Research of Concern (PAPPG Chapters II.E.6. and XI.B.5);
- Publication and Distribution of Grant Materials (PAPPG Chapter XI.E);
- Responsible and ethical conduct of research (PAPPG Chapter IX.B); and
- Research misconduct (PAPPG Chapter IX.C).

Reports or allegations regarding failures to adhere to Scientific Integrity principles⁸, such as discrimination, harassment, and research misconduct may be referred to the appropriate offices such as the Office of Equity and Civil Rights and Office of the Inspector General, as appropriate. Information about whistleblower protection is available at <https://www.whistleblowers.gov>.

⁷ See the [White House Office of Science and Technology Policy Scientific Integrity Task Force Report](#).

⁸ See the [White House Office of Science and Technology Policy Scientific Integrity Task Force Report](#).

Reports of allegations regarding whistleblower reprisal by NSF staff and panelists may be made to Office of the Inspector General. Reports of allegations regarding whistleblower reprisal by NSF awardees and contractors also may be made to Office of the Inspector General.