

Dear Colleague Letter (23-081):

Expanding Institutional Diversity in Support of STEM Research and Education Capacity



**HISTORICALLY BLACK COLLEGES AND UNIVERSITIES UNDERGRADUATE PROGRAM
(HBCU-UP)**

April 14, 2023



National Science Foundation
Directorate for STEM Education (EDU)

Preparing a diverse STEM workforce and a
well-informed citizenry

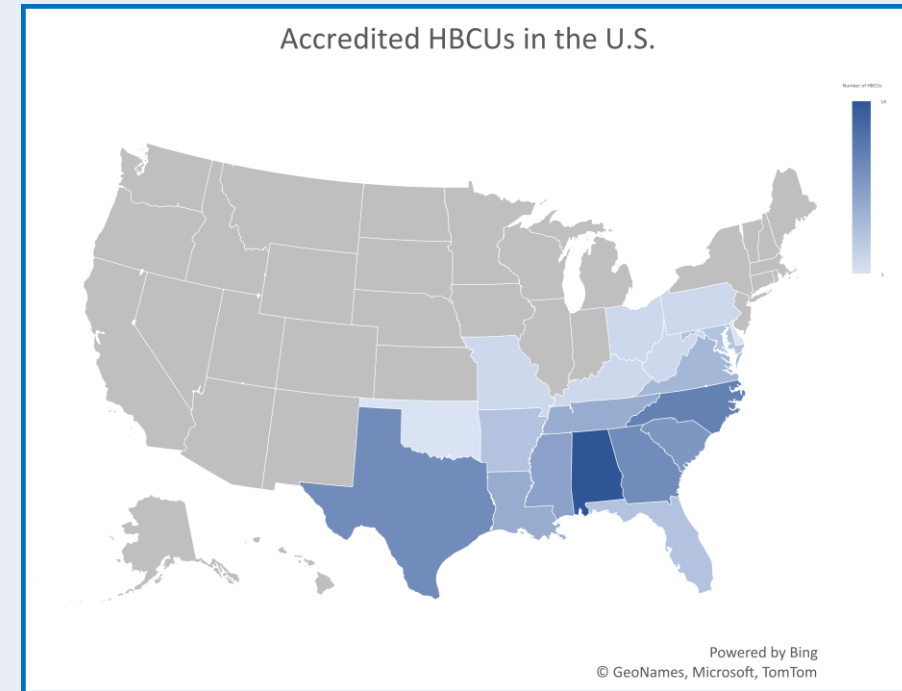
HBCU-UP TEAM

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Historically Black Colleges and Universities Undergraduate Program (HBCU-UP)

Goal: To enhance the quality of undergraduate STEM education and research at HBCUs in order to broaden participation in the nation's STEM workforce and STEM graduate programs.



HBCU-UP Funding Tracks NSF 23-563

Broadening Participation Research in STEM (BPR)

Research Initiation Awards (RIA)

Targeted Infusion Projects (TIP)

Implementation Projects (IMP)

Broadening Participation Research Centers (BPRC)



HBCU-Excellence in Research (EiR)

HBCU-EiR is described under NSF solicitation [20-542](#)

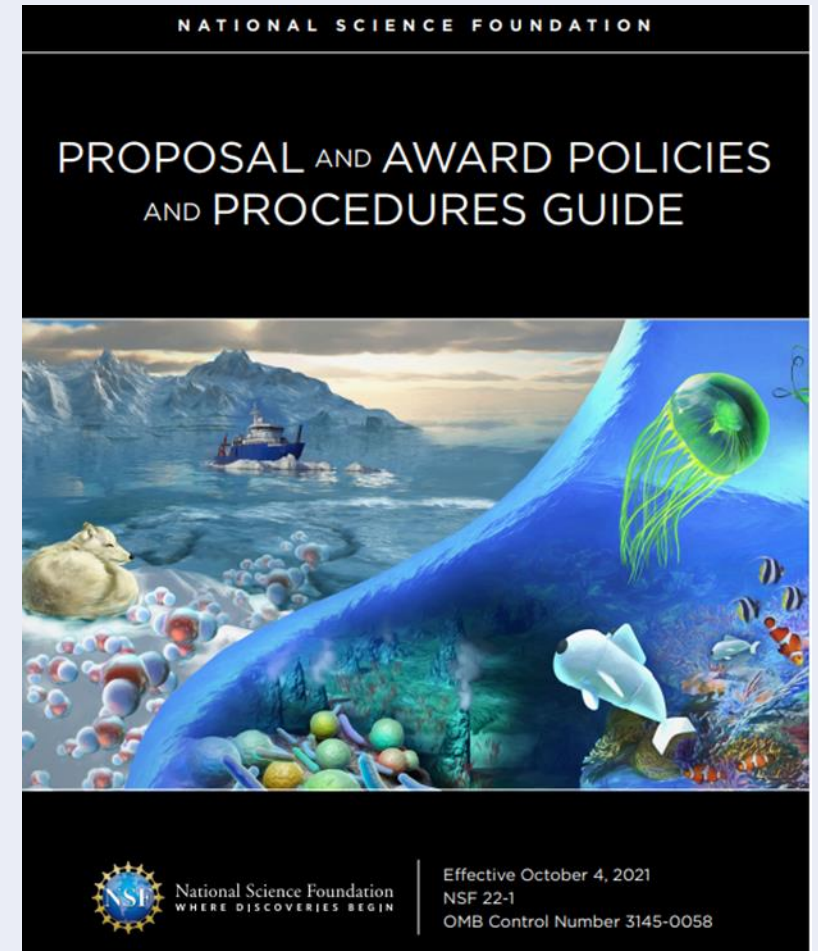
The goal of the EiR is to provide opportunities for HBCUs, particularly for those who have not been successful in larger NSF Research & Related Activities competitions, in order to stimulate sustainable improvement in their research and development capacity

Managed by the Office of Integrative Activities (OIA)



DCL: NSF [23-081](#)

- **Supplemental Funding**
 - Submit via Research.gov
 - Submissions restriction to organizations that have an active HBCU-UP award
- **New Proposals:** Encourages submissions beyond the scope of the funding tracks described in the HBCU-UP program solicitation (NSF 23-563)
 - Submit via Research.gov
 - Proposers should select the PAPPG (NSF 23-1) as the funding opportunity number in Research.gov
 - Direct proposals to HBCU-UP in the Division of Equity for Excellence in STEM (EES) in the Directorate for STEM Education (EDU)



DCL NSF 23-081

Funding Mechanism	PAPPG Chapter/SECTION Reference
Supplemental Funding	
Supplement to Current Award	VI.E.5
Career Life Balance	II.F.8
Grant Opportunities for Academic Liaison with Industry (GOALI)*	II.F.5
Facilitation Awards for Scientists and Engineers with Disabilities (FASED)*	II.F.7
New Proposals	
Planning	II.F.1
Rapid Response Research	II.F.2
Early-Concept Grants for Exploratory Research	II.F.3
Research Advanced by Interdisciplinary Science and Engineering (RAISE)	II.F.4
Ideas Lab	II.F.6
Conference	II.F.9
Equipment	II.F.10
Travel	11.F.11



Supplemental Funding: Supplement to Current Award

- To assure adequate completion of the original scope of work – must be adequately justified
- Small amounts of supplemental funding and up to six months of additional support may be requested
- Requests should be made at least 2-months prior to the need
- Program officers may make decisions without merit review for small requests
 - ✓ Larger requests may require external merit review



Supplemental Funding: Supplement to Current Award

- Submit electronically via Research.gov
- Include:
 - ✓ Summary of the proposed work
 - ✓ Justification of the need for supplemental funds
 - ✓ Budget and budget justification
- NSF will not approve requests for supplemental support to defray the cost of increases in salaries, wages or staff benefits or for additional indirect cost reimbursement
- If approved, the Grants and Agreements Officers will amend the grant to provide additional funding



Supplemental Funding: Career Life Balance

- Primary dependent care responsibilities, or other family considerations, pose unique challenges to the STEM workforce
- Research award recipients may request supplemental funding to:
 - ✓ Support additional personnel to sustain research when the PI, co-PI or other member of the senior personnel is on family leave
 - ✓ Support additional personnel to sustain research while a post-doctoral researcher or graduate student supported by NSF is on family leave
 - ✓ Postdoctoral Fellowship* and Graduate Research Fellowship Program recipients may request support for approved medical deferral due to family leave

**NSF postdoctoral fellows who receive funding directly from NSF rather than through an organization are ineligible to receive CLB supplements*



Supplemental Funding: Career Life Balance

- Submit electronically via Research.gov
- May include funding for up to six months (not to exceed duration of family leave) of salary support or stipend for a maximum of \$30,000 in direct costs (fringe benefits and indirect costs may be included in addition to salary costs)
- Usually, will be reviewed internally unless the program officer determines that the advice of external reviewers is essential
- Include:
 - ✓ Description of how the technician, research assistant, or equivalent would be used to sustain the research (do not disclose rationale for leave)
 - ✓ Budget and Budget justification
 - ✓ Proposed time period
 - ✓ Authorized Organizational Representative Statement



New Proposal: Grant Opportunities for Academic Liaison with Industry (GOALI) Proposal

- Seeks to stimulate collaboration between academic research institutions and industry
 - ✓ Engagement in research that is industrially relevant (integration of research and education needs)
- Can be a full proposal or supplemental funding request
- Focus areas:
 - ✓ Interdisciplinary university-industry teams to conduct collaborative research projects
 - ✓ Faculty, postdoctoral fellows and students conduct research and gain experience in an industrial setting
 - ✓ Industrial scientists and engineers bring industry perspective and integrative skills to academe
- NSF funding can be used for university research/education activities, but NOT permitted, with the exception of small businesses as defined in the PAPPG, to support the industrial partner



GOALI Proposal

New Proposal (Research.gov)

- Requests are made in conjunction with regular competitive proposals
- At least one industrial co-PI must be listed on the cover sheet (although can not be supported by NSF funds)
- Project Description (15 pages) – describe the university-industry interaction
- Confirmation Letter – from the industrial partner outlining the degree of industrial participation
 - ✓ Upload as “GOALI-Industrial PI Confirmation Letter” under supplementary documentation
- Signed university/industry intellectual property agreement

Supplemental Funding Request (Research.gov)

- Currently funded NSF research project
- Brief description of the proposed university-industry interaction
- Budget and budget justification
- Confirmation Letter
- Signed intellectual property agreement



New Proposal: Facilitation Awards for Scientists and Engineers with Disabilities (FASED)

Proposal

- Reduce or remove barriers to participation in research and training by persons with physical disabilities by providing special equipment and assistance
- Encourage persons with disabilities to pursue careers in science and engineering by stimulating the development and demonstration of special equipment that facilitates their work performance
- Eligibility:
 - ✓ PIs
 - ✓ Other Senior personnel
 - ✓ Graduate students
 - ✓ Undergraduate students



FASED Proposal

New Proposal (Research.gov)

- Requests are made in conjunction with regular competitive proposals
- Funds may be requested to purchase special equipment, modify equipment, or provide services - specifically for the proposed work
- The specific nature, purpose and need for such equipment or assistance should be described in the project description
- No budget maximum

Supplemental Funding Request (Research.gov)

- Currently funded NSF research project
- Brief description of the request
- Budget and budget justification
- Must be submitted 2-months in advance before needed



DCL: NSF 23-081

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New Proposal: Planning Proposal

- Used to support initial conceptualization, planning and collaboration activities that aim to formulate new and sound plans for large scale projects
- Not intended to provide seed funding for a previously declined proposal or preliminary research
- NSF is especially interested in activities that would catalyze new collaborations that broaden participation
- Do not constitute any commitment on the behalf of the PI/Co-PIs to submit a future proposal, nor do they impact NSF's intent to support a future proposed project beyond the planning grant



New Proposal: Planning Proposal

- Project Description: no more than 8 pages
- Budget: up to \$100,000 per year (including indirect costs), up to two years duration
- Submit via Research.gov
 - ✓ Upload program officer approval via Supplementary Documentation section (entitle “Planning – Program Officer Concurrence Email)
- Only internal merit review is required (external review is optional)



New Proposal: Rapid Response Research (RAPID) Proposal

- Used when there is a severe urgency with regard to availability or access to data, facilities or specialized equipment, including quick-response research on natural or anthropogenic events and similar unanticipated occurrences
- RAPID proposals are not for events that are unanticipated due to lack of awareness of timelines, or collection of only non-perishable data



New Proposal: RAPID Proposal

- Project Description: no more than 5 pages
- Budget: up to \$200,000 (including indirect costs), up to one year in duration
- Submit via Research.gov
 - ✓ Upload program officer approval via Supplementary Documentation section (entitle “RAPID – Program Officer Concurrence Email)
- Only internal merit review is required (external review is optional)



New Proposal: Early-Concept Grants for Exploratory Research (EAGER) Proposal

- Supports exploratory work in its early stages on untested, but potentially transformative, research ideas or approaches
- EAGER proposals are NOT:
 - ✓ For planning grants
 - ✓ To support the collection of preliminary data, or
 - ✓ To provide services to NSF



New Proposal: EAGER Proposal

- Project Description: no more than 8 pages
- Budget: up to \$300,000 (including indirect costs), up to two years in duration
- Submit via Research.gov
 - ✓ Upload program officer approval via Supplementary Documentation section (entitled “EAGER – Program Officer Concurrence Email”)
- Only internal merit review is required (external review is optional)



New Proposal: Research Advanced by Interdisciplinary Science and Engineering (RAISE) Proposal

- Supports bold, interdisciplinary projects whose:
 - ✓ Scientific advances extend beyond the scope of a single program or discipline
 - ✓ Lines of research promise transformational advances
 - ✓ Prospective discoveries reside at the interfaces of disciplinary boundaries
- Requires approval of at least two NSF program officers, in distinct programs



New Proposal: RAISE Proposal

- Compliant with Part 1 of PAPPG
- Must be submitted as a single proposal from one organization, with any collaborators identified as sub-awardee organizations
- Budget: up to \$1,000,000 (including indirect costs), up to five years in duration
- Submit via Research.gov
 - ✓ Upload 2 program officer approvals via Supplementary Documentation section (entitle “RAISE – Program Officer Concurrence Email)
- Only internal merit review is required (external review is optional)



New Proposal: Conference Proposal

- Supports conferences that bring experts together to discuss recent research or education findings or to expose other researchers or students to new research and education techniques
- Evaluated through the NSF merit review criteria – intellectual merit and broader impacts and supported ONLY if equivalent results cannot be obtained by attendance at regular meetings of professional societies
- Submit at least 1-year in advance of the scheduled conference date
- Conferences must be accessible to persons with disabilities
- Required policy or code of conduct that addresses all forms of harassment and includes accessible means of reporting violations



New Proposal: Conference Proposal

- For proposals in excess of \$50,000, Collaborators & Other Affiliations Information
- Cover Sheet
- Project Summary
- Project Description (not to exceed 15 pages)
 - ✓ Statement of need (and a list of topics)
 - ✓ Address both merit review criteria separately
 - ✓ A listing of recent meetings on the same subject (including dates and locations)
 - ✓ Names of chairperson and organizing committee (and organizational affiliations)
 - ✓ Location and probable dates



New Proposal: Conference Proposal

- Project description continued...
 - ✓ Organization of meeting
 - ✓ Recruitment Plan
 - ✓ Resources for Childcare
 - ✓ Results from prior NSF support (up to 5 years) or current funding (for each PI and co-PI)
- Budget and Budget Justification (see detailed list of potential conference costs)
- Facilities, Equipment and Other Resources
- Data Management Plan



New Proposal: Equipment Proposal

- A proposal for specialized equipment may be submitted by an organization for:
 - ✓ Individual investigators
 - ✓ Groups of investigators within the same department or several departments
 - ✓ Organizations participating in a collaborative or joint arrangement
- One individual must be designated as PI



New Proposal: Equipment Proposal

- Collaborators & Other Affiliations Information
- Cover Sheet
- Project Summary
- Project Description (not to exceed 15 pages)
 - ✓ Overall acquisition plan (to include maintenance and operation)
 - ✓ Description of the project(s) for which the equipment will be used
 - ✓ A description of comparable equipment already at the proposing organization (if applicable), and an explanation of why it can not be used
 - ✓ Results from prior NSF support (up to 5 pages) – for PI and co-PIs



New Proposal: Equipment Proposal

- Biographical Sketches of the persons who will have overall responsibility for maintenance and operation of the equipment and statement of qualifications
- Budget and Budget Justification
- Current and Pending Support
- Facilities, Equipment and Other Resources
- Data Management Plan
- Post-doctoral Mentoring Plan (if applicable)



In Summary

- Supplemental funding requests and proposals must follow the guidance in the PAPPG, including addressing both intellectual merit and broader impacts
- **Interested proposers must contact one of NSF program directors to discuss program eligibility requirements and their project ideas prior to submission of a proposal**
 - Provide a short (no more than 1-page) description of the planned project
- To Respond to DCL 23-081, the deadline is June 1, 2023
- Proposal title – "HBCU-UP: OPEN: *Title...*"
- Research.gov assistance: <https://nspolicyoutreach.com/resources/fall-2022-gc-proposal-submission-modernization-update/>
- Research.gov video tutorials: <https://www.research.gov/research-web/content/aboutpsm>



Stay Informed

- Join the HBCU-UP List Serv
- To subscribe:
 - 1) Send an e-mail to LISTSERV@LISTSERV.NSF.GOV
 - 2) Leave the subject line blank
 - 3) The body of the message should say: subscribe HBCU 'your full name'

Example of the body of your message:
subscribe HBCU Percy Julian

- General Questions: HBCU_UP@nsf.gov



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Thank You!
(Open Discussion)



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