

National Science Foundation
Proposal and Award Policies and Procedures Guide
NSF 23-1
Effective January 2023

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NATIONAL SCIENCE FOUNDATION

PROPOSAL AND AWARD POLICIES AND PROCEDURES GUIDE



Effective January 30, 2023
NSF 23-1
OMB Control Number 3145-0058

<https://beta.nsf.gov/policies/pappg/23-1>

Transition to Research.gov

Fastlane is discontinued and will no longer accept proposals. You will need to submit your proposal through research.gov

Video on using research.gov (22 minutes)

<https://nspolicyoutreach.com/resources/fall-2021-virtual-grants-conference-research-gov-update-and-demonstration/>



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i Effective February 28, 2022, NSF transitions from DUNS number to the New System for Award Management (SAM) Unique Entity Identifier (UEI) in NSF systems. Click [here](#) for what you need to know.

i Now Available: New Login.gov option to sign in to Research.gov. Choose the Login.gov option from sign in screen, enter Login.gov credentials, and link/activate NSF ID. Click [here](#) for details.

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Prepare and submit proposals in Research.gov!

NEW Proposal Types Supported:

- Center
- Research Infrastructure

NEW Submission Types Supported:

- Preliminary Proposal
- Full Proposal related to a Preliminary Proposal

NEW Proposal Feature Supported:

- Project Descriptions Exceeding 15 Pages

COVER SHEET FOR PROPOSAL TO THE NATIONAL SCIENCE FOUNDATION				
PROGRAM ANNOUNCEMENT/SOLICITATION NO./ISSUE DATE		<input type="checkbox"/> Special Exception to Deadline Date Policy		
FOR CONSIDERATION BY NSF ORGANIZATION(S) (include the most specific unit known, i.e. program, division, etc.)				
DATE RECEIVED	NUMBER OF COPIES	DIVISION ASSIGNED	FUND CODE	DUNS# (Check Internal Numbering System)
EMPLOYER IDENTIFICATION NUMBER (EIN) OR TAXPAYER IDENTIFICATION NUMBER (TIN)		SHOW PREVIOUS AWARD NO. IF THIS IS: <input type="checkbox"/> A RENEWAL <input type="checkbox"/> AN ACCOMPLISHMENT-BASED RENEWAL		IS THIS PROPOSAL SERVED BY AN AGENCY? YES <input type="checkbox"/> NO <input type="checkbox"/>
NAME OF ORGANIZATION TO WHICH AWARD SHOULD BE MADE			ADDRESS OF AWARDING ORGANIZATION, INCLUDING ZIP	
AWARDEE ORGANIZATION			ADDRESS OF AWARDING ORGANIZATION, INCLUDING ZIP	
NAME OF PRIMARY PLACE OF PERFORM			ADDRESS OF PRIMARY PLACE OF PERFORM, INCLUDING ZIP	

FAQs, How-to Guides & Videos

Biographical Sketch and Current and Pending Support SciENCv Implementation

- Fillable formats and SciENCv will continue to be available this year ONLY
- Certification language are be incorporated into both formats
- **October 2023 SUBMISSION VIA SCIENCv BECOMES REQUIRED**
- <https://www.nsf.gov/bfa/dias/policy/biosketch.jsp>
- <https://www.nsf.gov/bfa/dias/policy/cps.jsp>
- <https://www.ncbi.nlm.nih.gov/sciencv/>

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When to Submit

Current & Pending Support Form

- **At the time of proposal submission:** Current and Pending Support and Collaborators and Other Affiliations, Biographical Sketch
- **Prior to making an award:** Updated Current and Pending Support information must be submitted.
- **After an award is made:** If you discovers that a disclosure that should have been submitted at the time of proposal submission, but was not, you have 30 days to submit a post-award request to NSF.
- **At the time of project reporting:** PIs and Co-PIs must specify whether new, active other support has been received in their annual and final project reports. If yes, they must attached updated Current and Pending support information.
- NSF is assessing possible use of a just-in-time solution for current and pending support for a future iteration of the PAPPG (not part of 23-1)

Broad Agency Announcements (BAAs)

BAA Management System (BAAM)

- BAAs have been added as a new type of funding opportunity
- " Broad Agency Announcement " refers to a solicitation method used by NSF for basic and applied research, scientific study, and experimentation. BAAs are broad in their subject matter and focus on advancing science rather than acquiring specific products.
- BAAs are submitted through the BAA Management System (BAAM) - <https://baam.nsf.gov/s/>

Use of Concept Outlines and New ProSPCT Tool

- Program Suitability & Proposal Concept Tool (ProSPCT)
- Used for proposals that require a concept outline (planning proposals, RAPID, EAGER, RAISE)
- Ensures users provide information and the project idea based on the initial selection of the relevant proposal type germane to the NSF organizational unit(s).
- Aids in routing the submission and determining the appropriateness of the work prior to preparation of a full proposal.
- The PI will receive an email from the NSF program officer that specifies whether a full proposal may be submitted.
- Full proposals submitted without this “Program Officer Concurrence Email” for proposal types/funding opportunities requiring a concept outline will be returned without review or not accepted.
- <https://suitability.nsf.gov/s/>

Proposal Cover Sheet

Addition of New Check Boxes for the proposal Cover Sheet

- Plan for Safe and Inclusive Field/Vessel/Aircraft Research
- Potential Life Sciences Dual use Research of Concern

Plan for Safe and Inclusive Field/Vessel/Aircraft Research (PSI-FVAR)

- For each proposal that proposes to conduct research in the field, including on research vessels and aircraft, proposers must include a PSI-FVAR as a supplementary document.
- Research in the field is defined as data/information/samples being collected off-campus or off-site.
- If multiple field research excursions (inclusive of multiple visits and/or sites) are proposed, only a single overarching PSIFVAR must be submitted.
- Limit – 2 pages

PSI-FVAR

1. Background Information:

- Description of Field Location(s)
- Inclusion/Safety from Harassment (SfH) Challenges for the Location(s) – e.g., communication limitations due to isolation (satellite phone only?); diversity of local Community (using Community to indicate the human community) compared to diversity of field/vessel/aircraft team; cultural/language/legal differences that may present personnel safety challenges.
- Inclusion/SfH Challenges for the Team – e.g., number and type of organizations involved in the team; number of experienced versus novice team members.

2. Preparation for Fieldwork:

(a) Inclusive Climate:

- Planned Trainings – e.g., Nondiscrimination; Bystander Intervention; Allyship; Privilege; Cultural Competency; Anti-Harassment.
- Planned processes to establish shared team definitions of roles, responsibilities, and culture – e.g., Code of Conduct, Code of Ethics.
- Field Support Plan – e.g., mentor/mentee support; regular check-ins and/or events.

(b) Safety from Harassment:

- Incident Reporting/Communications Plan – e.g., within team, to organization(s); minimizing single points within the plan (e.g., single person overseeing access to a single satellite phone); specifics if multiple organizations involved; consideration of involvement outside the funded organization(s).
- Field Incident Support Plan – e.g., real-time assistance resources (points of contact, hotlines); response activities (safety stand-downs, return to organization guidance).

Potential Life Sciences Dual use Research of Concern

- Cover sheet must be checked if use of select agents or other enhanced potential pandemic pathogens are envisioned and those agents or PPPs are used in ways that lead to enhancement of specific properties specified within the Policy
- If a decision is made to fund the proposal, and use of a select agent as identified by the Policy is proposed, the proposer must submit evidence of registration of the select agent with the CDC or USDA as required by the Select Agent Regulations.
- In addition, the proposer must submit a justification demonstrating how the potential benefits of the research far outweigh the risks. The justification must be signed and certified by the Institutional Biosafety Committee or other appropriate Institutional Review Entity whose role includes review of research involving agents covered under the Policy before an award can be issued.

New Section on Research Security

- NSF's research security initiatives seek to:
 - Continue to increase the clarity and comprehensiveness of the Foundation's disclosure requirements;
 - Coordinate with U.S. government interagency partners to harmonize disclosure information to the extent practicable;
 - Communicate and build awareness with the scientific community;
 - Share knowledge and best practices;
 - Improve transparency and clarification for disclosure; and
 - Mitigate risk through assessment and analysis to better understand the scale and scope.
- Incorporation of New Section on Scientific Integrity
- REQUIRED training as of July 2023

New Section on Scientific Integrity

Scientific integrity is essential to helping ensure informed government decision-making, accountability, and trust, while maintaining a vibrant scientific enterprise. Requirements that support scientific integrity are integral to multiple topics specified in the PAPPG, including:

- Responsible and ethical conduct of research
- Research misconduct
- Disclosure requirements
 - Biographical Sketch
 - Current and Pending Support
 - Collaborators and Other Affiliations
- Conflicts of interest
- NSF proposal processing and merit review
- Non-discrimination
- Protection of Living Organisms
- Human Subjects
- Publication and Distribution of Grant Materials

Implementation of the Build America, Buy America Statutes

Except under certain programs, NSF does not normally make awards for construction or facility improvements. However, any form of construction, alteration, maintenance, or repair of infrastructure in the U.S. using Federal funds must follow the requirements specified in the Build America, Buy America provisions of the Infrastructure Investment and Jobs Act

- (i) when using federal funds for the purchase of goods, products, and materials produced in the United States;
- (ii) all iron, steel, manufactured products, and construction materials used in Federally funded projects must be produced in the U.S.;
- (iii) the recipient must implement these requirements in its procurements and the requirements must flow down to all subawards and contracts at any tier; and
- (iv) when supported by rationale, the recipient must submit a waiver request to the cognizant NSF Program Officer and Grants and Agreements Officer if these requirements cannot be met.