



## Summary of Changes to the *Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 23-1)*

Effective Date January 30, 2023

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### Overall Document

- Editorial changes have been made throughout to either clarify or enhance the intended meaning of a sentence or section.
- References to Research.gov have been incorporated throughout, as part of the final transition from FastLane to Research.gov for proposal preparation and submission.

### By-Chapter Changes

#### *Chapter I: Pre-Submission Information*

- **Chapters I.A, NSF Proposal Preparation and Submission and I.C, Categories of Funding Opportunities**, have been updated to address NSF's use of the Broad Agency Announcement (BAA) and the associated Broad Agency Announcement Management System (BAAM).
- **Chapter I.D, Types of Submissions**, includes new coverage on the use of concept outlines and the required use of the Program Suitability and Proposal Concept Tool (ProSPCT) for submission. Additional changes on the use of concept outlines and the use of ProSPCT for specific proposal types is available in Chapter II.E.
- **Chapter I.D.2, Letters of Intent (LOI)**, was modified to specify the information that is generally included in an LOI.
- **Chapter I.E, Who May Submit Proposals**, was revised to clarify eligibility requirements of For-Profit Organizations, and State and local governments. New coverage on the eligibility of Tribal Governments also has been included.
- **Chapter I.E.3, Unaffiliated Individuals**, has been modified to specify that individuals submitting proposals in response to postdoctoral Fellowships are not considered unaffiliated individuals.

- **Chapter I.G.2, Requirements Relating to Unique Entity Identifier (UEI) and Registration in the System for Award Management (SAM)**, has been modified to clarify that subrecipients named in a proposal must obtain a UEI and register in Research.gov, however, they do not need to be registered in SAM.

## **Chapter II: Proposal Preparation Instructions**

- **Chapter II.B, NSF Disclosure Requirements**, incorporates a new section describing specific NSF disclosures, the sections of the PAPPG they apply to and the consequences for violating these requirements.
- **Chapter II.D.1.d, Proposal Certifications Provided by the Organization**, was modified to include a new certification by the AOR relating to the William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021 requiring that senior personnel are made aware of the certification requirements required by the Act.
- **Chapter II.D.1.e, Certification Requirement for Senior Personnel Specified in the William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021**, is a new certification requiring senior personnel to certify that the information provided in their Biographical Sketch and Current and Pending Support documents are accurate, current, and complete.
- **Chapter II.D.2, Sections of the Proposal**, identifies two new checkboxes on the NSF Cover Sheet: Potential Life Sciences Dual Use Research of Concern (DURC); and Plan for Safe and Inclusive Field/Vessel/Aircraft Research (PSI-FVAR).
- **Chapter II.D.2.f(vi)(e), Subawards**, has been clarified regarding the need to obtain prior NSF approval if a subaward organization has changed after an award has been made.
- **Chapter II.D.2.f(viii), Indirect Costs**, has been revised to provide greater clarity for organizations that do not have a current negotiated indirect cost rate agreement and wish to request indirect cost rate recovery above the 10% *de minimus* rate.
- **Chapter II.D.2.h(i), Biographical Sketch(es)**, has been revised to increase standardization with the Common Disclosure Form for the Biographical Sketch that has been developed in compliance with NSPM-33 Implementation Guidance. NSF has made every effort to mirror the Common Form. Due to timing disparities between the issuance of the Common Form and the PAPPG, however, it is possible that variances may occur. This section also has been revised to require the use of SciENCv for the preparation of this document (which will go into effect in October 2023).
- **Chapter II.D.2.h(ii), Current and Pending (Other) Support**, has been revised to increase standardization with the Common Form for Current and Pending (Other) Support that has been developed in compliance with NSPM-33 Implementation Guidance. NSF has made every effort to mirror the Common Form. Due to timing disparities between the issuance of the Common Form and the PAPPG, however, it is possible that variances may occur. This section also has been revised to require the use of SciENCv for the preparation of this document (which will go into effect in October 2023). Also, in accordance with

NSPM-33 Implementation Guidance, NSF program officers will request updated Current and Pending (Other) Support prior to making a funding recommendation.

- **Chapter II.D.2.i(xi), Plan for Safe and Inclusive Field/Vessel/Aircraft Research (PSI-FVAR)**, includes a new requirement to address submission of the PSI-FVAR. Each proposal that proposes to conduct research in the field including on research vessels and aircraft, must include a PSI-FVAR as a two-page supplementary document. This new requirement identifies NSF's expectations, as well as the content requirements for this supplementary document.
- **Chapter II.E.5, Proposals Involving Human Subjects**, provides greater flexibility in the form that a determination notice must take. The section also clarifies that a PI may conduct preliminary work that does not involve human subjects while the protocol is being developed or under review, consistent with organizational guidelines.
- **Chapter II.E.6, Potential Life Sciences Dual Use Research of Concern (DURC)**, has been updated with new requirements for situations where a decision has been made to fund a proposal and use of a select agent is identified. Additional language also has been added to specify that NSF will not fund research that involves the creation, transfer, or use of enhanced potential pandemic pathogens except under special circumstances.
- **Chapter II.F, Other Types of Proposals**, includes the requirement to submit a Concept Outline prior to the submission of a full proposal via the Program Suitability and Proposal Concept Tool (ProSPCT) for the following proposal types: Planning, Rapid Response Research (RAPID), Early-concept Grants for Exploratory Research (EAGER), and Research Advanced by Interdisciplinary Science and Engineering (RAISE).
- **Chapter II.F.5, Grant Opportunities for Academic Liaison with Industry (GOALI) Proposal**, has been modified to permit non-SBIR small businesses to receive funding and includes specific guidance on the eligibility of small business to receive funding under a GOALI award.

### ***Chapter VII: Award Administration***

- **Chapter VII.D, Technical Reporting Requirements**, has been clarified to indicate when NSF required reports become overdue.

### ***Chapter IX: Recipient Standards***

- **Chapter IX.B.1, Responsible and Ethical Conduct of Research (RECR)**, has been amended to apply the requirement 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. The revised section also identifies specific areas of applicability.
- **Chapter IX.C, Research Security**, has been added as a new section on NSF policy on research security including overall goals of NSF's research security initiatives, organizational requirements for post-award disclosure of current support and in-kind contribution information, and when PIs and co-PIs must update current support in annual and final project reports.

## ***Chapter X: Allowability of Costs***

- **Chapter X.C.1, Build America, Buy America, and Made in America Statutes**, incorporates information about the Build America, Buy America provisions of the Infrastructure Investment and Jobs Act.
- **Chapter X.D.2, NSF Cognizant Organizations**, includes additional information for when NSF is the cognizant agency for indirect costs.

## ***Chapter XI: Other Post Award Requirements and Considerations***

- **Chapter XI.B.1, Protection of Living Organisms**, includes clarifying language for when IRB approval is required for awards involving human subjects.
- **Chapter XI.B.5, Potential Life Sciences Dual Use Research of Concern (DURC)**, includes additional information for recipients on DURC policy requirements.
- **Chapter XI.J, Historic Properties**, provides clarifying language on research on historic properties as required by the National Historic Preservation Act (NHPA).
- **Chapter XI.K, Environmental Considerations**, incorporates language on anticipated and unanticipated environmental impacts.
- **Chapter XI.M, Scientific Integrity**, includes a new section on NSF scientific integrity for organizations and individuals, as well as identifying appropriate NSF offices to report allegations regarding failures to adhere to scientific integrity principles. The new section also reminds organizations and individuals that the principles and requirements that support scientific integrity are integral to multiple topics specified in the PAPPG.