Significant Changes and Clarifications to the *Proposal & Award Policies & Procedures Guide* (PAPPG)

Effective January 30, 2017

Overall Document

- The PAPPG has been modified in its entirety, to remove all references to the *Grant Proposal Guide* (GPG) and *Award & Administration Guide* (AAG). The document will now be referred to solely as the NSF *Proposal & Award Policies & Procedures Guide* (PAPPG). The document will be sequentially numbered from Chapter I-XII and all references throughout have been modified to reflect this change. Part I of the document covers NSF's proposal preparation and submission guidelines, and Part II covers NSF's award, administration and monitoring guidelines.

- Editorial changes have been made to either clarify or enhance the intended meaning of a sentence or section or ensure consistency with data contained in NSF systems or other NSF policy documents.

Significant Changes to the PAPPG Part I

- **Chapter I.D.1, Letters of Intent (LOI)**, includes additional language regarding the submission of a LOI for collaborative proposals. Proposers that plan to submit a collaborative proposal from multiple organizations should submit a single LOI for the entire project, given that NSF considers a collaborative proposal to be a unified research project.

- **Chapter II.B, Format of the Proposal**, has been updated to include two new types of proposals, RAISE and GOALI. These two types of proposals are described in greater detail in Chapter II.E. An additional resource has also been added to this section with information on NSF auto-compliance checks that are conducted during the proposal preparation and submission process.

- **Chapter II.C.1.e, Collaborators & Other Affiliations Information**, includes additional instructions for proposers. Each section of the Collaborators & Other Affiliations Information should be listed alphabetically by last name. The text has also been revised to remove the requirement that proposers list postgraduate scholar sponsors in this section of the proposal. Postgraduate scholar sponsor is not a disqualifying relationship for a reviewer, therefore, it was determined that this information is not necessary.

- **Chapter II.C.2, Sections of the Proposal**, has been revised to inform proposers that proposal preparation for RAPID, EAGER, RAISE, GOALI, Ideas Lab, FASED,

Conference, Equipment, Travel, Center, Research Infrastructure and Fellowship projects may deviate from the content requirements of a full research proposal.

- **Chapter II.C.2.a, Cover Sheet,** has been updated to provide instructions that more closely follow the proposal preparation screens in FastLane.

- **Chapter II.C.2.d(iii), Results from Prior NSF Support**, includes revised language to clarify NSF's purpose for collecting this information in the Project Description. The purpose of the Results from Prior NSF Support section is to assist reviewers in assessing the quality of prior work conducted with current or prior NSF support. Additional instructions have also been added regarding the type of information that should be included for projects that have been recently awarded, where no new results exist.

- **Chapter II.C.2.g(vi), Other Direct Costs**, has been updated to include information on incentive payments, for example, payments to human subjects or incentives to promote completion of a survey. These costs should be included on line G6 of the NSF Budget and should be proposed in accordance with organizational policies and procedures. Indirect costs should be calculated on incentive payments in accordance with the organization's approved US Federally negotiated indirect cost rate(s).

- **Chapter II.C.2.g(x), Fees (Line K on the Proposal Budget)**, has been added to provide instructions for use of the Fee line on the NSF budget, which is available for use only by the SBIR/STTR programs.

- **Chapter II.C.2.j, Special Information and Supplementary Documentation**, has been updated to include language that informs submitters of the type of information that may be requested by NSF in order to comply with Federal environmental statutes, including, but not limited to, the National Environmental Policy Act, the National Historic Preservation Act. And the Endangered Species Act.

- **Chapter II.D, Special Processing Instructions**, has been revised to address areas where special proposal processing may be required. Information on RAPID, EAGER, Ideas Lab, FASED, Equipment, Conference, and Travel Proposals has been moved to Chapter II.E.

- **Chapter II.D.5, Proposals Involving Human Subjects**, has been updated to reflect the Foundation's implementation of 45 CFR 690.118, applications and proposals lacking definite plans for involvement of human subjects. A hypertext link is provided to an NSF-approved format that may be used to submit such determinations by proposing institutions. Clarification has also been added regarding the IRB documentation that NSF must have in order to make an award when proposals involve human subjects.

- **Chapter II.E, Types of Proposals**, has been added to describe, in one place, the various other types of proposals that can be submitted to NSF, including the two new types, RAISE

and GOALI. This section includes proposal preparation instructions for each of the types of proposal that may supplement or deviate from the guidance provided elsewhere in Chapter II.

- **Chapter II.E.9, Travel Proposal**, has been updated from "International Travel Proposals" to "Travel Proposal" to reflect that this type of proposal can be used for both domestic and international travel requests. Additional proposal preparation instructions have also been added to inform proposers of the required proposal elements, including the requirement that the Project Description contain Results from Prior NSF Support.

Clarifications and Other Changes to the PAPPG Part I

- **Introduction A, About the National Science Foundation**, has been updated to clarify where proposers can find information on one of NSF's flagship programs, the NSF Graduate Research Fellowship Program (GRFP). Guidance regarding the GRFP program may be found in the program solicitation, as well as in the GRFP Administration Guide.

- **Chapter I.E, Who May Submit Proposals**, includes additional language clarifying that unaffiliated individuals rarely receive direct funding support from NSF, because recipients must be able to demonstrate their ability to fully comply with the recipient requirements specified in 2 CFR § 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). As such, unaffiliated individuals are strongly encouraged to affiliate with an organization that is able to meet the requirements specified in 2 CFR § 200.

- **Chapter I.F, When to Submit Proposals**, has been revised to include additional instructions on how to submit proposals under the Special Exception to NSF's Deadline Date Policy. This section includes proposal preparation instructions for organizations impacted by a natural or anthropogenic disaster. Impacted proposers must check the "Special Exception to the Deadline Date Policy" box on the NSF Cover Sheet and upload the requisite Single Copy Document(s).

- **Chapter II.C.2, Sections of the Proposal**, has been amended to include k. Single Copy Documents in the list of the required components of a full research proposal.

- **Chapter II.C.2.f(i), Biographical Sketch(es), Senior Personnel**, has been revised to reflect that FastLane no longer accepts the Biographical Sketch inserted as text. The Biographical Sketch for each senior personnel must be uploaded as a single PDF file associated with that individual.

- **Chapter II.C.2.g(i)(a), Senior Personnel Salaries & Wages Policy**, has been amended to include a reference to 2 CFR § 200.430(i) to assist proposers in locating the specific requirements relevant to the documentation of effort.

- **Chapter II.C.2.g(iii), Equipment (Line D on the Proposal Budget)**, includes an additional reference to 2 CFR § 200.313 to assist proposers in locating the specific requirements of relevance in the Uniform Guidance.

- **Chapter II.C.2.g(iv)(b) Domestic Travel**, has been revised to inform proposers that travel, meal and hotel expenses of grantee employees who are not on travel status are unallowable. Additional language has also been added stating that costs of employees on travel status are limited to those specifically authorized by 2 CFR § 200.474.

- **Chapter II.C.2.g(viii), Indirect Costs (also known as Facilities and Administrative Costs (F&A) for Colleges and Universities) (Line I on the Proposal Budget)**, has been updated to clarify that the use of an indirect cost rate lower than the organization's approved negotiated indirect cost rate is considered a violation of NSF's cost sharing policy.

- **Chapter II.C.2.g(xii), Voluntary Committed and Uncommitted Cost Sharing**, has been amended to include an additional reference to 2 CFR § 200.99, definition of voluntary committed cost sharing. Clarifying language has also been added to emphasize how voluntary committed and voluntary uncommitted cost sharing are treated differently by NSF. In accordance with the Uniform Guidance, in order to be considered voluntary committed cost sharing, the amount must appear on the NSF budget, and be specifically identified in the approved NSF budget. Voluntary uncommitted cost sharing, however, should not be included in the proposal budget or budget justification and these resources are not financially auditable by NSF.

- **Chapter II.C.2.g(xiii)(a), Entertainment**, includes an additional reference to 2 CFR § 200.438 to assist proposers in locating the specific requirements of relevance in the Uniform Guidance.

- **Chapter II.C.2.j, Special Information and Supplementary Documentation**:

    - has been updated to clarify where the "Mentoring Plan" and "Data Management Plan" should be uploaded in the Supplementary Documentation section of FastLane.

    - includes additional language to emphasize the importance of submitting letters of support only when specifically required by a program solicitation.

    - has been amended to reflect changes in requirements for Antarctic proposals. Antarctic proposals to any NSF program require "Logistical Requirements and Field Plan" supplementary documentation to be submitted with the proposal.

- **Chapter II.D.3.b, Submission of a collaborative proposal from multiple organizations**, has been updated to include the Collaborators & Other Affiliations Information in the list of required sections for a collaborative proposal. The Collaborators & Other Affiliations Information should be separately provided by the lead and non-lead organization(s) in a separately submitted collaborative proposal.

- **Chapter II.D.4, Proposals Involving Vertebrate Animals**, has been revised to enhance clarity on the use of vertebrate animals for research or education on NSF supported projects. The revised language in this section states that any project proposing the use of vertebrate animals for research or education must comply with the provision in PHS Assurance for Institutional Commitment (Section II) that requires the submitting organization to establish and maintain a program for activities involving animals in accordance with the *Guide for the Care and Use of Laboratory Animals* (Guide). Taxon-specific guidelines may be used as supplemental references. Departures from the Guide must be approved by the IACUC and based on scientific, veterinary, medical, or animal welfare issues (for more information, see OLAW-Departures from the Guide).

- **Chapter II.D.7, Projects Requiring High-Performance Computing Resources, Large Amounts of Data Storage, or Advanced Visualization Resources**, includes additional language that clarifies how submitters can address the locally available high-performance computing resources in their proposal. The description of available computing resources has also been updated.

- **Chapter II.E.7, Conference Proposal**, has been updated to include Results from Prior NSF Support as a required section of the Project Description for a conference proposal.

- **Chapter II.E.11, Research Infrastructure Proposal**, has been updated to include a reference to the *Large Facilities Manual*, a public document managed by the Large Facilities Office, which contains NSF policy related to the planning and management of large facility projects.

- **Exhibit II-1, Proposal Preparation Checklist**, has been clarified with an additional sentence letting proposers know that FastLane uses different rules for each type of proposal (e.g. Research, RAPID, EAGER, RAISE, GOALI, Ideas Lab, FASED, Conference, Equipment or Travel) to check for compliance prior to submission to NSF. Additional checklist components have also been added to assist proposers in the pre-submission administrative review of proposals to NSF.

- **Exhibit II-2, Potentially Disqualifying Conflicts of Interest**, has been updated to clarify the types of relationships that would prevent a reviewer from reviewing a proposal unless a waiver has been granted by NSF. Specifically, language relating to serving as a consultant at an organization, and involvement as a former Ph.D. student/ advisor has been added in this exhibit.

- **Exhibit II-6, Nondiscrimination Certification**, has been revised to ensure that references to subrecipients, contractors and subawards are consistent with definitions in 2 CFR § 200, Subpart A, Acronyms and Definitions.

- **Exhibit II-7, Definitions of Categories of Personnel**, has been updated to clarify that a Faculty Associate can be a faculty member or equivalent at the performing institution.

- **Chapter III.F.2(c)(3), Process to Appeal NSF's Decision to Decline a Proposal for Financial or Administrative Reasons, Procedures**, includes additional language to clarify that proposers may submit documentation to support their statements – even documentation that may not have been presented as part of the original review process – as long as it is not "new" information that would not have been available at the time the decision to decline was made.

- **Chapter IV.D.2(b), Reconsideration**, has been updated to include Research Advanced by Interdisciplinary Science and Engineering (RAISE) in the list of proposals for which NSF's reconsideration process does not apply.

Significant Changes to the PAPPG Part II

- **Chapter VI.D.3.c(ii), NSF-Approved Extension**, has been updated to clarify that a request for an NSF-approved extension should be submitted at least 45 days prior to the end date of the grant and must be signed and submitted by the AOR via use of NSF's electronic systems. Information has also been added to make grantees aware of the limited time period of availability of funds due to cancelation of appropriations.

- **Chapter VII.B.2.c, Addition of co-PI/co-PD**, has been added to provide instructions to grantees desiring to add a new co-PI/co-PD. This section includes instructions on how an AOR can prepare and submit this request via use of NSF's electronic systems. This section lists the required components of this type of grantee request.

- **Chapter VIII.C.2, Payment Policies,** has been amended to remove the requirement that grantees must certify that all disbursements have been made, or will be made within three days of the receipt of the payment.

- **Chapter VIII.E.6, Award Financial Reporting Requirements and Final Disbursement**, has been supplemented with a new subpart, E.6., to make grantees aware of how NSF awards with canceled appropriations will be treated and to include the regulatory citation related to expiration of appropriated funds. In accordance with 31 USC 1552(a), funds will no longer be available for expenditure for any purpose beyond September 30th of the fifth fiscal year after the expiration of a fixed appropriation's period of availability for incurring new obligations.

- **Chapter X.C.5, Travel and Temporary Dependent Care Costs**, includes additional information on allowable travel expenses to specify that costs of employees on travel status are limited to those specifically authorized by 2 CFR § 200.474.

- **Chapter XI.B.1, Human Subjects**, has been updated to reflect the Foundation's implementation of 45 CFR 690.118, applications and proposals lacking definite plans for involvement of human subjects. Clarification has also been added regarding the IRB documentation that NSF must have for projects that involve human subjects.

Clarifications and Other Changes to the PAPPG Part II

- **Chapter VII.B.2.e, Substitute (Change) PI/PD or co-PI/co-PD**, includes additional instructions on how an AOR can prepare and submit the request via use of NSF's electronic systems. This section now lists the required components of this type of grantee request.

- **Chapter VIII.E.5, Award Financial Reporting Requirements and Final Disbursement**, has been updated to inform grantees of the time limits applicable to the upward or downward adjustments to the Federal share of costs for a financially closed award.

- **Chapter IX.A, Conflict of Interest Policies**, has been amended to remove the term "contractors" from this section for greater consistency with 2 CFR § 200, Subpart A, Acronyms and Definitions.

- **Chapter X.A.2.b, Pre-Award (Pre-Start Date) Costs**, includes an additional footnote reminding grantees that in the case of a renewal award, costs incurred under the old grant cannot be transferred to the new grant.

- **Chapter X.B.2, Administrative and Clerical Salaries & Wages**, has been updated to reference 2 CFR § 200.413, Direct Costs. Language has also been added to clarify that an AOR should initiate the request for NSF approval to direct charge salaries of administrative or clerical staff after an award has been made.

- **Chapter X.B.3, Intra-University (IHE) Consulting**, has been revised to include an additional reference to 2 CFR § 200.430(h)(3) to assist proposers in locating the relevant requirements in the Uniform Guidance.

- **Chapter XI.B.3, Vertebrate Animals**, has been revised to enhance clarity on the use of vertebrate animals for research or education on NSF supported projects. The revised language in this section states that taxon-specific guidelines may be used as supplemental references. Departures from the Guide must be approved by the IACUC and based on scientific, veterinary, medical, or animal welfare issues (for more information, see OLAW-Departures from the Guide).

PROPOSAL & AWARD POLICIES & PROCEDURES GUIDE (PAPPG)
Table of Contents

Introduction:

A. About the National Science Foundation
B. Foreword
C. Acronym List
D. Definitions & NSF-Grantee Relationships
E. NSF Organizations
F. NSF Electronic Capabilities Modernization Status

Part I: Proposal Preparation and Submission Guidelines

Chapter I: Pre-Submission Information....1

A. NSF Proposal Preparation and Submission 1
B. NSF Programs and Funding Opportunities....1
C. Categories of Funding Opportunities 1
1. Dear Colleague Letters 1
2. Program Descriptions....1
3. Program Announcements 1
4. Program Solicitations 1
D. Types of Submissions 2
1. Letters of Intent 2
2. Preliminary Proposals 3
a. Invite/Not Invite Decisions....3
b. Encourage/Discourage Decisions....3
3. Full Proposals....4
E. Who May Submit Proposals....4
Categories of Proposers 4
1. Universities and Colleges....4
2. Non-profit, Non-academic Organizations....5
3. For-profit Organizations....5
4. State and Local Governments....5
5. Unaffiliated Individuals 5
6. Foreign organizations....5
7. Other Federal Agencies 5
F. When to Submit Proposals....6
1. Target Dates....6
2. Deadline Dates....6
3. Submission Windows 6
Special Exceptions to NSF's Deadline Date Policy 6
Natural or Anthropogenic Disasters 6
Closure of NSF 7
G. How to Submit Proposals....7
1. Electronic Requirements 7
2. Submission Instructions 7
3. Requirements Relating to Data Universal Numbering System (DUNS) Numbers and Registration in the System for Award Management (SAM)....7
4. NSF ID 8
5. Proposal Receipt....8
H. Proposal Processing 8

Chapter II: Proposal Preparation Instructions 9

A. Conformance with Instructions for Proposal Preparation 9
B. Format of the Proposal 10
1. Proposal Pagination Instructions 10
2. Proposal Margin and Spacing Requirements 10
3. Page Formatting 10
C. Proposal Contents 10
1. Single-Copy Documents 10
a. Authorization to Deviate from NSF Proposal Preparation Requirements 10
b. List of Suggested Reviewers or Reviewers Not to Include 11
c. Proprietary or Privileged Information 11
d. Proposal Certifications 11
e. Collaborators & Other Affiliations Information 14
2. Sections of the Proposal 15
a. Cover Sheet 15
b. Project Summary 18
c. Table of Contents 18
d. Project Description 18
(i) Content 18
(ii) Page Limitations and Inclusion of Uniform Resource Locators (URLs) within the Project Description 19
(iii) Results from Prior NSF Support 19
(iv) Unfunded Collaborations 20
(v) Group Proposals 20
(vi) Proposals for Renewed Support 20
e. References Cited 20
f. Biographical Sketch(es) 21
(i) Senior Personnel 21
(a) Professional Preparation 21
(b) Appointments 21
(c) Products 21
(d) Synergistic Activities 21
(ii) Other Personnel 22
(iii) Equipment Proposals 22
g. Budget and Budget Justification 22
(i) Salaries and Wages 23
(a) Senior Personnel Salaries & Wages Policy 23
(b) Administrative and Clerical Salaries & Wages Policy 23
(c) Procedures 23
(d) Confidential Budgetary Information 24
(ii) Fringe Benefits 24
(iii) Equipment 24
(iv) Travel 24
(a) General 24
(b) Domestic Travel 25
(c) Foreign Travel 25
(v) Participant Support 25
(vi) Other Direct Costs 26
(a) Materials and Supplies (including Costs of Computing Devices) 26
(b) Publication/Documentation/Dissemination 26
(c) Consultant Services (also referred to as Professional Service Costs) 26
(d) Computer Services 26
(e) Subawards 27
(f) Other 27
(vii) Total Direct Costs 27
(viii) Indirect Costs 28

(ix) Total Direct and Indirect Costs....28
(x) Fees....28
(xi) Amount of This Request....28
(xii) Cost Sharing....28
(xiii) Allowable and Unallowable Costs....29
(a) Entertainment....30
(b) Meals and Coffee Breaks....30
(c) Alcoholic Beverages....30
h. Current and Pending Support....30
i. Facilities, Equipment and Other Resources....30
j. Special Information and Supplementary Documentation....31
k. Appendices....33
D. Special Processing Instructions....33
1. Proprietary or Privileged Information....33
2. Beginning Investigators (applies to proposals submitted to the Biological Sciences Directorate only)....34
3. Collaborative Proposals....34
4. Proposals Involving Vertebrate Animals....36
5. Proposals Involving Human Subjects....37
6. Dual Use Research of Concern....38
7. Projects Requiring High-Performance Computing Resources, Large Amounts of Data Storage, or Advanced Visualization Resources....39
E. Types of Proposals....39
1. Rapid Response Research (RAPID)....40
2. EArly-concept Grants for Exploratory Research (EAGER)....40
3. Research Advanced by Interdisciplinary Science and Engineering (RAISE)....41
4. Grant Opportunities for Academic Liaison with Industry (GOALI)....42
5. Ideas Lab....43
6. Facilitation Awards for Scientists and Engineers with Disabilities (FASED)....44
7. Conference....46
8. Equipment....48
9. Travel....49
10. Center....50
11. Research Infrastructure....50
Exhibit II-1: Proposal Preparation Checklist....51
Exhibit II-2 Potentially Disqualifying Conflicts of Interest....55
Exhibit II-3: Drug-Free Workplace Certification....56
Exhibit II-4 Debarment and Suspension Certification....58
Exhibit II-5 Lobbying Certification....60
Exhibit II-6 Nondiscrimination Certification....61
Exhibit II-7: Definitions of Categories of Personnel....62

Chapter III: NSF Proposal Processing and Review....63

A. Merit Review Principles and Criteria....63
Intellectual Merit....64
Broader Impacts....64
B. Selection of Reviewers....65
C. Proposal File Updates....65
D. Revisions to Proposals Made During the Review Process....66
E. Funding Recommendation....66
F. NSF's Risk Management Framework and the Decision to Award or Decline Proposals....67
G. Review Information Provided to PI....69
H. Release of Grantee Proposal Information....69
Exhibit III-1: NSF Proposal & Award Process & Timeline....70

Chapter IV: Non-Award Decisions and Transactions 71

A. Proposal Withdrawal 71
B. Proposals Not Accepted or Returned Without Review 72
C. Declinations 72
D. Reconsideration 72
E. Resubmission 75

Chapter V: Renewal Proposals 76

A. Traditional Renewal 76
B. Accomplishment-Based Renewal 76

Part II: Award, Administration and Monitoring of Grants and Cooperative Agreements

Chapter VI: NSF Awards 78

A. Acceptance of Assistance Agreements 78
B. Award Instrument 78
C. NSF Award Conditions 79
D. NSF Grant Periods 79
1. Definitions 79
2. Significance of Grant Period 79
3. Changes in a Grant Period 79
a. Start Date 79
b. End Date 79
c. No-Cost Extension 79
d. Two-Year Extensions for Special Creativity 80
E. Additional Funding Support 80
1. Types of Additional Funding Support 80
2. Renewed Support 81
3. Support under Continuing Grants 81
4. Supplemental Support 81

Chapter VII: Grant Administration 83

A. Monitoring Project Performance 83
1. Grantee Responsibilities 83
2. Grantee Notifications to NSF and Requests for NSF Approval 83
B. Changes in Project Direction or Management 83
1. Changes in Objectives, Scope or Methods/Procedures 83
a. Changes in Objectives or Scope 83
b. Significant Changes in Methods or Procedures 84
c. Significant Changes, Delays or Events of Unusual Interest 84
2. Changes in PI/PD, co-PI/co-PD or Person-Months Devoted to the Project 84
a. Long-Term Disengagement of PI/PD or co-PI/co-PD 84
b. Change in Person-Months Devoted to the Project 84
c. Addition of co-PI/co-PD 85
d. Withdrawal of PI/PD or co-PI/co-PD 85
e. Substitute (Change) PI/PD or co-PI/co-PD 85
f. Disposition of a Grant When a PI/PD Transfers from One Organization to Another Organization 85
3. Subawarding, Transferring or Contracting Out Part of an NSF Award (Subaward) 86
C. Cost Sharing 87
1. General 87
2. Mandatory Cost Sharing Commitments 87

3. Mandatory Cost Sharing Records and Reports 87
D. Technical Reporting Requirements 88
1. Annual Project Reports 88
2. Final Project Report 89
3. Project Outcomes Report for the General Public 89
Section Contents 89
4. Compliance with Technical Reporting Requirements 90
5. Grant Closeout 90
E. Record Retention and Audit 90
Exhibit VII-1 Consolidated Listing of Program- and Cost-Related Grantee Notifications to, and Requests for Approval From, the National Science Foundation 91

Chapter VIII: Financial Requirements and Payments 93

A. Standards for Financial Management 93
B. Definitions 93
C. Payment Requirements 94
1. Requesting Payments 94
2. Payment Policies 95
3. Request for Payment 95
4. Special Payment Grantees 96
5. Working Capital Advance 96
6. Grantee Banking Information for Payments 96
D. Cash Refunds and Credits To NSF 96
1. Final Unobligated Balance 96
2. Erroneous Payments 96
3. Interest Earned on Advance Payments 97
4. Program Income 98
5. Other Cost Credits 99
E. Award Financial Reporting Requirements and Final Disbursement 99

Chapter IX: Grantee Standards 101

A. Conflict of Interest Policies 101
B. Responsible Conduct of Research (RCR) 103
1. Background 103
2. Institutional Responsibilities 103
C. Financial Management Systems Standards 103
D. Property Management Standards 103
1. Title to Equipment 104
a. Title to Equipment – Non-Profit Organizations 104
b. Title to Equipment – For-Profit Organizations 104
2. Conditions for Acquisition and Use of Equipment 104
3. Principles Relating to Use of NSF-Supported Research Instrumentation & Facilities 105
4. Property Management Standards When Title Retained by NSF 105
5. Excess Government Personal Property 105
a. Policy 105
b. Eligibility 106
c. Procedures 106
d. Visiting Holding Agency Facilities 107
e. Dollar Limitation 107
f. Restrictions 108
g. Costs 108
h. Title 109
i. Accountability and Recordkeeping 109
E. Procurement Standards 109

Chapter X: Allowability of Costs 110

A. Basic Considerations 110
1. Conflicting Guidelines 110
2. Other Considerations 110
a. Maximum Obligation 110
b. Pre-Award (Pre-Start Date) Costs 110
c. Post-End Date Costs 111
3. Prior Written Approvals 111
a. General 111
b. NSF Prior Approval Policy 112
B. Direct Costs 112
1. Compensation – Personal Services 112
a. Salaries and Wages 112
b. Fringe Benefits 112
2. Administrative and Clerical Salaries and Wages 112
3. Intra-University (IHE) Consulting 113
4. Federal Employees 113
C. Other Direct Costs 113
1. Rearrangements and Alterations (Construction) 113
2. News Release Costs 115
3. Rental or Lease of Facilities or Special Purpose Equipment 115
4. Relocation Costs 115
5. Travel and Temporary Dependent Care Costs 115
D. Indirect Costs 115
1. NSF Policy 115
2. NSF Cognizant Organizations 116
E. Fee Payments under NSF Grants 116

Chapter XI: Other Post Award Requirements and Considerations 117

A. Non-Discrimination Statutes 117
1. General 117
2. Title VI of the Civil Rights Act of 1964 117
3. Section 504 of the Rehabilitation Act of 1973 118
4. Title IX of the Education Amendments of 1972 118
5. Age Discrimination Act of 1975 118
6. Equal Employment Opportunity under E.O. 11246 119
7. Limited English Proficiency under E.O. 13166 119
B. Protection of Living Organisms 119
1. Human Subjects 119
2. Research Involving Recombinant or Synthetic Nucleic Acid Molecules 120
3. Vertebrate Animals 121
4. Government Permits and Activities Abroad 122
5. Life Sciences Dual Use Research of Concern (DURC) 122
C. Construction, Rearrangements and Alterations 122
1. Davis-Bacon Act 122
2. Bonding and Insurance 122
3. Seismic Safety of Buildings 123
D. Intellectual Property 123
1. Patents and Inventions 123
2. Copyright 124
3. Special Patent and Copyright Situations 125
4. Dissemination and Sharing of Research Results 126
5. Tangible Property 127
E. Publication/Distribution of Grant Materials 127
1. NSF Policy 127
2. Costs 127

3. Responsibilities 127
4. Grantee Obligations 127
F. International Considerations 128
1. Travel to Foreign Countries 128
a. Policy 128
b. Use of US-Flag Air Carriers 129
c. Use of Foreign-Flag Air Carriers 129
2. Charter Flights 130
3. Projects in a Foreign Country 130
4. Passports and Visas 131
G. Intergovernmental Review of Federal Programs 131
H. Handling of Information 131
1. Questionnaires: Data Collection Under NSF Grants 131
2. Release of Information by NSF 132
I. Tax Status 132
J. Protection of Properties in the National Register of Historic Places 132
K. Environmental Compliance 132
L. National Security 133
M. Miscellaneous 133
1. Liabilities and Losses 133
2. Pre-College Students and Experimental Curriculum Development Projects 133
3. Use of Metric Measurements 133

Chapter XII: Grant Administration Disputes and Misconduct 134

A. Suspension and Termination Procedures 134
1. Definitions 134
2. Suspension and Termination 134
3. Termination by Mutual Agreement 135
4. NSF Suspension or Termination Review Procedure 136
B. Informal Resolution of Grant Administration Disputes 136
C. Research Misconduct 139
1. NSF Policies and Responsibilities 137
2. Role of Grantees 138
3. Reporting Possible Misconduct 139

Subject Index 140

Privacy Act and Public Burden Statements 154

Introduction:

A. About the National Science Foundation

The National Science Foundation (NSF) is an independent Federal agency created by Congress in 1950 to "promote the progress of science; [and] to advance the national health, prosperity and welfare" by supporting research and education in all fields of science and engineering.

From those first days, NSF has had a unique place in the Federal Government: it is responsible for the overall health of science and engineering across all disciplines. In contrast, other Federal agencies support research focused on specific missions such as health or defense. The Foundation also is committed to ensuring the nation's supply of scientists, engineers, and science and engineering educators.

NSF funds research and education in most fields of science and engineering. It does this through grants and cooperative agreements to approximately 2,000 colleges, universities, K-12 school systems, businesses, informal science organizations and other research organizations throughout the US. The Foundation accounts for about one-fourth of Federal support to academic institutions for basic research.

The Foundation considers proposals[1] submitted by organizations on behalf of individuals or groups for support in most fields of research. Interdisciplinary proposals also are eligible for consideration.

NSF does not normally support technical assistance, pilot plant efforts, research requiring security classification, the development of products for commercial marketing, or market research for a particular project or invention. Research with disease-related goals, including work on the etiology, diagnosis or treatment of physical or mental disease, abnormality, or malfunction in human beings or animals, is normally not supported. Animal models of such conditions or the development or testing of drugs or other procedures for their treatment also are not eligible for support. However, research in bioengineering, with diagnosis- or treatment-related goals, that applies engineering principles to problems in biology and medicine while advancing engineering knowledge is eligible for support. Bioengineering research to aid persons with disabilities also is eligible.

NSF does not have any programs involving the construction of public works in metropolitan areas, no development assistance programs, no programs requiring State plans as a condition of assistance, none involving coordination of planning in multi-jurisdictional areas and no programs of grants to State and local governments as defined in Section 6501(4) of Title 31 of the United States Code (USC).

NSF receives over 50,000 proposals each year for research, education and training projects, of which approximately 11,000 are funded. In addition, the Foundation receives over 15,000 applications for graduate and postdoctoral fellowships. One of NSF's flagship programs, the NSF Graduate Research Fellowship Program (GRFP) helps ensure the vitality and diversity of the scientific and engineering workforce; the program awards about 2,000 fellowships each year. Guidance regarding the GRFP program may be found in the program solicitation, as well as in the GRFP Administrative Guide. The agency operates no laboratories itself but does support National Research Centers, user facilities, certain oceanographic vessels and Antarctic research stations. The Foundation also supports cooperative research between universities and industry, US participation in international scientific and engineering efforts, and educational activities at every academic level.

NSF is structured much like a university, with divisions/offices for the various disciplines and fields of science and engineering and for science, technology, engineering and mathematics education. NSF also uses a variety of management mechanisms to coordinate research in areas that cross traditional disciplinary boundaries. The Foundation is assisted by advisors from the scientific and engineering communities who serve on formal committees or as *ad hoc* reviewers of proposals. This advisory system, which focuses on both program directions and specific proposals, involves approximately 50,000 scientists and engineers each year. NSF staff members who are experts in a certain field or area make award recommendations; Principal Investigators (PIs) receive unattributed verbatim copies of peer reviews.

[1] For purposes of this Guide, the term "proposal" is interchangeable with the term "application."

Grantees are wholly responsible for conducting their project activities and preparing the results for publication. Thus, the Foundation does not assume responsibility for such findings or their interpretation.

Facilitation Awards for Scientists and Engineers with Disabilities provide funding for special assistance or equipment to enable persons with disabilities to work on NSF-supported projects. See Chapter II.E.6. for instructions regarding preparation of these types of proposals.

NSF has Text Telephone (TTY) and Federal Information Relay Service (FIRS) capabilities that enable individuals with hearing or speech impairments to communicate with the Foundation about NSF programs, employment or general information. TTY may be accessed at (703) 292-5090 and (800) 281-8749, FIRS at (800) 877-8339.

The NSF Information Center may be reached at (703) 292-5111.