Research
Research and Project Administration

TO: Faculty and Department Managers

DATE: January 4, 2013

FROM: Jeffrey Friedland, Director

SUBJECT: New NSF Proposal and Award Policies and Procedures Guide, January 2013

A new version of the NSF *Proposal & Award Policies & Procedures Guide* (PAPPG), (NSF 13-1) has been issued. The PAPPG is comprised of documents relating to the Foundation's proposal and award process and consists of the:

(a) *Grant Proposal Guide* (GPG) for guidance on the preparation and submission of proposals to NSF; and

(b) *Award & Administration Guide* (AAG) to guide, manage, and monitor the award and administration of grants and cooperative agreements made by the Foundation.

This new version of the PAPPG will be effective for **proposals submitted, or due, on or after January 14, 2013.** Significant changes include:

- Revisions to the NSF Merit Review Criteria, which implement the National Science Board's (NSB) recommendations. Boilerplate text has been developed and is incorporated in Program Announcements and Solicitations. Changes will affect the project summary and project description sections of proposals. Annual and final reports also will be affected.
- Revisions of the Biographical Sketch instructions include renaming the "Publications" section to "Products" and amend terminology and instructions accordingly. This change makes clear that products may include publications, data sets, software, patents, and copyrights.
- Clarification on indirect costs specifying that, except as noted in the PAPPG or a program solicitation, organizations must use the applicable federally negotiated and approved indirect cost rate.
- Modification of Facilities, Equipment and Other Resources section has been supplemented to indicate that an aggregated description of the internal and external resources that are, or will be available to the project (both physical and personnel) should be provided.
- Additional proposal certifications must be submitted by the Authorized Organizational Representative (AOR) covering organizational support of the proposed research, tax obligations/liability and felony convictions.
- The Proposal Preparation Checklist was modified for consistency with changes made to the Grant Proposal Guide.
- Numerous other clarifications also have been made throughout the document.

A by-chapter summary of the changes is provided at the beginning of both the *Grant Proposal Guide* and the *Award & Administration Guide* to assist with identifying the changes.

Because the revisions to the merit review criteria will have broad repercussions for NSF staff, proposers and reviewers, the Foundation is conducting extensive outreach to the internal and external NSF communities. This purposeful communication is intended to ensure a broad understanding of the revisions to the merit review criteria and provide easy access to supporting materials including:

- A revised NSF Merit Review website with updated information about the revisions.
- A resource website for the proposer community containing presentations, fact sheets and other important links.

While this version of the PAPPG becomes effective on January 14, 2013, in the interim, the guidelines contained in the current PAPPG (NSF 11-1) continue to apply. NSF will ensure that the current version of the PAPPG remains on the NSF website, with a notation to proposers that specifies when the new PAPPG (including a link to the new Guide) will become effective.

If you have any questions, please feel free to contact your ORPA representative.

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References

Proposal and Award Guide: http://www.nsf.gov/pubs/policydocs/pappguide/nsf13001/nsf13_1.pdf

Summary of Significant Changes: http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/

Merit Review: http://www.nsf.gov/bfa/dias/policy/merit_review/

Merit Review Resources: http://www.nsf.gov/bfa/dias/policy/merit_review/resources.jsp