

**Cover of the Proposal and Awards Policies and Procedures
Guide with page I-5, highlighted Unaffiliated Individuals**

NATIONAL SCIENCE FOUNDATION

PROPOSAL AND AWARD POLICIES AND PROCEDURES GUIDE



National Science Foundation
WHERE DISCOVERIES BEGIN

Effective October 4, 2021

NSF 22-1

OMB Control Number 3145-0058

subjected to discrimination under, any program or activity receiving financial assistance from NSF, although some programs may have special requirements that limit eligibility.

Scientists, engineers, and educators usually initiate proposals that are officially submitted by their employing organization. Before formal submission, the proposal may be discussed with appropriate NSF program staff. Graduate students are not encouraged to submit research proposals but should arrange to serve as research assistants to faculty members. Some NSF divisions accept proposals for Doctoral Dissertation Research Grants when submitted by a faculty member on behalf of the graduate student.

Categories of Proposers

Except where a program solicitation establishes more restrictive eligibility criteria, organizations in the following categories may submit proposals:

- 1. **Institutions of Higher Education (IHEs)** — Two- and four-year IHEs (including community colleges) accredited in, and having a campus located in the U.S., acting on behalf of their faculty members. IHEs located outside the U.S. fall under paragraph 6. below.

Special Instructions for International Branch Campuses of U.S. IHEs

If the proposal includes funding to be provided to an international branch campus of a U.S. institution of higher education (including through use of subawards and consultant arrangements), the proposer must explain the benefit(s) to the project of performance at the international branch campus and justify why the project activities cannot be performed at the U.S. campus. Such information must be included in the project description. The box for "Funding of an International Branch Campus of a U.S. IHE" must be checked on the Cover Sheet if the proposal includes funding for an international branch campus of a U.S. IHE.

- 2. **Non-profit, Non-academic Organizations** — Independent museums, observatories, research laboratories, professional societies and similar organizations located in the U.S. that are directly associated with educational or research activities.

- 3. **For-profit Organizations** — U.S. commercial organizations, especially small businesses with strong capabilities in scientific or engineering research or education. An unsolicited proposal from a commercial organization may be funded when the project is of special concern from a national point of view, special resources are available for the work, or the proposed project is especially meritorious. NSF is interested in supporting projects that couple industrial research resources and perspectives with those of IHEs; therefore, it especially welcomes proposals for cooperative projects involving both IHEs and the private commercial sector.

- 4. **State and Local Governments** — State educational offices or organizations and local school districts may submit proposals intended to broaden the impact, accelerate the pace, and increase the effectiveness of improvements in science, mathematics and engineering education in both K-12 and post-secondary levels.

- 5. **Unaffiliated Individuals** — Unless specifically authorized in an NSF solicitation (e.g., NSF postdoctoral fellowship programs), unaffiliated individuals in the U.S. and unaffiliated U.S. citizens are not eligible to receive direct funding support from NSF. Recipients of Federal funds must be able to demonstrate their ability to fully comply with the requirements specified in 2 CFR §200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*. As such, unaffiliated individuals are strongly encouraged to affiliate with an organization that is able to meet the requirements specified in 2 CFR §200.

Unaffiliated individuals must contact the cognizant Program Officer prior to preparing and submitting a proposal to NSF.