

# NSF 25-519: Water, Landscape, and Critical Zone Processes (WaLCZ)

## Program Solicitation

### Document Information

#### Document History

- **Posted:** December 6, 2024

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**U.S. National Science Foundation**

Directorate for Geosciences

Division of Earth Sciences

**Full Proposal Deadline(s)** (due by 5 p.m. submitting organization's local time):

Proposals Accepted Anytime



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This is a new solicitation arising from a realignment of the Division of Earth Science's disciplinary funding programs. Additional information can be found in a Dear Colleague Letter (DCL) and Frequently Asked Questions (FAQ) available on the website for the Water, Landscape, and Critical Zone Processes (WaLCZ) Program.

Any proposal submitted in response to this solicitation should be submitted in accordance with the *NSF Proposal & Award Policies & Procedures Guide (PAPPG)* that is in effect at the time the proposal is submitted. The NSF PAPPG is regularly revised and it is the responsibility of the proposer to ensure that the proposal meets the requirements specified in this solicitation and the applicable version of the PAPPG.

## Summary Of Program Requirements

### General Information

#### Program Title:

Water, Landscape, and Critical Zone Processes (WaLCZ)

#### Synopsis of Program:

The Water, Landscape, and Critical Zone Processes program supports research on the Earth's near-surface environment and how that environment responds to change. The Program focuses on the complex interplay amongst and between hydrologic, geomorphic, and geochemical processes and how they regulate the structure and function of the Earth's near surface. These processes drive weathering and soil development, control water availability and quality, and help regulate the Earth's climate system, all of which are important for natural resource sustainability and mitigation of natural hazards. It is expected that the research funded in this program will advance fundamental knowledge in Earth surface processes, leading to transformational discoveries in Earth Sciences.

## Broadening Participation In STEM:

NSF recognizes the unique lived experiences of individuals from communities that are underrepresented and/or underserved in science, technology, engineering, and mathematics (STEM) and the barriers to inclusion and access to STEM education and careers. NSF highly encourages the leadership, partnership, and contributions in all NSF opportunities of individuals who are members of such communities supported by NSF. This includes leading and designing STEM research and education proposals for funding; serving as peer reviewers, advisory committee members, and/or committee of visitor members; and serving as NSF leadership, program, and/or administrative staff. NSF also highly encourages demographically diverse institutions of higher education (IHEs) to lead, partner, and contribute to NSF opportunities on behalf of their research and education communities. NSF expects that all individuals, including those who are members of groups that are underrepresented and/or underserved in STEM, are treated equitably and inclusively in the Foundation's proposal and award process.

NSF encourages IHEs that enroll, educate, graduate, and employ individuals who are members of groups underrepresented and/or underserved in STEM education programs and careers to lead, partner, and contribute to NSF opportunities, including leading and designing STEM research and education proposals for funding. Such IHEs include, but may not be limited to, community colleges and two-year institutions, mission-based institutions such as Historically Black Colleges and Universities (HBCUs), Tribal Colleges and Universities (TCUs), women's colleges, and institutions that primarily serve persons with disabilities, as well as institutions defined by enrollment such as Predominantly Undergraduate Institutions (PUIs), Minority-Serving Institutions (MSIs), and Hispanic Serving Institutions (HSIs).

"Broadening participation in STEM" is the comprehensive phrase used by NSF to refer to the Foundation's goal of increasing the representation and diversity of individuals, organizations, and geographic regions that contribute to STEM teaching, research, and innovation. To broaden participation in STEM, it is necessary to address issues of equity, inclusion, and access in STEM education, training, and careers. Whereas all NSF programs might support broadening participation components, some programs primarily focus on supporting broadening participation research and projects. Examples can be found on the NSF [Broadening Participation in STEM](#) website.

**Cognizant Program Officer(s):**

*Please note that the following information is current at the time of publishing. See program website for any updates to the points of contact.*

- WaLCZ Program Inquiries, telephone: (703) 292-8550, email: [walcz@nsf.gov](mailto:walcz@nsf.gov)
- Laura Lautz, telephone: (703) 292-7775, email: [llautz@nsf.gov](mailto:llautz@nsf.gov)
- Justin E. Lawrence, telephone: (703) 292-2425, email: [jlawrenc@nsf.gov](mailto:jlawrenc@nsf.gov)
- Hendratta Ali, telephone: (703) 292-2648, email: [heali@nsf.gov](mailto:heali@nsf.gov)
- Christopher S. Lowry, telephone: (703) 292-8825, email: [cslowry@nsf.gov](mailto:cslowry@nsf.gov)
- Richard F. Yuretic, telephone: (703) 292-4744, email: [ryuretic@nsf.gov](mailto:ryuretic@nsf.gov)

**Applicable Catalog of Federal Domestic Assistance (CFDA) Number(s):**

- 47.050 --- Geosciences

**Award Information**

**Anticipated Type of Award:** Standard Grant or Continuing Grant

**Estimated Number of Awards:** 60 to 80

**Anticipated Funding Amount:** \$23,850,000

Estimated program budget, number of awards and average award size/duration are subject to the availability of funds.

**Eligibility Information**

**Who May Submit Proposals:**

Proposals may only be submitted by the following:

- Institutions of Higher Education (IHEs): Two- and four-year IHEs (including community colleges) accredited in, and having a campus located in the US, acting on behalf of their faculty members. Special Instructions for International Branch Campuses of US IHEs: If the proposal includes funding to be provided to an international branch campus of a US institution of higher education (including through use of sub-awards 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 US campus.

- 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.

**Who May Serve as PI:**

There are no restrictions or limits.

**Limit on Number of Proposals per Organization:**

There are no restrictions or limits.

**Limit on Number of Proposals per PI or co-PI:**

There are no restrictions or limits.

**Proposal Preparation and Submission Instructions**

**A. Proposal Preparation Instructions**

- **Letters of Intent:** Not required
- **Preliminary Proposal Submission:** Not required
- **Full Proposals:**
  - Full Proposals submitted via Research.gov: *NSF Proposal and Award Policies and Procedures Guide (PAPPG)* guidelines apply. The complete text of the PAPPG is available electronically on the NSF website at: [https://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=pappg](https://www.nsf.gov/publications/pub_summ.jsp?ods_key=pappg).
  - Full Proposals submitted via Grants.gov: *NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov* guidelines apply (Note: The *NSF Grants.gov Application Guide* is available on the Grants.gov website and on the NSF website at: [https://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=grantsgovguide](https://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide)).

**B. Budgetary Information**

- **Cost Sharing Requirements:**

Inclusion of voluntary committed cost sharing is prohibited.
- **Indirect Cost (F&A) Limitations:**

Not Applicable
- **Other Budgetary Limitations:**

Other budgetary limitations apply. Please see the full text of this solicitation for further information.

**C. Due Dates**

- **Full Proposal Deadline(s)** (due by 5 p.m. submitting organization's local time):

Proposals Accepted Anytime

**Proposal Review Information Criteria**

**Merit Review Criteria:**

National Science Board approved criteria apply.

### **Award Administration Information**

#### **Award Conditions:**

Standard NSF award conditions apply.

#### **Reporting Requirements:**

Standard NSF reporting requirements apply.

## **I. Introduction**

The Water, Landscape, and Critical Zone Processes (WaLCZ) Program is part of the Division of Earth Sciences (EAR) within the Directorate for Geosciences (GEO). EAR supports investigations of the evolution, processes, and properties of Earth through WaLCZ and three other programs:

- Chemical Evolution of the Solid Earth and Volcanology
- Life and Environments through Time
- Structure and Physics of the Solid Earth

EAR also provides support for instrumental and observational infrastructure, cyberinfrastructure, and educational and outreach activities. Projects may employ any combination of field, laboratory, and computational studies with observational, theoretical, or experimental approaches.

Interdisciplinary and multidisciplinary proposals may require joint review within EAR, with other GEO Divisions, or with other NSF Directorates, and may be considered for joint support. Projects should be submitted to the EAR solicitation most strongly aligned with the primary objectives or hypotheses of the proposal regardless of methods.

EAR invites submission of collaborative projects that articulate a fundamental overarching Earth Science question that is addressed through integrative hypothesis- or question-driven research. The project also should lead to outcomes that have potential to reveal new principles underlying the function or interaction of Earth systems.

## **II. Program Description**

Earth's near-surface environments are regulated by a complex interplay of many different processes and mechanisms. For example, landscapes are shaped by the action of water, biogeochemical reactions, and human interventions. Factors such as bedrock composition, microbial activity, and climate affect weathering rates and soil development. Hydrologic and fluvial processes, as well as the relationships of water to material and living components of the environment, control the distribution, quantity and quality of water and soil on and beneath Earth's surface. Earth-surface processes influence land-atmosphere exchanges of materials and energy, as well as Earth's climate system. In addition to these interactions, human activity is a major force that shapes natural environments through changes in land use, climate, and natural resource use and management.

The WaLCZ program supports robust, hypothesis-driven research that investigates these topics along with other significant aspects of Earth's near-surface systems. Projects may cover areas that investigate underlying mechanisms or controls on the Earth's near-surface environment and how that environment responds to change. These projects can be contained within a single traditional research domain (e.g. hydrology, geomorphology, environmental geochemistry) or involve multiple domains. Proposals must focus on filling knowledge gaps and advancing process-based understanding of Earth-surface environments, rather than applying existing knowledge to case-specific problems or focusing on the design of engineered systems.

The WaLCZ program is committed to supporting the most meritorious and impactful research in any relevant area. Research areas include but are not limited to:

- Hydrologic processes, water availability, and water quality on and beneath the Earth's surface and relationships of water with material and living components of the environment
- Couplings and feedbacks between geomorphic processes, their rates, and their relative roles, especially in the contexts of variation in biologic, climatic, and tectonic influences and changes due to human impact
- Aqueous geochemical processes and cycling in near-surface environmental systems and how elements and energy are exchanged within and between atmospheric, terrestrial, and aquatic systems
- Fate and transport of water, solutes, and other materials in near-surface environments
- Complex interactions between biotic and abiotic features of the Critical Zone that drive rates of soil and topographic development across diverse lithologies, biomes, and regolith type/thickness
- Advancing our capabilities in integrated and realistic modeling of near-surface systems from pore to continental scales using the full model continuum (from data-driven to process-based)
- Applications of new technologies to inform understanding of fundamental near-surface processes across scales (e.g. geophysical methods, remote sensing)
- Anthropogenic impacts on modern natural environments and their associated response

Proposal topics are not limited to this list, and the community is encouraged to explore beyond these areas as the program is open to a variety of hypothesis-driven, foundational research questions focused on the Earth's near-surface system. If a Principal Investigator (PI) is unclear about the relevance of a proposal topic to this solicitation, then they should contact the Program Officers listed within this solicitation.

Water, Landscape, and Critical Zone processes are crucial for society and ecosystems. These processes are linked to ocean, atmospheric, and solid Earth sciences and as a result, research pertaining to these processes is often at the interface of other disciplines within and outside of EAR, such as environmental biology, environmental engineering, and/or social science. Therefore, interdisciplinary and multidisciplinary proposals submitted to the WaLCZ program may require joint review with related disciplinary or integrated programs and may be considered for joint support. Before submission of a proposal that crosses disciplinary boundaries, PIs are strongly encouraged to contact the cognizant Program Officers in all relevant programs.

Proposals for community workshops that can guide the community on new research topics and grand challenge questions are encouraged, and those that have plans to broadly disseminate the discussions and outcomes will be prioritized.

The WaLCZ Program supports a wide range of broader impacts activities. Successful projects will include broader impact activities that are creative, well-integrated, and effective. These broader impacts activities should be developed within the context of the people involved in the project and the mission, goals, and resources of the organizations involved. The expertise of the collaborators, the proposal budget, and budget justification should reflect this integration. Examples of activities that may be proposed include, but are not limited to, broadening participation in the geosciences, scientific infrastructure enhancement, public engagement, establishing new or expanding partnerships with industry, government, academic, and international institutions, and translating research to benefit broader societal needs.

In addition to opportunities described in this WaLCZ solicitation, WaLCZ also funds proposals submitted in response to the Faculty Early Career Development ([CAREER](#)) Program, Research Coordination Networks ([RCN](#)), EMpowering BRoader Academic Capacity and Education ([EMBRACE](#)) Program and Mid-Career Advancement ([MCA](#)) solicitations. The WaLCZ Program also accepts Rapid Response Research (RAPID), EARly-concept Grants for Exploratory Research (EAGER), Planning, and Conference proposal requests (see guidance in Chapter II.F of the PAPPG) and supplemental funding requests (see guidance in Chapter VI.E of the PAPPG); these additional proposal submissions require approval from a WaLCZ program director prior to preparing a submission. Where WaLCZ participates in cross-agency competitions, proposals that are suitable for review within these competitions must be submitted directly to these solicitations rather than to WaLCZ. If there is doubt as to the appropriate destination for a proposal, prospective PIs are encouraged to contact the WaLCZ program directors prior to submission. WaLCZ welcomes inquiries on any proposal type prior to submission.

### **III. Award Information**

**Anticipated Type of Award:** Standard Grant or Continuing Grant

**Estimated Number of Awards:** 60 to 80

**Anticipated Funding Amount:** \$23,850,000

Estimated program budget, number of awards and average award size/duration are subject to the availability of funds.

#### **IV. Eligibility Information**

##### **Who May Submit Proposals:**

Proposals may only be submitted by the following:

- Institutions of Higher Education (IHEs): Two- and four-year IHEs (including community colleges) accredited in, and having a campus located in the US, acting on behalf of their faculty members. Special Instructions for International Branch Campuses of US IHEs: If the proposal includes funding to be provided to an international branch campus of a US institution of higher education (including through use of sub-awards 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 US campus.
- 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.

##### **Who May Serve as PI:**

There are no restrictions or limits.

##### **Limit on Number of Proposals per Organization:**

There are no restrictions or limits.

##### **Limit on Number of Proposals per PI or co-PI:**

There are no restrictions or limits.

##### **Additional Eligibility Info:**

Proposals must conform to the EAR Policy on Resubmission of Declined Proposals:

Proposals that have been declined are not eligible for resubmission for one year from the original date of submission and must be substantially revised to be considered. In accordance with the NSF PAPPG, a proposal that has not been substantially revised will be returned without review. Exceptions to this policy require prior approval by an EAR Program Officer.

#### **V. Proposal Preparation And Submission Instructions**

##### **A. Proposal Preparation Instructions**

**Full Proposal Preparation Instructions:** Proposers may opt to submit proposals in response to this Program Solicitation via Research.gov or Grants.gov.

- Full Proposals submitted via Research.gov: Proposals submitted in response to this program solicitation should be prepared and submitted in accordance with the general guidelines contained in the *NSF Proposal and Award Policies and Procedures Guide* (PAPPG). The complete text of the PAPPG is available electronically on the NSF website at: [https://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=pappg](https://www.nsf.gov/publications/pub_summ.jsp?ods_key=pappg). Paper copies of the PAPPG may be

obtained from the NSF Publications Clearinghouse, telephone (703) 292-8134 or by e-mail from [nsfpubs@nsf.gov](mailto:nsfpubs@nsf.gov). The Prepare New Proposal setup will prompt you for the program solicitation number.

- Full proposals submitted via Grants.gov: Proposals submitted in response to this program solicitation via Grants.gov should be prepared and submitted in accordance with the *NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov*. The complete text of the *NSF Grants.gov Application Guide* is available on the Grants.gov website and on the NSF website at: ([https://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=grantsgovguide](https://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide)). To obtain copies of the Application Guide and Application Forms Package, click on the Apply tab on the Grants.gov site, then click on the Apply Step 1: Download a Grant Application Package and Application Instructions link and enter the funding opportunity number, (the program solicitation number without the NSF prefix) and press the Download Package button. Paper copies of the Grants.gov Application Guide also may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-8134 or by e-mail from [nsfpubs@nsf.gov](mailto:nsfpubs@nsf.gov).

In determining which method to utilize in the electronic preparation and submission of the proposal, please note the following:

**Collaborative Proposals.** All collaborative proposals submitted as separate submissions from multiple organizations must be submitted via Research.gov. PAPPG Chapter II.E.3 provides additional information on collaborative proposals.

See PAPPG Chapter II.D.2 for guidance on the required sections of a full research proposal submitted to NSF. Please note that the proposal preparation instructions provided in this program solicitation may deviate from the PAPPG instructions.

**The following instructions supplement the PAPPG and the NSF Grants.gov application guide.**

**Nature of collaborations:** PIs are required to articulate their plans to ensure mutually beneficial intellectual and educational collaborations with all individuals and organizations involved in the proposed project. The nature of the collaboration should be addressed in the Project Description or in a one-page letter of collaboration uploaded to Special Information & Supplementary Documents. For the purposes of this solicitation letters of collaboration can be up to one page in length and can contain information on capabilities of laboratories, samples to be exchanged, or other details critical to the evaluation of the proposal.

**Undergraduate student mentoring plan:** PIs are required to include a mentoring plan for any undergraduate students involved in the proposed project. The undergraduate student mentoring plan should be addressed in a one-page document uploaded to Special Information & Supplementary Documents.

**Field safety protocols:** If the proposed project includes field work (i.e., research, education, or outreach activities in a natural environment outside of a classroom, laboratory, library, museum, office, or workplace), PIs are required to include information on the protocols that will be undertaken to ensure the physical and psychological safety of all participants. Field safety protocols should address potential hazards and risks of the field areas in the proposed work, e.g., dangerous, remote, or unpredictable conditions; societal discrimination; U.S. State Department Travel Advisories; and participants who may not have experience working under conditions that can be, at times, uncomfortable, unfamiliar, or threatening. Field protocols should incorporate leading practices. This field safety protocol is separate from and in addition to the certification for "Safe and Inclusive Working Environments for Off-Campus or Off-Site Research" described in Chapter II.E of the PAPPG. The field safety protocol should be uploaded as a 1-page document in the Special Information & Supplementary Documents section. Protocols should address the full scope of the proposed activities.

**Permits:** If formal approvals (e.g., licenses, permits, authorizations, or agreements) are necessary to undertake the proposed activities, PIs are required to describe in the Project Description how those requirements will be addressed and to document any approvals in the Special Information and Supplementary Documents, as appropriate. Such information may include authorizations from international, federal, state or local authorities, or permissions that are legally required to collect, destroy (as applicable), import, and export samples, instrumentation, and data. Failure to obtain the appropriate permits and approvals for all aspects of the research effort may jeopardize not only the proposed research, but also the well-being of the personnel.

**Data and Sample Management Plans:** Principal investigators (PIs) are required to adhere to the [EAR Division Data Sharing Policy](#) available on the NSF website.

**RAPID proposals:** As outlined in Section II, the WaLCZ Program accepts RAPID proposals. PIs are required to discuss RAPID proposal budget requests with a Program Director before submission. Generally, RAPID proposals submitted to EAR programs support costs associated with collection of perishable data that requires a rapid response and do not support PI salary, student tuition, or student salaries beyond. Student salaries during the period of urgent data collection may be included. RAPID proposals submitted to EAR programs must include a plan for providing data and samples to the community in an efficient manner and as close to the time of collection as is practicable.

## **B. Budgetary Information**

### **Cost Sharing:**

Inclusion of voluntary committed cost sharing is prohibited.

### **Other Budgetary Limitations:**

Equipment needs that can be demonstrably linked to the conduct of a specific research project being proposed to EAR may be included within the budget of the related research proposal. In general, equipment requests on proposals submitted to EAR research programs should not exceed a total of \$50,000. Investigators planning on submitting an EAR research proposal with a significant equipment budget are encouraged to discuss these plans with the relevant research program officer prior to submission.

## **C. Due Dates**

- **Full Proposal Deadline(s)** (due by 5 p.m. submitting organization's local time):

Proposals Accepted Anytime

## **D. Research.gov/Grants.gov Requirements**

### **For Proposals Submitted Via Research.gov:**

To prepare and submit a proposal via Research.gov, see detailed technical instructions available at: [https://www.research.gov/research-portal/appmanager/base/desktop?\\_nfpb=true&\\_pageLabel=research\\_node\\_display&\\_nodePath=/researchGov/Service/Desktop/ProposalPreparationanc](https://www.research.gov/research-portal/appmanager/base/desktop?_nfpb=true&_pageLabel=research_node_display&_nodePath=/researchGov/Service/Desktop/ProposalPreparationanc) For Research.gov user support, call the Research.gov Help Desk at 1-800-381-1532 or e-mail [rgov@nsf.gov](mailto:rgov@nsf.gov). The Research.gov Help Desk answers general technical questions related to the use of the Research.gov system. Specific questions related to this program solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this funding opportunity.

### **For Proposals Submitted Via Grants.gov:**

Before using Grants.gov for the first time, each organization must register to create an institutional profile. Once registered, the applicant's organization can then apply for any federal grant on the Grants.gov website. Comprehensive information about using Grants.gov is available on the Grants.gov Applicant Resources webpage: <https://www.grants.gov/applicants>. In addition, the NSF Grants.gov Application Guide (see link in Section V.A) provides instructions regarding the technical preparation of proposals via Grants.gov. For Grants.gov user support, contact the Grants.gov Contact Center at 1-800-518-4726 or by email: [support@grants.gov](mailto:support@grants.gov). The Grants.gov Contact Center answers general technical questions related to the use of Grants.gov. Specific questions related to this program solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this solicitation.

**Submitting the Proposal:** Once all documents have been completed, the Authorized Organizational Representative (AOR) must submit the application to Grants.gov and verify the desired funding opportunity and agency to which

the application is submitted. The AOR must then sign and submit the application to Grants.gov. The completed application will be transferred to Research.gov for further processing.

The NSF [Grants.gov Proposal Processing in Research.gov informational page](#) provides submission guidance to applicants and links to helpful resources including the NSF [Grants.gov Application Guide](#), [Grants.gov Proposal Processing in Research.gov how-to guide](#), and [Grants.gov Submitted Proposals Frequently Asked Questions](#). Grants.gov proposals must pass all NSF pre-check and post-check validations in order to be accepted by Research.gov at NSF.

When submitting via Grants.gov, NSF strongly recommends applicants initiate proposal submission at least five business days in advance of a deadline to allow adequate time to address NSF compliance errors and resubmissions by 5:00 p.m. submitting organization's local time on the deadline. Please note that some errors cannot be corrected in Grants.gov. Once a proposal passes pre-checks but fails any post-check, an applicant can only correct and submit the in-progress proposal in Research.gov.

Proposers that submitted via Research.gov may use Research.gov to verify the status of their submission to NSF. For proposers that submitted via Grants.gov, until an application has been received and validated by NSF, the Authorized Organizational Representative may check the status of an application on Grants.gov. After proposers have received an e-mail notification from NSF, Research.gov should be used to check the status of an application.

## **VI. NSF Proposal Processing And Review Procedures**

Proposals received by NSF are assigned to the appropriate NSF program for acknowledgement and, if they meet NSF requirements, for review. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF either as *ad hoc* reviewers, panelists, or both, who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officer's discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal. In addition, Program Officers may obtain comments from site visits before recommending final action on proposals. Senior NSF staff further review recommendations for awards. A flowchart that depicts the entire NSF proposal and award process (and associated timeline) is included in PAPPG Exhibit III-1.

A comprehensive description of the Foundation's merit review process is available on the NSF website at: [https://www.nsf.gov/bfa/dias/policy/merit\\_review/](https://www.nsf.gov/bfa/dias/policy/merit_review/).

Proposers should also be aware of core strategies that are essential to the fulfillment of NSF's mission, as articulated in [Leading the World in Discovery and Innovation, STEM Talent Development and the Delivery of Benefits from Research - NSF Strategic Plan for Fiscal Years \(FY\) 2022 - 2026](#). These strategies are integrated in the program planning and implementation process, of which proposal review is one part. NSF's mission is particularly well-implemented through the integration of research and education and broadening participation in NSF programs, projects, and activities.

One of the strategic objectives in support of NSF's mission is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions must recruit, train, and prepare a diverse STEM workforce to advance the frontiers of science and participate in the U.S. technology-based economy. NSF's contribution to the national innovation ecosystem is to provide cutting-edge research under the guidance of the Nation's most creative scientists and engineers. NSF also supports development of a strong science, technology, engineering, and mathematics (STEM) workforce by investing in building the knowledge that informs improvements in STEM teaching and learning.

NSF's mission calls for the broadening of opportunities and expanding participation of groups, institutions, and geographic regions that are underrepresented in STEM disciplines, which is essential to the health and vitality of science

and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## **A. Merit Review Principles and Criteria**

The National Science Foundation strives to invest in a robust and diverse portfolio of projects that creates new knowledge and enables breakthroughs in understanding across all areas of science and engineering research and education. To identify which projects to support, NSF relies on a merit review process that incorporates consideration of both the technical aspects of a proposed project and its potential to contribute more broadly to advancing NSF's mission "to promote the progress of science; to advance the national health, prosperity, and welfare; to secure the national defense; and for other purposes." NSF makes every effort to conduct a fair, competitive, transparent merit review process for the selection of projects.

### **1. Merit Review Principles**

These principles are to be given due diligence by PIs and organizations when preparing proposals and managing projects, by reviewers when reading and evaluating proposals, and by NSF program staff when determining whether or not to recommend proposals for funding and while overseeing awards. Given that NSF is the primary federal agency charged with nurturing and supporting excellence in basic research and education, the following three principles apply:

- All NSF projects should be of the highest quality and have the potential to advance, if not transform, the frontiers of knowledge.
- NSF projects, in the aggregate, should contribute more broadly to achieving societal goals. These "Broader Impacts" may be accomplished through the research itself, through activities that are directly related to specific research projects, or through activities that are supported by, but are complementary to, the project. The project activities may be based on previously established and/or innovative methods and approaches, but in either case must be well justified.
- Meaningful assessment and evaluation of NSF funded projects should be based on appropriate metrics, keeping in mind the likely correlation between the effect of broader impacts and the resources provided to implement projects. If the size of the activity is limited, evaluation of that activity in isolation is not likely to be meaningful. Thus, assessing the effectiveness of these activities may best be done at a higher, more aggregated, level than the individual project.

With respect to the third principle, even if assessment of Broader Impacts outcomes for particular projects is done at an aggregated level, PIs are expected to be accountable for carrying out the activities described in the funded project. Thus, individual projects should include clearly stated goals, specific descriptions of the activities that the PI intends to do, and a plan in place to document the outputs of those activities.

These three merit review principles provide the basis for the merit review criteria, as well as a context within which the users of the criteria can better understand their intent.

### **2. Merit Review Criteria**

All NSF proposals are evaluated through use of the two National Science Board approved merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two merit review criteria are listed below. **Both** criteria are to be given **full consideration** during the review and decision-making processes; each criterion is necessary but neither, by itself, is sufficient. Therefore, proposers must fully address both criteria. (PAPPG Chapter II.D.2.d(i). contains additional information for use by proposers in development of the Project Description section of the proposal). Reviewers are strongly encouraged to review the criteria, including PAPPG Chapter II.D.2.d(i), prior to the review of a proposal.

When evaluating NSF proposals, reviewers will be asked to consider what the proposers want to do, why they want to do it, how they plan to do it, how they will know if they succeed, and what benefits could accrue if the project is successful.

These issues apply both to the technical aspects of the proposal and the way in which the project may make broader contributions. To that end, reviewers will be asked to evaluate all proposals against two criteria:

- **Intellectual Merit:** The Intellectual Merit criterion encompasses the potential to advance knowledge; and
- **Broader Impacts:** The Broader Impacts criterion encompasses the potential to benefit society and contribute to the achievement of specific, desired societal outcomes.

The following elements should be considered in the review for both criteria:

1. What is the potential for the proposed activity to
  - a. Advance knowledge and understanding within its own field or across different fields (Intellectual Merit); and
  - b. Benefit society or advance desired societal outcomes (Broader Impacts)?
2. To what extent do the proposed activities suggest and explore creative, original, or potentially transformative concepts?
3. Is the plan for carrying out the proposed activities well-reasoned, well-organized, and based on a sound rationale? Does the plan incorporate a mechanism to assess success?
4. How well qualified is the individual, team, or organization to conduct the proposed activities?
5. Are there adequate resources available to the PI (either at the home organization or through collaborations) to carry out the proposed activities?

Broader impacts may be accomplished through the research itself, through the activities that are directly related to specific research projects, or through activities that are supported by, but are complementary to, the project. NSF values the advancement of scientific knowledge and activities that contribute to achievement of societally relevant outcomes. Such outcomes include, but are not limited to: full participation of women, persons with disabilities, and other underrepresented groups in science, technology, engineering, and mathematics (STEM); improved STEM education and educator development at any level; increased public scientific literacy and public engagement with science and technology; improved well-being of individuals in society; development of a diverse, globally competitive STEM workforce; increased partnerships between academia, industry, and others; improved national security; increased economic competitiveness of the United States; and enhanced infrastructure for research and education.

Proposers are reminded that reviewers will also be asked to review the Data Management and Sharing Plan and the Mentoring Plan, as appropriate.

## **B. Review and Selection Process**

Proposals submitted in response to this program solicitation will be reviewed by

Ad hoc Review and/or Panel Review.

Reviewers will be asked to evaluate proposals using two National Science Board approved merit review criteria and, if applicable, additional program specific criteria. A summary rating and accompanying narrative will generally be completed and submitted by each reviewer and/or panel. The Program Officer assigned to manage the proposal's review will consider the advice of reviewers and will formulate a recommendation.

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF strives to be able to tell proposers whether their proposals have been declined or recommended for funding within six months. Large or particularly complex proposals or proposals from new recipients may require additional review and processing time. The time interval begins on the deadline or target date, or receipt date, whichever is later. The interval ends when the Division Director acts upon the Program Officer's recommendation.

After programmatic approval has been obtained, the proposals recommended for funding will be forwarded to the Division of Grants and Agreements or the Division of Acquisition and Cooperative Support for review of business, financial, and policy implications. After an administrative review has occurred, Grants and Agreements Officers perform the processing and issuance of a grant or other agreement. Proposers are cautioned that only a Grants and Agreements Officer may make commitments, obligations or awards on behalf of NSF or authorize the expenditure of funds. No commitment on the part of NSF should be inferred from technical or budgetary discussions with a NSF Program Officer. A Principal Investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the NSF Grants and Agreements Officer does so at their own risk.

Once an award or declination decision has been made, Principal Investigators are provided feedback about their proposals. In all cases, reviews are treated as confidential documents. Verbatim copies of reviews, excluding the names of the reviewers or any reviewer-identifying information, are sent to the Principal Investigator/Project Director by the Program Officer. In addition, the proposer will receive an explanation of the decision to award or decline funding.

## **VII. Award Administration Information**

### **A. Notification of the Award**

Notification of the award is made to *the submitting organization* by an NSF Grants and Agreements Officer. Organizations whose proposals are declined will be advised as promptly as possible by the cognizant NSF Program administering the program. Verbatim copies of reviews, not including the identity of the reviewer, will be provided automatically to the Principal Investigator. (See Section VI.B. for additional information on the review process.)

### **B. Award Conditions**

An NSF award consists of: (1) the award notice, which includes any special provisions applicable to the award and any numbered amendments thereto; (2) the budget, which indicates the amounts, by categories of expense, on which NSF has based its support (or otherwise communicates any specific approvals or disapprovals of proposed expenditures); (3) the proposal referenced in the award notice; (4) the applicable award conditions, such as Grant General Conditions (GC-1)\*; and (5) any announcement or other NSF issuance that may be incorporated by reference in the award notice. Cooperative agreements also are administered in accordance with NSF Cooperative Agreement Financial and Administrative Terms and Conditions (CA-FATC) and the applicable Programmatic Terms and Conditions. NSF awards are electronically signed by an NSF Grants and Agreements Officer and transmitted electronically to the organization via e-mail.

\*These documents may be accessed electronically on NSF's Website at [https://www.nsf.gov/awards/managing/award\\_conditions.jsp?org=NSF](https://www.nsf.gov/awards/managing/award_conditions.jsp?org=NSF). Paper copies may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-8134 or by e-mail from [nsfpubs@nsf.gov](mailto:nsfpubs@nsf.gov).

More comprehensive information on NSF Award Conditions and other important information on the administration of NSF awards is contained in the NSF *Proposal & Award Policies & Procedures Guide* (PAPPG) Chapter VII, available electronically on the NSF Website at [https://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=pappg](https://www.nsf.gov/publications/pub_summ.jsp?ods_key=pappg).

## **Administrative and National Policy Requirements**

### **Build America, Buy America**

As expressed in Executive Order 14005, [Ensuring the Future is Made in All of America by All of America's Workers](#) (86 FR 7475), it is the policy of the executive branch to use terms and conditions of Federal financial assistance awards to maximize, consistent with law, the use of goods, products, and materials produced in, and services offered in, the United States.

Consistent with the requirements of the Build America, Buy America Act (Pub. L. 117-58, Division G, Title IX, Subtitle A, November 15, 2021), no funding made available through this funding opportunity may be obligated for infrastructure

projects under an award unless all iron, steel, manufactured products, and construction materials used in the project are produced in the United States. For additional information, visit NSF's [Build America, Buy America](#) webpage.

### **C. Reporting Requirements**

For all multi-year grants (including both standard and continuing grants), the Principal Investigator must submit an annual project report to the cognizant Program Officer no later than 90 days prior to the end of the current budget period. (Some programs or awards require submission of more frequent project reports). No later than 120 days following expiration of a grant, the PI also is required to submit a final annual project report, and a project outcomes report for the general public.

Failure to provide the required annual or final annual project reports, or the project outcomes report, will delay NSF review and processing of any future funding increments as well as any pending proposals for all identified PIs and co-PIs on a given award. PIs should examine the formats of the required reports in advance to assure availability of required data.

PIs are required to use NSF's electronic project-reporting system, available through Research.gov, for preparation and submission of annual and final annual project reports. Such reports provide information on accomplishments, project participants (individual and organizational), publications, and other specific products and impacts of the project. Submission of the report via Research.gov constitutes certification by the PI that the contents of the report are accurate and complete. The project outcomes report also must be prepared and submitted using Research.gov. This report serves as a brief summary, prepared specifically for the public, of the nature and outcomes of the project. This report will be posted on the NSF website exactly as it is submitted by the PI.

More comprehensive information on NSF Reporting Requirements and other important information on the administration of NSF awards is contained in the *NSF Proposal & Award Policies & Procedures Guide* (PAPPG) Chapter VII, available electronically on the NSF Website at [https://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=pappg](https://www.nsf.gov/publications/pub_summ.jsp?ods_key=pappg).

## **VIII. Agency Contacts**

*Please note that the program contact information is current at the time of publishing. See program website for any updates to the points of contact.*

General inquiries regarding this program should be made to:

- WaLCZ Program Inquiries, telephone: (703) 292-8550, email: [walcz@nsf.gov](mailto:walcz@nsf.gov)
- Laura Lautz, telephone: (703) 292-7775, email: [llautz@nsf.gov](mailto:llautz@nsf.gov)
- Justin E. Lawrence, telephone: (703) 292-2425, email: [jlawrenc@nsf.gov](mailto:jlawrenc@nsf.gov)
- Hendratta Ali, telephone: (703) 292-2648, email: [heali@nsf.gov](mailto:heali@nsf.gov)
- Christopher S. Lowry, telephone: (703) 292-8825, email: [cslowry@nsf.gov](mailto:cslowry@nsf.gov)
- Richard F. Yuretic, telephone: (703) 292-4744, email: [ryuretic@nsf.gov](mailto:ryuretic@nsf.gov)

For questions related to the use of NSF systems contact:

- NSF Help Desk: 1-800-381-1532
- Research.gov Help Desk e-mail: [rgov@nsf.gov](mailto:rgov@nsf.gov)

For questions relating to Grants.gov contact:

- Grants.gov Contact Center: If the Authorized Organizational Representatives (AOR) has not received a confirmation message from Grants.gov within 48 hours of submission of application, please contact via telephone: 1-800-518-4726; e-mail: [support@grants.gov](mailto:support@grants.gov).

## **IX. Other Information**

The NSF website provides the most comprehensive source of information on NSF Directorates (including contact information), programs and funding opportunities. Use of this website by potential proposers is strongly encouraged. In addition, "NSF Update" is an information-delivery system designed to keep potential proposers and other interested parties apprised of new NSF funding opportunities and publications, important changes in proposal and award policies and procedures, and upcoming NSF [Grants Conferences](#). Subscribers are informed through e-mail or the user's Web browser each time new publications are issued that match their identified interests. "NSF Update" also is available on [NSF's website](#).

Grants.gov provides an additional electronic capability to search for Federal government-wide grant opportunities. NSF funding opportunities may be accessed via this mechanism. Further information on Grants.gov may be obtained at <https://www.grants.gov>.

### **Related Programs:**

#### **About The National Science Foundation**

The National Science Foundation (NSF) is an independent Federal agency created by the National Science Foundation Act of 1950, as amended (42 USC 1861-75). The Act states the purpose of the NSF is "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."

NSF funds research and education in most fields of science and engineering. It does this through grants and cooperative agreements to more than 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.

NSF receives approximately 55,000 proposals each year for research, education and training projects, of which approximately 11,000 are funded. In addition, the Foundation receives several thousand applications for graduate and postdoctoral fellowships. The agency operates no laboratories itself but does support National Research Centers, user facilities, certain oceanographic vessels and Arctic 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.

*Facilitation Awards for Scientists and Engineers with Disabilities (FASED)* provide funding for special assistance or equipment to enable persons with disabilities to work on NSF-supported projects. See the *NSF Proposal & Award Policies & Procedures Guide* Chapter II.F.7 for instructions regarding preparation of these types of proposals.

The National Science Foundation has Telephonic Device for the Deaf (TDD) and Federal Information Relay Service (FIRS) capabilities that enable individuals with hearing impairments to communicate with the Foundation about NSF programs, employment or general information. TDD may be accessed at (703) 292-5090 and (800) 281-8749, FIRS at (800) 877-8339.

The National Science Foundation Information Center may be reached at (703) 292-5111.

The National Science Foundation promotes and advances scientific progress in the United States by competitively awarding grants and cooperative agreements for research and education in the sciences, mathematics, and engineering.

To get the latest information about program deadlines, to download copies of NSF publications, and to access abstracts of awards, visit the NSF Website at <https://www.nsf.gov>

- **Location:** 2415 Eisenhower Avenue, Alexandria, VA 22314
- **For General Information** (NSF Information Center): (703) 292-5111
- **TDD (for the hearing-impaired):** (703) 292-5090
- **To Order Publications or Forms:**  
Send an e-mail to: [nsfpubs@nsf.gov](mailto:nsfpubs@nsf.gov)  
or telephone: (703) 292-8134
- **To Locate NSF Employees:** (703) 292-5111

## Privacy Act And Public Burden Statements

The information requested on proposal forms and project reports is solicited under the authority of the National Science Foundation Act of 1950, as amended. The information on proposal forms will be used in connection with the selection of qualified proposals; and project reports submitted by proposers will be used for program evaluation and reporting within the Executive Branch and to Congress. The information requested may be disclosed to qualified reviewers and staff assistants as part of the proposal review process; to proposer institutions/recipients to provide or obtain data regarding the proposal review process, award decisions, or the administration of awards; to government contractors, experts, volunteers and researchers and educators as necessary to complete assigned work; to other government agencies or other entities needing information regarding proposers or nominees as part of a joint application review process, or in order to coordinate programs or policy; and to another Federal agency, court, or party in a court or Federal administrative proceeding if the government is a party. Information about Principal Investigators may be added to the Reviewer file and used to select potential candidates to serve as peer reviewers or advisory committee members. See [System of Record Notices, NSF-50](#), "Principal Investigator/Proposal File and Associated Records," and [NSF-51](#), "Reviewer/Proposal File and Associated Records." Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of receiving an award.

An agency may not conduct or sponsor, and a person is not required to respond to, an information collection unless it displays a valid Office of Management and Budget (OMB) control number. The OMB control number for this collection is 3145-0058. Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions. Send comments regarding the burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to:

Suzanne H. Plimpton  
Reports Clearance Officer  
Policy Office, Division of Institution and Award Support  
Office of Budget, Finance, and Award Management  
National Science Foundation  
Alexandria, VA 22314

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