



NATIONAL SCIENCE FOUNDATION (NSF)

Revision of the Small Business Innovation Research (SBIR)/Small Business Technology Transfer (STTR) Phase II Grant General Conditions (SBIR/STTR-II)

Effective January 30, 2023

Effective January 2023, new NSF Phase II SBIR/STTR grant and funding amendments to existing SBIR/STTR Phase II grants will begin referencing, and are subject to, the Small Business Innovation Research/Small Business Technology Transfer Phase II Grant General Conditions (SBIR/STTR-II) dated 01/30/2023.

A summary of the changes is included below. Any questions regarding these changes may be directed to the cognizant SBIR/STTR Program Director.

Summary of Changes

Overall Document

- Editorial changes have been made throughout to either clarify or enhance the intended meaning of a sentence or section.
- References to Research.gov have been incorporated throughout, as part of the final transition from FastLane to Research.gov for proposal preparation and submission.
- Website and document references have been updated to reflect current information.
- Updates have been made to ensure consistency with guidance and terminology contained in other NSF or Federal policy documents.
- Article numbering has been updated to reflect the addition of the Safe and Inclusive Working Environments for Off-Campus or Off-Site Research article.

By-Article Changes

- **Project Reporting Requirements, Article 15.** Coverage has been added on the requirement that PIs and co-PIs must update current support in annual and final annual project reports. The article also has been clarified to indicate when NSF required reports become overdue.
- **Responsible and Ethical Conduct of Research, Article 18.** This article has been amended to apply the requirement to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate

students, postdoctoral researchers, faculty, and other senior personnel. The revised article also identifies that the content of the training must address mentor training and mentorship.

The plan to provide appropriate training and oversight in the responsible and ethical conduct of research to faculty and other senior personnel who will be supported by NSF to conduct research will go into effect for new proposals submitted or due on or after July 31, 2023.

- **Safe and Inclusive Working Environments for Off-Campus or Off-Site Research, Article 19.** For grants where research will be conducted off-campus or off-site, this new article implements the requirement that grantees have a plan in place for that awarded proposal for safe and inclusive research. The article also provides considerations for plan development, communication, and dissemination.
- **Potential Life Sciences Dual Use Research of Concern (DURC), Article 39.** This article includes additional information for grantees on DURC policy requirements. Language also has been added to specify that NSF will not fund research that involves the creation, transfer, or use of enhanced potential pandemic pathogens except under special circumstances.