



# **NSF Proposal and Award Policy Update**

## **SRAI Southern and Northeast Section Meeting**

**May 8, 2024**

# Speakers

**Jeremy Leffler, Outreach Specialist, Policy Office**

Division of Institution and Award Support

Office of Budget, Finance and Award Management

**[policy@nsf.gov](mailto:policy@nsf.gov)**



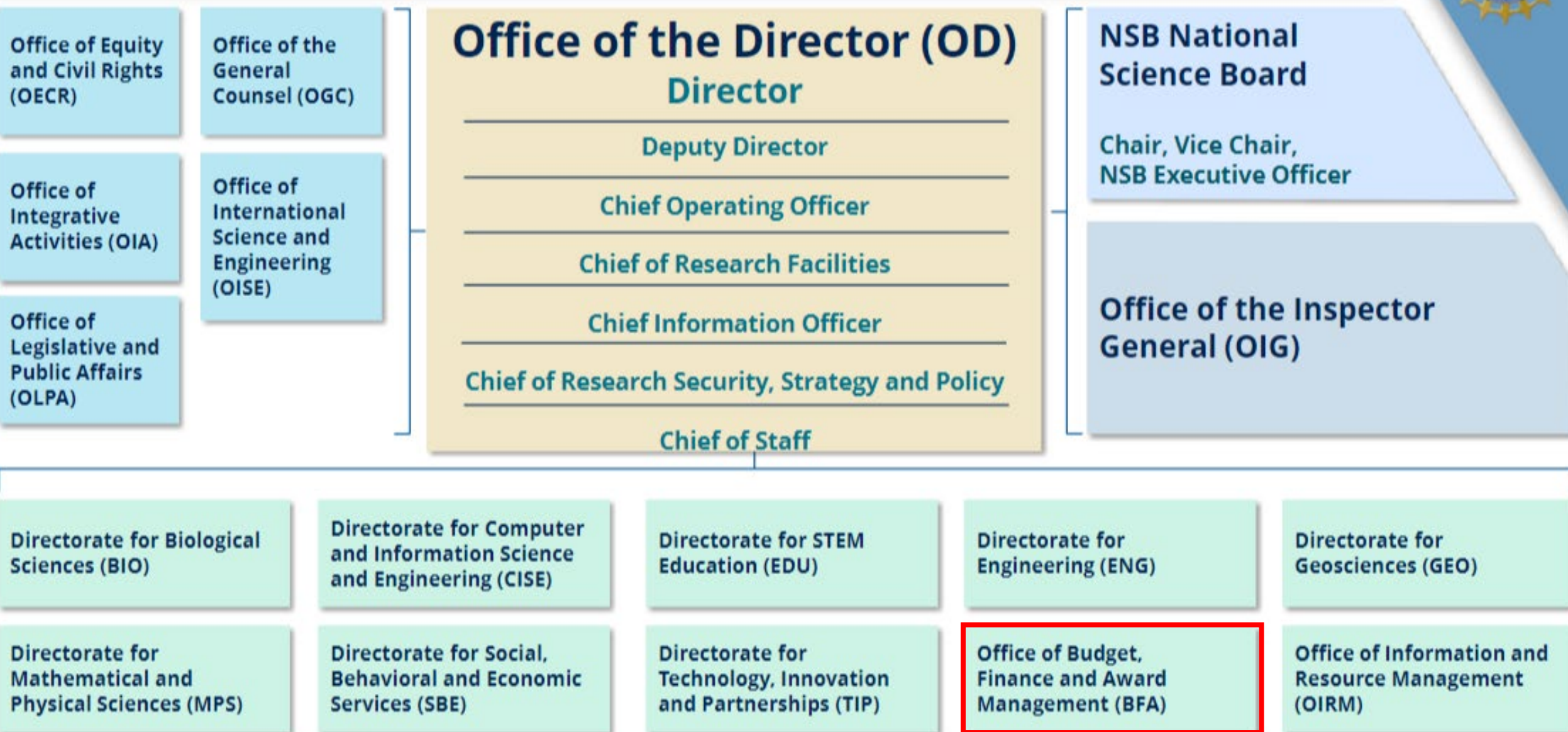
# Topics

- NSF Organization
  - Senior Staffing Updates
- NSF Fiscal Year 2025 Budget Request
- Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 24-1)
  - Effective Date
  - Summary of Changes
- Generative Artificial Intelligence (AI) Technology in the Merit Review Process
- Unique Entity Identifier (UEI) and the System for Award Management (SAM)
- Outreach Opportunities
- Additional Resources



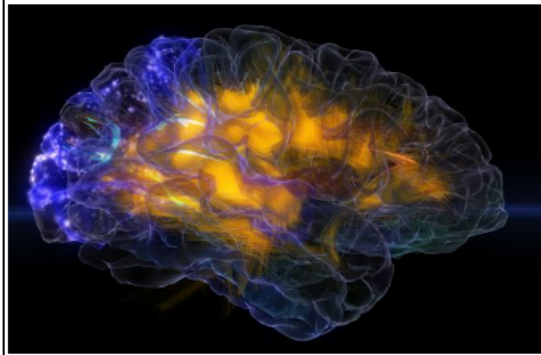


# NSF Organizational Chart



# Social, Behavioral, and Economic Sciences Directorate

- NSF selects Kaye Husbands Fealing to head the Social, Behavioral, and Economic Sciences Directorate



## Social, Behavioral and Economic Sciences (SBE)

Advances research and education on human behavior and social organizations and how social, economic, political, cultural and environmental forces affect people's lives.

### Divisions:

- **Behavioral and Cognitive Sciences (BCS)**: Promotes investigation of psychological, linguistic, anthropological and geographic sciences, including human origins, brain development and learning, and archaeology.
- **National Center for Science and Engineering Statistics (NCSES)**: Collects and reports data on the science and engineering workforce, U.S. competitiveness in science and technology and the progress of education in these fields.
- **Social and Economic Sciences (SES)**: Invests in the study of how societies, organizations and economies function, including how decisions are made, how institutions function and how scientific and technological progress are pursued.
- **Multidisciplinary Activities (SMA)**: Cultivates interdisciplinary research and training in the social, behavioral and economic sciences, including capacity-building at minority-serving institutions, international collaborations and the ethical conduct of scientific research.



# NSF Fiscal Year 2025 Budget Request

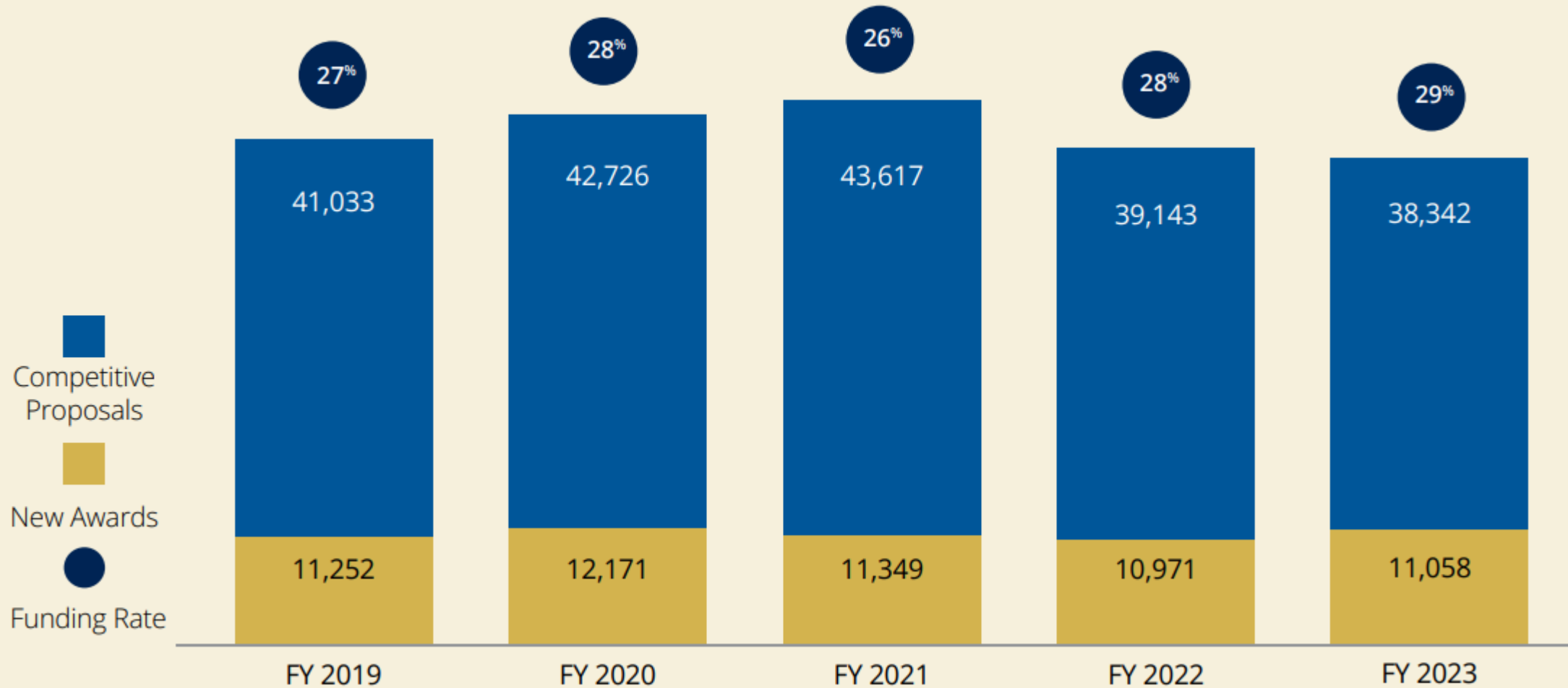
(Dollars in Millions)			
Account	FY 2023 Current Plan <sup>1</sup>	FY 2024 Enacted	FY 2025 Request
Research & Related Activities	\$7,827	\$7,177	\$8,045
STEM Education	\$1,371	\$1,172	\$1,300
Major Research Equipment & Facility	\$187	\$234	\$300
Agency Operations & Award Management	\$463	\$448	\$504
Office of Inspector General	\$23	\$5	\$5
National Science Board	\$5	\$24	\$28
Totals may not add due to rounding	\$9,877	\$9,060	\$10,183
<sup>1</sup> FY 2023 Current Plan includes a proposed transfer from the Research and Related Activities (R&RA) account (-\$15.0 million) to the Agency Operations and Award Management account (+\$15.0			





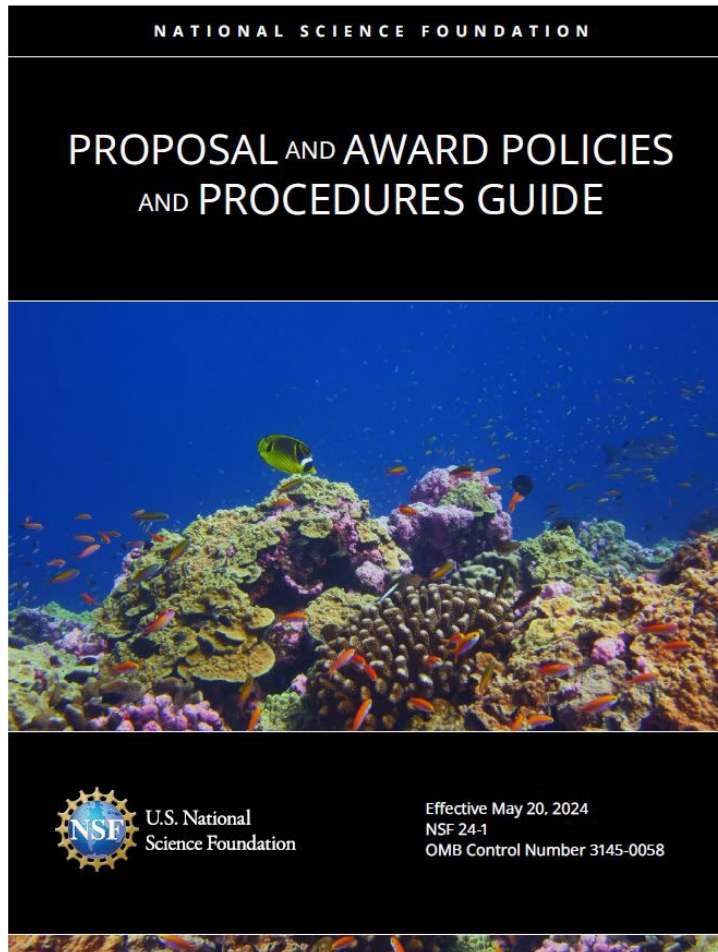
# NSF Funding Rates

NUMBER OF NSF COMPETITIVE PROPOSALS, NEW AWARDS, AND FUNDING RATES



Note: The number of new awards is a subset of the total number of competitive proposals.

# NSF PAPPG (NSF 24-1)



**Effective for proposals submitted or due on or after May 20, 2024**

## Summary of Changes to the PAPPG (NSF 24-1)

### **Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 24-1)**

[PAPPG - printable version \(PDF\)](#)

#### [Summary of Changes to the PAPPG](#)

[Table of Contents](#)

[Introduction](#) +

[Part I: Proposal Preparation and Submission Guidelines](#) +

[Part II: Award, Administration and Monitoring of NSF Assistance Awards](#) +

[Subject Index](#)

[Privacy Act and Public Burden Statements](#)

*Effective Date May 20, 2024*

### Overall Document

- Editorial changes have been made throughout to either clarify or enhance the intended meaning of a sentence or section.
- Website and document references have been updated to reflect current information.
- Updates have been made to ensure consistency with data contained in NSF systems or guidance located and terminology used in other NSF or Federal policy documents.

### By-Chapter Changes

#### Chapter I: Pre-Submission Information

- **Chapter I.D, Concept Outlines**, has been updated to provide additional clarity on the use of concept outlines and the Program Suitability and Proposal Concept Tool (ProSPCT).
- **Chapter I.D, Types of Submissions**, includes new coverage on the use of concept outlines and the required use of the Program Suitability and Proposal Concept Tool (ProSPCT) for submission. Additional changes on the use of concept outlines and the use of ProSPCT for specific proposal types is available in Chapter II.E.
- **Chapter I.E, Who May Submit Proposals**





# PAPPG (NSF 24-1)

## Summary of Changes

- Submitter's local time clarified to mean 5:00 PM submitting organization's time.
- Foreign organization eligibility – justification must include
  - Why support from foreign counterpart's in-country resources are not feasible;
  - Why the foreign organization/individual can carry out the activity more effectively;
  - What unique expertise, organizational capability, facilities, data resources, and/or access to a geographic location brings to the project; and
  - What significant science and engineering education, training, or research opportunities the foreign organization/individual offers to the U.S.



# PAPPG (NSF 24-1)

## Summary of Changes

- Malign Foreign Talent Recruitment Programs (MFTRP)
  - Any individual who is a current party to a MFTRP is ineligible to serve as a senior/key person on an NSF proposal or award.
    - This requirement applies to any proposal submitted or due on or after May 20, 2024
  - Definition of MFTRP is contained in the PAPPG Introduction, Section D.
  - Each senior/key person must certify prior to proposal submission that they are not a party to a MFTRP (Biographical Sketch and Current and Pending (Other) Support).
  - Organizations must certify upon proposal submission that all senior/key personnel have been made aware of and complied with the requirement that they are not a party to a MFTRP.
  - Each PI and co-PI on any NSF award must certify annually thereafter.
  - A new term and condition will be added implementing this requirement post-award.



# PAPPG (NSF 24-1)

## Summary of Changes

- Postaward Foreign Financial Disclosure Report (FFDR) requirements (applies to each IHE that receives an award or funding amendment on an existing award made on or after May 20, 2024)
  - Each IHE must submit an institutional report annually – negative reports are required
  - Reporting includes any gift or contract with a cumulative value of \$50K or more from a country of concern
  - Reports must be submitted by July 31 each calendar year in Research.gov
  - IHEs must maintain copies of relevant records
  - NSF may request copies of contracts, agreements, or documentation of financial transactions associated with disclosures.
  - Organizations other than IHEs are not required to submit annual FFDR reports
  - A new term and condition will be added implementing this requirement post-award.



# Save the Dates for Upcoming FFDR Outreach Opportunities

- FFDR Webinar & Demo
  - July 9<sup>th</sup> at 2:00 – 3:00 PM ET
- FFDR Virtual Office Hours
  - July 16<sup>th</sup> at 2:00 – 3:00 PM ET
  - July 31<sup>st</sup> at 2:00 – 3:00 PM ET





# PAPPG (NSF 24-1)

## Summary of Changes

- Mentoring plan requirement expanded to include graduate students
  - Funding for graduate students and/or postdoctoral scholars must include a mentoring plan not to exceed one page.
  - There are not separate plans for graduate students and postdoctoral scholars.
  - A single plan must be included for all graduate students or postdoctoral researchers supported by the project regardless of whether they reside at the submitting organization, any subrecipient organization, or at any organization participating in a simultaneously submitted collaborative proposal.



# PAPPG (NSF 24-1)

## Summary of Changes

- Individual development plan requirement for graduate students and postdoctoral researchers
  - Graduate students and postdoctoral researchers with substantial support must have an individual development plan (updated annually), which maps to educational goals, career exploration, and professional development.
  - NSF defines substantial support as an individual who has received one person month or more of support during the annual reporting period.
  - Certification that each graduate student or postdoctoral scholar has a plan is completed by the PI or co-PI in Research.gov as part of the annual reporting process.
  - A new term and condition will be added implementing this requirement post-award.



# Common Forms for the Biographical Sketch and Current and Pending (Other) Support

- Revision of the Biographical Sketch and Current and Pending (Other) Support
  - NSF and NIH co-chaired the NSTC disclosure policies working group to develop Common Forms for the Biographical Sketch and Current and Pending (Other) Support
  - Common Forms harmonize content requirements for both forms for use by Federal Research Funding Agencies
  - The comments reflect input from both research funding agencies and the research community
  - Both forms include the requisite certification from NDAA 2021, Section 223 regarding information being accurate, current and complete and that the individual is not a party to a MFTRP
  - PAPPG (NSF 24-1) contains NSF's implementation of both Common Forms.



# Major Changes Made to the Common Forms to Incorporate Community Feedback

- Biographical Sketch
  - Definitions added for Institutional, Professional, and Academic Positions and Appointments (included in updated Definitions document).
  - Certification language modified to address concerns.
  - New certification added on Malign Foreign Talent Recruitment Programs
  - Parameters have been added regarding professional appointments.
  - Guidance revised regarding listing of products.





# Major Changes Made to the Common Forms to Incorporate Community Feedback

- Current and Pending (Other) Support
  - Revised definition of In-kind contribution provided
  - Clarified definition of consulting to provide greater clarity on what must be reported:
    - "Consulting activities must be disclosed under the Proposals and Active Projects Section of the form when any of the following scenarios apply:
      - The consulting activity will require the senior/key person to perform research as part of the consulting activity;
      - The consulting activity does not involve performing research, but is related to the senior/key person's research portfolio and may have the ability to impact funding, alter time or effort commitments, or otherwise impact scientific integrity; and
      - The consulting entity has provided a contract that requires the senior/key person to conceal or withhold confidential financial or other ties between the senior/key person and the entity, irrespective of the duration of the engagement."



# PAPPG (NSF 24-1)

## Common Forms

- Common Forms Implementation Guidance – Disclosure Requirements and Standardization
- NSF serves as steward of the Common Forms

### NSTC Research Security Subcommittee NSPM-33 Implementation Guidance Disclosure Requirements & Standardization

Over the past several months, the National Science and Technology Council (NSTC) Research Security Subcommittee has worked to develop consistent disclosure requirements for use by senior personnel, as well as to develop proposed common disclosure forms for the Biographical Sketch and Current and Pending (Other) Support sections of an application for Federal research and development (R&D) grants or cooperative agreements.

The National Science Foundation (NSF) has agreed to serve as steward for these common forms as well as for posting and maintenance of the table entitled, *NSPM-33 Implementation Guidance Pre- and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending (Other) Support*.

The objective of the *Disclosure Requirements and Standardization* section of NSPM-33 Implementation Guidance is to, "Provide clarity regarding disclosure requirements (e.g., who discloses what, relevant limitations and exclusions), disclosure process (e.g., updates, corrections, certification, and provision of supporting documentation), and expected degree of cross-agency uniformity".

#### COMMON DISCLOSURE FORMS FOR THE BIOGRAPHICAL SKETCH AND CURRENT AND PENDING (OTHER) SUPPORT

- **New!** Common Form for Biographical Sketch
- **New!** Common Form for Current and Pending (Other) Support Information
- **New!** Definitions

Guidance for Federal research funding agencies on obtaining approval from OMB/OIRA to use the Common Disclosure Forms may be obtained from your agency's Paperwork Reduction Act (PRA) Officer. For assistance in identifying your PRA officer, please contact Suzanne Plimpton at [splimpto@nsf.gov](mailto:splimpto@nsf.gov).

#### DISCLOSURE REQUIREMENTS



# PAPPG (NSF 24-1) Biographical Sketch

- Required for each individual identified as a senior/key person.
  - Used to assess how well qualified the individual, team, or organization is to conduct the proposed activities.
  - Individuals are required to disclose contracts associated with participation in programs sponsored by foreign governments, instrumentalities, or entities, including foreign government-sponsored talent recruitment programs.
  - Must certify that they are not a party to a MFTRP
- Must be created in SciENcv.



## BIOGRAPHICAL SKETCH COMMON FORM November 1, 2023

This Biographical Sketch Common Form provides instructions for submission of a biographical sketch by each individual identified as a [senior/key person](#) on a Federally funded research project. The biographical sketch is used to assess how well qualified the individual, team, or organization is to conduct the proposed activities.

Consistent with NSPM-33, individuals are required to disclose contracts associated with participation in programs sponsored by foreign governments, instrumentalities, or entities, including [foreign government-sponsored talent recruitment programs](#). Further, if individuals receive direct or indirect support that is funded by a foreign government-sponsored talent recruitment program, even where the support is provided through an intermediary and does not require membership in the foreign government-sponsored talent recruitment program, that support must be disclosed. Individuals must also report other foreign government sponsored or affiliated activities. In accordance with 42 USC § 19232, individuals are prohibited from being a party in a [malign foreign talent recruitment program](#).

A table entitled, *NSPM-33 Implementation Guidance Pre- and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending (Other) Support*<sup>2</sup> has been created to provide helpful reference information regarding pre-award and post-award disclosures. The table includes the types of activities to be reported, where such activities must be reported in the application, as well as when updates are required in the application and award lifecycle. A final column identifies activities that are not required to be reported.

Individuals are reminded **not to submit any personal information in the biographical sketch**. This includes items such as: home address; home telephone, fax, or cell phone numbers; home e-mail address; driver's license number; marital status; personal hobbies; and the like. Such personal information is not appropriate for the biographical sketch and is not relevant to the merits of the proposal. The Federal research funding agency is not responsible or in any way liable for the release of such material.

The format of the Biographical Sketch Common Form is provided below. There is no page or character limit to this section of the application.

**\* = required**

### \*Identifying Information

**\*Name:** Enter the name of the senior/key person (Last Name, First Name, and Middle Name, including any applicable suffix).

**Persistent Identifier (PID) of the Senior/Key Person:** Enter the PID of the senior/key person. The PID is a unique, open digital identifier that distinguishes the individual from every other researcher with the same or a similar name.

**\*Position Title:** Enter the current position title of the senior/key person.

# PAPPG (NSF 24-1) Biographical Sketch

- NSF's implementation is fully compliant with the data elements specified in both Common Forms
- Page limitation has been removed from the biographical sketch
- Synergistic Activities
  - Removed as an element of the biographical sketch.
  - It must be included as a separate upload for each senior/key person in Research.gov.
  - May be up to one page that includes a list of up to five distinct examples that demonstrate the broader impact of the individual's professional and scholarly activities that focus on the integration and transfer of knowledge as well as its creation.





# NSF Common Disclosure Forms Implementation Instructions

## Common Form Instruction

- Enter the Persistent Identifier (PID) for the senior/key person.
- Products – A list of products that demonstrate the individual's ability to carry out the project.

## NSF Instruction

- Enter the ORCID of the senior/key person. (optional)
- Products – Provide a list of up to five products most closely related to the proposed project and up to five other significant products.



# PAPPG (NSF 24-1)

## Current and Pending (Other) Support

- Required for each individual identified as a senior/key person.
  - Used to assess the capacity or any conflicts of commitment that may impact the ability of the individual to carry out the research effort as proposed.
  - Information helps assess any potential scientific and budgetary overlap/duplication with the project being proposed.
  - Must certify that they are not a party to a MFTRP
- Must be created in SciENCv.



### CURRENT AND PENDING (OTHER) SUPPORT COMMON FORM November 1, 2023

The individual agrees to update this disclosure at the request of the Federal research funding agency prior to the award of support and at any subsequent time the agency determines appropriate during the term of the award. (Refer to the Federal research funding agency's policy on updating award support).

#### Instructions for Submission of the Current and Pending (Other) Support Common Form

Current and pending (other) support information is used to assess the capacity or any [conflicts of commitment](#) that may impact the ability of the individual to carry out the research effort as proposed. The information also helps assess any potential scientific and budgetary overlap/duplication with the project being proposed.

This document provides instructions on submission of current and pending (other) support information for each individual identified as a [senior/key person](#) on a Federally funded research project.<sup>1</sup>

A separate submission must be provided for each proposal and active project, as well as in-kind contributions using the instructions and format specified below. Note that there is no page limitation for this section of the application, though some fields have character limitations for consistency and equity.

Consulting activities must be disclosed under the proposals and active projects section of the form when any of the following scenarios apply:

- The consulting activity will require the senior/key person to perform research as part of the consulting activity;
- The consulting activity does not involve performing research, but is related to the senior/key person's research portfolio and may have the ability to impact funding, alter time or effort commitments, or otherwise impact scientific integrity; or
- The consulting entity has provided a contract that requires the senior/key person to conceal or withhold confidential financial or other ties between the senior/key person and the entity, irrespective of the duration of the engagement.

Consistent with NSPM-33, individuals are required to disclose contracts associated with participation in programs sponsored by foreign governments, instrumentalities, or entities, including [foreign government-sponsored talent recruitment programs](#). Further, if individuals receive direct or indirect support that is funded by a foreign government-sponsored talent recruitment program, even where the support is provided through an intermediary and does not require membership in the foreign government-sponsored talent recruitment program, that support must be disclosed. Individuals must also report other foreign government sponsored or affiliated activities. In accordance with 42 USC § 19232, individuals are prohibited from being a party in a [malign foreign talent recruitment program](#).

<sup>1</sup>In accordance with the NSPM-33 Implementation Guidance, senior/key persons typically do not include graduate students.

# PAPPG (NSF 24-1)

## Summary of Changes

- Proposals that may impact the resources or interests of a federally recognized American Indian or Alaska Native Tribal Nation (Tribal Nation) will not be awarded by NSF without the prior written approval from the designated official(s) from the relevant tribe(s).
- For these purposes, references to “resources or interests of a Tribal Nation” are limited to resources and interests connected to Tribal Nation lands or those aspects of Tribal life that are within the domain of a Tribal Nation, (including, but not limited to, Tribal languages and subsistence rights on Tribal Nation lands) as opposed to individual Tribal Nation members.
- New Proposal Preparation Instructions:
  - New checkbox on the Cover Sheet to indicate if there are “Potential Impacts on Tribal Nations”
  - Proposers seeking funding for such proposals must provide at least one of the following at time of proposal submission:
    - (i) A copy of the written request to the Tribal Nation for the activities that require review and approval;
    - (ii) Prior to award, a written confirmation from the Tribal Nation(s) that review and approval is not required; or
    - (iii) A document providing the requisite approval.



# PAPPG (NSF 24-1)

## Summary of Changes

- New proposal type: Research Opportunity Supplemental Funding Requests for Predominantly Undergraduate Institutions (ROA/PUI)
  - Purpose: A Research Opportunity Supplemental Funding Request for Primarily Undergraduate Institutions is a supplement to an existing award that enables a faculty member (or equivalent), at an eligible NSF organization to pursue research as part of a collaborative research team as a visiting scientist at another NSF-supported institution.
  - Eligibility requires the PUI to: (1) be an IHE with main campus in the U.S., its territories or possessions; **and** (2) be an accredited IHE (including two-year community colleges) that awards Associate's degrees, Bachelor's degrees and/or Master's degrees in NSF supported fields, but has awarded 20 or fewer PH.Ds in all NSF supported fields in the previous two academic years.
  - Supplemental funding requests must include a certificate of ROA-PUI eligibility from the AOR.





# PAPPG (NSF 24-1)

## Summary of Changes

- Postaward addition of postdoctoral researchers or graduate students
  - If the original proposal already included a mentoring plan, no further documentation is necessary; if it did not include a mentoring plan, the recipient must provide one to the NSF Program Officer.
  - PI must report on mentoring in annual and final annual reports
  - A new term and condition will be added implementing this requirement post-award.
- Postaward addition of a safe and inclusive working environment
  - If the original proposal already included Plan for Safe and Inclusive Working Environments, no further documentation is necessary; if it did not include such a plan, one must be developed and maintained in the organization's records.
  - A new term and condition will be added implementing this requirement post-award.



# PAPPG (NSF 24-1)

## Summary of Changes

- Scientific Integrity – new definition
  - Scientific integrity is the adherence to professional practices, ethical behavior, and the principles of honesty and objectivity when conducting, managing, using the results of, and communicating about science and scientific activities. Inclusivity, transparency, and protection from inappropriate influence are hallmarks of scientific integrity.
  - An updated NSF Scientific Integrity Policy is publicly available on the NSF website: <https://new.nsf.gov/policies/scientific-integrity>



# Use of Generative Artificial Intelligence Technology in the Merit Review Process

- In mid-December 2023, NSF Issued a Notice to the Research Community with guidelines for safeguarding the integrity of the development and evaluation of proposals in the merit review process.
- Use of Generative AI by Reviewers
  - NSF reviewers are prohibited from uploading content from proposals, review information and related records to non-approved AI tools.
- Use of Generative AI in Proposal Preparation
  - Proposers are encouraged to indicate in the project description the extent to which, if any, generative AI technology was used to develop their proposal.



# Unique Entity Identifier (UEI) and Registration in the System for Award Management (SAM)

- NSF systems validate that each proposer's UEI and SAM registration are valid and active prior allowing proposal submission.
- SAM registrations must be renewed annually; NSF will block any award approval actions if registration is not valid.
- Proposers can check the status of their registration at SAM.gov.
- SAM is managed by GSA and NSF has no control over the SAM system or registration process.
- In rare instances, NSF can escalate any open GSA incident tickets.



# NSF Outreach Opportunities

- Spring 2024 NSF Grants Conference
  - June 3-5 in Philadelphia, PA
  - In-person and virtual options
  - Registration now open
- NSF Policy Office Webinar Series
  - Common Forms
  - Eligibility for NSF funding opportunities
- Resource Center
  - On-demand presentations – searchable by topic and year

For on-demand opportunities and to be notified of upcoming events:

<https://nsfpolicyoutreach.com/>





# Information Resources

- Join the NSF **System Updates listserv** to receive the latest Research.gov system enhancement information and FastLane decommissioning news! Sign up by sending a blank email to: [system\\_updates-subscribe-request@listserv.nsf.gov](mailto:system_updates-subscribe-request@listserv.nsf.gov)
- [Automated Compliance Checking of NSF Proposals](#) page
- [FastLane Decommissioning](#) page
- [Grants.gov Proposal Processing in Research.gov](#) page
- NSF [Biographical Sketch](#) and [Current and Pending \(Other\) Support](#) websites
- Research.gov [About Account Management](#) page
- Research.gov [Account Management – Reviewer](#) page
- Research.gov [About Proposal Preparation and Submission](#) page
- Research.gov [About Supplemental Funding Request Preparation and Submission](#) page
- [Research.gov Proposal Preparation Demo Site](#) (*You will be prompted to sign into Research.gov if you are not already signed in.*)
- [Research.gov Supplemental Funding Request Demo Site](#) (*You will be prompted to sign into Research.gov if you are not already signed in.*)
- Resources for LaTeX Users: <https://github.com/nsf-open/nsf-proposal-latex-samples>



# Additional Resources

- [Policy Office Website](#)
- [PAPPG \(NSF 24-1\)](#)
- [PAPPG \(NSF 23-1\) \(for proposals submitted prior to May 20, 2024\)](#)
- [FAQs On Proposal Preparation and Award Administration](#)
- [Current and Pending \(Other\) Support FAQs](#)
- [NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending \(Other\) Support \(for proposals submitted prior to May 20, 2024\)](#)
- [NSTC Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending Support](#)
- [Use of Generative Artificial Intelligence Technology in the NSF Merit Review Process](#)



# QUESTIONS?



- **Policy Office Website**  
<https://nsf.gov/bfa/dias/policy/>
- **NSF Staff Directory**  
<https://nsf.gov/staff/>
- **Career Opportunities | National Science Foundation**  
<https://new.nsf.gov/careers>