



Significant Changes and Clarifications to the *Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 19-1)*

Effective February 25, 2019

Overall Document

Editorial changes have been made throughout to either clarify or enhance the intended meaning of a sentence or section.

Significant Changes

- **Chapter I.A, NSF Proposal Preparation and Submission**, has been updated to provide information about the modernization of the proposal preparation functionality in Research.gov. The new coverage specifies that the on-screen instructions in Research.gov may differ from what is stated in the PAPPG and that the on-screen instructions must be followed.
- **Chapter I.C.4, Dear Colleague Letters (DCLs)**, has been revised to address an expanded use of the DCL. They also may now be used to announce NSF's interest in receiving proposals in specified topical areas via the following types of proposals described in Chapter II.E.: Rapid Response Research (RAPID); Early-concept Grants for Exploratory Research (EAGER); Research Advanced by Interdisciplinary Science and Engineering (RAISE); and Conference.
- **Chapter I.D.3, Full Proposals**, incorporates reminders regarding the importance of strict adherence to the rules of proper scholarship and attribution throughout the entire proposal and award lifecycle, including: proposing or performing research funded by NSF; reviewing research proposals submitted to NSF; or reporting research results funded by NSF. Serious failure to adhere to such standards can result in findings of research misconduct.
- **Chapter I.E.5, Unaffiliated Individuals**, has been revised to state that unless specifically authorized in an NSF solicitation, unaffiliated individuals are ineligible to receive direct funding support from NSF.
- **Chapter II.C.2.g(vi)(e), Subawards**, has been updated to clarify that the description of the work to be performed by the subaward must be included in the project description.
- **Chapter II.E, Types of Proposals**, specifies that "RAPID", "EAGER" and "RAISE" must be included in the proposal project title. The language has been updated to indicate that these proposal types are not eligible for reconsideration.
- **Chapter II.E.7, Conferences**, has been supplemented with new language that requires conference proposers to have a policy or code-of-conduct that addresses sexual harassment, other forms of harassment, or sexual assault, and that includes clear and accessible means of reporting violations of the policy or code-of-conduct. This policy or code-of-conduct must be disseminated to

conference participants prior to attendance at the conference as well as made available at the conference itself. This section also has been updated to specify that conference proposals in excess of \$50,000 must include the Collaborators & Other Affiliations Information in the proposal submission. Guidance in the Participant Support Costs section of conference proposals has been updated to clarify that speakers and trainers are not considered participants and should not be included in this section of the budget. If the primary purpose of the individual's attendance at the conference is learning and receiving training as a participant, however, then the costs may be included under participant support. If the primary purpose is to speak or assist with management of the conference, then such costs should be budgeted in appropriate categories other than participant support.

- **Chapter II.E.8, Equipment Proposals**, has been updated to specify that equipment proposals must include the Collaborators & Other Affiliations Information in the proposal submission.
- **Chapter IV.E, Resubmission**, has been revised to establish that NSF programs that accept proposals at any time may have guidelines in which a declined proposal is ineligible for resubmission for a specified period of time.
- **Chapter VII.A.2, Grantee Notifications to NSF**, has been updated to include two new grantee notifications to NSF to implement the Foundation's term and condition entitled, "Notification Requirements Regarding Sexual Harassment, Other Forms of Harassment, and Sexual Assault." These notifications must be submitted through use of NSF's Office of Diversity and Inclusion harassment website.
- **Chapter VII.B.3, Changes in PI/PD, co-PI/co-PD or Person-Months Devoted to the Project at the Initiation of NSF**, is an entirely new section that describes the process that will be used by NSF upon receipt of notification identified Chapter VII.A.2.f. or g.
- **Chapter IX.B, Responsible Conduct of Research (RCR)**, has been supplemented with language encouraging the training of faculty in the responsible and ethical conduct of research.
- **Chapter XI.A.1.g, NSF Policy on Sexual Harassment and Other Forms of Harassment, or Sexual Assault**, has been supplemented with new NSF coverage regarding harassment that implements NSF Important Notice No. 144. This policy articulates that the Foundation will not tolerate sexual harassment, other forms of harassment, or sexual assault within the agency, at awardee organizations, or anywhere NSF-funded science and education are conducted. See also Chapter II.E.7, VII.A.2 and VII.B.3.
- **Chapter XI.D, Intellectual Property**, incorporates into the PAPPG, existing patent policy that was previously implemented by regulation at 45 CFR 650.

Clarifications and Other Changes

- **Chapter I.E.1, Institutions of Higher Education (IHEs)**, has been updated to specify that proposals that include funding to be provided to an international branch campus of a U.S. IHE, must include in the project description, justification for why the project activities cannot be performed at the U.S. campus. The box for “Funding of an International Branch Campus of a U.S. IHE, including through use of a subaward or consultant arrangement” must be checked on the Cover Sheet.
- **Chapter I.E.6, Foreign Organizations**, has been updated to specify that in cases where the involvement of a foreign organization is considered to be essential by the proposer, in addition to providing justification in the project description, the box for “Funding of a Foreign Organization, including through use of a subaward or consultant arrangement” must be checked on the Cover Sheet.
- **Chapter II.B.2, Proposal Font, Spacing and Margin Requirements**, has been updated to specify that fonts not listed in the PAPPG may be used for mathematical formulas, equations, or when inserting Greek letters or special characters.
- **Chapter II.C.1.e, Collaborators & Other Affiliations Information**, has been updated to reflect changes made to the template required for all proposals since the template was originally released for use in 2017.
- **Chapter II.C.1.f, Submission of Proposals by Former NSF Staff**, has been updated to specify that a substitute negotiator must be from the same organization as the PI or co-PI for whom the negotiator is required.
- **Chapter II.C.2.f, Biographical Sketch(es)**, has been updated to specify that the biographical sketch must be uploaded in FastLane as a single PDF file, or other NSF-approved template.
- **Chapter II.C.2.f(i)(d), Synergistic Activities**, has been revised to specify that a list should include up to five distinct examples that demonstrate the broader impact of the individual’s professional and scholarly activities that focuses on the integration and transfer of knowledge as well as its creation.
- **Chapter II.C.2.g(v), Participant Support**, has been updated to clarify when an individual should be classified as a participant or a speaker at a conference. This section also has been updated to clarify that participant support costs may not be budgeted to cover room rental fees, catering costs, supplies, etc., related to an NSF-sponsored conference. Human subject payments should be included on line G6 of the NSF budget under “Other Direct Costs”, and any applicable indirect costs should be calculated on the payments in accordance with the organization’s federally negotiated indirect cost rate.
- **Chapter II.C.2.g(vi)(e), Subawards**, has been updated to clarify that, except for the purpose of obtaining goods and services for the proposer’s own use which creates a procurement relationship with a contractor, no portion of the proposed activity may be subawarded or transferred to another organization without prior written NSF authorization.
- **Chapter II.C.2.h, Current and Pending Support**, has been updated to specify that Current and Pending Support must be uploaded in FastLane as a single PDF file, or other NSF-approved template.
- **Chapter II.D.3.b, Submission of a collaborative proposal from multiple organizations**, has been revised to clarify that only the organization that is proposing funding to an International Branch

Campus of a U.S. IHE or to a foreign organization (including through use of a subaward or consultant arrangement), must check the appropriate box on the proposal cover sheet.

- **Chapter IV.D.2.b(7), Reconsideration**, has been updated to indicate that Phase I proposals submitted under the Small Business Technology Transfer (STTR) program are ineligible for reconsideration.
- **Chapter VII.B.2., Changes in PI/PD, co-PI/co-PD or Person-Months Devoted to the Project at the Initiation of the Grantee Organization**, has been updated to clarify that the procedures contained in this section are to be used for changes initiated by the organization.
- **Chapter VII.D, Technical Reporting Requirements**, has been updated to include language stating that the submission of the Final Project Report and Project Outcomes Report for the General Public (POR) indicates that the research on the project is completed.
- **Chapter VIII.B. Definitions**, has been updated to include a new definition of “unexpended balance” and a revised definition of “unobligated balance.”
- **Chapter IX.B, Responsible Conduct of Research (RCR)**, has been supplemented with new coverage to state NSF’s responsibility regarding allegations of research misconduct. NSF will not tolerate research misconduct in proposing or performing research funded by NSF, in reviewing research proposals submitted to NSF, or in reporting research results funded by NSF. Upon findings of research misconduct, NSF will take appropriate action against individuals or organizations.
- **Chapter IX.E, Procurement Standards**, has been updated in accordance with Section 806 of the National Defense Authorization Act (NDAA) for 2018, as implemented by Office of Management and Budget (OMB) Memorandum M-18-18, dated June 20, 2018.