

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 \(Other\) Support¹](#)* 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.

¹This table supersedes in its entirety, Table 2a and Paragraph 7 of the Disclosure Requirements and Standardization Section of the NSPM-33 Implementation Guidance.

***Organization and Location**

Name: Enter the name of the primary organization of the senior/key person.

Location: Enter the City, State/Province, and Country where the primary organization is located. If the State/Province is not applicable, enter N/A.

***Professional Preparation**

A list of the individual's professional preparation (e.g., education and training), listed in reverse chronological order by start date. Include all postdoctoral and fellowship training, as applicable, listing each separately. Also include the baccalaureate degree or other initial professional education.

For each entry provide:

- the name of the organization;
- the location of the organization: Enter the City, State/Province, and Country where the organization is located. If the State/Province is not applicable, enter N/A.
- the degree received (if applicable);
- the start date of the degree or fellowship program;
- the month and year the degree was received (or expected receipt date); and
- the field of study.

***Appointments and Positions**

A list, in reverse chronological order by start date, of all the individual's [academic](#), [professional](#), or [institutional](#) appointments and positions, beginning with the current appointment (including the associated organization and location). Appointments and positions include any titled academic, professional, or institutional position whether or not remuneration is received, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary).

Senior/key persons must only identify all domestic and foreign professional appointments and positions outside of the primary organization for a period up to three years from the date the applicant submits the application to the agency for funding consideration.

For each entry provide:

Start date: YYYY

End date: YYYY

Appointment or Position Title:

Name of organization:

Department (if applicable):

Location of organization: City, State/Province, Country

***Products**

A list of products that demonstrate the individual's qualifications to carry out the project as proposed. It is up to the individual to determine how to best organize this listing to demonstrate their ability to carry out the project. Acceptable products must be citable and accessible including but not limited to:

- publications, conference papers, and presentations;
- website(s) or other Internet site(s);
- technologies or techniques;
- inventions, patents, patent applications, and/or licenses; and
- other products, such as data, databases, or datasets, physical collections, audio or video products, software, models, educational aids or curricula, instruments or equipment, research material, interventions (e.g., clinical or educational), or new business creation.

Note: Federal research funding agencies may elect to specify other types of products that may be relevant to the mission of the agency, as well as specify any limitations on the number of products that may be included in this section of the Biographical Sketch Common Form.

Each product must include full citation information including:

- names of authors;
- product title;
- date of publication or release;
- website URL;
- other persistent identifier (if available); and
- other relevant citation information (e.g., in the case of publications, title of enclosing work such as journal or book, volume, issue, pages).

If any of the items specified above is not applicable, enter N/A.

Senior/key persons who wish to include publications in the products section of the biographical sketch that include multiple authors may, at their discretion, choose to list one or more of the authors and then "et al" in lieu of including the complete listing of authors' names.

***Certification**

Each senior/key person is required to complete the following certifications regarding the information provided in their Biographical Sketch:

I certify that the information provided is current, accurate, and complete. This includes but is not limited to information related to domestic and foreign appointments and positions.

I also certify that, at the time of submission, I am not a party to a [malign foreign talent recruitment program](#).

Misrepresentations and/or omissions may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§ 287, 1001, 1031 and 31 U.S.C. §§ 3729-3733 and 3802.

Signature²:

Date:

***Privacy Act and Burden Statement:**

The information requested on this form is solicited under the authority of the National Science Foundation Act of 1950, as amended. The information on this form will be used in connection with the selection of qualified proposals. The information requested may be disclosed to qualified reviewers and staff assistants as part of the proposal review process; to proposer institutions/grantees 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 Systems of Records, INTERIOR/DOI-89, Grants and Cooperative Agreements: FBMS - 73 FR 43775 (July 28, 2008);modification published 86 FR 50156 (September 7, 2021). 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 OMB control number. The OMB control number for this collection is 3145-0279. Public reporting burden for this collection of information is estimated to average 2 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:

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

²To be acceptable to the Federal research funding agency, the date of the signature must be within the past 12 months from when the document is submitted to the Federal research funding agency.

National Security Presidential Memorandum-33 Implementation Guidance
Appendix: Definitions
November 1, 2023¹

Academic appointments and positions – positions that are identified as personnel on research grants and cooperative agreements where the senior/key person is identified as affiliated with an institution of higher education or on an indexed publication. Academic appointments and positions are those defined in institutional policy, and conveyed in a formal manner (e.g., via appointment letter, executed offer letter, employment contract), that relate to research, teaching, or associated scholarly activities at one or more foreign or domestic institutions. Examples include but are not limited to assistant professor, associate professor, and professor; adjunct and affiliate faculty positions of all ranks; visiting faculty positions of all ranks; visiting scholar or instructor; clinical faculty position of all ranks; lecturer; research faculty position of all ranks; and emeritus faculty position of all ranks. Also included are graduate research and teaching assistants at the master's and doctoral level, as well as post-doctoral scholars. Excluded from this definition are routine academic or university service activities, performed at the departmental, college or institutional level at one's primary or other collaborating institutions, such as serving on or chairing faculty or staff search committees, graduate student research or thesis committees, compliance committees, *ad hoc* task forces, graduate and undergraduate studies committees, capital improvement projects, or faculty governance committees.

Conflict of commitment – a situation in which an individual accepts or incurs conflicting obligations between or among multiple employers or other entities. Many organizational policies define conflicts of commitment as conflicting commitments of time and effort, including obligations to dedicate time in excess of organizational or research agency policies or commitments. Other types of conflicting obligations, including obligations to improperly share information with, or to withhold information from, an employer or research agency, can also threaten research security and integrity, and are an element of a broader concept of conflicts of commitment used in this document.

Conflict of interest – a situation in which an individual, or the individual's spouse or dependent children, has a significant financial interest, or financial relationship that could directly and significantly affect the design, conduct, reporting, or funding of research.

Controlled unclassified information (CUI) – information that requires safeguarding or dissemination controls consistent with applicable laws, regulations, and Government-wide policies, but is not classified.

Covered individual or senior/key person – an individual who (a) contributes in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award from a Federal research agency; and (b) is designated as a covered individual by the Federal research agency concerned. Consistent with NSPM-33, this means principal investigators (PIs) and other senior/key person seeking or receiving Federal research and development funding (i.e., extramural funding) and researchers at Federal agency laboratories and facilities (i.e., intramural researchers, whether or not federally employed), including Government-owned, contractor-operated laboratories and facilities.

¹ This Appendix replaces the Definitions contained in the NSPM-33 Implementation dated January 2022.

Current and pending (other) support – (a) All resources made available, or expected to be made available, to an individual in support of the individual’s research and development efforts, regardless of (i) whether the source is foreign or domestic; (ii) whether the resource is made available through the entity applying for a research and development award or directly to the individual; or (iii) whether the resource has monetary value; and (b) includes in-kind contributions requiring a commitment of time and directly supporting the individual’s research and development efforts, such as the provision of office or laboratory space, equipment, supplies, employees, or students. This term has the same meaning as the term Other Support as applied to researchers in NSPM-33. For researchers, Other Support includes all resources made available to a researcher in support of and/or related to all of their professional R&D efforts, including resources provided directly to the individual rather than through the research organization, and regardless of whether or not they have monetary value (e.g., even if the support received is only in-kind, such as office/laboratory space, equipment, supplies, or employees). This includes resource and/or financial support from all foreign and domestic entities, including but not limited to, financial support for laboratory personnel, and participation of student and visiting researchers supported by other sources of funding.

Digital persistent identifier (DPI or digital PID) – a digital identifier that is globally unique, persistent, machine resolvable and processable, and has an associated metadata schema. Consistent with NSPM-33, digital persistent identifiers for individuals are used to disambiguate and identify an individual person.

Federal research agency or Research agency – any Federal department or agency with an annual extramural research expenditure of over \$100,000,000. This term has the same meaning as “funding agency” in NSPM-33.

Foreign country of concern – means the People's Republic of China, the Democratic People's Republic of Korea, the Russian Federation, the Islamic Republic of Iran, or any other country deemed to be a country of concern as determined by the Department of State.

Foreign government-sponsored talent recruitment program – effort organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students (regardless of citizenship or national origin, or whether having a full-time or part-time position). Some foreign government-sponsored talent recruitment programs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals of a foreign government. Many, but not all, programs aim to incentivize the targeted individual to relocate physically to the foreign state for the above purpose. Some programs allow for or encourage continued employment at United States research facilities or receipt of Federal research funds while concurrently working at and/or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to United States entities. Compensation could take many forms including cash, research funding, complimentary foreign travel, honorific titles, career advancement opportunities, promised future compensation, or other types of remuneration or consideration, including in-kind compensation.

Gift – includes any gratuity, favor, discount, entertainment, hospitality, loan, forbearance, license, special access, equipment time, samples, research data, or other item having monetary value. A gift also includes services as well as gifts of training, transportation, local travel, lodging, meals, research hours, whether provided in-kind, by purchase of a ticket, payment in advance, or reimbursement after the expense has occurred. A gift by definition is given without expectation of anything in return.

Honorarium – a payment of money or anything of value for an appearance, speech, article, or other form of compensation or award.

Insider threat – the potential for an insider to use their authorized access or understanding of an organization to harm that organization. This harm can include malicious, complacent, or unintentional acts that negatively affect the integrity, confidentiality, and availability of the organization, its data, personnel, or facilities.²

Institutional appointments and positions – appointments and positions conveyed in a formal manner (e.g., via appointment letter, executed offer letter, employment contract) by one's primary place of employment or by another organization. For those in academia, the responsibilities of such appointments and positions reside in administration (e.g., president, chancellor, provost, or vice-president; associate or assistant vice-president; vice-provost; associate or assistant vice-provost; dean; associate or assistant dean; department, program, or institute director or chair), though of course such positions also sometimes involve teaching, research, and service. For those outside academia, institutional appointments and positions encompass a wide range of titles (e.g., chief executive officer, chief operating officer, chief technology officer, chief information officer, president, chief research officer; and vice president; regional manager; section, group or project leader, project member). Individuals within both academic and non-academic institutions also may be appointed by their institution to serve in a formal capacity at another organization, foreign or domestic (e.g., as a visiting researcher or faculty member, team member on a corporate project, or as a paid consultant to local, state or Federal organizations). Additionally, individuals within both academic and non-academic institutions may be appointed to an institutional position by an organization or organizations, foreign or domestic, other than their own.

Intramural Researcher – an agency employee who conducts research supported by the agency in which they are employed.

Malign foreign talent recruitment program –

(A) any program, position, or activity that includes compensation in the form of cash, in-kind compensation, including research funding, promised future compensation, complimentary foreign travel, things of non de minimis value, honorific titles, career advancement opportunities, or other types of remuneration or consideration directly provided by a foreign country at any level (national, provincial, or local) or their designee, or an entity based in, funded by, or affiliated with a foreign country, whether or not directly sponsored by the foreign country, to the targeted individual, whether directly or indirectly stated in the arrangement, contract, or other documentation at issue, in exchange for the individual—

²https://www.cisa.gov/sites/default/files/publications/Insider%20Threats%20101%20What%20You%20Need%20to%20Know_508.pdf

(i) engaging in the unauthorized transfer of intellectual property, materials, data products, or other nonpublic information owned by a United States entity or developed with a Federal [research and development award](#) to the government of a foreign country or an entity based in, funded by, or affiliated with a foreign country regardless of whether that government or entity provided support for the development of the intellectual property, materials, or data products;

(ii) being required to recruit trainees or researchers to enroll in such program, position, or activity;

(iii) establishing a laboratory or company, accepting a faculty position, or undertaking any other employment or appointment in a foreign country or with an entity based in, funded by, or affiliated with a foreign country if such activities are in violation of the standard terms and conditions of a Federal [research and development award](#);

(iv) being unable to terminate the foreign talent recruitment program contract or agreement except in extraordinary circumstances;

(v) through funding or effort related to the foreign talent recruitment program, being limited in the capacity to carry out a [research and development award](#) or required to engage in work that would result in substantial overlap or duplication with a Federal [research and development award](#);

(vi) being required to apply for and successfully receive funding from the sponsoring foreign government's funding agencies with the sponsoring foreign organization as the [recipient](#);

(vii) being required to omit acknowledgment of the [recipient](#) institution with which the individual is affiliated, or the [Federal research agency](#) sponsoring the [research and development award](#), contrary to the institutional policies or standard terms and conditions of the Federal [research and development award](#);

(viii) being required to not disclose to the [Federal research agency](#) or employing institution the participation of such individual in such program, position, or activity; or

(ix) having a conflict of interest or conflict of commitment contrary to the standard terms and conditions of the Federal [research and development award](#). And

(B) A program that is sponsored by— (i) a foreign country of concern or an entity based in a foreign country of concern, whether or not directly sponsored by the foreign country of concern; (ii) an academic institution on the list developed under section 1286(c)(8) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 2358 note; Public Law 115–232); or (iii) a foreign talent recruitment program on the list developed under section 1286(c)(9) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 2358 note; 1 Public Law 115–232).

The following are **not** considered malign foreign talent recruitment programs **unless** such activities are funded, organized, or managed by an academic institution or a foreign talent recruitment program on the lists developed under paragraphs (8) and (9) of section 1286(c) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 4001 note; Public Law 115–232):

- (i) making scholarly presentations and publishing written materials regarding scientific information not otherwise controlled under current law;
- (ii) participation in international conferences or other international exchanges, research projects or programs that involve open and reciprocal exchange of scientific information, and which are aimed at advancing international scientific understanding and not otherwise controlled under current law;
- (iii) advising a foreign student enrolled at an institution of higher education or writing a recommendation for such a student, at such student's request.

Professional appointments and positions – appointments and positions conveyed in a formal manner (e.g., via appointment letter, executed offer letter, employment contract) by one or more organizations, foreign or domestic, other than one's primary place of employment. They are undertaken owing to the individual's professional expertise (e.g., as a physician, structural engineer, mathematician) and usually are temporary in nature. In most cases, such appointments and positions consist of professional service activities (e.g., serving on or chairing local, state, regional, or national societies, boards, commissions, or committees; or serving as a professional staff member in local, state or Federal offices or agencies – such as a program officer at a Federal funding agency). Professional appointments and positions do not include service at purely charitable or faith-based organizations, or other activities that reside outside the individual's domain of professional expertise.

Research and development (R&D) – includes basic research, applied research, and experimental development. Basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts. Applied research is original investigation undertaken in order to acquire new knowledge and directed primarily towards a specific practical aim or objective. Experimental development is creative and systematic work, drawing on knowledge gained from research and practical experience, which is directed at producing new products or processes or improving existing products or processes. Like research, experimental development will result in gaining additional knowledge. Experimental development includes the production of materials, devices, and systems or methods, including the design, construction, and testing of experimental prototypes. Experimental development also includes technology demonstrations in cases where a system or component is being demonstrated at scale for the first time, and it is realistic to expect additional refinements to the design (feedback R&D) following the demonstration.³

Research and development award – support provided to an individual or entity by a Federal research agency to carry out R&D activities, which may include support in the form of a grant, contract, cooperative agreement, or other such transaction. The term does not include a grant,

³ <https://www.whitehouse.gov/wp-content/uploads/2018/06/a11.pdf>

award, contract, agreement, or other transaction for the procurement of goods or services to meet the administrative needs of a Federal research agency.

Research integrity – the use of honest and verifiable methods in proposing, performing, and evaluating research; reporting research results with particular attention to adherence to rules, regulations, and guidelines; and following commonly accepted professional codes or norms.

Research security – safeguarding the research enterprise against the misappropriation of research and development to the detriment of national or economic security, related violations of research integrity, and foreign government interference.

Research organization – an entity that has applied for or received an R&D award from a Federal research agency. This term has the same meaning as “entity” as defined in Section 223 of the NDAA for 2021.

Scientific integrity – 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.

United States Government supported research and development – includes R&D projects funded by the U.S. Government, in whole or in part; projects that use U.S. Government equipment or facilities for conducting R&D; and R&D projects in which U.S. Government employee and contractor personnel participate, regardless of the project’s funding source.

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.¹

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](#).

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

A table entitled, [NSPM-33 Implementation Guidance Pre- and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending \(Other\) Support](#)² 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 current and pending (other) support**. 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 current and pending (other) support template 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 for submission of the two types of support: (a) proposals and active projects; and (b) in-kind contributions is provided below.

*** = 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.

Organization and Location

***Name:** Enter the name of the primary organization of the senior/key person.

***Location:** Enter the City, State/Province, and Country where the primary organization is located. If the State/Province is not applicable, enter N/A.

a. Proposals and Active Projects

In this section, disclose ALL proposals and active projects in accordance with the definition for [current and pending \(other\) support](#).

² This table supersedes in its entirety, Table 2a and Paragraph 7 of the Disclosure Requirements and Standardization Section of the NSPM-33 Implementation Guidance.

***Proposals and Active Projects**

***Title:** Enter the title of each proposal/active project being reported.

***Status of Support:** Select the appropriate status type as defined below:

- Current – all active projects, or projects with ongoing obligations, from whatever source irrespective of whether such support is provided through the proposing organization or is provided directly to the individual.
- Pending – any proposal that is being considered for funding from a potential funding organization (including this proposal) irrespective of whether such support is provided through the proposing organization or is provided directly to the individual.

Proposal/Active Project Award Number (if available): Enter the applicable proposal/active project award number for each proposal and/or active project, if available.

***Source of Support:** Identify the entity for each proposal and/or active project that is providing the support. Include all Federal, State, Tribal, territorial, local, foreign, public or private foundations, non-profit organizations, industrial or other commercial organizations, or internal funds allocated toward specific projects.

***Primary Place of Performance:** Identify the primary location where the proposal and/or active project is being executed. Enter the City, State/Province, and Country where the organization is located. If the State/Province is not applicable, enter N/A.

***Proposal/Active Project Start Date:** Indicate the start date (MM/YYYY) of the project, as proposed/awarded.

***Proposal/Active Project End Date:** Indicate the end date (MM/YYYY) of the project, as proposed/awarded.

***Total Anticipated Proposal/Project Amount:** Enter the total award amount for the entire period of performance, inclusive of indirect costs, rounded to the nearest dollar. If the dollar value is not readily ascertainable, a reasonable estimate should be provided. If the support is in a foreign country's currency, convert to US dollars at time of submission.

***Person-Month(s) (or Partial Person-Months) Per Year Devoted to the Proposal/Active Project:** Enter how much time the individual anticipates is necessary to complete the scope of work on the proposal and/or active project. Enter the number of person-months (even if unsalaried) for the current budget period and enter the proposed person-months for each subsequent budget period. If the time commitment is not readily ascertainable, a reasonable estimate should be provided.

***Overall Objectives:** Provide a brief statement of the overall objectives of the proposal/active project. This field is limited to 1500 characters.

***Statement of Potential Overlap:** Enter a description of the potential overlap with any pending proposal or active foreign or domestic project and this proposal in terms of scope, budget, or person-months planned or devoted to the project by the individual. If there is no potential overlap, enter “none” in this field.

b. In-Kind Contributions

In this section, disclose all in-kind contributions with an estimated dollar value of \$5000 or more **and** that require a commitment of the individual’s time. An in-kind contribution is a non-cash contribution provided by an external entity that directly supports the individuals’ research and development efforts. An in-kind contribution may include but is not limited to: real property; laboratory space; equipment; data or data sets; supplies; other expendable property; goods and services; employee or student resources. In-kind contributions with an estimated value of less than \$5000 need not be reported.

***Status of Support:** Select the appropriate status type as defined below:

- Current – all in-kind contributions obligated from whatever source irrespective of whether such support is provided through the proposing organization or is provided directly to the individual.
- Pending – all in-kind contributions currently under consideration from potential funding organizations irrespective of whether such support is provided through the proposing organization or is provided directly to the individual.

***Receipt (or Anticipated Receipt) Date of In-Kind Contribution:** Enter the receipt date (or anticipated receipt date) of the in-kind contribution.

***Source of Support:** Identify the entity (entities) that is providing the in-kind contribution. Include, for example, Federal, State, Tribal, territorial, local, foreign, public or private foundations, non-profit organizations, industrial or other commercial organizations, or internal funds allocated toward specific projects.

***Summary of In-Kind Contribution(s):** Enter a summary of the in-kind contribution not intended for use on the proposal/active project.

***Person-Month(s) (or Partial Person-Months) Per Year Devoted to the In-Kind Contribution:** Enter how much time the individual anticipates is necessary to complete the scope of work associated with use of the in-kind contribution. Enter the number of person-months (even if unsalaried) for the current budget period and enter the proposed person-months for each subsequent budget period. **If there is no associated time commitment, the in-kind contribution need not be reported.**

***US Dollar Value of In-Kind Contribution:** Enter the US dollar value of the in-kind contribution with an estimated value of \$5000 or more. If the dollar value is not readily ascertainable, a reasonable estimate should be provided. If the support is in a foreign country’s currency, convert to US dollars at time of submission, rounded to the nearest dollar.

***Overall Objectives:** Provide a brief statement of the overall objectives of the in-kind contribution(s). This field is limited to 1500 characters.

***Statement of Potential Overlap:** Enter a description of the potential overlap with any current or pending foreign or domestic in-kind contribution and this proposal in terms of scope, budget, or person-months planned or devoted to the project by the individual. If there is no overlap, enter “none” in the field.

***Certification**

Each senior/key person is required to complete the following certifications regarding the information provided in their Current and Pending (Other) Support:

I certify that the information provided is current, accurate, and complete. This includes, but is not limited to, information related to current, pending, and other support (both foreign and domestic) as defined in 42 U.S.C. §6605.

I also certify that, at the time of submission, I am not a party in a [malign foreign talent recruitment program](#).

Misrepresentations and/or omissions may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§287, 1001, 1031 and 31 U.S.C. §§3729-3733 and 3802.

Signature³:

Date:

***Privacy Act and Burden Statement:**

The information requested on this form is solicited under the authority of the National Science Foundation Act of 1950, as amended. The information on this form will be used in connection with the selection of qualified proposals. The information requested may be disclosed to qualified reviewers and staff assistants as part of the proposal review process; to proposer institutions/grantees 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 Systems of Records, INTERIOR/DOI-89, Grants and Cooperative Agreements: FBMS - 73 FR 43775 (July 28, 2008);modification published 86 FR 50156 (September 7, 2021). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of receiving an award.

³ To be acceptable to the Federal research funding agency, the date of the signature must be within the past 12 months from when the document is submitted to the federal research funding agency.

An agency may not conduct or sponsor, and a person is not required to respond to, an information collection unless it displays a valid OMB control number. The OMB control number for this collection is 3145-0279. Public reporting burden for this collection of information is estimated to average 2 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:

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

National Security Presidential Memorandum-33 Implementation Guidance
Appendix: Definitions
November 1, 2023¹

Academic appointments and positions – positions that are identified as personnel on research grants and cooperative agreements where the senior/key person is identified as affiliated with an institution of higher education or on an indexed publication. Academic appointments and positions are those defined in institutional policy, and conveyed in a formal manner (e.g., via appointment letter, executed offer letter, employment contract), that relate to research, teaching, or associated scholarly activities at one or more foreign or domestic institutions. Examples include but are not limited to assistant professor, associate professor, and professor; adjunct and affiliate faculty positions of all ranks; visiting faculty positions of all ranks; visiting scholar or instructor; clinical faculty position of all ranks; lecturer; research faculty position of all ranks; and emeritus faculty position of all ranks. Also included are graduate research and teaching assistants at the master's and doctoral level, as well as post-doctoral scholars. Excluded from this definition are routine academic or university service activities, performed at the departmental, college or institutional level at one's primary or other collaborating institutions, such as serving on or chairing faculty or staff search committees, graduate student research or thesis committees, compliance committees, *ad hoc* task forces, graduate and undergraduate studies committees, capital improvement projects, or faculty governance committees.

Conflict of commitment – a situation in which an individual accepts or incurs conflicting obligations between or among multiple employers or other entities. Many organizational policies define conflicts of commitment as conflicting commitments of time and effort, including obligations to dedicate time in excess of organizational or research agency policies or commitments. Other types of conflicting obligations, including obligations to improperly share information with, or to withhold information from, an employer or research agency, can also threaten research security and integrity, and are an element of a broader concept of conflicts of commitment used in this document.

Conflict of interest – a situation in which an individual, or the individual's spouse or dependent children, has a significant financial interest, or financial relationship that could directly and significantly affect the design, conduct, reporting, or funding of research.

Controlled unclassified information (CUI) – information that requires safeguarding or dissemination controls consistent with applicable laws, regulations, and Government-wide policies, but is not classified.

Covered individual or senior/key person – an individual who (a) contributes in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award from a Federal research agency; and (b) is designated as a covered individual by the Federal research agency concerned. Consistent with NSPM-33, this means principal investigators (PIs) and other senior/key person seeking or receiving Federal research and development funding (i.e., extramural funding) and researchers at Federal agency laboratories and facilities (i.e., intramural researchers, whether or not federally employed), including Government-owned, contractor-operated laboratories and facilities.

¹ This Appendix replaces the Definitions contained in the NSPM-33 Implementation dated January 2022.

Current and pending (other) support – (a) All resources made available, or expected to be made available, to an individual in support of the individual’s research and development efforts, regardless of (i) whether the source is foreign or domestic; (ii) whether the resource is made available through the entity applying for a research and development award or directly to the individual; or (iii) whether the resource has monetary value; and (b) includes in-kind contributions requiring a commitment of time and directly supporting the individual’s research and development efforts, such as the provision of office or laboratory space, equipment, supplies, employees, or students. This term has the same meaning as the term Other Support as applied to researchers in NSPM-33. For researchers, Other Support includes all resources made available to a researcher in support of and/or related to all of their professional R&D efforts, including resources provided directly to the individual rather than through the research organization, and regardless of whether or not they have monetary value (e.g., even if the support received is only in-kind, such as office/laboratory space, equipment, supplies, or employees). This includes resource and/or financial support from all foreign and domestic entities, including but not limited to, financial support for laboratory personnel, and participation of student and visiting researchers supported by other sources of funding.

Digital persistent identifier (DPI or digital PID) – a digital identifier that is globally unique, persistent, machine resolvable and processable, and has an associated metadata schema. Consistent with NSPM-33, digital persistent identifiers for individuals are used to disambiguate and identify an individual person.

Federal research agency or Research agency – any Federal department or agency with an annual extramural research expenditure of over \$100,000,000. This term has the same meaning as “funding agency” in NSPM-33.

Foreign country of concern – means the People's Republic of China, the Democratic People's Republic of Korea, the Russian Federation, the Islamic Republic of Iran, or any other country deemed to be a country of concern as determined by the Department of State.

Foreign government-sponsored talent recruitment program – effort organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students (regardless of citizenship or national origin, or whether having a full-time or part-time position). Some foreign government-sponsored talent recruitment programs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals of a foreign government. Many, but not all, programs aim to incentivize the targeted individual to relocate physically to the foreign state for the above purpose. Some programs allow for or encourage continued employment at United States research facilities or receipt of Federal research funds while concurrently working at and/or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to United States entities. Compensation could take many forms including cash, research funding, complimentary foreign travel, honorific titles, career advancement opportunities, promised future compensation, or other types of remuneration or consideration, including in-kind compensation.

Gift – includes any gratuity, favor, discount, entertainment, hospitality, loan, forbearance, license, special access, equipment time, samples, research data, or other item having monetary value. A gift also includes services as well as gifts of training, transportation, local travel, lodging, meals, research hours, whether provided in-kind, by purchase of a ticket, payment in advance, or reimbursement after the expense has occurred. A gift by definition is given without expectation of anything in return.

Honorarium – a payment of money or anything of value for an appearance, speech, article, or other form of compensation or award.

Insider threat – the potential for an insider to use their authorized access or understanding of an organization to harm that organization. This harm can include malicious, complacent, or unintentional acts that negatively affect the integrity, confidentiality, and availability of the organization, its data, personnel, or facilities.²

Institutional appointments and positions – appointments and positions conveyed in a formal manner (e.g., via appointment letter, executed offer letter, employment contract) by one's primary place of employment or by another organization. For those in academia, the responsibilities of such appointments and positions reside in administration (e.g., president, chancellor, provost, or vice-president; associate or assistant vice-president; vice-provost; associate or assistant vice-provost; dean; associate or assistant dean; department, program, or institute director or chair), though of course such positions also sometimes involve teaching, research, and service. For those outside academia, institutional appointments and positions encompass a wide range of titles (e.g., chief executive officer, chief operating officer, chief technology officer, chief information officer, president, chief research officer; and vice president; regional manager; section, group or project leader, project member). Individuals within both academic and non-academic institutions also may be appointed by their institution to serve in a formal capacity at another organization, foreign or domestic (e.g., as a visiting researcher or faculty member, team member on a corporate project, or as a paid consultant to local, state or Federal organizations). Additionally, individuals within both academic and non-academic institutions may be appointed to an institutional position by an organization or organizations, foreign or domestic, other than their own.

Intramural Researcher – an agency employee who conducts research supported by the agency in which they are employed.

Malign foreign talent recruitment program –

(A) any program, position, or activity that includes compensation in the form of cash, in-kind compensation, including research funding, promised future compensation, complimentary foreign travel, things of non de minimis value, honorific titles, career advancement opportunities, or other types of remuneration or consideration directly provided by a foreign country at any level (national, provincial, or local) or their designee, or an entity based in, funded by, or affiliated with a foreign country, whether or not directly sponsored by the foreign country, to the targeted individual, whether directly or indirectly stated in the arrangement, contract, or other documentation at issue, in exchange for the individual—

²https://www.cisa.gov/sites/default/files/publications/Insider%20Threats%20101%20What%20You%20Need%20to%20Know_508.pdf

(i) engaging in the unauthorized transfer of intellectual property, materials, data products, or other nonpublic information owned by a United States entity or developed with a Federal [research and development award](#) to the government of a foreign country or an entity based in, funded by, or affiliated with a foreign country regardless of whether that government or entity provided support for the development of the intellectual property, materials, or data products;

(ii) being required to recruit trainees or researchers to enroll in such program, position, or activity;

(iii) establishing a laboratory or company, accepting a faculty position, or undertaking any other employment or appointment in a foreign country or with an entity based in, funded by, or affiliated with a foreign country if such activities are in violation of the standard terms and conditions of a Federal [research and development award](#);

(iv) being unable to terminate the foreign talent recruitment program contract or agreement except in extraordinary circumstances;

(v) through funding or effort related to the foreign talent recruitment program, being limited in the capacity to carry out a [research and development award](#) or required to engage in work that would result in substantial overlap or duplication with a Federal [research and development award](#);

(vi) being required to apply for and successfully receive funding from the sponsoring foreign government's funding agencies with the sponsoring foreign organization as the [recipient](#);

(vii) being required to omit acknowledgment of the [recipient](#) institution with which the individual is affiliated, or the [Federal research agency](#) sponsoring the [research and development award](#), contrary to the institutional policies or standard terms and conditions of the Federal [research and development award](#);

(viii) being required to not disclose to the [Federal research agency](#) or employing institution the participation of such individual in such program, position, or activity; or

(ix) having a conflict of interest or conflict of commitment contrary to the standard terms and conditions of the Federal [research and development award](#). And

(B) A program that is sponsored by— (i) a foreign country of concern or an entity based in a foreign country of concern, whether or not directly sponsored by the foreign country of concern; (ii) an academic institution on the list developed under section 1286(c)(8) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 2358 note; Public Law 115–232); or (iii) a foreign talent recruitment program on the list developed under section 1286(c)(9) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 2358 note; 1 Public Law 115–232).

The following are **not** considered malign foreign talent recruitment programs **unless** such activities are funded, organized, or managed by an academic institution or a foreign talent recruitment program on the lists developed under paragraphs (8) and (9) of section 1286(c) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 4001 note; Public Law 115–232):

- (i) making scholarly presentations and publishing written materials regarding scientific information not otherwise controlled under current law;
- (ii) participation in international conferences or other international exchanges, research projects or programs that involve open and reciprocal exchange of scientific information, and which are aimed at advancing international scientific understanding and not otherwise controlled under current law;
- (iii) advising a foreign student enrolled at an institution of higher education or writing a recommendation for such a student, at such student's request.

Professional appointments and positions – appointments and positions conveyed in a formal manner (e.g., via appointment letter, executed offer letter, employment contract) by one or more organizations, foreign or domestic, other than one's primary place of employment. They are undertaken owing to the individual's professional expertise (e.g., as a physician, structural engineer, mathematician) and usually are temporary in nature. In most cases, such appointments and positions consist of professional service activities (e.g., serving on or chairing local, state, regional, or national societies, boards, commissions, or committees; or serving as a professional staff member in local, state or Federal offices or agencies – such as a program officer at a Federal funding agency). Professional appointments and positions do not include service at purely charitable or faith-based organizations, or other activities that reside outside the individual's domain of professional expertise.

Research and development (R&D) – includes basic research, applied research, and experimental development. Basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts. Applied research is original investigation undertaken in order to acquire new knowledge and directed primarily towards a specific practical aim or objective. Experimental development is creative and systematic work, drawing on knowledge gained from research and practical experience, which is directed at producing new products or processes or improving existing products or processes. Like research, experimental development will result in gaining additional knowledge. Experimental development includes the production of materials, devices, and systems or methods, including the design, construction, and testing of experimental prototypes. Experimental development also includes technology demonstrations in cases where a system or component is being demonstrated at scale for the first time, and it is realistic to expect additional refinements to the design (feedback R&D) following the demonstration.³

Research and development award – support provided to an individual or entity by a Federal research agency to carry out R&D activities, which may include support in the form of a grant, contract, cooperative agreement, or other such transaction. The term does not include a grant,

³ <https://www.whitehouse.gov/wp-content/uploads/2018/06/a11.pdf>

award, contract, agreement, or other transaction for the procurement of goods or services to meet the administrative needs of a Federal research agency.

Research integrity – the use of honest and verifiable methods in proposing, performing, and evaluating research; reporting research results with particular attention to adherence to rules, regulations, and guidelines; and following commonly accepted professional codes or norms.

Research security – safeguarding the research enterprise against the misappropriation of research and development to the detriment of national or economic security, related violations of research integrity, and foreign government interference.

Research organization – an entity that has applied for or received an R&D award from a Federal research agency. This term has the same meaning as “entity” as defined in Section 223 of the NDAA for 2021.

Scientific integrity – 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.

United States Government supported research and development – includes R&D projects funded by the U.S. Government, in whole or in part; projects that use U.S. Government equipment or facilities for conducting R&D; and R&D projects in which U.S. Government employee and contractor personnel participate, regardless of the project’s funding source.