



# Proposal Preparation

May 17, 2012

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# Topics Covered

- Find Funding Opportunities
- Proposal and Award Policies and Procedures Guide
- Sections of an NSF Proposal
- Proposal Development Strategies
- Proposal Review Process
- Support for Proposal Writing
- Award Process



# NSF Home Page



**Funding Opportunities**

- Find Funding Opportunities
- Upcoming Due Dates
- How to Prepare Your Proposal
- Funding Trends

Program Areas  
Select One

Quick Links  
Select One

Search Funding Opportunities

**Funding Opportunities**

- Find Funding Opportunities
- Upcoming Due Dates
- How to Prepare Your Proposal
- Funding Trends

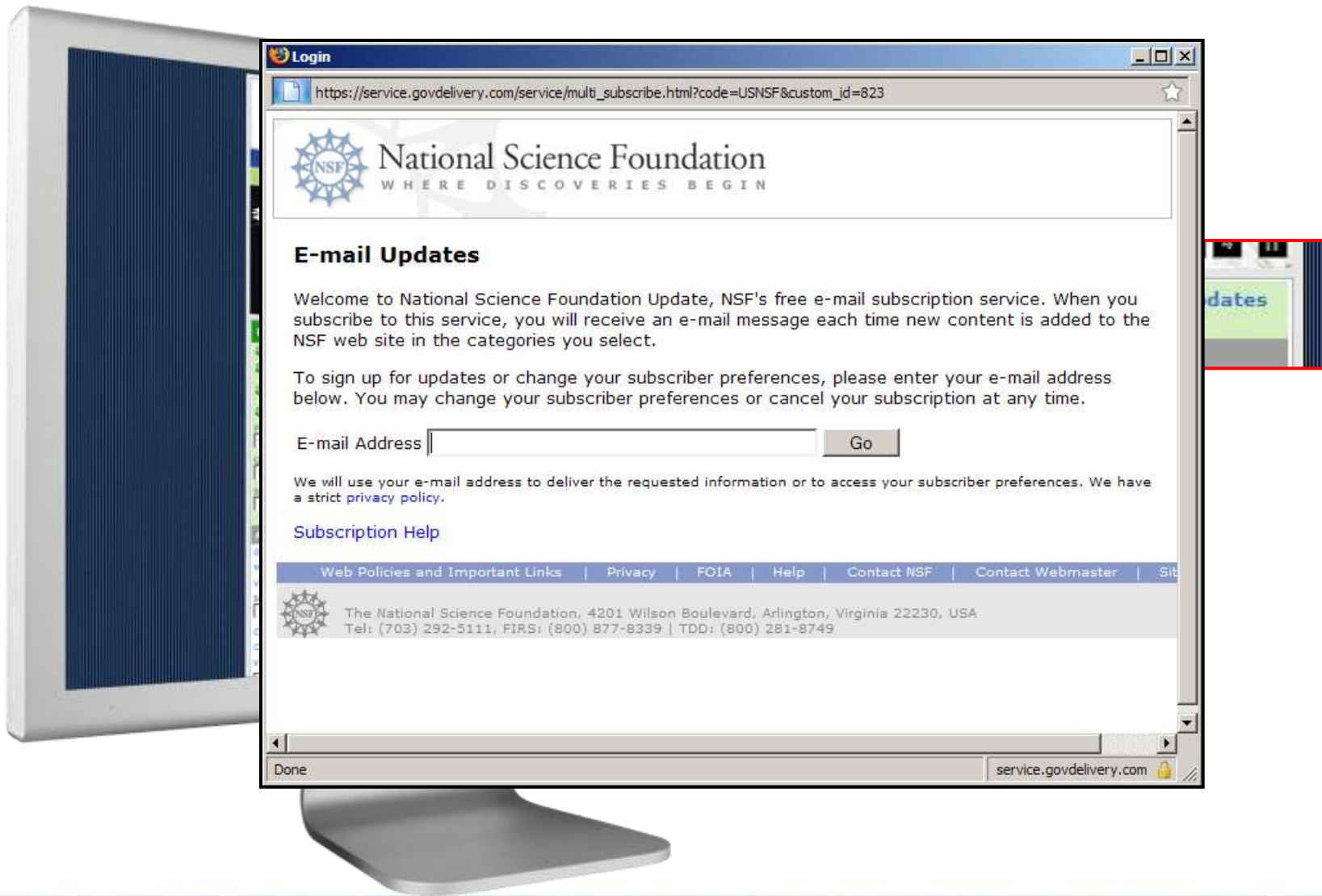
Program Areas  
Select One

Quick Links  
Select One

Search Funding Opportunities



# Sign up for NSF Update





# Other Ways to Find Funding



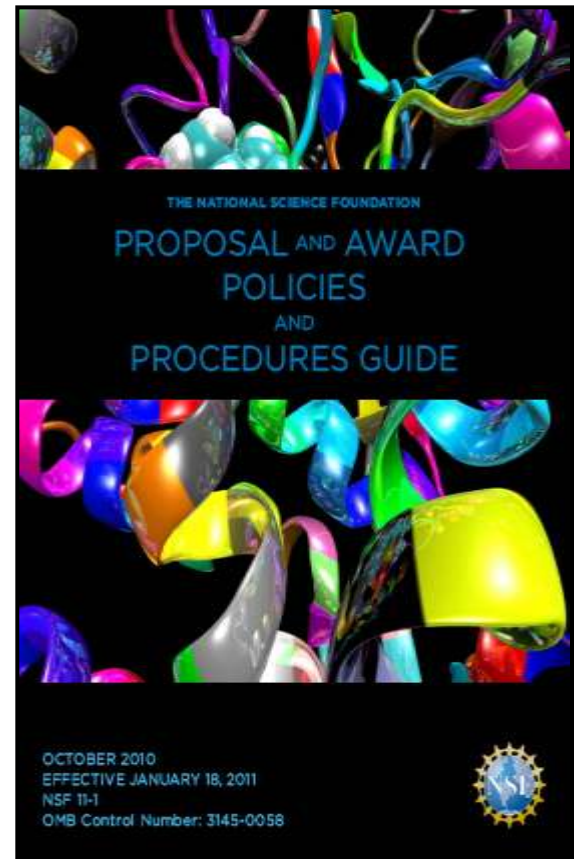
Find Grant Opportunities

Use Grants.gov's search feature



# What is the Proposal & Award Policies & Procedures Guide?

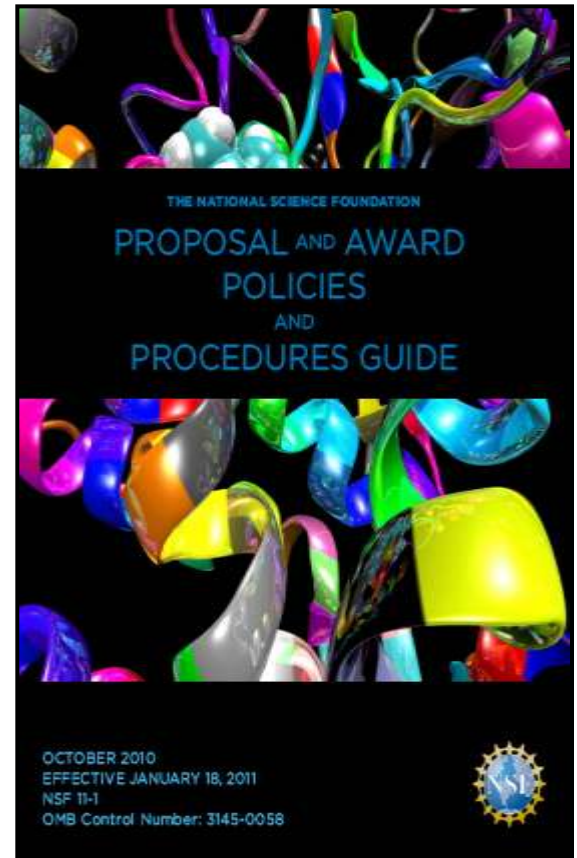
**The Proposal and Award Policies and Procedures Guide (PAPPG) contains documents relating to NSF's proposal and award process. It has been designed for use by both our customer community and NSF staff and consists of two parts:**





# What is the Proposal & Award Policies & Procedures Guide?

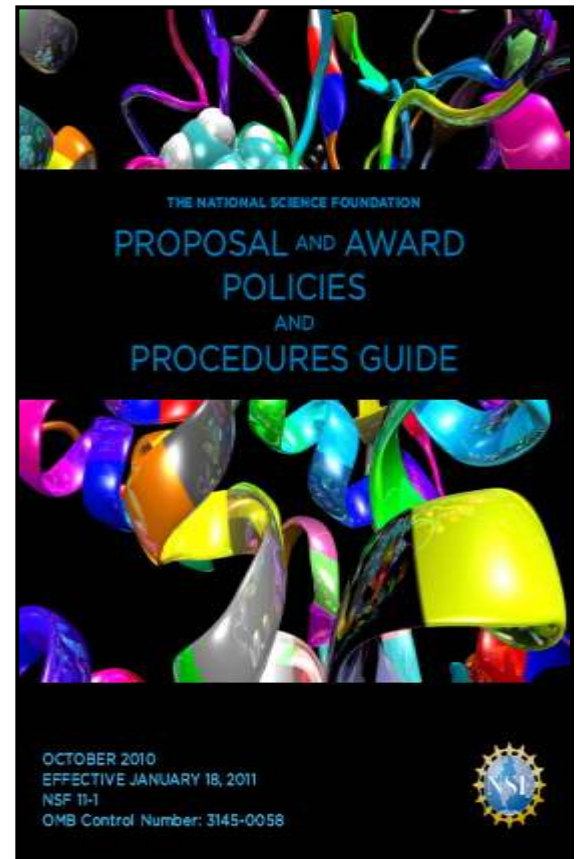
**Part I is NSF's proposal preparation and submission guidelines -- the NSF Grant Proposal Guide (GPG) and the NSF Grants.gov Application Guide.**





# What is the Proposal & Award Policies & Procedures Guide?

**Part II is NSF's award and administration guidelines -- the documents used to guide, manage, and monitor the award and administration of grants and cooperative agreements made by NSF.**

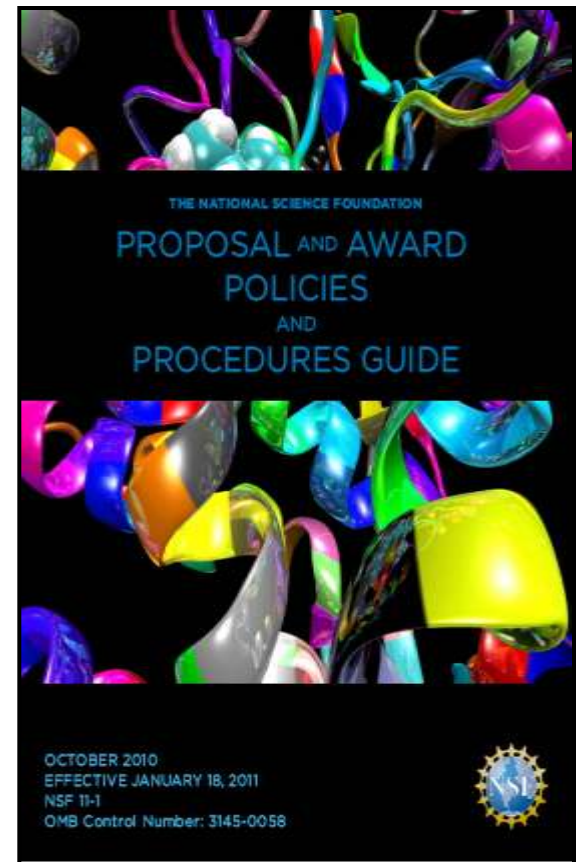






# Grant Proposal Guide

- Provides guidance for preparation and submission of proposals to NSF
- Describes process – and criteria – by which proposals will be reviewed
- Outlines reasons why a proposal may be returned without review
- Describes process for withdrawals, returns, and declinations





# Types of Funding Opportunities

## Program Descriptions

Proposals for a **Program Description** must follow the instructions in the GPG.

## Program Announcements

Proposals for a **Program Announcement** must follow the instructions in the GPG.

## Program Solicitations

Proposals must follow the instructions in the **Program Solicitation**; the instructions in the GPG apply unless otherwise stated in the solicitation.

## Dear Colleague Letters

**Dear Colleague Letters** are notifications of opportunities or special competitions for supplements to existing NSF awards.



# What to Look For in a Program Announcement or Solicitation

- Goal of Program
- Eligibility
- Special proposal preparation and/or award requirements



# Sample Cover Page of a Solicitation

ADVANCE: Increasing the Participation and Advancement of Women in Academic Science and Engineering Careers  
(ADVANCE)

PROGRAM SOLICITATION

NSF 10-593

REPLACES DOCUMENT(S):

NSF 09-504



**National Science Foundation**

Directorate for Education & Human Resources  
Division of Human Resource Development

Directorate for Biological Sciences

Directorate for Computer & Information Science & Engineering

Directorate for Engineering

Directorate for Geosciences

Directorate for Mathematical & Physical Sciences

Directorate for Social, Behavioral & Economic Sciences

Office of Cyberinfrastructure

Office of International Science and Engineering

**Program  
Solicitation  
Number**

**NSF  
Directorates  
and Offices  
providing  
funding for this  
opportunity**



# Sample Cover Page of a Solicitation

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

**Estimated Number of Awards:** 23 The total number of awards to be made under this Solicitation is estimated to be 23. NSF expects to make: approximately seven (7) Institutional Transformation five-year awards, at various award sizes; up to seven (7) IT-Catalyst awards with durations of up to two years and total budgets not exceeding a maximum of \$200,000 each; and up to nine (9) PAID awards, of various durations, not exceeding a maximum of \$750,000 for 5 years.

**Anticipated Funding Amount:** \$12,200,000 - Pending availability of funds, NSF anticipates having approximately \$12,200,000 available over the two-year fiscal period, FY 2011-FY2012, for support of the ADVANCE portfolio. Approximately \$5,600,000 will be available for the FY2011 competition and approximately \$6,600,000 will be available for the FY2012 competition.

## Eligibility Information

---

**Organization Limit:**

None Specified

**PI Limit:**

None Specified

**Limit on Number of Proposals per Organization: 1**

Proposers may submit only one Institutional Transformation proposal or one IT-Catalyst proposal. There is no limit on the number of PAID proposals that can be submitted.

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

None Specified

**Number of awards funded by the program per year**



# Sample Cover Page of a Solicitation

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**PI Limit:**

None Specified

**Limit on Number of Proposals per Organization: 1**

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

None Specified

**Funds available  
to the program  
per year**



# Sample Cover Page of a Solicitation

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## Eligibility Information

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None Specified

**PI Limit:**

None Specified

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

None Specified

**Eligibility  
information for  
institutions/PIs  
submitting  
proposals**



# Types of Proposal Submissions



No Deadlines –  
Proposals may be  
submitted at any time

## F. When to Submit Proposals

Proposers should allow adequate time for NSF review and processing of proposals (see [GPG I.H](#) for further information). Many NSF programs accept proposals at any time. ~~Other programs, however, establish due dates for submission of proposals. The following types of due dates are utilized by NSF:~~

1. **Target dates:** dates after which proposals will still be accepted, although they may miss a particular panel or committee meeting.
2. **Deadline dates:** dates after which proposals will not be accepted for review by NSF. The deadline date will be waived only in extenuating circumstances. Such a deviation only may be authorized in accordance with [GPG Chapter II.A](#).





# Types of Proposal Submissions



**Target Dates –**  
Talk to the Program Office if you think you might miss the date

## F. When to Submit Proposals

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# Types of Proposal Submissions



**Deadline Dates –**  
Proposals will not be accepted after this date and time (5 pm submitter's local time)

**F. When to Submit Proposals**

Proposers should allow adequate time for NSF review and processing of proposals (see [GPG I.H](#) for further information). Many NSF programs accept proposals at any time. Other programs, however, establish due dates for submission of proposals. The following types of due dates are utilized by NSF:

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# Types of Proposal Submissions



**Submission Windows –**  
Closing date converts to a  
deadline date

**3. Submission windows:** designated periods of time during which proposals will be accepted for review by NSF. It is NSF's policy that the end date of a submission window converts to, and is subject to, the same policies as a deadline date.



# Types of Proposal Submissions



**Letters of Intent –**  
Enables better management  
of reviewers and panelists

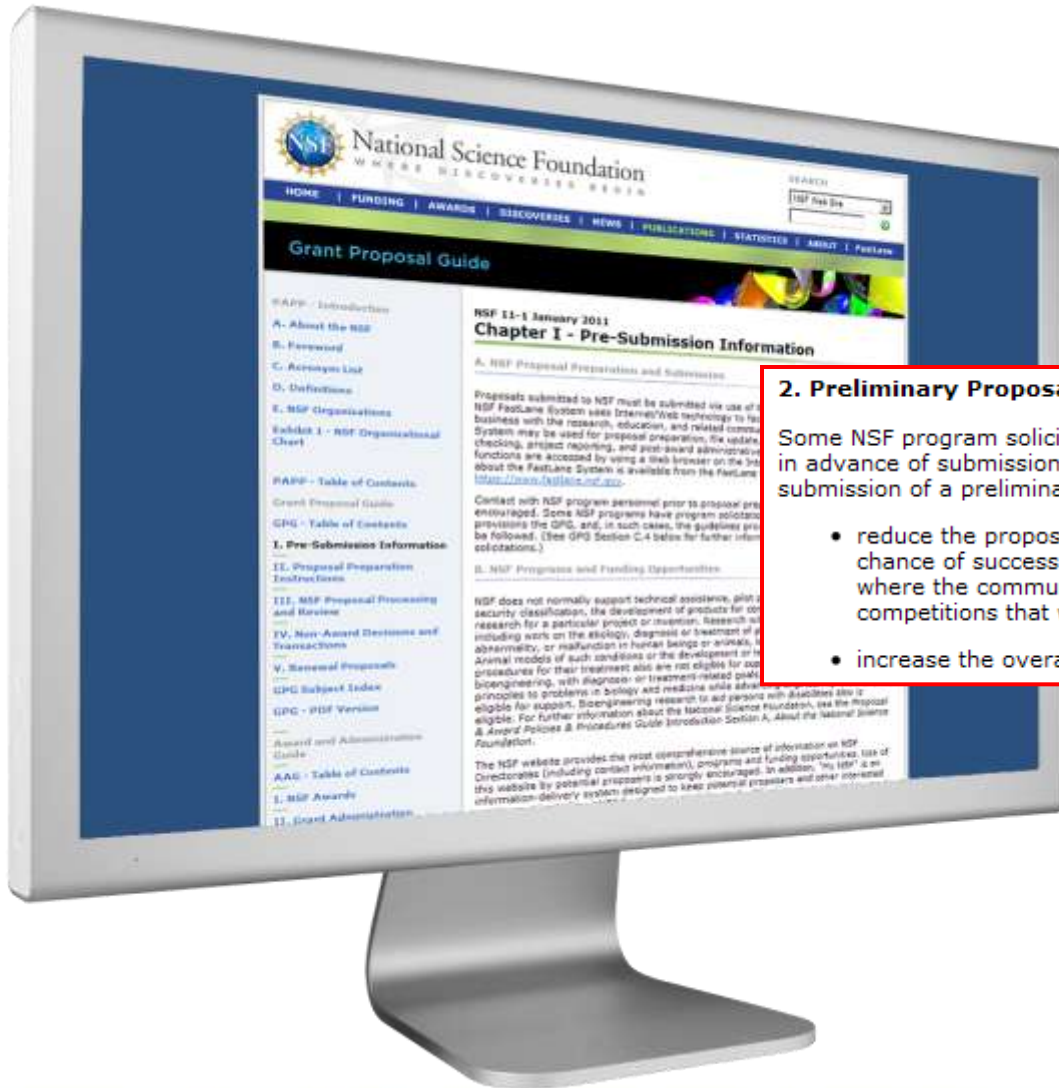
## 1. Letter of Intent

Some NSF program solicitations require or request submission of a letter of intent (LOI) in advance of submission of a full proposal. A LOI is not binding. The predominant reason for its use is to help NSF program staff to gauge the size and range of the competition, enabling earlier selection and better management of reviewers and panelists. In addition, the information contained in a LOI is used to help avoid potential conflicts of interest in the review process.

A LOI normally contains the PI's and co-PI's names, a proposed title, a list of possible participating organizations (if applicable), and a synopsis that describes the work in sufficient detail to permit an appropriate selection of reviewers. A LOI is not externally evaluated or used to decide on funding. The requirement to submit a LOI will be identified in the program solicitation, and such letters are submitted electronically via the NSF FastLane System.



# Types of Proposal Submissions



**Preliminary Proposals –**  
Sometimes required,  
sometimes optional

**2. Preliminary Proposal**

Some NSF program solicitations require or request submission of a preliminary proposal in advance of submission of a full proposal. The two predominant reasons for requiring submission of a preliminary proposal are to:

- reduce the proposers' unnecessary effort in proposal preparation when the chance of success is very small. This is particularly true of exploratory initiatives where the community senses that a major new direction is being identified, or competitions that will result in a small number of actual awards; and
- increase the overall quality of the full submission.



# Sections of an NSF Proposal

## Cover Sheet (Required)

Many of the boxes on the cover sheet are electronically prefilled as part of the FastLane login process.

### Example from FastLane

COVER SHEET FOR PROPOSAL TO THE NATIONAL SCIENCE FOUNDATION					
PROGRAM ANNOUNCEMENT SOLICITATION NO. (CLOSING DATE) If not in response to a program announcement, distribution letter NSF 08-1					FOR NSF USE ONLY
NSF 98-164					NSF PROPOSAL NUMBER
FOR CONSIDERATION BY NSF ORGANIZATION UNIT(S) (Indicate the most specific unit known, i.e. program, division, etc.)					0840812
CNS - NETWORKING RESEARCH					
DATE RECEIVED	NUMBER OF COPIES	DIVISION ASSIGNED	FUND CODE	DUNSE# (Data Universal Numbering System)	FILE LOCATION
08/03/2008	17	05050000 NCR	4097	0748118054568	NSF082899 0822aa
EMPLOYER IDENTIFICATION NUMBER (EIN) OR TAXPAYER IDENTIFICATION NUMBER (TIN)		SHOW PREVIOUS AWARD NO. IF THIS IS <input type="checkbox"/> A RENEWAL <input type="checkbox"/> AN ACCOMPLISHMENT-BASED RENEWAL		IS THIS PROPOSAL BEING SUBMITTED TO ANOTHER FEDERAL AGENCY? YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> IF YES, LIST ACRONYM(S)	
NAME OF ORGANIZATION TO WHICH AWARD SHOULD BE MADE			ADDRESS OF AWARDING ORGANIZATION, INCLUDING 9 DIGIT ZIP CODE		
NSF			Arlington, VA 222302000		
AWARDEE ORGANIZATION CODE (IF KNOWN)			US		
4102852000					
NAME OF PERFORMING ORGANIZATION, IF DIFFERENT FROM ABOVE			ADDRESS OF PERFORMING ORGANIZATION, IF DIFFERENT, INCLUDING 9 DIGIT ZIP CODE		
PERFORMING ORGANIZATION CODE (IF KNOWN)					
IS AWARDEE ORGANIZATION (Check All That Apply) (See GPG II.C For Definitions)					
<input type="checkbox"/> SMALL BUSINESS <input type="checkbox"/> MINORITY BUSINESS <input type="checkbox"/> IF THIS IS A PRELIMINARY PROPOSAL, THEN CHECK HERE					
<input type="checkbox"/> FOR-PROFIT ORGANIZATION <input type="checkbox"/> WOMAN OWNED BUSINESS					
TITLE OF PROPOSED PROJECT <b>Neural Network Research</b>					
REQUESTED AMOUNT	PROPOSED DURATION (1-48 months)	REQUESTED STARTING DATE	SHOW RELATED PRELIMINARY PROPOSAL NO. IF APPLICABLE		
\$ <b>400,000</b>	<b>0</b> months				
CHECK APPROPRIATE BOXES: IF THIS PROPOSAL INCLUDES ANY OF THE ITEMS LISTED BELOW					
<input type="checkbox"/> BEGINNING INVESTIGATOR (GPG I.G.2)					
<input type="checkbox"/> DISCLOSURE OF LOBBYING ACTIVITIES (GPG II.C)					
<input type="checkbox"/> PROPRIETARY & PRIVILEGED INFORMATION (GPG I.D. I.C.1 & I.C.2)					
<input type="checkbox"/> HISTORIC PLACES (GPG II.C.2)					
<input type="checkbox"/> SMALL GRANT FOR EXPLOR. RESEARCH (SGER) (GPG II.D.1)					
<input type="checkbox"/> VERTEBRATE ANIMALS (GPG II.D.5) (ACUC App. Date _____)					
<input type="checkbox"/> HUMAN SUBJECTS (GPG II.D.6) Human Subjects Assurance Number _____					
<input type="checkbox"/> INTERNATIONAL COOPERATIVE ACTIVITIES: COUNTRY/COUNTRIES INVOLVED: (GPG II.C.2)					
<input type="checkbox"/> HIGH RESOLUTION GRAPHICS/OTHER GRAPHICS WHERE EXACT COLOR REPRESENTATION IS REQUIRED FOR PROPER INTERPRETATION (GPG I.G.1)					
PIPD DEPARTMENT			PIPD POSTAL ADDRESS		
Division of Information Systems			4201 Wilson Boulevard		
PIPD FAX NUMBER			Arlington, VA 222301000		
703-292-3000			United States		
NAMES (TYPED)	High Degree	Yr of Degree	Telephone Number	Electronic Mail Address	
PIPD NAME					
<b>Terry Demo</b>	<b>PhD</b>	<b>2005</b>	<b>703-292-1000</b>	<b>td@nsf.gov</b>	
CO-PIPD					
CO-PIPD					
CO-PIPD					
CO-PIPD					

Electronic Signature



# Sections of an NSF Proposal

## Project Summary (Required)

The proposal must contain a summary of the proposed activity suitable for publication, not more than one page in length.

Proposals that do not separately address both merit review criteria will be returned without review.

*Text from the GPG*

- Organization Name (Identify the organization name of the primary site where the work will be performed, if different than the awardee);
- Street;
- City;
- State;
- Country; and
- 9-digit Zip Code.

For projects that support research infrastructure and tools, such as vessels, facilities, and telescopes, the project/performance site should correspond to the physical location of the research asset. For research assets or projects that are geographically distributed, the proposer should report information for the primary site, as defined by the proposer. For example, proposals for the operations and maintenance of research vessels may list the project/performance site as the vessel's home port.

(h) Other Information

Should any of the following items on the Cover Sheet apply to a proposal, the applicable box(es) must be checked.

- Beginning Investigator (See GPG I.G.2)
- Disclosure of Lobbying Activities (See GPG II.C.1e)
- Proprietary or Privileged Information (See GPG I.D.3 & II.C.1d)
- Historic Places (See GPG II.C.2j)
- Rapid Response Grants (See GPG II.D.1)
- EARly-concept Grants for Exploratory Research (EAGER) (See GPG II.D.2)
- Vertebrate Animals<sup>19</sup> (See GPG II.D.6)
- Human Subjects<sup>20</sup> (See GPG II.D.7)
- High Resolution Graphics/Other Graphics Where Exact Color Representation is Required for Proper Interpretation (See GPG I.G.1)
- International Cooperative Activities Country Name(s) (See GPG II.C.2j)

**b. Project Summary**

The proposal must contain a summary of the proposed activity suitable for publication, not more than one page in length. It should not be an abstract of the proposal, but rather a self-contained description of the activity that would result if the proposal were funded. The summary should be written in the third person and include a statement of objectives and methods to be employed. It must clearly address in separate statements (within the one-page summary):

- the intellectual merit of the proposed activity; and
- the broader impacts resulting from the proposed activity.

It should be informative to other persons working in the same or related fields and, insofar as possible, understandable to a scientifically or technically literate lay reader. **Proposals that do not separately address both merit review criteria within the one-page Project Summary will be returned without review.** To that end, proposers are encouraged to include separate headings within the one page document for both "Intellectual Merit" and "Broader Impacts".

<sup>19</sup> If the proposal includes use of Vertebrate Animals, supplemental information is required. See GPG Chapter II.D.6 for additional information.  
<sup>20</sup> If the proposal includes use of Human Subjects, supplemental information is required. See GPG Chapter II.D.7 for additional information.

Grant Proposal Guide II-7 NSF 11-1



# Sections of an NSF Proposal

## Project Description (Required)

The two merit review criteria should be addressed with the project description, which, unless otherwise specified in the program solicitation, may not exceed 15 pages.

*Text from the GPG*

### c. Table of Contents

A Table of Contents is automatically generated for the proposal by the FastLane system. The proposer cannot edit this form.

### d. Project Description (Including Results from Prior NSF Support)

#### (I) Content

All proposals to NSF will be reviewed utilizing the two merit review criteria described in greater length in GPG Chapter III.

The Project Description should provide a clear statement of the work to be undertaken and must include: objectives for the period of the proposed work and expected significance; relation to longer-term goals of the PI's project; and relation to the present state of knowledge in the field, to work in progress by the PI under other support and to work in progress elsewhere.

The Project Description should outline the general plan of work, including the broad design of activities to be undertaken, and, where appropriate, provide a clear description of experimental methods and procedures. It must describe as an integral part of the narrative, the broader impacts resulting from the proposed activities, addressing one or more of the following as appropriate for the project: how the project will integrate research and education by advancing discovery and understanding while at the same time promoting teaching, training, and learning; ways in which the proposed activity will broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.); how the project will enhance the infrastructure for research and/or education, such as facilities, instrumentation, networks, and partnerships; how the results of the project will be disseminated broadly to enhance scientific and technological understanding; and potential benefits of the proposed activity to society at large. Examples illustrating activities likely to demonstrate broader impacts are available electronically on the NSF website.

Plans for data management and sharing of the products of research, including preservation, documentation, and sharing of data, samples, physical collections, curriculum materials and other related research and education products should be described in the Special Information and Supplementary Documentation section of the proposal (see GPG Chapter II.C.2.) for additional instructions for preparation of this section).

#### (II) Page Limitations and Inclusion of Universal Resource Locators (URLs) within the Project Description

Brevity will assist reviewers and Foundation staff in dealing effectively with proposals. Therefore, the Project Description (Including Results from Prior NSF Support, which is limited to five pages) may not exceed 15 pages. Visual materials, including charts, graphs, maps, photographs and other pictorial presentations are included in the 15-page limitation. PIs are cautioned that the Project Description must be self-contained and that URLs that provide information related to the proposal should not be used because 1) the information could circumvent page limitations, 2) the reviewers are under no obligation to view the sites, and 3) the sites could be altered or abolished between the time of submission and the time of review.

Conformance to the 15-page limitation will be strictly enforced and may not be exceeded unless a deviation has been specifically authorized. (GPG Chapter II.A contains information on deviations.)

#### (III) Results from Prior NSF Support

If any PI or co-PI identified on the project has received NSF funding in the past five years, information on the award(s) is required. Each PI and co-PI who has received more than one award (excluding amendments) must report on the award most closely related to the proposal. The following information must be provided:

- (a) the NSF award number, amount and period of support;
- (b) the title of the project;





# Sections of an NSF Proposal

## References Cited (Required)

Reference information is required, and proposers must follow accepted scholarly practices in providing citations for source materials.

### *Text from the GPG*

- (c) a summary of the results of the completed work, including accomplishments related to the Broader Impact activities supported by the award and, for a research project, any contribution to the development of human resources in science and engineering;
- (d) publications resulting from the NSF award;
- (e) evidence of research products and their availability, including, but not limited to: data, publications, samples, physical collections, software, and models, as described in any Data Management Plan; and
- (f) if the proposal is for renewed support, a description of the relation of the completed work to the proposed work.

Reviewers will be asked to comment on the quality of the prior work described in this section of the proposal. Please note that the proposal may contain up to five pages to describe the results. Results may be summarized in fewer than five pages, which would give the balance of the 15 pages for the Project Description.

#### (iv) Unfunded Collaborations

Any substantial collaboration with individuals not included in the budget should be described and documented with a letter from each collaborator, which should be provided in the supplementary documentation section of the FastLane Proposal Preparation Module. Collaborative activities that are identified in the budget should follow the instructions in GPG Chapter II.D.4.

#### (v) Group Proposals

NSF encourages submission of proposals by groups of investigators; often these are submitted to carry out interdisciplinary projects. Unless stipulated in a specific program solicitation, however, such proposals will be subject to the 15-page Project Description limitation established in Section (ii) above. PIs who wish to exceed the established page limitations for the Project Description must request and receive a deviation in advance of proposal submission. (GPG Chapter II.A contains information on deviations.)

#### (vi) Proposals for Renewed Support

A proposal for renewed support may be either a "traditional" proposal in which the proposed work is documented and described as fully as though the proposer were applying for the first time; or, an "Accomplishment-Based Renewal" (ABR) proposal, in which the Project Description is replaced by copies of no more than six reprints of publications resulting from the research supported by NSF during the preceding three to five year period, plus a brief summary of plans for the proposed support period. (See GPG Chapter V for additional information on preparation of Renewal Proposals.)

#### 9. References Cited

Reference information is required. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. If the document is available electronically, the website address also should be identified.<sup>21</sup> Proposers must be especially careful to follow accepted scholarly practices in providing citations for source materials relied upon when preparing any section of the proposal. While there is no established page limitation for the references, this section must include bibliographic citations only and must not be used to provide parenthetical information outside of the 15-page Project Description.

<sup>21</sup>If the proposer has a website address readily available, that information should be included in the citation, as stated above. It is not NSF's intent, however, to place an undue burden on proposers to search for the URL of every referenced publication. Therefore, inclusion of a website address is optional. A proposal that includes reference citation(s) that do not specify a URL address is not considered to be in violation of NSF proposal preparation guidelines and the proposal will still be reviewed.



# Sections of an NSF Proposal

## Biographical Sketches (Required)

Biographical sketches are required for all senior project personnel and must not exceed two pages in length, per individual.

*Text from the GPG*

**f. Biographical Sketch(es)**

**(i) Senior Personnel**

A biographical sketch (limited to two pages) is required for each individual identified as senior project personnel. (See GPG Exhibit II-7 for the definitions of Senior Personnel.) The following information must be provided in the order and format specified below.

**Do not submit personal information such as home address; home telephone, fax, or cell phone numbers; home e-mail address; date of birth; citizenship; drivers' license numbers; marital status; personal hobbies; and the like. Such personal information is irrelevant to the merits of the proposal. If such information is included, NSF will make every effort to prevent unauthorized access to such material, but the Foundation is not responsible or in any way liable for the release of such material. (See also GPG Chapter III.G.)**

**(a) Professional Preparation**

A list of the individual's undergraduate and graduate education and postdoctoral training as indicated below:

Undergraduate Institution(s)	Major	Degree & Year
Graduate Institution(s)	Major	Degree & Year
Postdoctoral Institution(s)	Area	Inclusive Dates (years)

**(b) Appointments**

A list, in reverse chronological order, of all the individual's academic/professional appointments beginning with the current appointment.

**(c) Publications**

A list of: (i) up to five publications most closely related to the proposed project; and (ii) up to five other significant publications, whether or not related to the proposed project. Each publication identified must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. If the document is available electronically, the website address also should be identified.

For unpublished manuscripts, list only those submitted or accepted for publication (along with most likely date of publication). Patents, copyrights and software systems developed may be substituted for publications. Additional lists of publications, invited lectures, etc., must not be included.

**(d) Synergistic Activities**

A list of up to five 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. Examples could include, among others: innovations in teaching and training (e.g., development of curricular materials and pedagogical methods); contributions to the science of learning; development and/or refinement of research tools; computation methodologies, and algorithms for problem-solving; development of databases to support research and education; broadening the participation of groups underrepresented in science, mathematics, engineering and technology; and service to the scientific and engineering community outside of the individual's immediate organization.

**(e) Collaborators & Other Affiliations**

- Collaborators and Co-Editors.** A list of all persons in alphabetical order (including their current organizational affiliations) who are currently, or who have been collaborators or co-authors with the individual on a project, book, article, report, abstract or paper during the 48 months preceding the submission of the proposal. Also include those individuals who are currently or have been co-editors of a journal, compendium, or conference proceedings during the 24 months preceding the submission of the proposal. If there are no collaborators or co-editors to report, this should be so indicated.

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# Sections of an NSF Proposal

## Budget (Required)

Each proposal must contain a budget for each year of support requested. The budget justification should be no more than three pages for all years of the project combined.

### Example from FastLane

SUMMARY PROPOSAL BUDGET				YEAR 1		FOR NSF USE ONLY	
ORGANIZATION				PROPOSAL NO.	DURATION (months)		
NSF				AWARD NO.	Proposed	Granted	
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR							
Terry Demo							
A. SENIOR PERSONNEL (PI/PI, Co-PI's, Faculty, and Other Senior Associates (List each separately with title, A.T., show number in brackets))				NSF Funds (Indirects)	Funds Requested by Proposer	Funds Approved by NSF (Indirects)	
	CAL	ACAD	SUMR				
1. Terry Demo - none	0.00	0.00	0.00	460,000	\$		
2.							
3.							
4.							
5.							
6. ( ) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)	0.00	0.00	0.00		\$		
7. ( ) TOTAL SENIOR PERSONNEL (1 - 6)	0.00	0.00	0.00	460,000			
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)							
1. ( ) POST DOCTORAL SCHOLARS	0.00	0.00	0.00				
2. ( ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)	0.00	0.00	0.00				
3. ( ) GRADUATE STUDENTS							
4. ( ) UNDERGRADUATE STUDENTS							
5. ( ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)							
6. ( ) OTHER							
TOTAL SALARIES AND WAGES (A + B)					460,000		
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)							
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)					460,000		
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000)							
TOTAL EQUIPMENT							
E. TRAVEL							
1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)							
2. FOREIGN							
F. PARTICIPANT SUPPORT COSTS							
1. STIPENDS \$ _____							
2. TRAVEL _____							
3. SUBSISTENCE _____							
4. OTHER _____							
TOTAL NUMBER OF PARTICIPANTS ( )				TOTAL PARTICIPANT COSTS			
G. OTHER DIRECT COSTS							
1. MATERIALS AND SUPPLIES							
2. PUBLICATION COSTS DOCUMENTATION/COMMUNICATION							
3. CONSULTANT SERVICES							
4. COMPUTER SERVICES							
5. SUBAWARDS							
6. OTHER							
TOTAL OTHER DIRECT COSTS							
H. TOTAL DIRECT COSTS (A THROUGH G)					460,000		
I. INDIRECT COSTS (F&A) (SPECIFY RATE AND BASE)							
(Rate: , Base: )							
TOTAL INDIRECT COSTS (F&A)							
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)					460,000		
K. RESIDUAL FUNDS							
L. AMOUNT OF THIS REQUEST (J) OR (J) MINUS (K)					460,000		
M. COST SHARING PROPOSED LEVEL %							
AGREED LEVEL IF DIFFERENT %							
PI/PO NAME				FOR NSF USE ONLY			
Terry Demo				INDIRECT COST RATE VERIFICATION			
ORG. REF. NAME*				Date Checked	Date of Rate Sheet	Fiscal - OIG	
Terry Demo							

\* ELECTRONIC SIGNATURES REQUIRED FOR REVISED BUDGET



# Budgetary Guidelines

Information regarding budgetary guidelines can be found in both the GPG and in the Award & Administration Guide (AAG), as well as NSF program solicitations

Amounts should be:

- Realistic and reasonable
- Well-justified and should establish need
- Consistent with program guidelines

Eligible costs consist of:

- Personnel
- Equipment
- Travel
- Participant support
- Other direct costs (e.g., subawards, consultant services, computer services, and publications costs)



# NSF Cost Sharing Policy

- Inclusion of voluntary *committed* cost sharing is prohibited in solicited & unsolicited proposals.
  - To be considered voluntary committed cost sharing, the cost sharing must meet all of the standards of [2 CFR § 215.23](#), to include identification of cost sharing on the NSF budget.
  - Line M will be “grayed out” in FastLane.
- Organizations may, at their own discretion, continue to contribute any amount of voluntary uncommitted cost sharing to NSF-sponsored projects.



# Sections of an NSF Proposal

## Current & Pending Support (Required)

This section of the proposal calls for information on all current and pending support for ongoing projects and proposals.

*Example from FastLane*

Current and Pending Support				
(See GPG Section II.C.2.h for guidance on information to include on this form.)				
Investigator:		Other agencies (including NSF) to which this proposal has been/will be submitted:		
Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support				
Project/Proposal Title:				
Source of Support:				
Total Award Amount: \$		Total Award Period Covered:		
Location of Project:				
Person-Months Per Year Committed to the Project:		Cal:	Acad:	Sum:
Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support				
Project/Proposal Title:				
Source of Support:				
Total Award Amount: \$		Total Award Period Covered:		
Location of Project:				
Person-Months Per Year Committed to the Project:		Cal:	Acad:	Sum:
Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support				
Project/Proposal Title:				
Source of Support:				
Total Award Amount: \$		Total Award Period Covered:		
Location of Project:				
Person-Months Per Year Committed to the Project:		Cal:	Acad:	Sum:
Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support				
Project/Proposal Title:				
Source of Support:				
Total Award Amount: \$		Total Award Period Covered:		
Location of Project:				
Person-Months Per Year Committed to the Project:		Cal:	Acad:	Sum:

\*If this project has previously been funded by another agency, please list and furnish information for irreducibility preceding funding period.

Page G-C USE ADDITIONAL SHEETS AS NECESSARY



# Sections of an NSF Proposal

## Facilities, Equipment, and Other Resources (Required)

This section of the proposal is used to assess the adequacy of the organizational resources available to perform the effort proposed.

*Example from FastLane*

**FACILITIES, EQUIPMENT & OTHER RESOURCES**

---

**FACILITIES:** Identify the facilities to be used at each performance site listed and, as appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Use "Other" to describe the facilities at any other performance sites listed and at sites for field studies. USE additional pages as necessary.

**Laboratory:**

**Clinical:**

**Animal:**

**Computer:**

**Office:**

**Other:**

---

**MAJOR EQUIPMENT:** List the most important items available for this project and, as appropriate, identify the location and pertinent capabilities of each.

---

**OTHER RESOURCES:** Provide any information describing the other resources available for the project. Identify support services such as consultant, secretarial, machine shop, and electronics shop, and the extent to which they will be available for the project. Include an explanation of any consortia/contractual arrangements with other organizations.

---



# Sections of an NSF Proposal

## Special Information and Supplementary Documentation

This segment should alert NSF officials to unusual circumstances that require special handling; more information can be found in the GPG Chapter II.C.2.j.

*Text from the GPG*

Costs of entertainment, amusement, diversion and social activities and any costs directly associated with such activities (such as tickets to shows or sporting events, meals, lodging, rentals, transportation and gratuities) are unallowable. Travel, meal and hotel expenses of grantee employees who are not on travel status are unallowable. Costs of employees on travel status are limited to those allowed under the governing cost principles for travel expenses.

**(b) Meals and Coffee Breaks**

No NSF funds may be spent on meals or coffee breaks for intramural meetings of an organization or any of its components, including, but not limited to, laboratories, departments and centers.

**(c) Alcoholic Beverages**

No NSF funds may be spent on alcoholic beverages.

Additional information on charging certain types of costs generally associated with meetings and conferences to NSF awards is available in AAG Chapter V.C.5.

**h. Current and Pending Support**

This section of the proposal calls for required information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing grants. All current project support from whatever source (e.g., Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations) must be listed. The proposed project and all other projects or activities requiring a portion of time of the PI and other senior personnel must be included, even if they receive no salary support from the project(s). The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months per year to be devoted to the project, regardless of source of support. Similar information must be provided for all proposals already submitted or submitted concurrently to other possible sponsors, including NSF. Concurrent submission of a proposal to other organizations will not prejudice its review by NSF. Note the Biological Sciences Directorate exception to this policy, however, delineated in GPG Chapter I.G.2.

If the project now being submitted has been funded previously by a source other than NSF, the information requested in the paragraph above must be furnished for the last period of funding.

**i. Facilities, Equipment and Other Resources**

This section of the proposal is used to assess the adequacy of the organizational resources available to perform the effort proposed. Proposers should describe only those resources that are directly applicable. Proposers should include an aggregated description of the resources that the organization will provide to the project, should it be funded. Such information must be provided in this section, in lieu of other parts of the proposal (e.g., budget justification, project description). The description should be narrative in nature and must not include any quantifiable financial information. Reviewers will evaluate the information during the merit review process and the cognizant NSF Program Officer will review it for programmatic and technical sufficiency.

Although these resources are not considered cost sharing as defined in 2 CFR § 215.23 (OMB Circular A-110), the Foundation does expect that the resources identified in the Facilities, Equipment, and Other Resources section will be provided, or made available, should the proposal be funded. AAG Chapter II.B.1 specifies procedures for use by the awardee when there are postaward changes to objective, scope or methodology.

**j. Special Information and Supplementary Documentation**

Except as specified below, special information and supplementary documentation must be included as part of the Project Description (or part of the budget justification), if it is relevant to determining the quality of the proposed work. Information submitted in the following areas is not considered part of the 15-page Project Description limitation. This Special Information and Supplementary Documentation section also is not considered an appendix. Specific guidance on the need for additional documentation may be obtained from the organization's sponsored projects office or in the references cited below.

Grant Proposal Guide II-18 NSF 11-1





# Proposal Development Strategies:

## Key Questions for Prospective Investigators

- What do you intend to do?
- Why do you want to do it?
- How do you plan to do it?
- How will you know if you succeed?
- What benefits would accrue if the project is successful?

These questions apply both to the technical aspects of the proposal and the way in which the project may make broader contributions.



# Proposal Development Strategies for Individual Investigators:

- Determine your long-term research and education goals
- Develop your bright idea
  - Survey the literature
  - Contact other investigators currently working on the same subject
  - Prepare a brief concept paper
  - Discuss with your colleagues and mentors
- Read solicitation instructions carefully

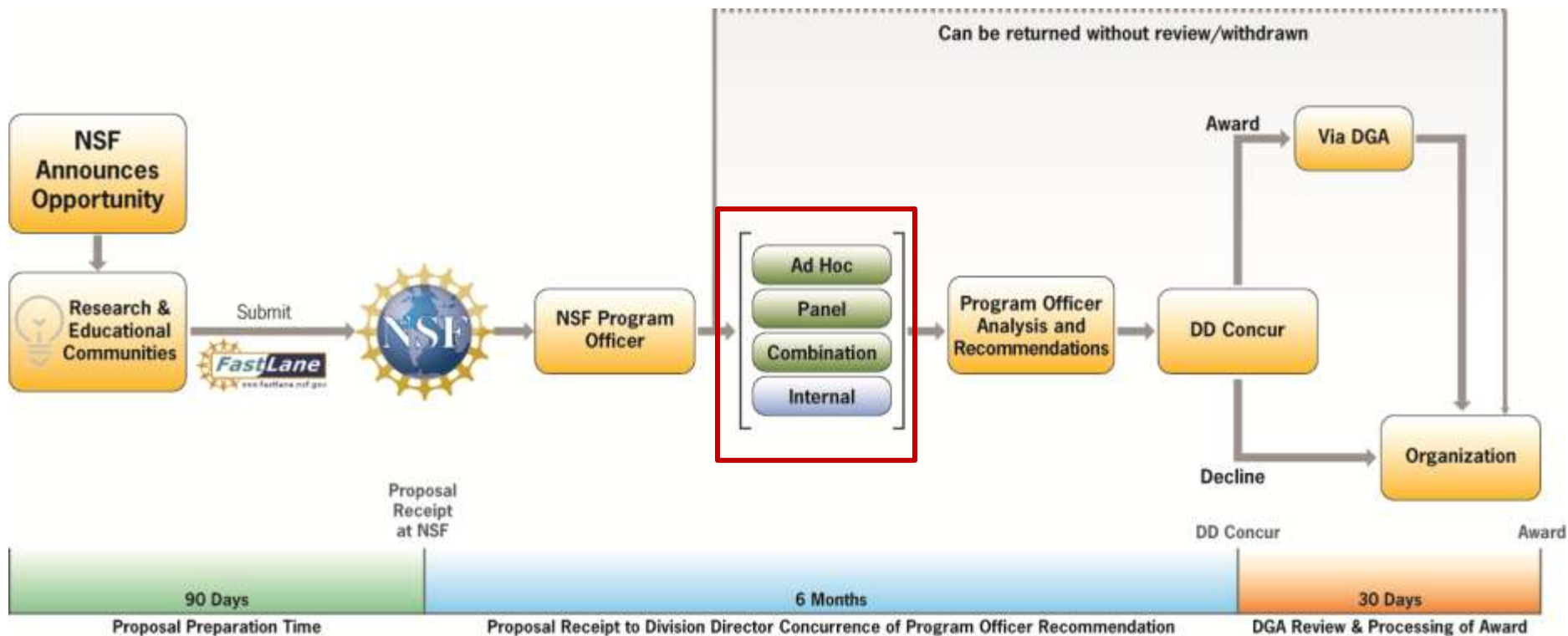


# Proposal Development Strategies for Individual Investigators:

- Prepare to carry out your project
  - Determine available resources
  - Realistically assess your needs
  - Develop preliminary data
  - Present to your colleagues, mentors, and students
- Determine possible funding sources
- Understand the ground rules



# Proposal Review and Processing





# Types of Reviews

- **Ad hoc: proposals sent out for review—**
  - *Ad hoc* reviewers usually have specific expertise in a field related to the proposal.
  - Some proposals may undergo *ad hoc* review only.
- **Panel: review conducted by peers at NSF—**
  - Panel reviewers usually have a broader scientific knowledge.
  - Some proposals may undergo only a panel review.
  - Some proposals may undergo reviews by multiple panels (especially for those proposals with cross-cutting themes).



# Types of Reviews

- **Combination:** some proposals may undergo supplemental *ad hoc* reviews after a panel review.
- **Internal: review by NSF Program Officers only—**
  - For example, proposals submitted to Rapid Response Research Grants (RAPID) and EARly-concept Grants for Exploratory Research (EAGER) are internally reviewed only.



# How are Reviewers Selected?

- **Types of reviewers recruited:**
  - Reviewers with specific content expertise
  - Reviewers with general science or education expertise
- **Sources of Reviewers:**
  - Program Officer's knowledge of the research area
  - References listed in proposal
  - Recent professional society programs
  - Computer searches of S&E journal articles related to the proposal
  - Former reviewers
  - Reviewer recommendations included in proposal or sent by email
- **Three to ten external reviewers per award are selected.**



## What is the Role of the Reviewer?

- **Review all proposal material and consider:**
  - The two NSF merit review criteria and any program specific criteria.
  - The adequacy of the proposed project plan including the budget, resources, and timeline.
  - The priorities of the scientific field and of the NSF program.
  - The potential risks and benefits of the project.
- **Make independent written comments on the quality of the proposal content.**





## What is the Role of the Review Panel?

- **Discuss the merits of the proposal with the other panelists**
- **Write a summary proposal review based on that discussion**
- **Provide some indication of the relative merits of different proposals considered**



## Why Serve on an NSF Panel?

- **Gain first-hand knowledge of the merit review process**
- **Learn about common problems with proposals**
- **Discover proposal writing strategies**
- **Meet colleagues and NSF Program Officers managing the programs related to your research**



## How Do I Become a Reviewer?

- **Contact the NSF Program Officer(s) of the program(s) that fit your expertise:**
  - Introduce yourself and your research experience.
  - Tell them you want to become a reviewer for their program.
  - Ask them when the next panel will be held.
  - Offer to send a 2-page CV with current contact information.
  - Stay in touch if you don't hear back right away



# Managing Conflicts of Interest in the Review Process

- **The primary purpose is to remove or limit the influence of ties to an applicant institution or investigator that could affect reviewer advice.**
- **The secondary purpose is to preserve the trust of the scientific community, Congress, and the general public in the integrity, effectiveness, and evenhandedness of NSF's merit review process.**



## Examples of Affiliations with Applicant Institutions

- **Current employment at the institution**
- **Other association with the institution, such as being a consultant**
- **Being considered for employment or any formal or informal reemployment arrangement at the institution**
- **Any office, governing board membership, or relevant committee membership at the institution**



## **Examples of Personal Relationships with Investigator or Project Director**

- **Known family or marriage relationship**
- **Business partner**
- **Past or present thesis advisor or thesis student**
- **Collaboration on a project or book, article, or paper within the last 48 months**
- **Co-edited a journal, compendium, or conference proceedings within the last 24 months**



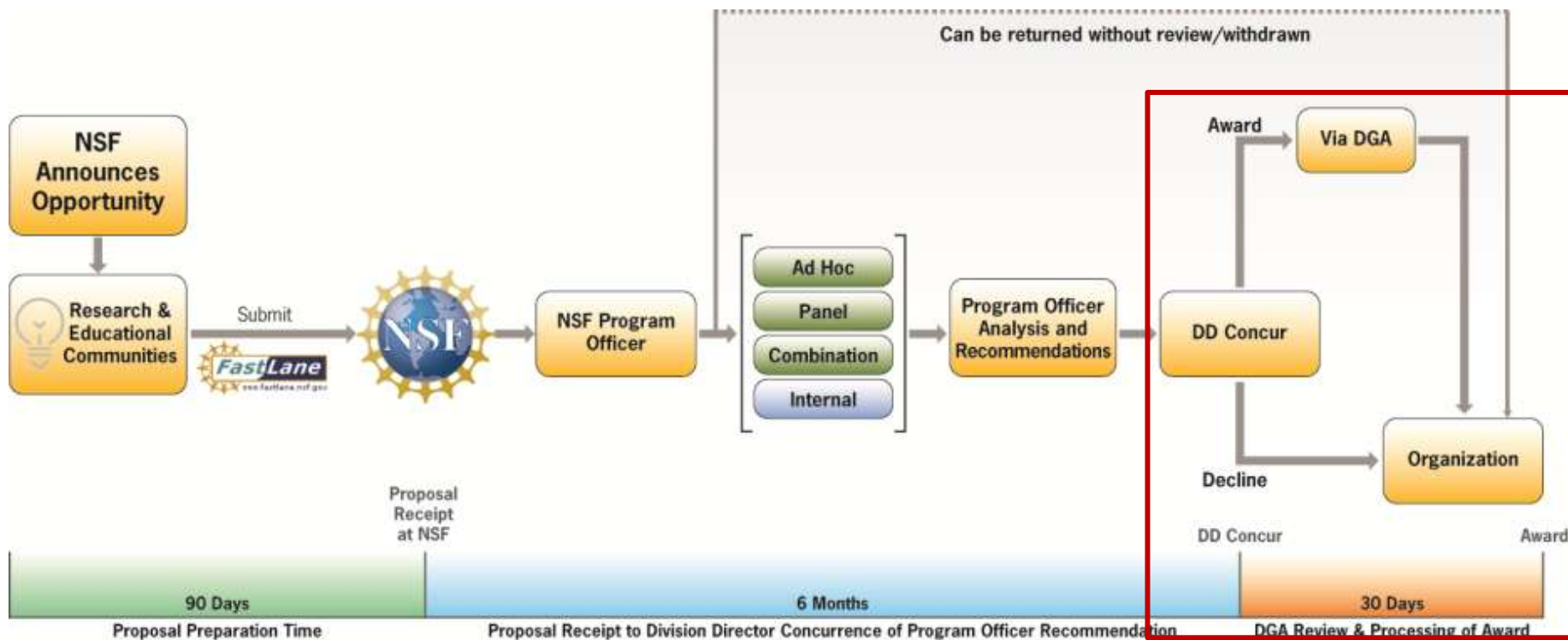
## Find Support for Proposal Writing

- NSF Publications
  - Program announcements and solicitations
  - Proposal & Award Policies & Procedures Guide
  - Program Web pages
  - Funded project abstracts
  - Reports and special publications
- Targeted workshops
- Program Officers
- Mentors on Campus
- Former panelists
- Sponsored Research Office
- Successful proposals

**Finally, serving as a reviewer is helpful as well!**



# Award Processing







## Issuing the Award

- **NSF's Division of Grants and Agreements (DGA) reviews the recommendation from the program office for business, financial, and policy implications.**
- **NSF's grants and agreements officers make the official award as long as:**
  - The institution has an adequate grants management capacity.
  - The PI/Co-PIs do not have overdue annual or final reports.
  - There are no other outstanding issues with the institution or PI.



## **For More Information**

# **Ask Early, Ask Often!**

**[nsf.gov/staff](http://nsf.gov/staff)**

**[nsf.gov/staff/orglist.jsp](http://nsf.gov/staff/orglist.jsp)**

**[nsf.gov/about/career\\_opps/rotators/index.jsp](http://nsf.gov/about/career_opps/rotators/index.jsp)**