FALL 2022 NSF VIRTUAL GRANTS CONFERENCE

Proposal Preparation
Panelists

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Randy Phelps
Staff Associate, Office of Integrative Activities; Office of the Director

Jennifer Wade
Program Director, Division of Earth Sciences, Directorate for Geosciences
Topics Covered

• Find Funding Opportunities
• Proposal and Award Policies and Procedures Guide
• Types of Proposal Submissions
• Sections of an NSF Proposal
• Postdoctoral Mentoring Plans
• Data Management Plans

“Ask Early, Ask Often!”
NSF Funding & Research Community

SPECIAL NOTICES

Dear Colleague Letter: Research Protection
Personnel Policy on Foreign Government Talent Recruitment Programs
NSF Issues Revised Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 20-1)
NSF Responses to Natural Disasters
Training in Responsible Conduct of Research – A Reminder of the NSF Requirement
NSF and Congress: Latest Actions
NSF Strategic Plan for FY 2018-2022
Important information about DMARC and email delivery from NSF

EVENT CALENDAR

- Oct 8, 2020 - OCTOBER 8, 2020
  - Enabling the quantum revolution- pioneering advances to achieve quantum computing & impact at scale
    WEBCAST

- Oct 8, 2020 - OCTOBER 8, 2020
  - National Science Board SEP Teleconference: REVISED
    NSF TELECONFERENCE

- Oct 9, 2020 - OCTOBER 9, 2020
  - Postdoctoral Research Fellowships in Biology Webinars
    WEBCAST

View All Events
Other Ways to Find Funding

Use the Search Feature in Grants.gov
The Proposal & Award Policies & 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.

- Part I is NSF’s proposal preparation and submission guidelines
- Part II is NSF’s award and administration guidelines
What is the Proposal & Award Policies & Procedures Guide? (cont’d)

- 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 not be accepted or returned without review
- Describes process for withdrawals, returns, and declinations
- Includes policies to guide, manage, and monitor the award and administration of grants and cooperative agreements
Types of Funding Opportunities

- **Program Descriptions**: Proposals for a Program Description must follow the instructions in the PAPPG.

- **Program Announcements**: Proposals for a Program Announcement must follow the instructions in the PAPPG.

- **Program Solicitations**: Proposals must follow the instructions in the Program Solicitation; the instructions in the PAPPG 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.

Funding Opportunities
What to Look for in a Program Announcement or Solicitation

Goal of Program

Eligibility

Special proposal preparation and/or award requirements
<table>
<thead>
<tr>
<th>Full Proposal Deadline(s) (due by 5 p.m. submitter’s local time):</th>
</tr>
</thead>
<tbody>
<tr>
<td>April 04, 2018</td>
</tr>
<tr>
<td>April 02, 2019</td>
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</tbody>
</table>
Sample Cover Page of a Solicitation

Number of awards funded by the program per year

Funds available to the program per year

Award Information

Anticipated Type of Award: Cooperative Agreement

Estimated Number of Awards: 1 to 3

In FY 2018, up to three (3) NSF INCLUDES Alliance awards will be made pending the availability of funds.

Anticipated Funding Amount: $8,500,000

In FY 2018, approximately $8.5 million is available to fund new NSF INCLUDES Alliance awards.
Eligibility Information

Who May Submit Proposals:
The categories of proposers eligible to submit proposals to the National Science Foundation are identified in the NSF Proposal & Award Policies & Procedures Guide (PAPPG), Chapter I.E.

Who May Serve as PI:
There are no restrictions or limits.

Limit on Number of Proposals per Organization:
An organization may serve as the lead institution on only one Alliance proposal. Organizations that serve as the lead institution on an Alliance proposal may still participate in other Alliance proposals as a collaborating institution. In the event that an organization exceeds the limit of one proposal as lead, proposals received within the limit will be accepted based on earliest date and time of proposal submission. No exceptions will be made.

Limit on Number of Proposals per PI or Co-PI:
An individual may serve as a PI or Co-PI on only two (2) NSF INCLUDES Alliance proposals. Proposals that exceed the PI or Co-PI limit will be returned without review. In the event that an individual exceeds this limit, proposals received within the limit will be accepted based on earliest date and time of proposal submission. No exceptions will be made.
Types of Proposal Submissions

NO DEADLINES
Proposals may be submitted at any time.
Types of Proposal Submissions

TARGET DATES
Talk to the Program Office if you think you might miss the date

F. When to Submit Proposals

Proposers should allow adequate time for processing of proposals (see Chapter 1.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 or will be returned without review by NSF. The deadline date will be waived only in extenuating circumstances. Such a deviation only may be authorized in accordance with Chapter II.A.
Types of Proposal Submissions

DEADLINE DATES
Proposals will not be accepted after this date and time (5 p.m. submitter’s local time)
Types of Proposal Submissions

SUBMISSION WINDOWS
Proposals will not be accepted after this date and time (5 p.m. submitter’s local time)

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. Letters of Intent

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

An LOI normally contains the Principal Investigator’s (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. An LOI is not externally evaluated or used to decide on funding. The requirement to submit an LOI will be identified in the program solicitation, and such letters are submitted electronically to NSF. Failure to submit a required LOI identified in a program solicitation will result in a full proposal not being accepted or returned without review.
Types of Proposal Submissions

PRELIMINARY PROPOSALS
Sometimes required, sometimes optional

2. Preliminary Proposals
Some NSF program solicitations require or request submission of a preliminary proposal in advance of submission of a full proposal. The three 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 when the community senses that a major new direction is being identified, or competitions that will result in a small number of awards;
- increase the overall quality of the full submission; and
- assist NSF program staff in managing the review process and in the selection of reviewers.
Some proposal documents are for “NSF Use Only” and are not provided to reviewers

- Authorization to deviate from proposal preparation requirements
- List of suggested reviewers to include or not to include
- Proprietary or privileged information
- Proposal certifications
- Information about collaborators and other affiliations
Required Sections of a Research Proposal

- Cover Sheet
- Project Summary
- Project Description
- References Cited
- Biographical Sketch(es)
- Budget
- Budget Justification
- Current and Pending Support
- Facilities, Equipment and Other Resources
- Data Management Plan
- Postdoctoral Mentoring Plan (if applicable)

Proposals that do not contain these required sections may not be accepted
Sections of an NSF Proposal

Cover Sheet (Required)
• Many of the boxes on the cover sheet are electronically prefilled as part of the login process.
**Project Summary** (Required)

- Must contain an Overview and Statements on Intellectual Merit and Broader Impacts.
- Proposals that do not separately address the Overview and both Merit Review criteria in text boxes will not be accepted.
Sections of an NSF Proposal

**Project Description (Required)**

- Proposers should address what they want to do, why they want to do it, how they plan to do it, how they will know if they succeed, and what benefits could accrue if the project is successful.

- A separate section within the narrative must include a discussion of the broader impacts of the proposed activities.
References Cited (Required)

• Reference information is required, and proposers must follow accepted scholarly practices in providing citations for source materials.
Biographical Sketches (Required)

- Biographical sketches are required for all senior project personnel and must not exceed three pages in length, per individual.
- The Biographical Sketch is used to assess how well qualified the individual, team, or organization is to conduct the proposed activities.

Text from the PAPPG

• An NSF-approved format must be used for all senior project personnel.
Budget & Budget Justification (Required)

- Each proposal must contain a budget for each year of support requested.
- The budget justification should be no more than five pages for all years of the project combined.
- Proposals containing subawards must include a separate budget justification of no more than five pages for each subaward.
Information regarding budgetary guidelines can be found in PAPPG 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 operations costs)
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.
Current and Pending Support (Required)

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

• NSF uses the information to assess the capacity of the individual to carry out the research as proposed as well as to help assess any potential overlap/duplication.

• Current and Pending Support must be provided through use of an NSF-approved format.

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h. Current and Pending Support

(i) This section of the proposal is used to assess the capacity of the individual to carry out the research as proposed, as well as to help assess any potential overlap/duplication with the project being proposed.

(ii) Current and pending support information must be separately provided through use of an NSF-approved format, for each individual designated as senior personnel on the proposal. Current and pending support includes all resources made available to an individual in support of and/or related to all of his/her research efforts, regardless of whether or not they have monetary value, except as noted in paragraph (v) below. Current and pending support also includes in-kind contributions (such as

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32 A table entitled, NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending Support, has been developed to assist users in completion of these sections of the proposal.

33 A set of Frequently Asked Questions regarding the NSF-approved formats has been developed to assist users in completion of this section of the proposal.
# NSF Pre-award and Post-award Disclosures

## Relating to the Biographical Sketch and Current and Pending Support

**April 20, 2022**

<table>
<thead>
<tr>
<th>Type of Activity</th>
<th>Biographical Sketch</th>
<th>Current &amp; Pending Support</th>
<th>Facilities, Equipment &amp; Other Resources</th>
<th>Project Reports</th>
<th>Post-Award Information Term &amp; Condition</th>
<th>Disclosure Not Required</th>
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</thead>
<tbody>
<tr>
<td>Undergraduate, graduate, and postdoctoral training, including location, major/area and degree and year</td>
<td>✓</td>
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<tr>
<td>Academic, professional or institutional appointments, whether or not remuneration is received, and, whether full-time, part-time, or voluntary</td>
<td>✓</td>
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<tr>
<td>All projects (including this project) currently under consideration from whatever source, and all ongoing projects, irrespective of whether support is provided through the proposing organization, another organization or directly to the individual</td>
<td>✓</td>
<td>✓</td>
<td>✓*</td>
<td></td>
<td>✓*</td>
<td>✓♦</td>
</tr>
<tr>
<td>In-kind contributions that support the research activity for use on the project/proposal being proposed</td>
<td>✓</td>
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</tbody>
</table>
Sections of an NSF Proposal

Special Information and Supplementary Documentation
This section is used for the required data management plan, postdoctoral mentoring plan and other pertinent supplementary information, such as letters of collaboration; more information can be found in the PAPPG, Chapter II.C.2.j.
Letter of Collaboration

Letter should consist of a single-sentence statement of collaboration:

• “If the proposal submitted by Dr. [name of the PI] entitled [proposal title] is selected for funding by the NSF, it is my intent to collaborate and/or commit resources as detailed in the Project Description or the Facilities, Equipment and Other Resources section of the proposal."

• Must NOT recommend or endorse PI or project

All relevant collaborative activities should be described in the Project Description, or in the Facilities, Equipment and Other Resources pages, such as:

• Intellectual contributions to the project
• Permission to access a site, use instrumentation or facility
• Offer to furnish samples / materials for research
• Logistical support / evaluation services
• Mentoring of U.S. students at a foreign site, if applicable
Mentoring for Postdoctoral Researchers

• Proposals that include funding to support postdoctoral researchers must include a description of the mentoring activities that will be provided for such individuals.

• Proposed mentoring activities will be evaluated as part of the merit review process, under NSF’s Broader Impacts merit review criterion.

• Proposals that identify a postdoc on the budget but do not include a maximum one-page mentoring plan as a supplementary document will be prevented from submission.

• For collaborative proposals, the lead organization must submit a mentoring plan for all postdoctoral researchers supported under the entire collaborative project.
Mentoring activities may include:

- Providing career counseling, training in the preparation of grant proposals, or training in responsible professional practices.
- Developing publications and presentations.
- Offering guidance on techniques to improve teaching and mentoring skills.
- Providing counseling on how to effectively collaborate with researchers from diverse backgrounds and disciplinary areas.
• All proposals are required to include, as a supplementary doc, a Data Management Plan of up to two pages.

• Plan should describe how the proposal will conform to NSF policy on dissemination and sharing of research results.

• A valid Data Management Plan may include only the statement that no detailed plan is needed, as long as a clear justification is provided.

• Plan will be reviewed as part of the Intellectual Merit and/or Broader Impacts of the proposal.
For More Information

“Ask Early, Ask Often!”

- nsf.gov/staff
- nsf.gov/staff/orglist.jsp
- nsf.gov/about/career_opps/rotators/index.jsp