

Research Coordination Networks in Biological Sciences (RCN)

Program Solicitation

NSF 05-569

Replaces Document NSF 04-567



National Science Foundation
Directorate for Biological Sciences

Full Proposal Target Date(s):

June 27, 2005

Last Monday in June

annually thereafter through 2009

REVISIONS AND UPDATES

In furtherance of the President's Management Agenda, in Fiscal Year 2005, NSF has identified 23 programs that will offer proposers the option to utilize Grants.gov to prepare and submit proposals. Grants.gov provides a single Government-wide portal for finding and applying for Federal grants online.

Proposers may opt to submit proposals in response to this Program Solicitation via Grants.gov or via the NSF [FastLane](#) system.

In determining which method to utilize in the electronic preparation and submission of the proposal, please note the following:

- A. Collaborative Proposals. As stipulated in the Eligibility Information Section of this Solicitation, collaborative proposals must be submitted by one lead organization (and may include one or more subawards.) These types of proposals must be submitted via the NSF FastLane system.

Proposers are advised that collaborative proposals submitted in response to this Program Solicitation via Grants.gov will be requested to be withdrawn and proposers will need to resubmit these proposals via FastLane. (Chapter II, Section D.3 of the Grant Proposal Guide provides additional information on collaborative proposals.)

- B. All Other Types of Proposals That Contain Subawards. All other types of proposals that contain one or more subawards also must be submitted via the NSF FastLane system.

The following Revisions and Updates were included in the original program solicitation NSF 05-569:

This program solicitation clarifies the eligible organizations as awardees and subawardees. Further information can be found in Section III. Eligibility Information.

SUMMARY OF PROGRAM REQUIREMENTS

General Information

Program Title:

Synopsis of Program:

The goal of this program is to encourage and foster interactions among scientists to create new research directions or advance a field. Innovative ideas for implementing novel networking strategies are especially encouraged. Groups of investigators will be supported to communicate and coordinate their research, training and educational activities across disciplinary, organizational, institutional, and geographical boundaries. The proposed networking activities should have a theme as a focus of its collaboration. The focus could be on a broad research question, a specific group of organisms, or particular technologies or approaches.

Cognizant Program Officer(s):

- Please see the full text of this funding opportunity for contact information.

Applicable Catalog of Federal Domestic Assistance (CFDA) Number(s):

- 47.074 --- Biological Sciences

Eligibility Information

• Organization Limit:

Proposals are invited from U.S. academic institutions, U.S. non-profit research organizations including museums, research laboratories, professional societies and similar organizations in the U.S. that are directly associated with educational or research activities, and consortia of such organizations with appropriate research and educational facilities. Although the research coordination networks are expected to be multi-organizational, a single organization must serve as the lead and all other organizations as subawardees. Organizations ineligible to submit to this program solicitation may not receive subawards. If they are part of the proposed network, their participation is expected to be supported by non-NSF sources. Please note that, at this time, proposals that contain subawards may not be submitted via Grants.gov.

- **PI Eligibility Limit:** None Specified.
- **Limit on Number of Proposals:** None Specified.

Award Information

- **Anticipated Type of Award:** Continuing Grant
- **Estimated Number of Awards:** 5 to 10 - awards in FY 2006
- **Anticipated Funding Amount:** \$1,200,000 will be available for new RCN awards in FY 2006, pending availability of funds.

Proposal Preparation and Submission Instructions

A. Proposal Preparation Instructions

- Full proposals submitted via FastLane:
 - Grant Proposal Guide (GPG) Guidelines apply
- Full proposals submitted via Grants.gov:
 - NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov Guidelines apply (Note: The NSF Grants.gov Application Guide is available on the Grants.gov website and on the NSF website at: <http://www.nsf.gov/bfa/dias/policy/docs/grantsgovguide.pdf>) To obtain copies of the Application Guide and Application Forms Package: click on the Apply tab on the Grants.gov website, then click on the **Apply Step 1: Download a Grant Application Package and Application Instructions** link and enter the funding opportunity number, (the program solicitation number without the NSF prefix) and press the Download Package button.

Please note that this solicitation includes supplemental proposal preparation instructions that apply to all proposals submitted to the RCN program.

B. Budgetary Information

- **Cost Sharing Requirements:** Cost Sharing is not required by NSF.
- **Indirect Cost (F&A) Limitations:** Not Applicable.
- **Other Budgetary Limitations:** Not Applicable.

C. Due Dates

- **Full Proposal Target Date(s):**
June 27, 2005
Last Monday in June
annually thereafter through 2009

Proposal Review Information

- **Merit Review Criteria:** National Science Board approved criteria apply.

Award Administration Information

- **Award Conditions:** Standard NSF award conditions apply.
- **Reporting Requirements:** Standard NSF reporting requirements apply.

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I. INTRODUCTION

The Directorate for Biological Sciences announces plans to continue its support of research coordination networks designed to foster communication and promote collaboration among scientists with common interests from a broad background across disciplinary, geographical, and organizational boundaries. The ultimate objective is to move a field forward or to create new research directions or opportunities through increased research coordination and networking. It is anticipated that this program will contribute to further advances in all areas of biological sciences under the purview of the Directorate for Biological Sciences at the National Science Foundation. Past RCN awards can be found at <http://www.nsf.gov/bio/pubs/awards/rcnactive.htm>.

II. PROGRAM DESCRIPTION

Support will be provided for groups of investigators to communicate and coordinate their research efforts across disciplinary, organizational, institutional and geographical boundaries. The objectives are to facilitate open communication and exchange of information and resources, to integrate research activities of scientists working independently on topics of common interest, to nurture a sense of community among young scientists, and to minimize isolation and maximize cooperation so as to eliminate unnecessary duplication of efforts. Specific features of the program include:

1. Topic/focus of research coordination. The research coordination network/group will have a common theme as a focus of its activities. For example, the focus could be on a research question, a specific group of organisms, or particular technologies or approaches. All well-justified, cohesive proposals designed to advance a field of research under the purview of the Directorate for Biological Sciences (BIO) at NSF through research coordination will be considered. Please note that BIO does not support biomedical research.
2. Principal investigator (PI). Although the research coordination networks are expected to involve investigators from multiple sites, a single organization must serve as the submitting organization for each proposal. The PI is the designated contact person for the group and is expected to provide leadership in fully coordinating and integrating the activities of the group. Strong, central leadership and clear lines of responsibility are essential for successful networking.
3. Group members. The size of a group/network is expected to vary depending on the theme and the needs of the proposed activity. The group may be regional, national, or international. It is expected that a proposed group will involve investigators at diverse organizations. The inclusion of new researchers, post-docs, graduate students, and undergraduates is encouraged. Specific efforts to increase participation of underrepresented groups must be included. In the proposal, an initial, core group of participants should be identified. However, there should be clearly developed mechanisms to maintain openness, ensure access, and actively promote participation by interested parties outside of the initial core group of participants in the proposed network.
4. International participation. Biology in the 21st century is global in character and it is expected that many RCN projects may include international participants. In RCN projects with an international scope, NSF funds may be used for:
 - Travel expenses for US scientists and students participating in exchange visits integral to the RCN project
 - RCN-related expenses for international partners to participate in networking activities while present as a visitor in a participating US host laboratory
 - RCN-related expenses for US participants to conduct networking activities in the international partner's home laboratory

NSF funds may not be used to support the expenses of the international scientists and students at their home organization. However, these are important activities and NSF encourages the international partners to secure support for their efforts from their own national programs.

5. Coordination/management mechanism. The proposal should include a clearly defined management plan. The plan should include a description of the specific roles and responsibilities of the Coordinator and other members of the group/network. Mechanisms for allocating funds, such as a steering committee, should be clearly articulated. The plan should include provisions for flexibility to allow the structure of the group to change over time as membership and the network's foci evolve. Mechanisms for assessing progress and the effectiveness of the networking activities should be part of the management plan.

6. Information and material sharing. The goals of this program are to promote effective communication and to enhance opportunities for collaboration. Proposers are expected to develop and present a clearly delineated understanding of individual members rights to ideas, information, data and materials produced as a result of the award that is consistent with the goals of the program. When the proposed activity involves generation of community resources such as databases or unique biological materials, a plan for their timely release and the mechanism of sharing must be described in the proposal. In addition, a plan for long-term maintenance of such resources must be described without assuming continued support from NSF.

III. ELIGIBILITY INFORMATION

Organization Limit: Proposals are invited from U.S. academic institutions, U.S. non-profit research organizations including museums, research laboratories, professional societies and similar organizations in the U.S. that are directly associated with educational or research activities, and consortia of such organizations with appropriate research and educational facilities. Although the research coordination networks are expected to be multi-organizational, a single organization must serve as the lead and all other organizations as subawardees. Organizations ineligible to submit to this program solicitation may not receive subawards. If they are part of the proposed network, their participation is expected to be supported by non-NSF sources. Please note that, at this time, proposals that contain subawards may not be submitted via Grants.gov.

PI Eligibility Limit: None Specified.

Limit on Number of Proposals: None Specified.

IV. AWARD INFORMATION

It is anticipated that approximately \$1.2 million will be available for approximately 5-10 awards in FY 2006. Awards range in size from \$50,000 - \$100,000 per year and award duration is up to five years. Estimated program budget, number of awards and average award size/duration are subject to the quality of proposals received and the availability of funds.

V. PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions

Full Proposal Instructions:

Proposers may opt to submit proposals in response to this Program Solicitation via Grants.gov or via the NSF FastLane system.

- Full proposals submitted via FastLane:

Proposals submitted in response to this program solicitation via the NSF FastLane System should be prepared and submitted in accordance with the general guidelines contained in the NSF *Grant Proposal Guide* (GPG). The complete text of the GPG is available electronically on the NSF Website at: <http://www.nsf.gov/cgi-bin/getpub?gpg>. Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from pubs@nsf.gov.

Proposers are reminded to identify the program announcement/solicitation number (05-569) in the program announcement/solicitation block on the proposal Cover Sheet. Compliance with this requirement is critical to determining the relevant proposal processing guidelines. Failure to submit this information may delay processing.

The following exceptions and additions to standard Grant Proposal Guide proposal preparation instructions apply to proposals submitted in response to this Program:

FastLane Cover Sheet: Select this program solicitation number from the pull down list. The RCN program

will automatically be selected. An informative title for the proposed project, that begins with "RCN:", must be provided. Entries on the FastLane Cover Sheet are limited to the principal investigator and a maximum of 4 co-principal investigators. Additional co-principal investigators should be listed on the Project Summary page and entered into FastLane as Senior Investigators (this latter provision allows their biographical sketches to be included in the FastLane proposal). For more FastLane instructions see section D below.

Project Summary: May not be more than one page in length, must consist of three parts: (1) a list of core network participants along with their home organizations; (2) a succinct summary of the intellectual merit of the proposed project including the goal of the proposed network, major planned networking activities, and mechanisms for actively promoting participation by all interested parties; and (3) the broader impacts of the proposed work. Proposals that do not separately address both intellectual merit and broader impacts will be returned without review.

Project Description (maximum 15 pages): The following exceptions and additional items should be noted.

1. "Results from Prior Support" need not be included unless the proposed activity is clearly a logical extension of an activity supported by NSF ((see the Special Information and Supplementary Documentation section below). In the case of such an extension, describe (up to 5 pages to be counted within the 15-page limit) the prior activity and how it relates to the proposed activity. Please note that a renewal proposal to continue essentially the same activities of the original RCN project will receive a low priority.
2. In addition to objectives, rationale, justification and research coordination activities, all special features outlined in Section II. Program Description above should be addressed including:

Management plan. Describe plans and procedures for the development and assessment of the proposed activity. Include formal mechanisms to ensure fair and equitable allocation of group resources. Clearly define the responsibilities for leadership and the role of the PI and clearly state the roles for all core participating scientists. Delineate the procedures used for the selection of initial core group members, and the plans for maintaining an appropriate degree of openness and for encouraging the involvement of additional interested parties. Means for self-evaluation of progress toward the network goals should be presented as an important part of the management plan.

Coordination plan. If the proposed network will work with an established network or group, or if there is a similar activity being planned or ongoing in other countries, describe the plans for coordination and cooperation among the relevant networks.

Information and material sharing. Give careful consideration to issues related to intellectual property rights and materials sharing in the management plan. For example, if the proposed activity is expected to result in community resources (such as databases or collections of biological materials), present a clear plan for sharing of these resources not only among the network participants but with the scientific community at large. Address in the proposal plans for determining authorship or proper attribution of credit for peer-reviewed or other publications, Internet resources, etc. that may be expected to result from the activity.

Increasing diversity. A research coordination network is an important opportunity for encouraging the involvement of underrepresented minority investigators and investigators located in a diverse range of organizations. Describe (1) a well designed plan to increase participation of members of under-represented groups that is specific to the proposed project; (2) a plan to involve investigators at a variety of organizational settings; (3) if applicable, a plan to include new researchers, post-docs, graduate students and undergraduates; and (4) how the plans for increasing diversity are integrated with the proposed project plan.

Budget: Provide yearly budgets for the duration of the proposed project. When subawards are involved yearly budgets are required for each subaward. FastLane will generate cumulative budgets for the primary and subaward organizations. Budget justification (of up to three pages) is required. Organizations ineligible to submit to this program solicitation may not receive subawards. If they are part of the proposed network, their participation is expected to be supported by non-NSF sources.

Allowable costs for international collaboration are described in Section II. Program Description.

Funds may be requested to promote collaborative activities, such as short visits among member laboratories, exchange visits of students, sharing of unique facilities, establishment of a public web site, network retreats, partial support of workshops uniquely tied to the network activities, etc. Any well-justified activity that fulfills the goals of the Program will be considered. Innovative ideas for implementing novel networking strategies to promote research collaborations and enable new research directions or advancement of a field are especially encouraged. The PI's of the RCN awards will be asked to attend a

meeting of the network coordinators to be held at the National Science Foundation every two years beginning in FY2007. Include the necessary travel costs for attendance at the meeting in the proposed budget.

Full negotiated indirect cost rates will apply for awards under this Program. Note that funds requested to support activities of the network participants, such as participants travel, materials and supplies for the network projects, and network retreats should be listed on Line F "participant support" in the proposed budget, and managed by the submitting organization. Under this solicitation, indirect costs (F&A) are not allowed on participant support costs.

Funds from this program may not support independent, individual research projects of the participants; nor are they to be used as a mechanism for a mini-grant awarding program.

Special Information and Supplementary Documentation: In addition to the applicable items described in the Grant Proposal Guide (<http://www.nsf.gov/cgi-bin/getpub?gpg>), include the following appendix information, clearly labeled, in the Supplementary Docs section of the FastLane Form Preparation system. **(No other appendix material will be allowed.):**

1. Current Activities: PI and the core participants listed in the project summary must provide a single-page (per investigator) description of the relationship between the proposed project and current research activities in his/her laboratory. This page replaces the "Results of Prior Support" section normally found in NSF proposals.
 2. Conflicts of Interest list: Provide a list, in a single alphabetized table, with the full names of all people with conflicts of interest for all senior personnel (PI and Co-PIs if any) and any named personnel whose salary is requested in the project budget. Conflicts to be identified are (1) PhD thesis advisors or advisees, (2) collaborators or co-authors, including postdocs, for the past 48 months, and (3) any other individuals or organizations with which the investigator has financial ties (please specify type).
 3. Letters of Collaboration: Include letters of collaboration from an entity that is an integral part of the proposed project (such as the international collaborator) in this section. However, general letters of endorsement will not be accepted.
- Full proposals submitted via Grants.gov:

Proposals submitted in response to this program solicitation via Grants.gov should be prepared and submitted in accordance with the NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov. The complete text of the NSF Grants.gov Application Guide is available on the Grants.gov website and on the NSF website at: <http://www.nsf.gov/bfa/dias/policy/docs/grantsgovguide.pdf>) To obtain copies of the Application Guide and Application Forms Package, click on the Apply tab on the Grants.gov site, then click on the **Apply Step 1: Download a Grant Application Package and Application Instructions** link and enter the funding opportunity number, (the program solicitation number without the NSF prefix) and press the Download Package button. Paper copies of the Grants.gov Application Guide also may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from pubs@nsf.gov.

The following exceptions and additions to standard Grants.gov Application Guide proposal preparation instructions apply to proposals submitted in response to this Program:

SF 424 (R&R) Cover Sheet: An informative title for the proposed project, that begins with "RCN:", must be provided.

Project Summary: May not be more than one page in length, must consist of three parts: (1) a list of core network participants along with their home organizations; (2) a succinct summary of the intellectual merit of the proposed project including the goal of the proposed network, major planned networking activities, and mechanisms for actively promoting participation by all interested parties; and (3) the broader impacts of the proposed work. Proposals that do not separately address both intellectual merit and broader impacts will be returned without review.

Project Description (maximum 15 pages): The following exceptions and additional items should be noted.

1. "Results from Prior Support" need not be included unless the proposed activity is clearly a logical extension of an activity supported by NSF ((see the Special Information and Supplementary Documentation section below). In the case of such an extension, describe (up to 5 pages to be counted within the 15-page limit) the prior activity and how it relates to the proposed activity. Please note that a renewal proposal to continue essentially the same activities of the original RCN project

will receive a low priority.

2. In addition to objectives, rationale, justification and research coordination activities, all special features outlined in Section II. Program Description above should be addressed including:

Management plan. Describe plans and procedures for the development and assessment of the proposed activity. Include formal mechanisms to ensure fair and equitable allocation of group resources. Clearly define the responsibilities for leadership and the role of the PI and clearly state the roles for all core participating scientists. Delineate the procedures used for the selection of initial core group members, and the plans for maintaining an appropriate degree of openness and for encouraging the involvement of additional interested parties. Means for self-evaluation of progress toward the network goals should be presented as an important part of the management plan.

Coordination plan. If the proposed network will work with an established network or group, or if there is a similar activity being planned or ongoing in other countries, describe the plans for coordination and cooperation among the relevant networks.

Information and material sharing. Give careful consideration to issues related to intellectual property rights and materials sharing in the management plan. For example, if the proposed activity is expected to result in community resources (such as databases or collections of biological materials), present a clear plan for sharing of these resources not only among the network participants but with the scientific community at large. Address in the proposal plans for determining authorship or proper attribution of credit for peer-reviewed or other publications, Internet resources, etc. that may be expected to result from the activity.

Increasing diversity. A research coordination network is an important opportunity for encouraging the involvement of underrepresented minority investigators and investigators located in a diverse range of organizations. Describe (1) a well designed plan to increase participation of members of under-represented groups that is specific to the proposed project; (2) a plan to involve investigators at a variety of organizational settings; (3) if applicable, a plan to include new researchers, post-docs, graduate students and undergraduates; and (4) how the plans for increasing diversity are integrated with the proposed project plan.

Budget: Provide yearly budgets for the duration of the proposed project. As previously noted, if the project includes subawards, the NSF FastLane system must be used to prepare and submit the proposal. A budget justification (of up to three pages) is required. Organizations ineligible to submit to this program solicitation may not receive subawards. If they are part of the proposed network, their participation is expected to be supported by non-NSF sources.

Allowable costs for international collaboration are described in Section II. Program Description. Funds may be requested to promote collaborative activities, such as short visits among member laboratories, exchange visits of students, sharing of unique facilities, establishment of a public web site, network retreats, partial support of workshops uniquely tied to the network activities, etc. Any well-justified activity that fulfills the goals of the Program will be considered. Innovative ideas for implementing novel networking strategies to promote research collaborations and enable new research directions or advancement of a field are especially encouraged. The PI's of the RCN awards will be asked to attend a meeting of the network coordinators to be held at the National Science Foundation every two years beginning in FY2007. Include the necessary travel costs for attendance at the meeting in the proposed budget.

Full negotiated indirect cost rates will apply for awards under this Program. Note that funds requested to support activities of the network participants, such as participants travel, materials and supplies for the network projects, and network retreats should be listed under Field E "participant support" in the proposed budget, and managed by the submitting organization. Under this solicitation, indirect costs (F&A) are not allowed on participant support costs.

Funds from this program may not support independent, individual research projects of the participants; nor are they to be used as a mechanism for a mini-grant awarding program.

Special Information and Supplementary Documentation: In addition to the applicable items described in the Grant Proposal Guide Chapter II, Section II.c.2.j, (<http://www.nsf.gov/cgi-bin/getpub?gpg>), include the following appendix information, clearly labeled, and attach in Field 11 of the Research and Related Other Project Information form. **(No other appendix material will be allowed.):**

1. Current Activities: PI and the core participants listed in the project summary must provide a single-page (per investigator) description of the relationship between the proposed project and current research activities in his/her laboratory. This page replaces the "Results of Prior Support" section normally found in NSF proposals.

2. Conflicts of Interest list: Provide a list, in a single alphabetized table, with the full names of all people with conflicts of interest for all senior personnel (PI and Co-PIs if any) and any named personnel whose salary is requested in the project budget. Conflicts to be identified are (1) PhD thesis advisors or advisees, (2) collaborators or co-authors, including postdocs, for the past 48 months, and (3) any other individuals or organizations with which the investigator has financial ties (please specify type).
3. Letters of Collaboration: Include letters of collaboration from an entity that is an integral part of the proposed project (such as the international collaborator) in this section. However, general letters of endorsement will not be accepted.

B. Budgetary Information

Cost Sharing:

Cost sharing is not required by NSF in proposals submitted under this Program Solicitation.

C. Due Dates

Proposals must be submitted by the following date(s):

Full Proposal Target Date(s):

June 27, 2005

Last Monday in June
annually thereafter through 2009

D. FastLane/Grants.gov Requirements

- For proposals submitted via FastLane:

Detailed technical instructions for proposal preparation and submission via FastLane are available at: <https://www.fastlane.nsf.gov/a1/newstan.htm>. For FastLane user support, call the FastLane Help Desk at 1-800-673-6188 or e-mail fastlane@nsf.gov. The FastLane Help Desk answers general technical questions related to the use of the FastLane system. Specific questions related to this program announcement/solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this announcement/solicitation.

Submission of Electronically Signed Cover Sheets. The Authorized Organizational Representative (AOR) must electronically sign the proposal Cover Sheet to submit the required proposal certifications (see Chapter II, Section C of the [Grant Proposal Guide](#) for a listing of the certifications). The AOR must provide the required electronic certifications within five working days following the electronic submission of the proposal. Proposers are no longer required to provide a paper copy of the signed Proposal Cover Sheet to NSF. Further instructions regarding this process are available on the FastLane Website at: <http://www.fastlane.nsf.gov>

- For proposals submitted via Grants.gov:

Before using Grants.gov for the first time, each organization must register to create an institutional profile. Once registered, the applicant's organization can then apply for any federal grant on the Grants.gov website.

The Grants.gov's Grant Community User Guide is a comprehensive reference document that provides technical information about Grants.gov. Proposers can download the User Guide as a Microsoft Word document or as a PDF document. The Grants.gov User Guide is available at: <http://www.grants.gov/CustomerSupport>. In addition, the NSF Grants.gov Application Guide provides additional technical guidance regarding preparation of proposals via Grants.gov. For Grants.gov user support, contact the Grants.gov Contact Center at 1-800-518-4726 or by email: support@grants.gov. The Grants.gov Contact Center answers general technical questions related to the use of Grants.gov. Specific questions related to this program solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this solicitation.

Submitting the Proposal. Once all documents have been completed, the Authorized Organizational Representative (AOR) must submit the application to Grants.gov and verify the desired funding opportunity and agency to which the application is submitted. The AOR must then sign and submit the application to Grants.gov. The completed application will be transferred to the NSF FastLane system for further processing.

VI. PROPOSAL REVIEW INFORMATION

A. NSF Proposal Review Process

Reviews of proposals submitted to NSF are solicited from peers with expertise in the substantive area of the proposed research or education project. These reviewers are selected by Program Officers charged with the oversight of the review process. NSF invites the proposer to suggest, at the time of submission, the names of appropriate or inappropriate reviewers. Care is taken to ensure that reviewers have no conflicts with the proposer. Special efforts are made to recruit reviewers from non-academic institutions, minority-serving institutions, or adjacent disciplines to that principally addressed in the proposal.

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 ([NSB 97-72](#)). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

On July 8, 2002, the NSF Director issued [Important Notice 127](#), Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions.

In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative.

Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects.

The two National Science Board approved merit review criteria are listed below (see the [Grant Proposal Guide](#) Chapter III.A for further information). The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgments.

What is the intellectual merit of the proposed activity?

How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources?

What are the broader impacts of the proposed activity?

How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

Integration of Research and Education

One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich

research through the diversity of learning perspectives.

Integrating Diversity into NSF Programs, Projects, and Activities

Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

B. Review Protocol and Associated Customer Service Standard

All proposals are carefully reviewed by at least three other persons outside NSF who are experts in the particular field represented by the proposal. Proposals submitted in response to this announcement/solicitation will be reviewed by Ad Hoc and/or panel review.

Reviewers will be asked to formulate a recommendation to either support or decline each proposal. The Program Officer assigned to manage the proposal's review will consider the advice of reviewers and will formulate a recommendation.

A summary rating and accompanying narrative will be completed and submitted by each reviewer. In all cases, reviews are treated as confidential documents. Verbatim copies of reviews, excluding the names of the reviewers, are sent to the Principal Investigator/Project Director by the Program Director. In addition, the proposer will receive an explanation of the decision to award or decline funding.

NSF is striving to be able to tell proposers whether their proposals have been declined or recommended for funding within six months. The time interval begins on the closing date of an announcement/solicitation, or the date of proposal receipt, whichever is later. The interval ends when the Division Director accepts the Program Officer's recommendation.

In all cases, after programmatic approval has been obtained, the proposals recommended for funding will be forwarded to the Division of Grants and Agreements for review of business, financial, and policy implications and the processing and issuance of a grant or other agreement. Proposers are cautioned that only a Grants and Agreements Officer may make commitments, obligations or awards on behalf of NSF or authorize the expenditure of funds. No commitment on the part of NSF should be inferred from technical or budgetary discussions with a NSF Program Officer. A Principal Investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the NSF Grants and Agreements Officer does so at their own risk.

VII. AWARD ADMINISTRATION INFORMATION

A. Notification of the Award

Notification of the award is made to *the submitting organization* by a Grants Officer in the Division of Grants and Agreements. Organizations whose proposals are declined will be advised as promptly as possible by the cognizant NSF Program Division administering the program. Verbatim copies of reviews, not including the identity of the reviewer, will be provided automatically to the Principal Investigator. (See section VI.A. for additional information on the review process.)

B. Award Conditions

An NSF award consists of: (1) the award letter, which includes any special provisions applicable to the award and any numbered amendments thereto; (2) the budget, which indicates the amounts, by categories of expense, on which NSF has based its support (or otherwise communicates any specific approvals or disapprovals of proposed expenditures); (3) the proposal referenced in the award letter; (4) the applicable award conditions, such as Grant General Conditions (NSF-GC-1); * or Federal Demonstration Partnership (FDP) Terms and Conditions * and (5) any announcement or other NSF issuance that may be incorporated by reference in the award letter. Cooperative agreement awards are administered in accordance with NSF Cooperative Agreement Financial and Administrative Terms and Conditions (CA-FATC). Electronic mail notification is the preferred way to transmit NSF awards to organizations that have electronic mail capabilities and have requested such notification from the Division of Grants and Agreements.

*These documents may be accessed electronically on NSF's Website at <http://www.nsf.gov/awards/managing/>. Paper copies of these documents may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from pubs@nsf.gov.

More comprehensive information on NSF Award Conditions is contained in the NSF *Grant Policy Manual* (GPM) Chapter II, available electronically on the NSF Website at http://www.nsf.gov/publications/pub_summ.jsp?ods_key=gpm. The GPM is

also for sale through the Superintendent of Documents, Government Printing Office (GPO), Washington, DC 20402. The telephone number at GPO for subscription information is (202) 512-1800. The GPM may be ordered through the GPO Website at <http://www.gpo.gov>.

C. Reporting Requirements

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant Program Officer at least 90 days before the end of the current budget period.

Within 90 days after the expiration of an award, the PI also is required to submit a final project report. Failure to provide final technical reports delays NSF review and processing of pending proposals for the PI and all Co-PIs. PIs should examine the formats of the required reports in advance to assure availability of required data.

PIs are required to use NSF's electronic project reporting system, available through FastLane, for preparation and submission of annual and final project reports. This system permits electronic submission and updating of project reports, including information on project participants (individual and organizational), activities and findings, publications, and other specific products and contributions. PIs will not be required to re-enter information previously provided, either with a proposal or in earlier updates using the electronic system.

VIII. CONTACTS FOR ADDITIONAL INFORMATION

General inquiries regarding this program should be made to:

- Dr. Machi F. Dilworth, Chair, Research Coordination Networks Working Group, Division of Biological Infrastructure, telephone: (703) 292-8470, email: biorn@nsf.gov
- Dr. Michael Mishkind, Division of Molecular and Cellular Biosciences, telephone: (703) 292-8440, email: biorn@nsf.gov
- Dr. Alan Tessier, Division of Environmental Biology, telephone: (703) 292-8480, email: biorn@nsf.gov
- Dr. William Winner, Division of Integrative Organismal Biology, telephone: (703) 292-8420, email: biorn@nsf.gov

For questions related to the use of FastLane, contact:

- email: biofl@nsf.gov

For questions related to the use of Grants.gov contact:

- Grants.gov Contact Center: If the Authorized Organizational Representative (AOR) has not received a confirmation message from Grants.gov within 48 hours of submission of the application, please contact via telephone: 1-800-518-4726; e-mail: support@grants.gov

IX. OTHER PROGRAMS OF INTEREST

The NSF *Guide to Programs* is a compilation of funding for research and education in science, mathematics, and engineering. The NSF *Guide to Programs* is available electronically at <http://www.nsf.gov/cgi-bin/getpub?gp>. General descriptions of NSF programs, research areas, and eligibility information for proposal submission are provided in each chapter.

Many NSF programs offer announcements or solicitations concerning specific proposal requirements. To obtain additional information about these requirements, contact the appropriate NSF program offices. Any changes in NSF's fiscal year programs occurring after press time for the *Guide to Programs* will be announced in the NSF [E-Bulletin](#), which is updated daily on the NSF Website at <http://www.nsf.gov/home/ebulletin>, and in individual program announcements/solicitations.

Subscribers can also sign up for NSF's [MyNSF News Service](http://www.nsf.gov/mynsf/) (<http://www.nsf.gov/mynsf/>) to be notified of new funding opportunities that become available.

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Facilitation Awards for Scientists and Engineers with Disabilities (FASED) provide funding for special assistance or equipment to enable persons with disabilities (investigators and other staff, including student research assistants) to work on NSF-supported projects. See the GPG Chapter II, Section D.2 for instructions regarding preparation of these types of proposals.

The National Science Foundation promotes and advances scientific progress in the United States by competitively awarding grants and cooperative agreements for research and education in the sciences, mathematics, and engineering.

To get the latest information about program deadlines, to download copies of NSF publications, and to access abstracts of awards, visit the NSF Website at <http://www.nsf.gov>

- **Location:** 4201 Wilson Blvd. Arlington, VA 22230
- **For General Information** (NSF Information Center): (703) 292-5111
- **TDD (for the hearing-impaired):** (703) 292-5090
- **To Order Publications or Forms:**

Send an e-mail to: pubs@nsf.gov
or telephone: (703) 292-7827
- **To Locate NSF Employees:** (703) 292-5111

PRIVACY ACT AND PUBLIC BURDEN STATEMENTS

The information requested on proposal forms and project reports is solicited under the authority of the National Science Foundation Act of 1950, as amended. The information on proposal forms will be used in connection with the selection of qualified proposals; project reports submitted by awardees will be used for program evaluation and reporting within the Executive Branch and to Congress. The information requested may be disclosed to qualified reviewers and staff assistants as part of the proposal review process; to applicant 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 needing information as part of the review process or in order to coordinate programs; 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, NSF-50, "Principal Investigator/Proposal File and Associated Records," 63 Federal Register 267

(January 5, 1998), and NSF-51, "Reviewer/Proposal File and Associated Records," 63 Federal Register 268 (January 5, 1998). 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 3145-0058. Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions. Send comments regarding this burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to: Suzanne Plimpton, Reports Clearance Officer, Division of Administrative Services, National Science Foundation, Arlington, VA 22230.

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