Syracuse University Office of Sponsored Programs

**NSF Proposal Checklist – 19.1**

**-Effective February 25, 2019 -**

[NSF Proposal and Award Policies and Procedures Guide (PAPPG)](https://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf19001)

[Research.gov](https://www.research.gov/research-portal/appmanager/base/desktop?_nfpb=true&_nfls=false)

* **NSF applications are prepared in and submitted via Research.gov or FastLane.**
* **Read specific solicitation instructions – they will take precedence over the PAPPG.**
* **Allow SPO access (OSP Research Administrators) to FastLane Proposal to facilitate review**
* **This checklist is not intended to be an all-inclusive repetition of the required proposal contents and associated proposal preparation guidelines. It is, however, meant to highlight certain critical items so they will not be overlooked when the proposal is prepared.**

**FORMATTING**

* Font: Arial, Courier New, Palatino Linotype 10pt. or larger. Times New Roman 11pt. or larger. A computer modern family of fonts 11pt. or larger. Macintosh users also may use Helvetica and Palatino typefaces.
* No more than six lines of text within a vertical space of one inch.
* Font less than 10 points may be used for mathematical formulas or equations, figures, table or diagram caption and when using a Symbol font to insert Greek letters or special characters.
* Margins 1” on all sides
* Each section of the proposal must be individually paginated prior to being uploaded to Research.gov or FastLane.
* No headers or footers other than pagination at page bottom

**PROPOSAL CONTENTS**

**COVER SHEET**

Many boxes are pre-filed as part of the FastLane login process.

* Awardee Organization/Place of Performance: Place of Performance normally SU. If project will be performed at different location, enter specifics for that location.
* Select applicable funding opportunity.
* Select applicable Division/Office and Program(s) to which the proposal should be directed.
* Enter title: Brief, scientifically or technically valid, and suitable for use in the public press. NSF may edit project title prior to making an award. Use title prefix if required by funding opportunity.
* Enter preferred start date and duration. Start date normally six months or more from submission. Duration normally 3 to 5 years.
* Do not enter amount requested – that will populate from the budget forms.
* Select Deadline/Target Date from drop down menu.
* PI Information populates from Research.gov log in.
* To add Co-PI’s to the proposal, enter the Co-PI email address associated with FastLane account. This will populate the Co-PI information to the proposal.
* If renewal, provide previous award number.
* Pre-proposal – check if applicable. If full proposal in response to preliminary proposal, enter preliminary proposal number assigned by NSF.
* Select Type of Proposal from drop down menu.
* Select Collaborative Status.
* Also as applicable:
	+ Beginning Investigator - only for proposals submitted to the Biological Sciences Directorate
	+ Human Subjects: If exempt, provide exemption number. If not, enter IRB approval date. If IRB approval has not been obtained, enter “pending.”
	+ Vertebrate Animals: If protocol approved, enter approval date. If pending, enter “pending.” PHS animal Welfare Assurance Number is D16-00405.
	+ Proprietary Information
* International Activities (if location is unknown, select “worldwide”).
* Certifications are completed upon application submission by the authorized organizational representative (normally your research administrator).

 **PROJECT SUMMARY**

Limited to one page, approximately 4600 characters including spaces, 51 lines - entered in FASTLANE in three separate text boxes. Should be written in the third person. If special characters are required, e.g. mathematical symbols or Greek letters, upload the 1 page summary as a Supplementary Doc with separate headings for Overview, Intellectual Merit, Broader Impacts. The Project Summary may ONLY be uploaded as a Supplementary Document if the use of special characters is required.

* *Overview:* a description of the activity that would result if the proposal were funded and a statement of objectives and methods to be employed
* *Intellectual merit:* how the proposed activity would advance knowledge, and
* *Broader impacts:* how the proposed activity would benefit society and contribute to the achievement of specific, desired societal outcomes

**TABLE OF CONTENTS** – automatically generated

**PROJECT DESCRIPTION –15 page limit unless otherwise noted in the FOA.**

* Broader Impacts: The Project Description also must contain, as a separate section within the narrative, a section labeled “Broader Impacts”. Broader impacts may be accomplished through the research itself, through the activities that are directly related to specific research projects, or through activities that are supported by, but are complementary to the project. NSF values the advancement of scientific knowledge and activities that contribute to the achievement of societally relevant outcomes. Such outcomes include, but are not limited to: full participation of women, persons with disabilities, and underrepresented minorities in science, technology, engineering, and mathematics (STEM); improved STEM education and educator development at any level; increased public scientific literacy and public engagement with science and technology; improved well-being of individuals in society; development of a diverse, globally competitive STEM workforce; increased partnerships between academia, industry, and others; improved national security; increased economic competitiveness of the US; and enhanced infrastructure for research and education.
* Intellectual Merits: The Project Description must contain, as a separate section within the narrative, a section labeled “Intellectual Merit”. This section should provide a clear statement of the work to be undertaken and must include the objectives for the period of the proposed work and expected significance; the relationship of this work to the present state of knowledge in the field, as well as to work in progress by the PI under Other Support.
* 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. Proposers should address what they want to do, why they want to do it, how they plan to do
* Do **not** include URLs necessary for review (reviewers not obligated to view)
* Results from Prior NSF Support that ended within past five years:
	+ ≤5 pages
* Must be provided for any PI or co-PI identified on the proposal regardless of whether the support is directly related to current proposal. In cases where PI or co-PIs have received more than one award, they only need to report on one award most closely related to the proposal.
* The NSF award number, amount and period of support and award title must be listed.
* A summary of the results of the completed work, including accomplishments, described in two distinct separate sections: the *Intellectual Merit* and *Broader Impact*s
* A list of publications resulting from the NSF award (a complete bibliographic citation either in this section or in the References). If none, state “No publications were produced under this award.”
* 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
* If the proposal is for renewed support, a description of the relation of the completed work to the proposed work.
	+ This information is intended to assist reviewers in assessing the quality of prior work conducted with current or prior NSF support.

**REFERENCES CITED – No page limit**

* Include complete citation: all authors (“et al” is not allowed), article and journal title, book title, vol. no., pg no’s., and year of publication.
* Provide URL or Persistent Identifier
* If there are no references, upload a document so stating.

**BIOSKETCHES required for all named Senior Personnel – 2 page limit –** do not include any other information such as personal data, awards, etc. Guidance can be found [here](https://sponsoredprograms.syr.edu/develop-and-submit-proposals/the-basics/sponsor-guidance/nsf/).

* Education is in chronological order including location (city/state) of institution
* Appointments are in reverse chronological order
* Full citation of 10 products: five closely related and five other significant
* Acceptable products must be citable and accessible, e.g., publications, data sets, software, patents, and copyrights.
* Unacceptable products are unpublished documents not yet submitted for publication, invited lectures, and additional lists of products.
* Each product/publication must include full citation information including (where applicable and practicable) names of all authors, date of publication or release, title, title of enclosing work such as journal or book, volume, issue, pages, website and URL, or other Persistent Identifier.
* Up to five Synergistic Activities that demonstrate the broader impact of the individual’s professional and scholarly activities focusing on the integration and transfer of knowledge as well as its creation

**BUDGET –**Use Current OSP budget template for correct fringe and F&A rates [OSP Budget Template (FY20)](https://sponsoredprograms.syr.edu/wp-content/uploads/Campus-RR-Budget-Template.xltx) Submit to OSP per service guidelines for review. Your research administrator can assist with budget development.

* PI, Co-PI and other Senior Personnel ordinarily limited to two months salary compensation from all active NSF awards (deviation must be addressed in budget justification)
* Equipment defined as an item with acquisition cost of 5K or more & expected life of more than 1 year.
* Support for administrative or clerical services must be clearly justified.
* All items necessary, reasonable, allowable per cost principles, SU policy, and solicitation and are allocable, and consistently treated.
* Tuition for graduate students. Requirements vary among colleges and schools.
* Cost sharing is not allowable unless mandated by solicitation, e.g., MRI.

**BUDGET JUSTIFICATION – 5 page limit**

* Your research administrator can assist with drafting a budget justification.
* NSF Sample Budget Justification - [NSF – Sample Budget Justification](http://sponsoredprograms.syr.edu/wp-content/uploads/NSF-Sample-Budget-Justification2.docx)
* Participant Support is transportation, per diem, stipends, and other related costs for participants or trainees (not SU employees) on NSF sponsored conferences, meetings, symposia, training activities, workshops.
* Travel and its relation to the proposed activities must be specified, itemized and justified by destination and cost, note who will travel, and duration of trip.
* Materials and Supplies – itemize major cost categories (≥$500).

**CURRENT/PENDING SUPPORT**

* Required for all senior personnel, and consultants.
* OSP can develop if project title, budget, and all SU senior personnel provided ~5 days prior to deadline
* Include “this proposal”
* List all sources of awarded and pending research support, including internal research funds allocated toward specific projects

**FACILITIES, EQUIPMENT, OTHER RESOURCES**

* An aggregated description of the internal and external resources (both physical and personnel) that the organization and its collaborators will provide to the project. Include discussion of roles and responsibilities of unfunded personnel. The description should be narrative in nature and must not include any quantifiable financial information.
* This information is used by the reviewers to assess the capability of the entire project team to perform the proposed research and broader impact activities. The cognizant NSF Program Officer will review it for programmatic and technical sufficiency.

**Special Information and Supplemental Documents**

* **Postdoctoral Mentoring Plan – 1 page limit**
* Must be provided if budget includes funds for a post-doc. For collaborative proposals, one plan for the entire research project given that NSF considers a collaborative proposal to be a unified research project
* Template and instructions available at  [[NSF – Postdoc Mentoring Plan Template](http://sponsoredprograms.syr.edu/wp-content/uploads/NSF-Postdoc-Mentoring-Plan-Template.docx)/](http://sponsoredprograms.syr.edu/tool-and-resources/sponsored-program-resources/)
* **Data Management PLAN – 2 page limit**
	+ One governing plan provided for collaborative research or project with subaward given that NSF considers a collaborative proposal to be a unified research project
	+ Plan should address the following to demonstrate how proposal conforms to NSF policy on the dissemination and sharing of research results:
	+ types of data, samples, physical collections, software, curriculum materials, etc. to be produced in the course of the project;
	+ standards to be used for data and metadata format and content (if absent or deemed inadequate, this should be documented along with any proposed solutions or remedies);
	+ policies for access and sharing including provisions for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights or requirements;
	+ policies and provisions for re-use, re-distribution, and the production of derivatives; and
	+ plans for archiving data, samples, and other research products, and for preservation of access to them.
	+ Follow specific requirements and plans for applicable directorates, office, etc.: [Dissemination and Sharing of Research Results](http://www.nsf.gov/bfa/dias/policy/dmp.jsp).
	+ Template available at [NSF – Data Management Template](http://sponsoredprograms.syr.edu/wp-content/uploads/NSF-Data-Management-Template.docx)
	+ Or include statement that no detailed plan is needed, with clear justification.
* **Project Summary with Special Characters**
* The Project Summary may ONLY be uploaded as a Supplementary Document if use of special characters is necessary. Such Project Summaries must be formatted with separate headings for Overview, Intellectual Merit and Broader Impacts. Failure to include these headings will result in the proposal being returned without review.
* **Other Supplemental Documents as required/applicable**
* Letters of support required by a specific program solicitation – not allowable if not required
* Letters of Collaboration: Documentation of collaborative arrangements of significance to the proposal through letters of commitment, including unfunded collaborations – PAPPG guidelines for format recommended.
* IACUC or IRB approval
* Equipment quotes

**Single Copy Documents**

For NSF use only – not intended for reviewers

* Collaborators & Other Affiliations **–** Required for PI, Co-PIs and all Senior Personnel. Use of NSF Excel Spreadsheet required [Collaborators and Other Affiliations Information Template](https://www.nsf.gov/bfa/dias/policy/coa/coa_template.xlsx)
	+ Table 2: List persons for whom a personal, family, or business relationship would otherwise preclude their service as a reviewer.
	+ Table 3: PhD Advisor(s) – a list the individual’s OWN advisors and current affiliations if known and
	+ Table 3: PhD Advisees – a list of all persons with whom the individual has had an association as a Ph.D. advisor and institutional affiliation if known.
	+ Table 4: Co-authors on any book, article, report, abstract or paper with collaboration in the last 48 months (publication date may be later); and
	+ Table 5: List editorial board, editor-in chief and co-editors with whom the individual interacts. An editor-in-chief must list the entire editorial board.

• Editorial Board: List name(s) of editor-in-chief and journal in the past 24 months; and

• Other co-Editors of journal or collections with whom the individual has directly interacted in the last 24 months.

• Collaborators on projects, such as funded grants, graduate research or others in the last 48 months.

* Authorization to deviate from NSF from PAPPG or solicitation specific requirements