

## Summary of NSF Proposal Preparation Checklist

(NSF will not accept or will return without review proposals that are not consistent with the PAPPG instructions)

This checklist is effective for proposals with deadlines January 30, 2017 and later:

### PAPPG 17-1

<b>Dates &amp; Deadlines</b> <u>PAPPG 1.F</u>	<ul style="list-style-type: none"> <li>• If a NSF deadline date falls on a Federal Holiday or weekend, the deadline is extended to the following business day.</li> <li>• The requested start Date should allow at least 6 months for NSF review &amp; processing</li> </ul>
<b>Letter of Intent/ Pre-proposal</b>	<ul style="list-style-type: none"> <li>• Letters of Intent / Pre-proposal: do not need to do the internal proposal process, no NOI.</li> </ul>
<b>System Validations:</b>	<ul style="list-style-type: none"> <li>• Has Office of Sponsor Program (OSP=ARO) been allowed to view, edit, &amp; submit</li> </ul>
<b>Format of the Proposal</b> <b>PAPPG II.B</b>	<ul style="list-style-type: none"> <li>• Each section of the proposal should be paginated prior to being uploaded into FastLane (includes supplementary documents)</li> <li>• Margins 1” in all directions</li> </ul>
<b>Cover Sheet <u>PAPPG Chapter II.C.2.a</u></b>	<ul style="list-style-type: none"> <li>• Select Program Announcement/Solicitation No. for this solicitation from the pull-down list. Select the Division(s) to which the proposal is directed.</li> <li>• Title Prefix: (e.g. “Collaborative Research”, “GOALI”, or per solicitation.)</li> <li>• Human subjects: Enter “Pending” if you are working on the approval or are planning to submit <b>prior to grant award</b></li> <li>• International collaboration or any budgeted international travel: if unknown, enter “Worldwide”</li> <li>• Budget total \$ correctly stated in the “Total” Box on the cover page</li> <li>• Check Solicitation for other special requirements</li> <li>• Can have up to four Co-PIs.</li> </ul>

<p><b>Project Summary</b> <b><u>PAPPG Chapter</u></b> <b><u>II.C.2.b</u></b></p>	<ul style="list-style-type: none"> <li>• 1 page limit. Character limit is 4600 for all three text boxes.</li> <li>• Three text boxes must be completed to address             <ol style="list-style-type: none"> <li>1. Overview</li> <li>2. Intellectual Merit</li> <li>3. Broader Impacts</li> </ol> </li> <li>• Must be written in the third person.</li> <li>• The Project Summary may <b>ONLY</b> be uploaded as a Supplementary Document if use of <a href="#">special characters is necessary</a>. Such Project Summaries must be formatted with separate heading for Overview, Intellectual Merit, and Broader Impacts. Failure to include these headings will result in proposal being returned without review.</li> <li>• Be careful when copying and pasting – watch for special characters being converted to question marks or other characters.</li> </ul>
<p><b>Project Description</b> <b><u>PAPPG Chapter</u></b> <b><u>II.C.2.d.</u></b></p>	<ul style="list-style-type: none"> <li>• Usually 15 Pages Max, Paginated.</li> <li>• URLs must not be used. Do not add web links in here. Cite them in ref list.</li> <li>• A separate section labeled “<b>Broader Impacts</b>” is requested.</li> <li>• A separate section labeled “<b>Results from Prior NSF Support</b>” is requested for all PI and Co-PIs who have received NSF support with a start date in the past 5 years including active awards, regardless of whether the support was directly related to the proposal or not. Up to 5 pages is allowed for all PIs combined. The following info must be provided:             <ol style="list-style-type: none"> <li>1. The NSF award number, amount and period of support, the title of the project;</li> <li>2. A summary of the result of the completed work. The results must be separately described under two distinct headings: <u>Intellectual Merit</u> and <u>Broader Impacts</u>;</li> <li>3. A listing of the publications resulting from the NSF award; if none, state “No publications were produced under this award.”</li> </ol> <p>**The purpose of this section is to assist reviewers in assessing the quality of prior work conducted with current or prior NSF support.</p> </li> </ul>
<p><b>Reference Cited</b> <b><u>PAPPG Chapter</u></b> <b><u>II.C.2.e</u></b></p>	<ul style="list-style-type: none"> <li>• <b>Required for all proposals:</b> if N/A, upload a document stating N/A</li> <li>• Paginated, must have Reference title</li> <li>• Each reference must include the names of all authors, the article and journal title, book title, volume #, page #, and year of publication</li> <li>• Must not have any “et al.” instances - Allowed only in narrative for in-line citations</li> <li>• Include names of all authors in the same sequence in which they appear in the publication</li> <li>• If the document is available electronically, the website address also should be identified</li> <li>• PI’s are cautioned to properly reference and quote published work (figures, tables, and text)</li> <li>• There is no limit on the size of the reference section</li> <li>• Cannot contain parenthetical information, footnotes or figures. This section must contain citations only</li> </ul>

<p><b>Biographical Sketch</b> <b><u>PAPPG Chapter II.C.2.f</u></b></p>	<ul style="list-style-type: none"> <li>• Required to <b>be separately uploaded</b> for all named senior personnel, Up to 12 people</li> <li>• <b>2 page limit</b> – usually (check solicitation)</li> <li>• No person info: material status, citizenship, home address/phone/email</li> <li>• The following sections are required. <b>Inclusion of info beyond that specified may result in return without review.</b> <ol style="list-style-type: none"> <li>a. Professional Preparation (oldest to newest, include Institution(s), location, major/area, and year for undergrad thru postdoc)</li> <li>b. <b>Appointments</b> (newest to oldest, starting with current)</li> <li>c. Products (includes publication, data sets, software, patents, or copyrights) (May be titled “<b>Publications</b>” if only publications are included) <ol style="list-style-type: none"> <li>(i) Up to 5 most closely related to proposed project</li> <li>(ii) Up to 5 other significant products.</li> </ol> </li> <li>d. <b>Synergistic Activities</b> (up to 5 examples)</li> </ol> </li> <li>• Information on exceptional qualifications of Postdocs, Other professionals, or student research assistants may be included. Clearly mark as “Other Personnel” and uploaded as a single Other Supplementary Document</li> </ul>
<p><b>Budget <u>PAPPG Chapter II.C.2.g</u></b></p>	<p><b>Salaries and Wages:</b></p> <ul style="list-style-type: none"> <li>• Senior Personnel who are not budgeted for any effort must be removed from the budget pages. Their name will remain on the Cover Sheet and the role should be described in the Facilities, Equipment &amp; Other Resources section</li> <li>• Other Personnel: must include the # of person for each position, with full-time equivalent person-months, and total salaries requested.</li> </ul> <p><b>Budget forms: Other Costs</b></p> <ul style="list-style-type: none"> <li>• Equipment should include only major equipment (over \$5,000) and each item of equipment must be specified in the budget detail.</li> <li>• Participant Support Cost separately budgeted and includes number of supported participants</li> <li>• Domestic and foreign travel costs should be budgeted separately.</li> </ul> <p><b>Indirect Cost:</b></p> <ul style="list-style-type: none"> <li>• Also known as Facilities &amp; Administration Costs or F&amp;A. SDSM&amp;T has a federally negotiated and approved rate of 39% MTDC on campus and 26% off campus.</li> <li>• The modified total direct costs (MTDC) base excludes the following cost components: <ol style="list-style-type: none"> <li>1. Equipment, capital expenditures</li> <li>2. Tuition remission</li> <li>3. Rental costs of off-site facilities</li> <li>4. Fellowships/scholarships-Participant Cost</li> <li>5. Subaward and subcontract in excess of \$25,000.</li> </ol> </li> </ul>
<p><b>Budget justification</b> <b><u>PAPPG Chapter II.C.2.g</u></b></p>	<ul style="list-style-type: none"> <li>• 3 Page limit to each budget justification (lead and subaward budgets)</li> <li>• Justification should be clearly labeled, follow each line item in the budget, and accurately describe purpose of costs and basis of estimates.</li> </ul>

<b>Current &amp; Pending (PAPPG Chapter II.C.2.h.)</b>	<ul style="list-style-type: none"> <li>• Required to be separately uploaded for all named senior personnel</li> <li>• Be sure “THIS” proposal is included, with the correct budget amount as pending</li> <li>• NSF support should not exceed 2 months without additional justification</li> <li>• NSF policy limits senior personnel to 2 months support.</li> </ul>
<b>Facilities, Equipment, &amp; Other Resources (PAPPG Chapter II.C.2.i.)</b>	<ul style="list-style-type: none"> <li>• Required for all proposals: If N/A, upload a document stating N/A</li> <li>• This section is intended to assess the adequacy of the resources available to perform the proposed work. List only those things that are directly relevant to the proposal: DO NOT list every piece of equipment that’s in your lab!</li> <li>• Proposers should include an aggregated description of the internal and external resources (both physical &amp; personnel) that the organization and its collaborators will provide to the project, should it be funded</li> <li>• For senior personnel who are not requesting salary in the proposal budget, their contributions to and participation on the project must be described in this section and documented in a <b>letter of collaboration</b></li> <li>• Description should be narrative in nature and must not include any quantifiable financial information. These resources are not considered cost sharing</li> </ul>
<b>Data Management Plan (PAPPG Chapter II.C.2.j.)</b>	<ul style="list-style-type: none"> <li>• Required for all proposals: 2 page limit</li> </ul>
<b>Postdoctoral Mentoring Plan</b>	<ul style="list-style-type: none"> <li>• Required if budgeted Postdoc ( 1 page limit)</li> </ul>
<b>Project Summary with Special Characters</b>	<p>Only allowed as attachment when including special characters: check the “Special character” checkbox</p>
<b>Other Supplementary Documents (PAPPG Chapter II.C.2.j.)</b>	<p>Other supplementary documents types allowed:</p> <ul style="list-style-type: none"> <li>• Letters of support <b><u>only when required by the solicitation.</u></b></li> <li>• Letters of collaboration should be limited to stating the intent to collaborate and should not contain endorsements or evaluation of the proposed project.</li> <li>• Letter quote from consultants if budgeted</li> <li>• Certification Letters from Advisor/Dept. head required for certain solicitations: see instruction for specific program</li> <li>• Other Personnel biographical info if relevant</li> <li>• Other documents as required by the solicitation</li> </ul>
<b>Collaborators &amp; Other Affiliations Info: (PAPPG Chapter II.C.1(e))</b>	<ul style="list-style-type: none"> <li>• Required to be separately uploaded for all named senior personnel</li> <li>• Include organizational affiliations (if known) for all categories</li> <li>• No page limit or format is specified <ul style="list-style-type: none"> <li>○ Collaborators/Co-Authors (past 48 months)</li> <li>○ Co-Editor (past 2 months)</li> <li>○ Graduate Advisor &amp; Postdoc sponsor(s): (advised you –all time)</li> <li>○ Persons served as graduate thesis advisor (you advised –all time)</li> <li>○ Postgraduate-Scholar sponsor (past 5 years)</li> </ul> </li> </ul> <p>**Should be separately provided by the lead and non-lead organization(s) in a separately submitted collaborative proposal.</p>

<b>Additional Single Copy Documents (PAPPG Chapter II.C.1)</b>	As required by solicitation instructions.
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## NSF collaborative proposal

The collaborative proposal is a mechanism devised by the NSF to account for the participation of faculty at one or more separate institutions on a single project. Essentially, collaborative proposals make it possible for investigators at different institutions to bear sole responsibility for their distinct contributions to a unified project. Awards are made to each institution individually (as opposed to a subaward that is routed through a main institution), so there is no need for the monitoring and worry associated with the more typical sub-award set up. The collaborative and sub-award mechanisms are not mutually exclusive: in some circumstances, a proposal might include both sub-awards and collaborative components. Administratively, collaborative proposals also tend to be easier than sub-awards.

### Designating a Lead

The collaborative proposal mechanism requires that one institution be designated the “lead” for the purpose of submitting the proposal. It’s important to determine early which institution will be the “lead” and which institution(s) will be the “non-lead(s).” Lead institutions are typically those whose faculty are doing the bulk of the work in terms of writing the proposal and/or those that will manage the largest portion of the funds should the proposal be awarded.

### Preparing the Proposal

Each of the institutions involved (lead and non-lead) must initiate their own new proposal in FastLane. In completing the proposal’s Cover Sheet, institutions should identify only those PIs and co-PIs affiliated with their own institution.

**REQUIRED COMPONENTS:** for Lead vs Non-Lead organizations in simultaneously submitted Collaborative Research Proposals (must be linked in FastLane – cannot be submitted via Grants.Gov)

<b>Lead Organization</b>	<b>Non-Lead Organization(s)</b>
Cover Sheet Project Summary Table of Contents (automatically generated) Project Description Reference Cited Biographical Sketches Budget and Justification Current and Pending Support Facilities, Equipment and Other Resources Data Management Plan Collaborators & Other Affiliations document Postdoc Mentoring Plan (if applicable) Other Supplementary Document (if applicable)	Cover Sheet Table of Contents (automatically generated) Biographical Sketches Budget and Justification Current and Pending Support Facilities, Equipment and Other Resources Collaborators & Other Affiliations document

## **Submitting the Proposal**

A few more tasks are required from the lead and non-lead(s) to wrap up the proposal.

### **Non-lead must:**

- Assign their proposal a PIN, which they can do via the “Proposal PIN” button on the “Proposal Actions” pages in FastLane.
- Identify the proposal’s “Temporary Proposal ID”, which can also be found on the “Proposal Action” page.
- Provide both the PIN and Temporary Proposal ID to their contact at the lead institution

### **Lead must:**

- Use the “Link Collaborative Proposals” button on the “Form Preparation” page in FastLane to link the various proposals that comprise the overall project
- Enter the PIN and Temporary Proposal ID provided by each collaborating institution in the appropriate boxes on the page entitled “Link Collaborative Temporary Proposals.”

Each institution (lead and non-lead alike) then hits the “Allow SRO Access” button to submit their proposal to their respective OSP. The OSP at the lead institution will work behind the scenes with their OSP colleagues at non-lead institutions to coordinate the final submission of all linked proposals to NSF. This obviously demands time and effort over and above the standard – so, collaborative proposals should absolutely not be pushed until the very last minute.

If funded, both lead and non-lead organization are required to submit separate annual and final project reports. These reports should reference the work of collaborative, while focusing on the distinct work conducted at each funded organization.