NSF Proposal Checklist

This document supplements NSF guidance. Please be sure to read the NSF Grant Proposal Guide (GPG) and specific program solicitation thoroughly before beginning to prepare your proposal. Instructions provided in the program solicitation supercede those found in the GPG. The full text of the GPG can be found at: http://www.nsf.gov/pubs/policydocs/pappguide/nsf13001/gpg_index.jsp

APPLICATION PROCESS

- Proposals to NSF are submitted electronically by ORSP via the NSF Fastlane System
- The PI must log on at https://www.fastlane.nsf.gov/jsp/homepage/proposals.jsp to start the application
- Please make sure your profile is up-to-date
- If you are new to Fastlane and need an account established, please contact ORSP to set one up
- Click on “Proposal Functions” and then click on “Proposal Preparation”
- Under “Create New Proposal,” click on “Create Blank Proposal”
- Go to the Cover Sheet and select the appropriate Program Announcement/Solicitation and also the appropriate NSF Unit (Directorate). Use the “Go Back” button at bottom of the page to navigate through the system and not the “Back” arrow in the top left corner.
- Your actions are automatically saved when you close out the application
- Once the application is started, the PI must then give ORSP access to the application. On Proposal Actions screen, highlight the appropriate application from the Temporary Proposals in Progress list and then click on “Allow SRO Access.” A Proposal Errors/Warning Screen will appear; click on “Proceed” and then select “Allow SRO to view, edit and submit proposal.” This will allow ORSP to work on the application, but it will NOT be submitted until it is completed.
- ORSP will complete the remainder of the cover page

FORMAT SPECIFICATIONS FOR ATTACHMENTS

- Font = Arial, Courier New, or Palatino Linotype (10 pt or larger), Times New Roman or Computer Modern family of fonts (11 pt or larger). ORSP strongly recommends using 11 pt or larger for all fonts.
- 1” margins all around
- All sections of the application require a PDF attachment. If the attachment is not applicable to your proposal, then a PDF must be uploaded stating that.
- Single spacing with no more than 6 lines of text within a vertical space of 1 inch
- Each section uploaded as a file must be individually paginated (i.e., each upload starts at page one). ORSP recommends using a descriptive footer centered on the bottom of the page
  - For Biographical Sketch attachments, use “Biographical Sketch – Name of individual – Page X of X”
  - For all other attachments, use “Section Title (i.e., Project Description) – Page X of X”

ATTACHMENTS/INFORMATION NEEDED FROM PI

1) Project Summary (1 page, 4,600 characters, 51 lines; written in 3rd person; understandable to scientifically literate lay reader) to include:
   - Overview – describe activity if project funded and state objectives and methods to be used
   - Statement of project’s intellectual merit – describe potential of proposed activity to advance knowledge
   - Statement of project’s broader impacts – describe potential of proposed activity to benefit society and contribute to achievement of specific, desired societal outcomes

2) Table of Contents: automatically generated by NSF

3) Project Description (15 pages; do not include URLs): Ensure merit review criteria (intellectual merit and broader impacts) are well described and integrated throughout Project Description
   - Objectives and expected significance
   - General plan of work undertaken/Methodology
   - Relation to longer term goals of project

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o Relation to present state of knowledge in field, to work in progress by PI and to work in progress elsewhere
o What benefits could result if project is successful?

o In a separate section, discuss broader impacts of proposed activities
o Results from prior NSF support funded within last 5 years (5 page limit; included within 15 pages)
  ▪ Summarize results of completed work and include separate sections related to intellectual merit and broader impacts of activities supported by the award, using those headings

o Responsible Conduct of Research (RCR) Statement – if undergraduate/graduate students/postdoctoral researchers involved with project (for a standard NSF RCR statement, see http://www.marquette.edu/orsp/ResponsibleConductofResearch.shtml)

o If vertebrate animals involved, include sufficient information allowing reviewers to evaluate the choice of species, # of animals to be used, and any necessary exposure of animals to discomfort, pain or injury

o If human subjects involved, NSF does not prescribe information to be included, but ORSP recommends describing the number and demographics of people involved and research safeguards

4) References Cited (no page limit): Include names of all authors (no et al), title, volume and page numbers (if applicable) and year of publication. Include website address if available electronically.
   o If no references are cited, a statement to that effect must be included

5) Biographical Sketches for all senior project personnel (2 pages per individual) (see NSF Biosketch format):
   o Professional Preparation: Undergrad and graduate education, postdoctoral training
   o Academic/professional appointments in reverse chronological order
   o Products (Up to 5 products most closely related to proposed project and another 5 of most significant products. Products may include publications, data sets, software, patents and copyrights)
   o Synergistic Activities (up to 5 examples)
   o Collaborators and Other Affiliations
     ▪ PI’s Collaborators/Co-Editors during past 48 months (in alphabetic order)
     ▪ PI’s Graduate advisors and postdoctoral sponsors and current organizational affiliations
     ▪ Names and current affiliations of graduate students advised and postdoctoral-scholars sponsored within past 5 years. Also include total number.

6) Budget (Including Justification)
   o Budget Forms (Completed by ORSP)
   o Budget justification (3 pages; ORSP will create shell and route to PI for completion)

7) Current and pending support for ongoing projects (including this proposal) requiring time from PI and senior personnel: include total award amount and number of person months devoted to project (ORSP will draft with input from investigators)

8) Facilities, Equipment and Other Resources:
   o Include narrative aggregated description of internal and external resources (physical and personnel) directly applicable to project (do not include any quantifiable financial information) [See XXXX for sample format (Note: NSF will have new submission format in January)]
   o If there are no Facilities, Equipment, etc. to describe, a statement to that effect must be included

9) Supplementary Documents:
     ▪ Data to be produced?
     ▪ Standards to be used for data/metadata format and content?
     ▪ Policies for access and sharing? For re-use, re-distribution and production of derivatives?
     ▪ Plans for archiving and for preservation of access?
   o Postdoctoral Mentoring Plan (if funding requested to support postdoctoral researchers) (1 page) (http://www.marquette.edu/orsp/documents/Sample_Postdoc_Mentoring_Plan.pdf)
   o Collaboration letters/Organizational endorsements/verification of commitments

10) Single Copy Documents:
    o List of suggested reviewers/reviewers not to include (highly recommended)
11) Cover Sheet (in addition to information indicated in Application Process Section above)
   - If Human Subjects involved:
     - Include affirmation that IRB has declared the research exempt and provide exemption number(s) OR
     - Provide IRB approval date OR
     - Indicate if approval is pending (pending means that you have submitted a request for approval or are planning to submit prior to grant award)
     - Include Marquette’s Federal Wide Assurance (FWA) Number: FWA00005844
   - If Vertebrate Animals involved:
     - Include approval date from Institutional Animal Care and Use Committee OR
     - Indicate if approval is pending
     - Include Marquette’s Animal Welfare Assurance Number: A3663-01

INFORMATION NEEDED FROM SUBAWARDEES, CONSULTANTS AND/OR COLLABORATIVE PROPOSALS FROM MULTIPLE ORGANIZATIONS

- Subawardees (Collaborators who need institution resources) must provide:
  - Biographical Sketch (for senior/key personnel) [in NSF format]
  - Current and pending support (for senior/key personnel)
  - Letter of Intent, signed by authorized organization representative [include scope of work]
  - Letter of commitment from senior/key personnel (optional)
  - Budget and Budget Justification (on NSF form)

- Consultants (Collaborators who do not need institution resources) must provide:
  - Personal Letter of Commitment
  - Budget Justification for services (include information on each individual’s expertise, primary organizational affiliation, normal daily compensation rate, and number of days of expected service)
  - Biosketch (if deemed senior/key personnel) [in NSF format]
  - Current and pending support (if deemed senior/key personnel)

- Collaborative proposals submitted by multiple organizations
  - Each organization’s project title must begin with “Collaborative Research”
  - Lead organization’s submission must include all documentation outlined in the “Attachments/Information Needed from PI” section above
  - Non-lead organizations’ submissions include all documentation for their respective organizations outlined above in the “Attachments/Information Needed” section except the Project Summary, Project Description and References Cited
  - Non-lead organizations must assign each submission a proposal PIN and provide the PIN and temporary proposal ID generated by FastLane to the lead organization
  - Lead organization must enter each non-lead organization proposal PIN/temporary proposal ID into lead submission by using “Link Collaborative Proposals” option on the “Form Preparation” screen

UNIVERSITY FORMS NEEDED: Forms generated by ORSP when project title and budget are finalized. The PI is responsible for routing forms to the department chair and college dean to obtain institutional review and approval (also reviewed and signed by others making commitments, if any).

1) Proposal Registration Form
2) Disclosure of Financial Interest Form
3) Budget Template