

## Petrology and Geochemistry (CH)

### Deep Earth Processes Section

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## PROGRAM SOLICITATION

NSF 15-557

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### REPLACES DOCUMENT(S):

NSF 14-501

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National Science Foundation

Directorate for Geosciences  
Division of Earth Sciences

#### Full Proposal Target Date(s):

July 10, 2015

Second Friday in July, Annually Thereafter

January 11, 2016

Second Monday in January, Annually Thereafter

target dates per year

### IMPORTANT INFORMATION AND REVISION NOTES

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- One of the target dates was moved to the second Friday of July.
- Organization eligibility restricted to some institutional types

Any proposal submitted in response to this solicitation should be submitted in accordance with the revised *NSF Proposal & Award Policies & Procedures Guide* (PAPPG) (NSF 16-1), which is effective for proposals submitted, or due, on or after January 25, 2016.

### SUMMARY OF PROGRAM REQUIREMENTS

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#### General Information

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##### Program Title:

Petrology and Geochemistry (CH)

##### Synopsis of Program:

The Petrology and Geochemistry Program supports basic research on the formation of planet Earth, including its accretion, early differentiation, and subsequent petrologic and geochemical modification via igneous and metamorphic processes. Proposals in this program generally address the petrology and high-temperature geochemistry of igneous and metamorphic rocks (including mantle samples), mineral physics, economic geology, and volcanology. Proposals that are focused on the development of analytical tools, theoretical and computational models, and experimental techniques for applications by the igneous and metamorphic petrology, and high temperature geochemistry and geochronology communities are also invited.

##### Cognizant Program Officer(s):

Please note that the following information is current at the time of publishing. See program website for any updates to the points of contact.

- Sonia Esperanca, 785 N, telephone: (703) 292-4735, email: [sesperan@nsf.gov](mailto:sesperan@nsf.gov)
- Jennifer Wade, 785 N, telephone: (703) 292-4739, email: [jwade@nsf.gov](mailto:jwade@nsf.gov)

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

- 47.050 --- Geosciences

### Award Information

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Anticipated Type of Award: Standard Grant or Continuing Grant

**Estimated Number of Awards:** 40 to 60

annually

**Anticipated Funding Amount:** \$13,500,000

annually, pending availability of funds

## Eligibility Information

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### Who May Submit Proposals:

Proposals may only be submitted by the following:

- Universities and Colleges - Universities and two- and four-year colleges (including community colleges) accredited in, and having a campus located in, the US acting on behalf of their faculty members. Such organizations also are referred to as academic institutions.
- Non-profit, non-academic organizations: Independent museums, observatories, research labs, professional societies and similar organizations in the U.S. associated with educational or research activities.
- Other Federal Agencies and Federally Funded Research and Development Centers (FFRDCs): Contact the appropriate program before preparing a proposal for submission.

### Who May Serve as PI:

There are no restrictions or limits.

### Limit on Number of Proposals per Organization:

There are no restrictions or limits.

### Limit on Number of Proposals per PI or Co-PI: 2

Only two proposals per investigator, either as a PI, co-PI or in a subcontract, are allowed per CH target date.

## Proposal Preparation and Submission Instructions

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### A. Proposal Preparation Instructions

- **Letters of Intent:** Not required
- **Preliminary Proposal Submission:** Not required
- **Full Proposals:**
  - Full Proposals submitted via FastLane: NSF Proposal and Award Policies and Procedures Guide, Part I: Grant Proposal Guide (GPG) Guidelines apply. The complete text of the GPG is available electronically on the NSF website at: [http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=gpg).
  - 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/publications/pub\\_summ.jsp?ods\\_key=grantsgovguide](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide))

### B. Budgetary Information

- **Cost Sharing Requirements:**

Inclusion of voluntary committed cost sharing is prohibited.
- **Indirect Cost (F&A) Limitations:**

Not Applicable
- **Other Budgetary Limitations:**

Other budgetary limitations apply. Please see the full text of this solicitation for further information.

### C. Due Dates

- **Full Proposal Target Date(s):**
    - July 10, 2015
    - Second Friday in July, Annually Thereafter
    - January 11, 2016
    - Second Monday in January, Annually Thereafter
- Two target dates per year

## Proposal Review Information Criteria

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### Merit Review Criteria:

National Science Board approved criteria apply.

## Award Administration Information

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### Award Conditions:

Additional award conditions apply. Please see the full text of this solicitation for further information.

### Reporting Requirements:

Additional reporting requirements apply. Please see the full text of this solicitation for further information.

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## I. INTRODUCTION

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The Petrology and Geochemistry Program is a core program of the Division of Earth Sciences (EAR). EAR provides funding for the conduct of research concerning the solid Earth and its surface environment. EAR supports investigations of the Earth's structure, composition, evolution, and the interaction of the lithosphere with the Earth's biosphere, atmosphere, and hydrosphere. In addition, EAR provides support for instrumental and observational infrastructure, cyber infrastructure, and innovative educational and outreach activities. Projects may employ any combination of field, laboratory, and computational studies with observational, theoretical, or experimental approaches. Support is available for research and research infrastructure through grants, contracts, and cooperative agreements awarded in response to investigator-initiated proposals from U.S. universities and other eligible organizations. EAR will consider co-funding of projects with other agencies and supports international activities and collaborations with international partners.

## II. PROGRAM DESCRIPTION

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The Petrology and Geochemistry program supports basic research on Earth's history of planetary accretion and differentiation through time via igneous and metamorphic processes occurring at high temperatures and pressures, at a variety of scales operating in the Earth's crust, mantle, and core. This program also supports projects that study: 1) chemical properties of natural minerals, fluids, and melts at high pressures and temperatures; 2) formation of magma at depth, their physical and chemical properties, their transport to the surface, and eruption dynamics; 3) chemical reactions and diffusion in the lower crust and mantle; 4) linkages between volcanic and plutonic systems, and time residence of minerals in magmatic systems; 5) geochemical models for the bulk Earth and development of geochemical reservoirs; 6) formation of ore deposits; 7) modern and ancient volcanic activity. The CH program is open to a variety of scientific ideas. If a PI is unclear about the relevance of a proposal topic to this program, s/he should contact one of the CH Program Directors.

Projects supported through this program employ analytical methods such as major and trace element geochemistry; stable and radiogenic isotope geochemistry and geochronology. This program also supports experimental studies on the chemical properties of minerals and rocks at high temperatures, laboratory experiments on volcanic systems; thermodynamic modeling of high temperature geochemical and mineral-forming processes; spectroscopy and crystallography of high pressure and temperature phases; physical and chemical volcanology. Proposals to study meteorites and other extra-terrestrial materials are considered only if the work is

applicable to understanding processes that led to the formation and evolution of Planet Earth. Analytical method development for applications in high temperature geochemistry, and disciplinary-focused or research-based Geoinformatics proposals may be considered by this program or co-reviewed with other programs in EAR or GEO (Directorate of Geosciences). Regarding terrestrial vs. marine samples: Proposals that use volcanic samples and xenoliths from continental environments and from islands above the waterline that target a broader understanding of the composition of the mantle and evolution of igneous rocks are considered primarily by the CH program. Proposals in solid earth petrology and high temperature geochemistry that use a combination of samples from the below and above the waterline may be considered jointly with the Marine Geology and Geophysics program (MGG - in the Division of Ocean Sciences). The CH program also co-reviews many proposals with the Geophysics program in the areas of high pressure mineral physics, and in the application of geophysical methods to understand volcanic systems. As per the GPG, proposals that are not viewed as appropriate for the program will be transferred to another program across NSF, when it is deemed appropriate by Program Directors from the respective programs. Principal Investigators are encouraged to contact the cognizant Program Directors regarding proposals that may cross disciplinary boundaries before submission.

The Petrology and Geochemistry Program is committed to supporting the most meritorious research in any relevant area, including interdisciplinary and multidisciplinary research, as well as studies that involve international collaborations and partnerships. The Program is especially interested in proposals in emerging fields, and those that are responsive to recent reports from the community. Proposals for community workshops that can guide the program on new research topics and grand challenge questions are encouraged. All proposals for the RAPID and EaGER mechanisms, as described in the Grant Proposal Guide, must be discussed with one of the Program Directors before submission via Fastlane.

Examples of projects supported by the program can be found using the [NSF Award Search \(Program Information\)](#) engine by entering Element Code 1573.

### III. AWARD INFORMATION

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Anticipated funding is \$13,500,000 annually. The estimated number of awards is 40 to 60 standard or continuing grants per year. Awards are generally made within 6 to 7 months of the proposal submission date for successful proposals.

Estimated program budget, number of awards and average award size/duration are subject to the availability of funds.

### IV. ELIGIBILITY INFORMATION

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#### Who May Submit Proposals:

Proposals may only be submitted by the following:

- Universities and Colleges - Universities and two- and four-year colleges (including community colleges) accredited in, and having a campus located in, the US acting on behalf of their faculty members. Such organizations also are referred to as academic institutions.
- Non-profit, non-academic organizations: Independent museums, observatories, research labs, professional societies and similar organizations in the U.S. associated with educational or research activities.
- Other Federal Agencies and Federally Funded Research and Development Centers (FFRDCs): Contact the appropriate program before preparing a proposal for submission.

#### Who May Serve as PI:

There are no restrictions or limits.

#### Limit on Number of Proposals per Organization:

There are no restrictions or limits.

#### Limit on Number of Proposals per PI or Co-PI: 2

Only two proposals per investigator, either as a PI, co-PI or in a subcontract, are allowed per CH target date.

### V. PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

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#### A. Proposal Preparation Instructions

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**Full Proposal Preparation 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 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/publications/pub\\_summ.jsp?ods\\_key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=gpg). Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from [nsfpubs@nsf.gov](mailto:nsfpubs@nsf.gov). Proposers are reminded to identify this program solicitation number in the program solicitation block on the NSF Cover Sheet For Proposal to the National Science Foundation. Compliance with this requirement is critical to determining the relevant proposal processing guidelines. Failure to submit this information may delay processing.

- 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/publications/pub\\_summ.jsp?ods\\_key=grantsgovguide](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide)). 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 [nsfpubs@nsf.gov](mailto:nsfpubs@nsf.gov).

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

**Collaborative Proposals.** All collaborative proposals submitted as separate submissions from multiple organizations must be submitted via the NSF FastLane system. Chapter II, Section D.5 of the Grant Proposal Guide provides additional information on collaborative proposals.

See Chapter II.C.2 of the [GPG](#) for guidance on the required sections of a full research proposal submitted to NSF. Please note that the proposal preparation instructions provided in this program solicitation may deviate from the GPG instructions.

**The following instructions supplement the Grant Proposal Guide and the NSF Grants.gov Application Guide:**

**EAR Data Policy:** Principal investigators are required to adhere to the EAR Data Policy available on the NSF website ([http://www.nsf.gov/geo/ear/2010EAR\\_data\\_policy\\_9\\_28\\_10.pdf](http://www.nsf.gov/geo/ear/2010EAR_data_policy_9_28_10.pdf)). Proposals must describe in the Data Management Plan section of the proposal how the data policy requirements will be met.

**Projects involving work in foreign countries:** For studies in countries other than the United States, the project description should discuss, where appropriate, collaborations with scientists and students from the host country, and how these individuals will be involved in the project. Collaborations should be well justified, in that they represent true intellectual collaboration and utilize the expertise and specialized skills, facilities, and/or resources of the foreign collaborator. Letters of collaboration must be included in the Special Information and Supplementary Documents section of the proposal. These letters should include a discussion of the role of the collaborator in the project and the resources the collaborating foreign institution/organization will provide to the project. Principal investigators are encouraged to provide U.S. students and junior researchers with international research experiences. An important provision of Grant Proposal Guide (Sec II.C.2.) states "some governments require nonresidents to obtain official approval to carry out investigations within their borders and coastal waters under their jurisdiction. PIs are responsible for obtaining the required authorizations and for advising NSF that they have been obtained or requested." Failure to obtain the appropriate permits for all aspects of the research effort may jeopardize not only the proposed research, but also the well-being of the personnel. Where relevant, arrangements to allocate samples and data between host country organization(s) or institution(s) and U.S. organization(s) or institution(s) should be discussed in the proposal or in the Data Management plan. Investigators are encouraged to include any such permits (including legally required collecting, import, and export permits for samples, instrumentation, and data), authorizations, and agreements, in the Special Information and Supplementary Documents section of the proposal.

**Resubmission of declined proposals:** According to our Division of Earth Sciences (EAR) policy, declined proposals are not eligible to be resubmitted within the next six months to any other EAR program. Exceptions to this rule require prior approval by an EAR Program Officer.

## B. Budgetary Information

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### Cost Sharing:

Inclusion of voluntary committed cost sharing is prohibited.

### Other Budgetary Limitations:

Equipment needs that can be demonstrably linked to the conduct of a specific research project being proposed to EAR may be included within the budget of the related research proposal. In general, equipment requests on proposals submitted to EAR research programs should not exceed a total of \$50,000. Equipment requests in excess of \$50,000 usually require a separate proposal directly to the Instrumentation and Facilities Program. Investigators planning on submitting a CH research proposal with an equipment budget above \$50,000 must discuss these plans with a CH Program Director prior to submission. Equipment requests of less than \$50,000 that are *unassociated with specific research proposals* must be submitted to the Instrumentation and Facilities Program.

## C. Due Dates

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- **Full Proposal Target Date(s):**

July 10, 2015

Second Friday in July, Annually Thereafter

January 11, 2016

Second Monday in January, Annually Thereafter

Two target dates per year

The target dates will occur annually on the second Monday of January and the second Friday of July. Proposals are expected to be submitted by the target date. If a PI intends to submit *after* the target date, s/he must get approval *in advance* from one of the Cognizant Program Officers to ascertain if a late proposal can be reviewed in the upcoming competition.

## D. FastLane/Grants.gov Requirements

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## For Proposals Submitted Via FastLane:

To prepare and submit a proposal via FastLane, see detailed technical instructions 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](mailto: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 solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this funding opportunity.

## 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. Comprehensive information about using Grants.gov is available on the Grants.gov Applicant Resources webpage: <http://www.grants.gov/web/grants/applicants.html>. In addition, the NSF Grants.gov Application Guide (see link in Section V.A) provides instructions regarding the technical 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](mailto: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.

Proposers that submitted via FastLane are strongly encouraged to use FastLane to verify the status of their submission to NSF. For proposers that submitted via Grants.gov, until an application has been received and validated by NSF, the Authorized Organizational Representative may check the status of an application on Grants.gov. After proposers have received an e-mail notification from NSF, Research.gov should be used to check the status of an application.

## VI. NSF PROPOSAL PROCESSING AND REVIEW PROCEDURES

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Proposals received by NSF are assigned to the appropriate NSF program for acknowledgement and, if they meet NSF requirements, for review. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF either as *ad hoc* reviewers, panelists, or both, who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officer's discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal. In addition, Program Officers may obtain comments from site visits before recommending final action on proposals. Senior NSF staff further review recommendations for awards. A flowchart that depicts the entire NSF proposal and award process (and associated timeline) is included in the [GPG](#) as Exhibit III-1.

A comprehensive description of the Foundation's merit review process is available on the NSF website at: [http://www.nsf.gov/bfa/dias/policy/merit\\_review/](http://www.nsf.gov/bfa/dias/policy/merit_review/).

Proposers should also be aware of core strategies that are essential to the fulfillment of NSF's mission, as articulated in *Investing in Science, Engineering, and Education for the Nation's Future: NSF Strategic Plan for 2014-2018*. These strategies are integrated in the program planning and implementation process, of which proposal review is one part. NSF's mission is particularly well-implemented through the integration of research and education and broadening participation in NSF programs, projects, and activities.

One of the strategic objectives in support of NSF's mission is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions must recruit, train, and prepare a diverse STEM workforce to advance the frontiers of science and participate in the U.S. technology-based economy. NSF's contribution to the national innovation ecosystem is to provide cutting-edge research under the guidance of the Nation's most creative scientists and engineers. NSF also supports development of a strong science, technology, engineering, and mathematics (STEM) workforce by investing in building the knowledge that informs improvements in STEM teaching and learning.

NSF's mission calls for the broadening of opportunities and expanding participation of groups, institutions, and geographic regions that are underrepresented in STEM disciplines, which 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.

### A. Merit Review Principles and Criteria

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The National Science Foundation strives to invest in a robust and diverse portfolio of projects that creates new knowledge and enables breakthroughs in understanding across all areas of science and engineering research and education. To identify which projects to support, NSF relies on a merit review process that incorporates consideration of both the technical aspects of a proposed project and its potential to contribute more broadly to advancing NSF's mission "to promote the progress of science; to advance the national health, prosperity, and welfare; to secure the national defense; and for other purposes." NSF makes every effort to conduct a fair, competitive, transparent merit review process for the selection of projects.

#### 1. Merit Review Principles

These principles are to be given due diligence by PIs and organizations when preparing proposals and managing projects, by reviewers when reading and evaluating proposals, and by NSF program staff when determining whether or not to recommend proposals for funding and while overseeing awards. Given that NSF is the primary federal agency charged with nurturing and supporting excellence in basic research and education, the following three principles apply:

- All NSF projects should be of the highest quality and have the potential to advance, if not transform, the frontiers of

knowledge.

- NSF projects, in the aggregate, should contribute more broadly to achieving societal goals. These "Broader Impacts" may be accomplished through the research itself, through activities that are directly related to specific research projects, or through activities that are supported by, but are complementary to, the project. The project activities may be based on previously established and/or innovative methods and approaches, but in either case must be well justified.
- Meaningful assessment and evaluation of NSF funded projects should be based on appropriate metrics, keeping in mind the likely correlation between the effect of broader impacts and the resources provided to implement projects. If the size of the activity is limited, evaluation of that activity in isolation is not likely to be meaningful. Thus, assessing the effectiveness of these activities may best be done at a higher, more aggregated, level than the individual project.

With respect to the third principle, even if assessment of Broader Impacts outcomes for particular projects is done at an aggregated level, PIs are expected to be accountable for carrying out the activities described in the funded project. Thus, individual projects should include clearly stated goals, specific descriptions of the activities that the PI intends to do, and a plan in place to document the outputs of those activities.

These three merit review principles provide the basis for the merit review criteria, as well as a context within which the users of the criteria can better understand their intent.

## 2. Merit Review Criteria

All NSF proposals are evaluated through use of the two National Science Board approved merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two merit review criteria are listed below. **Both** criteria are to be given **full consideration** during the review and decision-making processes; each criterion is necessary but neither, by itself, is sufficient. Therefore, proposers must fully address both criteria. (GPG Chapter II.C.2.d.i. contains additional information for use by proposers in development of the Project Description section of the proposal.) Reviewers are strongly encouraged to review the criteria, including GPG Chapter II.C.2.d.i., prior to the review of a proposal.

When evaluating NSF proposals, reviewers will be asked to consider what the proposers 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. These issues apply both to the technical aspects of the proposal and the way in which the project may make broader contributions. To that end, reviewers will be asked to evaluate all proposals against two criteria:

- **Intellectual Merit:** The Intellectual Merit criterion encompasses the potential to advance knowledge; and
- **Broader Impacts:** The Broader Impacts criterion encompasses the potential to benefit society and contribute to the achievement of specific, desired societal outcomes.

The following elements should be considered in the review for both criteria:

1. What is the potential for the proposed activity to
  - a. Advance knowledge and understanding within its own field or across different fields (Intellectual Merit); and
  - b. Benefit society or advance desired societal outcomes (Broader Impacts)?
2. To what extent do the proposed activities suggest and explore creative, original, or potentially transformative concepts?
3. Is the plan for carrying out the proposed activities well-reasoned, well-organized, and based on a sound rationale? Does the plan incorporate a mechanism to assess success?
4. How well qualified is the individual, team, or organization to conduct the proposed activities?
5. Are there adequate resources available to the PI (either at the home organization or through collaborations) to carry out the proposed activities?

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 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 United States; and enhanced infrastructure for research and education.

Proposers are reminded that reviewers will also be asked to review the Data Management Plan and the Postdoctoral Researcher Mentoring Plan, as appropriate.

## B. Review and Selection Process

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Proposals submitted in response to this program solicitation will be reviewed by

Ad hoc Review and/or Panel Review.

Reviewers will be asked to evaluate proposals using two National Science Board approved merit review criteria and, if applicable, additional program specific criteria. A summary rating and accompanying narrative will generally be completed and submitted by each reviewer and/or panel. The Program Officer assigned to manage the proposal's review will consider the advice of reviewers and will formulate a recommendation.

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF strives to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. Large or particularly complex proposals or proposals from new awardees may require additional review and processing time. The time interval begins on the deadline or target date, or receipt date, whichever is later. The interval ends when the Division Director acts upon the Program Officer's recommendation.

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. After an administrative review has occurred, Grants and Agreements Officers perform 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.

Once an award or declination decision has been made, Principal Investigators are provided feedback about their proposals. In all cases, reviews are treated as confidential documents. Verbatim copies of reviews, excluding the names of the reviewers or any reviewer-identifying information, are sent to the Principal Investigator/Project Director by the Program Officer. In addition, the proposer will receive an explanation of the decision to award or decline funding.

## VII. AWARD ADMINISTRATION INFORMATION

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### A. Notification of the Award

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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 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.B. for additional information on the review process.)

### B. Award Conditions

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An NSF award consists of: (1) the award notice, 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 notice; (4) the applicable award conditions, such as Grant General Conditions (GC-1)\*; or Research Terms and Conditions\* and (5) any announcement or other NSF issuance that may be incorporated by reference in the award notice. Cooperative agreements also are administered in accordance with NSF Cooperative Agreement Financial and Administrative Terms and Conditions (CA-FATC) and the applicable Programmatic Terms and Conditions. NSF awards are electronically signed by an NSF Grants and Agreements Officer and transmitted electronically to the organization via e-mail.

\*These documents may be accessed electronically on NSF's Website at [http://www.nsf.gov/awards/managing/award\\_conditions.jsp?org=NSF](http://www.nsf.gov/awards/managing/award_conditions.jsp?org=NSF). Paper copies may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from [nsfpubs@nsf.gov](mailto:nsfpubs@nsf.gov).

More comprehensive information on NSF Award Conditions and other important information on the administration of NSF awards is contained in the NSF *Award & Administration Guide* (AAG) Chapter II, available electronically on the NSF Website at [http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=aag](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=aag).

#### Special Award Conditions:

**EAR Data Policy:** Principal investigators are required to adhere to the [EAR Data Policy](#) available on the NSF website. Final reports for all awards should include a statement describing how the data policy requirements have been met.

### C. Reporting Requirements

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For all multi-year grants (including both standard and continuing grants), the Principal Investigator must submit an annual project report to the cognizant Program Officer no later than 90 days prior to the end of the current budget period. (Some programs or awards require submission of more frequent project reports). No later than 120 days following expiration of a grant, the PI also is required to submit a final project report, and a project outcomes report for the general public.

Failure to provide the required annual or final project reports, or the project outcomes report, will delay NSF review and processing of any future funding increments as well as any pending proposals for all identified PIs and co-PIs on a given award. 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 Research.gov, for preparation and submission of annual and final project reports. Such reports provide information on accomplishments, project participants (individual and organizational), publications, and other specific products and impacts of the project. Submission of the report via Research.gov constitutes certification by the PI that the contents of the report are accurate and complete. The project outcomes report also must be prepared and submitted using Research.gov. This report serves as a brief summary, prepared specifically for the public, of the nature and outcomes of the project. This report will be posted on the NSF website exactly as it is submitted by the PI.

More comprehensive information on NSF Reporting Requirements and other important information on the administration of NSF awards is contained in the NSF *Award & Administration Guide* (AAG) Chapter II, available electronically on the NSF Website at [http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=aag](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=aag).

**EAR Data Policy:** Principal investigators are required to adhere to the [EAR Data Policy](#) available on the NSF website. Final reports for all awards should include a statement describing how the data policy requirements have been met.

## VIII. AGENCY CONTACTS

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*Please note that the program contact information is current at the time of publishing. See program website for any updates to the points of contact.*

General inquiries regarding this program should be made to:



- Sonia Esperanca, 785 N, telephone: (703) 292-4735, email: [sesperan@nsf.gov](mailto:sesperan@nsf.gov)
- Jennifer Wade, 785 N, telephone: (703) 292-4739, email: [jwade@nsf.gov](mailto:jwade@nsf.gov)

For questions related to the use of FastLane, contact:

- FastLane Help Desk, telephone: 1-800-673-6188; e-mail: [fastlane@nsf.gov](mailto:fastlane@nsf.gov).

For questions relating to Grants.gov contact:

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

## IX. OTHER INFORMATION

The NSF website provides the most comprehensive source of information on NSF Directorates (including contact information), programs and funding opportunities. Use of this website by potential proposers is strongly encouraged. In addition, "NSF Update" is an information-delivery system designed to keep potential proposers and other interested parties apprised of new NSF funding opportunities and publications, important changes in proposal and award policies and procedures, and upcoming NSF [Grants Conferences](#). Subscribers are informed through e-mail or the user's Web browser each time new publications are issued that match their identified interests. "NSF Update" also is available on [NSF's website](#).

Grants.gov provides an additional electronic capability to search for Federal government-wide grant opportunities. NSF funding opportunities may be accessed via this mechanism. Further information on Grants.gov may be obtained at <http://www.grants.gov>.

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NSF receives approximately 55,000 proposals each year for research, education and training projects, of which approximately 11,000 are funded. In addition, the Foundation receives several thousand applications for graduate and postdoctoral fellowships. The agency operates no laboratories itself but does support National Research Centers, user facilities, certain oceanographic vessels and Arctic and Antarctic research stations. The Foundation also supports cooperative research between universities and industry, US participation in international scientific and engineering efforts, and educational activities at every academic level.

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- **For General Information** (NSF Information Center): (703) 292-5111
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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; and 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 proposer 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 or other entities needing information regarding applicants or nominees as part of a joint application review process, or in order to coordinate programs or policy; 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," 69 Federal Register 26410 (May 12, 2004), and [NSF-51](#), "Reviewer/Proposal File and Associated Records," 69 Federal Register 26410 (May 12, 2004). 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 Office of Management and Budget (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 the burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to:

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