



National Science Foundation
WHERE DISCOVERIES BEGIN

NSF Grants Conference
Merit Review

March 11-12, 2013

Hosted by Howard University, Arlington, Virginia



National Science Foundation
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Panelists

Fahmida Chowdhury

Program Director, Directorate for Social, Behavioral & Economic Sciences, Office of Multidisciplinary Activities

Tracy Kimbrel

Deputy Division Director, Directorate for Computer & Information Sciences & Engineering, Division of Computing & Communication Foundations

Lawrence Rudolph

General Counsel, Office of the Director, Office of the General Counsel

Nigel Sharp

Program Director, Directorate for Mathematical & Physical Sciences, Division of Astronomical Sciences

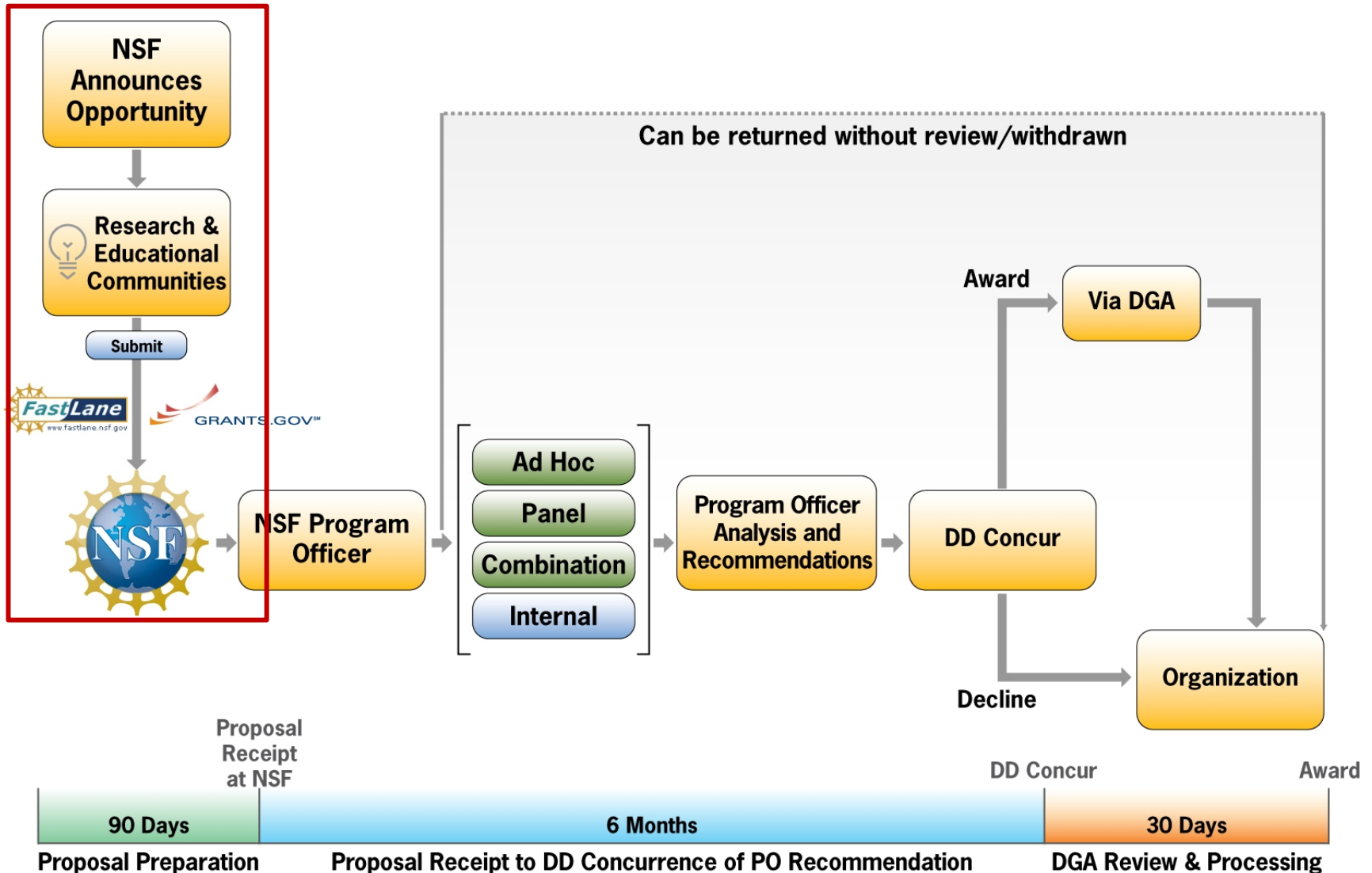


Topics Covered

- **Proposal and Award Timeline**
- **Proposal Preparation and Submission**
 - Reminders When Preparing Proposals
- **Proposal Review and Processing**
 - Program Officer Review
 - Proposal Review Criteria
 - Types of Reviews
 - Becoming a Reviewer
 - Managing Conflicts of Interest
 - Funding Decisions
- **Award Processing**
 - Issuing the Award



NSF Proposal & Award Process Timeline



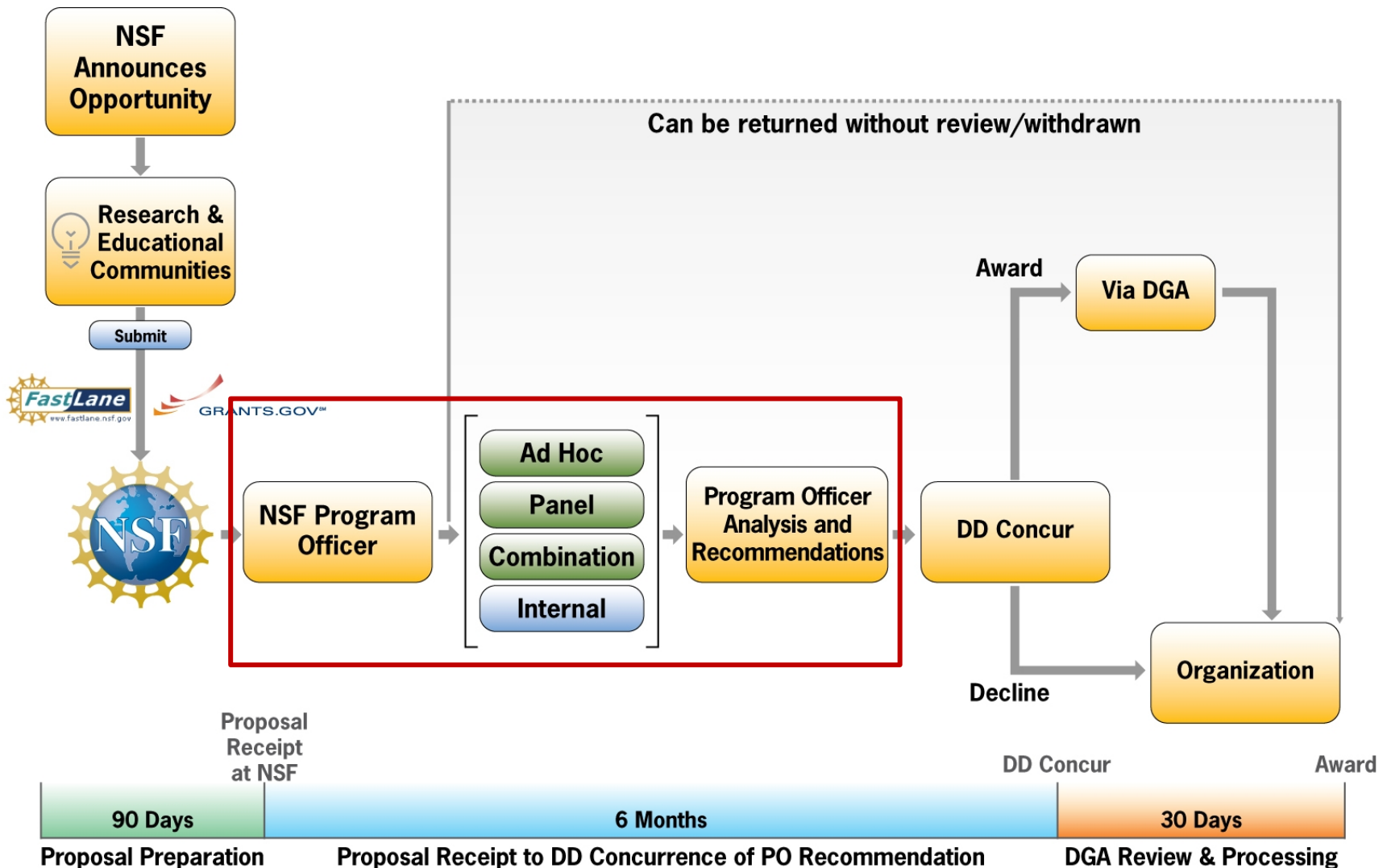


Reminders When Preparing Proposals

- Read the funding opportunity; ask a Program Officer for clarifications if needed
- Address all the proposal review criteria
- Understand the NSF merit review process
- Avoid omissions and mistakes
- Check your proposal to verify that it is complete!



Proposal Review and Processing





Program Officer Review

- **Upon receipt at NSF, proposals are routed to the correct program office.**
- **NSF staff conducts a preliminary review to ensure they are:**
 - Complete;
 - Timely; and
 - Conform to proposal preparation requirements.
- **NSF may not accept a proposal or may return it without review if it does not meet the requirements above.**
 - The return without review process will be discussed in greater detail later in the session.



Merit Review Criteria

Guiding Principles

- 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.
- 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.



Merit Review Criteria

When evaluating NSF proposals, reviewers should 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 would 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 are 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.



Five Review Elements

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 institution to conduct the proposed activities?
5. Are there adequate resources available to the PI (either at the home institution or through collaborations) to carry out the proposed activities?



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Merit Review Guiding Principles & Criteria

The Grant Proposal Guide (GPG) contains a description of the Merit Review Criteria



A. Merit Review Principles and Criteria

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.



Review Format in FastLane

- Reviewers provide feedback to NSF based on the Review Criteria and the Review Elements
- Review criteria and elements are available as reviewers provide feedback

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 institution to conduct the proposed activities?
5. Are there adequate resources available to the PI (either at the home institution or through collaborations) to carry out the proposed activities?

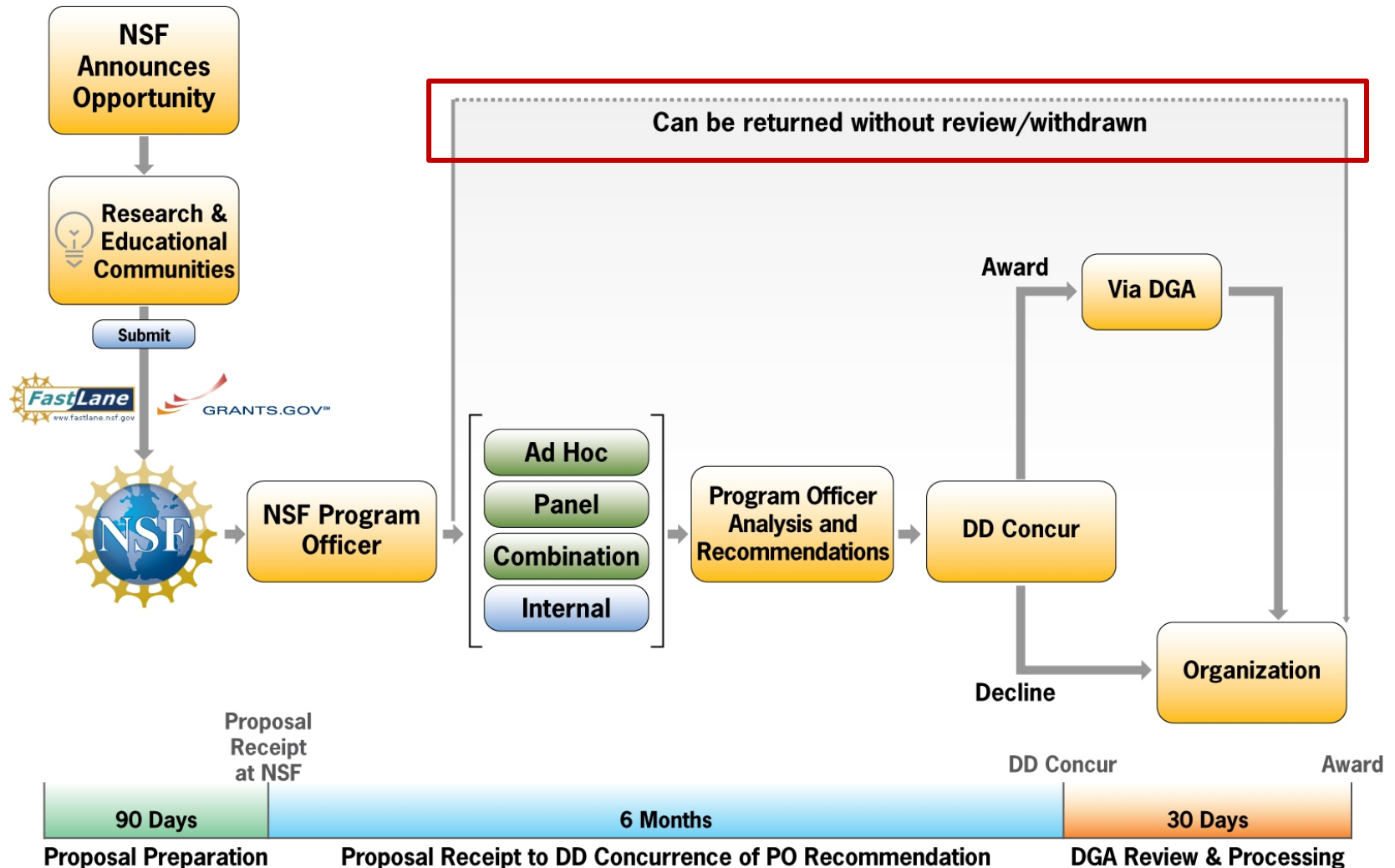
In the context of the five review elements, please evaluate the strengths and weaknesses of the proposal with respect to intellectual merit.

In the context of the five review elements, please evaluate the strengths and weaknesses of the proposal with respect to broader impacts.

Please evaluate the strengths and weaknesses of the proposal with respect to any additional solicitation-specific review criteria, if applicable.



Proposal Review and Processing





Proposals Not Accepted or Returned Without Review

- **Per the GPG Project Summary Requirement:**
 - Proposals that do not contain the Project Summary, including an overview and separate statements on intellectual merit and broader impacts will not be accepted by FastLane or will be returned without review
- **Per the GPG postdoctoral researcher mentoring requirement:**
 - Proposals that include postdoctoral researchers must include, as a supplementary document, a description of the mentoring activities that will be provided for such individuals.
 - The mentoring plan must not exceed one page per project.
- **Per the GPG data management plan requirement:**
 - The plan must be included as a supplementary document.



Other Reasons for Return of Proposals Without Review

- It is inappropriate for funding by the National Science Foundation.
- It is submitted with insufficient lead time before the activity is scheduled to begin.
- It is a full proposal that was submitted by a proposer that has received a “not invited” response to the submission of a preliminary proposal.
- It is a duplicate of, or substantially similar to, a proposal already under consideration by NSF from the same submitter.

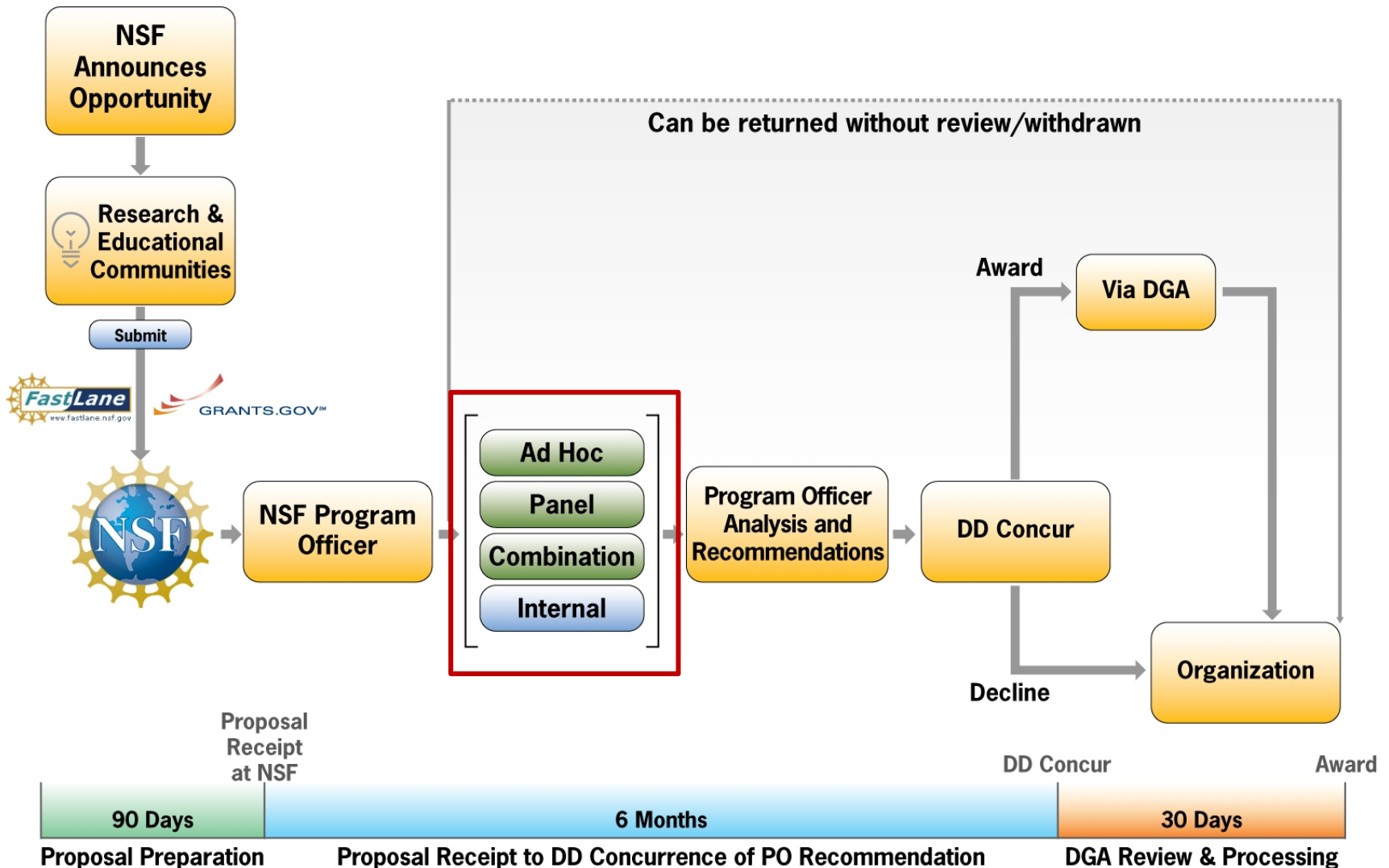


Other Reasons for Return of Proposals Without Review

- It does not meet NSF proposal preparation requirements, such as page limitations, formatting instructions, and electronic submission, as specified in the GPG or program solicitation.
- It is not responsive to the GPG or program announcement/solicitation.
- It does not meet an announced proposal deadline date (and time, where specified).
- It was previously reviewed and declined and has not been substantially revised.
- It duplicates another proposal that was already awarded.



Proposal Review and Processing





Types of Reviews

- ***Ad hoc*: proposals sent out for review —**
 - *Ad hoc* reviewers usually have specific expertise in a field related to the proposal.
 - Some proposals may undergo *ad hoc* review only.
- **Panel: Face-to-face sessions conducted by reviewers mainly at NSF but also in other settings**
 - Panel reviewers usually have a broader scientific knowledge.
 - Some proposals may undergo only a panel review.
 - Some proposals may undergo reviews by multiple panels (especially for those proposals with cross-cutting themes).



Types of Reviews

- **Combination:** some proposals may undergo supplemental *ad hoc* reviews before or after a panel review.
- **Internal: review by NSF Program Officers only**
 - Examples of internally reviewed proposals:
 - Proposals submitted to Rapid Response Research Grants (RAPID)
 - Proposals submitted to EARly-concept Grants for Exploratory Research (EAGER)
 - Proposals for conferences or workshops



How are Reviewers Selected?

- **Types of reviewers recruited:**
 - Reviewers with specific content expertise
 - Reviewers with general science or education expertise
- **Sources of Reviewers:**
 - Program Officer's knowledge of the research area
 - References listed in proposal
 - Recent professional society programs
 - Computer searches of S&E journal articles related to the proposal
 - Former reviewers
 - Reviewer recommendations included in proposal or sent by email
- **Three or more external reviewers per award are selected.**



How Do I Become a Reviewer?

- **Contact the NSF Program Officer(s) of the program(s) that fit your expertise:**
 - Introduce yourself and your research experience.
 - Tell them you want to become a reviewer for their program.
 - Ask them when the next panel will be held.
 - Offer to send a 2-page CV with current contact information.
 - Stay in touch if you don't hear back right away.



What is the Role of the Reviewer?

- **Review all proposal material and consider:**
 - The two NSF merit review criteria and any program specific criteria.
 - The adequacy of the proposed project plan including the budget, resources, and timeline.
 - The priorities of the scientific field and of the NSF program.
 - The potential risks and benefits of the project.
- **Make independent written comments on the quality of the proposal content.**



What is the Role of the Review Panel?

- **Discuss the merits of the proposal with the other panelists**
- **Write a summary based on that discussion**
- **Provide some indication of the relative merits of different proposals considered**



Why Serve on an NSF Panel?

- **Gain first-hand knowledge of the merit review process**
- **Learn about common problems with proposals**
- **Discover proposal writing strategies**
- **Meet colleagues and NSF Program Officers managing the programs related to your research**



Managing Conflicts of Interest in the Review Process

- The primary purpose is to remove or limit the influence of ties to an applicant institution or investigator that could affect reviewer advice.**
- The secondary purpose is to preserve the trust of the scientific community, Congress, and the general public in the integrity, effectiveness, and evenhandedness of NSF's merit review process.**



Examples of Affiliations with Applicant Institutions

- **Current employment at the institution**
- **Other association with the institution, such as being a consultant**
- **Being considered for employment or any formal or informal reemployment arrangement at the institution**
- **Any office, governing board membership, or relevant committee membership at the institution**

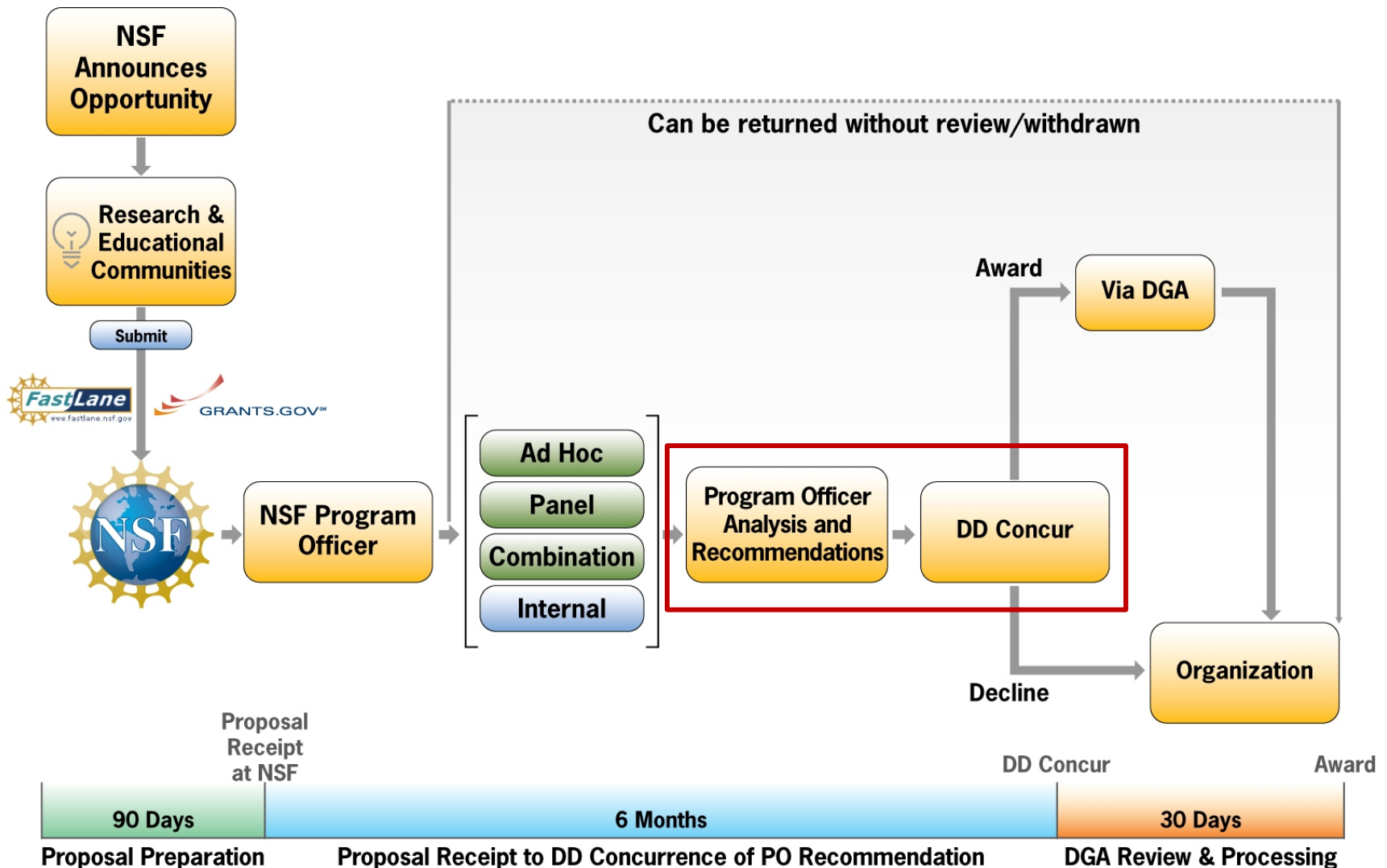


Examples of Personal Relationships with Investigator or Project Director

- **Known family or marriage relationship**
- **Business partner**
- **Past or present thesis advisor or thesis student**
- **Collaboration on a project or book, article, or paper within the last 48 months**
- **Co-edited a journal, compendium, or conference proceedings within the last 24 months**



Proposal Review and Processing





Funding Decisions

- **The merit review panel summary provides:**
 - Review of the proposal and a recommendation on funding.
 - Feedback (strengths and weaknesses) to the proposers.
- **NSF Program Officers make funding recommendations guided by program goals and portfolio considerations.**
- **NSF Division Directors either concur or reject the Program Officer's funding recommendations.**



Feedback from Merit Review

- Reviewer ratings (such as: E, VG, G, F, P)
- Analysis of how well proposal addresses both review criteria: Intellectual Merit and Broader Impacts
- Proposal strengths and weaknesses
- Reasons for a declination (if applicable)

If you have any questions, contact the cognizant Program Officer.



Documentation from Merit Review

- **Verbatim copies of individual reviews, excluding reviewer identities**
- **Panel Summary or Summaries (if panel review was used)**
- **Context Statement (usually)**
- **PO to PI comments (formal or informal, written, email or verbal) as necessary to explain a decision**



Examples of Reasons for Declines

- The proposal was not considered to be competitive based on the merit review criteria and the program office concurred.
- The proposal had flaws or issues identified by the program office.
- The program funds were not adequate to fund all competitive proposals.



Revisions and Resubmissions

- **Points to consider:**

- Do the reviewers and the NSF Program Officer identify significant strengths in your proposal?
- Can you address the weaknesses that reviewers and the Program Officer identified?
- Are there other ways you or your colleagues think you can strengthen a resubmission?

As always, if you have questions, contact the cognizant Program Officer.



NSF Reconsideration Process

- **Explanation from Program Officer and/or Division Director**
- **Written request for reconsideration to Assistant Director within 90 days of the decision**
- **Request from organization to Deputy Director of NSF**

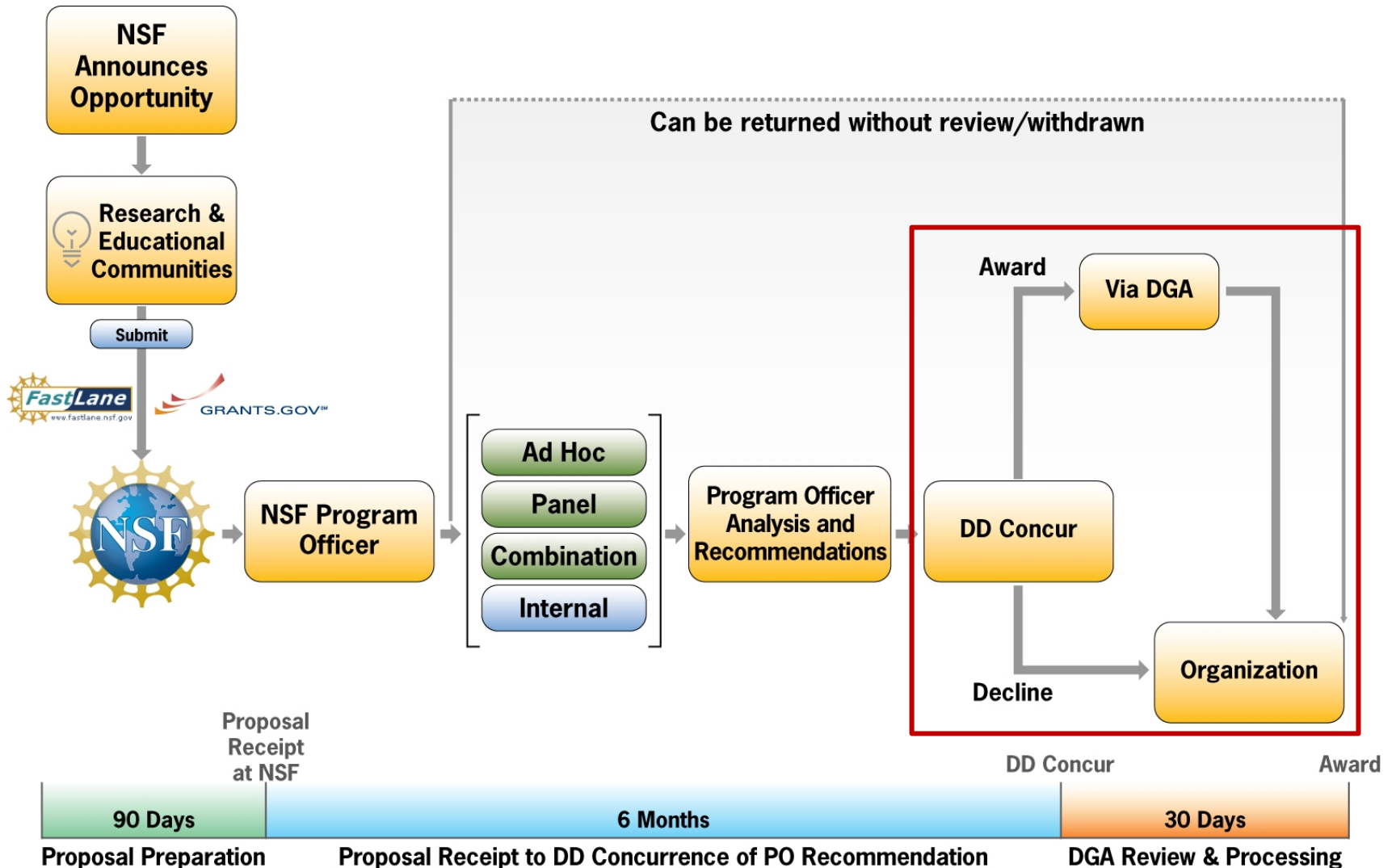


Possible Considerations for Funding a Competitive Proposal

- Addresses all review criteria
- Likely high impact
- Broadening participation
- Educational impact
- Impact on institution/state
- Special programmatic considerations (e.g. CAREER/RUI/EPSCoR)
- Other support for PI
- “Launching” versus “Maintaining”
- Portfolio balance



Award Processing





Issuing the Award

- **NSF's Division of Grants and Agreements (DGA) reviews the recommendation from the program office for business, financial, and policy implications.**
- **NSF's grants and agreements officers make the official award as long as:**
 - The institution has an adequate grants management capacity.
 - The PI/Co-PIs do not have overdue annual or final reports.
 - There are no other outstanding issues with the institution or PI.

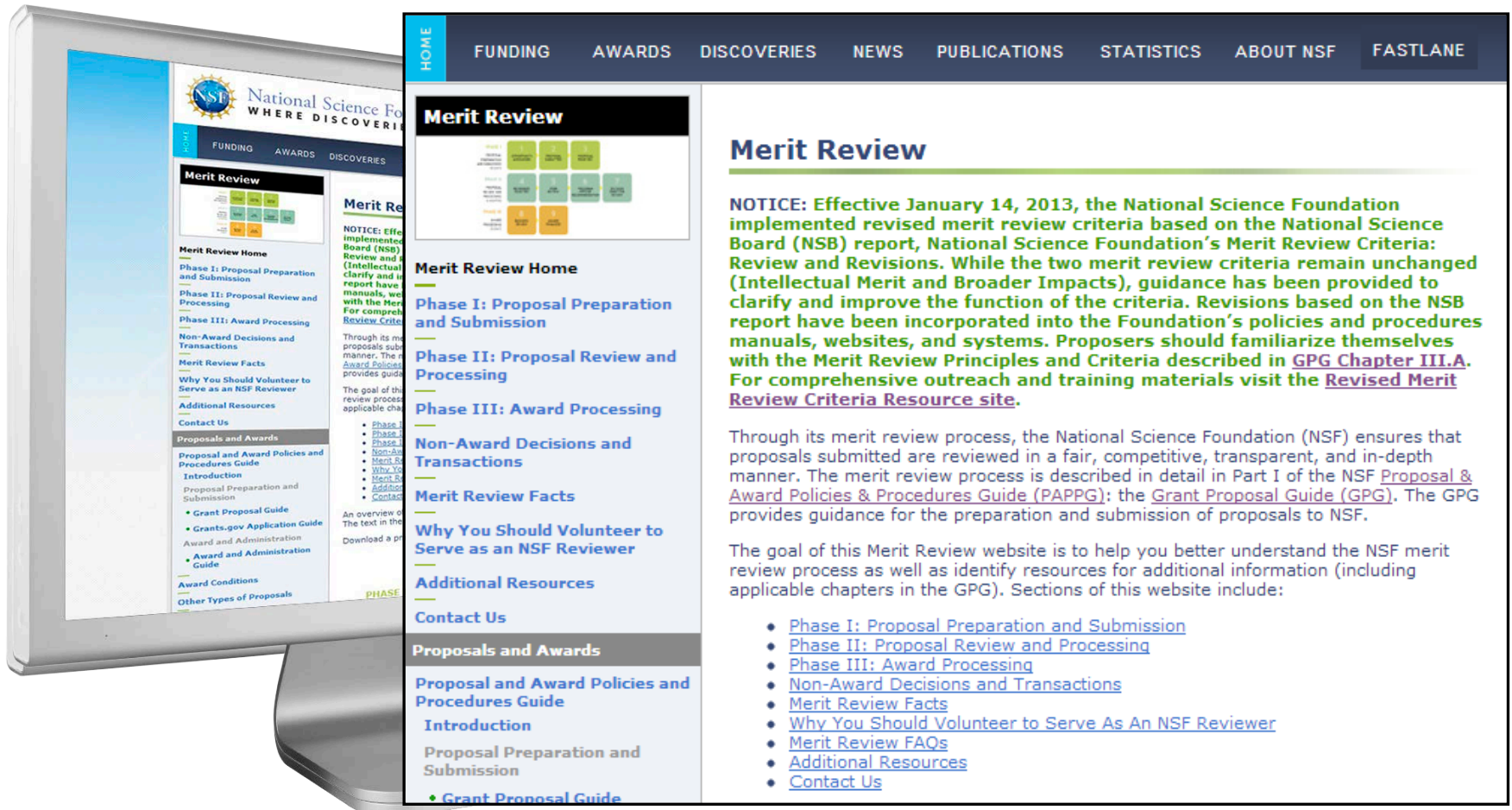


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For More Information

Go to NSF's Home Page (<http://www.nsf.gov>)



The image shows a computer monitor displaying the NSF website's Merit Review page. The website has a dark blue header with navigation links: HOME, FUNDING, AWARDS, DISCOVERIES, NEWS, PUBLICATIONS, STATISTICS, ABOUT NSF, and FASTLANE. The main content area is titled "Merit Review" and features a "Merit Review Home" section with a list of links: Phase I: Proposal Preparation and Submission, Phase II: Proposal Review and Processing, Phase III: Award Processing, Non-Award Decisions and Transactions, Merit Review Facts, Why You Should Volunteer to Serve as an NSF Reviewer, and Additional Resources. Below this is a "Proposals and Awards" section with links to the Proposal and Award Policies and Procedures Guide, Introduction, Proposal Preparation and Submission, and Grant Proposal Guide. A "NOTICE" section on the right states that effective January 14, 2013, the NSF implemented revised merit review criteria based on the National Science Board (NSB) report, National Science Foundation's Merit Review Criteria: Review and Revisions. The notice clarifies that the two merit review criteria remain unchanged (Intellectual Merit and Broader Impacts) and provides guidance on revisions. It also mentions that the revised criteria are incorporated into the Foundation's policies and procedures manuals, websites, and systems, and that proposers should familiarize themselves with the Merit Review Principles and Criteria described in GPG Chapter III.A. For comprehensive outreach and training materials, it directs users to the Revised Merit Review Criteria Resource site. A paragraph below the notice explains that the NSF ensures that proposals submitted are reviewed in a fair, competitive, transparent, and in-depth manner, and that the merit review process is described in detail in Part I of the NSF Proposal & Award Policies & Procedures Guide (PAPPG). The GPG provides guidance for the preparation and submission of proposals to NSF. At the bottom, a list of links is provided for Phase I, Phase II, Phase III, Non-Award Decisions and Transactions, Merit Review Facts, Why You Should Volunteer to Serve As An NSF Reviewer, Additional Resources, and Contact Us.

Merit Review

NOTICE: Effective January 14, 2013, the National Science Foundation implemented revised merit review criteria based on the National Science Board (NSB) report, National Science Foundation's Merit Review Criteria: Review and Revisions. While the two merit review criteria remain unchanged (Intellectual Merit and Broader Impacts), guidance has been provided to clarify and improve the function of the criteria. Revisions based on the NSB report have been incorporated into the Foundation's policies and procedures manuals, websites, and systems. Proposers should familiarize themselves with the Merit Review Principles and Criteria described in [GPG Chapter III.A](#). For comprehensive outreach and training materials visit the [Revised Merit Review Criteria Resource site](#).

Through its merit review process, the National Science Foundation (NSF) ensures that proposals submitted are reviewed in a fair, competitive, transparent, and in-depth manner. The merit review process is described in detail in Part I of the NSF [Proposal & Award Policies & Procedures Guide \(PAPPG\)](#): the [Grant Proposal Guide \(GPG\)](#). The GPG provides guidance for the preparation and submission of proposals to NSF.

The goal of this Merit Review website is to help you better understand the NSF merit review process as well as identify resources for additional information (including applicable chapters in the GPG). Sections of this website include:

- [Phase I: Proposal Preparation and Submission](#)
- [Phase II: Proposal Review and Processing](#)
- [Phase III: Award Processing](#)
- [Non-Award Decisions and Transactions](#)
- [Merit Review Facts](#)
- [Why You Should Volunteer to Serve As An NSF Reviewer](#)
- [Additional Resources](#)
- [Contact Us](#)



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For More Information

Ask Early, Ask Often!

[nsf.gov/staff](https://www.nsf.gov/staff)

[nsf.gov/staff/orglist.jsp](https://www.nsf.gov/staff/orglist.jsp)

[nsf.gov/about/career_opps/rotators/index.jsp](https://www.nsf.gov/about/career_opps/rotators/index.jsp)