

# Research on Survey and Statistical Methodology

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## Program Announcement

***NSF 00-147***

DIVISION OF SOCIAL AND ECONOMIC SCIENCES  
DIRECTORATE FOR SOCIAL, BEHAVIORAL, AND ECONOMIC SCIENCES

**DEADLINE(S) :**

**December 1, 2000**

**November 30, 2001**



**NATIONAL SCIENCE FOUNDATION**



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## SUMMARY OF PROGRAM REQUIREMENTS

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### GENERAL INFORMATION

**Program Title:** Research on Survey and Statistical Methodology

**Synopsis of Program:** The Methodology, Measurement, and Statistics (MMS) Program in the Division of Social and Economic Sciences invites research proposals that further the development of new and innovative approaches to surveys and to the analysis of survey data. Although proposals submitted in response to this announcement may address any aspect of survey methodology, priority will be given to basic research proposals that are interdisciplinary in nature, have broad implications for the field in general, and have the greatest potential for creating fundamental knowledge of value to the Federal Statistical System. Potential topics for consideration include basic research on survey measurement issues, data collection procedures, technological issues related to survey design, methods for small area estimation, and statistical approaches for the analysis of survey data.

**Cognizant Program Officer(s):**

- Cheryl L. Eavey, Program Director, Methodology, Measurement, and Statistics, Room 995, telephone: 703.292.7269, e-mail: [ceavey@nsf.gov](mailto:ceavey@nsf.gov).

**Applicable Catalog of Federal Domestic Assistance (CFDA) Number:**

- 47.075 --- Social, Behavioral and Economic Sciences

### ELIGIBILITY INFORMATION

- **Organization Limit:** None
- **PI Eligibility Limit:** None
- **Limit on Number of Proposals:** None

### AWARD INFORMATION

- **Anticipated Type of Award:** Standard Grant
- **Estimated Number of Awards:** 3-7
- **Anticipated Funding Amount:** NSF anticipates reserving \$600,000 in FY2001 and \$600,000 in FY2002 for this activity, pending the availability of funds.

# PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

## *A. Proposal Preparation Guidelines*

- **Proposal Preparation Instructions:** Standard Preparation Guidelines
  - Standard GPG Guidelines apply.

## *B. Budgetary Information*

- **Cost Sharing Requirements:** Statutory Cost Sharing (1%) is required
- **Indirect Cost (F&A) Limitations:** Not Applicable.
- **Other Budgetary Limitations:** Grantees may be invited to participate in a two-day annual meeting in the Washington DC area to report on their activities and interact with other grantees and agency staffers. Budget requests should include travel funds to accommodate that possibility.

## *C. Deadline/Target Dates*

- **Letter of Intent Due Date(s):** None
- **Preproposal Due Date(s):** None
- **Full Proposal Due Date(s):**

December 1, 2000

November 30, 2001

## *D. FastLane Requirements*

- **FastLane Submission:** Full Proposal Required
- **FastLane Contact(s):**
  - Gail D. Williams, Staff Associate, OAD/SBE, e-mail: [sesfl@nsf.gov](mailto:sesfl@nsf.gov).
  - FastLane Help Desk, telephone: 1.800.673.6188, e-mail: [fastlane@nsf.gov](mailto:fastlane@nsf.gov).

## PROPOSAL REVIEW INFORMATION

- **Merit Review Criteria:** National Science Board approved criteria apply.

## AWARD ADMINISTRATION INFORMATION

- **Award Conditions:** Standard NSF award conditions apply.
- **Reporting Requirements:** Standard NSF Reporting Requirements apply.

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## **Revisions and Updates**

### **Research on Survey and Statistical Methodology (NSF 00-147)**

Effective January 19, 2001, the following changes were made to this program announcement:

1. PROGRAM DESCRIPTION section. Added missing language to INFORMATION ON PARTICIPATING FEDERAL STATISTICAL AGENCIES:

National Science Foundation

- Science Resources Studies

## **I. INTRODUCTION**

The Methodology, Measurement, and Statistics (MMS) Program in the Division of Social and Economic Sciences, in collaboration with a consortium of federal statistical agencies represented by the Interagency Council on Statistical Policy (ICSP) and the Federal Committee on Statistical Methodology (FCSM), invites research proposals that further the development of new and innovative approaches to surveys and to the analysis of survey data. Although proposals submitted in response to this funding opportunity may address any aspect of survey methodology, priority will be given to basic research proposals that are interdisciplinary in nature, have broad implications for the field in general, and have the greatest potential for creating fundamental knowledge of value to the Federal Statistical System. Because methodological problems often require knowledge and expertise from multiple disciplines, collaborations are especially encouraged among the relevant sciences, including the social sciences, linguistics, cognitive science, statistics, computer science, and economics.

This announcement invites proposals for the second and third year of a three-year competition. An earlier Research on Survey Methodology competition, held in FY99, resulted in the funding of four projects (six awards). That awards list is available on the MMS home page at <http://www.nsf.gov/sbe/ses/mms/start.htm>.

## **II. PROGRAM DESCRIPTION**

The Federal Statistical System faces the challenge of gathering relevant and reliable data for the next decade and beyond. Researchers should think creatively regarding the development of methods for survey research in the 21st century. For example, the potential for conducting surveys via the Web raises a host of important methodological questions; issues of nonresponse affect the validity and reliability of survey data; and methods are needed for handling multimedia databases.

Basic research on survey measurement issues, data collection procedures, technological issues related to survey design, methods for small area estimation, and statistical approaches for the analysis of survey data has the potential to greatly benefit the Federal Statistical System in particular and the conduct of surveys in general. Potential topics for consideration include but are not limited to:

Measurement Issues:

- Decision approaches for determining new data needs and eliminating data items that are no longer needed.
- Calibration of and adjustment for measurement errors.
- Measurement of complex social concepts such as disability, labor force attachment, poverty, and income inequality.
- Measurement of complex social indicators such as Gross Domestic Product (GDP), the Producer Price Index (PPI), or the Consumer Price Index (CPI).
- Measurement of rare and elusive populations and sensitive topics by network sampling

and other methods.

- Statistical models of survey measurement errors based on theories from the social and behavioral sciences.
- Investigation of rotation group bias and its effects on household and establishment surveys.

#### Questionnaire Design:

- Improvement of procedures for designing and pretesting questionnaires for household and establishment surveys.
- Interviewing inflexibility and the conversational aspects of designing questionnaires.
- Designing questionnaires that are more understandable to respondents.
- Assessment of error and cost effects by data collection mode.
- Investigations of the cognitive aspects of survey response heuristics such as forward telescoping, context effects, anchoring effects, and seam effects.

#### Survey Technology:

- Methodological issues associated with web-based surveys.
- Graphical editing and data imputation.
- Providing greater access to complex data such as geo-coded data in spatial displays while assuring confidentiality protection.
- Data extraction and exploration techniques.
- Methods for linking designs of population and establishment sample surveys.

#### Analytical Issues:

- Innovations that address and overcome reasons for nonresponse.
- Integration of information across government surveys.
- Creative uses of administrative records to supplement surveys.
- Analysis of longitudinal data.
- Linking data and metadata.

#### Small Area Estimation:

- Improving uncertainty measures for small area estimates.
- Investigating and improving robustness properties of small area models.

- Allowing for uncertainty about sampling error properties (e.g., uncertainty about variances) in small area modeling and estimation.
- Using generalized linear models (GLIM) applied to unit level data from complex surveys in doing small area estimation.
- Reconciling small area estimates for different levels of aggregation when different information is available at those different levels.

## INFORMATION ON PARTICIPATING FEDERAL STATISTICAL AGENCIES

The Interagency Council on Statistical Policy (ICSP) consists of the heads of the 14 largest statistical agencies and is chaired by the chief statistician of the Office of Management and Budget. It was formally established by the Paperwork Reduction Act of 1995 to discuss and determine statistical policy issues. The Federal Committee on Statistical Methodology (FCSM) consists of experts from within the Federal Statistical System who consider methodological issues of importance to the statistical system. The Federal Statistical System includes 10 agencies that have statistical activities as their principal mission and about 60 agencies that carry out statistical activities in conjunction with other missions, such as providing services or enforcing regulations.

Proposals may include the direct participation of ICSP/FCSM agencies. Consortium agencies include:

### Department of Agriculture

- National Agricultural Statistics Service
- Economic Research Service

### Department of Commerce

- Bureau of the Census
- Bureau of Economic Analysis

### Department of Education

- National Center for Education Statistics

### Department of Energy

- Energy Information Administration

### Department of Health and Human Services

- National Center for Health Statistics

### Department of Justice

- Bureau of Justice Statistics

Department of Labor

- Bureau of Labor Statistics

Department of Transportation

- Bureau of Transportation Statistics

Department of Treasury

- Statistics of Income Division, IRS

Other Agencies

- Social Security Administration

### **III. ELIGIBILITY INFORMATION**

The categories of proposers identified in the Grant Proposal Guide are eligible to submit proposals under this program announcement/solicitation.

### **IV. AWARD INFORMATION**

NSF expects to fund three to seven awards, with an approximate duration of one to three years, and an expected award range of \$60,000 to \$125,000 per award per year. NSF anticipates reserving \$600,000 in FY2001 and \$600,000 in FY2002 for this activity (with the expected contribution evenly divided between NSF and the participating federal statistical agencies). Additional funds beyond the anticipated yearly total of \$600,000 may be provided by federal agencies with special interests in particular research topics. For example, the U.S. Census Bureau has indicated that additional funds may be available for research on methods for small area estimation. Given the limited funds available, investigators are not encouraged to include significant expenses for direct data collection in their budgets.

### **V. PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS**

#### **A. Proposal Preparation Instructions**

##### **Full Proposal Instructions:**

Proposals submitted in response to this program announcement/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 (including electronic forms) is available electronically on the NSF Web Site at: <http://www.nsf.gov/cgi-bin/getpub?nsf012>. Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone (702) 292-7827 or by e-mail from [pubs@nsf.gov](mailto:pubs@nsf.gov).

Proposers are reminded to identify the program announcement/solicitation number (NSF 00-147) in the program announcement/solicitation block on the NSF Form 1207, *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.

## **B. Budgetary Information**

In accordance with Congressional requirements (see GPM 330), NSF requires that each awardee share in the cost of research projects resulting from unsolicited proposals. For purposes of NSF, proposals submitted in response to this announcement/solicitation are considered unsolicited. The awardee may meet the statutory cost sharing requirement by choosing either of two alternatives: (1) by cost sharing a minimum of one percent on the project; or (2) by cost sharing a minimum of one percent on the aggregate costs of all NSF-supported projects requiring cost sharing.

The minimum one percent statutory cost sharing requirement discussed above need NOT be entered on Line M of the NSF Form 1030.

**Other Budgetary Limitations:** Grantees may be invited to participate in a two-day annual meeting in the Washington DC area to report on their activities and interact with other grantees and agency staffers. Budget requests should include travel funds to accommodate that possibility.

## **C. Deadline/Target Dates**

Proposals submitted in response to this announcement/solicitation must be submitted by 5:00 PM, local time on the following date(s):

December 1, 2000

November 30, 2001

## **D. FastLane Requirements**

Proposers are required to prepare and submit all proposals for this Program Announcement through the FastLane system. Detailed instructions for proposal preparation and submission via FastLane are available at: <http://www.fastlane.nsf.gov/a1/newstan.htm>. For FastLane user support, call 1-800-673-6188.

*Submission of Signed Cover Sheets.* The signed copy of the proposal Cover Sheet (NSF Form 1207) must be postmarked (or contain a legible proof of mailing date assigned by the carrier) within five working days following proposal submission and be forwarded to the following address:

National Science Foundation

DIS – FastLane Cover Sheet

4201 Wilson Blvd.

Arlington, VA 22230

## VI. PROPOSAL REVIEW INFORMATION

### A. NSF Proposal Review Process

Reviews of proposals submitted to NSF are solicited from peers with expertise in the substantive area of the proposed research or education project. These reviewers are selected by Program Officers charged with the oversight of the review process. NSF invites the proposer to suggest at the time of submission, the names of appropriate or inappropriate reviewers. Care is taken to ensure that reviewers have no conflicts with the proposer. Special efforts are made to recruit reviewers from non-academic institutions, minority-serving institutions, or adjacent disciplines to that principally addressed in the proposal.

Proposals will be reviewed against the following general review criteria established by the National Science Board. Following each criterion are potential considerations that the reviewer may employ in the evaluation. These are suggestions and not all will apply to any given proposal. Each reviewer will be asked to address only those that are relevant to the proposal and for which he/she is qualified to make judgements.

#### **What is the intellectual merit of the proposed activity?**

How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources?

#### **What are the broader impacts of the proposed activity?**

How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society?

Principal Investigators should address the following elements in their proposal to provide reviewers with the information necessary to respond fully to both of the above-described NSF merit review criteria. NSF staff will give these elements careful consideration in making funding decisions.

#### ***Integration of Research and Education***

One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and

enrich research through the diversity of learning perspectives.

***Integrating Diversity into NSF Programs, Projects, and Activities***

Broadening opportunities and enabling the participation of all citizens - women and men, underrepresented minorities, and persons with disabilities - 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 summary rating and accompanying narrative will be completed and signed by each reviewer. In all cases, reviews are treated as confidential documents. Verbatim copies of reviews, excluding the names of the reviewers, are mailed to the Principal Investigator/Project Director by the Program Director. In addition, the proposer will receive an explanation of the decision to award or decline funding.

**B. Review Protocol and Associated Customer Service Standard**

All proposals are carefully reviewed by at least three other persons outside NSF who are experts in the particular field represented by the proposal. Proposals submitted in response to this announcement/solicitation will be reviewed by a multidisciplinary panel consisting of scholars from the relevant sciences. Mail reviews may be solicited at the discretion of the MMS Program Director. Proposals deemed meritorious also will be ranked for their potential value to the Federal Statistical System by the Survey Research Subcommittee of the FCSM, which will include one representative from each participating agency. Final programmatic recommendations will be made by NSF staff, in consultation with representatives from the Survey Research Subcommittee of the FCSM.

Reviewers will be asked to formulate a recommendation to either support or decline each proposal. The Program Officer assigned to manage the proposal's review will consider the advice of reviewers and will formulate a recommendation.

NSF will be able to tell applicants whether their proposals have been declined or recommended for funding within six months for 95 percent of proposals. The time interval begins on the proposal deadline or target date or from the date of receipt, if deadlines or target dates are not used by the program. The interval ends when the Division Director accepts the Program Officer's recommendation.

In all cases, 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 and 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 its own risk.

## **VII. AWARD ADMINISTRATION INFORMATION**

### **A. Notification of the Award**

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 Division 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. A, for additional information on the review process.)

### **B. Award Conditions**

An NSF award consists of: (1) the award letter, 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 letter; (4) the applicable award conditions, such as Grant General Conditions (NSF-GC-1)\* or Federal Demonstration Partnership (FDP) Terms and Conditions \* and (5) any NSF brochure, program guide, announcement or other NSF issuance that may be incorporated by reference in the award letter. Cooperative agreement awards also are administered in accordance with NSF Cooperative Agreement Terms and Conditions (CA-1). Electronic mail notification is the preferred way to transmit NSF awards to organizations that have electronic mail capabilities and have requested such notification from the Division of Grants and Agreements.

\*These documents may be accessed electronically on NSF's web site at [http://www.nsf.gov/home/grants/grants\\_gac.htm](http://www.nsf.gov/home/grants/grants_gac.htm). Paper copies may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from [pubs@nsf.gov](mailto:pubs@nsf.gov).

More comprehensive information on NSF Award Conditions is contained in the NSF *Grant Policy Manual* (GPM) Chapter II, (NSF 95-26) available electronically on the NSF web site at <http://www.nsf.gov/cgi-bin/getpub?gpm>. The GPM is also for sale through the Superintendent of Documents, Government Printing Office (GPO), Washington, DC 20402. The telephone number at GPO for subscription information is (202) 512-1800. The GPM may be ordered through the GPO web site at <http://www.gpo.gov>.

### **C. Reporting Requirements**

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant Program Officer at least 90 days before the end of the current budget period.

Within 90 days after the expiration of an award, the PI also is required to submit a final project report. Approximately 30 days before expiration, NSF will send a notice to remind the PI of the requirement to file the final project report. Failure to provide final technical reports delays NSF review and processing of pending proposals for that PI. PIs should examine the formats of the required reports in advance to assure availability of required data.

NSF has implemented an electronic project reporting system, available through FastLane. This system permits electronic submission and updating of project reports, including information on: project participants (individual and organizational); activities and findings; publications; and other specific products and contributions. PIs will not be required to re-enter information previously provided, either with a proposal or in earlier updates using the electronic system.

## **VIII. CONTACTS FOR ADDITIONAL INFORMATION**

General inquiries should be made to the Research on Survey and Statistical Methodology Program: Cheryl L. Eavey, Program Director, Methodology, Measurement, and Statistics, Room 995, telephone: 703.292.7269, e-mail: [ceavey@nsf.gov](mailto:ceavey@nsf.gov).

For questions related to the use of FastLane, contact,

- Gail D. Williams, Staff Associate, OAD/SBE, e-mail: [sesfl@nsf.gov](mailto:sesfl@nsf.gov).
- FastLane Help Desk, telephone: 1.800.673.6188, e-mail: [fastlane@nsf.gov](mailto:fastlane@nsf.gov).

## **IX. OTHER PROGRAMS OF INTEREST**

The NSF Guide to Programs is a compilation of funding for research and education in science, mathematics, and engineering. The NSF Guide to Programs is available electronically at <http://www.nsf.gov/cgi-bin/getpub?gp>. General descriptions of NSF programs, research areas, and eligibility information for proposal submission are provided in each chapter.

Many NSF programs offer announcements or solicitations concerning specific proposal requirements. To obtain additional information about these requirements, contact the appropriate NSF program offices. Any changes in NSF's fiscal year programs occurring after press time for the Guide to Programs will be announced in the NSF E-Bulletin, which is updated daily on the NSF web site at <http://www.nsf.gov/home/ebulletin>, and in individual program announcements/solicitations. Subscribers can also sign up for NSF's Custom News Service (<http://www.nsf.gov/home/cns/start.htm>) to be notified of new funding opportunities that become available.

## **ABOUT THE NATIONAL SCIENCE FOUNDATION**

The National Science Foundation (NSF) funds research and education in most fields of science and engineering. Awardees are wholly responsible for conducting their project activities and preparing the results for publication. Thus, the Foundation does not assume responsibility for such findings or their interpretation.

NSF welcomes proposals from all qualified scientists, engineers and educators. The Foundation strongly encourages women, minorities and persons with disabilities to compete fully in its

programs. In accordance with Federal statutes, regulations and NSF policies, no person on grounds of race, color, age, sex, national origin or disability shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NSF (unless otherwise specified in the eligibility requirements for a particular program).

Facilitation Awards for Scientists and Engineers with Disabilities (FASED) provide funding for special assistance or equipment to enable persons with disabilities (investigators and other staff, including student research assistants) to work on NSF-supported projects. See the program announcement/solicitation for further information.

The National Science Foundation has Telephonic Device for the Deaf (TDD) and Federal Information Relay Service (FIRS) capabilities that enable individuals with hearing impairments to communicate with the Foundation about NSF programs, employment or general information. TDD may be accessed at (703) 292-5090, or (800) 281-8749 ( FIRS at 1-800-877-8339).

The National Science Foundation is committed to making all of the information we publish easy to understand. If you have a suggestion about how to improve the clarity of this document or other NSF-published materials, please contact us at [plainlanguage@nsf.gov](mailto:plainlanguage@nsf.gov).

## **PRIVACY ACT AND PUBLIC BURDEN STATEMENTS**

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; 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 applicant 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 needing information as part of the review process or in order to coordinate programs; 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," 63 Federal Register 267 (January 5, 1998), and NSF-51, "Reviewer/Proposal File and Associated Records," 63 Federal Register 268 (January 5, 1998). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of receiving an award.

Pursuant to 5 CFR 1320.5(b), an agency may not conduct or sponsor, and a person is not required to respond to an information collection unless it displays a valid 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 this burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to: Suzanne Plimpton, Reports Clearance Officer, Information Dissemination Branch, Division of Administrative Services, National Science Foundation, Arlington, VA 22230, or to Office of

Information and Regulatory Affairs of OMB, Attention: Desk Officer for National Science Foundation (3145-0058), 725 - 17th Street, N.W. Room 10235, Washington, D.C. 20503.

*OMB control number:* 3145-0058.  
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