

Doctoral Dissertation Research Improvement Grants

Program Announcement

NSF 01-113

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National Science Foundation

Division of Behavioral and Cognitive Sciences

Directorate for Social, Behavioral, and Economic Sciences

Division of Social and Economic Sciences

SUMMARY OF PROGRAM REQUIREMENTS

General Information

Program Title:

Doctoral Dissertation Research Improvement Grants

Synopsis of Program:

The National Science Foundation's Division of Social and Economic Sciences and Division of Behavioral and Cognitive Sciences award grants to doctoral students to improve the quality of dissertation research. These grants provide funds for items not normally available through the student's university. Additionally, these grants allow doctoral students to undertake significant data-gathering projects and to conduct field research in settings away from their campus that would not otherwise be possible. Proposals are judged on the basis of their scientific merit, including the theoretical importance of the research question and the appropriateness of the proposed data and methodology to be used in addressing the question.

Cognizant Program Officer(s):

- Please see the full text of this funding opportunity for contact information.

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

- 47.075 --- Social, Behavioral and Economic Sciences

Eligibility Information

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

Award Information

- **Anticipated Type of Award:** Standard Grant
- **Estimated Number of Awards:** Not Specified.
- **Anticipated Funding Amount:** \$2,500,000 Approximately \$2.5 million annually across all programs, contingent

upon the availability of funds

Proposal Preparation and Submission Instructions

A. Proposal Preparation Instructions

- **Full Proposal Preparation Instructions:** This solicitation contains information that deviates from the standard Grant Proposal Guide (GPG) proposal preparation guidelines. Please see the full text of this solicitation for further information.

B. Budgetary Information

- **Cost Sharing Requirements:** Cost Sharing is not required.
- **Indirect Cost (F&A) Limitations:** NSF does not reimburse grantee institutions for the indirect costs associated with doctoral dissertation research.
- **Other Budgetary Limitations:** Other budgetary limitations apply. Please see the full text of this solicitation for further information.

C. Due Dates

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.

TABLE OF CONTENTS

Summary of Program Requirements

- I. **Introduction**
- II. **Program Description**
- III. **Eligibility Information**
- IV. **Award Information**
- V. **Proposal Preparation and Submission Instructions**
 - A. Proposal Preparation Instructions
 - B. Budgetary Information
 - C. Due Dates
 - D. FastLane Requirements
- VI. **Proposal Review Information**
 - A. NSF Proposal Review Process
 - B. Review Protocol and Associated Customer Service Standard

VII. Award Administration Information

- A. Notification of the Award
- B. Award Conditions
- C. Reporting Requirements

VIII. Contacts for Additional Information

IX. Other Programs of Interest

I. INTRODUCTION

The National Science Foundation's Division of Social and Economic Sciences and Division of Behavioral and Cognitive Sciences award grants to doctoral students to improve the quality of dissertation research. These grants provide funds for items not normally available through the student's university. Additionally, these grants allow doctoral students to undertake significant data-gathering projects and to conduct field and archival research in settings away from their campus that would not otherwise be possible. Funds may be used for valid research expenses which include, but are not limited to, conducting field research in settings away from campus that would not otherwise be possible, data collection and sample survey costs, payments to subjects or informants, specialized research equipment, analysis and services not otherwise available, supplies, travel to archives, travel to specialized collections and facilities or field research locations, and partial living expenses for conducting necessary research away from the student's university.

II. PROGRAM DESCRIPTION

In an effort to improve the quality of dissertation research, many programs in the Division of Social and Economic Sciences and the Division of Behavioral and Cognitive Sciences accept doctoral dissertation improvement grant proposals. The following Programs are most active in support of dissertation research: Archaeology, Cognitive Neuroscience, Cultural Anthropology, Decision, Risk & Management Science, Geography and Regional Science, Law and Social Science, Linguistics, Physical Anthropology, Political Science, Science and Technology Studies, Sociology, and Societal Dimensions of Engineering, Science, and Technology. In addition, the following Programs also support doctoral dissertation research when especially appropriate: Economics and Human Cognition & Perception. Items such as budget limitations, target dates and/or deadlines, page length restrictions, and review procedures vary widely across programs. Please consult the relevant program's website for specific information and contact the program assistant or director if necessary. While the Foundation provides support for doctoral dissertation research, the awardee is solely responsible for the conduct of such research and preparation of results for publication. The Foundation, therefore, does not assume responsibility for such findings and their interpretation. This program does not support research with disease-related goals, including research on the etiology, diagnosis, or treatment of physical or mental disease, abnormality, or malfunction of human beings, animals, or plants.

III. ELIGIBILITY INFORMATION

The proposal must be submitted through regular university channels by the dissertation advisor(s) on behalf of the graduate student who is at the point of initiating or already conducting dissertation research. The student must be enrolled at a U.S. institution, but need not be a U.S. citizen. Proposals from women, minorities, and persons with disabilities are strongly encouraged.

IV. AWARD INFORMATION

Due to the variation in research techniques and needs across the social, behavioral, and economic sciences, individual programs vary widely in award sizes; please consult the program's webpage or program director for specific information. Applicants may concurrently submit a doctoral dissertation proposal to other funding organizations; please indicate this in the "Current and Pending Support" section of the NSF proposal, so that NSF may coordinate funding with the other organizations.

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 is available electronically on the NSF Website at: <http://www.nsf.gov/cgi-bin/getpub?gpg>. Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from pubs@nsf.gov.

Specific instructions for Doctoral Dissertation Improvement Grants are: 1. Cover Page · The Project Title should begin with "Doctoral Dissertation Research:" · List the primary dissertation advisor as the "PI/PD" and the student as the "CO-PI/PD" 2. Project Description · This section should describe the scientific significance of the work, including its relationship to other current research, and the design of the project in sufficient detail to permit evaluation. It should also present and interpret progress to date if the research is already underway. · A Research Schedule should be included and should indicate the date that funds are required · The "Results from Prior NSF Support" section is not required. · For questions regarding page-length and supplemental materials such as surveys, please consult the relevant program's website and contact the program assistant or director if necessary. 3. Biographical Sketches should be submitted for both the student and the dissertation advisor and should conform with the Grant Proposal Guide specifications. In addition, the biographical sketch for the student should also include a statement about the student's current academic status and degree progress. Do not submit transcripts or letters of reference.

Proposers are reminded to identify the program announcement/solicitation number (01-113) in the program announcement/solicitation block on the proposal Cover Sheet. Compliance with this requirement is critical to determining the relevant proposal processing guidelines. Failure to submit this information may delay processing.

B. Budgetary Information

Cost Sharing:

Cost sharing is not required in proposals submitted under this Program Announcement.

Indirect Cost (F&A) Limitations:

NSF does not reimburse grantee institutions for the indirect costs associated with doctoral dissertation research.

Other Budgetary Limitations:

In general, grants are awarded for up to 24 months. These awards provide supplemental funds for items not usually available from the student's university; the awards are not intended to provide the full costs of a student's doctoral dissertation research. Funds may be used for valid research expenses which include, but are not limited to, conducting field research in settings away from campus that would not otherwise be possible, data collection and sample survey costs, payments to subjects or informants, specialized research equipment, analysis and services not otherwise available, supplies, travel to archives, travel to specialized collections and facilities or field research locations, and partial living expenses for conducting necessary research away from the student's university. Funds are to be used exclusively for necessary expenses incurred in the actual conduct of the dissertation research. These funds may not be used as a stipend for the student, for tuition, textbooks, journals, or for the typing, reproduction, or publication costs of the student's dissertation. Although stipends are not permitted, an allowance for expenses during time away from the student's home institution may be allowed. Funds may be requested for research assistants only in special circumstances, which should be carefully justified. Many of the limitations are program specific. Please consult the relevant program's website and contact the program assistant or director if necessary.

C. Due Dates

Proposals must be submitted by the following date(s):

None Specified.

D. FastLane Requirements

Proposers are required to prepare and submit all proposals for this announcement/solicitation through the FastLane system. Detailed instructions for proposal preparation and submission via FastLane are 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. The FastLane Help Desk answers general technical questions related to the use of the FastLane system. Specific questions related to this program announcement/solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this announcement/solicitation.

Submission of Electronically Signed Cover Sheets. The Authorized Organizational Representative (AOR) must electronically sign the proposal Cover Sheet to submit the required proposal certifications (see Chapter II, Section C of the [Grant Proposal Guide](#) for a listing of the certifications). The AOR must provide the required electronic certifications within five working days following the electronic submission of the proposal. Proposers are no longer required to provide a paper copy of the signed Proposal Cover Sheet to NSF. Further instructions regarding this process are available on the FastLane Website at: <http://www.fastlane.nsf.gov>

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.

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 ([NSB 97-72](#)). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

On July 8, 2002, the NSF Director issued [Important Notice 127](#), Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions.

In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative.

Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects.

The two National Science Board approved merit review criteria are listed below (see the [Grant Proposal Guide](#) Chapter III.A for further information). The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgments.

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?

NSF staff will give careful consideration to the following 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.

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 Ad Hoc and/or panel review.

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.

A summary rating and accompanying narrative will be completed and submitted by each reviewer. In all cases, reviews are treated as confidential documents. Verbatim copies of reviews, excluding the names of the reviewers, are sent 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.

NSF is striving to be able to tell proposers whether their proposals have been declined or recommended for funding within six months. The time interval begins on the closing date of an announcement/solicitation, or the date of proposal receipt, whichever is later. 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 their 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 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 Website at 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.

More comprehensive information on NSF Award Conditions is contained in the NSF *Grant Policy Manual* (GPM) Chapter II, available electronically on the NSF Website 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 Website 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. Failure to provide final technical reports delays NSF review and processing of pending proposals for the PI and all Co-PIs. 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 FastLane, for preparation and submission of annual and final project reports. 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 regarding this program should be made to:

For questions related to the use of FastLane, contact:

- None Specified.

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 Website 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, although some programs may have special requirements that limit eligibility.

Facilitation Awards for Scientists and Engineers with Disabilities (FASSED) 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 GPG Chapter II, Section D.2 for instructions regarding preparation of these types of proposals.

The National Science Foundation promotes and advances scientific progress in the United States by competitively awarding grants and cooperative agreements for research and education in the sciences, mathematics, and engineering.

To get the latest information about program deadlines, to download copies of NSF publications, and to access abstracts of awards, visit the NSF Website at <http://www.nsf.gov>

- **Location:** 4201 Wilson Blvd. Arlington, VA 22230

- **For General Information** (NSF Information Center): (703) 292-5111

- **TDD (for the hearing-impaired):** (703) 292-5090

- **To Order Publications or Forms:**
 - Send an e-mail to: pubs@nsf.gov
 - or telephone: (703) 292-7827

- **To Locate NSF Employees:** (703) 292-5111

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.

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, Division of Administrative Services, National Science Foundation, Arlington, VA 22230.

OMB control number: 3145-0058.

