

Disaster Resilience for Rural Communities (DRRC)

PROGRAM SOLICITATION

NSF 11-510



National Science Foundation

Directorate for Engineering
Civil, Mechanical and Manufacturing Innovation

Directorate for Social, Behavioral & Economic Sciences
Division of Social and Economic Sciences



U.S. Dept. of Agriculture



National Institute of Food and Agriculture

Full Proposal Deadline(s) (due by 5 p.m. proposer's local time):

March 04, 2011

IMPORTANT INFORMATION AND REVISION NOTES

This joint 2011 NSF/USDA solicitation replaces the joint 2010 NSF/USDA Request for Proposal that was published by the U.S. Department of Agriculture (see <http://www.csrees.usda.gov/fo/disasterresilienceforruralcommunities.cfm> for more information concerning the previous DRRC competition).

A revised version of the *NSF Proposal & Award Policies & Procedures Guide* (PAPPG), NSF 11-1, was issued on October 1, 2010 and is effective for proposals submitted, or due, on or after January 18, 2011. Please be advised that the guidelines contained in NSF 11-1 apply to proposals submitted in response to this funding opportunity. Proposers who opt to submit prior to January 18, 2011, must also follow the guidelines contained in NSF 11-1.

Cost Sharing: The PAPPG has been revised to implement the National Science Board's recommendations regarding cost sharing. Inclusion of voluntary committed cost sharing is prohibited. In order to assess the scope of the project, all organizational resources necessary for the project must be described in the Facilities, Equipment and Other Resources section of the proposal. The description should be narrative in nature and must not include any quantifiable financial information. Mandatory cost sharing will only be required when explicitly authorized by the NSF Director. See the PAPP Guide Part I: *Grant Proposal Guide (GPG)* Chapter II.C.2.g(xi) for further information about the implementation of these recommendations.

Data Management Plan: The PAPPG contains a clarification of NSF's long standing data policy. All proposals must describe plans for data management and sharing of the products of research, or assert the absence of the need for such plans. FastLane will not permit submission of a proposal that is missing a Data Management Plan. The Data Management Plan will be reviewed as part of the intellectual merit or broader impacts of the proposal, or both, as appropriate. Links to data management requirements and plans relevant to specific Directorates, Offices, Divisions, Programs, or other NSF units are available on the NSF website at: <http://www.nsf.gov/bfa/dias/policy/dmp.jsp>. See Chapter II.C.2.j of the GPG for further information about the implementation of this requirement.

Postdoctoral Researcher Mentoring Plan: As a reminder, each proposal that requests funding to support postdoctoral researchers must include, as a supplementary document, a description of the mentoring activities that will be provided for such individuals. Please be advised that if required, FastLane will not permit submission of a proposal that is missing a Postdoctoral Researcher Mentoring Plan. See Chapter II.C.2.j of the GPG for further information about the implementation of this requirement.

SUMMARY OF PROGRAM REQUIREMENTS

General Information

Program Title:

Disaster Resilience for Rural Communities (DRRC)

Synopsis of Program:

In a joint announcement, the U.S Department of Agriculture (USDA) National Institute of Food and Agriculture (NIFA) and NSF call for proposals to advance basic research in engineering and the social, behavioral, and economic sciences on enhancing disaster resilience in rural communities.

Cognizant Program Officer(s):

- Dennis E. Wenger, Program Director, ENG/CMMI, telephone: (703) 292-8606, email: dwenger@nsf.gov
- Robert E. O'Connor, Program Director, SBE/SES, telephone: (703) 292-7263, email: roconnor@nsf.gov
- Silva Sureshwan, USDA/NIFA, telephone: (202) 720-7536, email: ssureshw@nifa.usda.gov

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

- 47.041 --- Engineering
- 47.075 --- Social Behavioral and Economic Sciences

Award Information

Anticipated Type of Award: Standard or Continuing Grants for NSF; USDA Awards subject to standard USDA Terms and Conditions

Estimated Number of Awards: 1 to 6 NSF and USDA-NIFA anticipate making approximately a total of 4-6 awards for research projects. These awards will be for 1-3 years in duration. Based on the results of the review panel, NSF and USDA-NIFA will select proposals for funding based on each agency's particular interest and fund them separately.

Anticipated Funding Amount: \$2,000,000 Pending availability of funds, USDA-NIFA and NSF expect to have at least \$2,000,000 available to support total award sizes (including indirect costs) not to exceed \$400,000 in size. This maximum is for the total of the project, not a yearly maximum. Projects that exceed this maximum amount of \$400,000 in total budget will be returned without review.

Eligibility Information

Organization Limit:

Proposals may only be submitted by the following:

- For NSF, the categories of proposers eligible to submit proposals to the National Science Foundation are identified in the [Grant Proposal Guide](#), Chapter I, Section E.

Eligible applicants for USDA-NIFA awards under this solicitation include: (1) State Agricultural Experiment Stations; (2) colleges and universities (including junior colleges offering associate degrees or higher); (3) university research foundations; (4) other research institutions and organizations; (5) Federal agencies, (6) national laboratories; (7) private organizations or corporations; (8) individuals who are U.S. citizens, nationals, or permanent residents; and (9) any group consisting of 2 or more entities identified in (1) through (8). Eligible institutions do not include foreign and international organizations.

PI Limit:

Eligible research proposals must have at least one investigator from the social/behavioral/economic sciences or engineering. Proposals that do not meet this requirement will be returned without review.

Limit on Number of Proposals per Organization:

None Specified

Limit on Number of Proposals per PI: 1

Any investigator may appear as a Principal Investigator (PI), co-PI or other senior personnel on only one proposal submitted in Fiscal Year 2011 in response to this particular solicitation. This limitation includes proposals submitted by a lead organization, any sub-award submitted as part of a proposal, or any non-lead collaborative proposal.

Proposal Preparation and Submission Instructions

A. Proposal Preparation Instructions

- **Letters of Intent:** Not Applicable
- **Preliminary Proposal Submission:** Not Applicable
- **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.
 - 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)

B. Budgetary Information

- **Cost Sharing Requirements:** Inclusion of voluntary committed cost sharing is prohibited.
- **Indirect Cost (F&A) Limitations:** For awards made by NSF, the standard NSF policy on indirect cost recovery applies. For awards made by NIFA, indirect costs are limited. NIFA is prohibited from paying indirect costs exceeding 22 percent of

the total Federal funds provided under each award. This limitation is equivalent to 0.28205 of the total direct costs of an award.

- **Other Budgetary Limitations:** Not Applicable

C. Due Dates

- **Full Proposal Deadline(s)** (due by 5 p.m. proposer's local time):

March 04, 2011

Proposal Review Information Criteria

Merit Review Criteria: National Science Board approved criteria. Additional merit review considerations apply. Please see the full text of this solicitation for further information.

Award Administration Information

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.

TABLE OF CONTENTS

Summary of Program Requirements

- I. **Introduction**
- II. **Program Description**
- III. **Award Information**
- IV. **Eligibility Information**
- V. **Proposal Preparation and Submission Instructions**
 - A. Proposal Preparation Instructions
 - B. Budgetary Information
 - C. Due Dates
 - D. FastLane/Grants.gov Requirements
- VI. **NSF Proposal Processing and Review Procedures**
 - A. NSF Merit Review Criteria
 - B. Review and Selection Process
- VII. **Award Administration Information**
 - A. Notification of the Award
 - B. Award Conditions
 - C. Reporting Requirements
- VIII. **Agency Contacts**
- IX. **Other Information**

I. INTRODUCTION

Communities and their residents in the United States experience droughts, earthquakes, floods, hurricanes, tornadoes, tsunamis, and volcanic eruptions as well as accidents at facilities that handle dangerous materials such as explosive chemicals. These phenomena will continue, but their consequences need not be disastrous if communities and people reduce their vulnerabilities and increase their resilience. There is much research on vulnerability and resilience in urban communities, but much less about how rural communities and their residents are responding to natural and man-made hazards.

II. PROGRAM DESCRIPTION

This solicitation aims to advance basic research in engineering and in the social, behavioral, and economic sciences on enhancing disaster resilience in rural communities.

Priorities for Research Projects:

Applicants must address at least one of the following topics, or a combination, in terms of the vulnerabilities and resilience of rural communities to natural hazards or risks from accidents at facilities such as chemical plants (**This competition will not support terrorism research.**):

1. Hazard mitigation practices of rural communities;
2. Hazard preparedness and emergency response in rural communities; or
3. Disaster recovery in rural communities.

Although applications on any of the topics identified above will be considered, the following are a few examples of potential emphases for research in rural communities:

- Measuring vulnerability and resilience, their causes and consequences;
- The role of markets, especially agricultural and labor, in understanding vulnerability and resilience;
- Vulnerability and resilience at the individual, group, and community scales;
- The role of culture, complexity, and social networks in vulnerability and resilience;
- Intergovernmental relations in hazard and disaster mitigation, preparedness, response, and recovery;
- Role of forces and organizations from outside rural communities in the vulnerability and resilience of rural communities;
- Risk perceptions and behavioral reactions to communications from official and other sources; and
- Land-use and housing decisions.

Comparative research across cultural and national boundaries will be considered for funding. Multi-institutional and multidisciplinary proposals are encouraged.

III. AWARD INFORMATION

NSF and USDA-NIFA anticipate making approximately a total of 4-6 awards for research projects. These awards will be for 1-3 years in duration. Based on the results of the review panel, NSF and USDA-NIFA will select proposals for funding based on each agency's particular interest and fund them separately. Pending availability of funds, USDA-NIFA and NSF expect to have at least \$2,000,000 available to support total award sizes (including indirect costs) not to exceed \$400,000 in size. This maximum is for the total of the project, not a yearly maximum. Projects that exceed this maximum amount of \$400,000 in total budget will be returned without review. Estimated program budget, number of awards and average award size/duration are subject to the availability of funds.

There is no commitment by USDA-NIFA to fund any particular proposal, to support any specific number of proposals, or to make a specific number of awards. Proposers selected for funding will be provided additional instructions from USDA-NIFA.

IV. ELIGIBILITY INFORMATION

Organization Limit:

Proposals may only be submitted by the following:

- For NSF, the categories of proposers eligible to submit proposals to the National Science Foundation are identified in the [Grant Proposal Guide](#), Chapter I, Section E.

Eligible applicants for USDA-NIFA awards under this solicitation include: (1) State Agricultural Experiment Stations; (2) colleges and universities (including junior colleges offering associate degrees or higher); (3) university research foundations; (4) other research institutions and organizations; (5) Federal agencies; (6) national laboratories; (7) private organizations or corporations; (8) individuals who are U.S. citizens, nationals, or permanent residents; and (9) any group consisting of 2 or more entities identified in (1) through (8). Eligible institutions do not include foreign and international organizations.

PI Limit:

Eligible research proposals must have at least one investigator from the social/behavioral/economic sciences or engineering. Proposals that do not meet this requirement will be returned without review.

Limit on Number of Proposals per Organization:

None Specified

Limit on Number of Proposals per PI: 1

Any investigator may appear as a Principal Investigator (PI), co-PI or other senior personnel on only one proposal submitted in Fiscal Year 2011 in response to this particular solicitation. This limitation includes proposals submitted by a lead organization, any sub-award submitted as part of a proposal, or any non-lead collaborative proposal.

V. PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions

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. 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. 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). 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.

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.4 of the Grant Proposal Guide provides additional information on collaborative proposals.

Submitting PIs should ensure that the title of their proposals begin with the acronym **DRRC**: to signify their proposal is in response to this solicitation.

If a project is funded by NSF or by NIFA-USDA, the grantee may be required to attend a Principal Investigator meeting. Reasonable travel expenses should be included as part of the project budget.

B. Budgetary Information

Cost Sharing: Inclusion of voluntary committed cost sharing is prohibited

Indirect Cost (F&A) Limitations: For awards made by NSF, the standard NSF policy on indirect cost recovery applies. For awards made by NIFA, indirect costs are limited. NIFA is prohibited from paying indirect costs exceeding 22 percent of the total Federal funds provided under each award. This limitation is equivalent to 0.28205 of the total direct costs of an award.

C. Due Dates

- **Full Proposal Deadline(s)** (due by 5 p.m. proposer's local time):

March 04, 2011

D. FastLane/Grants.gov Requirements

- **For Proposals Submitted Via FastLane:**

Detailed technical instructions regarding the technical aspects of 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 solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this funding opportunity.

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. Further instructions regarding this process are available on the FastLane Website at: <https://www.fastlane.nsf.gov/fastlane.jsp>.

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. The Grants.gov's Grant Community User Guide is a comprehensive reference document that provides technical information about Grants.gov. Proposers can download the User Guide as a Microsoft Word document or as a PDF document. The Grants.gov User Guide is available at: <http://www.grants.gov/CustomerSupport>. In addition, the NSF Grants.gov Application Guide provides additional technical guidance regarding 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. 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.

VI. NSF PROPOSAL PROCESSING AND REVIEW PROCEDURES

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposal preparation requirements. 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 who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the 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.

A. NSF Merit Review Criteria

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. 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 the reviewer 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, original, or potentially transformative 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?

Examples illustrating activities likely to demonstrate broader impacts are available electronically on the NSF website at: <http://www.nsf.gov/pubs/gpg/broaderimpacts.pdf>.

Mentoring activities provided to postdoctoral researchers supported on the project, as described in a one-page supplementary document, will be evaluated under the Broader Impacts criterion.

NSF staff also 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.

Additional Review Criteria:

Proposals also will be reviewed considering USDA review criteria as follows:

1. Scientific Merit of the Application for Research:

- (a) Novelty, innovation, uniqueness, and originality;
- (b) Where model systems are used, ability to transfer knowledge gained from these systems to organisms of importance to U.S. agriculture;
- (c) Conceptual adequacy of the research, as applicable;
- (d) Clarity and delineation of objectives;
- (e) Adequacy of the description of the undertaking and suitability and feasibility of methodology;
- (f) Demonstration of feasibility through preliminary data; and
- (g) Probability of success of the project is appropriate given the level of scientific originality, and risk-reward balance.

2. Qualifications of Project Personnel, Adequacy of Facilities, and Project Management:

- (a) Qualifications of applicant (individual or team) to conduct the proposed project, including performance record and potential for future accomplishments (for Postdoctoral Fellowship applications, this applies to the mentor, as well as to the postdoctoral applicant);
- (b) Demonstrated awareness of previous and alternative approaches to the problem identified in the application;
- (c) Institutional experience and competence in subject area;
- (d) Adequacy of available or obtainable support personnel, facilities, and instrumentation; and
- (e) Planning and administration of the proposed project, including: time allocated for systematic attainment

of objectives; and planned administration of the proposed project and its maintenance, partnerships, collaborative efforts, and the planned dissemination of information for multi-institutional projects over the duration of the project.

3. Project Relevance:

(a) Documentation that the research is directed toward specific priority areas identified for the program in this solicitation. These priorities are designed to yield improvements in and sustainability of U.S. agriculture, the environment, human health and well-being, and rural communities.

Based on the results of the review panel, NSF and USDA will select proposals for funding based on each agency's particular interest and fund them separately. USDA-NIFA will make final funding decisions based on the rating assigned by reviewers to applications relevant to its mission. There is no commitment by USDA-NIFA to fund any particular application, to support any specific number of applications, or to make a specific number of awards. If a proposal is selected for funding by USDA-NIFA, the proposal may need to be resubmitted using the standard USDA-NIFA application format. Information on how to prepare and submit a proposal for NIFA can be found at: <http://www.nifa.usda.gov/funding/electronic.html>. Proposers selected by NIFA for funding will be provided with additional instructions, as needed.

B. Review and Selection Process

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

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 is striving to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. The time interval begins on the deadline or target date, or receipt date, whichever is later. The interval ends when the Division Director accepts the Program Officer's 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 Officer. In addition, the proposer will receive an explanation of the decision to award or decline funding.

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 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

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 (GC-1); * or Research Terms and Conditions * and (5) any announcement or other NSF issuance that may be incorporated by reference in the award letter. 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. Paper copies may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from 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.

Special Award Conditions:

For awards funded by USDA-NIFA, award conditions can be found here: <http://www.nifa.usda.gov/business/awards/awardterms.html>

USDA-NIFA Special Award Conditions:

This initiative is not subject to intergovernmental review.

For proposals funded by USDA-NIFA: Section 7132 of the Food, Conservation, and Energy Act of 2008 (Pub. L. 110-246) amended section 1462(a) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)) on recovery of indirect costs. The recovery of indirect costs on awards made by NIFA under this program may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

Funds made available for grants under this program shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

C. Reporting Requirements

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 at least 90 days before the end of the current budget period. (Some programs or awards require more frequent project reports). Within 90 days after 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 that PI. 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. Such reports provide information on activities and findings, project participants (individual and organizational) 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. Submission of the report via FastLane constitutes certification by the PI that the contents of the report are accurate and complete. The project outcomes report 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.

If a project is funded by NSF or by USDA-NIFA, the grantee may be required to attend a Principal Investigator meeting. Reasonable travel expenses should be included as part of the project budget.

For awards issued by NIFA, grantees will be required to submit initial project information and annual summary reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions which can be found here: <http://www.nifa.usda.gov/business/awards/awardterms.html>

VIII. AGENCY CONTACTS

General inquiries regarding this program should be made to:

- Dennis E. Wenger, Program Director, ENG/CMMI, telephone: (703) 292-8606, email: dwenger@nsf.gov
- Robert E. O'Connor, Program Director, SBE/SES, telephone: (703) 292-7263, email: roconnor@nsf.gov
- Silva Sureshwan, USDA/NIFA, telephone: (202) 720-7536, email: ssureshw@nifa.usda.gov

For questions related to the use of FastLane, contact:

- FastLane Help Desk, telephone: 1-800-673-6188; e-mail: 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.

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, National Science Foundation Update is a free e-mail subscription service 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 Regional Grants Conferences. Subscribers are informed through e-mail when new publications are issued that match their identified interests. Users can subscribe to this service by clicking the "Get NSF Updates by Email" link on the [NSF web site](#).

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

USDA-NIFA Legislative Authority and Background

Section 7406 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246) amends section 2(b)

of the Competitive, Special, and Facilities Research Grant Act (7 U.S.C. 450i(b)) to authorize the Secretary of Agriculture to establish the Agriculture and Food Research Initiative (AFRI); a competitive grant program to provide funding for fundamental and applied research, extension, and education to address food and agricultural sciences. Grants shall be awarded to address priorities in United States agriculture in the following areas:

1. Plant health and production and plant products;
2. Animal health and production and animal products;
3. Food safety, nutrition, and health;
4. Renewable energy, natural resources, and environment;
5. Agriculture systems and technology; and
6. Agriculture economics and rural communities.

To the maximum extent practicable, the National Institute of Food and Agriculture (NIFA), in coordination with the Under Secretary for Research, Education, and Economics (REE), will make grants for high priority research, education, and extension, taking into consideration, when available, the determinations made by the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB) pursuant to section 2(b)(10) of the Competitive, Special, and Facilities Research Grant Act (7 U.S.C. 450i(b)(10)), as amended. The authority to carry out this program has been delegated to NIFA through the Under Secretary for REE.

ABOUT THE NATIONAL SCIENCE FOUNDATION

The National Science Foundation (NSF) is an independent Federal agency created by the National Science Foundation Act of 1950, as amended (42 USC 1861-75). The Act states the purpose of the NSF is "to promote the progress of science; [and] to advance the national health, prosperity, and welfare by supporting research and education in all fields of science and engineering."

NSF funds research and education in most fields of science and engineering. It does this through grants and cooperative agreements to more than 2,000 colleges, universities, K-12 school systems, businesses, informal science organizations and other research organizations throughout the US. The Foundation accounts for about one-fourth of Federal support to academic institutions for basic research.

NSF receives approximately 40,000 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 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.

Facilitation Awards for Scientists and Engineers with Disabilities provide funding for special assistance or equipment to enable persons with disabilities to work on NSF-supported projects. See Grant Proposal Guide Chapter II, Section D.2 for instructions regarding preparation of these types of proposals.

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 and (800) 281-8749, FIRS at (800) 877-8339.

The National Science Foundation Information Center may be reached at (703) 292-5111.

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: nsfpubs@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; 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:

Suzanne H. Plimpton
Reports Clearance Officer
Division of Administrative Services
National Science Foundation
Arlington, VA 22230

[Policies and Important Links](#) | [Privacy](#) | [FOIA](#) | [Help](#) | [Contact NSF](#) | [Contact Web Master](#) | [SiteMap](#)



The National Science Foundation, 4201 Wilson Boulevard, Arlington, Virginia 22230, USA
Tel: (703) 292-5111, FIRS: (800) 877-8339 | TDD: (800) 281-8749

Last Updated:
11/07/06
[Text Only](#)