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I. NSF Definitions:

Unsolicited Proposals – Proposals submitted in response to “Dear Colleague Letters”, “Program Descriptions”, or “Program Announcements”. Also includes direct requests from an NSF Program Manager.

Solicited Proposals – Proposals submitted in response to “Program Solicitations”.

Senior Personnel – PI, Co-PIs and any other individual named in FastLane as Senior Personnel. NCAR Ladder Track Scientists (Scientists I, II, III, Senior Scientist, Research Engineer) should be listed as Senior Personnel.

NSF defines Senior Personnel as individuals designated in the proposal as a Principal Investigator (PI) or Co-PI and:

1. (co) Principal Investigator(s) -- the individual(s) designated by the proposer, and approved by NSF, who will be responsible for the scientific or technical direction of the project. If more than one, the first one listed will serve as the contact PI, with whom all communications between NSF program officials and the project relating to the scientific, technical, and budgetary aspects of the project should take place. The PI and any identified co-PIs, however, will be jointly responsible for submission of the requisite project reports.

2. Faculty Associate (faculty member) -- an individual other than the Principal Investigator(s) considered by the performing institution to be a member of its faculty or who holds an appointment as a faculty member at another institution, and who will participate in the project being supported.
NSF Senior Project Personnel Salaries & Wages Policy – “As a general policy, NSF limits salary compensation for senior project personnel to no more than two months of their regular salary in any one year. This limit includes salary compensation received from all NSF-funded grants. This effort must be documented in accordance with the applicable cost principles. If anticipated, any compensation for such personnel in excess of two months must be disclosed in the proposal budget, justified in the budget justification, and must be specifically approved by NSF in the award”.

II. Proposals to the NSF Atmospheric & Geospace Science Division (AGS):

A. Unsolicited Proposals to NSF / AGS

As specified in the NSF cooperative agreement, NCAR scientists may not submit unsolicited proposals to AGS without obtaining written permission from the relevant Program Officer. “NCAR will not submit any unsolicited proposals, as a prospective primary awardee or subawardee, to the Division of Atmospheric and Geospace Sciences (AGS) without first obtaining the written permission of the NSF Program Officer responsible for that particular program. NCAR shall keep the cognizant Program Officer informed of such activities by copy of relevant correspondence.”

Unsolicited proposals to AGS for research efforts are strongly discouraged by NSF. Participation by NCAR staff on unsolicited proposals to AGS in collaboration with a university or other organization should be covered through the Lab’s NSF base funding.

NSF AGS will routinely request a proposal from NCAR for community service efforts such as workshops or management and support of field campaigns. In these cases, written permission from the relevant NSF AGS Program Officer and copy to Sarah Ruth is required prior to submission of the proposal.

Under unique circumstances, if there is interest in submitting an unsolicited research proposal to AGS, discuss your intent with NCAR Budget and Planning Office first. If there is a strong compelling case to request funding from NSF, NCAR Budget and Planning will contact NSF to seek a waiver to the policy.

Exceptions to the policy above:

Unfunded Collaborations: NCAR may participate in unsolicited proposals to NSF AGS as an unfunded collaborator without permission from NSF.
B. Solicited Proposals to NSF / AGS

Unilaterally or in collaboration with other NSF Divisions or Directorates, AGS may participate in issuing formal solicitations for proposals. If a solicitation does not prohibit NCAR from applying, as stated in the cooperative agreement, NCAR may respond to such a solicitation if the research is within the scope of work of the Center and does not negatively impact or duplicate work to be conducted as described in the annual Program Operating Plan.

NCAR Budget and Planning Office routinely reviews major NSF Program Solicitations that are within the scope of NCAR’s mission and will notify the proposal administrators of NCAR’s eligibility to propose. PIs or administrators may also request a review if the Budget and Planning Office hasn’t already performed a review.

If NCAR is eligible to respond to a Program Solicitation, NSF permission is not required prior to proposal submission. However, NCAR Budget and Planning will notify the relevant NSF Program Officer of NCAR’s intent to submit a proposal.

On occasion NSF/AGS will release a Program Solicitation that is sponsored by their core program/funding. Submission of proposals to the AGS core program is highly discouraged. NCAR Budget and Planning will discuss eligibility with the appropriate NSF Program Officer.

a. NSF Impact Statement

Each proposal submitted in response to a solicitation in which AGS is participating, NCAR will provide to the cognizant AGS Program Officer with oversight of NCAR a no more than two page description of how the proposed research does not duplicate, but extends, complements, or enhances NCAR base funded research as described in the annual Program Operating Plan. This document should be submitted no later than concurrently with the proposal.

The NSF impact statement is required for all proposals submitted in response to NSF Program Solicitations sponsored by AGS where funding is being requested of NSF. This includes Program Solicitations sponsored solely by AGS or Program Solicitations sponsored by AGS in collaboration with other NSF Programs. For example, if the Program Solicitation is sponsored solely by Office of Polar Programs, an impact statement would not be required. All impact statements should be provided to NCAR Budget and Planning for review and submission to NSF.

Document Content: The document (known as the NSF Impact Statement) should be a minimum of one page and maximum of two pages and describe how the proposed research is different from research described in the annual Program Operating Plan.
(POP), i.e., that it extends, complements, or enhances NCAR’s base research and non-base activities described within the current POP.

The document should cite the section of the POP (page #, section #, and relevant text) that the proposed effort most closely relates to. The document should also contain a description of the proposed effort. **The focus of the document should be a detailed explanation as to how the proposed effort differs (extends, complements or enhances) from the work proposed within the POP.**

If the proposed effort is a new or emerging activity that is not described in the POP, the document should explicitly state that and provide a detailed explanation as to how the proposed effort is supportive of NCAR’s mission and extends beyond the work proposed within the POP.

The header of the document should include:
- NSF FastLane # (to be completed by B&P)
- NCAR Proposal #
- Proposal Title
- Lead Institution
- NSF Solicitation # and Title

**Due Date:** The document is due 2 weeks prior to the NSF or lead institution deadline along with the PandA form and draft budget.

- If NSF requires a letter of intent (LOI), notice of intent (NOI), pre-proposal, etc. the document should be provided to NCAR Budget and Planning **prior** to submission of the NOI, LOI or pre-proposal.

NCAR Budget and Planning will review the document, possibly request additional information, discuss with the NCAR Director if necessary, and forward the document to Sarah Ruth at the time the proposal is submitted to NSF.

**Unfunded Collaborations:** The two page document is not required for unfunded collaborations.

### III. Proposals to NSF non-AGS Programs (solicited or unsolicited):

If eligible, NCAR may submit unsolicited or solicited proposals to non-AGS programs if the research is within the scope of work of the Center and does not negatively impact or duplicate work to be conducted as described in the annual Program Operating Plan.
“NCAR may submit proposals for assistance awards in response to NSF program descriptions, announcements, solicitations, or requests from program officers.”

Proposals to NSF non-AGS Programs (both solicited and unsolicited) are generally allowable. If there is interest in submitting a proposal to a non-AGS Program, forward the announcement and discuss your intent with NCAR Budget and Planning Office first. NCAR Budget and Planning will review the announcement to determine if NCAR is eligible.

**Unfunded Collaborations:** NCAR may participate in unsolicited proposals to non-AGS Programs as an unfunded collaborator without notifying NSF.

**IV. Salary Support on Proposals to NSF:**

NCAR Scientists should follow NSF’s Grant Proposal Guide Salary and Wages Policy on all proposals submitted to NSF.

**NSF Senior Project Personnel Salaries & Wages Policy** – “As a general policy, NSF limits salary compensation for senior project personnel\(^1\) to no more than two months\(^2\) of their regular salary in any one year. This limit includes salary compensation received from all NSF-funded grants\(^3\). This effort must be documented in accordance with the applicable cost principles. If anticipated, any compensation for such personnel in excess of two months must be disclosed in the proposal budget, justified in the budget justification, and must be specifically approved by NSF in the award”.

**All NSF Proposals:** The 2 month salary limitation applies to all proposals submitted to all NSF Directorates/Programs (solicited or unsolicited). For unsolicited proposals to AGS, salary support for Senior Personnel should be discussed with the NSF Program Officer.

\(^1\) **Senior Personnel:** All individuals named in FastLane (and/or 1030 Budget) as PI, Co-PI, or Other Senior Personnel are considered Senior Personnel. NCAR Ladder Track Scientists (Scientists I, II, III, Senior Scientist, & Research Engineer) are also considered Senior Personnel. Project scientists, associate scientists, etc. will be considered Senior Personnel if they are responsible for the scientific or technical direction of the project and are named on the proposal as a PI, Co-PI or Other Senior Personnel.

\(^2\) **2 Month Limitation per Proposal:** NCAR Budget and Planning strongly recommends adherence to NSF’s salary policy unless there is a unique programmatic need to request more than 2 months salary for Senior Personnel. NCAR Senior Personnel should only request up to 2 months of salary support per fiscal year per proposal to NSF.

If an individual would like to request salary support as Senior Personnel on a new proposal and that same individual is already receiving salary support from another NSF grant as non-Senior Personnel please discuss with NCAR Budget and Planning.
Salary Limitation across All NSF-Funded Grants: The 2 month salary limitation applies to ALL NSF grants (excludes NSF base & NSF special funding). While there is some flexibility in potentially proposing more than 2 months of salary support across multiple pending NSF proposals, the NSF policy applies to the charging of salary support across all NSF funded grants.

Examples:

- If the Co-PI requested 2 months salary support on proposal A and requested another 1 month salary support on proposal B and both proposals will be awarded, the NSF Program Officer will require the Co-PI to reduce his/her effort on one or both projects so that no more than 2 months per fiscal year is charged across both NSF grants.
- If the PI has a current NSF grant and is charging 2 months salary each year the PI may submit a new proposal and request up to 2 months salary support. If the proposal is awarded the PI may be asked to reduce his/her effort on one or both projects so that no more than 2 months per fiscal year is charged across both NSF grants.

NCAR B&P will review the proposal budget along with the current and pending to evaluate an individual’s potential salary support across all NSF grants. As mentioned previously there is some flexibility with proposing more than 2 months salary support across multiple pending NSF proposals due to uncertainty of award. The following current and pending scenario would be acceptable:

| Proposed salary support for Sr. Personnel could exceed 2 months across all current NSF Grants and NSF Proposals |
|---------------------------------------------------------------|---------------------------------------------------------------|---------------------------------------------------------------|---------------------------------------------------------------|---------------------------------------------------------------|---------------------------------------------------------------|---------------------------------------------------------------|---------------------------------------------------------------|
| Award 1                                               | FY2011 | FY2012 | FY2013 | FY2014 | FY2015 | FY2016 | FY2017 | FY2018 |
| FTE in months                                         | 0.5    | 0.5    | 0.5    |        |        |        |        |        |
| Award 2                                               | FY2011 | FY2012 | FY2013 | FY2014 | FY2015 | FY2016 | FY2017 | FY2018 |
| FTE in months                                         | 1      | 1      | 1      | 1      | 1      | 1      | 1      | 1      |
| Proposal 1                                            | FY2013 | FY2014 | FY2015 | FY2016 | FY2017 |
| FTE in months                                         | 0.5    | 0.5    | 0.5    | 0.5    | 0.5    |
| FTE in months                                         | 0.5    | 0.5    | 0.5    | 0.5    | 0.5    |
| Proposal 3                                            | FY2014 | FY2015 | FY2016 | FY2017 | FY2018 |
| FTE in months                                         | 2      | 2      | 2      | 2      | 2      |
| TOTAL FTE per FY                                      | 1.5    | 1.5    | 2.5    | 4      | 4      | 3      | 3      | 2      |
In addition, if an individual named as Senior Personnel receives salary support from another NSF grant as non senior personnel, that effort should be included on the Current and Pending.

V. Additional Guidance for NSF Proposals:

Correspondence: All correspondence with NSF Program Officers to request permission to submit a proposal, to seek eligibility clarification, etc. should be communicated by the NCAR Budget and Planning Office. NCAR staff may continue to correspond with their NSF Program Officer on current research efforts.

Other Cost Allowability: Direct costs such as materials and supplies, travel, etc. should be conservative.

- Travel costs and number of trips should correlate with the number of Senior Personnel on the proposal.
- Miscellaneous costs such as pens/paper and communications/shipping should be supplied through NSF base funding and should not be requested on NSF proposals.
- Laptops should only be requested in rare circumstances.

NCAR Led Proposals: The majority of proposals submitted to NSF should be led by a university partner. Only a handful of proposals should be led by NCAR on a solicitation by solicitation basis.