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**Government-wide GRANTS.GOV:** [www.grants.gov](http://www.grants.gov)

<b>Download an application package</b>	<b>Make certain to download and use the correct <u>program</u> package and <u>current</u> application package release!</b> <i>Beware of subtle differences in program and application file names.</i>
<b>Complete application package</b>	When preparing attachments: (1) use sponsor's exact file naming conventions; (2) follow sponsor's formatting instruction (e.g., font size, page limits, expected content in each section, allowable appendices). (3) PDF
<b>Submit your application</b>	Must be submitted complete and error-free by published deadline, so <b><u>don't wait until the final day to submit!</u></b>  When using GRANTS.GOV: Acceptance/approval by GRANTS.GOV is <u>not</u> a final action -- your application will be further scrutinized remaining subject to acceptance/approval by the sponsor.  AND DON'T FORGET LOCAL APPROVALS! The College's local approval form (a.k.a. "routing form") can be accessed at <a href="http://www.oldwestbury.edu/research">www.oldwestbury.edu/research</a>



## WHY YOU SHOULD VOLUNTEER TO SERVE AS AN NSF REVIEWER

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### Reviewers are Essential - NSF needs YOU

The success of the peer review process, which enables NSF to make wise investments in all fields of science and engineering research and education, depends on the willingness of qualified reviewers like you to share your time and expertise. Your experience and up-to-date knowledge enables you to provide helpful advice to NSF program officers on the merits of proposals and constructive comments to proposers that strengthen their projects. In making its decisions on proposals, the counsel of these merit reviewers has proven invaluable to the Foundation in the identification of meritorious projects. The Foundation also may ask reviewers to serve on panels, for which NSF pays travel expenses.

To implement peer review, NSF depends upon the reviewer community for nearly 240,000 reviews per year. We try to limit the number of requests made to any single individual, recognizing the many demands our reviewers have on their time. Therefore, NSF strives to increase both the size and diversity of the pool of reviewers to ensure that the NSF merit review process benefits by receiving broad input from a variety of different perspectives. You can help by volunteering to review proposals in your area of expertise.

### Benefits to You as a Reviewer

In addition to providing a great service to NSF and the science and engineering community, reviewers benefit from reviewing and serving on panels. For example, reviewers gain first hand knowledge of the peer review process; learn about common problems with proposals; discover strategies to write strong proposals; and, through serving on a panel, meet colleagues and NSF program officers managing programs related to your interests.

### How to Become a Reviewer

To become an NSF reviewer, send an e-mail to the NSF program officer(s) of the program(s) that fits your expertise. Introduce yourself and identify your areas of expertise, and let them know that you are interested in becoming a peer reviewer. It is most helpful if you also attach a 2-page CV with current contact information. We also encourage you to share this request with other colleagues who might be interested in serving as NSF reviewers. NSF welcomes qualified reviewers from the academic, industrial, and government sectors.

If you are selected as a reviewer, NSF will ask you to provide some demographic information on a voluntary basis<sup>1</sup>. Although submission of demographic information by reviewers is voluntary-and there are no adverse consequences if it is not provided-reviewers are strongly encouraged to provide this information to NSF. These data are used in the design, implementation, and monitoring of NSF efforts to increase the participation of various groups in science and engineering.

## Contact NSF Now

Please take a few minutes now to contact NSF. If you need to find the appropriate NSF Program Officer to contact, just go to the NSF Website: [www.nsf.gov](http://www.nsf.gov). Select the Quick Links tab at the top of the home page. This will take you to the selected home page. The "Contact US" column provides contact information for Program Officers and the programs they manage. You can then send the Program Officer an email with the information indicated above in the paragraph on "How to Become a Reviewer."

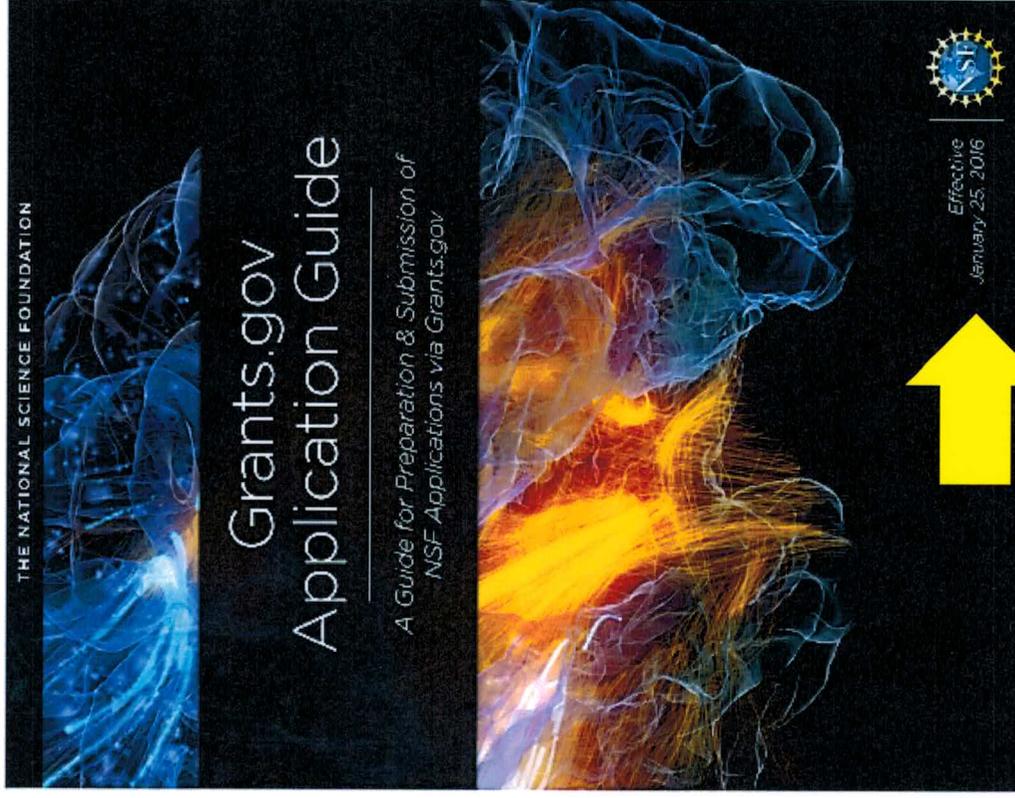
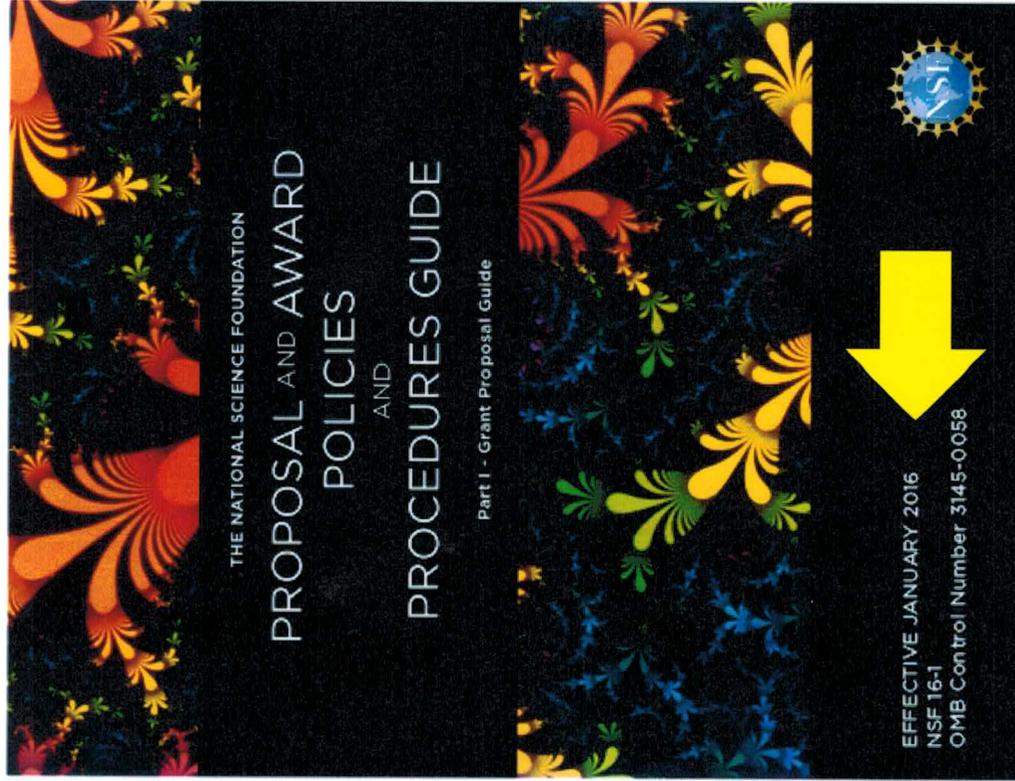
<sup>1</sup>Collection of personal information is authorized by the NSF Act of 1950, as amended. The data are protected by the Privacy Act and Public Burden Statements (see <http://www.usdoj.gov/oip/privstat.htm>), which means NSF will not give this information to anyone outside NSF, unless legally required, or specifically authorized by law.



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

*Do not use outdated Guides.*

*In all cases, use a Guide which reads “Effective January 2016!”*





## Office for Research and Sponsored Programs – Local Approvals Checklist

All applications for grant support are subject to prior institutional review with approval signatures to be recorded using this checklist/form. Complete grant applications should be submitted to the Office for Research and Sponsored Programs (ORSP) with a completed copy of this form at least ten (10) days in advance of the potential sponsor's deadline. Campus officials recognize such a lead time may not always be possible; for this reason we highlight that if a complete proposal is not received at least 4 full business days in advance of a sponsor's deadline, the application is at very high risk of not being approved for submission. For assistance in completing this form contact the ORSP at extension 3215.

For further information visit: [www.oldwestbury.edu/research](http://www.oldwestbury.edu/research)

### I. PROJECT INFORMATION

Project Type (please check one)

- Preliminary Proposal
- New Proposal
- Progress Rep./Continuation
- Competing Renewal
- Revised Submission

Project

Period: \_\_\_\_\_ through \_\_\_\_\_

Sponsor: \_\_\_\_\_

RFA or Program Announcement #: \_\_\_\_\_

Due date: \_\_\_\_\_

Project Title: \_\_\_\_\_

### II. PROJECT DIRECTOR / PRINCIPAL INVESTIGATOR (PRIMARY CONTACT PERSON)

- Name: \_\_\_\_\_ Dept: \_\_\_\_\_  
Ac Yr effort and salary recovery: \_\_\_\_\_  
Other compensation (Summer / Extra Service): \_\_\_\_\_

**Other faculty involved in project (if any).** Note: Signatures of PD/PI and all faculty collaborators required on back page.

- Name: \_\_\_\_\_ Dept: \_\_\_\_\_  
Ac Yr effort and salary recovery: \_\_\_\_\_  
Other compensation (Summer / Extra Service): \_\_\_\_\_
- Name: \_\_\_\_\_ Dept: \_\_\_\_\_  
Ac Yr effort and salary recovery: \_\_\_\_\_  
Other compensation (Summer / Extra Service): \_\_\_\_\_

### III . PROJECT COMPLIANCE ISSUES Please check all that apply. This project:

- involves the use of humans as subjects. (IRB status: \_\_\_\_\_)
- involves the use of live vertebrate animals. (IACUC status: \_\_\_\_\_)
- will generate radioactive waste or other hazardous waste materials.
- may be subject to Export Control licensing. (**IMPORTANT:** Project Directors should consult with the College's ORSP whenever a proposal includes foreign travel; collaboration with a foreign national; the shipment of information, data, or equipment abroad; or any other interaction with person(s) or organization(s) from foreign nations).





**SUMMARY PROPOSAL BUDGET**

FOR NSF USE ONLY					
ORGANIZATION	PROPOSAL NO.		DURATION (MONTHS)		
			Proposed	Granted	
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR	AWARD NO.				
A. SENIOR PERSONNEL: PI/PD, Co-PIs, Faculty and Other Senior Associates List each separately with name and title. (A.7. Show number in brackets)	NSF-Funded Person-months			Funds Requested By	Funds Granted by NSF
	CAL	ACAD	SUMR	Proposer	(If Different)
	1.			\$	\$
	2.				
	3.				
	4.				
	5.				
	6. ( ) OTHERS (LIST INDIVIDUALLY ON BUDGET EXPLANATION PAGE)				
7. ( ) TOTAL SENIOR PERSONNEL (1-6)					
<b>B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)</b>					
1. ( ) POSTDOCTORAL ASSOCIATES					
2. ( ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)					
3. ( ) GRADUATE STUDENTS					
4. ( ) UNDERGRADUATE STUDENTS					
5. ( ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)					
6. ( ) OTHER					
TOTAL SALARIES AND WAGES (A + B)					
<b>C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)</b>					
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)					
<b>D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)</b>					
TOTAL EQUIPMENT					
<b>E. TRAVEL</b>					
1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)					
2. FOREIGN					
<b>F. PARTICIPANT SUPPORT</b>					
1. STIPENDS \$ _____					
2. TRAVEL _____					
3. SUBSISTENCE _____					
4. OTHER _____					
TOTAL NUMBER OF PARTICIPANTS ( )			TOTAL PARTICIPANT		
<b>G. OTHER DIRECT COSTS</b>					
1. MATERIALS AND SUPPLIES					
2. PUBLICATION/DOCUMENTATION/DISSEMINATION					
3. CONSULTANT SERVICES					
4. COMPUTER SERVICES					
5. SUBAWARDS					
6. OTHER					
TOTAL OTHER DIRECT COSTS					
<b>H. TOTAL DIRECT COSTS (A THROUGH G)</b>					
<b>I. INDIRECT COSTS (F&amp;A) (SPECIFY RATE AND BASE)</b>					
TOTAL INDIRECT COSTS (F&A)					
<b>J. TOTAL DIRECT AND INDIRECT COSTS (H + I)</b>					
<b>K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECT SEE GPG II.D.7.j.)</b>					
<b>L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)</b>			\$	\$	
<b>M. COST SHARING: PROPOSED LEVEL \$</b>		<b>AGREED LEVEL IF DIFFERENT: \$</b>			
PI/PD TYPED NAME AND SIGNATURE*		DATE	<b>FOR NSF USE ONLY</b>		
ORG. REP. TYPED NAME & SIGNATURE*		DATE	INDIRECT COST RATE VERIFICATION		
			Date Checked	Date of Rate Sheet	
			Initials-ORG		

## INSTRUCTIONS FOR USE OF SUMMARY PROPOSAL BUDGET (NSF FORM 1030)

### 1. General

- a. Each grant proposal, including requests for supplemental funding, must contain a Budget in this format unless a pertinent program announcement/solicitation specifically provides otherwise. A Budget need not be submitted for incremental funding unless the original grant letter did not indicate specific incremental funding or if adjustments to the planned increment exceeding the greater of 10% or \$10,000 are being requested.
- b. Copies of NSF Form 1030 and instructions may be reproduced locally.
- c. A separate form should be completed for each year of support requested. An additional form showing the cumulative budget for the full term requested should be completed for proposals requesting more than one year's support. Identify each year's request (e.g., "First year," or "Cumulative Budget," etc.) in the margin at the top right of the form.
- d. Completion of this summary does not eliminate the need to document and justify the amounts requested in each category. Such documentation should be provided on additional page(s) immediately following the budget in the proposal and should be identified by line item. The documentation page(s) should be titled "Budget Justification."
- e. If a revised budget is required by NSF, it must be signed and dated by the Authorized Organizational Representative and Principal Investigator and submitted in at least the original and two copies.

### 2. Budget Line Items

A full discussion of the budget and the allowability of selected items of cost is contained in the *Grant Proposal Guide (GPG)*, *NSF Grant Policy Manual (GPM)* (NSF 95-26, periodically revised), and other NSF program announcements/solicitations. The following is a brief outline of budget documentation requirements by line item. (NOTE: All documentation or justification required on the line items below should be provided on the Budget Justification page(s).)

**A., B., and C. Salaries, Wages and Fringe Benefits (GPM 611).** See definitions in GPG Appendix C. List individually, all senior personnel who were grouped under Part A, the requested person-months to be funded, and rates of pay.

**D. Equipment (GPM 612).** Items exceeding \$5,000 and 1 year's useful life are defined as permanent equipment (unless lower thresholds are established by the organization). List item and dollar amount for each item. Justify.

**E. Travel (GPM 614 and GPM 760).** Address the type and extent of travel and its relation to the project. Itemize by destination and cost and justify travel outside the United States and its possessions, Puerto Rico, Canada and Mexico. Include dates of foreign visits or meetings. Air fares are limited to round trip, jet-economy rates.

**F. Participant Support (GPM 618).** Normally, participant support costs only may be requested for grants supporting conferences, workshops, symposia or training activities. Show number of participants in brackets. Consult GPG or specific program announcement/solicitation for additional information.

#### G. Other Direct Costs.

1. Materials and Supplies (GPM 613). Indicate types required and estimate costs.
2. Publication, Documentation and Dissemination (GPM 617). Estimate costs of documenting, preparing, publishing, disseminating, and sharing research findings.
3. Consultant Services (GPM 616). Indicate name, daily compensation (limited to individual's normal rate or daily rate paid for Level IV of the Executive Schedule, whichever is less), and estimated days of service, and justify. Include travel costs, if any.
4. Computer Services (GPM 615). Include justification based on estimated computer service rates at the proposing institution. Purchase of equipment should be included under D.
5. Subawards (GPM 313). Also include a complete signed budget NSF Form 1030 for each subaward and justify details.
6. Other. Itemize and justify. Include computer equipment leasing and tuition remission. (GPG II.D.7.f and II.D.7.a.ii)

**I. Indirect Costs (GPM 630)** (Also known as Facilities and Administrative Costs for colleges and universities). Specify current rate(s) and base(s). Use current rate(s) negotiated with the cognizant Federal negotiating agency. See GPM for special policy regarding grants to individuals, travel grants, equipment grants, doctoral dissertation grants and grants involving participant support costs (GPM, Chapter VI).

**K. Residual Funds (GPG II.D.7.j).** This line is used only for budgets for incremental funding requests on continuing grants. Grantees should provide a rationale for residual funds in excess of 20% as part of the project report. (See GPG VII.G)

**L. Amount of Request.** Line L will be the same as Line J unless the Foundation disapproves the carryover of funds. If disapproved, Line L will equal J minus K.

**M. Cost Sharing (GPM 330).** Include any specific cost sharing amounts in excess of the minimum one percent required under unsolicited research proposals. Include the estimated value of any in-kind contributions. Discuss the source, nature, amount and availability of any proposed cost sharing on the Budget Justification page. If a proposal budget includes a specific cost sharing level, the identified cost sharing level is expected to be included as a requirement in the award.

**PROPOSERS MUST NOT ALTER OR REARRANGE THE COST CATEGORIES AS THEY APPEAR ON THIS FORM, WHICH HAS BEEN DESIGNED FOR COMPATIBILITY WITH DATA CAPTURE BY NSF'S MANAGEMENT INFORMATION SYSTEM. IMPROPER COMPLETION OF THIS FORM MAY RESULT IN RETURN OF PROPOSAL.**

### Fringe Benefits: Rate Projections

Source: RFSUNY communiqué of April 1, 2014 with revisions provided January 13, 2015 and March 31, 2015.

4/10/15

Employment Type	7/1/14-6/30/15 FY '15	7/1/15-6/30/16 FY '16	7/1/16-6/30/17 FY '17	7/1/17-6/30/18 FY '18	7/1/18-6/30/19 FY '19
Res Fdn appointment	42.5%	44%	45%	45.5%	46.5%
IFR - State appointment	53.48%	53.58%	59.75%	59.59%	62.80%
Summer / State *	15%	15%	15%	15%	15%
Graduate student	14.0%	16.0%	18.0%	20.0%	21.0%
Undergrad student	5%	5%	5%	5%	5%



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## Office for Research and Sponsored Programs

The Research Foundation for The State University of New York

### Indirect Costs a.k.a. Facilities and Administrative Costs (F&A)

#### Approved Rates for 2013 - 2017

Approved by U.S. Department of Health and Human Services. Agreement date: August 27, 2013.

Location	Rate	Base
On Campus	59.7%	Modified Total Direct Costs (MTDC)*
Off Campus**	20.7%	Modified Total Direct Costs (MTDC)

\* The Modified Total Direct Costs (MTDC) base consists of all salaries and wages, employee benefits, materials, supplies, services, travel and sub-grants (subcontracts) up to the first \$25,000 of each sub-grant (subcontract), regardless of the period covered by the sub-grant (subcontract). MTDC shall exclude equipment, student tuition remission, rental costs of off-site facilities as well as portions of each sub-grant (subcontract) in excess of \$25,000. Note: Equipment is defined as any item costing in excess of \$5,000 with a life expectancy of 1 year or greater.

\*\* Use of the Off-Campus rate must be justified -- approval secured through the Office for Research and Sponsored Programs in advance of budget preparation. Contact Tom Murphy for assistance at extension 3215.

#### Indirect Costs and Private Foundation Policies

Certain grant providers (particularly non-profit organizations and foundations) may be unable to provide full indirect costs reimbursement. The Research Foundation and College at Old Westbury will accept this arrangement provided the policy of the sponsor or grant provider is published and consistently applied to all institutions of higher education.

### On Direct and Indirect Costs

Sponsored programs incur two types of costs: Direct Costs of operation and Indirect Costs of operation. Costs that can be clearly identified as benefiting a specific project are usually considered **Direct Costs** and are *directly* charged to the grant. Common examples include salaries, travel, and the purchase of supplies. Beyond providing these Direct Costs, most project sponsors will also provide funds known as **Indirect Cost** reimbursements.

Examples of indirect costs might include general administration costs of the institution (including salaries and operational costs of the offices of President, Provost, Deans, Purchasing, Grants Management, Sponsored Programs, Human Resources, and so on); building or space use, including depreciation of facilities and debt service costs; equipment (depreciation schedules based on "useful life"); operations and maintenance costs,

including utilities, repairs, custodial, environmental health and safety, general facilities management costs; library costs, including administration, new acquisitions and periodical subscriptions; and more.

Indirect Costs rates are determined in negotiation with the U.S. Department of Health and Human Services. [Click here for copy of our most recent rate agreement with DHHS.](#)

### **Indirect Costs Waivers**

Requests to waive indirect costs, either in whole or in part, will be considered on a case-by-case basis and must be requested at least several weeks in advance of proposal submission. All requests for a waiver must be made in writing in a memorandum addressed jointly to the [Research Foundation Operations Manager](#) and the [Vice President for Academic Affairs](#). The memorandum must provide a rationale or justification for the proposed reduction along with an explanation of how the project will be impacted if a waiver is not approved. (E.g., what activities might not occur or what purchases may not be made if a waiver is not granted).

### **Special Note Regarding Indirect Costs Waivers following Grant/Contract Expiration**

Indirect cost waivers are conditional. They are conditional based upon established and proven need. Therefore, as a grant- or contract-supported project with an approved indirect costs waiver draws nearer to completion, indirect costs recovery may be re-assessed. If the project is completed and a positive direct costs balance remains in the associated grant account, the College and Research Foundation reserve the right to recover previously-waived indirect costs.

Most recent update: January 27, 2014.

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