

Proposal Evaluation

Paul E. Filmer
National Science Foundation

Third IAI Summer Institute, July 2001
University of Miami Rosenstiel School
Miami, Florida

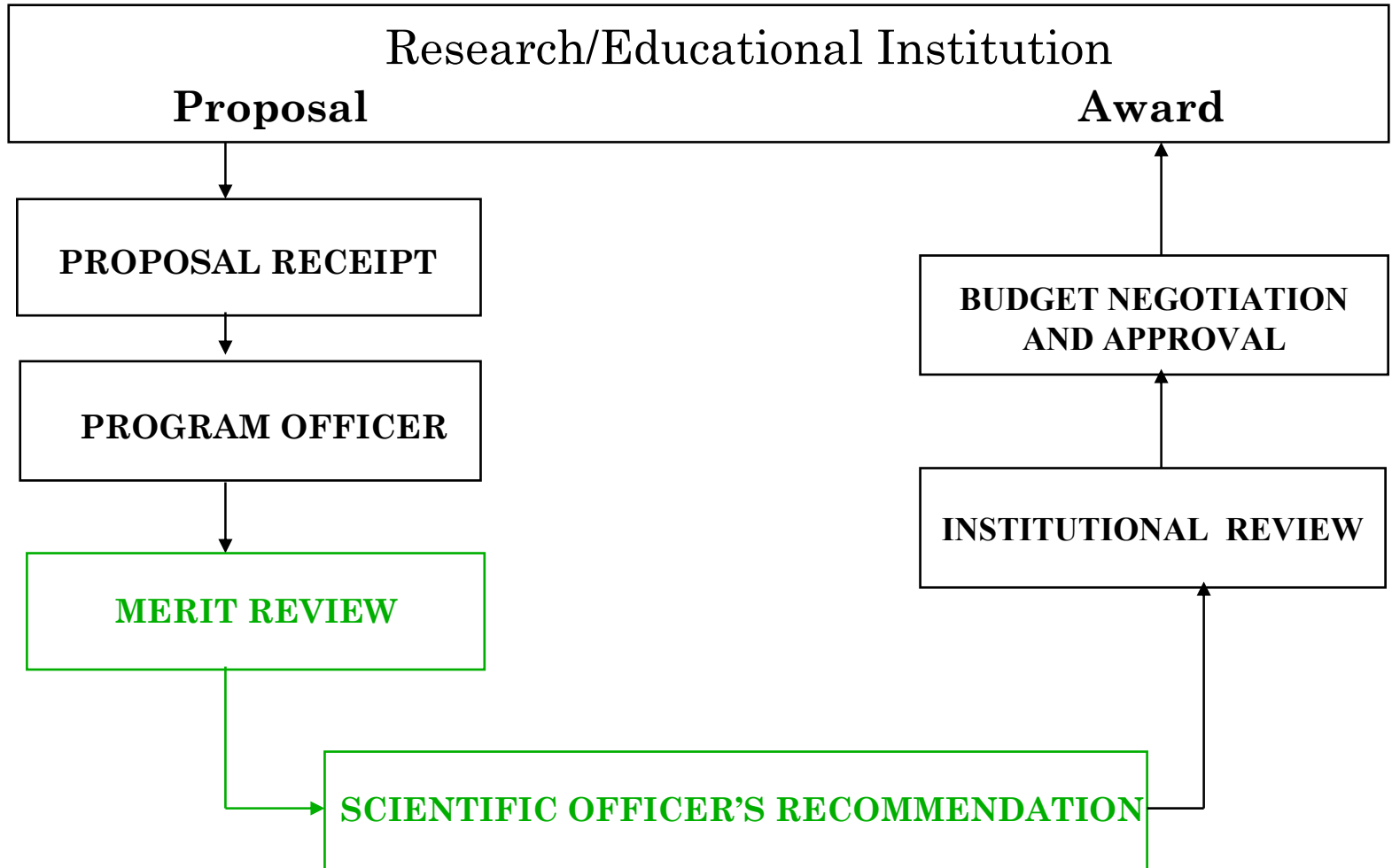


Proposal Processing

- Preparation
- **Submission**
- **Merit review (Mail, Panel)**
- **Analysis of Reviews by Program**
- **Institutional Review**
- **Action**



Award Proposal Decision Flowchart



Proposal Evaluation Criteria

1. Research Performance Competence

- **Capability of Investigators**
- **Technical Soundness of Proposal**
- **Adequacy of the Institutional Resources**

2. Intrinsic Merit of the Research

- **Likelihood Research Will Lead to New Discoveries or Advances**
- **Impact on Progress in Field**



Proposal Evaluation Criteria, cont'd

3. Utility or Relevance of the Research

- **Likelihood That Research Can Contribute to Achievement of Goals Extrinsic to a Specific Research Field**

4. Effect of Research on Infrastructure of Science

- **Potential of Project to Contribute to Better Understanding or Improvement of the Quality, Distribution or Effectiveness of Science Base**



Sources of Reviewers

- **Scientific Officer's Knowledge of What is Being Done and Who's Doing What in the Research Area**
- **References Listed in Proposal**
- **Reviewer Files at Directorate**
- **Recent Technical Programs From Professional Societies**
- **Recent Authors in Scientific and Engineering Journals**



Sources of Reviewers, cont'd

- **S&E Abstracts by Computer Search**
- **Reviewer Recommendations**
- **Investigator's Suggestions
(Letter to Scientific Officer)**



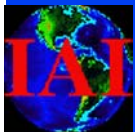
Restrictions on Use of Reviewers

- **No Conflict of Interest With Investigator or Institution**
- **No Pending Proposal in Same Area With Funding Institution**
- **No Recent Declinations**
- **Not Used Too Often**



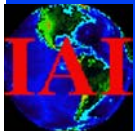
Possible Conclusions

- **Award**
- **Declination**
- **Withdrawal**
- **Returned as Inappropriate**



Funding Decisions

- **Feedback to P.I.**
- **Informal and Formal Notification**
- **Scope of Work and Budget Discussions**



Reasons for Declining Proposals

- **Improper Submission Format / Missed Deadline**
- **Lack of New or Original Ideas**
- **Diffuse, Superficial, or Unfocused Research Plan**
- **Lack of Knowledge or Published, Relevant Work**
- **Lack of Experience in Essential Methodology**
- **Uncertainty Concerning Future Direction**



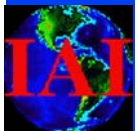
Reasons for Declining Proposals, cont'd

- **Questionable Reasoning in Experimental Approach**
- **Absence of Acceptable Scientific Rationale**
- **Unrealistically Large Amount of Work**
- **Lack of Sufficient Detail**
- **Uncritical Approach**
- **Lack of Funds**



Mock Proposals (Concept Paper)

- **3 – 6 people per team**
- **Must be interdisciplinary**
- **5 page narrative limit**
- **Who is on the team, and why**
- **Problem Statement**



Mock Proposals (Concept Paper)

- **Significance of Work**
- **Needs vs. Resources**
- **Methodology / Timeline**
- **Dissemination Plan**
- **Copy on paper and on diskette**
- **Budget guidelines as in the handout**



Module Program

- Monday, July 16 (today)
 - Research Proposal Development and Submission
 - How Research Proposals are Evaluated
 - Mock Proposal Guidance
 - *Multidisciplinary Program Management*
- Tuesday, July 31 12:00 noon -
****DEADLINE****
- Thursday, August 2
 - Panel Review of Mock Proposals
 - *Other types of proposal development*

