

TIGER TIPS
RESOURCES FOR AUBURN RESEARCHERS
**PREPARING AN NSF COLLABORATIVE
PROPOSAL SUBMISSION IN FASTLANE**

A Collaborative Proposal is defined by the National Science Foundation's [Grants and Proposal Guide](#) (NSF-GPG) as a proposal in which investigators from two or more organizations wish to collaborate on a unified research project. Participation in a collaborative project allows for each organization to bear sole responsibility for their distinct contribution(s), on a unified project.

Collaborative proposals may be submitted to NSF in one of two methods:

- As a single proposal, in which a single award is being requested for the lead organization and collaborative institutions (non-leads) serve as subawardee's.

AU refers to this type of proposal as a **Sub-award** or **Sub-contract** proposal

- By simultaneous submission of proposals from different organizations, with each organization requesting a separate award.

AU refers to this type of proposal as a **Collaborative/Collaboration Proposal**

In either case, upon submission to NSF, the Lead organization's proposal must contain all of the required sections as a single package per the [NSF Proposal and Award Policies and Procedures Guide](#) (PAPPG).

In the Project Description, both **sub-awards** and **collaborative proposals** must describe the roles to be played by all identified organizations within the context of the research to be performed, specify the managerial arrangements (management plan), and explain the advantages to having a multi-organizational effort.

SUBMISSION OF A SINGLE PROPOSAL WITH SUBAWARDS

The single proposal method allows investigators from two or more organizations who have developed an integrated research project to submit a single, focused proposal.

A single investigator bears primary responsibility for the administration of the grant and discussions with NSF, and, at the discretion of the organizations involved, investigators from any of the participating organizations may be designated as co-PIs.

The following documentation is required for a collaborative proposal submitted as **a single proposal**:

Lead Organization

- Cover Sheet
- Project Summary
- Table of Contents (automatically generated)
- Project Description
- References Cited
- Biographical Sketch(es)
- Budget and Budget Justification*
- Current and Pending Support
- Facilities, Equipment and Other Resources
- Data Management Plan
- Postdoctoral Mentoring Plan (if applicable)

Non-Lead Organization

- Subrecipient Letter of Intent
- Subrecipient Statement of Work
- Biographical Sketch(es)
- Budget and Budget Justification*
- Current and Pending Support
- Facilities, Equipment and Other Resources

*All budgets should be created using federally negotiated fringe rates and indirect cost rates specific to each institution's own institution.

By submission of the proposal to the sponsor, the lead organization has determined that the proposed activity is administratively manageable.

SUBMISSION OF SIMULTANEOUS PROPOSALS FROM ALL IDENTIFIED ORGANIZATIONS (COLLABORATIVE)

The lead institution is responsible for the Project Summary and Project Description. All other required NSF documents need to be uploaded into Fastlane by all identified organizations. Each collaborator should use the same title and the project title must begin with the words "Collaborative Research:" The proposal Title.

LEAD INSTITUTION

The collaborative submission process requires that one institution be designated as the lead institution.

The following sections are required for a collaborative proposal submitted by:

Lead Organization

- Cover Sheet
- Project Summary
- Table of Contents (automatically generated)
- Project Description
- References Cited
- Biographical Sketch(es)
- Budget and Budget Justification*
- Current and Pending Support
- Facilities, Equipment and Other Resources
- Data Management Plan
- Postdoctoral Mentoring Plan (if applicable)

Non-Lead Organization

- Cover Sheet
- Table of Contents (automatically generated)
- Biographical Sketch(es)
- Budget and Budget Justification*
- Current and Pending Support
- Facilities, Equipment and Other Resources

*All budgets should be created using federally negotiated fringe rates and indirect cost rates specific to each institution's own institution.

SUBMISSION WORKFLOW PROCESSES

The workflow processes for collaborative proposal submission is as follows:

- A TPI (Temporary Proposal ID) will be generated and a PIN number needs to be created, so the Lead Institution can “link” the collaborative proposals. The TPI and PIN can be created at the time of the Cover Sheet or closer to the time of submission.
- The non-lead organization(s) needs to assign a proposal PIN number to the Temporary Proposal number for the collaborative project
 - See *How to Assign a Proposal PIN Number in Fastlane* below for instructions
- The Principal Investigator (or designee) needs to allow SRO access to View, Edit and Submit. This grants access to the proposal in Fastlane and allows OSP staff and college-level designees to conduct their respective duties and responsibilities for the proposal
- Provide the lead organization contact (either PI or designee) the collaborative institution's PIN number and Temporary ID number so that they can link the temporary proposal to their lead proposal for review prior to the submission deadline.

HOW TO ASSIGN A PROPOSAL PIN NUMBER IN FASTLANE

All of the non-lead organizations should assign their proposal a PIN number to allow the lead organization to link the Collaborative proposals together prior to submission to NSF.

To assign a Proposal Pin Number, go to the Proposal Actions screen, highlight the Temporary Proposal ID (TPI) number and Title. Click on the Proposal Pin button which is located 2nd to the right.

The Proposal PIN control screen provides instructions:

- Type a 4-digit PIN number that will be assigned to the proposal, then re- type the PIN again.
- Write the PIN number down for future reference, as the lead institution will need the PIN number to link the collaborative proposals
- Click on the OK button to assign a PIN number to the Temporary Proposal ID (TPI)

HOW TO ALLOW SRO ACCESS

Start at the Proposal Actions screen. On that screen find the TPI number and title. Highlight the information then click on the Allow SRO Access button.

On the Sponsored Research Office (SRO) Access Control screen, click the GO button next to the statement **Allow SRO to view, edit and submit proposal**.

A screen will display stating a message stating that the SPO has full access to the proposal. The screen includes a list of individuals who will receive e-mails from Fastlane regarding the proposal's new access status.

After the collaborative proposal has been assigned a Proposal PIN #, and SRO access, the non-lead organization may contact the lead organization to have the proposals linked in preparation for submission to the sponsor.

LINKING THE COLLABORATIVE PROPOSAL(S)

The lead institution links each collaborative proposal by entering their respective Temporary Proposal ID (TPI) and a Proposal PIN (assigned by the PI) from each non-lead institution.

To link the proposals in Fastlane, go to the Form Preparation Screen, click on the GO button next to the Link Collaborative Proposals.

In the Link Collaborative Temporary Proposals screen, both link boxes will instruct the person on how to enter the TPI (Temporary Proposal ID) and the proposal PIN number.

Ensure that the entry is correct. Click the "Add collaborative TPI to proposal" button. A screen displays a message stating that the Temporary Proposal has been added. If everything is correct, click the OK button to confirm the newly linked proposal.

The Link Collaborative Temporary Proposals screen appears and the temporary proposal ID of collaborative institution will be listed. If everything is correct, click the GO Back button which goes to the Temporary Proposal screen.

HOW TO DELETE A LINKED COLLABORATIVE PROPOSAL

Highlight the Temporary Proposal ID of the proposal that needs to be deleted. Click the delete button.

A warning screen will appear with a message asking to confirm that the proposal is to be deleted. Click the OK button.

A screen displays with the message that the proposal has been unlinked. Click the OK button.

The Link Collaborative Temporary Proposals screen displays with the unlinked proposal no longer in the list of linked proposals. Click on the Go Back button to be taken to the Forms for the Temporary Proposal screen.