

High-Risk Research in Anthropology (HRRA)

Program Announcement

NSF-01-153

DIVISION OF BEHAVIORAL AND COGNITIVE SCIENCES

PROPOSALS ACCEPTED AT ANY TIME



NATIONAL SCIENCE FOUNDATION



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SUMMARY OF PROGRAM REQUIREMENTS

GENERAL INFORMATION

Program Title: High-Risk Research in Anthropology (HRRA)

Synopsis of Program: Anthropological research may be conducted under unusual circumstances, often in distant locations. As a result the ability to conduct potentially important research may hinge on factors that are impossible to assess from a distance and some projects with potentially great payoffs may face difficulties in securing funding. This program gives small awards that provide investigators with the opportunity to assess the feasibility of an anthropological research project. The information gathered may then be used as the basis for preparing a more fully developed research program. Projects which face severe time constraints because of transient phenomena or access to materials may also be considered.

Cognizant Program Officer(s):

- Stuart Plattner, Cultural Anthropology, Program Officer, SBE, BCS, 995, telephone: 703-292-7315, e-mail: splattne@nsf.gov.
- Mark Weiss, Physical Anthropology, Program Officer, SBE, BCS, 995, telephone: 703-292-7321, e-mail: mweiss@nsf.gov.
- John Yellen, Archaeology, Program Officer, SBE, BCS, 995, telephone: 703-292-8759, e-mail: jyellen@nsf.gov.

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

- 47.075 --- Social, Behavioral and Economic Sciences

ELIGIBILITY INFORMATION

- **Organization Limit:** None
- **PI Eligibility Limit:** None
- **Limit on Number of Proposals:** None

AWARD INFORMATION

- **Anticipated Type of Award:** Standard Grant
- **Estimated Number of Awards:** Variable, depending on number of submissions and availability of funds. Historically, the programs recommend 3-5 year.
- **Anticipated Funding Amount:** Historically, \$125,000 per year has been set aside for these projects. Future funding is dependent upon availability of funds.

PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions

- **Preliminary Proposals:** Submission of Preliminary Proposals is optional. Please see the full program announcement/solicitation for further information.
- **Full Proposals:** Deviations From Standard Preparation Guidelines
 - The program announcement/solicitation contains deviations from the standard Grant Proposal Guide (GPG) proposal preparation guidelines. Please see the full program announcement/solicitation for further information.

B. Budgetary Information

- **Cost Sharing Requirements:** Cost Sharing is not required.
- **Indirect Cost (F&A) Limitations:** Not Applicable.
- **Other Budgetary Limitations:** Other budgetary limitations apply. Please see the full program announcement/solicitation for further information.

C. Deadline/Target Dates

- **Letters of Intent (*optional*):** None
- **Preliminary Proposals (*optional*):** None
- **Full Proposal Deadline Date(s):** None

D. FastLane Requirements

- **FastLane Submission:** Required
- **FastLane Contact(s):**
 - Fastlane Help Desk, telephone: 800-673-6188, e-mail: fastlane@nsf.gov.

PROPOSAL REVIEW INFORMATION

- **Merit Review Criteria:** National Science Board approved criteria. Additional merit review considerations apply. Please see the full program announcement/solicitation for further information.

AWARD ADMINISTRATION INFORMATION

- **Award Conditions:** Standard NSF award conditions apply.
- **Reporting Requirements:** Standard NSF reporting requirements apply.

I. INTRODUCTION

Much anthropological research is conducted in distant areas of the world and sometimes under unusual circumstances. It may rely on access to areas, resources or data of uncertain accessibility. Even in this electronic age there are circumstances that require a researcher to be present in a distant area in order to determine the feasibility of a research project, to peruse records, to negotiate with local people, to observe local geological conditions or to test concepts on a pilot basis. Likewise, closer to home, there may be circumstances that require a researcher to prove a concept that ultimately may lead to a sizable scientific payoff.

Historically, risky proposals do not fare well in the normal review process. Reviewers and panelists weighing two proposals that are competing for limited funds will generally opt to fund the one most likely to succeed. Yet, some risky research has the potential to payoff in a truly significant way. Circumstances may also arise that provide a very limited time window for obtaining scientific information. A transient phenomenon may present itself or samples may be available for analysis only briefly. In an effort to insure that both risky projects and projects that require a rapid decision have a possibility of success the three Anthropology Programs (Archaeology, Cultural Anthropology and Physical Anthropology) offer a mechanism through which these may obtain funding. These awards are limited to one year of support at no more than \$25,000 total costs.

II. PROGRAM DESCRIPTION

This program is designed to permit the submission of high-risk, exploratory proposals that can lead to significant new anthropological knowledge. Because of a highly competitive environment, proposals that have both a high risk of failure and the potential for significant payoffs are less able to compete with standard research proposals. This program is designed to provide a mechanism whereby risky proposals with a great potential for advancement of the discipline can compete for funding. The risk involved in such endeavors must significantly exceed that associated with regular research projects. All three branches of the discipline represented by NSF programs -- Archaeology, Cultural Anthropology and Physical Anthropology -- utilize this mechanism.

Following are several examples of possible proposals for this program. This is by no means an exhaustive list. As the definition of risk can vary by sub-discipline and because an assessment of the potential payoff is integral to the decision process, it is necessary to discuss topics with the appropriate program officer prior to submission.

-An archaeologist may have excellent theoretical reasons for conducting field research in a particular region but it is not known whether appropriate sites or preservation conditions exist. Necessary information is lacking to develop an on-the-ground research plan.

-An economic anthropologist may propose a theoretically significant field project to study economic relations in a market where exchange is through barter as reported in a 15-year old article. The investigator needs to determine if a full study of barter is feasible or whether the market developed into monetary commercial exchange. Additional library study by the field worker cannot answer this question -- a brief trip to the field site is necessary to verify that the theoretically significant data on barter is, in fact, obtainable.

-A physical anthropologist may desire to search for primate remains in an area of Southeast Asia. The location of appropriate geological formations may be suggested by early documents in a library, but a reconnaissance trip to the area is necessary to assess the ability to locate suitable sites and to gain permissions and logistical support to conduct the research.

Time-limited opportunities for significant research may also be considered. For instance, this program could be appropriate to conduct research on a critically important skeletal collection that is to be repatriated and for which appropriate permissions are in hand but within a limited time frame. A cultural anthropologist may wish to test theories of community response to natural disasters in the immediate aftermath of the event. Delaying the research by fitting it into the normal review schedule would prevent observation of fast-breaking responses.

The review process for HRRR proposals involves obtaining three reviews from experts in the appropriate area, but does not require review by the cognizant program panel. Hence review can be expedited relative to standard proposals that are evaluated by an advisory panel.

III. ELIGIBILITY INFORMATION

The categories of proposers identified in the [Grant Proposal Guide](#) are eligible to submit proposals under this program announcement/solicitation.

IV. AWARD INFORMATION

Estimated program budget, number of awards and average award size/duration are subject to the availability of funds. Individual awards are limited to \$25,000 and one year duration.

V. PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions

Preliminary Proposals: PIs must discuss the proposed research plan with the appropriate Program Officer prior to submission of a proposal.

Full Proposal:

Proposals submitted in response to this program announcement/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 Web Site at: <http://www.nsf.gov/cgi-bin/getpub?gpg>. Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from pubs@nsf.gov.

In order to obtain a full, but succinct, picture of the proposed research, the HRRRA proposal project description is limited to 10 pages of text and up to 5 pages of figures. PIs should include an explanation fully detailing why the project is of high risk, and how, if successful the award would lead to a more fully developed research project.

Proposers are reminded to identify the program solicitation number (NSF-01-153) in the program announcement/solicitation block on the proposal Cover Sheet (NSF Form 1207). Compliance with this requirement is critical to determining the relevant proposal processing guidelines. Failure to submit this information may delay processing.

B. Budgetary Information

Cost sharing is not required in proposals submitted under this Program Announcement.

Other Budgetary Limitations: Awards are limited to no more than \$25,000 total costs and one year duration.

C. Deadline/Target Dates

Proposals submitted in response to this announcement/solicitation will be accepted at any time.

D. FastLane Requirements

Proposers are required to prepare and submit all proposals for this Program Announcement through the FastLane system. Detailed instructions for proposal preparation and submission via FastLane are available at: <http://www.fastlane.nsf.gov/a1/newstan.htm>. For FastLane user support, call 1-800-673-6188 or e-mail fastlane@nsf.gov.

Submission of 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 certifications within five working days following the electronic submission of the proposal. Further instructions regarding this process are available on the FastLane website at: <http://www.fastlane.nsf.gov>.

VI. PROPOSAL REVIEW INFORMATION

A. NSF Proposal Review Process

Reviews of proposals submitted to NSF are solicited from peers with expertise in the substantive area of the proposed research or education project. These reviewers are selected by Program Officers charged with the oversight of the review process. NSF invites the proposer to suggest at the time of submission, the names of appropriate or inappropriate reviewers. Care is taken to ensure that reviewers have no conflicts with the proposer. Special efforts are made to recruit reviewers from non-academic institutions, minority-serving institutions, or adjacent disciplines to that principally addressed in the proposal.

Proposals will be reviewed against the following general review criteria established by the National Science Board. Following each criterion are potential considerations that the reviewer may employ in the evaluation. These are suggestions and not all will apply to any given proposal. Each reviewer will be asked to address only those that are relevant to the proposal and for which he/she 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 and original 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?

Principal Investigators should address the following elements in their proposal to provide reviewers with the information necessary to respond fully to both of the above-described NSF merit review criteria. NSF staff will give these elements careful consideration 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

PIs should include an explanation fully detailing why the project is of high risk, and how, if successful the award would lead to development of a subsequent, larger and more fully developed project.

A summary rating and accompanying narrative will be completed and signed 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 Director. In addition, the proposer will receive an explanation of the decision to award or decline funding.

B. Review Protocol and Associated Customer Service Standard

All proposals are carefully reviewed by at least three other persons outside NSF who are experts in the particular field represented by the proposal. Proposals submitted in response to this announcement/solicitation will be reviewed by Mail 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.

In most cases, proposers will be contacted by the Program Officer after his or her recommendation to award or decline funding has been approved by the Division Director. This informal notification is not a guarantee of an eventual award.

NSF is striving to be able to tell applicants whether their proposals have been declined or recommended for funding within six months for 70 percent of proposals. The time interval begins on the date of receipt. The interval ends when the Division Director accepts the Program Officer's recommendation.

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 its 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 Division 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.A. 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 (NSF-GC-1)* or Federal Demonstration Partnership (FDP) Terms and Conditions * and (5) any announcement or other NSF issuance that may be incorporated by reference in the award letter. Cooperative agreement awards also are administered in accordance with NSF Cooperative Agreement Terms and Conditions (CA-1). Electronic mail notification is the preferred way to transmit NSF awards to organizations that have electronic mail capabilities and have requested such notification from the Division of Grants and Agreements.

*These documents may be accessed electronically on NSF's Web site at http://www.nsf.gov/home/grants/grants_gac.htm. Paper copies may be obtained from the NSF Publications Clearinghouse, telephone (703)292-7827 or by e-mail from pubs@nsf.gov.

More comprehensive information on NSF Award Conditions is contained in the NSF *Grant Policy Manual* (GPM) Chapter II, available electronically on the NSF Web site at <http://www.nsf.gov/cgi-bin/getpub?gpm>. The GPM is also for sale through the Superintendent of Documents, Government Printing Office (GPO), Washington, DC 20402. The telephone number at GPO for subscription information is (202) 512-1800. The GPM may be ordered through the GPO Web site at <http://www.gpo.gov>.

C. Reporting Requirements

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant Program Officer at least 90 days before the end of the current budget period.

Within 90 days after the expiration of an award, the PI also is required to submit a final project report. Approximately 30 days before expiration, NSF will send a notice to remind the PI of the requirement to file the final project report. Failure to provide final technical reports delays NSF review and processing of pending proposals for that PI. PIs should examine the formats of the required reports in advance to assure availability of required data.

NSF has implemented an electronic project reporting system, available through FastLane. This system permits electronic submission and updating of project reports, including information on project participants (individual and organizational), activities and findings, 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.

VIII. CONTACTS FOR ADDITIONAL INFORMATION

General inquiries regarding High-Risk Research in Anthropology should be made to:

- Stuart Plattner, Cultural Anthropology, Program Officer, SBE, BCS, 995, telephone: 703-292-7315, e-mail: splattne@nsf.gov.
- Mark Weiss, Physical Anthropology, Program Officer, SBE, BCS, 995, telephone: 703-292-7321, e-mail: mweiss@nsf.gov.
- John Yellen, Archaeology, Program Officer, SBE, BCS, 995, telephone: 703-292-8759, e-mail: jyellen@nsf.gov.

For questions related to the use of FastLane, contact:

- Fastlane Help Desk, telephone: 800-673-6188, e-mail: fastlane@nsf.gov.

IX. OTHER PROGRAMS OF INTEREST

The NSF *Guide to Programs* is a compilation of funding for research and education in science, mathematics, and engineering. The NSF *Guide to Programs* is available electronically at <http://www.nsf.gov/cgi-bin/getpub?gp>. General descriptions of NSF programs, research areas, and eligibility information for proposal submission are provided in each chapter.

Many NSF programs offer announcements or solicitations concerning specific proposal requirements. To obtain additional information about these requirements, contact the appropriate NSF program offices. Any changes in NSF's fiscal year programs occurring after press time for the *Guide to Programs* will be announced in the NSF [E-Bulletin](#), which is updated daily on the NSF web site at <http://www.nsf.gov/home/ebulletin>, and in individual program announcements/solicitations. Subscribers can also sign up for NSF's [Custom News Service](#) (<http://www.nsf.gov/home/cns/start.htm>) to be notified of new funding opportunities that become available.

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The National Science Foundation (NSF) funds research and education in most fields of science and engineering. Awardees are wholly responsible for conducting their project activities and preparing the results for publication. Thus, the Foundation does not assume responsibility for such findings or their interpretation.

NSF welcomes proposals from all qualified scientists, engineers and educators. The Foundation strongly encourages women, minorities and persons with disabilities to compete fully in its programs. In accordance with Federal statutes, regulations and NSF policies, no person on grounds of race, color, age, sex, national origin or disability shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NSF (unless otherwise specified in the eligibility requirements for a particular program).

Facilitation Awards for Scientists and Engineers with Disabilities (FASSED) provide funding for special assistance or equipment to enable persons with disabilities (investigators and other staff, including student research assistants) to work on NSF-supported projects. See the program announcement/solicitation for further information.

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, or (800) 281-8749, FIRS at 1-800-877-8339.

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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; 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 applicant 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 needing information as part of the review process or in order to coordinate programs; 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," 63 Federal Register 267 (January 5, 1998), and NSF-51, "Reviewer/Proposal File and Associated Records," 63 Federal Register 268 (January 5, 1998). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of receiving an award.

Pursuant to 5 CFR 1320.5(b), an agency may not conduct or sponsor, and a person is not required to respond to an information collection unless it displays a valid 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 this burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to: Suzanne Plimpton, Reports Clearance Officer, Information Dissemination Branch, Division of Administrative Services, National Science Foundation, Arlington, VA 22230, or to Office of Information and Regulatory Affairs of OMB, Attention: Desk Officer for National Science Foundation (3145-0058), 725 17th Street, N.W. Room 10235, Washington, D.C. 20503.

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