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 bare sole responsibility for their distinct contribution(s), on a unified project. Collaborative proposals cannot be submitted using the SF424 module in ERA.

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.

ASU refers to this type of proposal as a **Sub-award** or **Sub-contract** or **Sub-agreement**
* By simultaneous submission of proposals from different organizations, with each organization requesting a separate award.

ASU 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 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.

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 Lead Institution must submit ALL sections of the proposal:

 \_\_\_\_\_ Cover sheet or letter of intent

 \_\_\_\_\_ Project summary

 \_\_\_\_\_ Project description

 \_\_\_\_\_ References cited

 \_\_\_\_\_ Biographical sketches

 \_\_\_\_\_ Budget\*

 \_\_\_\_\_ Budget justification

 \_\_\_\_\_ Statement of work

 \_\_\_\_\_ Current and pending support for all senior personnel

 \_\_\_\_\_ Facilities and other resources

 \_\_\_\_\_ Data Management Plan (one integrated plan)

 \_\_\_\_\_ Supplementary Documentation (e.g. Postdoctoral Mentoring Plan).

\*All budgets should be created using their federally negotiated fringe rates and indirect cost rates specific to their own institution.

## Subaward Institution

The Subaward Institution(s) must submit the following sections of the proposal directly to the Lead Institution:

 \_\_\_\_\_ Cover sheet

 \_\_\_\_\_ Biographical sketches

 \_\_\_\_\_ Budget\*

 \_\_\_\_\_ Budget justification

 \_\_\_\_\_ Current and pending support for all senior personnel

 \_\_\_\_\_ Facilities and other resources

\*All budgets should be created using their federally negotiated fringe rates and indirect cost rates specific to their own institution.

## Collaborative Institution

The Collaborative Institution(s) must enter the following sections of the proposal directly into Fastlane:

 \_\_\_\_\_ Cover sheet

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. See instructions below on how to create the required numbers.

 \_\_\_\_\_ Biographical sketches

 \_\_\_\_\_ Budget\*

 \_\_\_\_\_ Budget justification

 \_\_\_\_\_ Current and pending support for all senior personnel

 \_\_\_\_\_ Facilities and other resources

\*All budgets should be created using their federally negotiated fringe rates and indirect cost rates specific to their own institution.

## Submission workflow processes

The workflow processes for collaborative proposal submission is as follows:

* 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 PI or RA on the PIs behalf needs to allow SRO access to View, Edit and Submit. This allows the RA and ORSPA access to the proposal in Fastlane and conduct their respective duties and responsibilities for the proposal
* Give the lead organization RA the collaborative institution’s PIN number and Temporary ID number so that the person 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 gives two 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.

## How to Review Linked Proposals

It is important to review the full proposal document that will be submitted. This includes review by the collaborator(s) for their respective proposal and the lead institution for the entire document. Both the lead and collaborative institutions can review the proposal when linked

In Fastlane go to Research Administration > Proposals/Supplements/File Updates/Withdrawals > Search for the proposal > click on the Temp ID link for the appropriate proposal.

The View Proposal screen will appear. Click on the Print Entire Proposal GO button. All components of the proposal that have been uploaded into Fastlane will appear. Review the proposal for accuracy/discrepancies/completeness.

## Submission to the Office of Research and Sponsored Project Administration (ORSPA)

The goal is to submit the entire package to ORSPA three business days in advance of the sponsor’s deadline for institutional review and endorsement. In order to achieve the goal, the institutions need to be in communication with each other. ASU prefers that collaborative proposals are all submitted to NSF within 24 hours of each other.

Once the proposal documents have been reviewed, ORSPA can begin the submission process in NSF Fastlane.

Advise ORSPA that the proposal is uploaded into the Attachments page of ERA and use the “Notify PNT” activity to alert the GCO. In the body of the activity include any special instructions/information.

If ASU is the Non-Lead Institution include the submission deadline of the lead institution as well as the name and e-mail addresses of the following persons: the sponsored office contact and the Lead PI.

The Grants and Contracts Coordinator (GCO) will review the proposal and upon submission will contact via e-mail the Sponsored Office Contact and the Lead PI at the Collaborating Institution to state that ASU has linked the proposal and it was submitted via NSF Fastlane.