

2012 Proposal Guidelines

The deadline for proposal submission is Monday, December 5, 2011, by 4 PM PST.

- [Introduction](#)
- [Strategic University Research Partners](#)
- [Topical Areas](#)
- [Award Continuity](#)
- [Program Constraints](#)
- [Schedule](#)
- [Proposal Submission Process Overview](#)
- [How to Complete the Proposal Template Sections](#)
- [Evaluation Process](#)
- [Program Obligations](#)
- [Links to Proposal Template, Guidelines and Submission Site](#)
- [Questions](#)

Introduction

The JPL Strategic University Research Partnership (SURP) Program provides resources to initiate and cultivate collaborative efforts of mutual strategic value for NASA research and missions between JPL and our strategic university partners listed below. Proposed activities can be either **Research Initiatives** for collaborative basic and applied research or **Student Development Initiatives** to support classroom activities and career path development for students. The total available funding for SURP is typically \$1.5M to \$2.5M per year. We anticipate that this will support up to 15–20 research initiatives funded up to a cap of \$100,000 each and 10–15 educational initiatives funded up to a cap of \$25,000 each. Student Development Initiative proposals that span up to three years may be accepted, providing that there is adequate justification for the benefit of an extended award. Extension of proposals to include multiple years will be funded, based on the evaluation of this benefit and the availability of funds. We anticipate funding 3-4 multi-year Student Research Initiatives each year and proposals seeking this option may be selected for just one year of funding.

A new feature of the SURP proposal call this year is the introduction of the **SURP Graduate Fellowship**. SURP Graduate Fellowships are available for up to three years, as part of a Research Initiative award. Each year, we anticipate awarding 2-3 SURP GF awards to proposals that demonstrate a significant contribution to the thesis topic of a graduate student. To be eligible for a SURP GF award, Research Initiatives must allocate sufficient funds to the graduate student to cover more than 40% of their tuition and stipend and the student's supervisor must be a Co-Investigator on the proposal. A separate [template](#) is provided for SURP GF proposals, to be used in addition to the main proposal template. If selected, a SURP GF award and associated Research Initiative can be funded for up to 3 years, contingent on a successful annual review and available funds.

To strengthen the relationships between JPL and our strategic university partners, we encourage proposals describing efforts that include activities to be performed jointly at JPL or at the partnering university via the exchange of personnel. Possible exchanges include students working at JPL under the co-supervision of the JPL Principal Investigator and university faculty, JPL investigators working at the strategic partner university, and faculty working at JPL. We also invite proposals that describe research performed jointly by a JPL

team and by the academic faculty investigator while on sabbatical leave at JPL.

[Back to Top](#)

Strategic University Research Partners

JPL has established strategic university partnerships with the following academic institutions through joint memoranda of understanding:

Arizona State University

Carnegie Mellon University

Dartmouth College

Massachusetts Institute of Technology

Princeton University

Stanford University

University of Arizona

University of California, Los Angeles

University of Michigan

University of Southern California

[Back to Top](#)

Topical Areas

JPL has identified the science and technology areas that are essential for JPL's continuing contribution to NASA's future success and for which JPL's leadership is key. You may view the [Topical Areas](#) by clicking on the link on the left-hand menu.

[Back to Top](#)

Award Continuity

SURP awards are for one-year duration. However, holders of existing SURP awards may submit a successor proposal for the continued pursuit of previously funded activities that identify a significant benefit from continued support. Successor proposals must describe the relevant achievements made during the course of the predecessor award. Successor proposals are considered with neither advantage nor disadvantage along with new proposals.

[Back to Top](#)

Program Constraints

- Proposals must include participation by one or more of the strategic university research partners listed above.
- The Principal Investigator must be a JPL employee.
- SURP awards are for one-year duration, unless selected as multi-year Student Development Initiatives or a SURP Graduate Fellowship is awarded. All proposed activities for a one-year award must be complete within the 12-month period of performance and multi-year proposals must provide a report at the end of the 12 month period, detailing progress.
- Funds cannot be sent to foreign nations.

There is no constraint on how the funds are split between JPL and the university partner.

[Back to Top](#)

Schedule

The following schedule of events is planned for the 2012 Call for Proposals:

- October 24, 2011 Call for Proposals released
- December 5, 2011 Proposals due
- February, 2012 Awards announced

[Back to Top](#)

Proposal Submission Process Overview

1. **The 2012 SURP Proposal Template has changed. Please download the current version.** Do not exceed 8 pages total for this submission, including the signature page, budget sheet, and figures, but excluding any additional budget backup or signatory detail that the university partner elects to include.

Download: 2012 SURP Proposal Template ([Word 1 MB](#), [PDF 524 KB](#))

If the submission will include a Graduate Fellowship proposal, download the 2012 SURP Graduate Fellowship Template ([Word 1 MB](#), [PDF 524 KB](#))

2. The completed proposal must be electronically submitted into the [SURP Proposal Submission site](#). At the end of the electronic submission process, you will receive an assigned proposal number. Please record this number on your original signed proposal. You will also be asked to suggest the names of at least 3 JPL colleagues who can provide an expert technical review of your proposal. If a Graduate Fellowship proposal is included, the JPL Principal Investigator must also upload it to the proposal submission site.

The [SURP Proposal Submission site](#) is only available through the internal JPL website and is scheduled to go live by November 21, 2011.

If you need any assistance with your electronic submission, please call Angela Pham (4-0477).

3. After electronically submitting your proposal, please deliver six (6) hard copies of your proposal to Alma Cardena, (office location 180-604, M/S 180-604, ext. 4-2328) by no later than 4 PM on December 5, 2011. Your hard copies must include the assigned proposal number and must include all required signatures (scanned or faxed signatures are acceptable).

How to Complete the Proposal Template Sections

1. **Title:** Enter the full title of the proposal
2. **JPL Principal Investigator:** Enter the first and last name of the PI with JPL line organization number and email address. The PI must be a JPL employee and only one PI can be listed.
3. **Co-Investigator(s):** Enter the first and last name(s) of all external partner and JPL investigators with affiliation and email address.
4. **Total Budget Request for FY12:** Indicate whether the proposal is new or a successor proposal. Indicate whether there will be an associated SURP Graduate Fellowship proposal. If the proposal will request more than one year of support for a Student Development Initiative, indicate this here. Enter the total budget request from your budget sheet.
5. **Student Participants:** For Research Initiatives enter the student name(s), email addresses, and academic level (undergrad, grad) of students participating in this proposed effort. If names are not yet known, enter TBD and the planned academic levels for student participation. Names are not required for Student Development Initiatives.
6. **Topical Areas:** Enter a "1" next to the primary topic area for the proposed work. If you wish to designate a secondary topic, place a "2" next to your secondary area.
7. **Objectives:** State clearly and concisely the goals and objectives of your proposal and your expected deliverables.
8. **Technical Approach:** Describe your plan to achieve your objectives. List specific tasks, responsibilities, and milestones.
9. **Award Continuity:** If this is a successor award, describe the achievements of the predecessor award. If this is a Student Development Initiative proposal that you wish to be considered for multi-year funding, please explain the benefit of multi-year funding.
10. **Innovative Features:** What new ideas are being applied in this proposal? Innovation refers to any new evolutionary or revolutionary change in thinking, processes, products, and/or organization. Relate these innovative features to current approaches inside and outside of JPL.
11. **Team Strengths:** Describe the experience, skills and capabilities the team members bring to the proposed effort. List the specific responsibilities of each team member.
12. **Exchange of Personnel:** Describe any plans to have work done at JPL by university students or faculty or work to be done at the university by JPL employees. Please note that the expenses incurred for any exchange must be included in the budget request.
13. **Significance and Impact of Results:** Discuss the significance of this proposed effort and the impact this work may have on JPL missions and programs. How does the effort contribute to the primary and secondary strategic topic area? How does

the effort help strengthen the relationship between JPL and the strategic university?

14. **Plans for Follow-on Funding:** Provide a realistic assessment of the potential for the task for follow-on funding and possible sources for such funding. Discuss how the proposal may enhance the probability of such funding.
15. **JPL Principal Investigator Signature:** The JPL PI must sign the proposal. A scanned or faxed signature is acceptable.
16. **JPL PI Division Manager Approval Signature:** The Division Manager or Manager III equivalent for Program Office submissions, or their designee, of the JPL Principal Investigator must sign and approve the proposal. A scanned or faxed signature is acceptable.
17. **External Co-Investigator Signature:** The primary university Co-I must sign the proposal. A scanned or faxed signature is acceptable.
18. **University representative with signature authority:** Most universities require the approval of university personnel with contractual or procurement authority or the appropriate Dean or Department Chair. It is also acceptable for the university to submit a signed letter stating willingness to participate in the proposed research in lieu of a signature in this box. A scanned or faxed signature is acceptable.
19. **Figures, Graphics, Tables:** All figures, graphics, and tables should be placed at the end of the proposal. Please do not use "text wrapping" when incorporating graphics at the end of the report. The PI is responsible for ensuring that figures, graphics, and tables are legible.
20. **Budget Sheet:** Complete the budget sheet as indicated by the form. The university budget request should be entered as Item #5 and sufficient budget backup detail from the university should be appended to the proposal. The university backup detail will not count against the 8-page limit and may be in the format of their choosing.
 - Period of performance: For budgeting purposes, assume tasks will begin on March 1, 2012, and end 12 months later on February 29, 2013.
 - JPL salaries: You should not list each person's salary within the budget. You should list the individual's name or job classification and the number of hours for each person, and then provide one total salary dollar figure. This protects salary confidentiality.
 - JPL Category "A" Labor: List the individuals' name or job classification and number of hours, and then provide one total salary dollar figure.
 - JPL Procurements–PO: Equipment, Materials, and Supplies: Itemize all equipment, materials, and supplies needed for the proposed effort.
 - JPL Procurements–RSA (or PS) for university subcontract: Itemize all the university subcontracts for this effort and indicate whether they are to be a RSA or PS type of subcontract. Use a Procurement–RSA subcontract to send funds to your university partner, except in the following circumstances. If your proposal involves hardware or software deliveries from your partner, or if government furnished property will be sent to the university, then a RSA-type of subcontract will not be allowed. Under these circumstances, use a Procurement-PS type of subcontract (also called a Cost Reimbursable with an Educational Institution (CREI) by some JPL offices). The allocated direct cost

(overhead) rates are very different for these two types of subcontract (RSA subcontracts have lower ADC applied), so it is very important to make this distinction in your budget planning. If you have multiple university partners, it is possible to send different types of subcontracts to each as long as each activity meets with the constraints mentioned above. If you need additional assistance in distinguishing the type of subcontract you need, you may contact the SURP/DRDF Acquisitions Manager, [Margaret "Peggy" Easter](#) at x4-5354.

- JPL Services: Itemize all in-house services needed for the proposed effort.
- JPL Travel: Domestic programmatic travel needed for research purposes is allowed. Domestic conference travel up to 5% of the total budget is also allowed. Itemize all travel with a brief explanation of why and when travel is required.
- JPL Other: Itemize any other costs. At JPL, this includes chargebacks for computers, phones, etc.
- JPL Allocated Direct Costs (ADC): ADC and labor fringe rates apply, however Multiple Project Support (MPS) does not. Please contact your Section Administrator or Business Administration Manager for appropriate FY rates and assistance in filling out the form. It is very important to correctly determine if your university subcontract can be issued as a RSA-type of subcontract or if it must be issued as a PS-type of subcontract (see above discussion on JPL Procurements–RSA (or PS) for university subcontracts) as the ADC rates applied are very different.
- Total budget request: Sum of total direct costs (Item #10) and allocated direct costs (item #11). The budget request must comprehensively include all costs for the proposed activity and not exceed the cap of \$100,000 for Research Initiatives and \$25,000 for Student Development Initiatives.

21. Budget Details for University Partner(s): Replace this page with your collaborator's budget detail. There is no page limit and the format may be of their choosing. The budget breakdown must be adequate for reviewers to understand labor, procurements, subcontracts, services, travel, and university overhead.

How to Complete the Graduate Fellowship Template (Do not exceed three pages, including any figures, graphics or tables)

1. **Title:** Enter the full title of the proposal (use the same title as in the Research Initiative proposal).
2. **JPL Principal Investigator:** Enter the first and last name of the PI with JPL line organization number and email address. The PI must be a JPL employee and only one PI can be listed.
3. **Graduate Student:** Enter the first and last name(s) of the graduate student who would receive the fellowship award, with affiliation and email address.
4. **Graduate Student Advisor:** Enter the first and last name(s) of the graduate student, with affiliation and email address.
5. **Expected Degree completion date:** Enter the expected date of completion of the

graduate degree.

6. **Objectives:** State the objectives of the thesis research that this award would contribute to.
7. **Research Contribution:** Describe the contribution of the proposed work to the students thesis work. Would the proposed research make a substantial contribution?
8. **Graduate Student Signature:** The graduate student advisor must sign the proposal. A scanned or faxed signature is acceptable.
9. **Graduate Student Advisor Signature:** The graduate student advisor must sign the proposal. This advisor must be a co-investigator on the associated Research Initiative proposal. A scanned or faxed signature is acceptable.
10. **JPL Principal Investigator Signature:** The JPL PI must sign the proposal. A scanned or faxed signature is acceptable.

[Back to Top](#)

Proposal Evaluation Process

1. The technical and programmatic evaluation of all proposals will be carried out by a process organized by the SURP Program Office. The review criteria are as follows:
 - Innovation
 - Merit of the technical approach
 - Strength of the investigation team
 - Alignment with strategic topic areas
 - Impact on JPL capabilities for future missions and programs
 - Cost and schedule realism
 - Possibility of follow-on funding
2. Based on the outcome of the review process, the SURP program office will forward a recommended list of awards to the JPL Chief Scientist and Chief Technologist. The OCS/OCT will review the results of these discussions and make their final recommendations to the JPL Director. Proposals selected for award will receive an award letter via email.
3. Debriefing— the principle investigator will be given a written summary of the technical comments for their proposal. Programmatic and institutional reviews that may affect the proposal award decisions will not be made available.

[Back to Top](#)

SURP Program Obligations

By accepting an award, the proposer is also accepting the following terms and conditions:

- a. The JPL Principal Investigator is required to manage the task expenditures to ensure that they do not exceed the amount of the award. The award has a 12-month period of performance starting from the date the account is open.
- b. The JPL PI is required to initiate all the paperwork necessary to execute the subcontract for the external collaborator.
- c. If you are collaborating with foreign nationals who are not JPL employees (NASA funding cannot be sent to foreign countries) and you wish to have them visit the Laboratory, refer to the "Foreign National Access to JPL" policy statement identified in "JPL Rules!"
- d. Reporting annually on the status of the task by the JPL PI via an Interim or a Final report is required. Failure to submit a report could result in the Chief Scientist and Chief Technologist prohibiting you from being considered for any further funding opportunities, or may lead to closure of the task account. Additional information regarding the Annual Report will be sent at a later date.
- e. DRDF/SURP Poster Session: Submission of a poster at the annual DRDF/SURP Poster Conference (and attendance by the Principal Investigator or designee) is required. Additional information regarding the Poster Conference will be sent at a later date.
- f. The SURP program is derived from the Director's Research and Development Fund (DRDF) and the principle objective is to provide funding to promote innovative seed efforts in promising fields of science and technology for which conventional program resources are not available and to cultivate collaborative work with our strategic university partners. As such, every award that is made in the program is expected to contribute to the strategic needs of the Lab. It is anticipated that the researchers working on these tasks will publish the results of their work in refereed journals.
- g. Any external publication or presentation of work performed under SURP must have the following acknowledgement: "This research was carried out at the Jet Propulsion Laboratory, California Institute of Technology, under a contract with the National Aeronautics and Space Administration and funded through the Director's Research and Development Fund Program."

[Back to Top](#)

Links to Proposal Template, Guidelines and Submission Site

- 2012 SURP Proposal Template ([Word 1 MB](#), [PDF 524 KB](#))
- 2012 SURP Graduate Fellowship Template ([Word 1 MB](#), [PDF 524 KB](#)), *optional*
- 2012 SURP Proposal Guidelines ([Word 524 KB](#), [PDF 524 KB](#))

- [2012 SURP Proposal Submission Site](#)

[Back to Top](#)

Questions

Please contact Neil Murphy for any questions relating to the SURP proposal call and process. You may reach him via email (Neil.Murphy@jpl.nasa.gov) or via phone (818-354-8718).

[Back to Top](#)