

# Appendix VI

## NSF Proposal Award and Success Rates

### RESULTS FROM SHIP DATA QUERIES

#### Overview:

Data were queried from two separate data bases the IBM/NSF data base and the Access/OCE panel data bases for the four disciplinary OCE programs (BO, CO, MGD, and PO). The IBM system was queried based on SPDF code entered under the subsection i. Data with codes containing A (Large Ship-primary user) and C (Small Ship-primary user) were returned under this query. Data for the overall number of proposal for each fiscal year, as well as, success rate were gathered using the Executive Information System (EIS). The data covers the period between fiscal year 1988 to fiscal year 1996.

For the Access data bases, data were queried from each separate access file for each program and panel. Data from the various panels, both special panels (e.g. GLOBEC, JGOFs, MESH) and core panels, were combined under one spreadsheet for each program. Data for ship time were based on the information entered under the ship request form in the Access data base. Program Managers provided a detailed list of proposals which have been awarded or declined over the last three to four years. These two data bases were then combined to determine the success rates of proposal with and without ship request, as well as, trends in the number of ship request. Access data covers the period between fiscal year 1996 (1995 for some programs) to fiscal year 1998. In all graphs, data retrieved from the IBM system (1988-1995) are indicated by filled symbols and solid lines. Data retrieved from the Access data base (1996-1998) are indicated by unfilled symbols and dashed lines.

The major difference between the two data bases is that the IBM uses proposals, where as, Access uses projects (treats collaborative proposals as one project) as the basic unit. Generally, the number of projects is 10 - 15 % lower than the number of proposals.

#### NOTE:

The proposal, award and success rate data in this report only track the four large disciplinary program areas in the Ocean Sciences Research Section -- Physical Oceanography, Biological Oceanography, Marine Geology and Geophysics and Chemical Oceanography. Collectively these programs represent approximately 85% of the "research funds" in the division.

The Oceanographic Technology and Interdisciplinary Cooperation (OTIC) program and Education and Human Resources (EHR) program in the research section and the Ocean Drilling Program (ODP) grants program are not included. OTIC was transferred to the research section from the facilities section in 1993 with an expansion of scope and the EHR program was established from ongoing distributed activities in 1997. They and the ODP grants program do not have historical "data bases" equivalent to those used for these statistics.

Figure 1: Overall trends in ship requests-total number of proposals with ship requests (Total), number of awards with ship requests (Awards), and number of declines with ship requests (Declines). Data retrieved from the IBM system (1988-1995) are indicated by filled symbols. Data retrieved from the Access data base (1996-1998) are indicated by unfilled symbols.

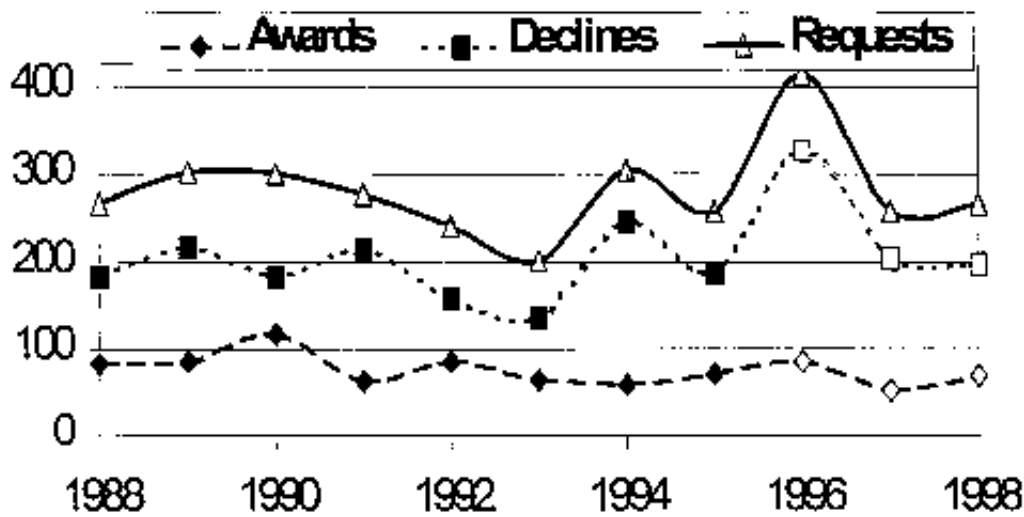


Fig 2. Number of proposals with ship request by program. Data retrieved from the IBM system (1988-1995) are indicated by filled symbols. Data retrieved from the Access data base (1996-1998) are indicated by unfilled symbols.

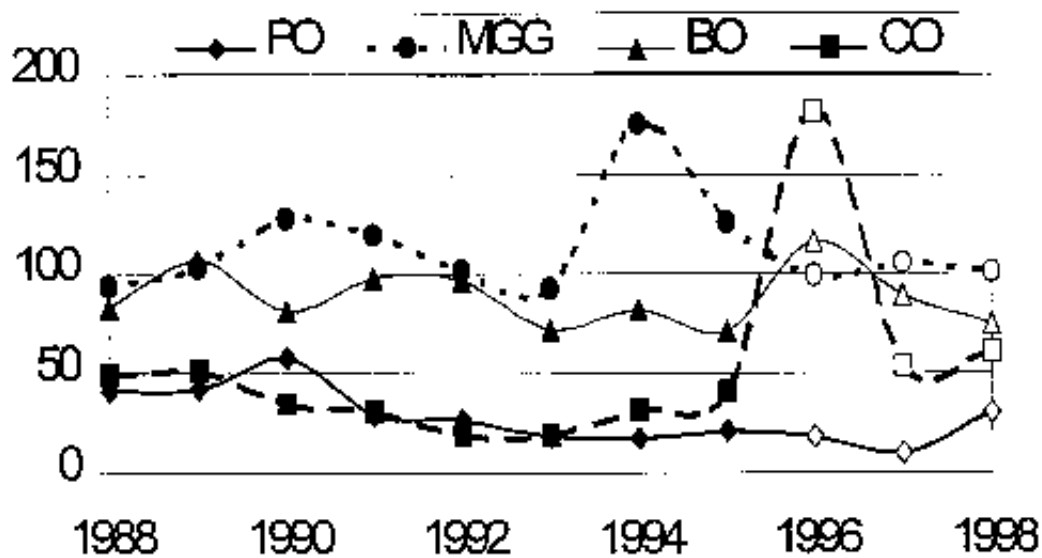


Fig 3. Overall success rates for the four disciplinary programs and success rates for proposal with ship requests. Data retrieved from the JDM system (1988-1995) are indicated by filled symbols. Data retrieved from the Access data base (1996-1998) are indicated by unfilled symbols.

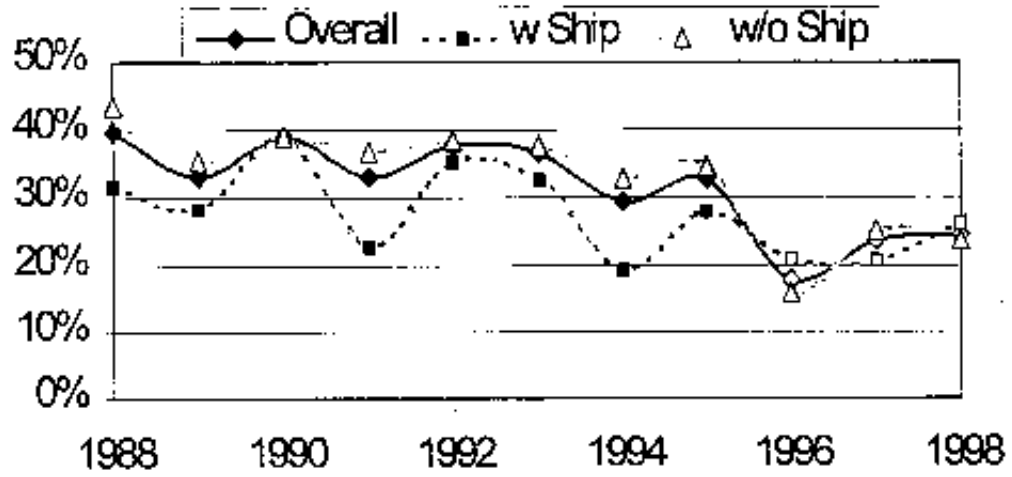


Fig 4. Total number of OSRS proposals and the percent of those proposals requesting ship time. Data retrieved from the IBM system (1988-1995) are indicated by filled symbols. Data retrieved from the Access data base (1996-1998) are indicated by unfilled symbols.

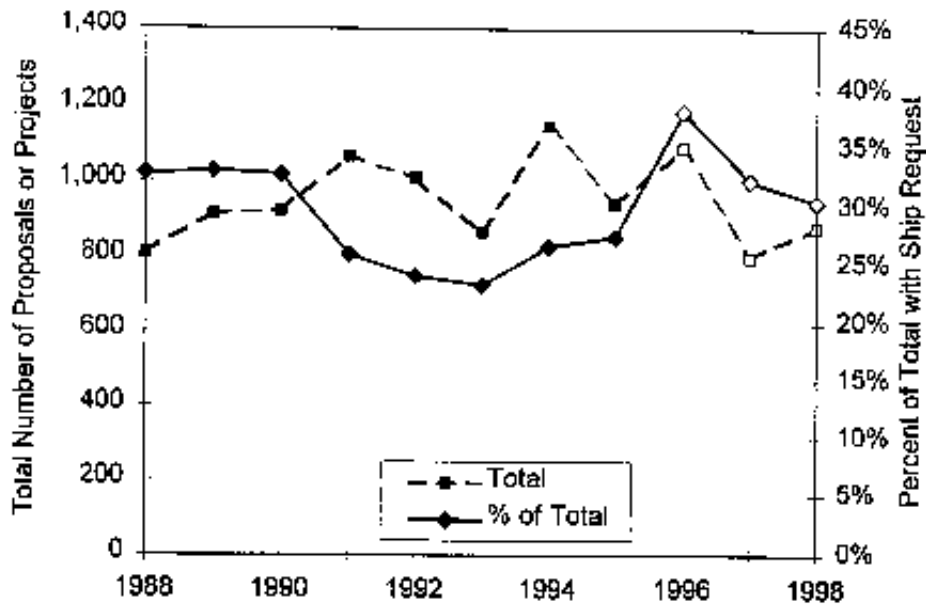


Fig. 5. Total number of OSRS awards and the percent of those awards requesting ship time. Data retrieved from the IBM system (1988-1995) are indicated by filled symbols. Data retrieved from the Access data base (1996-1998) are indicated by unfilled symbols.

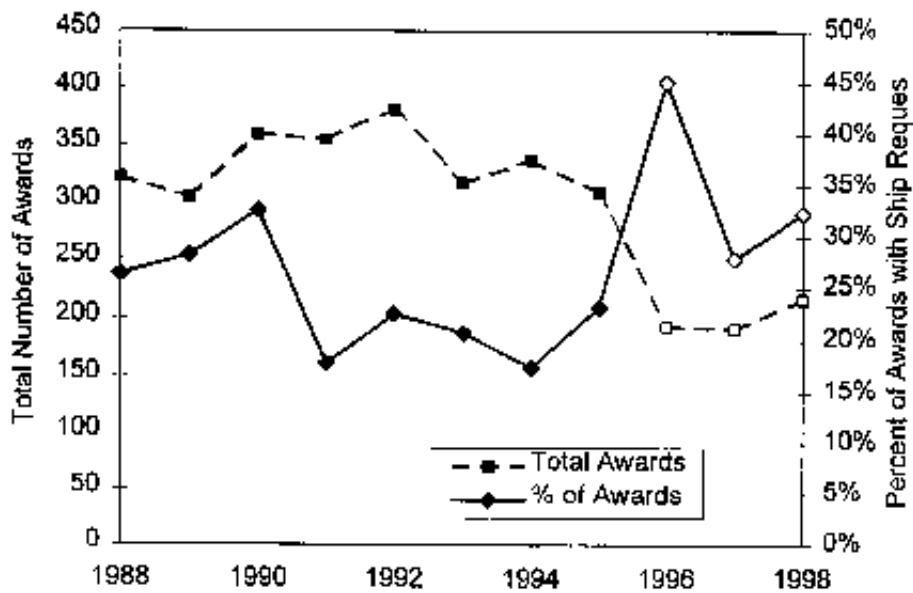


Table 1: Summary of ship request data used in this analysis. Difference refers to the difference between the success rate of projects with ship time and projects without ship time (a + number indicates projects with ship time had a higher success rate than those without ship time). Bold type indicates data retrieved from the Access system; all other data are from the IBM system.

Year	Program	Request			Approval			Rate			
		Without	With	Total	Without	With	Total	Without	With	Total	Difference
1986	PO	12	29	41	72	78	150	40%	29%	55%	-26%
1989	PO	14	28	42	52	87	139	37%	33%	39%	-6%
1990	PO	28	28	57	96	114	210	46%	51%	44%	7%
1991	PO	11	18	29	70	102	172	41%	38%	41%	-3%
1992	PO	20	6	26	82	102	184	45%	77%	39%	38%
1993	PO	9	9	18	68	87	155	44%	50%	43%	7%
1994	PO	8	11	17	69	125	194	36%	35%	36%	0%
1995	PO	8	15	21	75	97	172	44%	29%	46%	-17%
1996	PO	4	14	18	35	121	156	22%	22%	22%	0%
1997	PO	2	8	10	40	61	101	40%	20%	42%	-22%
1998	PO	8	22	30	59	126	184	32%	27%	33%	-6%
1988	MGG	26	68	94	95	161	256	39%	28%	48%	-18%
1989	MGG	24	79	103	95	194	279	34%	23%	40%	-17%
1990	MGG	43	85	128	128	193	321	40%	34%	44%	-10%
1991	MGG	27	93	120	118	250	368	32%	23%	37%	-14%
1992	MGG	23	79	102	101	218	320	32%	23%	36%	-13%
1993	MGG	22	71	93	98	210	308	32%	24%	35%	-12%
1994	MGG	30	145	175	122	305	427	29%	17%	37%	-19%
1995	MGG	34	92	126	102	227	329	31%	27%	33%	-7%
1996	MGG	15	84	99	64	361	415	16%	15%	18%	0%
1997	MGG	14	91	105	69	248	317	22%	13%	26%	-13%
1998	MGG	19	82	101	67	208	275	24%	19%	28%	-9%
1988	BO	24	59	83	74	180	254	32%	28%	33%	-4%
1989	BO	30	76	106	94	224	318	30%	28%	30%	-2%
1990	BO	26	55	81	89	195	284	31%	32%	31%	1%
1991	BO	12	85	97	91	268	357	25%	12%	30%	-18%
1992	BO	30	68	96	127	282	389	33%	31%	33%	-2%
1993	BO	27	45	72	91	189	280	33%	38%	31%	7%
1994	BO	14	68	82	92	268	340	28%	17%	28%	-11%
1995	BO	20	51	71	80	191	271	30%	28%	30%	-2%
1996	BO	37	79	116	55	211	266	21%	32%	12%	20%
1997	BO	16	73	89	82	208	280	20%	18%	21%	-3%
1998	BO	29	46	75	62	198	260	24%	39%	18%	21%
1988	CO	23	28	49	72	90	162	44%	47%	43%	4%
1989	CO	19	33	51	64	114	178	36%	35%	36%	-1%
1990	CO	19	18	39	46	60	106	43%	54%	38%	16%
1991	CO	13	19	31	78	98	172	44%	42%	46%	-3%
1992	CO	13	6	19	71	45	116	81%	68%	60%	9%
1993	CO	8	11	19	51	64	125	49%	42%	50%	-8%
1994	CO	9	23	32	65	114	169	33%	28%	34%	-5%
1995	CO	12	29	41	53	118	171	31%	29%	32%	-2%
1996	CO	31	161	182	39	213	252	15%	17%	11%	6%
1997	CO	21	33	54	28	93	121	24%	39%	12%	27%
1998	CO	14	47	61	28	132	160	18%	23%	14%	9%
1988	OSRS	68	182	267	323	489	812	40%	32%	44%	-12%
1989	OSRS	68	216	302	335	609	914	33%	28%	36%	-7%
1990	OSRS	117	184	301	358	582	921	39%	39%	39%	0%
1991	OSRS	83	214	277	365	714	1069	33%	23%	37%	-14%
1992	OSRS	86	157	243	381	628	1009	38%	35%	39%	-3%
1993	OSRS	66	136	202	318	550	868	37%	33%	38%	-6%
1994	OSRS	58	247	306	338	812	1150	29%	19%	33%	-14%
1995	OSRS	72	187	259	310	633	943	33%	28%	35%	-7%
1996	OSRS	87	328	416	193	896	1089	18%	21%	18%	6%
1997	OSRS	53	208	258	180	610	800	24%	21%	25%	-6%
1998	OSRS	70	197	267	216	663	879	25%	28%	24%	2%