

Faculty Early Career Development (CAREER) Program

*Including the description of the NSF component of the
Presidential Early Career Awards
for Scientists and Engineers (PECASE)*

Proposals for Fiscal Years 2003, 2004, and 2005

Program Solicitation

NSF-02-111

DIRECTORATE FOR BIOLOGICAL SCIENCES
DIRECTORATE FOR COMPUTER AND INFORMATION SCIENCE AND ENGINEERING
DIRECTORATE FOR EDUCATION AND HUMAN RESOURCES
DIRECTORATE FOR ENGINEERING
DIRECTORATE FOR GEOSCIENCES
DIRECTORATE FOR MATHEMATICAL AND PHYSICAL SCIENCES
DIRECTORATE FOR SOCIAL, BEHAVIORAL, AND ECONOMIC SCIENCES
OFFICE OF POLAR PROGRAMS

FULL PROPOSAL DEADLINE(S) :

- July 23, 2002** - July 22, 2003 - July 20, 2004
Biological Sciences (BIO)
Computer and Information Science and Engineering (CISE)
Education and Human Resources (EHR)
- July 24, 2002** - July 23, 2003 - July 21, 2004
Engineering (ENG)
- July 25, 2002** - July 24, 2003 - July 22, 2004
Geosciences (GEO)
Mathematical and Physical Sciences (MPS)
Social, Behavioral and Economic Sciences (SBE)
Office of Polar Programs (OPP)



NATIONAL SCIENCE FOUNDATION



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To get the latest information about program deadlines, to download copies of NSF publications, and to access abstracts of awards, visit the NSF Web Site at:

<http://www.nsf.gov>

- **Location:** 4201 Wilson Blvd. Arlington, VA
22230
- **For General Information (NSF Information Center):** (703) 292-5111
- **TDD (for the hearing-impaired):** (703) 292-5090 or (800) 281-8749
- **To Order Publications or Forms:**
 - Send an e-mail to: pubs@nsf.gov
 - or telephone: (703) 292-7827
- **To Locate NSF Employees:** (703) 292-5111

SUMMARY OF PROGRAM REQUIREMENTS

GENERAL INFORMATION

Program Title: *Faculty Early Career Development (CAREER) Program*

Synopsis of Program: The Faculty Early Career Development (CAREER) Program is a Foundation-wide activity that offers the National Science Foundation's most prestigious awards for new faculty members. The CAREER program recognizes and supports the early career-development activities of those teacher-scholars who are most likely to become the academic leaders of the 21st century. CAREER awardees will be selected on the basis of creative career-development plans that effectively integrate research and education within the context of the mission of their organization. Such plans should build a firm foundation for a lifetime of integrated contributions to research and education. NSF encourages submission of CAREER proposals from new faculty members at all CAREER-eligible organizations and especially encourages women, members of underrepresented minority groups, and persons with disabilities to apply.

Each year NSF selects nominees for the Presidential Early Career Awards for Scientists and Engineers (PECASE) from among the most meritorious new CAREER awardees. The PECASE program recognizes outstanding scientists and engineers who, early in their careers, show exceptional potential for leadership at the frontiers of knowledge. This Presidential Award is the highest honor bestowed by the United States Government on scientists and engineers beginning their independent careers.

Cognizant Program Officer(s):

- Division CAREER contacts listed on the CAREER Web page, at <http://www.nsf.gov/career>.

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

- 47.074 --- Biological Sciences
- 47.070 --- Computer and Information Science and Engineering
- 47.076 --- Education and Human Resources
- 47.041 --- Engineering
- 47.050 --- Geosciences
- 47.049 --- Mathematical and Physical Sciences
- 47.078 --- Office of Polar Programs
- 47.075 --- Social, Behavioral and Economic Sciences

ELIGIBILITY INFORMATION

Organization Limit: Proposals may be submitted by academic institutions in the U.S., its territories or possessions, and the Commonwealth of Puerto Rico, that award degrees in a field supported by NSF. Other nonprofit organizations may be eligible. Refer to Section III of this document for information on types of organizations that are eligible.

- **PI Eligibility Limit:** Refer to Section III of this document for information on PI eligibility limitations.
- **Limit on Number of Proposals:** There is no limit on the number of proposals that an organization may submit. A Principal Investigator may submit only one CAREER proposal per annual competition; refer to Section III for additional information on proposal submissions.

AWARD INFORMATION

- **Anticipated Type of Award:** Standard or Continuing Grant
- **Estimated Number of Awards:** 300 to 350
- **Anticipated Funding Amount:** Approximately \$60 million, subject to the availability of funds. Funds will be distributed across all Directorates of NSF and the Office of Polar Programs.

PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions

- **Full Proposals:** Supplemental Preparation Guidelines
 - The program announcement/solicitation contains supplements to 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):**

July 23, 2002 - July 22, 2003 - July 20, 2004
Biological Sciences (BIO)
Computer and Information Science and Engineering (CISE)
Education and Human Resources (EHR)

July 24, 2002 - July 23, 2003 - July 21, 2004
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Mathematical and Physical Sciences (MPS)
Social, Behavioral and Economic Sciences (SBE)
Office of Polar Programs (OPP)

D. FastLane Requirements

- **FastLane Submission:** Required
- **FastLane Contact(s):**
 - Division FastLane contacts on the FastLane Web page, at <https://www.fastlane.nsf.gov/a0/flcontacts.htm>.
 - FastLane Help Desk, telephone: 1-800-673-6188, e-mail: fastlane@nsf.gov.

PROPOSAL REVIEW INFORMATION

- **Merit Review Criteria:** National Science Board approved criteria apply.

AWARD ADMINISTRATION INFORMATION

- **Award Conditions:** Additional award conditions apply. Please see the program announcement/solicitation for further information.
- **Reporting Requirements:** Additional reporting requirements apply. Please see the full program announcement/solicitation for further information.

I. INTRODUCTION

To sustain and strengthen the Nation's science, mathematics, and engineering capabilities and to promote the use of those capabilities in service to society, the National Science Foundation (NSF) works in partnership with individuals and their organizations to support the early career-development activities of those teacher-scholars who are most likely to become the academic leaders of the 21st century. NSF established the Faculty Early Career Development (CAREER) program in recognition of the critical roles played by faculty members in integrating research and education, and in fostering the natural connections between the processes of learning and discovery. The intent of the program is to provide stable support at a sufficient level and duration to enable awardees to develop careers as outstanding teacher-scholars in the context of the mission of their organization. NSF encourages submission of CAREER proposals from new faculty at all CAREER-eligible organizations and especially encourages women, members of underrepresented minority groups, and persons with disabilities to apply. This program is a Foundation-wide activity that offers the National Science Foundation's most prestigious awards for new faculty members.

Each year NSF selects nominees for the Presidential Early Career Awards for Scientists and Engineers (PECASE) from among the most meritorious new CAREER awardees. The PECASE program recognizes outstanding scientists and engineers who, early in their careers, show exceptional potential for leadership at the frontiers of knowledge. This Presidential Award is the highest honor bestowed by the United States Government on scientists and engineers beginning their independent careers.

II. PROGRAM DESCRIPTION

A. CAREER Program

This premier program emphasizes the importance the Foundation places on the early development of academic careers dedicated to stimulating the discovery process in which the excitement of research is enhanced by inspired teaching and enthusiastic learning. Effective integration of research and education at all levels generates a synergy in which the process of discovery stimulates learning and assures that the findings and methods of research are quickly and effectively communicated in a broader context and to a larger audience.

Successful applicants will propose creative, integrative, and effective research and education plans. While excellence in both education and research is expected, activity of an intensity that leads to an unreasonable workload is not.

Proposals submitted to the National Science Foundation are evaluated through the use of two merit review criteria, which all proposals must address explicitly. One relates to intellectual merit and the other relates to broader impacts of the activities. The following URL contains examples illustrating activities that are likely to demonstrate the broader impacts:

<http://www.nsf.gov/pubs/2002/nsf022/bicexamples.pdf>. CAREER applicants may find these examples useful as they formulate their career-development plans.

Proposed education activities may be in a broad range of areas and may be directed to any level: K-12 students, undergraduates, graduate students, and/or the general public. Examples include but are not limited to: designing innovative courses or curricula; supporting teacher preparation and enhancement; conducting outreach and mentoring activities to enhance scientific literacy or involve students from groups that have been traditionally underrepresented in science; researching pedagogy or students' learning and conceptual development in the discipline; incorporating research activities into undergraduate courses; linking education activities to industrial, international, or cross-disciplinary work; and implementing innovative methods for evaluation and assessment.

Education activities may include designing new educational materials and practices or adapting and implementing effective educational materials and practices developed elsewhere. Such activities should be consistent with research and best practices in curriculum, pedagogy, and evaluation.

The education and research activities proposed may include collaborations with partners from other sectors (for example, partnerships with industry, national laboratories, or schools and school districts), as well as international collaborations. However, partners cannot participate as co-investigators. Proposals submitted with co-investigators will not be reviewed or considered for funding.

NSF encourages PIs to include international dimensions in their career-development plans where appropriate (e.g., visits to foreign research facilities, interactions with foreign research partners, and development of international educational activities).

NSF especially encourages the inclusion of women, members of underrepresented minority groups, and persons with disabilities in research and educational activities.

Program information, including "Frequently Asked Questions" (NSF 02-113) and a Proposal Submission Checklist, can be accessed on the CAREER Web page at: <http://www.nsf.gov/career>.

B. PECASE Program

Each year NSF will select up to twenty nominees for this award from among the most meritorious PECASE-eligible CAREER awardees.

III. ELIGIBILITY INFORMATION

A. CAREER Program.

NOTE: The eligibility criteria have changed from previous CAREER Solicitations.

*NSF has streamlined and simplified the eligibility criteria, recognizing that early-career faculty members must develop their careers at whatever rate is appropriate for them given their personal and professional choices. **No eligibility exemptions will be granted.***

Criteria. Applicants for the FY 2003-2005 competitions must meet all of the following requirements:

- By your Directorate's July deadline for submission of CAREER proposals:
 - Hold a doctoral degree (as evidenced by the dated diploma) in a field of science or engineering supported by NSF;
 - Be untenured;
 - Have not previously received an NSF PECASE or CAREER award. (Prior or concurrent Federal support for other types of awards or for non-duplicative research does not preclude eligibility);
 - Have not competed more than two times in the NSF CAREER Program.
- By October 1st following the July deadline for submission of CAREER proposals:
 - Be employed in a tenure-track position (or tenure-track-equivalent position) as an assistant professor (or equivalent title), at an institution in the U.S., its territories, or possessions, or the Commonwealth of Puerto Rico, that awards degrees in a field supported by NSF;

Or

- Be employed in a tenure-track position (or tenure-track-equivalent position) as an assistant professor (or equivalent title) at an organization in the U.S., its territories, or possessions, or the Commonwealth of Puerto Rico, that is a non-profit, non-degree-granting organization such as a museum, observatory, or research lab.

Note: For your position to be considered a tenure-track-equivalent position, you must meet all of the following requirements: (1) your employing department or organization does not offer tenure; (2) you are engaged in research in an area of science or engineering supported by NSF; (3) your appointment is a continuing appointment; (4) your appointment has substantial educational responsibilities; and (5) your career-development plan relates to your career goals and job responsibilities as well as the goals of your department/organization.

NO EXEMPTIONS TO ELIGIBILITY CRITERIA WILL BE GRANTED.

B. PECASE Program

In addition to meeting the eligibility requirements of the CAREER program listed above, PECASE nominees must be U.S. citizens, nationals, or permanent residents who hold such status on or before their Directorate's July deadline for submission of CAREER proposals. An individual can receive only one PECASE award.

IV. AWARD INFORMATION

- **Duration.** 5 years.
- **Amount.**

CAREER. For the FY 2003 competition, the minimum CAREER award, including indirect costs, will total \$400,000 over a 5-year period with the following exception. Applicants to the Biological Sciences Directorate (BIO) must submit budget requests for a minimum of \$500,000 (approximately \$100,000 per year) for the 5-year duration.

Based on the availability of funds, the minimum amounts for FY 2004 and FY 2005 may change. Check the CAREER Web page (<http://www.nsf.gov/career>) three months prior to the submission deadline for updated information.

PECASE. The PECASE award is an entirely honorary award for all NSF recipients and does not provide additional funds.

- **Supplemental Funding.** CAREER awards are eligible for supplemental funding, as described in the GPG, Section V.B.4.

V. PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions

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.

Proposal Content - Material for Merit Review

Cover Sheet: See GPG Section II.C.

- **Program Solicitation Number.** Select the CAREER program solicitation, NSF 02-111, from the drop-down menu.
- **PI eligibility information.** As part of the cover sheet entry, applicants must complete and submit the CAREER and PECASE Eligibility Certifications, thereby self-certifying their eligibility for the CAREER Program, and if applicable, their eligibility for PECASE. Note: Information regarding PECASE eligibility will not be released to reviewers.
- **Project Title.** The project title must begin with "CAREER:" and follow with an informative title.

Project Summary: See GPG Section II.C.1.

Summarize the **integrated education and research activities** of the proposed career-development plan.

Project Description: See GPG Section II.C.3. Note: the project description may not exceed 15 pages.

a. Results from Prior NSF Support, if applicable. See GPG Section II.C.3. If you have received NSF funding in the past five years, information on the prior award(s) is required. If you have received more than one prior award (excluding amendments), you must report on the award most closely related to the proposal. This section is limited to five pages and is included in the 15-page project description limitation. Reviewers will be asked to comment on the quality of the prior work that is described in this section of the project description, if applicable.

b. Career-Development Plan. Provide a well-argued and specific proposal for activities that will, over a 5-year period, build a firm foundation for a lifetime of integrated contributions to research and education. (For examples of possible activities, refer to CAREER Program Description in Section II.A. and the document "NSF Merit Review Broader Impacts Criterion: Representative Activities," located on the NSF Web site at <http://www.nsf.gov/pubs/2002/nsf022/bicexamples.pdf>.)

The plan should be developed in consultation with the department head or equivalent organizational official and include:

- The objectives and significance of the proposed integrated research and education activities;
- The relationship of the research to the current state of knowledge in the field, and of the education activities to the current state of knowledge on effective teaching and learning in one's field of study;
- An outline of the plan of work, describing the methods and procedures to be used, including evaluation of the education activities. Both research and education activities should be included in the plan for each year, but the relative amount of effort devoted to each may vary from year to year;
- The relation of the plan to the PI's career goals and job responsibilities, and to the goals of his/her department/organization; and
- A summary of prior research and educational accomplishments.

References Cited: See GPG Section II.C.4. If a website address for a given source is readily available, it should be included in this section of the proposal.

Provide references in support of both research and education aspects of the career-development plan.

Biographical Sketch of Principal Investigator: See GPG Section II.C.5. Note: the biographical sketch may not exceed two pages.

Include **both** research and education activities and accomplishments using the GPG standard biographical sketch guidelines. As stated in the GPG, the list of publications should include up to ten publications, including up to five publications most closely related to the proposed project and up to five other significant publications, whether or not they are related to the proposed project.

Budget and Budget Justification: See GPG Section II.C.6.

For the FY 2003 competition, the minimum CAREER award size is \$400,000 for a 5-year period with the following exception. Applicants to the Biological Sciences Directorate (BIO) must submit budget requests for a minimum of \$500,000 (approximately \$100,000 per year) for the 5-year duration.

Based on availability of funds, the minimum amounts for FY 2004 and FY 2005 may change. (Check the CAREER Web page (<http://www.nsf.gov/career>) three months prior to the submission deadline for updated information.)

No funds may be budgeted for the principal investigator's academic-year salary unless justified by a plan for a limited period of fieldwork or other extraordinary career-development activity in research or education. No salary support for other senior personnel is allowed. NSF will reimburse indirect costs at your organization's official, negotiated rate.

Current and Pending Support of Principal Investigator: See GPG Section II.C.7.

Facilities, Equipment, and Other Resources: See GPG Section II.C.8.

Special Information and Supplementary Documentation: See GPG Section II.C.9.

Scan the signed original(s) of the following document(s) into the Supplementary Documents section of the proposal. Do not send paper copies to NSF.

- a. **Departmental Endorsement (including organizational commitment and verification of PI eligibility). NOTE: The content of this document has changed from previous CAREER Solicitations.**

In recognition of the teacher-scholar role of beginning faculty members, NSF encourages organizations to value and reward the integration of research and education. This integration of research and education requires the close collaboration between the CAREER principal investigator and his/her organization throughout the award, laying the groundwork for fostering sustainability of integration efforts for both the PI and the organization.

To demonstrate the department's organizational commitment to this partnership, the proposal must include one (and only one) endorsement letter from the PI's department head (or equivalent organizational official) which:

- Includes the statement, "I have read and I endorse this career-development plan. I attest that the PI's career-development plan is supported by and integrated into the educational and research goals of the department and the organization. I personally commit to the support and professional development of the PI.";
- Describes the support that the department/organization will provide. The support could include, but is not limited to, commitments for mentoring, provision of academic-year or summer salary, released time for curriculum development or other education activities, instrumentation, laboratory facilities, research support, student stipends, or travel to professional meetings;
- Verifies the CAREER eligibility information that the PI self-certified in the proposal submission process.

The PI's department head (or equivalent organizational official) must sign the letter. The official's name, title, and date must appear below the signature.

b. Other special information.

If applicable, the proposal should include short letters of commitment from the collaborators to support proposed collaborations as stated in the proposal. The letters should only describe the planned collaborative effort(s). Reference letters are not allowed.

Proposal Content - Information Not to Be Released to Reviewers

- List of Suggested Reviewers or Reviewers Not to Include (optional):** See GPG Section II.C.
- Deviation Authorization (if applicable):** See GPG Section II.A.
- The PECASE component of the CAREER and PECASE Eligibility Certifications is not released to reviewers.

Proposers are reminded to identify the program solicitation number (NSF-02-111) in the program announcement/solicitation block on the proposal Cover Sheet. 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 Solicitation.

Other Budgetary Limitations:

For the FY 2003 competition, the minimum CAREER award size is \$400,000 for a 5-year period with the following exception. Applicants to the Biological Sciences Directorate (BIO) must submit budget requests for a minimum of \$500,000 (approximately \$100,000 per year) for the 5-year duration.

Based on the availability of funds, the minimum amounts for FY 2004 and FY 2005 may change. (Check the CAREER Web page (<http://www.nsf.gov/career>) three months prior to the submission deadline for updated information.)

No funds may be budgeted for the principal investigator's academic-year salary unless justified by a plan for a limited period of fieldwork or other extraordinary career-development activity in research or education. No salary support for other senior personnel is allowed.

C. Deadline/Target Dates

Proposals must be submitted by the following date(s):

Full Proposals by 5:00 PM local time:

- | | |
|---------------|--|
| July 23, 2002 | - July 22, 2003 - July 20, 2004 Biological Sciences (BIO) Computer and Information Science and Engineering (CISE) Education and Human Resources (EHR) |
| July 24, 2002 | - July 23, 2003 - July 21, 2004 Engineering (ENG) |
| July 25, 2002 | - July 24, 2003 - July 22, 2004 Geosciences (GEO) Mathematical and Physical Sciences (MPS) Social, Behavioral and Economic Sciences (SBE) Office of Polar Programs (OPP) |

Any CAREER proposal received after the Directorate/Office deadline will not be reviewed or considered for funding. Please note that NSF program officers are not authorized to grant extensions to the deadline for the CAREER program.

D. FastLane Requirements

Proposers are required to prepare and submit all proposals for this Program Solicitation 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 the FastLane Help Desk at 1-800-673-6188 or e-mail fastlane@nsf.gov. The FastLane Help Desk answers general technical questions related to the use of the FastLane system. Specific questions related to this Program Solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this announcement/solicitation.

Submission of Electronically 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 electronic certifications within five working days following the electronic submission of the proposal. Proposers are no longer required to provide a paper copy of the signed Proposal Cover Sheet to NSF. 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.

The two merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered 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?

NSF staff will give careful consideration to the following 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.

A summary rating and accompanying narrative will be completed and submitted by each reviewer. In all cases, reviews are treated as confidential documents. Verbatim copies of reviews, excluding the identities of 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 and/or Panel 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. The time interval begins on the closing date of an announcement/solicitation or the date of proposal receipt (whichever is later). 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 one's 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>.

Special Award Conditions

The CAREER award must be relinquished if the principal investigator:

- no longer holds a CAREER-eligible appointment at a CAREER-eligible organization;
- transfers at any time prior to or during the duration of that award to a position that is not tenured, tenure-track, or equivalent; or
- transfers to an organization that is not CAREER-eligible.

Before transferring a CAREER award, NSF may request documentation from the PI's new organization and department head in support of the career goals and departmental partnership as proposed in the original career-development plan.

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.

For CAREER awards, the report must be approved by the principal investigator's department head or equivalent, thereby reaffirming the department's endorsement of the work plan and continuing partnership in the individual's career-development plan. This approval and reaffirmation of support must be signed by the principal investigator's department head or equivalent and uploaded into the annual report as a PDF file. Instructions for preparing project reports and uploading departmental endorsements into CAREER project reports can be found on the CAREER Web page at <http://www.nsf.gov/home/crssprgm/career/report.htm>. Also, refer to the GPG, Chapter VI.G.1 for information on preparation and submission of annual and final reports. Annual progress reports should summarize progress in both research and education and, where appropriate, collaborative activities. The report should also include an update of other support, if applicable.

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 *Faculty Early Career Development (CAREER) Program* should be made to:

- Division CAREER contacts listed on the CAREER Web page, at <http://www.nsf.gov/career>.

For questions related to the use of FastLane, contact:

- Division FastLane contacts on the FastLane Web page, at <https://www.fastlane.nsf.gov/a0/flcontacts.htm>.
- FastLane Help Desk, telephone: 1-800-673-6188, 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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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, 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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