

# ***Faculty Early Career Development (CAREER) Program***

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

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## **Program Solicitation**

### ***NSF 01-84***

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) :**

- |                      |   |
|----------------------|---|
| <b>July 24, 2001</b> | <b><i>NSF 01-84A</i></b><br><b>Biological Sciences (BIO)</b><br><b>Computer and Information Science and Engineering (CISE)</b><br><b>Education and Human Resources (EHR)</b>                              |
| <b>July 25, 2001</b> | <b><i>NSF 01-84B</i></b><br><b>Engineering (ENG)</b>  |
| <b>July 26, 2001</b> | <b><i>NSF 01-84C</i></b><br><b>Geosciences (GEO)</b><br><b>Mathematical and Physical Sciences (MPS)</b><br><b>Social, Behavioral and Economic Sciences (SBE)</b><br><b>Office of Polar Programs (OPP)</b> |



**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
- **To Order Publications or Forms:**
  - Send an e-mail to: [pubs@nsf.gov](mailto:pubs@nsf.gov)
  - or telephone: (301) 947-2722
- **To Locate NSF Employees:** (703) 292-5111

# SUMMARY OF PROGRAM REQUIREMENTS

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## 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 institution. 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 institutions.

Each year NSF selects nominees for 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/home/crssprgm/career/contacts.htm>.

### **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; see the eligibility guidelines in this document.
- **PI Eligibility Limit:** PI eligibility limitations are described in this document in Section III.
- **Limit on Number of Proposals:** None

## AWARD INFORMATION

- **Anticipated Type of Award:** Standard or Continuing Grant
- **Estimated Number of Awards:** 200 to 300
- **Anticipated Funding Amount:** Approximately \$65 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 24, 2001	<i>NSF 01-84A</i> Biological Sciences (BIO) Computer and Information Science and Engineering (CISE) Education and Human Resources (EHR)
July 25, 2001	<i>NSF 01-84B</i> Engineering (ENG)
July 26, 2001	<i>NSF 01-84C</i> Geosciences (GEO) Mathematical and Physical Sciences (MPS) Social, Behavioral and Economic Sciences (SBE) Office of Polar Programs (OPP)

#### *D. FastLane Requirements*

- **FastLane Submission:** Full Proposal Required
- **FastLane Contact(s):**
  - For the FY 2002 CAREER competition, the proposal Cover Sheet will be submitted electronically to NSF by the Sponsored Research Office (or equivalent). **No PI Cover Sheet certifications will be required for this competition and no paper copy of the Cover Sheet should be sent to NSF.**

#### **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 institutions to support the early career-development activities of those teacher-scholars who are most likely to become the academic leaders of the 21st century. Because of the critical roles played by faculty members in integrating research and education, and fostering the natural connections between the processes of learning and discovery, NSF has established the Faculty Early Career Development (CAREER) program. 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 institution. NSF encourages submission of CAREER proposals from new faculty at all CAREER eligible institutions. By recognizing the teacher-scholar role of beginning faculty members, NSF encourages academic institutions to value and reward the integration of research and education. 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 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.

Successful applicants will propose creative, integrative, and effective research and education plans. The proposals will demonstrate activities that exemplify the process of continuous learning and the quest for new knowledge; such activities will enable the weaving of knowledge creation, integration and transfer into a robust whole.

While excellence **in both** education and research is expected, activity of an intensity that leads to an unreasonable workload is not.

*Proposed education activities may be in a broad range of areas.* They may address curriculum, pedagogy, outreach, or mentoring at any level, including graduate and undergraduate students, majors and non-majors, teacher preparation or enhancement, K-12 students, and/or the general public. Education activities may include designing new educational materials and practices, or adapting and implementing effective educational materials and practices developed elsewhere.

*Examples include*, but are not limited to: course or curriculum development; pre-college teacher preparation and enhancement; outreach and mentoring activities to enhance scientific literacy or involve students from groups that have been traditionally underrepresented in science; research on 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; innovative methods for evaluation and assessment of the proposed education activities.

*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 be returned without review.

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 women, members of underrepresented minority groups, and persons with disabilities to apply and encourages the inclusion of members of these groups in educational activities.

Program information can be accessed on the CAREER Web page at:

<http://www.nsf.gov/home/crssprgm/career/start.htm>. CAREER proposals will be considered by every research-supporting unit of NSF.

## **B. PECASE Program**

NSF will select up to twenty nominees for this award from among the most meritorious PECASE-eligible CAREER awardees who applied to the FY 2002 CAREER program.

## **III. ELIGIBILITY INFORMATION**

### **A. CAREER Program**

**Criteria.** Unless granted an exemption (see below), applicants for the FY 2002 competition MUST MEET ALL of the following requirements:

- be untenured as of July 23, 2001;
- as of October 1, 2001:
  - have received their first doctorate within the last 8 years, that is, after October 1, 1993.
  - be employed in a tenure-track position 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 in a tenure-track-equivalent position (see below for an explanation of "equivalent" positions and the approval required for equivalency).

- have entered their first tenure-track or equivalent position within the last 4 years, that is, after October 1, 1997. (Those who started their first tenure-track or equivalent appointment prior to receiving their first doctoral degree should substitute their degree date for the tenure-track appointment date.)
- 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.

**Tenure-track-equivalent positions.** Individuals in these categories are eligible to apply **only if** an NSF CAREER Directorate contact approves tenure-track equivalency. Approval must be granted **before** a proposal is submitted. Please refer to CAREER FAQ's for more information about the conditions under which such approvals may be granted.

Individuals in tenure-track-equivalent positions include:

- Individuals in continuing faculty appointments having substantial educational responsibilities at institutions or departments that do not offer tenure.
- Individuals who are engaged in significant education and research activities at non-profit, non-degree-granting institutions such as museums, observatories, and research laboratories. The educational component of the proposal must be integrally related to education dimensions of the PI's appointment.

**Exemptions.** The following are the only exceptions to the eligibility criteria listed above. Individuals in these categories are eligible to apply **only if** an NSF CAREER Directorate contact approves an exemption request. An exemption must be granted **before** a proposal is submitted. Please refer to CAREER FAQ's for more information about the conditions under which exemptions may be granted.

- Non-tenured faculty members who entered their first tenure-track or equivalent position before October 1, 1997, or who received their first earned doctorate before October 1, 1993, but who have interrupted their careers for military service, family leave, or serious health problems. After deducting the duration of the career interruption(s), the time since receiving the doctorate must be no more than 8 years and the period of active work in tenure-track or equivalent positions must be no more than 4 years.

**Procedures. Prior to** proposal submission, tenure-track-equivalency approvals and eligibility exemptions must be requested from **and** approved by an NSF CAREER **Directorate** contact. (See "CAREER Contacts List" on the CAREER Web page at <http://www.nsf.gov/home/crssprgm/career/contacts.htm>). Note that CAREER Division contacts and other program officers are not authorized to grant tenure-track-equivalency approvals or eligibility exemptions; **only Directorate contacts are authorized to grant approvals and exemptions.** If careful documentation leads to an approval or exemption being granted, the full text of the approval received from the NSF CAREER Directorate contact must be submitted in the Deviation Authorization Section of the FastLane Proposal Preparation module. (See Section V.A. of these guidelines.)



## 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 July 23, 2001. An individual can receive only one PECASE award.

## IV. AWARD INFORMATION

- **Duration.** 5 years.
  
- **Amount.**
  - **CAREER.** For the FY 2002 competition, the minimum CAREER award, including indirect costs, will total \$300,000. However, CAREER award size practices vary by NSF organizational unit. For additional information, applicants are strongly encouraged to refer to the CAREER FAQ's Section on "Budget and Award Administration Information," which can be accessed on the CAREER Web page (<http://www.nsf.gov/home/crsspgrm/career/guide.htm>).
  - **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?nsf012>. Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone (301) 947-2722 or by e-mail from [pubs@nsf.gov](mailto:pubs@nsf.gov).

Required proposal components and additions to or differences from GPG guidelines are given below.

#### **Proposal Content - Material for Merit Review**

**Cover Sheet:** See GPG Section II.C.

- **Program Solicitation Number.** Select the CAREER program solicitation, NSF 01-84X, from the drop-down menu. X indicates the letter A, B, or C, which is used to identify the three different Directorate-dependent deadlines for submission of a proposal.
- **PI eligibility information.** All requested information must be provided to establish eligibility for CAREER. PIs must indicate the month and year of the start of their first tenure-track or equivalent position and the month and year that they received their first doctorate. To establish eligibility for PECASE, PIs must indicate that they are PECASE-eligible (see Guideline Section III.B). Note: This information will not be released to reviewers.
- **Project Title.** The project title must begin with "CAREER: "
- **Signed original cover sheet should not be submitted for CAREER.** The institution submitting the proposal provides an electronic signature.

**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.

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

- the objectives and significance of the proposed integrated research and education activities;
- the relation 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 institution; and
- a summary of prior research and education accomplishments.

**References Cited:** See GPG Section II.C.4.

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.

Include **both** research and education activities and accomplishments using the GPG standard biographical-sketch guidelines. Note: no more than 10 publication references should be included.

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

*Before preparing a budget request, refer to the CAREER FAQ's section on Budget and Award Administration Information for specific information regarding appropriate budget requests (<http://www.nsf.gov/home/crssprgm/career/guide.htm>). For the FY 2002 competition, the minimum CAREER award size is \$300,000 for a 5-year period. No funds may be budgeted for the principal investigator's academic-year salary unless justified by a plan for a limited period of field work 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 institution'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. NOTE: This requirement has changed from previous CAREER proposals.**

The proposal must include one (and only one) letter consisting of exactly the statement given below from the applicant's department head (or equivalent institutional official) attesting to the department's partnership in the PI's career development. (Letters of reference or recommendation are not appropriate.) **This three-sentence endorsement statement** must read exactly as follows:

"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 institution. I personally commit to the support and professional development of the PI."

Proposals may be returned without review if more than just these three sentences are included. The department head must sign the bottom of this page. Below the signature, type the official's name, title, and date.

**b. Other special information.**

The proposal should include letters of commitment to support proposed collaborations, if applicable. Only letters that describe the planned collaborative effort(s) will be accepted. Letters of reference or recommendation are not appropriate.

**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.

If NSF has approved tenure-track equivalency of your position or has granted an exemption from CAREER eligibility requirements (see Section III.A in these guidelines), *the full text of the approval received from NSF, including the name of the CAREER Directorate contact, must be provided in this section of your proposal.*

**This concludes the proposal material that is to be submitted via FastLane.**

Proposers are reminded to identify the appropriate program solicitation number (NSF 01-84A, NSF 01-84B, or NSF 01-84C) 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 Solicitation.

***Other Budgetary Limitations:***

***Other Budgetary Limitations:*** Before preparing a budget request, refer to the CAREER FAQ's section on Budget and Award Administration Information for specific information regarding appropriate budget requests (<http://www.nsf.gov/home/crssprgm/career/guide.htm>). For the FY 2002 competition, the minimum CAREER award size is \$300,000 for a 5-year period. No funds may be budgeted for the principal investigator's academic-year salary unless justified by a plan for a limited period of field work 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 institution's official, negotiated rate.

**C. Deadline/Target Dates**

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

**Full Proposals by 5:00 PM submitter's local time:**

July 24, 2001      NSF 01-84A  
                            Biological Sciences (BIO)  
                            Computer and Information Science and Engineering (CISE)

## Education and Human Resources (EHR)

- July 25, 2001      *NSF 01-84B*  
Engineering (ENG)
- July 26, 2001      *NSF 01-84C*  
Geosciences (GEO)  
Mathematical and Physical Sciences (MPS)  
Social, Behavioral and Economic Sciences (SBE)  
Office of Polar Programs (OPP)

### 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/al/newstan.htm>. For FastLane user support, call 1-800-673-6188.
- For the FY 2002 CAREER competition, the proposal Cover Sheet will be submitted electronically to NSF by the Sponsored Research Office (or equivalent). **No PI Cover Sheet certifications will be required for this competition and no paper copy of the Cover Sheet should be sent to NSF.**

## 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.

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 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 will be able to tell applicants whether their proposals have been declined or recommended for funding within six months for 95 percent of proposals. The time interval begins on the proposal deadline or target date or from the date of receipt, if deadlines or target dates are not used by the program. 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](http://www.nsf.gov/home/grants/grants_gac.htm). Paper copies may be obtained from the NSF Publications Clearinghouse, telephone (301) 947-2722 or by e-mail from [pubs@nsf.gov](mailto: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**

CAREER awardees must resign their CAREER awards if they transfer at any time prior to or during the tenure of that award to a position that is not tenured, tenure-track, or equivalent, or to an institution that is not CAREER-eligible. Before transferring a CAREER award, NSF may request documentation from the PI's new institution 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 awardee's department head or equivalent, thereby reaffirming the department's endorsement of the work plan and continuing partnership in the individual's career development. The Department endorsement must be scanned into each annual report.**

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/home/crssprgm/career/contacts.htm>.

For questions related to the use of FastLane, contact:

- Division FastLane contacts listed under "NSF 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](mailto: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 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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