



POLAR INSTRUMENTATION AND TECHNOLOGY DEVELOPMENT

Program Solicitation

NSF 00-25

OFFICE OF POLAR PROGRAMS

DEADLINE DATE: APRIL 3, 2000



NATIONAL SCIENCE FOUNDATION



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SUMMARY OF PROGRAM REQUIREMENTS

GENERAL INFORMATION

Program Name: Polar Instrumentation and Technology Development

Short Description/Synopsis of Program:

This program is to encourage and facilitate state-of-the-art developments in polar instrumentation and technology. Polar research still has a significant element of exploration requiring both advanced instrumentation and the most modern technology for the support of research. Furthermore, the remote and extreme polar environments do not always permit the application of techniques and instruments that are viable elsewhere. One of the objectives of this solicitation is to develop unique techniques and instruments for research, and technologies to enhance or streamline support for facilities and operations. The elements of risk and environmental impact also require somewhat different strategies—e.g., remote sensing, autonomous vehicles and energy systems. The limitation of access—e.g., sub-glacial lakes and volcanoes—also places burdens on the system not frequently encountered elsewhere. This program is designed to accomplish the goals of modern measurements, minimizing environmental impact and enhancing the research support capability by using the latest technologies that economically permit low-risk, environmentally friendly observations of remote regions with limited or no direct access. This will be accomplished by a) development of new instrumentation and b) creation of innovative technological solutions to the problems of research or infrastructure support in extreme environments. Funding for these will include concept and engineering development through field testing. Application/use will be subject to funding via other mechanisms. The results of this initiative will be improved observations over broader temporal and spatial scales; reduced footprint in environmentally sensitive areas; safer access to regions that are currently inaccessible or are too inhospitable; more efficient, flexible technologies to enhance support of research in polar regions.

Cognizant Program Coordinator: Mr. Simon Stephenson, Program Manager, Room 755, Office of Polar Programs, telephone: 703/306-1029, e-mail: sstephen@nsf.gov.

Applicable Catalog of Federal Domestic Assistance (CFDA) No.: 47.078 — Polar Programs

ELIGIBILITY

- ◆ Limitation on the categories of organizations that are eligible to submit proposals:
 - See **NSF Grant Proposal Guide (NSF 00-2)** at <http://www.nsf.gov/cgi-bin/getpub?nsf002>
- ◆ PI eligibility limitations: See **Grant Proposal Guide (NSF 00-2)**
- ◆ Limitation on the number of proposals that may be submitted by an organization:

Only one proposal may be submitted by a Principal Investigator and he/she may only collaborate in one other proposal as a co-Investigator.

AWARD INFORMATION

- ◆ Type of award anticipated: **Standard and Continuing Grants**
- ◆ Number of awards anticipated in FY 2000: **Up to 8 awards**
- ◆ Amount of funds available: **Approximately \$3 million will be available for this solicitation in FY 2000**
- ◆ Anticipated date of award: **No earlier than July 2000**

PROPOSAL PREPARATION & SUBMISSION INSTRUCTIONS

◆ Proposal Preparation Instructions

- Letter of Intent requirements: **None**
- Preproposal requirements: **None**
- Proposal preparation instructions: **Standard NSF Grant Proposal Guide instructions**
- Supplemental proposal preparation instructions: **None**
- Deviations from standard (GPG) proposal preparation instructions: **None**

◆ Budgetary Information

- Cost sharing/matching requirements: **None**
- Indirect cost (F&A) limitations: **None**
- Other budgetary limitations: **Award amounts up to \$0.5 million/year for proposals submitted in response to this solicitation**

◆ FastLane Requirements

- FastLane proposal preparation requirements: **FastLane use required**
- FastLane point of contact: **Sarita Rich, 703/306-1033, srich@nsf.gov.**
- Fastlane User Support: **703/306-1142, fastlane@nsf.gov**

◆ Deadline/Target Dates

- Full Proposal Deadline **5:00 PM, local time, 3 April 2000 (FastLane)**

PROPOSAL REVIEW INFORMATION

- ◆ Merit Review Criteria: **Standard National Science Board approved criteria and supplemental evaluation criteria under Section A of "Proposal Review Information."**

AWARD ADMINISTRATION INFORMATION

- ◆ Grant Award Conditions: **GC-1 or FDP III**
- ◆ Special grant conditions anticipated: **Polar Programs data guidelines (*Guidelines and Award Conditions for Scientific Data* at <http://www.nsf.gov/cgi-bin/getpub?opp991>)**
- ◆ Special reporting requirements anticipated: **None**

INTRODUCTION

The Office of Polar Programs of the National Science Foundation announces a new initiative for the development of state-of-the-art instrumentation and innovative technologies for the support of research and enhancement of infrastructure systems in the polar regions. The aim of the instrumentation development component is to improve the ability of the polar scientific community to explore, study and use the polar regions with modern, instrumentation tailored to polar environments. The technology development component of the program aims to improve the ability of the scientists to obtain data, explore the polar environment and enhance the infrastructure of the polar programs so that research support is maximized within the constraints of finite resources and environmental impact. A goal of this program is to establish links among science, engineering, and technology communities and to develop partnerships so a broad range of expertise and resources can be brought to bear on this important problem. It is anticipated that by establishing these linkages there will be a broader and more diverse participation in polar research.

PROGRAM DESCRIPTION

This initiative is based on the following:

- Polar research still has a significant exploratory component that would benefit from the development of new, advanced instrumental techniques.
- The extreme environment and difficult access are often incompatible with instrumentation used elsewhere.
- The application of innovative technologies both to research and the support of research permit economies that would benefit all the disciplines and all modes of research.
- The advances in devices, materials, communications, algorithms, computation, etc., when integrated offer new opportunities, especially in a polar environment.
- The need to minimize environmental impact and enhance support capabilities creates drivers and constraints somewhat different from operations elsewhere.
- The advantages of remote sensing, remote operations, autonomous vehicles and stations in polar regions have not always received the attention that they deserve, and this provides one of the main motivations for this program.

Proposed instruments/technologies can have application in any of the fields currently supported by OPP (<http://www.nsf.gov/od/opp/>), including research and infrastructure support. It is anticipated, although not required, that the interdisciplinary nature of this activity will trigger partnerships among people, disciplines, and institutions. For example, algorithm development might require the involvement of a computer scientist who might not have considered research in polar regions. In this way, the breadth and diversity of participation in polar research will be increased.

The program is not designed to acquire commercial, off-the-shelf instrumentation, although such components can be incorporated into otherwise novel applications. Nor is the solicitation designed to support acquisition of large, multi-user equipment. Rather, the main aim of this program is the support of instrument/technology development for research or its support in extreme polar environments.

Proposals should briefly describe the applications, the innovative nature of the topic, and eventual operation and maintenance. Funding for the latter will be provided by other mechanisms, (e.g., grants or contracts). Salaries, necessary equipment, technical staff, and field testing may be supported. Deployment, operation, and maintenance will not normally be supported under this solicitation. Proposals should also indicate if the developments will have use beyond that of the PIs.

Proposers are encouraged to develop linkages among people, disciplines, and institutions. In this way it is hoped that cross-fertilization will be facilitated in instrumentation and technology development that, by their very nature, are interdisciplinary.

Since OPP funds many of the disciplines supported elsewhere in the NSF, proposers are encouraged to contact Instrumentation Program Offices in other Divisions (see listing at the end of this solicitation). OPP will attempt to obtain joint support if at all possible. Collaboration with other Federal agencies is also feasible and desirable.

Potential educational applications and involvement should be noted in the proposals (see review criteria).

More details on proposal preparation and review follow.

ELIGIBILITY

See the "Who may submit proposals" (<http://www.nsf.gov/pubs/2000/nsf002/ch1.htm#d>) section of the *Grant Proposal Guide*.

Please consult the relevant program manager for further information (see the OPP staff list at <http://www.nsf.gov/od/opp/oppstaff.htm>)

AWARD INFORMATION

NSF expects to fund up to eight awards depending on the quality of submissions and the availability of funds. Approximately \$3 million will be available for awards in FY 2000. Anticipated date of awards: No earlier than July 2000.

PROPOSAL PREPARATION & SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions.

Proposals submitted in response to this program solicitation should be prepared and submitted in accordance with the general guidelines contained in the *Grant Proposal Guide* (GPG), NSF 00-2. The complete text of the GPG (including electronic forms) is available electronically on the NSF Web site at: <http://www.nsf.gov>. 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.

Proposers are reminded to identify the program solicitation number (NSF 00-25) in the program announcement/solicitation block on the NSF Form 1207, "Cover Sheet for Proposal to the National Science Foundation." Compliance with this requirement is critical to determining the relevant proposal processing guidelines. Failure to submit this information may delay processing.

Candidates are invited to contact science program managers or operations specialists at the Foundation's Office of Polar Programs (see the OPP staff list at <http://www.nsf.gov/od/opp/oppstaff.htm>).

B. Proposal Due Dates.

For electronic submission of proposals, the proposal **MUST** be submitted by 5:00 PM, local time, April 3, 2000.

A proposal may not be processed until the complete proposal (including the signed Cover Sheet) has been received by NSF. A proposal is considered complete when the proposal, including the Project Description, has been submitted to NSF. The receipt date will be the date the sponsored projects office transmits the proposal to NSF.

Submission of Signed Cover Sheets. The signed copy of the proposal Cover Sheet (NSF Form 1207) must be postmarked (or contain a legible proof of mailing date assigned by the carrier) within five working days following proposal submission and be forwarded to the following address:

NSF 00-25
National Science Foundation
DIS-FastLane Cover Sheet
4201 Wilson Blvd.
Arlington, VA 22230

C. 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: <https://www.fastlane.nsf.gov/al/newstan.htm>

Submission of Signed Cover Sheets. The signed copy of the proposal Cover Sheet (NSF Form 1207) must be postmarked (or contain a legible proof of mailing date assigned by the carrier) within five days following proposal submission in accordance with the FastLane proposal preparation and submission instructions referenced above.

PROPOSAL REVIEW INFORMATION

A. Merit Review Criteria.

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 merit 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 judgments.

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 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?

PIs should address the following elements in their proposal to provide reviewers with the information necessary to respond fully to both NSF merit review criteria. NSF staff will give these factors 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 learner 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 -- are 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.

SUPPLEMENTAL EVALUATION CRITERIA FOR THIS ANNOUNCEMENT

- The linkage between the instrumentation proposed and the merit of specific scientific questions. In the case of technology development, the linkage will be the applicability to the support of science or enhancement to the infrastructure.
- The extent of potential use beyond that of the proposers.
- The strength and completeness of the development plan including project management, technical skill, readiness review, testing, etc.

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 will be reviewed by mail and panel.

Reviewers will be asked to formulate a recommendation to either support or decline each proposal. A 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 his or her supervisor. 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 Office Director or designee 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 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 an 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 Officer does so at its own risk.

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 (DGA). 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.

B. Grant Award Conditions.

An NSF grant consists of: (1) the award letter, which includes any special provisions applicable to the grant 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 grant conditions, such as Grant General Conditions (NSF GC-1)* or Federal Demonstration Partnership Phase III (FDP) Terms and Conditions* and (5) any NSF brochure, program guide, announcement or other NSF issuance that may be incorporated by reference in the award letter. Electronic mail notification is the preferred way to transmit NSF grants 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>. Paper copies may be obtained from the NSF Publications Clearinghouse, telephone 301.947.2722 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, (NSF 95-26) available electronically on the NSF Web site. The GPM also is available in paper copy by subscription from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. The GPM may be ordered through the GPO Web site at: <http://www.gpo.gov>. The telephone number at GPO for subscription information is 202.512.1800.

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.

Within 90 days after expiration of a grant, 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.

D. New Awardee Information.

If the submitting organization has never received an NSF award, it is recommended that the organization's appropriate administrative officials become familiar with the policies and procedures in the NSF *Grant Policy Manual* which are applicable to most NSF awards. The "Prospective New Awardee Guide" (NSF 99-78) includes information on: Administrative and Management Information; Accounting System Requirements and Auditing Information; and Payments to Organizations with NSF Awards. This information will assist an organization in preparing documents that NSF requires to conduct administrative and financial reviews of an organization. The guide also serves as a means of highlighting the accountability requirements associated with Federal awards. This document is available electronically on NSF's Web site at: <http://www.nsf.gov/cgi-bin/getpub?nsf9978>.

CONTACTS FOR ADDITIONAL INFORMATION

For **antarctic science** questions use OPP's Antarctic Sciences Section list at <http://staff.nsf.gov/subdiv.cfm?key=287> to find the right program manager.

For **arctic science** questions use the OPP's Arctic Sciences Section list at <http://staff.nsf.gov/subdiv.cfm?key=284>.

For **antarctic operational** questions use the list at <http://staff.nsf.gov/subdiv.cfm?key=286> to find the right program manager in the Polar Research Support Section. The Foundation's contractor Antarctic Support Associates has a Web page (www.asa.org) with helpful operational information including ships' specifications and schedules.

For **FastLane** questions contact Sarita Rich, 703-306-1033, srich@nsf.gov, or **FastLane User Support, 703-306-1142**, fastlane@nsf.gov.

For **general NSF** questions including those about other programs, see the Web site at www.nsf.gov or contact the NSF help desk (703-306-1234 or helpline@nsf.gov).

OTHER PROGRAMS OF INTEREST

The NSF Guide to Programs is a compilation of funding for research and education in science, mathematics, and engineering. General descriptions of NSF programs, research areas, and eligibility information for proposal submission are provided in each chapter. Many NSF programs offer announcements concerning specific proposal requirements. To obtain additional information about these requirements, contact the appropriate NSF program offices listed in Appendix A of the GPG.

Any changes in NSF's fiscal year programs occurring after press time for the Guide to Programs will be announced in the NSF Bulletin, available monthly (except July and August), and in individual program announcements. The Bulletin is available electronically via the NSF Web Site at <http://www.nsf.gov>. The direct URL for recent issues of the Bulletin is <http://www.nsf.gov/od/lpa/news/publicat/bulletin/bulletin.htm>. Subscribers can also sign up for NSF's Custom News Service to find out what funding opportunities are available.

The following list of instrumentation programs may be of some assistance.

NSF PROGRAMS FOR RESEARCH OR EDUCATION INSTRUMENTATION

Related NSF programs for research instrumentation and instrument development are listed below. In NSF divisions that have no separate instrumentation program, needs are provided for in regular research grant programs.

NSF 00-5	Computer Information Science & Engineering Research Infrastructure (Directorate for Computer and Information Science and Engineering)
NSF 99-168	Major Research Instrumentation (Office of Integrated Activities)
NSF 99-57	Small Business Innovation Research and Small Business Technology Transfer (SBIR Program Office)
NSF 99-53	Instrumentation and Laboratory Improvement (Division of Undergraduate Education)
NSF 98-137	Multi-User Biological Equipment and Instrumentation Resources (Division of Biological Infrastructure)
NSF 98-132	Instrumentation Grants for Research in Computer and Information Sciences and Engineering (Directorate for Computer and Information Science and Engineering)
NSF 98-119	Instrument Development for Biological Research (Division of Biological Infrastructure)
NSF 98-17	Improvements in Facilities, Communications, and Equipment at Biological Field Stations and Marine Laboratories (Division of Biological Infrastructure)
NSF 98-10	Chemistry Research Instrumentation and Facilities (Division of Chemistry)
NSF 96-50	Earth Sciences Instrumentation and Facilities (Division of Earth Sciences)
NSF 95-13	Social, Behavioral, and Economic Science Instrumentation (Directorate for Social, Behavioral and Economic Sciences)

ABOUT THE NATIONAL SCIENCE FOUNDATION

The National Science Foundation (NSF) funds research and education in most fields of science and engineering. Grantees are wholly responsible for conducting their project activities and preparing the results for publication. Thus, the Foundation does not assume responsibility for such findings or their interpretation.

NSF welcomes proposals from all qualified scientists, engineers and educators. The Foundation strongly encourages women, minorities, and persons with disabilities to compete fully in its programs. In accordance with federal statutes, regulations, and NSF policies, no person on grounds of race, color, age, sex, national origin, or disability shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NSF (unless otherwise specified in the eligibility requirements for a particular program).

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 or contact the program coordinator at (703) 306-1636.

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 regarding NSF programs, employment, or general information. TDD may be accessed at (703) 306-0090 or through FIRS on 1-800-877-8339.

The National Science Foundation is committed to making all of the information we publish easy to understand. If you have a suggestion about how to improve the clarity of this document or other NSF-published materials, please contact us at plainlanguage@nsf.gov.

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 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.

YEAR 2000 REMINDER

In accordance with Important Notice No. 120 dated June 27, 1997, Subject: Year 2000 Computer Problem, NSF awardees are reminded of their responsibility to take appropriate actions to ensure that the NSF activity being supported is not adversely affected by the Year 2000 problem. Potentially affected items include: computer systems, databases, and equipment. The National Science Foundation should be notified if an awardee concludes that the Year 2000 will have a significant impact on its ability to carry out an NSF funded activity. Information concerning Year 2000 activities can be found on the NSF web site at <http://www.nsf.gov/oirm/y2k/start.htm>.

Catalogue of Federal Domestic Assistance (CFDA) No.: 47.078 – Polar Programs
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