

# Pan-American Advanced Studies Institutes Program (PASI)

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## PROGRAM SOLICITATION NSF 10-517

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### REPLACES DOCUMENT(S): NSF 03-506

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#### National Science Foundation

Office of International Science and Engineering

Directorate for Mathematical & Physical Sciences

Directorate for Engineering

Directorate for Biological Sciences

Directorate for Geosciences

Directorate for Computer & Information Science & Engineering

#### Full Proposal Deadline(s) (due by 5 p.m. proposer's local time):

March 19, 2010

Annual Deadline

January 15, 2011

January 15, Annually Thereafter

Recurring annual date after 2010

## IMPORTANT INFORMATION AND REVISION NOTES

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A revised version of the *NSF Proposal & Award Policies & Procedures Guide (PAPPG)*, [NSF 11-1](#), was issued on October 1, 2010 and is effective for proposals submitted, or due, on or after January 18, 2011. Please be advised that the guidelines contained in [NSF 11-1](#) apply to proposals submitted in response to this funding opportunity. Proposers who opt to submit prior to January 18, 2011, must also follow the guidelines contained in [NSF 11-1](#).

**Cost Sharing:** The PAPPG has been revised to implement the National Science Board's recommendations regarding cost sharing. Inclusion of voluntary committed cost sharing is prohibited. In order to assess the scope of the project, all organizational resources necessary for the project must be described in the Facilities, Equipment and Other Resources section of the proposal. The description should be narrative in nature and must not include any quantifiable financial information. Mandatory cost sharing will only be required when explicitly authorized by the NSF Director. See the PAPP Guide Part I: *Grant Proposal Guide (GPG) Chapter II.C.2.g(xi)* for further information about the implementation of these recommendations.

**Data Management Plan:** The PAPPG contains a clarification of NSF's long standing data policy. All proposals must describe plans for data management and sharing of the products of research, or assert the absence of the need for such plans. FastLane will not permit submission of a proposal that is missing a Data Management Plan. The Data Management Plan will be reviewed as part of the intellectual merit or broader impacts of the proposal, or both, as appropriate. Links to data management requirements and plans relevant to specific Directorates, Offices, Divisions, Programs, or other NSF units are available on the NSF website at: <http://www.nsf.gov/bfa/dias/policy/dmp.jsp>. See [Chapter II.C.2.j](#) of the GPG for further information about the implementation of this requirement.

**Postdoctoral Researcher Mentoring Plan:** As a reminder, each proposal that requests funding to support postdoctoral researchers must include, as a supplementary document, a description of the mentoring activities that will be provided for such individuals. Please be advised that if required, FastLane will not permit submission of a proposal that is missing a Postdoctoral Researcher Mentoring Plan. See [Chapter II.C.2.j](#) of the GPG for further information about the implementation of this requirement.

#### Revision Summary

This revision of NSF 03-506 includes two additional NSF Directorates, the Directorate of Geosciences and the Directorate of Computer and Information Science and Engineering, as funding directorates for the PASI Program. An immediate implication is that the PASI Program will encourage and accept proposals in all fields of science and engineering funded by these two directorates, in addition to the other fields of science and engineering currently funded by the Program. Proposals in other areas funded by NSF may be considered on an ad hoc basis; in this case, lead investigators must consult with the PASI program prior to proposal submission.

Other revisions concern: (a) the limitation to one PASI proposal in any 2-year period for a lead investigator; (b) the requirement to include a syllabus and a rationale for the choice of topics and location; (c) increased emphasis on the commitment of lecturers to participate in the PASI and on the selection procedures for the student/participants to ensure broader participation; (d) greater specificity on the percentage of total direct costs that can be used to support an assistant to help with the management of the PASI; and (e) the request for an evaluation plan that serves to measure the impact and success of the PASI.

## SUMMARY OF PROGRAM REQUIREMENTS

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### General Information

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**Program Title:**

Pan-American Advanced Studies Institutes Program (PASI)

**Synopsis of Program:**

The Pan-American Advanced Studies Institutes (PASI) Program is a jointly supported initiative between the Department of Energy (DOE) and the National Science Foundation (NSF). Pan-American Advanced Studies Institutes are short courses ranging in length from ten days to one month, involving lectures, demonstrations, research seminars, and discussions at the advanced graduate, post-doctoral, and junior faculty level.

PASIs aim to disseminate advanced scientific and engineering knowledge and stimulate training and cooperation among researchers of the Americas in the mathematical, physical, and biological sciences, the geosciences, the computer and information sciences, and the engineering fields. Proposals in other areas funded by NSF may be considered on an ad hoc basis; in this case, lead investigators must consult with the PASI Program before proposal submission. Whenever feasible, an interdisciplinary approach is recommended.

**Cognizant Program Officer(s):**

*Please note that the following information is current at the time of publishing. See program website for any updates to the points of contact.*

- Harold J. Stolberg, Program Coordinator, telephone: (703)292-8706, fax: (703) 292-9175, email: [hstolber@nsf.gov](mailto:hstolber@nsf.gov)
- Carmina Londono, Program Manager, telephone: (703)292-7053, email: [clondono@nsf.gov](mailto:clondono@nsf.gov)
- Jessica Robin, Program Manager, telephone: (703)292-8416, email: [jrobin@nsf.gov](mailto:jrobin@nsf.gov)
- Richard Kelley, Department of Energy, telephone: (301)903-6051, email: [richard.kelley@science.doe.gov](mailto:richard.kelley@science.doe.gov)
- Don Freeburn, Department of Energy, telephone: (301)903-3156, email: [Don.Freeburn@science.doe.gov](mailto:Don.Freeburn@science.doe.gov)

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

- 47.041 --- Engineering
- 47.049 --- Mathematical and Physical Sciences
- 47.050 --- Geosciences
- 47.070 --- Computer and Information Science and Engineering
- 47.074 --- Biological Sciences
- 47.079 --- Office of International Science and Engineering

### Award Information

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**Anticipated Type of Award:** Standard Grant

**Estimated Number of Awards:** 10 to 16

**Anticipated Funding Amount:** \$1,200,000 Pending the availability of funds

### Eligibility Information

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**Organization Limit:**

None Specified

**PI Limit:**

None Specified

**Limit on Number of Proposals per Organization:**

None Specified

**Limit on Number of Proposals per PI:**

Proposers must not submit more than one PASI proposal for which they are the lead organizer in any two-year period.

### Proposal Preparation and Submission Instructions

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**A. Proposal Preparation Instructions**

- **Letters of Intent:** Not Applicable
- **Preliminary Proposal Submission:** Not Applicable
- **Full Proposals:**
  - Full Proposals submitted via FastLane: NSF Proposal and Award Policies and Procedures Guide, Part I: Grant Proposal Guide (GPG) Guidelines apply. The complete text of the GPG is available electronically on the NSF website at: [http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=gpg).
  - Full Proposals submitted via Grants.gov: NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov Guidelines apply (Note: The NSF Grants.gov Application Guide is available on the Grants.gov website and on the NSF website at: [http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=grantsgovguide](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide))

**B. Budgetary Information**

- **Cost Sharing Requirements:** Inclusion of voluntary committed cost sharing is prohibited.
- **Indirect Cost (F&A) Limitations:** No indirect costs are allowed.
- **Other Budgetary Limitations:** Other budgetary limitations apply. Please see the full text of this solicitation for further information.

**C. Due Dates**

- **Full Proposal Deadline(s)** (due by 5 p.m. proposer's local time):

March 19, 2010

Annual Deadline

January 15, 2011

January 15, Annually Thereafter

Recurring annual date after 2010

**Proposal Review Information Criteria**

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**Merit Review Criteria:** National Science Board approved criteria. Additional merit review considerations apply. Please see the full text of this solicitation for further information.

**Award Administration Information**

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**Award Conditions:** Standard NSF award conditions apply.

**Reporting Requirements:** Standard NSF reporting requirements apply.

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## I. INTRODUCTION

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Pan-American Advanced Studies Institutes are short courses of ten days to four weeks duration, aimed at the advanced graduate, post-doctoral and junior faculty level. Supported by NSF and the Department of Energy, the courses should involve distinguished lecturers and active researchers in the field, preferably from the Americas. PASIs intend to disseminate advanced scientific knowledge and stimulate training and cooperation among researchers of the Americas in the mathematical, physical, and biological sciences, the geosciences, the computer and information sciences, and the engineering fields. Proposals in other areas funded by NSF may be considered on an ad hoc basis; in this case, lead investigators must consult with the PASI Program prior to proposal submission. Whenever feasible, an interdisciplinary approach is recommended.

## II. PROGRAM DESCRIPTION

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Approximately 10 to 16 awards will be made yearly to U.S. research institutions or professional societies for the purpose of organizing a PASI. The Principal Investigator (PI) shall be the designated contact person for the Institute and is expected to provide leadership in fully coordinating and integrating its activities. The PI is ultimately responsible for: (a) the preparation of the scientific and/or engineering program, (b) the selection of lecturers and students with an emphasis on broadening participation, (c) the administration of the meeting, and (d) the publication of lectures and proceedings from the activity through various media, including the development of a website for the PASI.

Institutes in the physical, mathematical, or biological science disciplines, the geosciences, the computer and information sciences, and/or engineering may be supported. Institutes in the biological sciences are encouraged to place a special emphasis on any one or more of the following areas: systems biology, biodiversity, modeling and simulation, ecology on a regional to continental scale, and synthetic biology. Institutes in the geosciences may opt to emphasize an interdisciplinary focus such as, for example, climate change and its impact.

Proposals for Institutes that focus on the etiology, diagnosis or treatment of physical or mental disease, abnormality, or malfunction in human beings or animals, will not be reviewed. Institutes developed around animal models of such conditions or the development or testing of drugs or other procedures for their treatment also are not eligible for support. Institutes in bioengineering, with diagnosis or treatment-related goals, however, that relate engineering principles to problems in biology and medicine while advancing engineering knowledge are eligible for support. Institutes that focus on research advances that could aid persons with disabilities also are eligible.

**All PASIs should include a syllabus and a rationale for the choice of topics.** For a substantive treatment of each topic, a duration of about two weeks for the PASI is recommended, the minimum being ten working days.

Repeat PASIs are not encouraged. However, if the PI can present clearly defined and convincing arguments for holding another PASI, but in a different region of the Americas or with new collaborators, NSF will consider the proposal. In these cases the proposal must include a detailed plan making a convincing case for the self-sustainability of future Institutes and how they will be carried out independent of NSF's and DOE's support.

The PI should be assisted by a small Organizing Committee consisting of three to four lecturers from at least two other countries of the Americas and, if appropriate, from different research sectors and diverse backgrounds to broaden participation. A local scientist or engineer from the host country should be a member of the Organizing Committee. Brief professional background summaries and descriptions of the role to be played by each member of the Organizing Committee should be provided. Proposals that are of an applied nature, and especially where relevance to industry is claimed, should include a noted industrial scientist or engineer in the Organizing Committee.

The choice of PASI lecturers and students/participants is the responsibility of the PI assisted by the PASI's Organizing Committee, and the procedure for such choices must be clearly outlined in the proposal, including the criteria that will be used to select the student/participants. The selection procedures should serve to recruit a highly qualified and diverse group of lecturers and students to broaden participation.

PASI lecturers should be chosen on the basis of their scientific, engineering, and training qualifications and should include scientists and/or engineers from at least two other countries from the Western Hemisphere. Lecturers should be contacted before submission of the proposal. **An indication of their commitment to participate is necessary and should be indicated in the proposal.** Scientists and engineers from non-Western Hemisphere countries may be selected in the event they bring expertise not available from the other countries of the Americas.

The Institute will be aimed at the post-doctoral level, but may include advanced graduate students at the Masters or Ph.D level, as well as relevant junior scientists and engineers. PASIs should involve 8 to 12 lecturers and 25 to 40 students/participants from the different countries in the Americas, with at least half of the latter group being from the United States.

In order to preserve balance, PASI students/participants from any single Western Hemisphere country other than the United States should not exceed 25% of the total number supported by the award. PASI students/participants from non-Western Hemisphere countries may be accepted under special circumstances but in no case should their number exceed 15% of the total number. Non-Western Hemisphere students may not receive financial support from the PASI grant.

Appropriate lecture and meeting rooms, telecommunication facilities, and accommodations for all participants within reasonable proximity are important in order to stimulate informal discussions during leisure periods. A site should be chosen well in advance in order to ensure availability. Preference will be given to PASIs located in a Western Hemisphere country other than the United States to provide an international experience to students from the United States.

Institute organizers may seek support from other sources. In particular, host country contributions as well as contributions from corporate and other sectors are not precluded although they will not be a factor in the review process. Joint sponsorship and support are permissible and welcome provided that the meeting conforms to the prescribed format and is designated a "Pan-American Advanced Studies Institute."

Proposers must develop a web page to provide up-to-date information on the PASI, with specific details on the activity including

recruitment procedures, meeting topics, links to related activities, and, after its conclusion, links to publications, seminars, and collaborative research arising from the PASI. Plans for dissemination of results of the meeting, including lecture notes and web-related instructional materials, must be part of the proposal.

**All PASIs should include an evaluation plan that explains how the proposer intends to measure the impact and success of the activity.**

A PASI award will cover expenses for the organization of the meeting, and travel and living expenses of lecturers and students. Registration fees should not be charged to PASI students. Participants from industry will be expected to cover their own costs.

It is expected that each Institute will involve a reasonable number of participants (approximately 30 to 50) including lecturers and students. **The cost for each such Institute may not exceed \$100,000, aside from contributions from other sources.** The budget should include direct organizational expenses, travel and living expenses for lecturers and students, materials and supplies, whenever needed, and publication costs. PIs should ensure that adequate costs are covered to ensure full student participation.

In general, salaries will not be supported by PASI awards although a reasonable stipend, not to exceed 7.5% of total direct costs, will be allowed for a student or administrative assistant to help with the organization and evaluation of the PASI pre- and post-meeting. No indirect costs on awards will be allowed. It is anticipated and encouraged that some students will obtain support from other sources in their home countries. Any expected contributions for the PASI from institutions or other sources should be mentioned in the proposal.

### III. AWARD INFORMATION

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Estimated program budget, number of awards, and average award size/duration are subject to the availability of funds.

### IV. ELIGIBILITY INFORMATION

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**Organization Limit:**

None Specified

**PI Limit:**

None Specified

**Limit on Number of Proposals per Organization:**

None Specified

**Limit on Number of Proposals per PI:**

Proposers must not submit more than one PASI proposal for which they are the lead organizer in any two-year period.

**Additional Eligibility Info:**

The categories of proposers identified in the [Grant Proposal Guide](#) are eligible to submit proposals under this program announcement/solicitation.

### V. PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

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#### A. Proposal Preparation Instructions

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**Full Proposal Preparation Instructions:** Proposers may opt to submit proposals in response to this Program Solicitation via Grants.gov or via the NSF FastLane system.

- Full proposals submitted via FastLane: Proposals submitted in response to this program 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 website at: [http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=gpg). Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from [nsfpubs@nsf.gov](mailto:nsfpubs@nsf.gov). Proposers are reminded to identify this program solicitation number in the program solicitation block on the NSF 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.
- Full proposals submitted via Grants.gov: Proposals submitted in response to this program solicitation via Grants.gov should be prepared and submitted in accordance with the NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov. The complete text of the NSF Grants.gov Application Guide is available on the Grants.gov website and on the NSF website at: ([http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=grantsgovguide](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide)). To obtain copies of the Application Guide and Application Forms Package, click on the Apply tab on the Grants.gov site, then click on the Apply Step 1: Download a Grant Application Package and Application Instructions link and enter the funding opportunity number, (the program solicitation number without the NSF prefix) and press the

Download Package button. Paper copies of the Grants.gov Application Guide also may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from [nsfpubs@nsf.gov](mailto:nsfpubs@nsf.gov).

In determining which method to utilize in the electronic preparation and submission of the proposal, please note the following:

**Collaborative Proposals.** All collaborative proposals submitted as separate submissions from multiple organizations must be submitted via the NSF FastLane system. Chapter II, Section D.4 of the Grant Proposal Guide provides additional information on collaborative proposals.

## B. Budgetary Information

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**Cost Sharing:** Inclusion of voluntary committed cost sharing is prohibited

**Indirect Cost (F&A) Limitations:** No indirect costs are allowed.

**Other Budgetary Limitations:** The cost of any one institute may not exceed \$100,000. Salaries will not be supported by these awards although a reasonable stipend, not to exceed 7.5% of total direct costs, will be allowed for a student or administrative assistant to help with the organization of the PASI pre- and post- meeting. In addition, student participants from industry and from countries outside the Americas are expected to cover their own costs. See Program Description section for more details.

## C. Due Dates

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- **Full Proposal Deadline(s)** (due by 5 p.m. proposer's local time):

March 19, 2010

Annual Deadline

January 15, 2011

January 15, Annually Thereafter

Recurring annual date after 2010

## D. FastLane/Grants.gov Requirements

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- **For Proposals Submitted Via FastLane:**

Detailed technical instructions regarding the technical aspects of preparation and submission via FastLane are available at: <https://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](mailto: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 funding opportunity.

**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. Further instructions regarding this process are available on the FastLane Website at: <https://www.fastlane.nsf.gov/fastlane.jsp>.

- **For Proposals Submitted Via Grants.gov:**

Before using Grants.gov for the first time, each organization must register to create an institutional profile. Once registered, the applicant's organization can then apply for any federal grant on the Grants.gov website. The Grants.gov's Grant Community User Guide is a comprehensive reference document that provides technical information about Grants.gov. Proposers can download the User Guide as a Microsoft Word document or as a PDF document. The Grants.gov User Guide is available at: [http://www07.grants.gov/applicants/app\\_help\\_reso.jsp](http://www07.grants.gov/applicants/app_help_reso.jsp). In addition, the NSF Grants.gov Application Guide provides additional technical guidance regarding preparation of proposals via Grants.gov. For Grants.gov user support, contact the Grants.gov Contact Center at 1-800-518-4726 or by email: [support@grants.gov](mailto:support@grants.gov). The Grants.gov Contact Center answers general technical questions related to the use of Grants.gov. Specific questions related to this program solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this solicitation.

**Submitting the Proposal:** Once all documents have been completed, the Authorized Organizational Representative (AOR) must submit the application to Grants.gov and verify the desired funding opportunity and agency to which the application is submitted. The AOR must then sign and submit the application to Grants.gov. The completed application will be transferred to the NSF FastLane system for further processing.

## VI. NSF PROPOSAL PROCESSING AND REVIEW PROCEDURES

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Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposal preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officer's

discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

## A. NSF Merit Review Criteria

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All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved 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 the reviewer 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, original, or potentially transformative 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?

Examples illustrating activities likely to demonstrate broader impacts are available electronically on the NSF website at: <http://www.nsf.gov/pubs/gpg/broaderimpacts.pdf>.

Mentoring activities provided to postdoctoral researchers supported on the project, as described in a one-page supplementary document, will be evaluated under the Broader Impacts criterion.

NSF staff also 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.

### **Additional Review Criteria:**

In addition to these review criteria, NSF and DOE will take into consideration how the activity is organized and how it will contribute to the enhancement and improvement of international scientific, engineering, and educational collaborative activities. While host country contributions as well as contributions from corporate and other sectors are not precluded, they will not be a factor in the review process.

More specifically, reviewers will take into account:

- strength, commitment, and diversity of organizing committee and lecture team
- quality of syllabus and planned activities
- selection procedure for students that ensures broader participation
- housing, facilities, and other logistics
- plans for dissemination of results from the PASI
- evaluation plan

## B. Review and Selection Process

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Proposals submitted in response to this program solicitation will be reviewed by Ad hoc Review 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.

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for 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 deadline or target date, or receipt date, whichever is later. The interval ends when the Division Director accepts the Program Officer's recommendation.

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 names of the reviewers, are sent to the Principal Investigator/Project Director by the Program Officer. In addition, the proposer will receive an explanation of the decision to award or decline funding.

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 their own risk.

## VII. AWARD ADMINISTRATION INFORMATION

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### A. Notification of the Award

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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 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.B. for additional information on the review process.)

### B. Award Conditions

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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 (GC-1); \* or Research Terms and Conditions \* and (5) any announcement or other NSF issuance that may be incorporated by reference in the award letter. Cooperative agreements also are administered in accordance with NSF Cooperative Agreement Financial and Administrative Terms and Conditions (CA-FATC) and the applicable Programmatic Terms and Conditions. NSF awards are electronically signed by an NSF Grants and Agreements Officer and transmitted electronically to the organization via e-mail.

\*These documents may be accessed electronically on NSF's Website at [http://www.nsf.gov/awards/managing/award\\_conditions.jsp?org=NSF](http://www.nsf.gov/awards/managing/award_conditions.jsp?org=NSF). Paper copies may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from [nsfpubs@nsf.gov](mailto:nsfpubs@nsf.gov).

More comprehensive information on NSF Award Conditions and other important information on the administration of NSF awards is contained in the *NSF Award & Administration Guide* (AAG) Chapter II, available electronically on the NSF Website at [http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=aag](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=aag).

### C. Reporting Requirements

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For all multi-year grants (including both standard and continuing grants), the Principal Investigator must submit an annual project report to the cognizant Program Officer at least 90 days before the end of the current budget period. (Some programs or awards require more frequent project reports). Within 90 days after expiration of a grant, the PI also is required to submit a final project report, and a project outcomes report for the general public.

Failure to provide the required annual or final project reports, or the project outcomes report will delay NSF review and processing of any future funding increments as well as any pending proposals for that PI. PIs should examine the formats of the required reports in advance to assure availability of required data.

PIs are required to use NSF's electronic project-reporting system, available through FastLane, for preparation and submission of annual and final project reports. Such reports provide information on activities and findings, project participants (individual and organizational) 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. Submission of the report via FastLane constitutes certification by the PI that the contents of the report are accurate and complete. The project outcomes report must be prepared and submitted using Research.gov. This report serves as a brief summary, prepared specifically for the public, of the nature and outcomes of the project. This report will be posted on the NSF website exactly as it is submitted by the PI.

## VIII. AGENCY CONTACTS

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General inquiries regarding this program should be made to:

- Harold J. Stolberg, Program Coordinator, telephone: (703)292-8706, fax: (703) 292-9175, email: [hstolber@nsf.gov](mailto:hstolber@nsf.gov)
- Carmina Londono, Program Manager, telephone: (703)292-7053, email: [clondono@nsf.gov](mailto:clondono@nsf.gov)
- Jessica Robin, Program Manager, telephone: (703)292-8416, email: [jrobin@nsf.gov](mailto:jrobin@nsf.gov)
- Richard Kelley, Department of Energy, telephone: (301)903-6051, email: [richard.kelley@science.doe.gov](mailto:richard.kelley@science.doe.gov)
- Don Freeburn, Department of Energy, telephone: (301)903-3156, email: [Don.Freeburn@science.doe.gov](mailto:Don.Freeburn@science.doe.gov)

For questions related to the use of FastLane, contact:

- FastLane Help Desk, telephone: 1-800-673-6188; e-mail: [fastlane@nsf.gov](mailto:fastlane@nsf.gov).

For questions relating to Grants.gov contact:

- Grants.gov Contact Center: If the Authorized Organizational Representatives (AOR) has not received a confirmation message from Grants.gov within 48 hours of submission of application, please contact via telephone: 1-800-518-4726; e-mail: [support@grants.gov](mailto:support@grants.gov).

If you have questions or issues you would like to discuss prior to preparing an application, we encourage you to telephone or send an e-mail message to the NSF staff listed above or DOE contacts Richard Kelley (301/903-6051, [richard.kelley@science.doe.gov](mailto:richard.kelley@science.doe.gov)) or Don Freeburn (301/903-3156, [don.freeburn@science.doe.gov](mailto:don.freeburn@science.doe.gov)).

## IX. OTHER INFORMATION

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The NSF Website provides the most comprehensive source of information on NSF Directorates (including contact information), programs and funding opportunities. Use of this Website by potential proposers is strongly encouraged. In addition, National Science Foundation Update is a free e-mail subscription service designed to keep potential proposers and other interested parties apprised of new NSF funding opportunities and publications, important changes in proposal and award policies and procedures, and upcoming NSF Regional Grants Conferences. Subscribers are informed through e-mail when new publications are issued that match their identified interests. Users can subscribe to this service by clicking the "Get NSF Updates by Email" link on the [NSF web site](#).

Grants.gov provides an additional electronic capability to search for Federal government-wide grant opportunities. NSF funding opportunities may be accessed via this new mechanism. Further information on Grants.gov may be obtained at <http://www.grants.gov>.

## ABOUT THE NATIONAL SCIENCE FOUNDATION

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NSF funds research and education in most fields of science and engineering. It does this through grants and cooperative agreements to more than 2,000 colleges, universities, K-12 school systems, businesses, informal science organizations and other research organizations throughout the US. The Foundation accounts for about one-fourth of Federal support to academic institutions for basic research.

NSF receives approximately 40,000 proposals each year for research, education and training projects, of which approximately 11,000 are funded. In addition, the Foundation receives several thousand applications for graduate and postdoctoral fellowships. The agency operates no laboratories itself but does support National Research Centers, user facilities, certain oceanographic vessels and Antarctic research stations. The Foundation also supports cooperative research between universities and industry, US participation in international scientific and engineering efforts, and educational activities at every academic level.

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The National Science Foundation Information Center may be reached at (703) 292-5111.

The National Science Foundation promotes and advances scientific progress in the United States by competitively awarding grants and cooperative agreements for research and education in the sciences, mathematics, and engineering.

To get the latest information about program deadlines, to download copies of NSF publications, and to access abstracts of awards, visit the NSF Website 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: [nsfpubs@nsf.gov](mailto:nsfpubs@nsf.gov)
  - or telephone: (703) 292-7827
- **To Locate NSF Employees:** (703) 292-5111

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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; and 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 proposer 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 or other entities needing information regarding applicants or nominees as part of a joint application review process, or in order to coordinate programs or policy; 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," 69 Federal Register 26410 (May 12, 2004), and NSF-51, "Reviewer/Proposal File and Associated Records," 69 Federal Register 26410 (May 12, 2004). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of receiving an award.

An agency may not conduct or sponsor, and a person is not required to respond to, an information collection unless it displays a valid Office of Management and Budget (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 the burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to:

Suzanne H. Plimpton  
Reports Clearance Officer  
Division of Administrative Services  
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