

NSF-NATO POSTDOCTORAL FELLOWSHIPS IN SCIENCE AND ENGINEERING

Including
SPECIAL FELLOWSHIP OPPORTUNITIES
FOR SCIENTISTS FROM NATO PARTNER
COUNTRIES

2000 Program Announcement

NSF 99-153

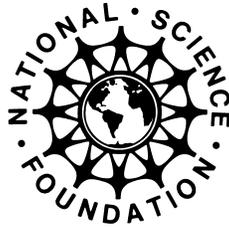
DIRECTORATE FOR EDUCATION AND HUMAN RESOURCES
DIVISION OF GRADUATE EDUCATION

DEADLINE DATE: November 15, 1999

AWARDS ANNOUNCED: March 2000



NATIONAL SCIENCE FOUNDATION



The National Science Foundation promotes and advances scientific progress in the United States by competitively awarding grants 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 Web site at:

<http://www.nsf.gov>

2 Location: 4201 Wilson Blvd.
Arlington, VA
22230

2 For General Information (NSF Information Center): (703) 306-1234

2 TDD (for the hearing-impaired): (703) 306-0090

2 To Order Publications or Forms:

Send an e-mail to: pubs@nsf.gov

or telephone: (301) 947-2722

2 To Locate NSF Employees: (703) 306-1234

Summary of Program Requirements

GENERAL INFORMATION

Program Name: NSF-NATO Postdoctoral Fellowships in Science and Engineering, Including Special Fellowship Opportunities for Scientists from NATO Partner Countries¹.

Short Description/Synopsis of Program:

On behalf of the North Atlantic Treaty Organization (NATO), the National Science Foundation (NSF) invites applications for 12-month postdoctoral research fellowships from beginning scientists, mathematicians, and engineers. Approximately 8 fellowships will be offered to US scientists for research abroad and approximately 12 awards will be made to US institutions that would like to host Scientists from NATO Partner Countries. Eligible fields of research are: mathematics, engineering, computer and information science, geosciences, the physical, biological, social, behavioral, and economic sciences, the history and philosophy of science, and interdisciplinary areas comprised of two or more of these fields. Research in the teaching and learning of science, mathematics, technology, and engineering is also eligible for support. Application deadline is November 15, 1999. Awards will be announced in March 2000.

Cognizant Program Officers: Dr. Sonia Ortega, Program Director and Mrs. Carolyn Lyons Piper, Assistant Program Director, Room 907N, Division of Graduate Education, telephone 703-306-1697, email nsf-nato@nsf.gov.

Applicable Catalog of Federal Domestic Assistance (CFDA) Number: 47.076 - Education and Human Resources

ELIGIBILITY

- ◆ Limitation on the categories of organizations that are eligible to submit applications:

US Scientists must:

1. be US citizens, nationals or permanent residents as of November 15, 1999;
2. have been awarded a doctoral degree (Ph.D. or equivalent) on or after October 1, 1995 but normally no later than October 1, 2000; and
3. desire to conduct scientific research at appropriate government and non-profit scientific institutions, which are located in the NATO-member or NATO Partner Countries other than the United States.

NATO Partner Country Scientists:

Applications for Scientists from NATO Partner Countries must be submitted by an eligible US host institution. Applicants must:

1. identify a host sponsor (Principal Investigator);
2. be citizens of a NATO Partner Country; and
3. have been awarded a doctoral degree (Ph.D. or equivalent) on or after October 1, 1995 but normally no later than October 1, 2000.

- ◆ Limitation on the number of applications that may be submitted by an individual or organization:
Recipients of previous NSF-NATO Postdoctoral Fellowships are not eligible.

AWARD INFORMATION

¹ NATO Partner Countries: Albania, Armenia, Azerbaijan, Belarus, Bulgaria, Estonia, Georgia, Kazakhstan, Kyrgyz Republic, Latvia, Lithuania, Moldova, Romania, Russian Federation, Slovak Republic, Slovenia, Tajikistan, Turkmenistan, the former Yugoslav Republic of Macedonia, Ukraine, and Uzbekistan. Citizens from the Czech Republic, Hungary, and Poland are eligible to apply under the NSF-NATO Partner country Fellowships for the period 1999 through 2001.

- ◆ Type of award anticipated: **Fellowship**
- ◆ Number of awards anticipated in FY 2000: **20 awards**
- ◆ Amount of funds available: **Approximately \$814,400 will be available**
- ◆ Anticipated date of award: **March 2000**

APPLICATION PREPARATION & SUBMISSION INSTRUCTIONS

◆ **Application Preparation Instructions**

- Letter of Intent requirements: **None**
- Pre-Application requirements: **None**
- Proposal preparation instructions:

Applicants are encouraged to submit electronically using the NSF FastLane Postdoctoral Research Fellowship process located under the following URL: <http://www.fastlane.nsf.gov/>. Hard copy of the application will be accepted. Electronic and hard copies of applications cannot be combined for submission.

◆ **Budgetary Information**

- Cost sharing/matching requirements: **None**
- Indirect cost (F&A) limitation: **No indirect costs are allowed**
- Other budgetary limitations: **None**

◆ **FastLane Requirements**

- Use of FastLane in Application Preparation & Submission: **Applicants are encouraged to submit electronically using the NSF FastLane Postdoctoral Research Fellowship Application.**
- FastLane point of contact for this program: **Sheryl Balke, telephone 703-306-1630 (sbalke@nsf.gov)**

◆ **Deadline Date:**

- Postmark Midnight, submitter's local time, November 15, 1999 (paper)
Midnight, submitter's local time, November 15, 1999 (FastLane)

PROPOSAL REVIEW INFORMATION

- ◆ **Merit Review Criteria:** Standard NSB Approved Criteria plus supplementary criteria described in this program announcement

AWARD ADMINISTRATION INFORMATION

- ◆ Grant Award Conditions anticipated: **12 month Fellowship**
- ◆ Special grant conditions anticipated: **None**
- ◆ Special reporting requirements anticipated: **None**

INTRODUCTION

On behalf of the North Atlantic Treaty Organization (NATO), the National Science Foundation (NSF) invites applications for 12-month postdoctoral fellowships from or on behalf of beginning scientists, mathematicians, and engineers. Women, underrepresented minorities, and persons with disabilities are particularly encouraged to apply. These Fellowships have the following goals:

- to promote the progress of science and closer collaboration between scientists and engineers of NATO member and NATO Partner countries, and scientists and engineers in the United States; and
- to recognize the accomplishments to date of the beginning scientists and engineers and to provide an experience abroad which will increase professional competence.

Submission to this competition will be of two types:

- applications submitted by US citizens, nationals², or permanent residents for postdoctoral research in other NATO member or NATO Partner countries; or,
- proposals submitted by US institutions on behalf of scientists or engineers from NATO Partner countries for postdoctoral research at the submitting institution.

PROGRAM DESCRIPTION

Award of these fellowships will be made for work in mathematics, engineering, computer and information science, geosciences, the physical, biological, social, behavioral, and economic sciences, the history and philosophy of science, and interdisciplinary areas comprised of two or more of these fields. Research in the teaching and learning of science, mathematics, technology, and engineering is also eligible for support.

NSF-NATO does not normally support technical assistance, pilot plan efforts, research requiring security classification, the development of products for commercial marketing or market research for a particular project or invention. Applicants working in clinical, education (except research in the teaching and learning of science, mathematics, technology and engineering) or business fields, or in history (except the history or philosophy of science), social work or public health, and individuals who propose to use the Fellowship to support residency training or similar work that may lead to qualification or certification in a clinical field are NOT eligible. These fellowships are not intended to support the preparation of prior research results for publication or the writing of textbooks as a primary objective.

Bioscience research with disease-related goals, including work on the etiology, diagnosis, or treatment of physical or mental diseases, abnormality, or malfunction in human beings or animals is normally not supported. Animal models of such conditions, or the development or testing of drugs or other procedures for their treatment also generally are not eligible for support. However, research in bioengineering with diagnosis or treatment-related goals, that applies engineering principles to problems in biology and medicine while advancing engineering knowledge is eligible for support. Bioengineering research to aid persons with disabilities is also eligible.

NSF-NATO Fellowships are administered by the National Science Foundation, an agency of the United States Government, at the request of the US Department of State. Approximately 8 fellowships will be offered to US scientists for research abroad and approximately 12 awards will be made to US institutions that would like to host a scientist from a NATO Partner Country.

ELIGIBILITY

All Applicants:

- a) must have been awarded a doctoral degree (Ph.D. or equivalent) on or after October 1, 1995 but normally no

² The term "national of the United States" designates a citizen of the United States or a native resident of a possession of the United States such as American Samoa. It does NOT refer to a citizen of another country who has applied for United States citizenship.

later than October 1, 2000; and

- b) have not previously held an NSF-NATO Postdoctoral Fellowship.

US Scientists:

Must be US citizens, nationals, or permanent residents on or before November 15, 1999.

NATO Partner Country Scientists:

Scientists from NATO Partner Countries must be working in their home country or in another NATO Partner Country at the time of application. Citizens from the Czech Republic, Poland and Hungary are eligible to apply under the NATO Partner Country fellowships for the period 1999 through 2001. Applications to support a scientist from NATO Partner Countries may be subject to security review by the United States Committee on Exchanges (COMEX) according to government policy. This review may be necessary before the State Department will issue a visa. The US host scientific advisor is responsible for obtaining research permits and import/export documents, where applicable.

Host Site Eligibility:

US applicants may apply for scientific research at appropriate government and non-profit scientific institutions in NATO-member or NATO Partner Countries. See footnote for eligible countries. NATO Partner Country applicants must identify a specific US scientific advisor holding a full-time position at a US institution to serve as his/her sponsor. The US scientific advisor will be the Principal Investigator (PI) on the fellowship application. The PI will be responsible for assuring the completeness of the application material. NATO Partner Country Scientists may conduct research at US universities, scientific research laboratories, or government laboratories

AWARD INFORMATION

Tenure Limitations

A Fellow will have a full-time tenure of 12 months. Requests to divide tenure between two institutions should be clearly described in the application and will be handled on a case-by-case basis.

A recipient of a postdoctoral fellowship must begin tenure on or after June 1, 2000 but normally not later than October 1, 2000. If unforeseen circumstances delay completion of the Ph.D. degree requirement or the expected start of tenure, a request for a delay of the start date will be considered. A US applicant already working under another fellowship abroad at the time of application may request a delay of the start date in order to complete the previous fellowship as long as he/she remains at the same institution abroad. An awardee who declines a fellowship because he/she is unable to begin tenure by the specified time period may re-apply to the program as long as he/she remains eligible. This declination will not prejudice any subsequent application.

Stipend and Special Allowance

All Fellows:

The stipend is \$2,750 per month for 12 months for the Fellow. Fellows are also provided with dependency allowances of \$200 per month for a dependent spouse and for each of not more than two dependent children for 12 months. The level of funding of NSF-NATO stipends for Fellows will be determined based on the Fellow's status at the time of application. Adjustment for individuals entitled to sabbatical leave pay or whose employer wishes to supplement the stipend to match regular salary will be considered. NSF-NATO funding in such instances will be determined on a case-by-case basis.

In addition, the Fellow is provided with \$1,200 (\$100 for each month of tenure) to aid in defraying costs of research and special travel such as short visits to other laboratories or scientific meetings. This special allowance is expendable at the Fellow's discretion and is usually provided with the advance stipend and travel allowance.

Fellows are entitled to the full stipend and special research allowance provided by the fellowship.

NATO Partner Country Scientists:

Fellowship grants for NATO Partner Country Scientists are made to US institutions and not directly to individuals. The host institution will be responsible for the disbursement of all funds associated with a fellowship award.

Travel Allowance

A travel allowance to assist fellows to cover travel costs to their fellowship institution and back will be provided as specified below. All travel must be by US flag carriers if such service is available, even though other carriers may be more convenient or less expensive.

US Fellows:

The total round trip travel allowance for Fellows traveling overseas will be: \$2,500 for the Fellow; \$2,500 for an accompanying spouse; and \$1,000 each for up to two accompanying dependent children.

For Fellows traveling to Canada, the travel allowance will be: \$1,000 for the Fellow; \$1,000 for an accompanying spouse; and \$600 each for up to two accompanying dependent children.

NATO Partner Country Scientists:

The total round trip allowance from the Fellow's place of residence in the Partner Country, at the time of application, to the US host institution to begin tenure and later to return will be as follows: \$3,000 for the Fellow; \$3,000 for an accompanying spouse; and \$1,200 each for up to two accompanying dependent children.

Institutional Allowance

The fellowship institution abroad, upon its request, will receive \$1,200 (\$100 for each month of the Fellow's resident tenure, i.e., 12 months). This allowance is paid on behalf of the Fellow to assist the institution in meeting the cost of fees chargeable to the Fellow and in providing the Fellow with space, supplies and equipment. **THE US HOST INSTITUTION DOES NOT RECEIVE AN INSTITUTIONAL ALLOWANCE NOR ARE OVERHEAD EXPENSES PROVIDED AS PART OF THE FELLOWSHIP.**

APPLICATION PREPARATION AND SUBMISSION INSTRUCTIONS

A. Application Preparation Instructions

A COMPLETE application must be submitted via FastLane or in hard copy by the published deadline. Electronic and hard copies of applications cannot be combined for submission.

The hard copy NSF-NATO application consists of five **COMPLETE SETS** of the application materials (signed original plus four copies), one copy of Supplementary Nominee Information (NSF Form 1225A - which **MUST** be returned for each applicant) and four reference letters. Staple each set and type all forms. The type styles should be no smaller than 10-point font size. Margins may not be smaller than 2.5 cm except where margins are established on forms. Failure to comply with application procedures may make an application administratively ineligible, eliminating it from merit review. Do not send reprints, preprints, theses, budgets and/or any materials not specifically requested in this announcement.

APPLICATION SETS

All Applicants:

- 1. NSF-NATO Postdoctoral Fellow Cover Sheet (NSF Form 294 (10-95), 2-sided form provided)**

The first side of the NSF-NATO Cover Sheet must be completed in accordance with the instructions on the reverse side of the form.

2. Abstract of Doctoral Dissertation (Limit: 1 Page)

The Applicant's name and the heading "Abstract of Doctoral Dissertation" should appear at the top of this page followed by a brief description of the doctoral dissertation.

3. Abstract of Proposed Plan of Research (Limit: 150 words)

The Applicant's name and the heading "Abstract of Proposed Plan of Research" should appear at the top of this page followed by a brief description of not more than 150 words.

4. Proposed Plan of Research (Limit: 2 Pages, including footnotes)

The Applicant's name and the heading "Proposed Plan of Research" should appear at the top of *each* page. The plan should be a relatively non-technical statement understandable by non-specialist experts. This statement should BRIEFLY include the applicant's 1) educational objectives and 2) long-range professional goals. The applicant should describe in detail the activities expected to be undertaken during tenure and should also comment on the appropriateness of both the institution/country selected. Finally, the applicant should indicate what plans have been made to date for the projected tenure period.

5. Curriculum Vitae (Limit: 3 Pages)

The Applicant's name and the heading "Curriculum Vitae " should appear at the top of each page. This information MUST include (but is not limited to) the following sections in the following order:

A) **Education.** This section should list the applicant's educational background beginning with undergraduate and including postdoctoral training under the following columns: Institution & Location; Degree; Year Conferred; Field of Study.

B) **Academic Honors.** This section should include fellowships, scholarships, teaching assistantships, mentoring activities, and other relevant positions held or awards received with dates and locations in reverse chronological order.

C) **Foreign Languages.** This section should indicate the proficiency in the language of the country in which the Fellow plans to conduct research.

D) **Employment and Experience.** This section should begin with the applicant's current position, (e.g. full-time graduate student, post-doctoral Fellow, lecturer, etc. and institution). Relevant professional history should be provided in reverse chronological order.

E) **Research Accomplishments.** This section should list any research previously pursued, giving the title and reference of any published works. List the titles of any unpublished work in process. Other accomplishments may include, but are not limited to, patent and software credits, papers presented at seminars, workshops, national or international meetings, etc.

F) **Other Accomplishments.** This section is optional and may include relevant information that the applicant wishes to provide to the reviewers.

6. Letter of Support from the Host Scientific Advisor and/or Institution

Provide a SIGNED letter of support from the proposed scientific advisor and/or institution acknowledging willingness to accept the applicant to conduct the proposed research.

REFERENCE LETTERS

Four references are required. At least two of the four references should be from persons with whom the applicant has worked in his/her major field, including the thesis advisor if possible. List the thesis advisor's name first on the application's Cover Page. Other referees should be in closely allied fields. It is important to send referees a copy of the proposed plan of research for their review and comment in the reference report. If the host advisor is writing an institutional support letter and he/she is also listed as a referee, a separate letter addressing the criteria listed in the following paragraph must be included.

Reference letters should CLEARLY indicate the applicant's name and address and the review criteria, including comments on the following: mastery of fundamental knowledge in the applicant's field, design of research projects, laboratory skills and technique, growth during period observed, creativity, originality, self reliance and independence.

Before signing the letters, referees should indicate whether they wish their comments to be held in confidence and their identity, as authors of the letters not revealed. Otherwise, the Foundation may provide the comments to the applicants (if requested) under the Privacy Act of 1974.

If a hard copy application is submitted by mail, each referee should send a signed original and four copies of the letter to the APPLICANT in one sealed envelope. NSF does not provide envelopes for collecting references. It is recommended that the applicant provide each referee with a self-addressed, postage-paid return envelope prepared as follows:

MARK BOTH SIDES OF THE ENVELOPE "TO BE OPENED ONLY BY NSF."

In the upper left-hand corner write:

The Referee's First and Last Name
Street Address
City, State Zip Code

Address envelope:

To: NSF-NATO Postdoctoral Fellowships
C/o Name of Applicant
Institution/Department/Street Address
City, State Zip Code

It is the APPLICANT'S or US host advisor's responsibility to collect reference letters and include them in the application package. **References that are sent to NSF separately from the application material WILL NOT BE ACCEPTED.**

US Applicants Only:

The applicant's permanent US residence address, including zip code, must be given; college address may be used only if no other is available. The permanent address will be used in all correspondence concerning the fellowship application. The applicant is responsible for notifying the program of any changes of the permanent address.

NATO Partner Country Applicants Only:

The US host institution is responsible for assuring the completeness of application materials. The NATO Partner Country Scientist is responsible for providing all the appropriate sections to be included in the application. Please staple each complete application set separately.

◆ **Cover Sheet for Proposal to the National Science Foundation (NSF Form 1207 (10/98))**

This form must be completed by the scientific advisor at the US institution that is submitting the application on behalf of the NATO Partner Country Scientist with FULLY signed certifications. In the first box on the upper

left-hand corner of the cover page entitled For Consideration by NSF Organization Unit(s), type “DGE/EHR/NSF-NATO POSTDOCTORAL FELLOWSHIP.”

The NATO Partner Country applicant's current address is the address where the NATO Partner Country Scientist resides in the NATO Partner Country; permanent US address should be the host university address.

◆ **Sponsor Statement from US Host Institution**

A statement of support from the US host scientific advisor (PI) is required. Verification of resources being made available to the NATO Partner Country Scientist (e.g., housing, supplementary travel, equipment, and facilities to be provided by the host institution) should be included in this statement. The scientific advisor should also indicate why the NATO Partner Country Scientist would benefit from such a research opportunity and what contribution this scientist is expected to make. Any host institution financial commitment of support to the NATO Partner Country Scientist should also be described. The sponsor statement should be prepared in lieu of references, but should address the same issues that reference writers would. The scientific advisor should seek input from whatever sources it deems appropriate, and may attach to this statement any external references it chooses.

B. Budgetary Information

Cost Sharing Requirements: None

C. Application Due Date

All application submissions must be postmarked or sent electronically by midnight **November 15, 1999**. All sets of materials, forms and reference submitted by mail must be included in a large envelope and addressed:

NSF-NATO Postdoctoral Fellowships
National Science Foundation
4201 Wilson Blvd. Suite 907N
Arlington, VA 22230

D. FastLane Requirements

Applicants are encouraged to prepare and submit applications using the NSF FastLane system. Detailed instructions for application preparation and submission of Postdoctoral Fellowships via FastLane are available at <http://www.fastlane.nsf.gov>. All referees of applicants who use FastLane must submit a Reference Report Form using FastLane. Security is provided to ensure that both applications and references can be seen only by authorized persons.

Submission of Signed Cover Sheets. For applications submitted electronically, the signed paper copy of the Cover Sheet (NSF Form 294 and NSF Form 1207) should be forwarded to NSF within five working days following application submission in accordance with FastLane application preparation and submission instructions referenced above.

In order to use NSF FastLane to prepare and submit an application, the following are required:

Browser (must support multiple buttons and file upload)

- Netscape 3.0 or greater
- Microsoft Internet Explorer 4.01 or greater

PDF Reader (needed to view/print forms)

- Adobe Reader 3.0 or greater

PDF Generator (needed to create project description)

- Adobe Acrobat 3.x or higher
- Aladdin Ghostscript 5.50 or greater for Unix platforms only

NATO Partner Country Scientists only:

The NATO Partner Country Scientist must begin the application and give the scientific advisor the access PIN. The scientific advisor accesses the Sponsoring Scientist Statement using the access PIN. Both the NATO Partner Country Scientist and the scientific advisor have access to all the application forms. However, as is the case of hard copy submissions, the scientific advisor submits the application on behalf of the NATO Partner Country Scientist. The NSF Postdoctoral Research Fellowship Application is on the NSF FastLane Home Page, which is located at the following URL: <http://www.fastlane.nsf.gov/>. To access the NSF FastLane Postdoctoral Research Fellowship Programs process and instructions on its use, click on the appropriate icon on the FastLane Home Page. Additional questions may be directed to FastLane Help Desk at (703) 306-1142 (email: felapp@nsf.gov).

APPLICATION REVIEW INFORMATION

A. Review Criteria

The NSF-NATO Fellowships Program is a multidisciplinary activity managed by the NSF Directorate for Education and Human Resources.

The review criteria for all applications include:

Applicant's Scientific Competence in science and engineering, including achievements to date, particularly as attested by academic records and letters of recommendation.

Applicant's Potential for Continued Professional Growth as demonstrated in the proposed plan of research from the standpoint of its appropriateness to the background and professional goals of the applicant and its feasibility within the time constraints imposed by tenure.

Applicant's Potential for Furthering International Collaboration in Science including the factors that influenced the applicant's selection of host institution and scientific advisor and the likelihood that the proposed plan of research might result in the establishment of a professional, working relationship between the applicant, foreign scientists and US host scientist. In situations where English is not the primary language, consideration may be given to how communication is to be managed. Likewise consideration will be given to the English language proficiency of the NATO Partner Country Scientist.

Reviews of applications submitted to NSF are solicited from peers with expertise in the substantive area of the proposed research. Program officers charged with the oversight of the review process select these reviewers. NSF invites the applicant to suggest at the time of submission, the names of appropriate or inappropriate reviewers. Care is taken to ensure that reviewers have no conflicts of interest with the applicant. Special efforts are made to recruit reviewers from non-academic institutions, minority-serving institutions, and adjacent disciplines to that principally addressed in the application, etc.

Applicants 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 application. Each reviewer will be asked to address only those that are relevant to the application 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?

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. PIs should address this issue in their proposal to provide reviewers with the information necessary to respond fully to both NSF merit review criteria. NSF staff will give it careful consideration in making funding decisions.

Integrating Diversity into NSF Program, 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. PIs should address this issue in their proposal to provide reviewers with the information necessary to respond fully to both NSF merit review criteria. NSF staff will give it careful consideration in making funding decisions.

B. Merit Review Process

Most of the applications submitted to NSF are reviewed by mail review, panel review, or some combination of mail and panel review. Proposals submitted in response to this announcement will be reviewed by panel review; the panel reviews may be supplemented by ad hoc reviews.

All applications are carefully reviewed by at least three persons outside NSF who are experts in the particular field represented by the application. Reviewers will be asked to formulate a recommendation to either support or decline each application. A program officer assigned to manage the applicant's review will consider the advice of reviewers and will formulate a recommendation. In most cases, applicants 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, the division director. This informal notification is not a guarantee of an eventual award. NSF will be able to tell applicants whether their applications have been declined or recommended for funding within six months for 95 percent of applications in this category. The time interval begins on the application 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 final programmatic approval has been obtained, award recommendations are then forwarded to the Division of Grants and Agreements (DGA) for review of business, financial, and policy implications and the processing and issuance of a grant or other agreement. Applicants are cautioned that only a grant 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 PI 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 individual or organization by a grant officer in the Division of Grants and Agreements (DGA). Individuals or organizations whose applications are declined will be advised as promptly as possible by the NSF office or division administering the program. Verbatim copies of reviews, not including the identity of the reviewers, will be provided automatically to all applicants and US Principal Investigator (Scientific Advisor) for NATO Partner Country Scientists.

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, 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.

More comprehensive information on NSF Award Conditions is contained in Chapter II of the NSF *Grant Policy Manual* (GPM) (NSF 95-26), which is available electronically on the NSF Web site. The GPM is also 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 <<http://www.gpo.gov/>>.

C. Reporting Requirements

Fellows are required to submit a final report along with the submission of the termination certificate describing any significant experiences and accomplishments during tenure. The format of this report can be self-designed and **BRIEF**, generally between 2 and 5 pages in length. Fellows are encouraged to comment in this report on the administration of the Fellowship as well as on scientific issues.

NSF has implemented a new electronic project reporting system, available through FastLane, which 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. Reports will continue to be required annually and after the expiration of the grant, but PIs will not need to re-enter information previously provided, either with the proposal or in earlier updates using the electronic system.

Effective October 1, 1998, PIs are required to use the new reporting format for annual and final project reports. PIs are strongly encouraged to submit reports electronically via FastLane. For those PIs who cannot access FastLane, paper copies of the new report formats may be obtained from the NSF Clearinghouse as specified above. NSF expects to require electronic submission of all annual and final project reports via FastLane beginning in October 1999.

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 Administration and Management Information; Accounting System Requirements and Auditing Information; and information on Payments to Organizations with 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 <<http://www.nsf.gov/cgi-bin/getpub?nsf97100>>.

INQUIRIES

General inquiries regarding NSF-NATO may be phoned to (703) 306-1696 or addressed via INTERNET to nsf-nato@nsf.gov. Specific questions regarding the FastLane process may be directed to the FastLane Help Desk at (703) 306-1142 (email:felapp@nsf.gov).

Electronic mail users who have access to INTERNET may order application materials by addressing requests to pubs@nsf.gov. Requests should include the NSF publication number (NSF 99-153), title, number of copies, requester's name and a complete mailing address. The NSF-NATO Home Page URL address is <http://www.ehr.nsf.gov/EHR/DGE/nato.htm>.

Other Programs of Interest

The NSF *Guide to Programs* is a compilation of funding opportunities 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. Beginning in fiscal year 1999, the *Guide* will only be available electronically. It is accessible at the NSF Web site <<http://www.nsf.gov/>>. The direct URL for the *Guide* is <<http://www.nsf.gov/cgi-bin/getpub?gp>>. 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 *E-Bulletin*, which is also available electronically at the NSF Web site. The direct URL for the most recent issue of the *E-Bulletin* is <<http://www.nsf.gov/home/ebulletin/>>. Subscribers can also sign up for NSF's Custom News Service to find out what funding opportunities are available.

INSTRUCTIONS FOR COMPLETING APPLICATION

Read the NSF-NATO Announcement carefully before completing this Coversheet to determine applicant eligibility. Listed below are specific instructions for some questions found on page 1 of this Coversheet. Be sure to answer all questions on **BOTH** sides of this Coversheet.

1. **Proposed Major Field** should be one of the following: Life Sciences, Mathematics, Physics and Astronomy, Chemistry and Materials, Earth Sciences, Environmental Sciences, Applied Sciences and Engineering, and Social and Behavioral Sciences.
2. **Proposed Specialization Field.** Select proposed field and enter its number on the designated line and its name in the designated space. If the "other" category applies, list the appropriate code number and write the name of the specialized field.
3. Applicants **MUST** give a permanent address in the United States which will be used for **all** correspondence. The applicant is **responsible** for notifying the program of any changes of the permanent address.
4. Applicants **MUST** be US citizens, nationals, or permanent residents of the United States or citizens of a Cooperation Partner Country.
5. **Ph.D. Field** should be selected from the list below in **Fields of Specialization**.
6. **Name of Proposed Fellowship Institution:** Many institutions are part of a larger organization such as a university. Specify the name of the larger organization.
7. Designate present position/rank at current institution--e.g. graduate student, postdoctoral fellow, staff (Government, private, industry), self-employed, etc.
8. State the **NAME** and **TYPE** (e.g. academic, private, federal, etc.) of institution of current affiliation.

Fields of Specialization

1. LIFE SCIENCES

BIOLOGY

- 101 Animal physiology
- 102 Biochemistry and biophysics
- 103 Biotechnology
- 104 Cell biology and physiology, microbiology
- 105 Developmental biology and zoology
- 106 Ecosystems, landscapes and environment
- 107 Molecular biology and genetics, virology
- 108 Neurosciences, cognition and psychology
- 109 Plant biology: botany, physiology and pathology
- 110 Population biology and genetics, evolution
- 111 Biology (other)

2. MATHEMATICS, PHYSICS AND ASTRONOMY

MATHEMATICS

- 201 Algebra and number theory
- 202 Analysis
- 203 Biomathematics
- 204 Computational mathematics and numerical analysis
- 205 Discrete Mathematics
- 206 Geometry and topology
- 207 Logic and foundations of mathematics
- 208 Mechanics and mathematical physics
- 209 Optimization and control theory
- 210 Probability
- 211 Mathematics (other)

PHYSICS

- 221 Acoustics
- 222 Atomic and molecular physics
- 223 Condensed matter physics
- 224 Electromagnetism, plasmas and electric discharges
- 225 Elementary particles and fields
- 226 Fluid dynamics
- 227 General physics
- 228 Mathematical physics
- 229 Nuclear physics
- 230 Optics
- 231 Statistical physics
- 232 Physics (other)

ASTRONOMY AND ASTROPHYSICS

- 241 Astronomy
- 242 Astrophysics
- 243 Cosmology
- 244 Space and Planetary Physics
- 245 Astronomy and astrophysics (other)
- 200 Physical and Mathematical Sciences (non-specific)

3. CHEMISTRY MATERIALS

CHEMISTRY

- 302 Analytical biochemistry
- 303 Analytical chemistry
- 304 Bio-inorganic chemistry
- 305 Bio-organic chemistry
- 306 Catalysis
- 307 Computational chemistry
- 308 Electro chemistry
- 309 Inorganic chemistry
- 311 Organic chemistry
- 312 Physical chemistry
- 313 Polymer chemistry
- 314 Solid-state chemistry
- 315 Theoretical chemistry
- 316 Chemistry (other)

MATERIALS SCIENCES

- 321 Ceramics, inorganic materials
- 322 Corrosion, chemical degradation
- 323 Electrical, magnetic and optical properties
- 324 Mechanical and thermal properties
- 325 Metals and alloys
- 326 Polymers
- 327 Structure, composition and properties
- 328 Materials science (other)
- 300 Chemistry and Materials (non-specific)

4. EARTH SCIENCES

SOLID EARTH

- 401 Engineering geology
- 402 Geochemistry
- 403 Geology
- 404 Geomorphology
- 405 Geophysics
- 406 Hydrology and hydrogeology
- 407 Mineralogy and petrology
- 408 Paleontology and paleobotany
- 409 Remote sensing and detection
- 410 Sedimentology and stratigraphy
- 411 Soil science
- 412 Solid earth (other)

ATMOSPHERIC SCIENCE

- 421 Aerology
- 422 Climatology
- 423 Meteorology
- 424 Radiometerology
- 425 Atmospheric science (other)

OCEANOGRAPHY

- 431 Air-sea interaction
- 432 Biological oceanography
- 433 Chemical oceanography
- 434 Hydrography
- 435 Physical oceanography
- 436 Oceanography (other)

5. ENVIRONMENTAL SCIENCES

- 501 Air
- 502 Disasters
- 503 Ecosystems
- 504 Environmental change
- 505 Environmental chemistry
- 506 Environmental policy
- 508 Noise
- 509 Soil
- 510 Waste
- 511 Water
- 512 Environmental sciences (other)
- 500 Environmental Sciences (non-specific)

6. APPLIED SCIENCES AND ENGINEERING

ENGINEERING

- 601 Aeronautical and astronautical engineering
- 603 Bioengineering
- 604 Biomedical engineering
- 605 Ceramic engineering
- 606 Chemical engineering
- 607 Civil engineering
- 608 Electrical engineering
- 609 Energy

Engineering mechanics

- 611 Hydraulics
- 612 Industrial engineering
- 613 Mechanical engineering
- 614 Metallurgical engineering
- 615 Mining engineering
- 616 Nuclear engineering
- 617 Petroleum engineering
- 618 Sanitary engineering
- 619 Engineering (other)

COMPUTER SCIENCE

- 621 Artificial intelligence and knowledge-based systems
- 622 Computer databases and banks
- 623 Human-computer interaction
- 624 Operating systems and networks
- 625 Software and requirements engineering
- 626 Theory and mathematics of computing
- 627 Computer science (other)

SYSTEMS SCIENCE

- 631 Automatic control
- 632 Operational research
- 633 Systems analysis
- 634 Systems engineering
- 635 Systems science (other)

INFORMATION SCIENCE

- 641 Communications
- 643 Information science (other)
- 600 Diverse Applied Sciences (non-specific)

7. SOCIAL AND BEHAVIORAL SCIENCES

SOCIAL SCIENCES

- 701 Economic and social history
- 702 Economics (Bus. Admin. NOT eligible)
- 703 Education
- 704 Environmental planning
- 705 Human geography
- 707 Linguistics
- 708 Management and business studies
- 709 Political Science and international relations
- 710 Science and technology policy
- 711 Social administration
- 712 Social anthropology
- 713 Social psychology
- 714 Socio-legal studies
- 715 Sociology (Social Work NOT eligible)
- 716 Social science (other)

BEHAVIORAL SCIENCES

- 721 Archeology
- 722 Developmental science
- 723 Ergonomics and human engineering
- 724 Human factors
- 725 Organisational science
- 726 Personality
- 727 Psychology
- 728 Psychometrics
- 729 Behavioral science (other)

999 Not Listed (Specify) _____

Have you applied for any other fellowships or similar appointment for all or part of tenure herein requested? If so, please specify:

By my signature below, I hereby certify that the information that I have provided in this application is correct to the best of my knowledge.

Signature of Applicant _____

Date _____

COVER SHEET FOR PROPOSAL TO THE NATIONAL SCIENCE FOUNDATION

PROGRAM ANNOUNCEMENT/SOLICITATION NO./CLOSING DATE/if not in response to a program announcement/solicitation enter NSF 99-2)	FOR NSF USE ONLY
FOR CONSIDERATION BY NSF ORGANIZATION UNIT(S) (indicate the most specific unit known, i.e. program, division, etc.) DGE/EHR/NSF-NATO POSTDOCTORAL FELLOWSHIP	NSF PROPOSAL NUMBER

Date Received	Number of Copies	Division Assigned	Fund Code	DUNS# (Data Universal Numbering System)	File Location

EMPLOYER IDENTIFICATION NUMBER (EIN) OR TAXPAYER IDENTIFICATION NUMBER (TIN)	SHOW PREVIOUS AWARD NO. IF THIS IS 1 A RENEWAL 1 AN ACCOMPLISHMENT-BASED RENEWAL	IS THIS PROPOSAL BEING SUBMITTED TO ANOTHER FEDERAL AGENCY? YES 1 NO 1 IF YES, LIST ACRONYM(S)
--	--	--

NAME OF ORGANIZATION TO WHICH AWARD SHOULD BE MADE	ADDRESS OF AWARDEE ORGANIZATION, INCLUDING ZIP CODE
AWARDEE ORGANIZATION CODE (IF KNOWN)	

NAME OF PERFORMING ORGANIZATION, IF DIFFERENT FROM ABOVE	ADDRESS OF PERFORMING ORGANIZATION, IF DIFFERENT, INCLUDING ZIP CODE
PERFORMING ORGANIZATION CODE (IF KNOWN)	

IS AWARDEE ORGANIZATION (Check All That Apply)
(see GPG II.D.1 For Definitions) 1 FOR-PROFIT ORGANIZATION 1 SMALL BUSINESS 1 MINORITY BUSINESS 1 WOMAN-OWNED BUSINESS

TITLE OF PROPOSED PROJECT

REQUESTED AMOUNT	PROPOSED DURATION (1-60 MONTHS)	REQUESTED STARTING DATE	SHOW RELATED PREPROPOSAL NO. IF APPLICABLE
------------------	---------------------------------	-------------------------	--

CHECK APPROPRIATE BOX(ES) IF THIS PROPOSAL INCLUDES ANY OF THE ITEMS LISTED BELOW

1 BEGINNING INVESTIGATOR (GPG I.A.3) 1 DISCLOSURE OF LOBBYING ACTIVITIES (GPG II.D.1) 1 PROPRIETARY & PRIVILEGED INFORMATION (GPG I.D.10) 1 NATIONAL ENVIRONMENTAL POLICY ACT (GPG II.D.10) 1 HISTORIC PLACES (GPG II.D.10) 1 SMALL GRANT FOR EXPLOR. RESEARCH (SGER) (GPG II.D.12) 1 GROUP PROPOSAL (GPG II.D.12)	1 VERTEBRATE ANIMALS (GPG II.D.12) IACUC App. Date _____ 1 HUMAN SUBJECTS (GPG II.D.12) Exemption Subsection _____ or IRB App. Date _____ 1 INTERNATIONAL COOPERATIVE ACTIVITIES: COUNTRY/COUNTRIES _____ 1 FACILITATION FOR SCIENTISTS/ENGINEERS WITH DISABILITIES (GPG V.G.) 1 RESEARCH OPPORTUNITY AWARD (GPG V.H.)
--	--

PI/PD DEPARTMENT	PI/PD POSTAL ADDRESS
PI/PD FAX NUMBER	

NAMES (TYPED)	High Degree	Yr. Of Degree	Telephone Number	Electronic Mail Address
PI/PD NAME				
CO-PI/PD				

CERTIFICATION PAGE

Certification for Principal Investigators and Co-Principal Investigators:

I certify to the best of my knowledge that:

- (1) the statements herein (excluding scientific hypotheses and scientific opinions) are true and complete, and
 (2) the text and graphics herein as well as any accompanying publications or other documents, unless otherwise indicated, are the original work of the signatories or individuals working under their supervision. I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if an award is made as a result of this application.

I understand that the willful provision of false information or concealing a material fact in this proposal or any other communication submitted to NSF is a criminal offense (U.S. Code, Title 18, Section 1001).

Name (Typed)	Signature	Social Security No.*	Date
PI/PD			
Co-PI/PD			

Certification for Authorized Organizational Representative or Individual Applicant:

By signing and submitting this proposal, the individual applicant or the authorized official of the applicant institution is: (1) certifying that statements made herein are true and complete to the best of his/her knowledge; and (2) agreeing to accept the obligation to comply with NSF award terms and conditions if an award is made as a result of this application. Further, the applicant is hereby providing certifications regarding Federal debt status, debarment and suspension, drug-free workplace, and lobbying activities (see below), as set forth in the Grant Proposal Guide (GPG), NSF 99-2. Willful provision of false information in the application and its supporting documents or in reports required under an ensuing award is a criminal offense (U.S. Code, Title 18, Section 1001).

In addition, if the applicant institution employs more than fifty persons, the authorized official of the applicant institution is certifying that the institution has implemented a written and enforced conflict of interest policy that is consistent with the provisions of Grant Policy Manual Section 510; that to the best of his/her knowledge, all financial disclosures required by that conflict of interest policy have been made; and that all identified conflicts of interest will have been satisfactorily managed, reduced or eliminated prior to the institution's expenditure of any funds under the award, in accordance with the institution's conflict of interest policy. Conflict, which cannot be satisfactorily managed, reduced or eliminated, must be disclosed to NSF.

Debt and Debarment Certifications (If answer "yes" to either, please provide explanation)

Is the organization delinquent on any Federal debt? Yes No

Is the organization or its principals presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency? Yes No

Certification Regarding Lobbying

This certification is required for an award of a Federal contract, grant or cooperative agreement exceeding \$100,000 and for an award of a Federal loan a commitment providing for the United States to insure or guarantee a loan exceeding \$150,000.

Certification for Contracts, Grants, Loans and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement
- (2) If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements and that all subrecipients shall certify and disclose.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

AUTHORIZED ORGANIZATIONAL REPRESENTATIVE	SIGNATURE	DATE
NAME/TITLE (TYPED)		
TELEPHONE NUMBER	ELECTRONIC MAIL ADDRESS	FAX NUMBER

*SUBMISSION OF SOCIAL SECURITY NUMBERS IS VOLUNTARY AND WILL NOT AFFECT THE ORGANIZATION'S ELIGIBILITY FOR AN AWARD. HOWEVER, THEY ARE AN INTEGRAL PART OF THE INFORMATION SYSTEM AND ASSIST IN PROCESSING THE PROPOSAL. SSN SOLICITED UNDER NSF ACT OF 1950, AS AMENDED.

DO NOT DUPLICATE THIS PAGE AS PART OF THE PROPOSAL

Every prospective grantee must complete the section on certification on the Cover Sheet (NSF Form 1207, (Rev. 10/98)) submitted with each proposal. Instructions for the two certifications are below:

INSTRUCTIONS ON CERTIFICATION OF NON-DELINQUENCY BY APPLICANTS FOR FEDERAL ASSISTANCE

Pursuant to OMB Circular A-129, "Except where required by law or approved by the head of the agency, no award of Federal funds shall be made to an applicant who is delinquent on a Federal debt until the delinquent account is made current or satisfactory arrangements are made between affected agencies and the debtor." The certification of non-delinquency applies only to the organization requesting financial assistance and not to the individual Principal Investigator.

For the purposes of this certification, the following definitions of delinquency apply:

Direct loans -- a debt more than 31 days past due on a scheduled payment

Grants -- recipients of a "Notice of Grants Cost Disallowance" who have not repaid the disallowed amount or who have not resolved the disallowance.

Guaranteed and insured loans -- recipients of a loan guaranteed by the Federal Government that the Federal Government has repurchased from a

lender because the borrower breached the loan agreement and is in default.

Examples of debts include delinquent taxes, audit disallowances, guaranteed and direct student loans, housing loans, farm loans, business loans, Department of Education institutional loans, benefit over-payments and other miscellaneous administrative debts.

INSTRUCTIONS ON CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is any material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted

or has become erroneous by reason of changed circumstances.

5. The terms *covered transaction*, *debarred*, *suspended ineligible*, *lower tier-covered transaction*, *participant*, *person*, *primary covered transaction*, *principal*, *proposal*, and *voluntarily excluded*, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier-covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier-covered transactions and in all

solicitations for lower tier-covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier-covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause.

The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier-covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

CERTIFICATION

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in

connection with obtaining, attempting to obtain, or performing a public (Federal, State, or Local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with

commission of any of the offenses enumerated in paragraph (1)(b) of this certification and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or Local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification

1. By signing the NSF Proposal Cover Sheet, NSF Form 1207, and submitting this application or grant agreement, the grantee is providing the certifications set out below.
2. The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.

Certification Regarding Drug-Free Workplace Requirements

Alternate I (Grantees Other Than Individuals)

The grantee certifies that it will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
Employers of convicted employees must provide notice, including position, title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted --
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

Alternate II (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.
(For NSF, grantee notification should be made to the Cost Analysis/Audit Resolution Branch, Division of Contracts, Policy & Oversight, NSF, Arlington, VA 22230).

SUPPLEMENTARY NOMINEE INFORMATION

Submit only ONE copy of this form. Attach it on top of the cover page of the copy that bears the original signatures. Leave the back of the page blank. *Do not include this form with any of the other copies, as this may compromise the confidentiality of the information.*

Please check the appropriate answers to each question for the nominee:

- | | | |
|----|--|---|
| 1. | Is this person | |
| | Female | 1 |
| | Male | 1 |
| 2. | Is this person a | |
| | U.S. Citizen | 1 |
| | Permanent Resident | 1 |
| | Other non-U.S. Citizen | 1 |
| 3. | Which one of these categories best describes this person's ethnic/racial status? (If more than one category applies, use the category that most closely reflects the person's recognition in the community.) | |
| | American Indian or Alaska Native | 1 |
| | Asian | 1 |
| | Black, not of Hispanic Origin | 1 |
| | Hispanic | 1 |
| | Pacific Islander | 1 |
| | White, not of Hispanic Origin | 1 |
| 4. | Does this person have a disability* which limits a major life activity? | |
| | Yes | 1 |
| | No | 1 |

Check here if this person does not wish to provide some or all of the above information. 1

Required: Check here if this person is currently serving (or has previously served) as PI, Co-PI or PD on any Federally funded project. 1

AMERICAN INDIAN OR ALASKAN NATIVE: A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

ASIAN: A person having origins in any of the original peoples of East Asia, Southeast Asia, and the Indian subcontinent. This area includes, for example, China, India, Indonesia, Japan, Korea, and Vietnam.

BLACK, NOT OF HISPANIC ORIGIN: A person having origins in any of the black racial groups of Africa.

HISPANIC: A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.

PACIFIC ISLANDER: A person having origins in any of the original peoples of Hawaii; the U.S. Pacific Territories of Guam, American Samoa, and the Northern Marianas; the U.S. Trust Territory of Palau; the islands of Micronesia and Melanesia; and the Philippines.

WHITE, NOT OF HISPANIC ORIGIN: A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

*Disabled: A person having a physical or mental impairment that substantially limits one or more major life activities; who has a record of such impairment; or who is regarded as having such impairment.

WHY THIS INFORMATION IS BEING REQUESTED:

The Federal Government has a continuing commitment to monitor the operation of its review and award processes to identify and address any inequities based on gender, race, ethnicity or disability of the nominee. To gather the information needed for this important task, you should submit a single copy of this form; however, submission of the requested information is not mandatory and is not a precondition of award. Any individual not wishing to provide the information should check the box provided for this purpose. (The exception is information about previous Federal support, the last question above).

Information from this form will be retained by Federal agencies as an integral part of their Privacy Act Systems of Records in accordance with the Privacy Act of 1974. These are confidential files accessible only to appropriate Federal agency personnel and will be treated as confidential to the extent permitted by law. Data submitted will be used in accordance with criteria established by the respective Federal agency for awarding grants for research and education, and in response to Public Law 99-383 and 42 USC 1885c.

APPLICATION SUBMISSION CHECKLIST

For US Scientists:

- ❑ One (1) copy of the Supplementary Nominee Information Form, (NSF 1225A) must be completed and returned along with your NSF-NATO application materials.

- ❑ Four (4) references. References in referee-sealed envelopes

Five (5) COMPLETE SETS (signed original plus four (4) copies) of application materials. Each COMPLETE SET must be stapled in the following order:

- ❑ NSF-NATO Postdoctoral Fellow Cover Sheet, NSF Form 294 (10/95)
- ❑ Abstract of Doctoral Dissertation (1 page)
- ❑ Abstract of Proposed Plan of Research (150 words or less)
- ❑ Proposed Plan of Research (2 pages, including footnotes)
- ❑ Curriculum Vitae (3 pages)
- ❑ SIGNED Letter of Support from Host Advisor and/or Institution

For NSF-NATO Partner Country Scientists:

- ❑ One (1) copy of the Supplementary Nominee Information Form, (NSF 1225A) must be completed and returned along with your NSF-NATO application materials.

- ❑ Four (4) references. References in referee-sealed envelopes

Five (5) COMPLETE SETS of the application materials (signed original plus four (4) copies), completed by YOUR host advisor. *The host institution is responsible for assuring the completeness of your application materials.* Please staple each complete application set in the following order:

- ❑ NSF Form 1207 (10/98) Cover Sheet for Proposal to the National Science Foundation
- ❑ NSF-NATO Postdoctoral Fellow Cover Sheet, NSF Form 294 (10/95)
- ❑ Abstract of Doctoral Dissertation (1 page)
- ❑ Abstract of Proposed Plan of Research (150 words or less)
- ❑ Proposed Plan of Research (2 pages, including footnotes)
- ❑ Curriculum Vitae (3 pages)
- ❑ SIGNED Sponsor Statement from US Host Institution

For all NSF-NATO Applicants: DO NOT SEND reprints, preprints, theses, budgets, and/or any materials not specifically requested in this announcement.

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.

We want all of our communications to be clear and understandable. If you have suggestions on how we can improve this document or other NSF publications, please email us at <http://www.plainlanguage@nsf.gov>.

PRIVACY ACT AND PUBLIC BURDEN STATEMENTS

The information requested on the application materials is solicited under the authority of the National Science Foundation Act of 1950, as amended. It will be used in connection with the selection of qualified applicants and may be disclosed to qualified reviewers and staff assistants as part of the review process; to the institution the nominee, applicant or fellow is attending or is planning to attend or is employed by for the purpose of facilitating review or award decisions, or administering fellowships or awards; to government contractors, experts, volunteers and researchers and educators as necessary to complete assigned work; to other government agencies needing data regarding applicants or nominees as part of the proposal 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 from this system may be merged with other computer files to carry out statistical studies the results of which do not identify individuals. Notice of the agency's decision may be given to nominators, and disclosure may be made of awardees' names, home institutions, and fields of study for public information purposes. For fellows or awardees receiving stipends directly from the government, information is transmitted to the Department of the Treasury to make payments. See System of Records, NSF-12, "Fellowships and Other Awards," 63 Federal Register 265 (January 5, 1998). Submission of the information is voluntary; however, failure to provide full and complete information may reduce the possibility of your receiving an award.

Public reporting burden for this collection of information is estimated to average 12 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Reports Clearance Officer; Information Dissemination Branch, DAS; National Science Foundation; Arlington, VA 22230.

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>.

Catalog of Federal Domestic Assistance Number is 47.076, Education and Human Resources.

NATIONAL SCIENCE FOUNDATION
ARLINGTON, VA. 22230

OFFICIAL BUSINESS
PENALTY FOR PRIVATE USE \$300

RETURN THIS COVER SHEET TO ROOM P35, IF YOU
DO NOT WISH TO RECEIVE THIS MATERIAL []. OR
IF CHANGE OF ADDRESS IS NEEDED [] INDICATE
CHANGE INCLUDING ZIP CODE ON THE LABEL.
(DO NOT REMOVE LABEL).

OMB NO. 3145-0023
P.T.: 22
K.W.: 1013000, 1002000,
1010000, 0600000,
0400000, 0309008

NSF 99-153
(Replaces 98-149)