

INTERDISCIPLINARY GRANTS IN THE MATHEMATICAL SCIENCES

Proposal Solicitation

NSF 99-157

DIRECTORATE FOR MATHEMATICAL AND
PHYSICAL SCIENCES
DIVISION OF MATHEMATICAL SCIENCES

PROPOSAL DEADLINE: 2ND FRIDAY IN DECEMBER



NATIONAL SCIENCE FOUNDATION



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SUMMARY OF ACTIVITY REQUIREMENTS

GENERAL INFORMATION

Activity Name: Interdisciplinary Grants in the Mathematical Sciences

Short Description/Synopsis of Activity:

The objective of the Interdisciplinary Grants in the Mathematical Sciences (IGMS) is to enable mathematical scientists to undertake research and study in another discipline so as to

- expand their skills and knowledge in areas other than the mathematical sciences;
- subsequently apply this knowledge in their research, and
- enrich the educational experiences and broaden the career options of their students.

Recipients of an IGMS award are expected to spend eleven months full time in a twelve-month period either in a non-mathematical academic science department or in an industrial, commercial or financial institution. The expected outcome is sufficient familiarity with another discipline so as to open opportunities for effective collaboration by the mathematical scientist with researchers in another discipline.

These awards are in addition to those available in the Grant Opportunities for Academic Liaison with Industry (GOALI) activity. For further details on GOALI, see NSF 98-142, or subsequent publication.

Cognizant Program Officer(s): Lloyd Douglas, Program Officer, Room 1025, Division of Mathematical Sciences, telephone 703. 306.1874, e-mail: ldouglas@nsf.gov.

Applicable Catalog of Federal Domestic Assistance (CFDA) No.: 47.049 — Mathematical and Physical Sciences

ELIGIBILITY

- ◆ **Limitation on the categories of organizations that are eligible to submit proposals:** Proposals may be submitted by academic institutions in support of individual investigators.
- ◆ **PI eligibility limitations:** To be eligible for these awards, the PI must hold a tenured or tenure-track position at the academic institution submitting the proposal and have a strong background in one of the disciplines within the purview of the Division of Mathematical Sciences.
- ◆ **Limitation on the number of proposals that may be submitted by an organization:** None

AWARD INFORMATION

- ◆ **Type of award anticipated:** Standard Grant
- ◆ **Number of awards anticipated:** Approximately 10 awards per year
- ◆ **Amount of funds available:** Up to \$1 million will be available for this activity each year.

- ◆ **Anticipated date of award:** May of the year following proposal submission.

PROPOSAL PREPARATION & SUBMISSION INSTRUCTIONS

◆ **Proposal Preparation Instructions**

- **Letter of Intent requirements:** None
- **Preproposal requirements:** None
- **Proposal preparation instructions:** Standard NSF Grant Proposal Guide instructions, with exceptions as noted below.
- **Supplemental proposal preparation instructions:** None
- **Deviations from standard (GPG) proposal preparation instructions:** Specific instructions are provided in the body of the solicitation.

◆ **Budgetary Information**

- **Cost sharing/matching requirements:** None.
- **Indirect cost (F&A) limitations:** None
- **Other budgetary limitations:** Award amounts of \$100,000 per year for proposals submitted in response to this solicitation.

◆ **FastLane Requirements**

- **FastLane proposal preparation requirements:** FastLane use required
- **FastLane point of contact:** Florence Rabanal, (703) 306-1998, dmsfl@nsf.gov

◆ **Deadline/Target Dates**

- **Full Proposal Deadline:** 5:00 PM, your local time, 2nd Friday in December

PROPOSAL REVIEW INFORMATION

- ◆ **Merit Review Criteria:** Standard National Science Board approved criteria; additional criteria specific to this solicitation are provided in the body of the solicitation.

AWARD ADMINISTRATION INFORMATION

- ◆ **Grant Award Conditions:** GC-1 or FDP III
- ◆ **Special grant conditions anticipated:** None anticipated
- ◆ **Special reporting requirements anticipated:** None

INTRODUCTION

The objective of the Interdisciplinary Grants in the Mathematical Sciences (IGMS) is to enable mathematical scientists to undertake research and study in another discipline so as to

- expand their skills and knowledge in areas other than the mathematical sciences;
- subsequently apply this knowledge in their research, and
- enrich the educational experiences and broaden the career options of their students.

Recipients of an IGMS award are expected to spend eleven months full time in a twelve-month period either in a non-mathematical academic science department or in an industrial, commercial or financial institution. The expected outcome is sufficient familiarity with another discipline so as to open opportunities for effective collaboration by the mathematical scientist with researchers in another discipline.

These awards are in addition to those available in the Grant Opportunities for Academic Liaison with Industry (GOALI) activity. For further details on GOALI, see NSF 98-142, or subsequent document.

ACTIVITY DESCRIPTION

Proposal Content

The proposal must include:

- a well-defined description of the proposed activity and a corresponding implementation plan;
- a statement delineating the PI's expectation of the impact of this experience on the PI's subsequent research and education activities;
- an approximate time schedule for accomplishing the proposed activities;
- a plan for applying the newly acquired expertise to broaden the research and educational experiences and career options for students;
- an evaluation phase including plans and metrics to be used to assess the success of the project; and
- a dissemination plan, to share the outcome(s) with the community.

It is expected that the recipients will immerse themselves in a discipline apart from the mathematical sciences that makes use of the mathematical sciences in a significant way. Hence, the recipient should reside in a department or laboratory other than the mathematical sciences for the duration of the award.

Required Commitments

- The PI must commit to remain in academia for a minimum of one year following the end of the grant, should an award be made.
- To help ensure institutional support of these interdisciplinary activities, there should be a co-PI at the level of dean (or higher level university official). A brief description from the latter of the expected impact of these activities on the institution's research and education efforts, as well as a statement of expected duties while on assignment to the host department, must be included in the proposal.

-The proposal must also include a statement of commitment from the host institution or department which contains at a minimum: (a) commitment for an office as well as laboratory space, if appropriate, in the host department, for the award duration; (b) assurance that the investigator will be treated as a regular faculty member within the host unit, and be granted authority to conduct the activities in accordance with their best judgment, consistent with the organization's policies; (c) identification of at least one senior person in the host organization who will serve as host to the award; and (d) approval by a department head or above at the host organization.

These items may be included as Supplementary Documentation in Section I of the proposal or in the Project Description, but not as an Appendix.

ELIGIBILITY

To be eligible for these awards, the PI must hold a tenured or tenure-track position at the academic institution submitting the proposal and have a strong background in one of the disciplines within the purview of the Division of Mathematical Sciences (see the DMS Web page at <http://www.nsf.gov/mps/dms>).

AWARD INFORMATION

The duration of the award will be for a twelve month period. It is expected that up to 10 awards will be made depending on the quality of the proposals submitted and the availability of funding. The total grant will not exceed \$100,000 per award. Requests of additional amounts for equipment may be considered. The need for such equipment must be well documented in the proposal. Other allowable costs can be found in Chapter VI of the NSF Grant Proposal Manual (NSF 95-26, or subsequent version).

DMS is very interested in fostering significant new projects that could arise from IGMS grants. Therefore it welcomes proposals that build on IGMS projects. Grantees are invited to explore this possibility with the Division of Mathematical Sciences following their IGMS grants.

PROPOSAL PREPARATION & SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions.

Proposals submitted in response to this proposal solicitation should be prepared and submitted in accordance with the general guidelines contained in the *Grant Proposal Guide* (GPG), NSF 99-2. The complete text of the GPG (including electronic forms) is available electronically on the NSF Web site at: <http://www.nsf.gov/>. Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone 301.947.2722 or by e-mail from pubs@nsf.gov.

All proposals must be submitted via FastLane. Proposers are reminded to identify the activity solicitation number (NSF 99-157) in the program announcement/solicitation block on the NSF Form 1207, "*Cover Sheet for Proposal to the National Science Foundation*." The cover sheet should also identify the DIVISION OF MATHEMATICAL SCIENCES as the organizational unit to receive the proposal. This can be done by clicking the "Add Organizational Unit" button, which can be found on the Cover Sheet Screen within the FastLane Proposal Preparation Module, and selecting the item from the pull-down menu. Compliance with this requirement is critical to determining the relevant proposal processing guidelines. Failure to submit this information may delay processing.

The proposal must consist of the following parts:

- (a) Cover page with institutional certifications – NSF Standard FastLane Form 1207 (10/98).
- (b) Information about Principal Investigators/Project Directors – NSF Standard FastLane Form 1225 (10/98). This form will be generated automatically by FastLane.

- (c) Project Summary, up to 250 words – NSF Standard FastLane Form
- (d) Table of Content – NSF Standard FastLane Form 1359 (10/98). This form will be generated automatically by FastLane.
- (e) The Project Description is subject to strict page limitations, as described below. **These page limits will be strictly enforced. Proposals not adhering to these page limitations will be returned.** The Project Description consists of each of the following items:
- (f) Bibliography
- (g) A full description of the total level of current and pending support from all sources for the key personnel using NSF Standard FastLane Form 1239 (10/98).
- (h) Biographical sketches. For all key personnel, please provide a brief biographical sketch, using the standard FastLane form. Do not exceed two pages per person for the sketch. For each individual, include up to one additional page describing how that individual will contribute to the project.
- (i) Budget. Include a proposed budget using NSF Standard FastLane Form 1030 (10/98), separate annual budgets for each year, and a detailed budget justification/explanation (up to 3 pages).
- (j) A description of the facilities (including laboratories and computational facilities) that will be made available to the project. Use NSF Standard FastLane Form 1363 (7/95).

B. Budgetary Information.

Award amounts of \$100,000 per year for proposals submitted in response to this solicitation.

C. Proposal Due Dates.

All proposals must be submitted via FastLane. Electronic copies of proposals, the proposal **MUST** be submitted by 5:00 PM, your local time, the 2nd Friday in December. Copies of the signed proposal cover sheet must be submitted in accordance with the instructions identified below.

Submission of Signed Cover Sheets. For proposals submitted electronically via FastLane, the signed proposal Cover Sheet (NSF Form 1207) should be forwarded to the following address and received by NSF by the first Monday in December:

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

A proposal may not be processed until the complete proposal (including signed Cover Sheet) has been received by NSF.

D. FastLane Requirements.

The NSF FastLane system is available for electronic preparation and submission of a proposal through the Web at the FastLane Web site at <<http://www.fastlane.nsf.gov>>. The Sponsored Research Office (SRO or equivalent) must provide a FastLane Personal Identification Number (PIN) to each Principal Investigator (PI) to gain access to the FastLane "Proposal Preparation" application. PIs that have not submitted a proposal to NSF in the past must contact their SRO to be added to the NSF PI database. This should be done as soon as the decision to prepare a proposal is made.

In order to use NSF FastLane to prepare and submit a proposal, the following are required:

Browser (must support multiple buttons and file upload)

- Netscape 3.0 or greater
- Microsoft Internet Explorer 4.0 or greater

PDF Reader (needed to view/print forms)

- Adobe Reader 3.0 or greater

PDF Generator (needed to create project description)

- Adobe Acrobat 3.01 or greater
- Aladdin Ghostscript 5.10 or greater

A list of registered institutions and the FastLane registration form are located on the FastLane Web page.

PROPOSAL REVIEW INFORMATION

A. Merit Review Criteria.

Reviews of proposals submitted to NSF are solicited from peers with expertise in the substantive area of the proposed research or education project. These reviewers are selected by program officers charged with the oversight of the review process. NSF invites the proposer to suggest, at the time of submission, the names of appropriate or inappropriate reviewers. Care is taken to ensure that reviewers have no conflicts with the proposer. Special efforts are made to recruit reviewers from non-academic institutions, minority serving institutions, adjacent disciplines to that principally addressed in the proposal, etc.

Proposals will be reviewed against the following general merit review criteria established by the National Science Board. Following each criterion are potential considerations that the reviewer may employ in the evaluation. These are suggestions and not all will apply to any given proposal. Each reviewer will be asked to address only those that are relevant to the proposal and for which he/she is qualified to make judgments.

What is the intellectual merit of the proposed activity?

How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources?

What are the broader impacts of the proposed activity?

How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society?

PIs should address the following elements in their proposal to provide reviewers with the information necessary to respond fully to the above-described NSF merit review criteria. NSF staff will give these elements careful consideration in making funding decisions.

Integration of Research and Education

One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of 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 Programs, Projects, and Activities

Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- are essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports. 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.

In addition to the National Science Board merit review criteria, reviewers will be asked to apply several equally-weighted activity specific criteria when reviewing IGMS proposals. These criteria are:

- (1) Competence:** The quality of independent research and accomplishment of the PI in his or her own area.
- (2) Movement:** The degree of movement by the PI beyond his or her own areas of expertise. Bolder moves will be favored over minor, incremental changes or additions.
- (3) Consequence:** The degree of expected impact of the grant activity on the PI's own research, as well as on the development of students in both disciplines involved.

B. Merit Review Process.

Most of the proposals submitted to NSF are reviewed by mail review, panel review, or some combination of mail and panel review. It is anticipated that panel reviews will be used to evaluate the proposals, although *ad hoc* mail reviews may also be solicited.

All proposals are carefully reviewed by at least three persons outside NSF who are experts in the particular field represented by the proposal. Reviewers will be asked to formulate a recommendation to either support or decline each proposal. A program officer assigned to manage the proposal's review will consider the advice of reviewers and will formulate a recommendation. In most cases, proposers will be contacted by the program officer after his or her recommendation to award or decline funding has been approved by his or her supervisor, the division director. This informal notification is not a guarantee of an eventual award. NSF will be able to tell applicants whether their proposals have been declined or recommended for funding within six months for 95 percent of proposals in this category. The time interval begins on the proposal deadline or target date or from the date of receipt, if deadlines or target dates are not used by the activity. 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 for review of business, financial and policy implications and the processing and issuance of a grant or other agreement. Proposers are cautioned that only a Grants Officer may make commitments, obligations or awards on behalf of NSF or authorize the expenditure of funds. No commitment on the part of NSF should be inferred from technical or budgetary

discussions with an NSF program officer. A Principal Investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the NSF Grants Officer does so at its own risk.

AWARD ADMINISTRATION INFORMATION

A. Notification of the Award.

Notification of the award is made *to the submitting organization* by a Grants Officer in the Division of Grants and Agreements (DGA). Organizations whose proposals are declined will be advised as promptly as possible by the cognizant NSF Program Division administering the program. Verbatim copies of reviews, not including the identity of the reviewer, will be provided automatically to the Principal Investigator.

B. Grant Award Conditions.

An NSF grant consists of: (1) the award letter, which includes any special provisions applicable to the grant and any numbered amendments thereto; (2) the budget, which indicates the amounts, by categories of expense, on which NSF has based its support (or otherwise communicates any specific approvals or disapprovals of proposed expenditures); (3) the proposal referenced in the award letter; (4) the applicable grant conditions, such as Grant General Conditions (NSF GC-1)* or Federal Demonstration Partnership Phase III (FDP) Terms and Conditions* and (5) any NSF brochure, program guide, announcement or other NSF issuance that may be incorporated by reference in the award letter. Electronic mail notification is the preferred way to transmit NSF grants to organizations that have electronic mail capabilities and have requested such notification from the Division of Grants and Agreements.

* These documents may be accessed electronically on NSF's Web site at: <<http://www.nsf.gov/>>. Paper copies may be obtained from the NSF Publications Clearinghouse, telephone 301.947.2722 or by e-mail from pubs@nsf.gov.

More comprehensive information on NSF Award Conditions is contained in the NSF *Grant Policy Manual* (GPM) Chapter II, (NSF 95-26) available electronically on the NSF Web site. The GPM also is available in paper copy by subscription from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. The GPM may be ordered through the GPO Web site at: <<http://www.gpo.gov/>>.

C. Reporting Requirements.

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant Program Officer at least 90 days before the end of the current budget period.

Within 90 days after expiration of a grant, the PI also is required to submit a final project report. Approximately 30 days before expiration, NSF will send a notice to remind the PI of the requirement to file the final project report. Failure to provide final technical reports delays NSF review and processing of pending proposals for that PI. PIs should examine the formats of the required reports in advance to assure availability of required data.

NSF has implemented 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 97-100) includes information on: Administration and Management Information; Accounting System Requirements and Auditing Information; and 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 at: <<http://www.nsf.gov/cgi-bin/getpub?nsf97100>>.

CONTACTS FOR ADDITIONAL INFORMATION

General inquiries should be made to the **Interdisciplinary Grants in the Mathematical Sciences Activity**, Lloyd Douglas, Program Officer, Room 1025, Division of Mathematical Sciences, National Science Foundation, Arlington, VA 22230, telephone (703) 306-1874, e-mail: ldouglas@nsf.gov. For questions related to use of FastLane, contact Florence Rabanal, (703) 306-1998, dmsfl@nsf.gov.

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 NSF Guide to Programs only will be available electronically, at <<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, available electronically on the NSF Web site at: <<http://www.nsf.gov/home/ebulletin/>>. The direct URL for recent issues of the 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.

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 (FASED) 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 proposal forms and project reports is solicited under the authority of the National Science Foundation Act of 1950, as amended. The information on proposal forms will be used in connection with the selection of qualified proposals; project reports submitted by awardees will be used for program evaluation and reporting within the Executive Branch and to Congress. The information requested may be disclosed to qualified reviewers and staff assistants as part of the review process; to applicant institutions/grantees to provide or obtain data regarding the proposal review process, award decisions, or the administration of awards; to government contractors, experts, volunteers and researchers and educators as necessary to complete assigned work; to other government agencies needing information as part of the review process or in order to coordinate programs; and to another Federal agency, court or party in a court or Federal administrative proceeding if the government is a party. Information about Principal Investigators may be added to the Reviewer file and used to select potential candidates to serve as peer reviewers or advisory committee members. See Systems of Records, NSF-50, "Principal Investigator/Proposal File and Associated Records," 63 Federal Register 267 (January 5, 1998), and NSF-51, "Reviewer/Proposal File and Associated Records," 63 Federal Register 268 (January 5, 1998). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of receiving an award.

Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions. Send comments regarding this burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to: 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>.

Catalogue of Federal Domestic Assistance (CFDA) No.: 47.049 – Mathematical and Physical Sciences
OMB No.: 3145-0058