

Solar, Heliospheric, and INterplanetary Environment (SHINE)

Program Solicitation

NSF 02-189

DIVISION OF ATMOSPHERIC SCIENCES

**FULL PROPOSAL DEADLINE(S): February 21, 2003
By 5:00 p.m. proposer's local time**



NATIONAL SCIENCE FOUNDATION

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SUMMARY OF PROGRAM REQUIREMENTS

GENERAL INFORMATION

Program Title: Solar, Heliospheric, and INterplanetary Environment (SHINE)

Synopsis of Program: SHINE is an affiliation of researchers within the solar, interplanetary, and heliospheric communities, dedicated to promoting enhanced understanding of and predictive capabilities for solar processes which affect the interplanetary medium, especially those which create heliospheric disturbances. Proposals are solicited for research directly related to topics under consideration and discussion at workshops organized by SHINE. The awards will include scientific grants for established investigators and one award for a post-doctoral research position. Information on current activities of SHINE may be found at the web site <http://www.shinegroup.org/>

Cognizant Program Officer(s):

- Thomas J. Bogdan, Solar Terrestrial Research, Program Director, Geosciences, Atmospheric Sciences, 775, telephone: (703) 292-8529, e-mail: tbogdan@nsf.gov.

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

- 47.050 --- Geosciences

ELIGIBILITY INFORMATION

- **Organization Limit:** None
- **PI Eligibility Limit:** None
- **Limit on Number of Proposals:** None

AWARD INFORMATION

- **Anticipated Type of Award:** Continuing Grant , and one two-year Postdoctoral Fellowship Award.
- **Estimated Number of Awards:** 4 to 6
- **Anticipated Funding Amount:** \$500,000 in FY 2003 pending availability of funds.

PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions

- **Full Proposals:** Supplemental Preparation Guidelines
 - The program announcement/solicitation contains supplements to the standard Grant Proposal Guide (GPG) proposal preparation guidelines. Please see the full program announcement/solicitation for further information.

B. Budgetary Information

- **Cost Sharing Requirements:** Cost Sharing is not required.
- **Indirect Cost (F&A) Limitations:** Not Applicable.
- **Other Budgetary Limitations:** Other budgetary limitations apply. Please see the full program announcement/solicitation for further information.

C. Deadline/Target Dates

- **Letters of Intent (*optional*):** None
- **Preliminary Proposals (*optional*):** None
- **Full Proposal Deadline Date(s):** February 21, 2003
By 5:00 p.m. proposer's local time

D. FastLane Requirements

- **FastLane Submission:** Required
- **FastLane Contact(s):**
 - Ruth Joel, Program Assistant, Geosciences, Atmospheric Sciences, 775 S, telephone: (703) 292-8522, e-mail: rjoel@nsf.gov.

PROPOSAL REVIEW INFORMATION

- **Merit Review Criteria:** National Science Board approved criteria. Additional merit review considerations apply. Please see the full program announcement/solicitation for further information.

AWARD ADMINISTRATION INFORMATION

- **Award Conditions:** Standard NSF award conditions apply.
- **Reporting Requirements:** Standard NSF reporting requirements apply.

I. INTRODUCTION

The Solar Terrestrial Research Program of the Division of Atmospheric Sciences of the National Science Foundation (NSF) solicits proposals in support of the research activities of the community-based organization SHINE. Proposals must meet the standards for intellectual merit and programmatic relevance of the Solar Terrestrial Research Program. The broader impact of submitted proposals will be evaluated in consideration of the relation of the proposed activity to the goals and objectives of SHINE, and the likelihood that the work will contribute directly to the interactive process at SHINE workshops.

II. PROGRAM DESCRIPTION

SHINE is an affiliation of researchers within the solar, interplanetary, and heliospheric communities, dedicated to promoting enhanced understanding of and predictive capabilities for solar processes which affect the interplanetary medium, especially those which create heliospheric disturbances. Information on current activities of SHINE may be found at the web site <http://www.shinegroup.org/>

Activities undertaken under the auspices of SHINE now constitute a key part of Solar Terrestrial Research supported by the National Science Foundation. SHINE fosters research on processes by which magnetic fields and particles are produced by the Sun and/or accelerated in interplanetary space and on the mechanisms by which these fields and particles are transported to the Earth through the inner heliosphere. SHINE research in particular focuses upon the connection between events and phenomena on the Sun and the corresponding solar wind structures in the inner heliosphere. The goal of the research is to enhance both our physical understanding as well as future predictive capabilities. SHINE is therefore complementary to, but distinct from the Space Weather initiatives undertaken by the National Science Foundation and other agencies. The emphasis of SHINE is on basic research into the solar and heliospheric processes, while the focus of the National Space Weather Program is on practical applications related to the mitigation of the adverse effects of space weather at Earth.

Major topics under study by SHINE include variations in the solar wind and interplanetary magnetic field and plasma structure, the initiation and propagation of coronal mass ejections, and the production and transport of energetic particles. Proposals that utilize a broad range of approaches and methods are encouraged, but the relationship of the research to the SHINE goals must be made clear. Topics of relevance include, but are not limited to:

1. Solar properties of CMEs and related phenomena, including their origin and near-Sun evolution, and the conditions that lead to their occurrence.
2. Interplanetary characteristics of CMEs, including their propagation through, and their interaction with, the background solar wind, including the connections between interplanetary and near-Sun characteristics.
3. Acceleration of solar energetic particles by eruptive phenomena on the Sun, such as flares and CMEs, and their subsequent transport and shock acceleration in the interplanetary medium.
4. Quasi-steady structure of the corona and interplanetary medium, as it relates to geoeffective phenomena in general. This includes understanding or characterizing the background solar wind and how it evolves, and its relationship to solar properties such as coronal holes, streamers and filaments.
5. Solar cycle dependence of the above phenomena.

Studies that seek to use multiple data sources (ground-based observations, space-based remote sensing, and in situ measurements) and which combine theory/modeling with analysis of observations are especially encouraged.

Normally, SHINE awards are made for a duration of three years, but applicants may request from one to five years of funding provided the requested duration is adequately justified.

In addition to the competition for research grants, a two-year award will be made for post-doctoral research support for a recent Ph.D. graduate. The tenure of this award may be at the institution or facility of the applicants choice, and either the applicant or a suitable advisor at the performing institute may be designated as principal investigator.

III. ELIGIBILITY INFORMATION

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

IV. AWARD INFORMATION

Under this announcement, proposals may be submitted for any funding amount up to \$200,000 per year for up to five years. Grants may be awarded in a wide variety of sizes and durations, but the typical duration is expected to be for three years. NSF expects to fund approximately 4-6 awards depending on the quality of submissions and the availability of funds. In exceptional cases, awards for up to five years may be considered if the justification and promise are compelling. One post-doctoral fellowship award will be made for two years at a stipend level of \$45,000 per year, plus any allowable employee benefits and institutional overhead. Approximately \$500,000 will be available for this initiative in FY 2003, with a similar amount for continuing awards in FY 2003 and FY 2004.

Anticipated date of awards: May 2003.

V. PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions

Full Proposal:

Proposals submitted in response to this program announcement/solicitation should be prepared and submitted in accordance with the general guidelines contained in the NSF *Grant Proposal Guide* (GPG). The complete text of the GPG is available electronically on the NSF Web Site at: <http://www.nsf.gov/cgi-bin/getpub?gpg>. 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.

The title on the cover sheet of proposals submitted in response to this announcement must begin with the word "SHINE".

Proposals must include a section in the Project Description that details the relevance of the proposed research to SHINE activities and goals. This section must also outline the plans of senior investigators and students to participate in workshops sponsored by SHINE.

Proposers are reminded to identify the program solicitation number (Not Specified) in the program announcement/solicitation block on the proposal Cover Sheet. Compliance with this requirement is critical to determining the relevant proposal processing guidelines. Failure to submit this information may delay processing.

B. Budgetary Information

Cost sharing is not required in proposals submitted under this Program Solicitation.

Other Budgetary Limitations:

Proposal budgets may not exceed \$200,000 per year for five years.

Post-doctoral awards will be for two years at a stipend level of \$45,000 per year plus any allowable employee benefits and institutional overhead.

C. Deadline/Target Dates

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

Full Proposals by 5:00 PM proposer's local time: February 21, 2003

D. FastLane Requirements

Proposers are required to prepare and submit all proposals for this Program Solicitation through the FastLane system. Detailed instructions for proposal preparation and submission via FastLane are available at: <http://www.fastlane.nsf.gov/a1/newstan.htm>. For FastLane user support, call the FastLane Help Desk at 1-800-673-6188 or e-mail fastlane@nsf.gov. The FastLane Help Desk answers general technical questions related to the use of the FastLane system. Specific questions related to this Program Solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this announcement/solicitation.

Submission of Electronically Signed Cover Sheets. The Authorized Organizational Representative (AOR) must electronically sign the proposal Cover Sheet to submit the required proposal certifications (see [Chapter II, Section C](#) of the Grant Proposal Guide for a listing of the certifications). The AOR must provide the required electronic certifications within five working days following the electronic submission of the proposal. Proposers are no longer required to provide a paper copy of the signed Proposal Cover Sheet to NSF. Further instructions regarding this process are available on the FastLane website at: <http://www.fastlane.nsf.gov>.

VI. PROPOSAL REVIEW INFORMATION

A. NSF Proposal Review Process

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

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 (NSB 97-72). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

On July 8, 2002, the NSF Director issued Important Notice 127, *Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion*. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions.

In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative.

Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects.

The two National Science Board approved merit review criteria are listed below (see the [Grant Proposal Guide](#) Chapter III.A for further information). The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgements.

What is the intellectual merit of the proposed activity?

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

What are the broader impacts of the proposed activity?

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

NSF staff will give careful consideration to the following in making funding decisions:

Integration of Research and Education

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

Integrating Diversity into NSF Programs, Projects, and Activities

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

Additional Review Criteria

Under the "Broader Impact" criterion, the reviewer must address the relevance of the proposed research to the goals and objectives of SHINE, and the likelihood that the work will contribute directly to the interactive process at SHINE workshops.

B. Review Protocol and Associated Customer Service Standard

All proposals are carefully reviewed by at least three other persons outside NSF who are experts in the particular field represented by the proposal. Proposals submitted in response to this announcement/solicitation will be reviewed by Mail and/or Panel Review.

Reviewers will be asked to formulate a recommendation to either support or decline each proposal. The Program Officer assigned to manage the proposal's review will consider the advice of reviewers and will formulate a recommendation.

A summary rating and accompanying narrative will be completed and submitted by each reviewer. In all cases, reviews are treated as confidential documents. Verbatim copies of reviews, excluding the identities of reviewers, are sent to the Principal Investigator/Project Director by the Program Director. In addition, the proposer will receive an explanation of the decision to award or decline funding.

In most cases, proposers will be contacted by the Program Officer after his or her recommendation to award or decline funding has been approved by the Division Director. This informal notification is not a guarantee of an eventual award.

NSF is striving to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. The time interval begins on the closing date of an announcement/solicitation or the date of proposal receipt (whichever is later). The interval ends when the Division Director accepts the Program Officer's recommendation.

In all cases, after programmatic approval has been obtained, the proposals recommended for funding will be forwarded to the Division of Grants and Agreements for review of business, financial, and policy implications and the processing and issuance of a grant or other agreement. Proposers are cautioned that only a Grants and Agreements Officer may make commitments, obligations or awards on behalf of NSF or authorize the expenditure of funds. No commitment on the part of NSF should be inferred from technical or budgetary discussions with a NSF Program Officer. A Principal Investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the NSF Grants and Agreements Officer does so at their own risk.

VII. AWARD ADMINISTRATION INFORMATION

A. Notification of the Award

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

B. Award Conditions

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

*These documents may be accessed electronically on NSF's Web site at http://www.nsf.gov/home/grants/grants_gac.htm. 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, available electronically on the NSF Web site at <http://www.nsf.gov/cgi-bin/getpub?gpm>. The GPM is also for sale through the Superintendent of Documents, Government Printing Office (GPO), Washington, DC 20402. The telephone number at GPO for subscription information is (202) 512-1800. The GPM may be ordered through the GPO Web site at <http://www.gpo.gov>.

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 the expiration of an award, the PI also is required to submit a 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.

PIs are required to use NSF's electronic project reporting system, available through FastLane, for preparation and submission of annual and final project reports. This system permits electronic submission and updating of project reports, including information on project participants (individual and organizational), activities and findings, publications, and other specific products and contributions. PIs will not be required to re-enter information previously provided, either with a proposal or in earlier updates using the electronic system.

VIII. CONTACTS FOR ADDITIONAL INFORMATION

General inquiries regarding Solar, Heliospheric, and INterplanetary Environment (FY03) should be made to:

- Thomas J. Bogdan, Solar Terrestrial Research, Program Director, Geosciences, Atmospheric Sciences, 775, telephone: (703) 292-8529, e-mail: tbogdan@nsf.gov.

For questions related to the use of FastLane, contact:

- Ruth Joel, Program Assistant, Geosciences, Atmospheric Sciences, 775 S, telephone: (703) 292-8522, e-mail: rjoel@nsf.gov.

IX. OTHER PROGRAMS OF INTEREST

The NSF *Guide to Programs* is a compilation of funding for research and education in science, mathematics, and engineering. The NSF *Guide to Programs* is available electronically at <http://www.nsf.gov/cgi-bin/getpub?gp>. General descriptions of NSF programs, research areas, and eligibility information for proposal submission are provided in each chapter.

Many NSF programs offer announcements or solicitations concerning specific proposal requirements. To obtain additional information about these requirements, contact the appropriate NSF program offices. Any changes in NSF's fiscal year programs occurring after press time for the *Guide to Programs* will be announced in the NSF [E-Bulletin](#), which is updated daily on the NSF web site at <http://www.nsf.gov/home/ebulletin>, and in individual program announcements/solicitations. Subscribers can also sign up for NSF's [Custom News Service](#) (<http://www.nsf.gov/home/cns/start.htm>) to be notified of new funding opportunities that become available.

There are three other programs related to the Solar Heliospheric and INterplanetary Environment program. The National Space Weather Program (NSWP) is handled by the Upper Atmospheric Research Section of the Division of Atmospheric Sciences (which includes the Aeronomy, Magnetosphere, and Solar-Terrestrial Physics Programs). The Geospace Environment Modeling (GEM) program is handled by the Magnetosphere Program, and the Coupling and Energetic Dynamics of Atmospheric Regions (CEDAR) program is handled through the Aeronomy Program.

ABOUT THE NATIONAL SCIENCE FOUNDATION

The National Science Foundation (NSF) funds research and education in most fields of science and engineering. Awardees 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, although some programs may have special requirements that limit eligibility.

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 GPG Chapter 11, Section D.2 for instructions regarding preparation of these types of proposals.

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 about NSF programs, employment or general information. TDD may be accessed at (703) 292-5090, FIRS at 1-800-877-8339.

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 proposal review process; to applicant institutions/grantees to provide or obtain data regarding the proposal review process, award decisions, or the administration of awards; to government contractors, experts, volunteers and researchers and educators as necessary to complete assigned work; to other government agencies needing information as part of the review process or in order to coordinate programs; and to another Federal agency, court or party in a court or Federal administrative proceeding if the government is a party. Information about Principal Investigators may be added to the Reviewer file and used to select potential candidates to serve as peer reviewers or advisory committee members. See Systems of Records, NSF-50, "Principal Investigator/Proposal File and Associated Records," 63 Federal Register 267 (January 5, 1998), and NSF-51, "Reviewer/Proposal File and Associated Records," 63 Federal Register 268 (January 5, 1998). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of receiving an award.

An agency may not conduct or sponsor, and a person is not required to respond to an information collection unless it displays a valid OMB control number. The OMB control number for this collection is 3145-0058. Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions. Send comments regarding this burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to: Suzanne Plimpton, Reports Clearance Officer, Division of Administrative Services, National Science Foundation, Arlington, VA 22230.

OMB control number: 3145-0058.