NSF -50

System Name:

Principal Investigator/Proposal File and Associated Records.

Security Classification:

None.

System Location:

NSF headquarters, Virginia.

Categories of Individuals Covered by the System:

Individuals (known as principal investigators) who have requested and/or received research or other support from NSF, either independently or through an academic or other institution.

Categories of Records in the System:

 (1) Proposal Data – Names and addresses of principal investigators (PIs); NSF-assigned non-sensitive identification numbers; PI demographic data, if voluntarily provided; proposals and supporting data from applicants, either individuals or institutions; and financial data.

 (2) Review Data – Evaluations from peer reviewers, including reviews and/or panel discussion summaries as applicable or other related material.

 (3) Post-Award Data for Awards – Project reports on results of projects funded by NSF which may include major research activities and findings; research training; educational and outreach activities; and products such as citations to publications produced, contributions resulting from the research, and other related material.

Authority for Maintenance of the System:

42 U.S.C. 1870; 44 U.S.C. 3101.

Purpose(s):

 (1) To evaluate proposals for NSF-funded projects using data generated as part of the NSF merit review process.

 (2) To identify and contact scientists, engineers, or educators, who may be interested in applying for support, in attending a scientific or similar meeting, in applying for a position, or in

taking advantage of some similar opportunity or who may be interested in serving as reviewers in the peer review system or for inclusion on a panel or advisory committee. Information from this system for this purpose may be entered in NSF System 51, "Reviewer/Proposal File and Associated Records," to be used as a source of potential candidates to serve as reviewers as part of the NSF merit review process, or for inclusion on a review panel or advisory committee.

(3) To evaluate progress and results of NSF-funded projects for program management, evaluation or reporting.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses:

NSF standard routine uses apply. In addition, information may be disclosed to:

(1) Qualified reviewers for their opinion and evaluation of applicants and their proposals as part of the NSF application review process; and to other Government agencies or other entities needing information regarding applicants or nominees as part of a joint application review process, or in order to coordinate programs or policy.

(2) Individual or institutional applicants and grantee institutions to provide or obtain data as part of the application review process, award decisions, or administering grant awards.

(3) Other entities when merging records with other computer files to carry out statistical studies for or otherwise assist NSF with program management, evaluation, or reporting. Disclosure may be made for this purpose to NSF contractors and collaborating researchers, and other government agencies and qualified research institutions and their staffs. Disclosures are made only after scrutiny of research protocols and with appropriate controls. The results of such studies are statistical in nature and do not identify individuals.

(4) Contractors, grantees, volunteers, experts, consultants, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, advisory committee, committee of visitors, or other arrangement with or for the Federal government, as necessary to carry out their duties in pursuit of the purposes described above. The contractors are subject to the provisions of the Privacy Act.

(5) The name, home institution, field of study, city, state and zip code of PIs whose proposals are selected for funding by NSF may be released for public information/affairs purposes including press releases.

Policies and Practices for Storing Retrieving, Accessing, Retaining and Disposing of Records in the System:

Storage:

Records are stored in paper and/or on electronic digital media.

Retrievability:

Records are retrieved by a PI's name or identification number, or by proposal number.

Safeguards:

Records are protected by administrative, technical, and physical safeguards administered by NSF.

Retention and Disposal:

Records are maintained and disposed of in accordance with NARA approved record schedules. Awarded proposals are permanent records and are transferred to NARA in accordance with the approved record schedule. Declined or withdrawn paper proposals (submitted prior to the eJacket system) are destroyed five years after close of year in which declined or withdrawn. Declined electronic proposals (submitted through eJacket) are retained in electronic archive on site at NSF for ten years after close of year in which declined or withdrawn. Electronic files are destroyed at the end of the ten year retention period.

System Manager(s) and Address:

Director/Head or designee of particular Division or Office maintaining such records, NSF headquarters, Virginia.

Notification Procedure:

Follow the Requesting Access to Records procedures found at 45 CFR Part 613.

Record Access Procedures:

Follow the Requesting Access to Records procedures found at 45 CFR Part 613.

Contesting Record Procedures:

Follow the procedures found at 45 CFR Part 613.

Record Source Categories:

Record sources are PIs, academic or other applicant institutions involved, proposal reviewers, and NSF program officials.

Exemptions Claimed for the System:

The portions of this system consisting of data that would identify reviewers or other persons supplying evaluations of NSF proposals have been exempted at 45 CFR Part 613.5, pursuant to 5 U.S.C. 552a(k)(5).