

coordinating officials' guide

NSF GRADUATE RESEARCH FELLOWSHIPS

**NATIONAL SCIENCE FOUNDATION
DIRECTORATE FOR EDUCATION AND HUMAN RESOURCES
DIVISION OF GRADUATE EDUCATION**

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**NSF Graduate Research Fellowships
Coordinating Officials' Guide
For NSF Graduate Research Fellowships
and NSF Minority Graduate Research Fellowships**

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A. INTRODUCTION

The National Science Foundation (NSF) Graduate Research Fellowship Program consists of two competitions: NSF Graduate Fellowships and NSF Minority Graduate Fellowships. Each of these competitions has a component for Women in Engineering and Computer and Information Science. These fellowships are awarded to outstanding students for graduate study in the sciences, mathematics, and engineering.

1. Agreement

Funds for all Fellows attending a given U.S. institution are made available by means of a Fellowship Support Grant to the institution on the basis of a Fellowship Support Agreement (see section C) that is made a part of each grant by reference. In this Guide the term "fellowship" or "graduate fellowship" refers to both the Minority Graduate Fellowship and Graduate Fellowship.

2. Coordinating Officials

The president of each U.S. institution attended by NSF Graduate Fellows shall designate a Coordinating Official (CO) who serves as the principal point of contact between NSF, its Graduate Fellows, and all appropriate institutional offices. NSF relies heavily on the COs in the administration of its Graduate Fellowships. The primary objective of this

Coordinating Officials' Guide is to assist COs and other academic officers at U.S. institutions of higher education in administering these fellowships. Each year NSF publishes a *Directory of Coordinating Officials*, which lists the current COs and their institutional addresses. The NSF encourages the use of electronic mail for rapid communications: therefore, COs are asked to provide an updated Internet electronic mail address if available. In addition, please inform the Fellowship Program when there is a change of CO or alternate CO.

3. Pertinent Publications

This guide is one of four principal publications connected with the NSF Graduate Fellowship Program. The program *Announcement* (which includes information about the Graduate Fellowships and Minority Graduate Fellowships) is published each fall with the opening of a national competition, and is intended for prospective applicants. A booklet, entitled *Information for Graduate Research Fellows*, is distributed each spring to new awardees and, as required, to continuing Fellows. The *Directory of Coordinating Officials* is updated each year and published in early January. Each CO is provided with copies of the program *Announcement*, the *Coordinating Officials' Guide*, the *Information* booklet, and the *CO Directory*.

B. APPLICATION INFORMATION

1. NSF Graduate Research Fellowships

Graduate fellowships are awarded annually as one means of assuring the continued growth and progress of science, mathematics, and engineering in the U.S., including the encouragement of women, members of underrepresented minority groups, and students with disabilities to continue their professional development. By underwriting the future of students with high potential for careers in science, mathematics, or engineering, these fellowships represent long-range investments for the future of society. For this reason, they are distinct

from grants designed to underwrite specific research or project development, and normally do not require that special services be rendered by the recipient. In recent years, the fellowship process has opened for application in early September, with a closing date in early November, and an award date in mid-March the following year.

2. The NSF Act

The NSF Act of 1950 (42 U.S.C. 1861 et. seq), as amended, authorizes (and establishes certain limitations concerning) fellowships to be offered by the Foundation. The provisions pertaining to Graduate Fellows are as follows:

Sec. 10. The Foundation is authorized to award, within the limits of funds made available specifically for such purpose pursuant to section 16, scholarships and graduate fellowships for study and research in the sciences or in engineering at appropriate, accredited nonprofit American or appropriate foreign institutions selected by the recipient of such aid, for stated periods of time. Persons shall be selected for such fellowships from among citizens, nationals, or lawfully admitted permanent resident aliens of the United States, and such selections shall be made solely on the basis of ability; but in any case in which two or more applicants for fellowships are deemed by the Foundation to be possessed of substantially equal ability, and there are not sufficient fellowships available to grant one to each of such applicants, the available fellowship or fellowships shall be awarded to the applicants in such manner as will tend to result in a wide distribution of fellowships throughout the United States. Nothing contained in this Act shall prohibit the Foundation from refusing or revoking a fellowship award, in whole or in part, in the case of any applicant or recipient, if the National Science Board is of the opinion that such award is not in the best interests of the United States.

3. Eligibility Criteria

Provisions of the Graduate Research Fellowship Program are as stated in the *Announcement*. In general, graduate fellowships may be awarded only to citizens or nationals of the U.S.,* or permanent resident aliens of the United States at the time of application.

Graduate fellowships are awarded for study or work leading to advanced degrees in science, mathematics, and engineering as specified in the *Announcement*.

Awards are made for 3 years of support, tenable over a 5-year period and are intended for students at or near the beginning of their graduate study.

Except for a maximum of 3 additional months of support under Mentoring Assistantships for Minority Graduate Fellows as specified in the program *Announcement*, no student is eligible for more than 3 years of graduate fellowship support.

*The term "nationals of the U.S." designates a citizen of the U.S. or a native resident of a possession of the U.S., such as American Samoa. It

does not refer to a citizen of another country who has applied for U.S. citizenship.

4. Evaluation of Applicants

The applications of eligible candidates are reviewed by disciplinary panels. Evaluation is made on the basis of ability only, as evidenced by information supplied by the applicants, transcripts, confidential reference reports submitted on behalf of each applicant, and test scores from the Graduate Record Examinations. Consideration is also given to each applicant's potential ability to make significant contributions over an extended period of time to the sciences and engineering in the United States.

5. Selection of Fellows

The responsibility for selection of Fellows rests solely with NSF. Each year, NSF awards approximately 1,000 new three-year Graduate Fellowships. Non-awarded applicants otherwise deemed worthy of graduate fellowships by the panelists are accorded Honorable Mention and their names published, except for those who withhold permission. The lists are published to assist universities in their efforts to recruit graduate students.

6. Announcement of Awards

Graduate fellowship awards are announced after mid-March and rosters of new awardees and Honorable Mentions are available by accessing the NSF Home Page (URL: <http://www.nsf.gov/>). Applicants are expected to designate a preferred graduate institution at the time of application whether or not admission to that institution has been approved. Thus, the institution may not be aware that it has been selected by a fellowship applicant until awards are announced.

C. INSTITUTIONAL AGREEMENT

1. Procedures

The legal obligation of funds in support of graduate fellowships at U.S. institutions is made by continuing grants to those institutions enrolling Fellows. Each award will provide funds for the support of Fellows who are affiliated with the grantee institution.

This grant will be identified by the fiscal year from which funds are obligated and the fellowship year for which the funds are initially intended. At the beginning of the fall term, the Foundation will furnish an updated list of Fellows who have chosen to affiliate with the grantee institution. The new, annual obligation per Fellow will be based on the stipend and allowance levels specified in the program *Announcement*.

A grant offered in support of NSF Fellows is conditioned upon acceptance of the terms of this *Coordinating Officials' Guide*. Funds thereafter will be provided to the institution by grants and amendments if required.

2. Annual Cycle

The principal steps in NSF's annual administrative cycle of graduate fellowships are as follows:

- a. Successful applicants for new fellowships are notified of their awards after mid-March and are asked to indicate formal acceptance or declination by April 30.
- b. In the fall after all fellowship acceptances are received, each fellowship institution selected by new or continuing Fellows will be awarded a grant or an amendment to a continuing grant that will provide sufficient funds to support those Fellows for the following fellowship year, taking into consideration any available funds remaining in prior-year grants.
- c. In the event of changes in the number of Fellows just prior to or during a fellowship year, amendments will be issued as appropriate to cover these changes including any additional funds necessary to cover new obligations.

- d. The Foundation will prepare an estimate of each institution's actual funding needs during the current fellowship year, taking into account resignations and reservations of tenure. A copy of this *Estimate of Expenditure Report* will be sent to each institution. In most cases the funds already provided will equal or exceed the total need for a given year. Any balances will be applied in the following year to the support of any affiliated Fellows. Thus, the amount of new funds necessary for the following fellowship year will be reduced accordingly.
- e. Following each fellowship year, the institution is required to submit a *Graduate Fellowship Support Grant Expenditure Report* (NSF Form 961) and the *Expenditure Worksheet*. These forms will provide the official accounting for NSF funds expended on behalf of each Fellow during the reported fellowship year.

3. Additional Features

- a. In the case of institutions with very few (usually one) Fellows, arrangements will be made at the direction of NSF, when necessary, to reassign funds associated with any Fellow who changes to another institution. In the case of a resignation that leaves an institution without Fellows, the institution must return the excess funds to NSF when the grant is closed out.
- b. Fellows attending or planning to attend foreign institutions will receive individual grants each year funding the costs, not to exceed the maximum allowable, of their fellowships for that year. In the case of a subsequent transfer to a U.S. institution, support will be provided through the appropriate institutional Fellowship Support Grant.
- c. The first award of funds to an institution each fiscal year will be in the form of a new grant or as an amendment to a continuing grant. If needed, additional awards during the same fiscal year will be processed as amendments to the original grant.

4. Fellowship Support Agreement

The following is the text for the Fellowship Support Agreement between the National Science Foundation (the "Foundation") and each fellowship institution (the "Institution"). It will be incorporated by reference into the Fellowship Support Grant that funds NSF Graduate and Minority Graduate Fellows at that institution.

Under section 10 of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1869), the Foundation awards fellowships in the sciences and engineering at appropriate, accredited nonprofit United States institutions or appropriate foreign institutions selected by the recipients of such aid. One or more NSF Fellows must have enrolled in the Institution and others may do so in the future.

The Foundation and the Institution agree as follows:

(1a) From time to time the Foundation will make Fellowship Support Grants to the Institution providing funds for NSF Fellows. The Foundation will also furnish periodically an updated list of Fellows who have chosen to enroll in the Institution.

(1b) The institution will accept such grants, including any amendments to them (except that an amendment need not be accepted which adds NSF Fellows unless a corresponding increase in the amount of funds is provided or which reduces the amount of funds unless a corresponding reduction in the number of NSF Fellows is made), and administer them in accordance with the terms of this Agreement or any mutually agreed to amendments to it.

(1c) Grant funds may be expended for any NSF Fellows who are in compliance with applicable program guidelines. Funds from both current and prior year awards may be used to support any NSF Fellow duly enrolled at the Institution for an advanced degree in a field supported by NSF. The Foundation will periodically identify NSF Fellows known to be enrolled or planning to enroll at the Institution and will, on request, verify their fellowship status.

(2) The fellowship year for any NSF Fellow will begin in either the summer or fall term.

(3) Except to the extent that an NSF Fellow is receiving similar payments from another source, the

Institution will use grant funds for the payment of stipends in accordance with the provisions of the latest *NSF Graduate Research Fellowships Coordinating Officials' Guide* (NSF 97-26, or as subsequently revised, the "Guide") to those NSF Fellows actually enrolled at the Institution in a full-time program leading to an advanced degree in an eligible field and in compliance with the eligibility requirements of the Guide. Acting for the Foundation, fellowship institutions in the United States will pay stipends directly to NSF Fellows.

(4) The Institution may charge to any available Fellowship Support Grant a cost-of-education allowance (COE) for each NSF Fellow for each tenured fellowship year in which the NSF Fellow is actually enrolled in a full-time program. During tenure, NSF Fellows will be exempt from paying tuition and fees normally charged to students of similar academic standing, unless such charges are optional or are refundable. The Institution may require service of an NSF Fellow by appointment to appropriate teaching or research-related activities acceptable to and consistent with the goals of the NSF Fellow. The Foundation expects that any required service will contribute to the progress of the NSF Fellow toward an advanced degree and that attainment of the degree not be delayed significantly by these service requirements. The amount of the allowance is specified in the annual *Announcement* or in official correspondence from the NSF.

(5) Each January based on NSF Form 961, *Graduate Fellowship Support Grant Expenditure Report* [see section (9)], the Foundation will estimate the funds that will remain available in the active grants at the completion of that fellowship year and will notify the Institution of this estimate for verification.

(6) The amount of each grant (and any amendment) will be the Foundation's estimate of the maximum amount required to support the NSF Fellows during the funding period. It will be based on the NSF Fellows' tenures for the fellowship year plus the associated cost-of-education allowances plus any appropriate allowances outlined in the *NSF Graduate Research Fellowship Program Announcement*, taking into account the estimates made under section (5) above.

(7) The Institution will accept funds from other educational institutions when NSF Fellows covered by such funds enroll at the Institution. Similarly

where one or more NSF Fellows expected to enroll at the Institution actually enroll at other institutions, the Institution will transfer appropriate sums to those other institutions when requested by the Foundation.

(8a) Financial records, supporting documents, statistical records, and all other records pertinent to each grant shall be retained for a period of three years following the completion of the grant except that if an audit is initiated before the expiration of the three-year period, the records shall be retained until the audit has been concluded.

(8b) All administrative and accounting records relating to any grant are subject to inspection and audit by representatives of the Foundation, the cognizant Federal Audit Agency, or the Comptroller General of the United States at all reasonable times prior to the completion of the grant and for a period of three years thereafter.

(8c) Unless court action or audit proceedings have been initiated, microfilm copies may be substituted

for original records concerning these grants.

(9) Each December 1, the Institution will submit for each active grant a *Graduate Fellowship Support Grant Expenditure Report* (NSF Form 961) and *Expenditure Worksheet* reporting by Fellow's name and tenure period expenditures under each active grant during the preceding fellowship year. In addition, periodic reports of expenditures and acquisition of funds will be required in accordance with procedures prescribed in the *NSF Grant Policy Manual*, Section 452.

(10) Either party may terminate this Agreement by giving 90 days written notice to the other, but active grants will remain in effect unless the Foundation elects to terminate them.

(11) In administering this Agreement and any grant, the Institution will follow the provisions of the Guide, to the extent that they are not inconsistent with this Agreement as amended.

D. ADMINISTRATION OF FELLOWSHIPS

1. Coordinating Official

The Coordinating Official (CO) is the principal point of contact between the Foundation and its Fellows at each affiliated U.S. institution. Program information and administrative forms for institutional use are sent to the COs. In addition, all forms and other communications intended for Fellows are sent to the COs for distribution by their offices. Whenever appropriate, information copies of direct NSF correspondence with individual Fellows also are sent to the COs. NSF relies on the COs to certify the continued adherence of Fellows to fellowship requirements. Normally, once a Fellow has begun tenure and thus has become affiliated with a fellowship institution, no change in fellowship status or activity for which prior NSF approval is required will be considered unless endorsed (or supported) in writing by the CO.

2. Fellowship Period

The period of a fellowship includes three years of tenure, during which a Fellow receives funding to pursue graduate work, and two years of reserve, which may be used for alternate activities. Regardless, all NSF fellowship tenure must be

completed within five years of the fellowship starting date. Normally the fellowship period is divided into fellowship years, each comprised of a nine-month academic year (and up to three months of an associated summer). A fellowship year cannot be further subdivided into separate periods of utilization and reservation except for medical deferral (see section D.4.a.) or military deferral (see section D.4.b.). Each year of the fellowship period is funded and administered separately.

3. Tenure

Tenure is the period of time during which a fellowship is utilized by a Fellow to pursue an advanced degree in science, mathematics, or engineering and for which stipend payments are authorized. It includes periods of full-time research and independent study, whether or not the Fellow's institution is in session, as well as any normal, short vacation periods scheduled at the institution. All fellowships are funded for 12 months of tenure for each fellowship year, and may not be extended. No individual is eligible for more than 3 years of any NSF Graduate Research Fellowship support.

Recipients of new three-year awards may begin tenure in the summer following the award and must

begin fellowship tenure not later than the beginning of the fall term with the exception of reservation status (see section D.4.). In any case, all NSF fellowship tenure during any year in which a Fellow plans to use the award must start no later than the fall term of that year and must be completed by five years from the original starting date.

Since there is no expectation that three years of NSF fellowship support will be sufficient to complete a doctoral degree program, years of fellowship tenure may be interspersed with one or two years of other forms of support, which it is the Fellow's responsibility to locate and obtain. This practice is in keeping with the Foundation's objective of providing Fellows near the beginning of their graduate studies reasonable assurance of three years of fellowship support, with some flexibility left to Fellows as to when best use of tenure can be made.

a. Starting Date

The starting date of a fellowship is the date on which the Fellow actually begins full-time fellowship activities, and tenure is computed from that date. This need not necessarily coincide with a formal summer or fall academic session (though normally it does), and is not defined by the date on which a stipend check may be issued. The exact starting date is to be mutually arranged between the Fellow and the Coordinating Official. It is important that the records of COs show a starting date for each Fellow in order to establish when tenure entitlement for a given fellowship year ends, and a subsequent fellowship year begins. Those Minority Graduate Fellows who hold a Mentoring Assistantship must start their fellowship tenure the fall immediately following the mentoring period.

b. Termination of Tenure

A Fellow who terminates fellowship activities prior to the expected tenure completion date is entitled to stipend payments only for those months on fellowship tenure. For stipend payment purposes, the last month is defined as 14 or more days of tenure.

c. Reduction of Tenure

A Fellow may reduce the tenure of any fellowship from 12 to 9 months without penalty other than forfeiting 3 months of tenure and associated stipend.

d. Interruption of Tenure

In unusual circumstances and with prior approval, NSF will permit a brief interruption in tenure. Normally in such cases, stipend payments and tenure will be forfeited for the duration of the interruption.

e. Resignation of Tenure

A Fellow may resign a fellowship at any time. In such cases the Fellow is expected to inform the CO, who should then notify NSF of the resignation, the number of tenure months completed by the Fellow, and the cost-of-education allowance that will be claimed. A letter of explanation sent directly to NSF by the Fellow will be appreciated and held confidential.

f. Cancellation of Tenure

Fellows certified by their CO as making *unsatisfactory progress* toward a graduate degree will have all remaining years of tenure canceled by NSF (see D.10.).

4. Reservation

The years in which a fellowship is not utilized are said to be in reserve status. With prior Foundation approval, Fellows may reserve the first one or two years of NSF fellowship tenure to engage in activities (e.g., travel, work) other than those that would constitute the significant start or continuation of progress toward an advanced degree in science, mathematics, or engineering. In addition, with prior NSF approval, Fellows may reserve the first one or two years of NSF fellowship tenure to accept a one- or two-year highly competitive international fellowship, such as the British Marshall or Rhodes Scholarship, for study abroad.

When returning to active tenure after a period of reserve, Fellows may change start time from fall to summer or vice versa. When such a change in start time is made, NSF must be certain that no Fellow receives more than 36 months of NSF Graduate Fellowship support and that no Fellow is allowed more than five years from the summer or fall after the announcement of the award in which to utilize the fellowship support. Regardless, Fellows exercising this option must enter tenure of the NSF fellowship no later than the fall of the year that their reserve status ends.

Fellows reserving the first two years of their NSF fellowship must use their NSF fellowship in three consecutive years.

In either or both of the years that a Fellow does not utilize tenure, the fellowship normally will be reserved for the Fellow's future use during the permissible five-year fellowship period.

The first year of an NSF Fellowship cannot be reserved in order to allow an individual to use an alternative means of support to engage in graduate study in the United States

a. Medical Deferral

Should serious illness or other interruption occur that prevents full-time fellowship activity for an extended period, NSF may grant a medical deferral.

A Fellow requesting a medical deferral must secure a letter verifying the need for a medical deferral from a health care provider and notify the Coordinating Official, who should contact the Foundation. In the case of a medical deferral, the unused portion of the stipend and cost-of-education allowance will be reserved for later use by the Fellow. A letter from a health care provider should accompany a Fellow's request to resume tenure after being on medical deferral. A medical deferral may be granted for psychological as well as physical reasons, and the nature of the condition need not be disclosed. Moreover, a medical deferral does not jeopardize the award of the fellowship nor does it stigmatize a Fellow's reputation.

b. Military Deferral

Within a given fellowship year a brief interruption for duly authorized military service or training will be permitted with the approval of the Coordinating Official. In the case of a longer interruption resulting from active military service or from certain activities in lieu of service with the regular Armed Forces, provision can be made for reservation of a fellowship (or the balance of it) and reinstatement of the unused portion at a later date. In such cases a Fellow should notify the Foundation immediately in writing of these plans and request further instructions. Pay received by a Fellow for occasional attendance at military reserve or National Guard functions is exempted from limitations on supplementation of stipends.

5. Fellowship Institution

a. Institutional Affiliation

Fellows must be affiliated at all times during tenure with a non-profit U.S. or foreign institution of higher education. During a year in which a fellowship is reserved, the affiliated institution, for Foundation record purposes, will continue to be the institution at which tenure was most recently carried out, even if the Fellow subsequently severs connections with that institution. For this reason, NSF Form 719, *Declaration To Utilize, Reserve Or Terminate A Subsequent Year Of A 3-Year Graduate Fellowship Award*, will be sent during the year of reservation to the Coordinating Official at that institution. A change of institutions will be entered on the Foundation's records immediately prior to or during a period of fellowship reservation. For Fellows who reserve the first one or two years of fellowship tenure, the institution specified on the application form will be considered the fellowship institution unless the Fellow notifies the Foundation of a change.

A change of institution may be accompanied by a change in plan of research or study, which must be approved by the Foundation (see D.9.e.).

b. Change of Institution

(1) Before Starting Tenure

Since a Fellow's initial choice of a graduate institution is made at the time of application, NSF recognizes that some Fellows will want to change their designated fellowship institution before matriculation. A Fellow can indicate the change on the Acceptance/Declination Form for NSF Graduate Fellowship (NSF Form 179) that is to be submitted by April 30 following the award announcement.

(2) Between Fellowship Years

A request to change affiliated institutions between fellowship years is normally made at the time the Fellow submits the annual *Declaration to Utilize, Reserve or Terminate a Subsequent Year of a 3-Year Graduate Fellowship Award* (NSF Form 719) to the Coordinating Official. The signature of the CO on this form is usually sufficient to support the request. If a decision to change institutions is made subsequent to submission of the annual declaration, the Fellow must submit a written request to NSF

accompanied by a statement from the CO or Scientific Advisor indicating that the Fellow's work has continued to be satisfactory. In addition, evidence of acceptance at the new school should be submitted.

(3) During a Fellowship Year

A request to change affiliated institutions during a fellowship year must be accompanied by a statement from the CO or Scientific Advisor indicating that the Fellow's work has continued to be satisfactory. The CO will indicate the amount of stipend paid and the amount of the cost-of-education allowance claimed. The Fellow must submit a copy of the evidence of acceptance in a graduate degree program from the proposed affiliated institution. The COs of the two institutions involved in any such change should keep in mind NSF guidelines for payment of the cost-of-education allowance (D.8.). The CO of the first institution may claim a cost-of-education allowance based on the Fellow's tenure at that institution up to the maximum indicated in D.8. The balance between the amount claimed and the cost-of-education allowance for the specified fellowship year, if any, is then the maximum available to the second institution.

6. Stipend

The Graduate Fellowship stipend is specified each year in the *Announcement* and the *Information for Graduate Research Fellows* booklet and is subject to periodic review. No dependency allowance is provided. There is no travel allowance for the purpose of assisting any Fellow in reaching the affiliated institution in the U.S. or for any other domestic travel.

At U.S. fellowship institutions all arrangements for payment of fellowship stipends are handled by the affiliated institution through the Coordinating Official. Fellows should be made aware of the exact disbursement procedures and schedules that will be in effect.

The Foundation reserves the right to withhold a Fellow's stipend if the Fellow does not conform to the standards of conduct of the affiliated institution and the National Science Foundation.

7. Supplementation of Stipend by Fellowship Institution

The institution may, if it deems such action desirable, augment NSF Fellows' stipends from institutional funds in such amounts as are in accordance with the supplementation policies of the affiliated institution. In the context of this guideline, funds that the institution has obtained from external (including Federal) sources may be considered as institutional funds. This includes funds received by institutions from NSF cost-of-education allowances or overhead costs allowed under project grants. When appropriate under the guidelines of NSF project grants, funds from such grants may be used for supplementation.

a. Veteran's Benefits

The receipt of educational benefits from the Veterans Administration is not considered by NSF as payment supplementary to support from the Foundation. Under Section 178(a) of Title 38, U.S. Code, educational benefits from the Department of Veterans Affairs may be received concurrently with NSF support.

b. ROTC Training Allowance

Fellows enrolled for duly authorized ROTC training may accept the associated allowance. The allowance is not regarded by the Foundation as supplementation and may be received concurrently with such support.

c. Additional Support

The fellowship award does not provide allowances for special student needs, such as research expenses, travel to scientific conferences, travel to employment sites, computers, books and publications, fieldwork expenses, special study, and the like. However, Fellows may request support from other sources such as NSF's Facilitation Awards for Scientists and Engineers With Disabilities Program.

8. Cost-of-Education Allowance (COE)

For each Fellow on tenure, NSF provides a fixed cost-of-education allowance to the affiliated institution for a full fellowship year in an amount established annually and set forth in the *Announcement* and *Information* booklet. During tenure Fellows will be exempt from paying tuition and fees normally charged to students of similar

academic standing. A Fellow, however, is responsible for any fees or deposits that are refundable, in whole or in part, or that are of an optional nature, or that were incurred prior to actual start of fellowship tenure.

The Foundation makes available this fixed cost-of-education allowance without regard to the actual amount of tuition and fees involved. This policy is based on the desire of the Foundation to contribute approximately the same percentage of the actual costs of the graduate education of all Fellows, regardless of how various graduate institutions normally generate income from endowments, public funds, tuition or other sources. The actual use of the cost-of-education allowance is at the discretion of the affiliated institution.

The NSF will permit institutions the option of assigning appropriate teaching or research duties to Graduate Fellows. The NSF expects that any such duties will be acceptable to the Fellow and consistent with the Fellow's educational goals. Any such required duties should contribute to the timely progress of the Fellow toward an advanced degree (see D.9.b).

The NSF anticipates that any additional duties in lieu of tuition will be assigned judiciously, to enhance the overall educational experience of the Fellow. The use of this institutional authority will therefore be closely monitored in order to assure the continued integrity of the NSF Graduate Fellowship Program. Any institution intending to use this option should notify the Fellows in advance of matriculation.

The affiliated institution becomes entitled to one-half of the cost-of-education allowance when the Fellow begins tenure. If the Fellow remains on tenure into the following term, the institution becomes entitled to the remainder of the allowance. In the case of Fellows reinstated after a Foundation-approved deferral, the associated allowance will be one-half if the tenure is 6 months or less; prorated during the 7th, 8th, and 9th months, or the total amount for tenures of 9 to 12 months.

9. Fellowship Activities

a. Advanced Degree Enrollment

In addition to satisfactory institutional affiliation, each Fellow must be enrolled at all times during tenure in a full-time program leading to an advanced degree in one of the fields supported by the Foundation. However, the requirement of formal

registration may be waived during part of this tenure, when appropriate, if permitted by the policy of the fellowship institution, provided that the Fellow otherwise remains engaged in appropriate full-time fellowship activities.

b. Teaching

Each Fellow is required to devote full time to advanced scientific study or work during tenure. However, because it is generally accepted that a reasonable amount of teaching or similar activity constitutes a valuable part of the education and training of many graduate students, a Fellow may undertake a reasonable amount of such teaching, without NSF approval, at the affiliated institution. It is expected that furtherance of the Fellow's educational objectives and the gain of substantive teaching experience, not service to the institution as such, will govern such assignments. Compensation for such activities is to be governed by the restrictions outlined in section D.7.

c. Field Work (or Study at Another Institution)

If, in the opinion of the faculty of the affiliated institution, it is desirable for the Fellow to study, engage in field work or in research at another institution or laboratory during any part of fellowship tenure, the Fellow may do so without having to obtain the Foundation's approval. It should be noted, however, that the Foundation's responsibility with respect to any Graduate Fellow is to the Fellow's affiliated institution only, and not to the "visited" institution or laboratory. The Foundation specifically cannot assume responsibility for educational costs assessed by another institution at which a Fellow may be studying temporarily. Regardless of the Fellow's physical location, the Fellow will be considered by the Foundation as being identified with the affiliated institution only.

Plans for field work or study at another institution must be approved by the Coordinating Official.

d. Foreign Language Study

Formal study of a foreign language, constituting a portion of the studies of a Fellow, would be appropriate in those cases in which such study is required in the degree program and is recommended by the Fellow's faculty advisors.

e. Program Changes

Minor changes in a Fellow's program may be approved by the affiliated institution. A major change in a Fellow's program--one that alters the program to the extent that it differs significantly from that originally submitted in the Fellow's application (for example, a change in field)--must receive the prior approval of the CO or Scientific Advisor. In addition, the Fellow must submit a revised proposed plan of study or research for NSF approval.

f. Vacations

NSF fellowships do not provide a vacation period, as such, during fellowship tenure. Fellows are entitled to the normal, short holiday periods observed by their affiliated institutions, such as winter or spring holidays, and short between-term periods. "Vacation time" may not be accumulated for later use. There is considerable variation in institutional practices in the matter of vacations, but, if an institution should close for a long period of time, Fellows on tenure there during such periods will be expected to have made prior arrangements for the use of necessary facilities and resources to carry out their programs. If it is not possible to make these arrangements at the affiliated institution, the Fellows should make other satisfactory arrangements, with NSF approval, to carry on their work.

g. Awards or Employment During Tenure

Fellows may not receive funds from another fellowship, scholarship, assistantship or similar award, except as permitted under the provisions specified in D.7. However, Fellows are permitted to solicit and accept support from any appropriate sources for research expenses connected with their fellowship activities. The Foundation is not concerned with gifts or loans of any kind that Fellows may receive.

During tenure, except for scheduled short, vacation periods, Fellows are expected to devote full time to the advancement of their graduate education. Employment that does not jeopardize a Fellow's full-time commitment to graduate study is usually permitted. Nevertheless, employment that will generate substantial income in addition to receiving the NSF stipend must be approved by the NSF.

Occasionally Fellows identify opportunities at on- or off-campus employment sites that contribute significantly to their graduate study. Before a Fellow engages in such work, permission of the Coordinating Official and the National Science Foundation must be obtained. Requests for approval of employment during tenure are reviewed by NSF on a case-by-case basis.

10. Yearly Continuation of the Fellowship

Copies of NSF Form 719, *Declaration to Utilize, Reserve or Terminate a Subsequent Year of a 3-Year Graduate Fellowship Award* are sent to COs in January for distribution to each Fellow (see E.2.). It is the responsibility of the Fellow to declare whether he or she will utilize or reserve the fellowship for the following year. Failure to declare the intent at this time results in the fellowship being considered as resigned. If the Fellow is in the first or second year of a three-year award and has not already reserved the fellowship for the maximum period of two years, the Fellow is eligible to utilize or reserve the fellowship during the next academic year. The utilization or reservation of the fellowship is contingent upon certification by the affiliated institution of satisfactory progress toward an advanced degree and the institution's approval of any alternate plans. The signature of the CO on this form certifies that the Fellow is making satisfactory progress toward an advanced science degree. If prior to the time for entering upon tenure for a given year the institution withdraws its certification, all remaining years of tenure will be canceled.

The utilization of prior-year awards is contingent upon the availability of funds.

11. Fellow's Annual Activities Report

In April of each fellowship year, a letter will be sent to the Fellow through the Coordinating Official, requesting a brief report on the Fellow's experiences and accomplishments during the past year (see E.3.).

Within 30 days after the end of that year, the Fellow is expected to submit this report on NSF Form 1080, *Activities Report for Graduate Fellowship Year 199_-9_*, directly to the Foundation. While this report should normally be very brief, the Foundation is always interested in receiving captioned photographs and learning of any noteworthy accomplishments that merit public attention.

12. Additional Fellowship Provisions

a. International Research Travel Allowance

For those Fellows who plan to study or do research full-time at a foreign* site for **at least 3 continuous months**, the Foundation will provide a one-time International Research Travel Allowance of \$1,000 to assist the Fellow to travel to and from the foreign site. The activities proposed must be expected to contribute to the Fellow's advanced degree objectives. The period abroad may include any combination of tenure and reserve years otherwise permitted under the program guidelines. The allowance may be used at any appropriate time within the five years during which fellowship tenure may be utilized. Fellows may request this allowance on the Acceptance/Declination form (NSF Form 179) or the annual Declaration/Utilization form (NSF Form 719) or by submitting a written request, approved by the Coordinating Official, to the NSF Graduate Fellowship Program. Each request must describe the proposed activities as well as the proposed schedule.

Fellows whose chosen fellowship institution is foreign may request the one-time International Research Travel Allowance of \$1000 to offset the expense of traveling to and from the fellowship institution.

Although universities in Canada and Mexico are considered foreign for the purposes of fellowship support grants, travel to those countries is not considered foreign.

Use of U.S. flag air carriers by international travel allowance recipients is required by the International Air Transportation Fair Competitive Practices Act of 1974 known as the "Fly America Act" (see page 25).

* Foreign travel, as defined in NSF 95-27, NSF Grant Proposal Guide, includes travel to locations outside of those considered domestic travel. Travel within the U.S., its possessions, Puerto Rico, and travel to Canada and Mexico is considered domestic by the federal government.

b. Mentoring Assistantships for Minority Graduate Fellows

- (1) Conditions. New Minority Graduate Fellows matriculating into their fellowship institutions

for the first time as graduate students are eligible for a Mentoring Assistantship consisting of one, two or three months of additional stipend support primarily to participate in research during the summer before they begin their fall fellowship tenure.

This option is intended for Fellows who can benefit from preliminary activities that do not constitute the significant start of work toward a graduate degree. Thus, if the Fellow has previously attended, as a graduate student, the chosen institution, it is not appropriate to request a Mentoring Assistantship.

Mentoring Assistantship activities consist of research participation or other appropriate institutionally arranged work that assists the Fellow in developing early mentoring relationships. Full-time activity during this period is required.

Mentoring Assistantships are in addition to the normal three years of tenure awarded under the fellowship. Stipends will be paid at the prevailing rate and under prevailing guidelines for Graduate Research Fellowships. In addition, an allowance of \$700 per month during this period will be made available to the department in which the research participation takes place.

Mentoring Assistantships may be utilized only immediately preceding the start of the first year of fellowship tenure. Mentoring Assistantships may not be continued beyond the start of the fellowship institution's Fall session following Mentoring Assistantship tenure.

Appropriate amounts required for the support of Mentoring Assistantships will be provided under Fellowship Support Grants to the institution.

- (2) Procedures for initiating a mentoring assistantship. Activation of this option will be by the Coordinating Officials' notification to the Foundation that the Fellow's plans have been approved by the institution.

This option is implemented on completion of the following steps:

- a) Minority Graduate Fellows (and Graduate Fellows who are members of underrepresented minority groups, and who applied in both fellowship competitions) are notified of the Mentoring Assistantship option on the *Acceptance/Declination Form for NSF Graduate Fellowship* (NSF Form

179), which accompanies their award letters. The option is requested by checking the appropriate box on the form.

b) NSF will notify the Coordinating Official at the institution the Fellow has indicated on the form. The Mentoring must be done under the close supervision of the faculty research advisor at the graduate institution.

The Coordinating Official will be asked to outline, in consultation with appropriate faculty, a suitable plan for summer Mentoring Assistantship activities. If the fellowship institution is unable to act as host, the Mentoring Assistantship will not be available.

c) The Coordinating Official will submit the mentoring plan to the Foundation for approval. The institution must certify that it is willing to accept the Fellow under the terms of a Mentoring Assistantship. The Foundation will notify the Fellow as soon as arrangements are approved.

d) After notification, the Fellow is responsible for arranging a suitable summer assistantship starting time with the CO by mutual agreement. Funds will be made available through the Coordinating Official in accordance with established procedures for Fellowship Support Grants.

c. Tenure Beyond the Doctoral Degree

If a Fellow attains the doctoral degree before completion of the fellowship tenure year, the Fellow may either resign at the time of completion of the requirements for the doctoral degree or continue to engage in appropriate fellowship activities at the affiliated institution for a brief period not to extend beyond the normal termination date of the fellowship year involved. The Fellow should seek the advice of either the Coordinating Official or Scientific Adviser.

d. Use of Supercomputer

Fellows as well as Honorable Mention recipients may request use of up to 10 CPU hours at one of the Foundation-supported Supercomputer Centers, pending availability. The Centers will consider requests for supercomputer use in support of the research project that is or will be part of the graduate student's full-time advanced degree work. Requests must be submitted within five years from announcement of Honorable Mention or from the

date of the start of the fellowship period for Fellows.

A form for requesting supercomputer time is included in every fellowship award packet and with the notification letter to Honorable Mention recipients. Individuals should contact Ms. Irene Lombardo at NSF, telephone (703) 292-8963, for technical and administrative information before submitting a request.

e. Facilitation Awards for Scientists and Engineers with Disabilities

Facilitation awards provide funding for special assistance or equipment to enable persons with disabilities to work on an NSF project (see inside back cover). All Fellowship Awardees and Honorable Mention recipients who have disabilities may apply for assistance by writing to: Facilitation Awards for Scientists and Engineers with Disabilities, c/o Graduate Research Fellowship Program, National Science Foundation, 4201 Wilson Boulevard - Room 907, Arlington, VA 22230 [telephone (703) 292-8694 or TDD (703) 292-5090]

13. Other Fellowship Concerns

a. Income Tax

Specific questions regarding taxation of fellowship funding should be referred to the U.S. Internal Revenue Service. University policies regarding withholding of taxes from stipend payments vary, and Fellows must bear the responsibility of paying any tax, domestic or foreign, when due.

Fellows are not in any sense salaried employees of the National Science Foundation nor of their affiliated institution. Therefore, no funds will be deducted from the stipend; no Social Security taxes will be paid by the Foundation; no W-2 Forms will be issued; and provision must be made by the Fellow for the filing of any necessary estimate of taxes due and for payment of all income taxes that may become due.

Fellows may request a statement of earnings from their affiliated institution.

Fellows affiliating with institutions abroad may find it helpful to consult Internal Revenue Service Publication No. 54, *Tax Guide for U.S. Citizens and Resident Aliens Abroad*, and also Publication No. 520, *Scholarships and Fellowships*. These are available at all I.R.S. district offices. The Foundation is unable to supply information concerning the income tax or other tax provisions of

any foreign country. Inquiries should be directed to the authorities in the appropriate countries.

b. Illness

An institution may handle short interruptions of fellowship tenure resulting from illness in the same way it handles similar interruptions by its own fellows and graduate assistants. See section 4.a. for medical deferral, covering extended periods of illness.

c. Publications

A Fellow should make all research results available to the public without restriction, except as is required in the interest of national security. The Foundation would appreciate receiving notice of Fellow's publications, but it is not necessary to send a copy of publications, papers, thesis, or dissertation.

d. Acknowledgment of Support and Disclaimer

An acknowledgment of NSF support and a disclaimer must appear in any publication of any material, whether copyrighted or not, based on or developed under the project being reported, in the following terms:

"This material is based upon work supported under a National Science Foundation Graduate Research Fellowship."

All materials, except scientific articles or papers published in scientific journals, must also contain the following:

"Any opinions, findings, conclusions or recommendations expressed in this publication are those of the author(s) and do not necessarily reflect the views of the National Science Foundation."

e. Intellectual Property Rights

The National Science Foundation claims no rights to any inventions or writings that might result from

its fellowship awards. However, Fellows should be aware that the Foundation, another Federal agency, or some private party may acquire such rights through other support for particular research. Also, Fellows should note their obligation to include an Acknowledgment and Disclaimer in any publication.

f. Future Employment

The offer and acceptance of this fellowship does not obligate the Fellow, the Foundation or the United States Government in any way with regard to future employment or service of any kind.

g. National Security

Fellows are obliged to report promptly to the Foundation, prior to disclosure to others, any discoveries that are made or data that are developed that could reasonably be considered as likely to affect the national security or the national defense. Doubtful cases should be referred to the Foundation prior to disclosure of any information concerning them.

h. Members of the Armed Forces and Federal Employees

If during tenure the Fellow will be a member of the Armed Forces (other than as a participant of an ROTC program) or on leave from a position in the Federal Service, it is the Fellow's responsibility to so inform the Foundation and have a cognizant official of the Government organization involved file a statement with the Foundation outlining the funds that will be made available by the Fellow's employer and the specific purpose for which they are provided to the Fellow. The Foundation and the Fellow's institution must reach a mutually satisfactory agreement regarding the Fellow's support during tenure before any funds can be provided under a fellowship.

E. FISCAL AND ADMINISTRATIVE REPORTING

Copies of forms used in the administration of NSF Graduate Fellowships are printed in the back of this *Guide*.

1. Affiliation List--Due Date: November 15 Annually

Each fall, COs are sent a computerized listing of Fellows affiliated with their institution for certifying, by name, social security number, field of study, starting time (summer or fall), and pattern, the actual enrollment in full-time advanced degree programs of each Fellow at their respective institutions. This list must be signed by the CO and returned after the fall term has begun and the status of all Fellows has been determined, but no later than November 15. Also, the Coordinating Official Update Sheet should be completed and returned no later than October 31.

2. Declaration Form--NSF Form 719--Due Date: April 30 Annually

Annually in January, Fellows eligible to continue or resume tenure must declare their intention to utilize or reserve tenure during the following fellowship year by completing Section A of the *Declaration To Utilize, Reserve Or Terminate A Subsequent Year Of A 3-Year Graduate Fellowship Award* form for certification by their respective COs. The COs will validate each Fellow's declaration by completing Section B of the Declaration Form. All Form 719s should be returned to NSF no later than April 30. Sufficient copies of NSF Form 719 will be sent to the COs for distribution to individual Fellows. This mailing also will include any required explanatory material for both the Fellows and the COs. In some cases, a Fellow may have used both years of fellowship reservation privilege and thus may be eligible only to continue or resume tenure the following year, or resign the fellowship.

During a year in which a fellowship is reserved, the Fellow's affiliated institution, for Foundation purposes, will continue to be the institution at which tenure was most recently carried out, even if the Fellow has subsequently severed connections with that institution. The forms for the declaration to utilize or reserve tenure in the following year will be sent to the CO at that institution during the Fellow's year of reservation.

On NSF Form 719 a Fellow may request fellowship utilization or reservation during the following year, or may decline additional support (i.e., resign following completion of the current fellowship year). A Fellow requesting reservation should outline on the reverse of the form an activities plan for the CO's approval. The Foundation is prepared to permit a wide range of activities within this option.

A Fellow who declines further support is asked to include a brief statement on NSF Form 719

indicating the reasons for termination of the fellowship.

If a CO is unable to certify satisfactory progress of any Fellow, the Foundation should be informed immediately with a letter of explanation. Unless a contrary recommendation is given, such a Fellow will be allowed to continue on tenure through the remainder of the current fellowship year.

3. Annual Activities Report--NSF Form 1080

The Foundation requests an annual activities report from its Fellows summarizing their academic progress and commenting on the administration of the fellowship program. In April appropriate forms are sent to the COs for distribution to individual Fellows for direct return to NSF within 30 days. An example of this Form is appended to this Guide.

4. Estimate of Expenditures Report

Each summer, COs are sent an *Estimate of Expenditures Report* indicating the amount of projected carry-over balances that may be used to reduce the face amount of subsequent grants. An example of this report is appended to this Guide.

5. Graduate Fellowship Support Grant Expenditure Report--NSF Form 961--Due Date: December 1 Annually

A final accounting for the expenditure of Foundation funds during the preceding fellowship year will be made each fall by submitting a *Graduate Fellowship Support Grant Expenditure Report* (NSF Form 961) accounting for all expenditures Fellow by Fellow under each active grant during the reported fellowship year. NOTE: Graduate Fellowship Support Grant Expenditure Reports are based on the fellowship year, not the fiscal year. Thus, for example, expenditures for 12 months of tenure will be the same \$23,000 whether the Fellow started the 1995-1996 fellowship year on June 1, 1995 or October 1, 1995. Copies of NSF Form 961 and a computer print-out listing the tenure, stipend, and cost-of-education allowance for each Fellow will be sent to the COs for verification. The list (marked "Work Sheet") should be checked and all corrections noted. One copy of the completed Expenditure Report plus the attendant annotated Work Sheet should be returned to NSF no later than December 1. Current fellowship expenditures will be monitored at the Foundation by examining the quarterly Federal

Cash Transactions Reports submitted by the affiliated institutions.

NATIONAL SCIENCE FOUNDATION
Division of Graduate Education
Arlington, VA 22230

DECLARATION TO UTILIZE, RESERVE OR TERMINATE A SUBSEQUENT
YEAR OF A 3-YEAR GRADUATE FELLOWSHIP AWARD
FY 1997

TO: All NSF Graduate and Minority Graduate Fellows.

Continuation of the 3-year National Science Foundation Fellowship awarded to you in a prior year is contingent upon--

1. Certification, each year following the first year of tenure, by the Coordinating Official of your fellowship institution to the Foundation that you are engaged in either fellowship activities and making satisfactory academic progress toward an advanced science degree or institutionally approved non-fellowship activities.
2. The availability of funds for continued support.

Unless the Foundation notifies you to the contrary, you may assume that your request for 1997-98, as indicated in Section A and when properly certified by your Coordinating Official, has been approved.

Please advise your fellowship institution as to your wishes by completing Section A of this form and returning two copies to the Coordinating Official at your institution NOT LATER THAN April 1, 1997. FAILURE TO COMPLY WITH THIS REQUIREMENT MAY RESULT IN TERMINATION OF YOUR FELLOWSHIP.

SECTION A. (To be completed by Fellow)

I request that my 3-year award be:

1. Continued for 1997-98.

Note: Continuation requests will be approved for 12 months. A Fellow may reduce tenure from 12 to 9 months without penalty, other than loss of the tenure involved, by notifying the Coordinating Official.

2. Reserved for 1997-98 in order to engage in activities specified on the reverse.
3. Terminated for the reasons stated on the reverse. I understand that this action forfeits all tenure beyond my present fellowship year.

I have a special need to study or do research full-time at a foreign site for at least 3 continuous months; I have discussed this with the Coordinating Official of my fellowship institution.

I hereby apply (check box) for a one-time \$1,000 International Research Travel Allowance for 1997-98, as stated on the reverse side.

My current* graduate degree program is in _____ at

_____ (Field) _____ (Institution)
in the Department of _____ under the direction of

who is my Scientific Advisor Department Chairman.

*If either field of study or institution is changed for 1997-98, please specify: _____

My name has changed since I received an NSF Fellowship. Former Name: _____

I understand and agree that the fellowship is subject to the provisions set forth in the booklet entitled Information for Graduate Research Fellows (and of any amendments or revisions thereto), a copy of which I received and read.

I further understand that if, prior to my entering upon tenure of a subsequent year of the award, the institution withdraws its certification of my satisfactory academic progress toward an advanced science degree, the remaining tenure will be canceled.

Signature _____ Date _____

_____ Mr.
Name (typed or printed) Ms.

My present address is:

_____ Street _____ City _____ State _____ Zip Code _____

My Internet e-mail address is: _____

SECTION B. (To be completed by Coordinating Official)

- Fellow is making satisfactory academic progress toward an advanced degree in science or engineering or is satisfactorily carrying out the alternate activities plan approved last year, and I approve the request for 1997-98 as indicated in Section A.
- Fellow is NOT making satisfactory academic progress toward an advanced degree in science or engineering or is NOT satisfactorily carrying out the alternate activities plan approved last year, and I CANNOT APPROVE the request for 1997-98 as indicated in Section A.
- Fellow was in a reserve status during the 1996-97 fellowship year.

Signature _____ Date _____

Coordinating Official

Name, Title and Institution (typed or printed)

Note: One copy of this form completed for each Fellow is to be returned to the Foundation by the Coordinating Official prior to April 30, 1997. Failure to submit a form for each Fellow may result in delay of a new grant to your university.

THE INSTITUTION AND THE FELLOW SHOULD EACH RETAIN ONE FILE COPY OF THIS DECLARATION

NSF Form 719 (12/96)

Check one:

- I am requesting that my 3-year fellowship be reserved for the reasons described below.
- I am terminating my 3-year fellowship for the reasons described below.
- I plan the activities described below at a foreign site. Please specify the foreign site and the number of months you plan to spend in research or study there.

_____ Yes _____ No

7. Please describe any problems that may have occurred:

8. If this is your **first year** of fellowship tenure, please list any offers of other fellowships you had at the time you accepted the NSF Fellowship.

9. If this is your **final year** of fellowship tenure, please prepare a one-page summary of your fellowship activities. Please include activities during your years of reservation (if any) and any external support received, degrees attained. Please comment on how the NSF fellowship assisted you in preparing for a scientific career, problems encountered, etc.

FOR STATISTICAL PURPOSES ONLY:

10. What was the schedule of stipend payment? _____
11. Were stipend payments made promptly and according to a reasonable schedule? _____ Yes _____ No
12. Did you receive any fellowship stipend supplementation? _____ Yes _____ No
If yes, please give amounts and source, include teaching and research assistantships.

13. In the United States, the Foundation provides your affiliated institution with a \$8,600 cost-of-education allowance for 9- or 12-months tenure in lieu of all required tuition and fees. How much would it cost if you had to pay the normal charges yourself?

\$ _____
14. How does your Fellowship stipend compare to stipends received by regular teaching or research assistantships at your institution? How much "service" time is required for these assistantships?

NATIONAL SCIENCE FOUNDATION
4201 WILSON BOULEVARD
ARLINGTON, VIRGINIA 22230

Directorate for Education
and Human resources

August 1996

MEMORANDUM TO COORDINATING OFFICIALS FOR
THE GRADUATE RESEARCH FELLOWSHIP PROGRAM

Subject: Estimate of Expenditures for NSF Graduate Fellows During 1995-96 Fellowship Year

[institution name]

In order to determine the amount of funds needed for Fellows on tenure during the fellowship year, this office prepares an Estimate of Expenditures Report. The estimate for your institution was calculated from information you supplied in the Fellowship Support Grants Expenditure Report for the previous fellowship year (1994-95), which was due in this office December 1, 1995. Our report also takes into account the requests for the one-time \$1,000 International Research Travel Allowances and the Minority Mentoring Assistantships.

For your information, the calculations for your institution are summarized below. If your records are not in agreement, or if you have any questions regarding this estimation, please contact our office by Internet, grfp@nsf.gov, or at (703) 292-8694. Please make a copy of this memorandum for the person who prepares your NSF Form 961, the *Graduate Fellowship Support Grant Expenditure Report*.

Sincerely,
NSF Graduate Fellowship Program

<u>Grant No.</u>	1995-96 Beginning Balance	Total Funds Available	_____
_____	_____	Estimated Expenditures for Fellowship Year 1995-96	_____
_____	_____	# of Fellows on Tenure	_____
_____	_____	Stipend & COE	_____
_____	_____	Mentoring	_____
_____	_____	Travel	_____
_____	_____	Total Expended	_____
_____	_____	Projected Carryover for 1996-97	_____

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NATIONAL SCIENCE FOUNDATION
 Division of Graduate Education
 4201 Wilson Boulevard
 Arlington, VA 22230

GRADUATE FELLOWSHIP SUPPORT GRANT EXPENDITURE REPORT

_____ Program Year

INSTITUTION

ADDRESS

The following expenditures were accrued during the program year indicated above in support of NSF Graduate Fellows at this institution and may be charged against the NSF fellowship grants as noted below. I understand that these funds are subject to audit by the United States Government and I certify that the information on these forms is true and correct.

Grant Number _____ \$ _____

Grant Number _____ \$ _____

Grant Number _____ \$ _____

 Preparer's Name (Printed)

 Preparer's Signature

 Date

 Preparer's Title

 E-Mail Address and/or Telephone Number

 Verified by Coordinating Official

- DO NOT WRITE IN THIS SPACE -

For National Science Foundation Use Only

Date _____ NSF Reviewer _____

Grant No. _____ Grant No. _____ Grant No. _____

Previous Balance \$ _____ Previous Balance \$ _____ Previous Balance \$ _____

Expenditure during this program year \$ _____ Expenditure during this program year \$ _____ Expenditure during this program year \$ _____

New Balance \$ _____ New Balance \$ _____ New Balance \$ _____

CLOSE OUT GRANT

CLOSE OUT GRANT

CLOSE OUT GRANT

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Use of U.S.-Flag Air Carriers and Foreign-Flag Air Carriers

(Reprinted from GC-1, NSF Grant General Conditions)

Use of U.S.-Flag Air Carriers

- (1) The Comptroller General of the United States, by Decision B-138942 of June 17, 1975, as amended March 31, 1981, provided guidelines for implementation of Section 5 of the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. 1517).
- (2) Any air transportation to, from, between, or within a country other than the United States of persons or property, the expense of which will be assisted by NSF funding, must be performed by a U.S.-flag air carrier if service provided by such a carrier is available.
- (3) For the purposes of this requirement, U.S.-flag air carrier service is considered available even though:
 - (a) comparable or a different kind of service can be provided at less cost by a foreign-flag air carrier;
 - (b) foreign-flag air carrier service is preferred by, or is more convenient for, the Foundation or traveler; or
 - (c) service by a foreign-flag air carrier can be paid for in excess foreign currency.
- (4) The following rules apply unless their application would result in the first or last leg of travel from or to the United States being performed by a foreign-flag air carrier:
 - (a) A U.S.-flag air carrier shall be used to destination or, in the absence of direct or through service, to the farthest interchange point on a usually traveled route.
 - (b) If a U.S.-flag air carrier does not serve an origin or interchange point, a foreign-flag air carrier shall be used only to the nearest interchange point on a usually traveled route to connect with a U.S. flag air carrier.
 - (c) If a U.S.-flag air carrier involuntarily reroutes the traveler via a foreign-flag air carrier, the foreign-flag air carrier may be used notwithstanding the availability of alternative U.S.-flag air carrier service.

Use of Foreign-Flag Air Carriers

- (1) Travel To and From the United States. Use of a foreign-flag air carrier is permissible if:
 - (a) the airport abroad is the traveler's origin or destination airport, and use of U.S.-flag air carrier service would extend the time in a travel status by at least 24 hours more than travel by a foreign-flag air carrier; or
 - (b) the airport abroad is an interchange point, and use of U.S.-flag air carrier service would require the traveler to wait 6 hours or more to make connections at that point, or would extend the time in a travel status by at least 6 hours more than travel by a foreign-flag air carrier.
- (2) Travel Between Points Outside the United States. Use of a foreign-flag air carrier is permissible if:
 - (a) travel by a foreign-flag air carrier would eliminate two or more aircraft changes en route;
 - (b) travel by a U.S.-flag air carrier would extend the time in a travel status by at least 6 hours more than travel by a foreign-flag air carrier; or
 - (c) the travel is not part of the trip to or from the United States, and use of a U.S.-flag air carrier would extend the time in a travel status by at least 6 hours more than travel by a foreign-flag air carrier.
- (3) Short Distance Travel. For all short distance travel, regardless of origin and destination, use of a foreign-flag air carrier is permissible if the elapsed travel time on a scheduled flight from origin to destination airport by a foreign-flag air carrier is 3 hours or less and service by a U.S.-flag air carrier would double the travel time.

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