

NSF-12

System name:

Fellowships and Other Awards.

System location:

Numerous files are maintained in paper, microfiche, or electronic form by individual offices and programs at the National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230. Others are maintained by NSF contractors, currently Oak Ridge Associated Universities, PO Box 3010, Oak Ridge, Tennessee 37831-2010.

Categories of individuals covered by the system:

Persons applying or nominated for and/or receiving NSF support, either individually or through an academic institution, including fellowships or awards of various types.

Categories of records in the system:

Information varies depending on type of fellowship or award. Normally the information includes personal information supplied with the application or nomination; reference reports; transcripts and Graduate Record Examination scores to the extent required during the application process; abstracts; evaluations and recommendations, review records and selection process results; administrative data and correspondence accumulating during fellows' tenure; and other related materials. There is a cumulative index of all persons applying for or receiving NSF Graduate and NATO fellowships.

Authority for maintenance of the system:

44 U.S.C. 3101; 42 U.S.C. 1869, 1870, 1880, 1881a and 20 U.S.C. 3915.

Purpose of the system:

This system enables program offices to maintain appropriate files and investigatory material in evaluating applications or nominations for fellowships or other awards. NSF employees may access the system to make decisions regarding which proposals to fund or awards to make, and

to carry out other authorized internal duties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Information from the system may be merged with other computer files in order to carry out statistical studies. Disclosure may be made for this purpose to NSF contractors and collaborating researchers, other Government agencies, and qualified research institutions and their staffs. The contractors are subject to the provisions of the Privacy Act. The results of such studies are statistical in nature and do not identify individuals.

2. Disclosure of information from the system may be made to qualified reviewers for their opinion and evaluation of applicants or nominees as part of the application review process; and to other Government agencies needing data regarding applicants or nominees as part of the application review process, or in order to coordinate programs.

3. Information (such as name, Social Security Number, field of study, and other information directly relating to the fellowship, review status including the agency's decision, year of first award, tenure pattern, start time, whether receiving international travel allowance or a mentoring assistantship) is given to the applicant, nominating, or grantee institution, or an institution the applicant, nominee, or fellow or awardee is attending or planning to attend or employed by for purposes of facilitating review or award decisions or administering fellowships or awards. Notice of the agency's decision may be given to nominators.

4. In the case of fellows or awardees receiving stipends directly from the Government, information is transmitted to the Department of Treasury for preparation of checks or electronic fund transfer authorizations.

5. Fellows' or awardees' name, home institution, and field of study may be released for public information/affairs purposes including press releases.

6. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

7. Information from the system may be given to contractors, grantees, volunteers, experts, 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. The contractors are subject to the provisions of the Privacy Act.

8. Information from the system may be given to the Department of Justice or the Office of Management and Budget for the purpose of obtaining advice on the application of the Freedom of Information Act or Privacy Act to the records.

9. Information from the system may be given to another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.

10. Information from the system may be given to the Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.

11. Records from this system may be disclosed to representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records are kept in file folders. Some records are maintained

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electronically or on microfiche, including records kept by NSF

contractors. Original application materials are kept at NSF.

Retrievability:

Alphabetically by applicant or nominee name.

Safeguards:

Building is locked during non-business hours. Records at NSF are kept in rooms that are locked during non-business hours. Records maintained by NSF contractors are kept in similar rooms and some records are locked in cabinets. Records maintained in electronic form are password protected.

Retention and disposal:

Files are maintained in accordance with approved record retention schedules. For example, fellowship application files for awardees are kept for 10 years after completion of fellowship or award, then destroyed, while unsuccessful fellowship application files are destroyed after three years; files of recipients of the Waterman Award and National Medal of Science are permanent and eventually retired to the National Archives; those of non-recipients are destroyed after five years.

System manager(s) and address:

Division Director of particular office or program maintaining such records, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

Notification procedure:

Contact the NSF Privacy Act Officer in accordance with procedures found at 45 CFR Part 613. You can expedite your request if you identify the fellowship or award program about which you are interested. For example, indicate whether you applied for or received a "Graduate Fellowship" or a "Faculty Fellowship in Science" as opposed to merely saying you want a copy of your fellowship.

Record access procedure:

See "Notification" above.

Contesting record procedure:

See "Notification" above.

Record source categories:

Information supplied by or for individuals applying for, nominated for, or receiving support; references; the Education Testing Service; educational institutions supplying transcripts; review records and administrative data developed during selection process and award tenure.

Systems exempted from certain provisions of the act:

The portions of this system consisting of investigatory material that would identify references, reviewers, or other persons supplying evaluations of applicants or nominees for fellowships or other awards (and where applicable, their proposals) have been exempted at 5 CFR 613 pursuant to 5 U.S.C. 552a(k)(5).