



General Programmatic Terms and Conditions (PTCs) for the EPSCoR Research Infrastructure Improvement Grant Program (RII) Cooperative Agreements, (NSF 08-500)

1. **Key Personnel:** Except for the Principal Investigator(s) (PIs) or Co-PIs identified in this award, requests to make any changes to personnel, organizations, and/or partnerships specifically named in the proposal, that have been approved as part of this award, shall be submitted in writing to the cognizant NSF Program Official for approval prior to any changes taking effect. Requests for prior approval of changes to the PI(s) must be submitted through FastLane for review by the cognizant NSF Program Official and approval by an NSF Grants Officer.

2. **Program/Project Description:** The purpose of the Research Infrastructure Improvement (RII) Program is to provide support for lasting improvements in a jurisdiction's academic research infrastructure, that is, its research capacity in identified areas of research and education in science and engineering that are aligned with the jurisdiction's science and technology plan. RII activities build the core infrastructure needed to develop both individual and collaborative efforts for the successful pursuit of significant jurisdictional and regional opportunities in science and engineering. The RII award adds specific value to the jurisdiction's academic infrastructure not generally available through other funding sources.

3. **Project Governance:** The Awardee will ensure that an efficient and effective project governing structure is in place throughout the award period to support all critical or significant project activities.
 - 3.1. The PI will provide scientific and technical leadership, as well as overall program coordination, and will (a) report to NSF and the EPSCoR Committee; (b) visit the various campuses where the research is being conducted on a periodic basis; and (c) ensure that the various stakeholders operate as a cohesive research enterprise progressing towards the realization of project goals and objectives. The PI will be assisted by professional staff whose responsibilities include program management, fiscal and contract management, database administration, and communications.

4. **Governing Responsibilities:** The Awardee will ensure efficient and effective performance of all project responsibilities by the governing components throughout the award period.
 - 4.1. Within three months of the effective date of the award, the project leaders and participants will meet with a team from the NSF EPSCoR Office for a

strategic planning session. A strategic plan will then be submitted for NSF approval within two months following the planning session. The NSF EPSCoR Office will respond to the submitted strategic plan within one month. A strategic plan, submitted to and accepted by NSF EPSCoR, is a prerequisite to year two funding of the RII project.

5. **Reporting Requirements:** The Awardee will provide ad hoc and regular reports as designated by the NSF cognizant Program Official with content, format, and submission time line established by the NSF cognizant Program Official. The Awardee will submit all required reports via FastLane using the appropriate reporting category; for any type of report not specifically mentioned in FastLane, the Awardee will use the “Interim Reporting” function to submit reports.

5.1. Project reports must include the following:

5.1.a. Broadening Participation: Using the last year of the previous RII as a baseline, the annual and final progress reports must provide the total number of participants in the activities funded by this award, including faculty, staff, students, and members of the external advisory boards. In addition, the reports must indicate the numbers of women and underrepresented groups in STEM fields that participated in activities funded by this award. The data must be reported in aggregate for the project and for each participating institution. Demographic data by race, gender, and disability must be provided in addition to education level (post doctoral, graduate, undergraduate, K-12). Progress reports must present the results of efforts to increase the participation of women and members of other underrepresented groups in STEM fields. Future funding will be based, in part, on the progress in increasing the number of women and underrepresented groups in STEM fields in activities funded by the award.

5.1.b. Institutional Engagement: Annual and final reports must provide evidence of broadened engagement of institutions in RII-supported activities of the jurisdiction. These reports must also include evidence of enhanced collaboration among the jurisdiction’s universities and colleges, including non-research institutions, and utilization of resources residing therein.

5.1.c. Leveraging NSF Programs: Annual and final reports must include evidence of linkages, coordination and collaboration with other NSF-funded programs. The report must also show the jurisdiction’s participation in NSF programs that support research and infrastructure (human, physical, cyber) development beyond RII. These reports must also demonstrate how leveraging these programs enhances research and education competitiveness.

5.1.d. Progress on Program Element Planning and Implementation: Annual and final reports must include evidence of progress in the development and implementation of plans required for the RII project. For RII awards funded in response to Program Solicitation NSF 08-500, this includes: cyberinfrastructure plan, diversity plan, outreach and communication plan, evaluation and assessment plan, sustainability plan, and management plan.

5.1.e. Project Outcomes: Annual and final reports must include a description of efforts, accomplishments, commitments, and plans to ensure that the positive outcomes of the project will be sustained beyond the duration of the award. This may include quantitative data (e.g., numbers of new hires recruited and retained, proposal submissions, award success rates, students involved in research, etc.). These reports may also include qualitative information such as descriptions of policies or programs proposed or implemented to enhance research competitiveness, integrate research and education, and promote partnerships and alliances that increase research capacity and support.

5.1.f. Unobligated Funds: The annual report must include, as part of the “Special Requirements” section, an estimate of the funds expected to remain_unobligated at the end of the current support period. If that estimate is greater than 20% of the current year award amount, the Project Director also must include in the “Special Requirements” section a plan and timeline for expenditure of those funds.

If more than 20% of the current year award amount continues to remain unobligated by the yearly anniversary date of the award, approval to carry that amount forward must be granted by the NSF EPSCoR Office. The awardee’s Sponsored Projects Office should prepare the request, which must include a plan and timeline for expenditure of the funds, and submit the request via e-mail to the cognizant NSF Program Officer.

- 6. Awardee Support of Ongoing Management and Oversight:** The Awardee will ensure full commitment and cooperation among the governing structure components, and all project staff during all ongoing NSF project management and oversight activities. The Awardee will ensure availability of all key institutional partners during any desk or on-site review as well as timely access to all project documentation.

6.1. Program Indicators

6.1.a. The project must cooperate with NSF EPSCoR program evaluation efforts by providing data as needed to assess program performance. Program-level evaluation activities complement, but do not replace, those required of individual projects.

6.1.b. RII awardees must participate in site visits, reverse site visits, and other program management activities to demonstrate progress relative to established goals and objectives of the project.