



## **General Programmatic Terms and Conditions (PTC) for ADVANCE Institutional Transformation (ADVANCE)) (NSF 05-584) Cooperative Agreements**

- 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 overall mission of the ADVANCE Program is to increase participation of women in the scientific and engineering workforce through the increased representation and advancement of women in academic science and engineering careers.

The goal of this project is to contribute to the development of a national science and engineering academic workforce that includes the full participation of women in all levels of faculty and academic/administration, particularly at the senior academic ranks, through the transformation of institutional practices, policies, climate and culture. This Institutional Transformation project involves the implementation of a coordinated and sustainable campus effort to achieve institutional transformation to increase the participation and advancement of women faculty in the science and engineering departments.

- 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. The Awardee shall be responsible for the management, staffing, and operation of the project, and for arranging for external evaluation of project activities. Within three months of the award date, the awardee shall develop and submit to NSF an organization chart fully describing the management of the project, including responsibility for allocation of project funds.
  
- 4) **Governing Responsibilities:** The Awardee will ensure efficient and effective performance of all project responsibilities by the governing components throughout the award period. These responsibilities include:
  - A. The awardee shall develop and provide to NSF clear and specific plans, including timelines for the attainment of the objectives within two months

of the award date. The timeline for the first year shall be in sufficient detail to enable the progress of the Project to be monitored effectively and modified in a timely manner if necessary. Revisions in the timelines may be proposed each year at the time of the annual review/report.

B. The awardee shall implement both formative and summative evaluation as detailed in Section 7, Program-specific terms and conditions, below.

**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. Addenda should be uploaded as PDF files.

A. The Awardee shall submit an Annual Project Report that will contain specific information including, but not limited to, the following:

- 1) A description of the value added by the ADVANCE project to date, the vision, progress and plans of the ADVANCE initiatives, difficulties in implementing proposed activities and approaches to address the difficulties, and required preliminary evaluation findings, including any external evaluation reports. The report will also include a description of the ADVANCE project's management system and infrastructure as well as updates to the dissemination plan. Included in the annual report will be data for one entire reporting year mutually agreed to by NSF and the Awardee.
- 2) Personnel and financial report will contain the following information:
  - (a) budget explanations by areas and major function of the ADVANCE project for the reporting year and the next year;
  - (b) a statement of funds estimated to remain unobligated at the end of the period for which NSF currently is providing support;
  - (c) a proposed budget for the ensuing year in accordance with NSF Form 1030; and
  - (d) current information about other support of key personnel.
- 3) A set of quantitative and qualitative data prescribed by NSF will be maintained and included in the annual report submitted to NSF. This data will serve as indicators of project performance with respect to its goals and objectives, and the impact of project output and results. The Awardee will use the guidelines established by the joint NSF – ADVANCE grantee working group on institutional transformation indicators. These guidelines are incorporated into

the Toolkit for Reporting Progress Toward NSF ADVANCE:  
Institutional Transformation Goals.

- 4) Other items deemed appropriate as agreed upon by the parties.
- B. **Renewal Review and Reporting:** NSF will conduct a mid-point review through a site visit or reverse site visit during year 3 of the award period. The purpose of the review is to conduct an in depth evaluation of performance, assess progress towards goals, and provide advice and recommendations for enhancing project performance. Awardee will provide a written report of accomplishments prior to the review, not to exceed six pages, by a date to be determined by NSF. The date of the site visit/reverse site visit will be within a period of six weeks of the anniversary date of the award.
  - C. **Special Report:** The Awardee shall also submit such Special Reports as may be reasonably requested by the Foundation. Quarterly reports of significant events and accomplishments shall be provided by the awardee to the cognizant NSF program official to inform NSF of project highlights on a regular basis.
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.
- A. Awardee, as part of a national program, is expected to work cooperatively with any evaluation and monitoring contractors as designated by NSF.
  - B. Awardee shall participate in site and/or reverse site visits, and grantee meetings, as determined by the NSF ADVANCE Program.
7. **Additional terms and conditions:**
- A. The Awardee shall maintain a uniform database of quantitative indicators of activity and progress. Awardee will use the guidelines for reporting institutional transformation indicators established by the joint NSF – ADVANCE grantee working group on institutional transformation indicators. These guidelines are incorporated in the Toolkit for Reporting Progress Toward NSF ADVANCE: Institutional Transformation Goals. Awardees will participate in periodic meetings to receive guidance on collecting, formatting, and reporting indicator data.

- B. Within the first year of reporting, Awardee will identify a baseline (which may be a single year or a cumulative record) for assessing the impact of ADVANCE. Data should be gathered for reporting the baseline in the first year's annual report. Subsequent reports should make comparisons with that baseline.
- C. Awardee shall create a project web site to provide access to reports and data prepared as part of the project. A link to this website will be established from the NSF ADVANCE homepage (by the National Science Foundation.) Awardee will provide NSF the website URL within four months of the start date of the award.
- D. Awardee will ensure ongoing formative evaluation and at least one external evaluation to provide useful and timely feedback to project leadership with respect to the implementation of project activities. This may include modifying, adding, or eliminating activities depending on formative feedback. The formative evaluation may be conducted by internal project staff as long as time is allocated specifically for this purpose. Findings of the formative evaluation should be summarized in quarterly or interim reports to NSF, particularly when changes have been made to the proposed project plan.
- E. Awardee is responsible for arranging for an external evaluation that is designed and conducted by external evaluators, that is, an organization or professionals who are not directly involved in the project, such as the institution's Office of Research, Planning or Assessment, institutional faculty from pertinent disciplines, or consultants/contractors not affiliated with the institution or the project. This evaluation should focus on project impact and outcomes and address all key project activities. It should not be limited to the quantitative indicator data collected (see above) and should include qualitative as well as quantitative measures of project success. The external evaluation should be conducted annually and a written report included as an attachment to each annual report to NSF.
- F. Awardee shall develop a dissemination plan to ensure that the progress of the Project and results/best practices will be widely disseminated. This plan will be provided by awardee to the NSF ADVANCE Program Office within six months of the start of the award and shall be updated annually. Updates to the dissemination plan, and dissemination and outreach activities shall be included in the annual report.