



General Programmatic Terms and Conditions (PTCs) for the EPSCoR Research Infrastructure Improvement Program: Track-1 (RII Track-1) (NSF 11-565) Cooperative Agreement(s)

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 Officer 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 Officer and approval by an NSF Grants Officer. Key personnel are defined as the members of the RII Track-1 management team. Key Personnel, other than PIs, are not separately listed in the Cooperative Agreement.

2. Program Description: The purpose of the Research Infrastructure Improvement Program: Track 1 (RII Track-1) is to provide support for sustainable 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 supported by the National Science Foundation and aligned with the jurisdiction's science and technology plan. RII Track-1 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 Track-1 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 approved charter/bylaws governing the operation of the statewide (jurisdiction) EPSCoR committee must be also submitted to the cognizant NSF Program Officer via email with the RII Strategic Plan (see 4.2 below). A complete list of members and their affiliation must be provided. NSF should be notified via email of any changes to charter/bylaws or committee membership. Care should be taken to have committee members from academe, government and private sectors, including members of underrepresented groups.

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. The PI will provide scientific and technical leadership, as well as overall program coordination, and will (a) report to NSF and the statewide 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.

4.2. RII Strategic Plan: Within 90 days of the effective date of the award, the project leaders and participants must conduct an RII strategic planning session led by independent external facilitator(s). The strategic plan must clearly define vision, mission, objectives, and anticipated outcomes of the RII project. The strategic plan helps to ensure that communication is unambiguous and consistent among participants and stakeholders; that resources are identified; and that effective process measurements are determined to evaluate progress. Effective strategic planning increases the probability of meeting the desired objectives. Members of the NSF EPSCoR Office will attend this session to observe and to serve as resources. The RII Strategic Plan will then be submitted for NSF approval within 60 days following the planning session. The NSF EPSCoR Office will respond to the submitted strategic plan within 60 days. The RII Strategic Plan, submitted to and accepted by NSF EPSCoR, is a prerequisite to year two funding of the RII project.

4.3. State Science and Technology Plan: The state's approved Science and Technology Plan must be submitted to the NSF EPSCoR Office together with the RII Strategic Plan.

5. Reporting Requirements: The Awardee will provide ad hoc and regular reports as designated by the NSF cognizant Program Officer with content, format, and submission time line established by the NSF cognizant Program Officer. 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. 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 should 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. The NSF EPSCoR reporting templates must be completed and included with the annual report. In addition, highlights with the completed permission forms must be attached. These must also be sent *via* email to the cognizant NSF Program Officer.

5.1.b. Broadening Participation: Within the templates and text, the annual and final reports must provide the total number of participants in the activities funded by this award, including faculty, staff, students, and members of all external advisory boards. In addition, the reports must indicate the numbers of women and underrepresented groups in STEM 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. Future funding will be based, in part, on the progress in increasing the number of women and underrepresented groups in STEM in activities funded by the award. The fifth year of the previous RII Track-1 project serves as a baseline for reporting year-to-year improvements on increasing the participation of women and underrepresented minorities in RII project activities, including STEM research and education projects. For jurisdictions that did not have a prior RII Track-1 award, the first year data from the current award will serve as the baseline for subsequent year reports.

5.1. c. Institutional Engagement: Templates and text included in the annual and final reports must provide evidence of broadened engagement of jurisdiction's institutions in RII-supported activities. These reports must also include evidence of enhanced collaboration among the jurisdiction's universities and colleges, including primarily undergraduate institutions and 2-year institutions, and utilization of resources residing therein.

5.1. d. 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 Track-1. These reports must also demonstrate how leveraging NSF programs enhances research and education competitiveness.

5.1. e. 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 NSF11-565, this includes: cyberinfrastructure

plan, diversity plan, workforce development plan, external engagement plan, evaluation and assessment plan, sustainability plan, management plan, and RII Strategic Plan.

5.1. f. External evaluation: External evaluation of all aspects of the project must be conducted annually. A written evaluation report from the external evaluators and a description of course corrections, if any, determined by the project management team based on the findings and recommendations of the evaluation report must be submitted along with the annual project report.

5.1. g. 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. Ongoing Project 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. a. The project team must cooperate with NSF EPSCoR program evaluation activities 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 Track-1 awardees must participate in site visits, reverse site visits, video-conferencing, and other program management activities to demonstrate progress relative to established goals and objectives of the project.

7. Maximum Overlap of Awards: Jurisdictions will be allowed to have a maximum overlap period of six months between two active RII Track-1 awards (i.e., the concluding duration of a previous award and the initial period of a new award may overlap up to six months). In cases where no-cost extensions are employed, the maximum overlap for two awards still cannot exceed six months.