General Programmatic Terms and Conditions (PTCs) for the ADVANCE: Increasing the Participation and Advancement of Women in Academic Science and Engineering Careers (ADVANCE) - Institutional Transformation (ADVANCE IT) (NSF 14-573) Cooperative Agreement(s)

NSF 14-573:
http://www.nsf.gov/publications/pub_summ.jsp?WT.z_pims_id=5383&ods_key=nsf14573

1. <u>**Key Personnel:**</u>
   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. <u>**Program Description:**</u>
   The ADVANCE program is designed to address gender equity through a focus on the identification and elimination of organizational barriers embedded within institutions that impede the full participation and advancement of women within academic institutions. ADVANCE is an integral part of the National Science Foundation's multifaceted strategy to advance discovery, innovation, and education, and to promote the progress of science. The program is aligned with strategic goal 1 objective 2 in NSF's most recent strategic plan: *Strategic Goal 1: Transform the Frontiers of Science and Engineering; Strategic Objective 2: Integrate education and research to support development of a diverse STEM workforce with cutting-edge capabilities.* (*Investing in Science, Engineering, and Education for the Nation's Future: NSF Strategic Plan for 2014-2018*, NSF, March 2015)

   ADVANCE Institutional Transformation projects involve the implementation of a coordinated, institution-wide strategies involving faculty, administrators, and staff to achieve gender equity in STEM academics.

3. <u>**Project Governance:**</u>
   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 will develop and submit to the cognizant program officer within three months of the start date of the award a project organization chart and management plan including the following components:

   a. A project implementation and management team (project team): The project team is responsible for the implementation of critical and significant project activities,

coordinating the project's internal and external evaluation, and the day-to-day project management. The project team will likely include the PI and co-PIs as well as other staff. The project team may include individuals from the institution that will support the record keeping and financial management of the project.

b. A charter that outlines the purpose and the membership of an internal steering committee or internal advisory committee (ISC or IAC): The project PI and co-PIs should serve on the ISC or IAC. Other members might include STEM faculty and key administrators and staff who will be impacted by the activities, providing resources or services such as data, and those who are in offices which may have a role with sustainability and institutionalization of the project. ISCs or IACs typically meet monthly or quarterly during the project period, depending on the complexity of the project and the size of the project team.

c. A charter that details the purpose and the membership of an external advisory committee (EAC): The EAC may be chaired by the chief executive officer of the institution or equivalent. Membership should include diverse individuals with expertise related to the project activities and the gender equity research who can objectively review the project and provide feedback which can be used to make improvements to the project. The EAC role is distinctly different from project evaluation and should not be combined. The project PI (unless also the CEO), co-PIs, project team and consultants to the project should not serve on the EAC. EACs should meet once a year during the project period.

4. **Reporting Requirements:**
The Awardee will provide all regular reports as required by NSF via Research.gov (four annual reports, one final report, and a project outcomes report for a five-year project). In addition, the Awardee will submit mid-year interim reports due 6 months after the start of the project and 6 months after the anniversary date of the award thereafter (five mid-year interim reports for a five-year project). Additional annual and interim reports may be required for no cost extensions. All reports are expected to include any available project evaluation reports from internal or external project evaluators, relevant project data and impact data, updated IRB approval letters, publications with DOI numbers, survey instruments, and other tools and materials developed by the project.

5. **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.

The Awardee will ensure that:

a. Project team representatives attend ADVANCE PI meetings as scheduled.

b. The project team will, in consultation with the cognizant program officer, organize and schedule site visits, which may include upper level administrators and key stake holders in the project. There will be at least one third year site visit with a panel including NSF staff and external panelists identified by the cognizant program officer. The purpose of the third year site visit is to conduct an evaluation of project performance, assess progress towards goals, and provide advice and

recommendations for enhancing project performance. The Awardee will provide, via email correspondence to the cognizant program officer, a written report of accomplishments prior to the review, not to exceed six pages, by a date to be determined by the cognizant program officer and provide materials for panelists to describe the project outcomes and impact. Other site visits may be scheduled by the program office as needed.

c.   The project will work cooperatively with any evaluation and monitoring contractors as designated by NSF.

6.   **Program-Specific Terms and Conditions:**

a.   The Awardee will develop and submit to the cognizant program officer within four months of the start date of the award:

   i.   Timeline: Include benchmarks for the major project activities as well as which member of the project team is responsible for the benchmark. Annual timelines can be revised in the annual report.

   ii.   The ADVANCE project's web site url.

b.   The Awardee will develop and submit to the cognizant program officer within five months of the start date of the award:

   i.   Evaluation Plan: The project evaluation plan must include measurable objectives and benchmarks for the project activities. It is anticipated that both quantitative and qualitative analysis will be employed to evaluate the **impact of the project**. There must be an external evaluation component, but the assessment may involve both internal and external evaluators as appropriate. An external evaluator must have expertise relevant to the issues affecting the participation and advancement of women in science and engineering and cannot be invested in the project outcomes in such a way that his/her ability to provide an objective evaluation would be questioned. Updates on the evaluation activities and revisions to the evaluation plan shall be included in annual reports. This evaluation plan should include plans for developing and maintaining quantitative and qualitative data of related to institutional transformation. Data and evaluation reports should be included in annual and final reports whenever available. The Awardee can use the guidelines for institutional transformation indicators developed by an ADVANCE grantee working group in 2005. These guidelines are incorporated in the "Toolkit for Reporting Progress toward NSF ADVANCE: Institutional Transformation Goals" http://www.advance.vt.edu/Measuring_Progress/Toolkits/Advance_Data_Indicators_Toolk it_Jan05.pdf. In the event that there is a difficulty accessing the Toolkit, the Awardee should contact the cognizant program officer.

   ii.   Communication plan: The communication plan should be designed to ensure that the project's results, lessons learned and promising practices will be widely disseminated, using outlets beyond the institution's own website. Updates on the communication activities and revisions to the communication plan shall be included in annual reports.

c.   The Awardee will ensure that adequate office and meeting space is available for the ADVANCE project that is conveniently located to a majority of STEM faculty.

d.   The Awardee will ensure that an ADVANCE project web site is linked to the institution's main web site and is maintained throughout the project period. The project web site should include at a minimum; contact information for the project team, a summary of the project activities, scheduled events and training, publications, materials and tools developed that can be shared, as well as project reports and appropriate institutional data.