



General Programmatic Terms and Conditions (PTCs) for the EPSCoR Research Infrastructure Improvement Program: Track 2 (RII Track-2) Cooperative Agreement(s) (NSF 09-571)

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.
 - 1.1. Key personnel is defined as the members of the RII Track-2 management team.
2. **Program/Project Description:** The purpose of the Research Infrastructure Improvement Program: Track-2 (RII Track-2) is to provide support to consortia of EPSCoR jurisdictions to support innovation-enabling cyberinfrastructure of regional, thematic, or technological importance. RII Track-2 activities enhance the cyberinfrastructure needed to develop collaborative efforts for the successful pursuit of significant consortium opportunities in science and engineering. The RII Track-2 award adds specific value to the jurisdiction's academic cyberinfrastructure 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. These responsibilities include:
 - 3.1. The PI and co-PI(s) will provide scientific and technical leadership, as well as overall program coordination, and will (a) report to NSF and the EPSCoR Committees; (b) visit the various campuses where the research is being conducted on a periodic basis; (c) ensure that the various stakeholders operate as a cohesive research enterprise progressing towards the realization of project goals and objectives; and (d) ensure consortium-wide coordination and collaboration among EPSCoR Steering Committees or governing committees. The PI and co-PI(s) will be assisted by professional staff whose responsibilities include program management, fiscal and contract management, database administration, and communications.

4. **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.

4.1. Project reports must include the following:

- 4.1.a.** Broadening Participation: 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 that participated in activities funded by this award and the duration of that participation. The data must be reported in aggregate for the project, each jurisdiction, 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.
- 4.1.b.** Institutional Engagement: Annual and final reports must provide evidence of broadened engagement of institutions in RII Track-2-supported activities of the consortium. These reports must also include evidence of enhanced collaboration among the consortium’s universities and colleges, including non-research intensive institutions, and utilization of resources residing therein.
- 4.1.c.** Annual and final reports must include evidence of linkages, coordination and collaboration with other NSF-funded programs. The report must also show the consortium’s participation in NSF programs that support research and infrastructure (human, physical, cyber) development beyond RII Track-2. These reports must also demonstrate how leveraging these programs enhances research and education competitiveness.
- 4.1.d.** Progress on Program Elements: Annual and final reports must include evidence of progress in the development and implementation of plans required for the RII Track-2 project. For

RII Track-2 awards funded in response to Program Solicitation NSF 09-571, this includes: cyberinfrastructure-enabled science and engineering projects, diversity plan, dissemination and communication plan, evaluation and assessment plan, sustainability plan, and management and coordination plan.

- 4.1.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 sustain cyberinfrastructure improvements, enhance research competitiveness, integrate research and education, and promote partnerships and alliances that increase research capacity and support.
- 4.1.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.

- 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.

- 5.1. Program Indicators:

- 5.1.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.

- 5.1.b.** RII Track-2 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.