**General Programmatic Terms and Conditions (PTC) for the University of Maryland National Socio-Environmental Synthesis Center (ESC) Cooperative Agreement (NSF 10-521)**

1. **Key Personnel**: Except for the principal investigator(s) (PIs) designated in this award, requests to make any changes to organizations 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 Fast Lane for review by the cognizant NSF Program Official and approval by an NSF Grants Officer.

2. **Program Description**: The Center will stimulate research, education, and outreach in natural and social science synthesis, with the mission of developing solutions to global environmental challenges. The Center's founding plan requires mutual engagement of social and natural scientists, and priority topics and questions may be motivated by public policy needs. Key Center goals are: the creation of new coalitions; learning at all levels; expansion and improvement of the synthesis process; and creation of a flexible, adaptive institution. These goals will be achieved through community-driven, collaborative activities that rely on diverse methods of interaction.

   The Center's policies for data management and access, intellectual property, inventions, creative works, and models rely on open access, following the University System of Maryland's (USM) Policy on Intellectual Property. The Center will also establish a maintenance and archiving policy for data. Data and metadata will be archived in a public metadata registry or repository, and archives will be maintained in two locations (SeSynC in Annapolis and U Maryland College Park) with daily backups.

   On a case by case basis, the Center will provide infrastructure and support for activities funded through other programs at NSF, other institutions, or federal agencies that are consistent with its themes and overall mission to enhance research and education at the interface of the natural and social sciences. These activities might include workshops, working groups, student education, public outreach, post-doctoral scholars, or syntheses to inform policy and management. The Center will submit individual supplemental proposals via FastLane for such

additional activities and supplemental funding will be provided under the terms and conditions of this Agreement.

3. **Strategic Planning**:   Center leaders will be responsible for strategic planning, in collaboration with the External Advisory Board and with broad community input. The community will engage in strategic planning through identification of key Themes that will define center activities. Center leaders will implement a strategic plan with rigorous milestones, specific performance metrics, a formal internal assessment process (3b above), and clear definition of organizational values and operating principles.

   **Peer Review of center funded projects** - Because of the diverse nature of projects the center expects to fund, peer review of projects submitted to the Center will be conducted by Theme Leaders and selected members of the Advisory Board and External community, where 'selected' refers to disciplinary expertise. One or more members of the advisory board will oversee the peer review process; the Strategic Plan will outline specific methods for ensuring an unbiased funding process that meets the center's mission and structure.

4. **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. Details regarding governing components are listed in the Award Specific Terms and Conditions.

5. **Reporting Requirements**: The Awardee will provide reports as designated by the NSF cognizant Program Official with content, format, and submission timeline established by NSF and in accordance with the Cooperative Agreement Financial and Administrative Terms and Conditions established for this award. 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.

   The Center will provide NSF with reports of all center activities, participants, work plans, etc.   Annual reports on assessment will also include results from metrics and surveys used to evaluate processes for promoting synthesis.  This second form of assessment, intended to build organizational learning and adaptation into the Center's structure, is a long-term process and a full evaluation of results to date will be expected for the 4th year review by NSF.

   NSF will evaluate the annual reports for a) appropriate inclusion of social sciences and public policy experts in center activities; 2) effective integration of education; 3) use of diverse media to communicate results to, and engage, the general public; 4) engagement of policy makers in the development of priorities and in using or understanding results; 5) completion of milestones associated

with strategic planning; and 6) adequate assessment, both internal and external, of center activities, management, and performance.

6.  **<u>Ongoing Project Management and Oversight</u>**: The Awardee will ensure full commitment and cooperation among the governing structure components and all project staff during all NSF project management and oversight activities. The Awardee will use all reasonable efforts to ensure availability of all key institutional partners during any on-site review as well as timely access to all project documentation.

    a)  Independent evaluation of the performance of the Director will be completed yearly by the cognizant Dean of the University in accordance with established University of Maryland policies and procedures. Evaluation of the Associate Directors and oversight of the Center's strategic and internal financial planning will be conducted by the Director with independent input from the EAB. A summary of each assessment will be provided to NSF.

    b)  NSF, via the cognizant Program Officer, will conduct annual reviews to determine the effectiveness of the Center and its value to the scientific community. One or more of these reviews may consist of a short visit to the Center by the managing Program Officer or a reverse site review held at NSF. Early in the award's fourth year, a team of expert reviewers will visit the Center to evaluate its performance. Site reviews will consider the quality of the scientific activities that the Center has enabled, the Center's scientific profile, the quality of activities addressing societal needs, the change in culture of the social and natural science communities that focus on environmental science issues, the quality and utility of informatics activities and products, and the impacts of education and outreach activities. Other Center activities considered will include administration and management, partnerships, and participation by minorities and members of underrepresented groups.

    c)  The annual evaluations by NSF will determine whether to continue to support full operation of the Center, or to decrease funding in order to phase out NSF support. If a decision is made to phase out NSF support of the Center, NSF will provide the University of Maryland the opportunity to address issues raised in evaluations that have resulted in the decision to phase out NSF support. If the University is unable to address these issues adequately, NSF will negotiate a six-month phase-out plan with the Awardee. The phase-out plan will give strong consideration to non-

cancelable commitments made by the Center prior to the decision to phase out the Center. Such commitments would include but not be limited to 2-month post doctoral appointments, faculty sabbatical research appointments, and lease obligations.