



## **General Programmatic Terms and Conditions (PTCs) for Inclusion across the Nation of Communities of Learners of Underrepresented Discoverers in Engineering and Science (NSF INCLUDES) NSF INCLUDES Alliances, (NSF 18-529) Cooperative Agreement(s)**

**NSF 18-529:** <https://www.nsf.gov/pubs/2018/nsf18529/nsf18529.pdf>

### 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 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 NSF INCLUDES Alliances form the central parts of the NSF INCLUDES National Network. Alliances will bring together programs, people, organizations, technologies, and institutions to achieve results at scale, provide new research, and leverage NSF's broadening participation investments. The NSF INCLUDES approach requires that each Alliance focus not only on its own vision and goals, but also work with the NSF INCLUDES Coordination Hub (the Hub) and other organizations within the NSF INCLUDES National Network. Collectively, the set of Alliances will participate in a network to achieve long-term goals of the NSF INCLUDES program through collaboration with the NSF INCLUDES Coordination Hub and by creating opportunities for other organizations and broadening participation stakeholders to join in and expand the NSF INCLUDES National Network.

### 3. Project Governance and Governing Responsibilities:

The Awardee is responsible for the satisfactory execution of the Alliance project, for the co-management of the collaborative awards and oversight of any subawards, and for ensuring the satisfactory completion of any awardee staff obligations associated with components of the project.

The Awardee(s) will ensure that an efficient, effective and transparent project governing structure is in place throughout the award period to support all critical or significant project activities. In support of this objective, key responsibilities for the Alliance Director, who is also the PI of the Lead Institution award, are defined as follows:

- a. Managing, overseeing, and directing the overall NSF INCLUDES Alliance project and communicating and coordinating Alliance activities with the NSF INCLUDES Coordination Hub;
- b. Contributing to collaborative infrastructure development, community development, and broader impact outcomes;
- c. Serving as the point of contact with NSF Program Officials and the Coordination Hub Director;
- d. Producing, together with PIs, Co-PIs and other project personnel, annual and final reports that provide both an integrated view of the overall project, its contribution to the Network, and specifics for each collaborating partner;
- e. Creating, maintaining, and contributing to an updated website for the NSF INCLUDES Alliance project; and
- f. Leading the project team in planning and coordinating all activities described in the Alliance proposal.

The Alliance Management Team, made up of the PIs of the collaborative awards, the personnel outlined in the proposals and led by the Alliance Director, is responsible for all Alliance functions. The Alliance Management Team reports to the Alliance Director and NSF.

#### 4. Reporting Requirements:

The Awardee will provide reports as requested by the cognizant NSF Program Director who will determine the contents, formats, and submission timelines. The Awardee will submit all required reports via the mechanisms specified by NSF. Below we specify the types of required reports, along with the frequency and content/purpose of each.

- a. Teleconferences between NSF Program Officer and PI/Alliance Director and relevant co-PIs/collaborators.
  - i. Frequency:
    1. At least once quarterly with the times to be jointly decided by NSF and the Project Manager.
    2. Along with the teleconference, a written status report is to be provided at least one week prior to each teleconference.
  - ii. Content and purpose:
    1. Guide and establish the schedule for agency approval requirements, type and frequency of project plans, special reporting requirements and project and Awardee reviews during the term of the award;
    2. Update NSF about current and planned activities, including the NSF INCLUDES Alliance collaborative infrastructure, multi-stakeholder partnerships, Alliance activities, and management issues;
    3. Provide information on the Alliance's support organization (backbone) that collaborates with the NSF INCLUDES Coordination Hub and provides the framework for communication and networking, network assistance and reinforcement, visibility and expansions of the Alliance and its partners;

4. Coordinate community events and outreach;
5. Coordinate with NSF as necessary to ensure appropriate information and support for Alliance research initiatives; and
6. Other items, as suggested as part of the written status report. The actual agenda may be modified in concert with NSF.

b. Site Visits and/or Reverse Site Visits.

i. Frequency:

1. At least two over the course of the funding period: one in the project's second year and one in the project's fourth year.
2. More site visits or Reverse Site Visits may be scheduled at the request of the NSF Program Officer, the NSF managing Division Director, or other NSF officials.

ii. Content and purpose: Contribute toward, and attend, an evaluation by an external committee assessing the progress of the Alliance project relative to the goals of the NSF INCLUDES Alliance program as specified in the original solicitation, as well as specific metrics outlined in the original proposal.

iii. Other site visits and/or reverse site visits may be requested by NSF, as appropriate and with reasonable accommodations for scope and timing.

c. Annual Reports.

i. Frequency:

1. Annual (via FastLane)
2. Content and Purpose: Submits to NSF an integrated project report incorporating results from work performed by all PIs in the project. The Report is reviewed and approved by the NSF cognizant Program Official.

d. Special Reports:

- i. A semi-annual financial report for the overall project, detailing expenditures for the lead project as well as any collaborative projects or subcontracts, is to be submitted by the Project Manager to the NSF Program Official. Submission should be timed with the 2<sup>nd</sup> and 4<sup>th</sup> quarterly teleconferences and should be part of the agenda for those meetings.
- ii. Other reports may be requested by NSF, as appropriate and with reasonable accommodations for scope and timeline.

e. NSF INCLUDES Coordination Hub:

- i. Frequency: Ongoing activity to establish and maintain ongoing communication and relationships with the NSF INCLUDES Coordination Hub.
- ii. Content and purpose:

1. Submit reports and data on progress, publications and outreach activities, and outcomes and impacts from the activities and research for the overall project.
  2. Provide the NSF INCLUDES Coordination Hub user community with updates on resources available through the Alliance.
  3. Assist the NSF INCLUDES Coordination Hub with supporting, growing and maintaining the NSF INCLUDES National Network through active participation in NSF INCLUDES convenings and Coordination Hub events (virtual and face-to-face).
- iii. Data Access Policy: The Awardee will submit for NSF approval a document defining the policies and procedures by which the Awardee will receive, manage and disseminate information content relevant to the NSF INCLUDES National Network through the NSF INCLUDES Coordination Hub on behalf of its community, users and relevant stakeholders. The document will address issues such as security, confidentiality, and compliance with any relevant licensing or intellectual property rights constraints. This will be developed and refined in close collaboration with the NSF PO and other relevant NSF personnel during the first 90 days. The policy must be approved by the NSF PO before it is deemed complete and will be one of the key documents reviewed at each comprehensive project review.

5. NSF Ongoing Project Oversight:

Responsibility for management and performance is shared by the NSF and the Awardee. NSF will be involved with project activities on an appropriate basis, including providing advice, guidance or assistance of a technical, management, or coordinating nature. NSF prior approval of specific decisions, milestones, or project activities may be required. Teleconferences with NSF and reports submitted to NSF will be used to guide and establish the schedule for agency approval requirements, type and frequency of project plans, special reporting requirements, and project and Awardee reviews that NSF will conduct during the term of the award.

NSF Cognizant Program Official will maintain a close working relationship with the Alliance Director. The NSF PO will review project progress on a regular basis and all adjustments that may become necessary. The Alliance Director will send any adjustments that change the scope defined in these Programmatic Terms and Conditions to the PO for review and for final approval by NSF. The NSF PO can recommend changes to the Alliance Management Team based on his/her assessment of team members' performance and coordination with the Hub's activities.

6. Program-Specific Terms and Conditions:

The terms and conditions stated herein are the minimum requirements for the NSF INCLUDES Alliance to fulfill the responsibilities to achieve the goals expected under the NSF INCLUDES Alliances Solicitation NSF 18-529. All referenced documents including websites and other documents submitted to NSF are made a part of this Cooperative Agreement. The absence of a compelling strategy and demonstrable impact in achieving the goals and key features of the NSF INCLUDES Alliance incorporated in this agreement and described in full details in NSF 18-529 is sufficient reason to deny continued funding.