

**A NSF EPSCoR Workshop
Successful EPSCoR Management Strategies
Jackson Hole, WY, June 8-10, 2003**

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I. Background and Rational

The NSF EPSCoR program has entered a new era marked by significantly increased levels of funding of RII awards, the addition of new states to the EPSCoR community and a large amount of turn over in leadership at the state level. The increased level of RII funding has been accompanied by increased demands of managerial oversight and accountability. There has also been an expansion of areas of interest to NSF that state EPSCoR programs are expected and in some cases required, to contribute. This is particularly true in the EHR area. Consequently, even experienced Project Directors are devoting considerable time and effort to the development and implementation of new and refined management strategies appropriate to the new EPSCoR realities. If this is a difficult task for experienced Project Directors, the problems are increased by an order of magnitude for new Project Directors; particularly if they are new to the EPSCoR program and its (now) global range of activities. Furthermore, states new to the EPSCoR community face the issues described above, as well as, designing an EPSCoR program *ab initio* and developing a state committee. They have been guided by very supportive NSF EPSCoR staff, (particularly in the planning grant phase) and certain states have asked persons experienced with the EPSCoR program to serve as external advisors.¹ Furthermore, on a global scale, we currently do not have a longer range plan for development of the NSF EPSCoR program.

The good news is that states are developing innovative and effective solutions to many of the problems that we all face. However, while the EPSCoR state leadership group has developed into a collegial and mutually supportive team at the National level, there is no collected source that presents the homegrown solutions that have been developed over the years. A few years ago, a mechanism for discussion and information sharing was developed for use at the Quarterly Project Director's Meetings. These Project Director's Roundtable Sessions have been effective, but the hour or so available four times a year is not adequate to address the problems described above. Recognizing this fact, the Project Directors decided to work on these issues in a retreat/workshop format so that sufficient time could be devoted to more fully address the problems that have been identified. Additionally, a group of state EPSCoR leadership individuals has developed a draft five-year plan for the development of the NSF EPSCoR program. A preliminary discussion and elaboration of these ideas also needs to be considered by the state EPSCoR leadership community.

¹ For example, the New Mexico State Committee has Chris Allen (Vermont), Bill Gern (Wyoming) and Lee Williams (Oklahoma) as its external advisors.

The Wyoming EPSCoR team volunteered to host this workshop at the Jackson Lake Lodge, Moran, Wyoming. Formal announcement of the meeting will be made via email to the EPSCoR project directors, and Wyoming EPSCoR will create a workshop web site for electronic registration and other information on the workshop and lodging.

II. Program Planning

Once the venue and overarching goal for the workshop were established, the next step was to fill out details of the meeting content and organization. Discussions at a Project Director's Roundtable led to the identification of several topic areas that were of sufficient importance to serve the needs of all the states. The NSF EPSCoR staff also contributed topics for consideration. The Project Director's Roundtable session at the January 24, 2003 Quarterly Project Director's meeting was devoted to planning for the workshop. The results were as follows: Chris Allen (Vermont) and Randy Lewis (Wyoming) were elected to Co-Chair the workshop. The first day and a half (starting at 8:00 a.m., June 9) of the retreat/workshop will be assigned to discussion of successful management strategies from the states and the number of topics reduced to allow for sufficient discussion time. The second half of day two (June 10) is committed to examination of the longer range plan for EPSCoR.

Presenters were selected on a volunteer basis. All points were arrived at by consensus after extensive discussion of all participants. Full details of the sessions follow in Section III.

III. Workshop Plan

A. "Successful EPSCoR Management Strategies"

The topics and presenters, selected as described in Section II, are outlined below:

The Topics and Presenters of Successful EPSCoR Management Strategies

1. *Strategies for Building Effective State Committees for Both New and Current Jurisdictions*

Royce Ballinger – Nebraska (Lead Presenter)

George Happ – Alaska

Don Prince – Hawaii

Jim Rice – South Dakota

2. *The Role of EPSCoR in Economic Development*

Bill Gern – Wyoming (Lead Presenter)

Chris Allen – Vermont

Larry Druffel – South Carolina

Michael Khonsari – Louisiana

3. *Human Resource Development at Research Universities*

Mark Sheridan – North Dakota (Lead Presenter)

Brad Weiner – Puerto Rico

Thomas Taylor – Kansas

Barbara Kimbell – New Mexico

4. *Effective Evaluation Strategies*

Jean'ne Shreeve – Idaho (Lead Presenter)

Jim Gosz – New Mexico

John Hehr – Arkansas

5. *Effective Communication with the Public and Legislators*

Paul Hill – West Virginia

To Be Named

To Be Named

6. *Prioritizing Areas for EPSCoR Investment at the State and Federal Levels*

John Connolly – Kentucky (Lead Presenter)

Mark Young – Montana

Frank Waxman – Oklahoma

B. Meeting Design and Facilitation

The format developed for discussion involves several components. The lead presenters and facilitators will coordinate slide preparation and exchange between identified presenters in their sessions in advance of the workshop. Individual session groups will meet briefly on the evening of June 8 to finalize their presentation. This preliminary work will reduce redundancies in presentations and thus make the most effective use of time and hence maximize the opportunity for discussion. The role of each presenter is to provide examples of approaches that have proven successful in their states and have sufficient generality to be exported to other jurisdictions.

The full day of June 9 and the morning of June 10 will be devoted to general discussion of each topic. The proposed format will be a 20 minute presentation by each team followed by a working session in which participants will respond to questions designed in advance by the facilitators in conjunction with the co-PI's of this proposal. The participants will work in small groups of seven to eight people, with the facilitators helping each group. Each table will be responsible for capturing the ideas on flip charts that will be provided. At the end of each session, one person from each table will report that table's findings to the full group. These findings, as well as the key ideas from the presenters, will be recorded by the typists for use in the final report.

The discussion will involve additional models from jurisdictions not involved in the formal presentations, questions and debate involving effectiveness of the proposed approaches and some indication about the future direction for the EPSCoR jurisdictions in each of the six topic areas. It will be important to recognize that one solution, or set of solutions, does not necessarily fit all states. Consequently, variables such as small states versus large states, groups new to the EPSCoR programs versus long term participants, homogeneous versus diverse state populations need to be factored into the final set of recommendations.

The afternoon of June 10 will be devoted to discussion of long-range planning. The format will be a presentation by one of the developers of a plan (Royce Engstrom, V.P.

Research, South Dakota, and former NSF EPSCoR Project Director) followed by breakouts to small groups. These groups will be charged with the planning discussion, suggestions for change and incorporation of new ideas. The groups will report back to the assembled participants.

Independent certified facilitators will collaborate in the design of the meeting process, coordinate activities of the chairs and lead presenters in advance of the meeting, facilitate during the meeting, and coordinate the process of capturing the outcomes of the discussions and producing the content of the Retreat Report.

C. Summation and Documentation

On June 11, the facilitators, the meeting chairs, the lead presenters and Wyoming EPSCoR staff will develop and finalize the outcomes of the workshop. This session will be devoted to development of summary documents describing the conclusions reached during the workshop proceedings.

D. Meeting Participants

Each Jurisdiction, including those with planning grants, will be represented by the Project Director and in cases where there is a co – or associate director who is involved in policy development, that person may also attend. The state committee chair, from each state, or a person on the State Committee actively involved in policy development from each state will also attend. NSF EPSCoR staff will participate in the meeting and act as resource persons.

E. Meeting Staff

Staff members of the Wyoming EPSCoR Office and the University of Wyoming Office of Research will provide backup and support for the Retreat. Two typists from the University of Wyoming will provide clerical support in the typing of session outcomes.

V. Outcomes

The outcome of the June 11 working group session will be a document providing detailed summaries and recommendations in each of the topical areas described in Section III and a separate, more informal, document on the five-year plan. It is intended that this will be a resource manual, rather than a proscriptive document. The primary audience for this document will be the EPSCoR leadership in each state and copies will be distributed to all meeting participants. This will allow EPSCoR teams to incorporate successful approaches developed in other jurisdictions, when they fit their local needs. This exporting of useful models will lead to efficiency in developing successful management models without the need to “reinvent the wheel” all the time. The discussion of the long-range plan is intended to be the start of broader engagement of the EPSCoR community in this planning process.

The second phase of distribution will be a summary presentation at the 2003 EPSCoR Annual Meeting in Las Vegas. Additional copies will be available at the meeting for the use of interested parties. The full document will also be made available on the Wyoming EPSCoR website, thus it will be universally available and easy to access. This document will also give the NSF EPSCoR staff an additional resource to provide states in the planning process or to new Project Directors who do not have significant EPSCoR management experience. Finally, it is important to note that the topics covered do not exhaust the range of issues facing the local EPSCoR leadership teams. The experience generated in this workshop will allow for consideration of new topics at future Quarterly Project Director Meetings. One could envision the discussion of one topic per session, as adding a significant dimension of utility to the Quarterly Meetings.

VI. Broader Impacts

Because of the very nature of the EPSCoR program, improvements to the programs these 24 states and jurisdictions will have a broad impact. Specific areas that will be impacted directly by defining best practices from several states will be in the areas of human resources, particularly diversity issues; communication with the broader public and legislators; and economic development.

States and jurisdictions that are current participants are Alabama, Alaska, Arkansas, Commonwealth of Puerto Rico, Delaware, Hawaii, Idaho, Kansas, Kentucky, Louisiana, Maine, Mississippi, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, South Carolina, South Dakota, U.S. Virgin Islands, Vermont, West Virginia, and Wyoming.

Human resource development is a key issue for EPSCoR states especially those states that have a narrow population base. Utilizing ideas from successful programs developed by other EPSCoR states will enable all the jurisdictions to develop useful strategies that will increase the numbers of underrepresented groups among their students and faculty. Also, a number of the programs have developed innovative, successful activities that integrate research and education from K-12 through the Ph.D. level.

For EPSCoR to effectively build jurisdictions' STEM infrastructure, it is necessary to get "buy-in" from key stakeholders and from the general public. Effective communication that educates and informs the broader public and especially the legislatures is vital. Some states have been very successful in this regard while others have struggled. Identification and discussion of flourishing efforts will enable all states to improve their efforts.

Especially in the EPSCoR states the universities are in the limelight with an expectation that they will contribute to economic development. This is due to the financial

commitments from the states to their universities and the lack of technology development in their economies. Several states have utilized different mechanisms to encourage economic development within their universities and outside as well. Discussion of these programs and how they can be adapted to other states will be particularly beneficial.

VII. Budget Explanation

E. Travel

1. Domestic Travel:

Meals and hotel for the five members of the workshop staff for six days

Hotel: \$160/night; Meals: \$46/day for three days outside of workshop

Cost of the rental and fuel for 3 Suburbans. These will be used to transport workshop materials and equipment from Laramie to Jackson, and they will be used to provide travel to and from the Jackson airport to Jackson Lake Lodge for workshop participants.

F. Participant Costs

2. Travel costs for the chairman or designee from each EPSCoR jurisdiction based on current airfares.

3. Subsistence: Hotel for chairs at \$160/night for 4 nights; 2 days of meals outside of workshop (travel days) at \$46/day.

Meals for all participants during the workshop starting with dinner June 8, and full days on June 9 and 10, estimated at \$15,850.

G. Other Direct Costs

1. Materials and Supplies: Copy charges and postage for pre-workshop materials; and other supplies such as nametags, folders, flip charts.

2. Publication Costs: Publication and mailing costs for Workshop Proceedings estimated at \$9.00 each for 250.

3. Subcontract: Certified facilitators who will design the meeting process and flow, and work with co-chairs and lead presenters in advance of the meeting; facilitate during the meeting; and collaborate in preparing the final draft of the workshop proceedings. The bid process for the facilitators is not yet completed, and the budget for the subcontract will be submitted as soon as possible.

4. Other, equipment rentals: Rental of necessary AV and computer equipment to support the workshop. This amount (\$1,585) is not part of the base upon which the indirect costs are calculated.

I. Indirect Costs

Indirect costs are figured at the approved rate of 41%. Participant costs and AV equipment rentals are not included in the base upon which the IC is figured.