



# EPSCoR Update

Denise Barnes, Head  
NSF EPSCoR  
May 16, 2016



# EPSCoR Team

Denise Barnes



Yolanda Allen



Robert Coyne



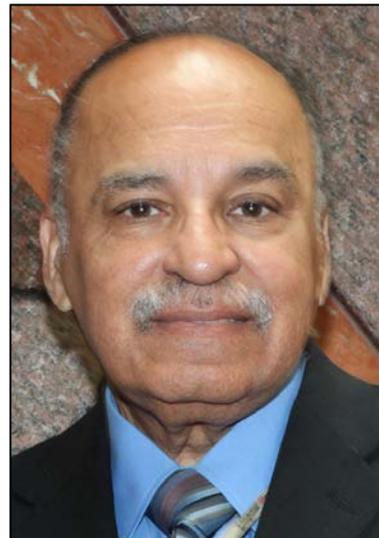
Sean Kennan



Liz Lawrence



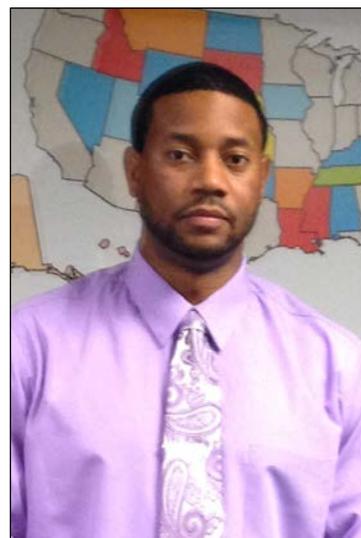
Shannon Jackson



Jose Munoz



Susan Weiler



Paul Trotter



Uma Venkateswaran



Tim VanReken



Angela Lyons



# Jurisdictional Responsibilities

<b>Coyne</b>	<b>Kennan</b>	<b>Munoz</b>	<b>VanReken</b>	<b>Venkat'</b>	<b>Weiler</b>
HI	DE	ID	KY	AL	KS
MT	GU	MS	ME	AK	MO
RI	LA	NV	NE	AR	NM
SC	UT		ND	IA	VT
SD	VI		OK	NH	
WV	WY		PR	TN	



# EPSCoR FY16 Calendar of Events

## October – November

- RII Track-1 Merit Review
- RII Track-2 Solicitation

## April – June

- Annual/Final Reports
- Year 2 RSVs
- PD/PA Meeting
- FY 2017 RII Track-1 Solicitation
- RII Track-2 Merit Review

## January – March

- NSF Budget Rollout
- Directors Review Board
- RII Track-2 Proposals Due

## July – September

- Annual/Final reports
- Year 4 Site Visits
- RII Track-1 proposals due

Outreach, Co-funding, Other RII Tracks, RII Strategic Planning, External Evaluations



# EPSCoR Target Dates

- Awards
  - RII Track-1: Award target: June/July
  - RII Track-2: Award target: August
- Site Visits
  - Sep. 7-9: New Mexico
  - Sep. 13-15: Nevada
  - Sep. 20-22: Oklahoma
  - Sep. 21-23: Delaware
  - Sep. 27-29: Idaho
- Next PD/PA Meeting: May 15-16, 2017
  - (3<sup>rd</sup> Monday and Tuesday of May)



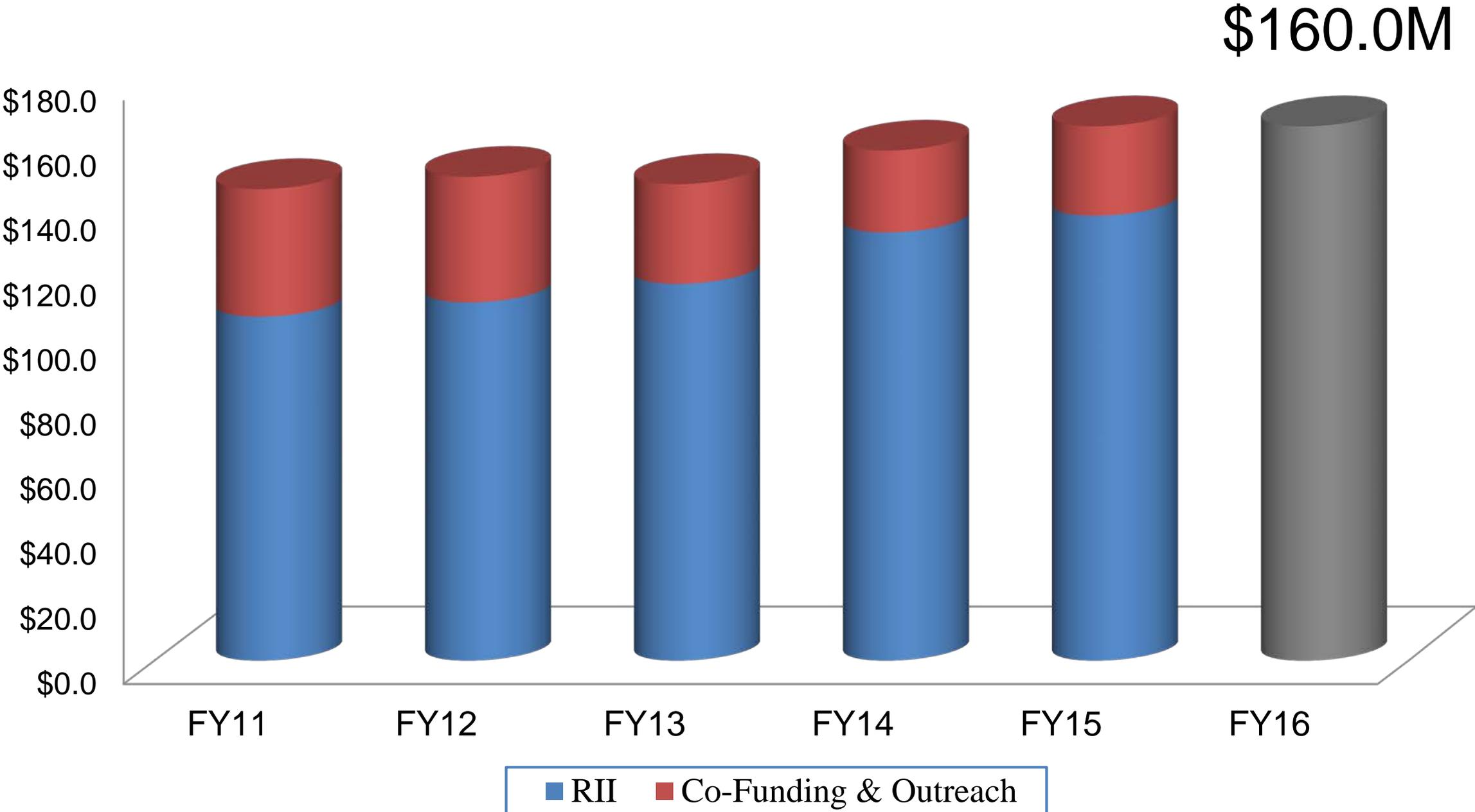
# EPSCoR Funding (\$M)

Activity	FY11	FY12	FY13	FY14	FY15
RII	106.2	110.6	116.3	132.2	137.4
Co-funding	39.4	38.8	30.8	25.3	27.6
Outreach & Workshops	1.2	1.5	0.5	1.0	0.5
Total*	146.8	150.9	147.6	158.2	165.5

\* May not add due to rounding and includes admin fees



# EPSCoR Funding



# FY15 EPSCoR Co-Funding (\$M)

JD	#	EPSCoR (\$M)	NSF Tot. (\$M)		JD	#	EPSCoR (\$M)	NSF Tot. (\$M)
AK	1	0.19	0.50		KS	5	0.84	1.82
AL	8	1.12	2.63		KY	7	1.63	5.68
AR	5	0.99	2.74		LA	5	0.67	1.49
DE	4	0.53	1.14		ME	2	0.35	0.96
GU	1	0.03	0.06		MO	4	0.95	2.08
HI	5	0.99	2.29		MS	6	1.56	3.49
IA	11	1.72	3.87		MT	7	1.11	2.65
ID	4	0.80	1.86		ND	3	0.66	3.35



# FY15 EPSCoR Co-Funding (\$M), *cont'd*

JD	#	EPSCoR (\$M)	NSF Tot. (\$M)		JD	#	EPSCoR (\$M)	NSF Tot. (\$M)
NE	8	1.73	6.34		SD	6	0.82	1.95
NH	2	0.29	0.70		TN	10	1.54	3.66
NM	7	1.43	3.39		UT	4	0.67	1.90
NV	3	0.57	4.34		VI	0	0	0
OK	7	1.73	4.00		VT	1	0.11	0.23
PR	3	0.60	4.44		WV	5	1.24	2.49
RI	3	0.40	0.96		WY	3	0.60	1.41
SC	6	0.67	1.40		<b>Total</b>	<b>146</b>	<b>26.55</b>	<b>73.82</b>



# Post Merit Review Actions for RII Track-1 Proposals

- Declined proposals
  - Encouraged to request no cost extension
  - Bridge funding support maintains the core functions of the jurisdictional EPSCoR office (e.g., administration, staff, workforce development, and partnerships)
  - Bridge funding requests (consistent with core functions) can be submitted when NSF systems reflect an unliquidated balance of  $\leq$  \$1M.
- Awarded proposals
  - Work with sub-awardees to report expenditures to NSF in a timely manner.
  - Maximum of 6 month overlap of RII Track awards.



# Future Program Evaluation

*“The EPSCoR Section should focus future program-level evaluation efforts on the research competitiveness goal and not on improvements in the S&E research base within EPSCoR jurisdictions.”*

- STPI recommendation 2.4

## Evaluation Goals

- How/why strategic choices made by each jurisdiction have contributed to their research competitiveness
- Is there a common set of process and outcome indicators to construct a consistent picture of research competitiveness strategies and results?



# Post-Award Management

## Strategic Planning

- **Year 1, Ongoing**
- Focal point for detailing goals, strategies, metrics, milestones, and timelines for all aspects of the project. Also addresses merit review comments.

## Project Reporting

- **Annual**
- Comprehensive report submitted via research.gov, data templates and highlights required.

## Reverse Site Visits

- **Years 2 & 4**
- Panels of external experts evaluate projects based on progress relative to the proposed activities and strategic plan, and provide recommendations.

## Internal and External Evaluation

- **Ongoing**
- Independent, external evaluator develops and tracks quantitative and qualitative metrics. Evaluation reports are provided to NSF with annual reports.



# Post-Award Management

## Strategic Planning

- **Year 1, Ongoing**
  - Focal point for detailing goals, strategies, metrics, milestones, and timelines for all aspects of the project. Also addresses merit review comments.
- 
- Revised guidelines to clarified definitions
  - Identified common facilitator
  - Coordination of team/facilitator/NSF discussion prior to strategic planning meeting



# Post-Award Management, *cont'd*

## Project Reporting

- **Annual**
- Comprehensive report submitted via research.gov, data templates and highlights required.

- Initiated steps to streamline RPPR reporting for RII awards
- Federal Register public comment period completed
- Preparing OMB request for EPSCoR-specific process
- If approved, expects to be in place for FY 2017 reporting



# Post-Award Management, *cont'd*

## Reverse Site Visits

- **Years 2 & 4**
  - Panels of external experts evaluate projects based on progress relative to the proposed activities and strategic plan, and provide recommendations.
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- In response to program evaluations, moved to one RSV and one Site Visit
  - Site Visits initiated in FY 2016
  - Expectation of Site Visits: assess progress relative to goals and interact with team on 'home turf'



# Post-Award Management, *cont'd*

## Internal and External Evaluation

- **Ongoing**
  - Independent, external evaluator develops and tracks quantitative and qualitative metrics. Evaluation reports are provided to NSF with annual reports.
- 
- Community, external evaluators, and NSF EPSCoR identified this as an area for improvement
  - Collaborating with EAC to inform potential improvements



# Breakout Discussions and Report-Outs

- Identified two topics for discussion and report-outs
- Divided into two groups: Evaluation and RII Track-1
- 30 minutes of group discussions and 15 minutes report-out
- Post meeting, one month for additional community input
- Member of PD Council will facilitate post-meeting discussions
- Feedback provided by PD Council will inform NSF EPSCoR discussions
- Recommended changes to be vetted with NSF Leadership
- Timeline for changes depend on extent of changes and NSF approval



# Evaluation



# Evaluation Framework

## Internal and External Evaluation

- **Ongoing**
- Independent, external evaluator develops and tracks quantitative and qualitative metrics. Evaluation reports are provided to NSF with annual reports.

- Community, external evaluator, and NSF EPSCoR identified this as an area for improvement
- Recommending multi-phased implementations
- Phase 1: May 17 – Characteristics of well designed evaluation
- Phase 2: Sessions with external evaluators
- Phase 3: Recommendations on needed competencies of evaluator to meet NSF requirements
- Phase 4: Pool of Approved evaluators
- Anticipate ~2 year process

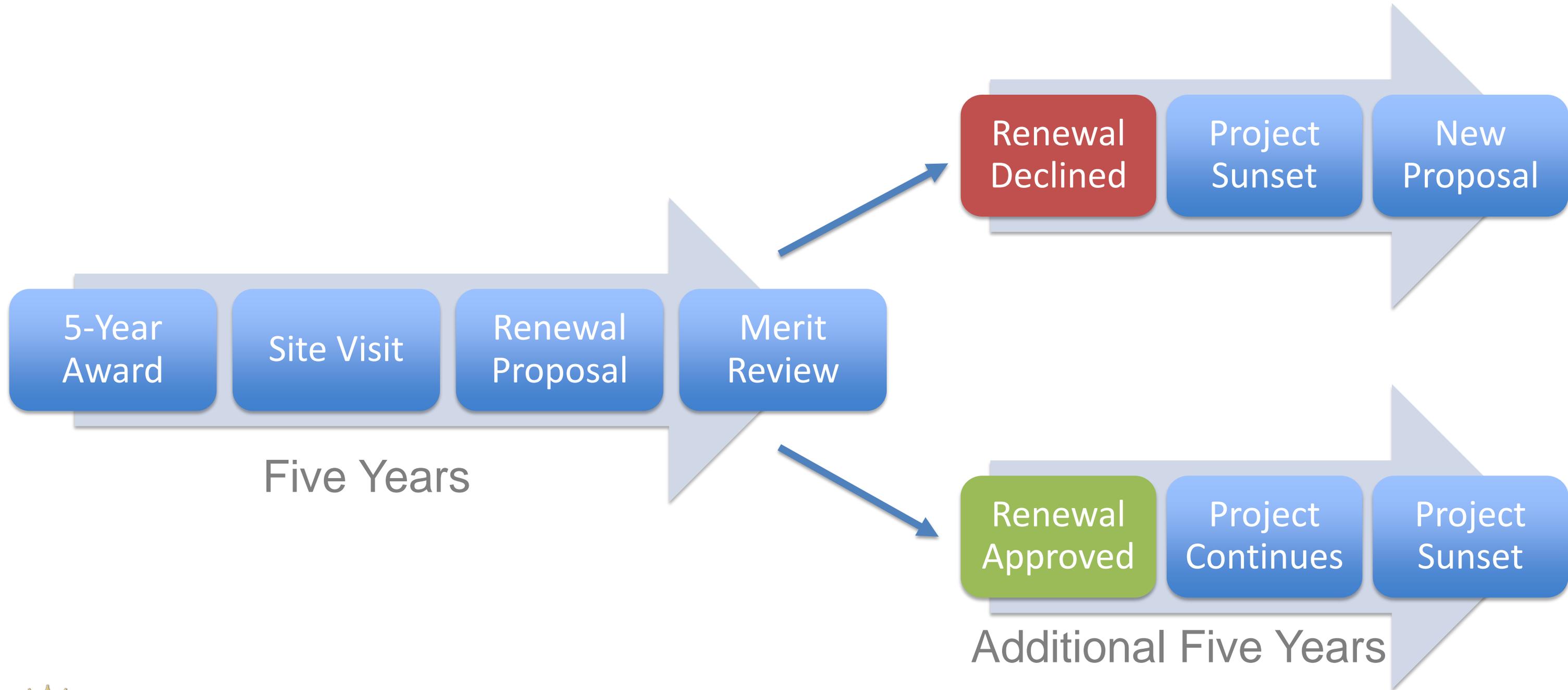


# RII Track-1 Evolution Framework

- Based on community input (*EPSCoR 2020*) and NSF strategic priorities
- Has increased in both size (\$20M) and duration (5 years)
- Reduced required project elements
- Introduction of Site Visits in FY16
- Other models?
  - Project duration: 5+5 scenario



# RII Track-1 Evolution, *cont'd*



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# Thank You

