



RII TRACK-1

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PD/PA Meeting

Arlington, VA

16 May 2017

RII Track-1 Topics

- Proposal Guidelines
- Strategic Planning for New Awards

RII Track-1 Proposal Guidelines

- Watch for the FY18 solicitation
 - <https://www.nsf.gov/funding/index.jsp>
 - <https://www.nsf.gov/od/oia/programs/epscor/>
- *Letter of Intent (LOI) required!!!!*
 - NSF internal planning only; not considered in merit review
 - ***Use FastLane!***
- Full proposals due approximately 90 days after solicitation release
- Eligible if:
 - No current RII Track-1, or
 - Current RII Track-1 expires by October 1, 2018

RII Track-1 Important Items (unchanged)

- Project Description page limit 35 pages
 - Budget tables A and B in Project Description
- PDF searchable lists of participants and participating organizations
 - Use templates provided by NSF EPSCoR
 - *No longer a list of conflicts*
- Baseline data required (esp. for any specified targets)

RII Track-1 Important Items (budget)

- \$20M over 5 years
 - Not limited to \$4M/year
 - Budget request should reflect project effort/needs over time (Scope, Schedule, Budget)
 - Timely spending is required to justify continuing grant increments

Cost Sharing

- Entire cost sharing amount (20%) must be reported on Line M for Year 1
- Budget justification must explain source, nature, amount, and availability
 - Cost sharing must be allowable and allocable to the project
 - sources and uses must be consistent with policies of NSF and the awardee institution(s) as well as federal and state (or territorial) laws and regulations
- Seed funding may not exceed 10% of NSF budget annually
 - Seed funding projects/activities funded through cost share must relate to the scope of the RII Track-1 project as defined by proposal and Strategic Plan.

Jurisdiction Science & Technology Plan

- Required Supplementary Documentation
- Must be accepted/approved at jurisdiction level
 - By steering committee or other governing official/body
 - Acceptance/approval indicated by signature(s) and date, either in S&T plan or in letter (Supp. Doc.)
- Effective date on cover page
- Approver cannot be a participant
- Avoid Return without Review – ensure S&T Plan is current and approved
- Identify STEM research priorities of jurisdiction
 - Alignment with research activities of proposal considered during merit review

Lists of Participants & Participating Organizations

Participants

- PIs and co-PIs (appear on the cover page)
- Other funded participants (appear in budget lines A or B)
- External Evaluator(s) named in proposal
- Consultants (other than external evaluators)
- Advisory Board members (if named)
- Unfunded participants and collaborators (if named)

Organizations

- Primary awardee and Subawardees (budget under G.5)
- Subcontractors (budget under G.3 or G.6)
- Unfunded (collaborating organizations not receiving funding/payment):
- Providing support, facilities, internships, etc.

Collaborators and Other Affiliations (C&OA)

- NSF [Proposal and Award Policies & Procedures Guide](#) (PAPPG Chapter II.C.1.e) (NSF 17-1) requires PIs, co-PIs, and other senior project personnel to individually upload C&OA information as a Single Copy Document
- Effective April 24, 2017, NSF requires submission of a spreadsheet template to identify C&OA
 - directly linked in FastLane
 - also at: <https://www.nsf.gov/bfa/dias/policy/coa.jsp>
- For RII Track-1: must be submitted for every senior personnel in List of Participants (the PI, Co-PIs, and Funded Participants)
 - No longer a list of collaborations for participants under supplementary documents

C&OA Warnings

- Must use template provided by NSF
- Lists must be complete and current
 - Each senior participant must report complete and accurate C&OA
 - Do *NOT* rely on biographical sketches to collate information
- Co-authors and co-PIs include those on works pending and in preparation
- Do not list colleagues or acquaintances who are not collaborators
- The mere sharing of data, software, or IP does not create collaboration or affiliation

Compliance Checking

- Read the solicitation
- Follow the sections & headings for the Project Description
- Ensure all necessary tables are included
- Ensure Supplemental Documents contain Letters of Collaboration which specify contribution/commitment to project
- Plan your submission for several days before deadline to allow fixes to be made, avoiding Return Without Review

- Budget
 - Proposals lacking budget justification for lead and for each subaward will be returned without review
 - clear justifications needed, ensure that subawards add up correctly
 - List postdocs, graduate, and undergraduate students on Line B
 - Budget justification must give source, nature, and amount of cost share

- Human Subjects and Vertebrate Animals
 - Check box(es) on cover page and submit approvals/waivers

NSF/NSB Review Criteria

Intellectual Merit (IM):

- Potential to advance knowledge and understanding
- Potentially transformative concepts
 - Is the plan based on a sound rationale?
 - Is there a mechanism to assess success?
 - How well qualified is the individual, team, or institution to conduct the proposed activities?
 - Prior accomplishments of the PIs/participants
 - Are there adequate resources?

NSF/NSB Review Criteria ...

Broader Impacts (BI):

“NSF projects should contribute broadly to achieving societal goals”

BI may be accomplished through:

- the research itself
- activities directly related to research projects
- activities supported by the project

<http://www.nsf.gov/nsb/publications/2011/meritreviewcriteria.pdf>

EPSCoR Merit Review Criteria

Solicitation Specific (RII Track-1)

- Research Capacity
 - Potential to enhance research competitiveness and capacity
- Jurisdictional Impacts
 - Potential to benefit the jurisdiction
- Workforce Development
 - Potential to enhance the STEM workforce and broaden participation
- Integration of Project Elements
 - Potential for added value and benefits
- All criteria are necessary – none alone are sufficient
- Full consideration during review/decision-making

RII Track-1 Proposals

- Core of the proposal is the Intellectual Merit of the Research
- Read/follow the solicitation
 - Project description elements
 - Keep merit review criteria in mind
- Write to the reviewers/panel
 - Provide information that experts in field need to judge the proposed research
 - Avoid jargon that complicates review by broad audience
 - But don't shy away from addressing specialized, domain specific issues
 - Describe research methods, tools, approaches
 - Emphasize unique, novel, or transformative techniques, methods
- Why EPSCoR RII?
 - Demonstrate integration of project elements and jurisdictional impacts

Baseline Data

Essential for Reviewers to evaluate the IM and BI

- Proposals should present baseline information and data
 - References, citations, preliminary results
 - Clear descriptions of state-of-the art and challenges
- Efforts to engage students, distinct groups, or populations must be accompanied by quantitative baseline data
 - Current numbers, enrollment, percentages, etc.
- New hires:
 - Should be included where expertise/capacity is needed
 - Should be clearly justified by proposed work
 - Jurisdiction-specific Programmatic Terms and Conditions will address proposed hires

Feedback from Panels

Reviewers appreciate your ideas: very good, relevant, important to jurisdictions

Suggestions:

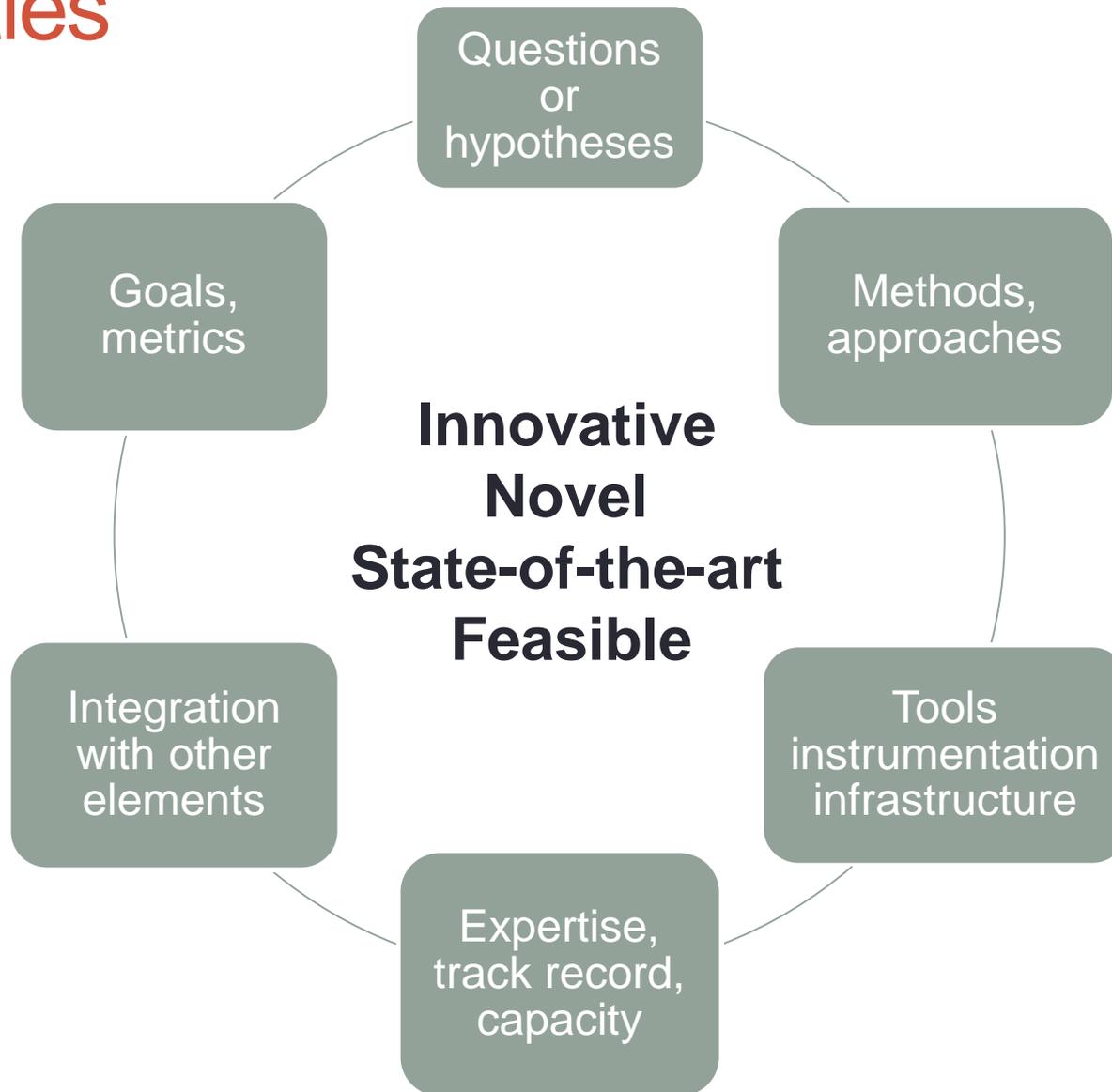
- Research driven by questions or hypotheses that place project in the current context of the research area
- *Avoid couching axioms as hypotheses*
- Research activities, methods, and approaches should address the questions/hypotheses
- Activities and deliverables should support stated goals
- Claims of integration of research projects (and collaborations) should be substantiated
- How will dependencies of activities/results be addressed?
 - Collection of data needed for modeling; simulation results needed for lab work; development of models or techniques needed for integration

Feedback from Panels ...

- Provide sufficient details so that experts can evaluate merit of research plan
- Demonstrate current awareness of the field/problem
 - Up-to-date, relevant references
 - Address known issues, problems
- Preliminary results are appreciated
- How is your team uniquely qualified or positioned to perform the proposed work?
- Clear, legible figures with logical connection to the prose
 - Crucial information should not be only in figures
- Proposed work, methods, ideas should not be in Facilities section

Project Description remains at 35 pages!

IM and BI of Research and Education Activities



Questions?

RII Strategic Planning

Strategic Plan is the framework for implementing, managing, and monitoring the project

- Delineates the scope and schedule (with original proposal and approved changes based on merit review feedback)
- Used to gauge progress
- Identifies responsible parties and relationships with management team
- Living document
- Approved by NSF EPSCoR

RII Strategic Plan

- NSF EPSCoR is striving for a level of consistency among RII Track-1 Strategic Plans
- Used by management team to implement and monitor the project
- Used by NSF to monitor progress, evaluate annual reports
- Used by RSV and SV teams
- Currently John Riordan (Cindy Zook Associates) is facilitating new award planning meetings
 - Virtual meeting with NSF EPSCoR, facilitator, and PDs

RII Strategic Plan

Is an opportunity to ensure:

- Activities and tasks support the goals and objectives
- Adequate resources will be available
- Participants understand and take responsibility for their roles and dependencies within the project

*Is **NOT** an opportunity to:*

- Change scope or rewrite the proposal
- Renegotiate participant roles and responsibilities
- Figure out what will be done – but *how* it will be done

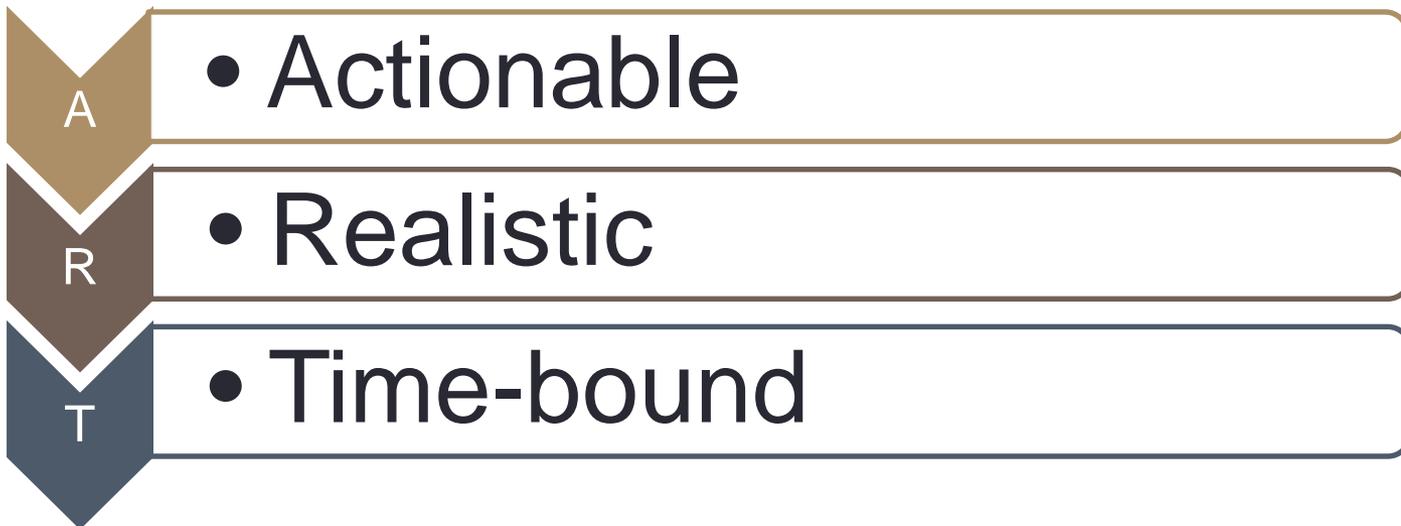
RII Strategic Planning Meeting

- PD, management team, project thrust and element leads, major participants must attend
 - Also important stakeholders; discuss with your managing PO
- NSF managing PO attends
- Draft of plan, especially the **goals**, **objectives**, and **activities** with timelines, should be ready and provided to participants before the meeting

Goals

Broad statements of what will be achieved (ART)

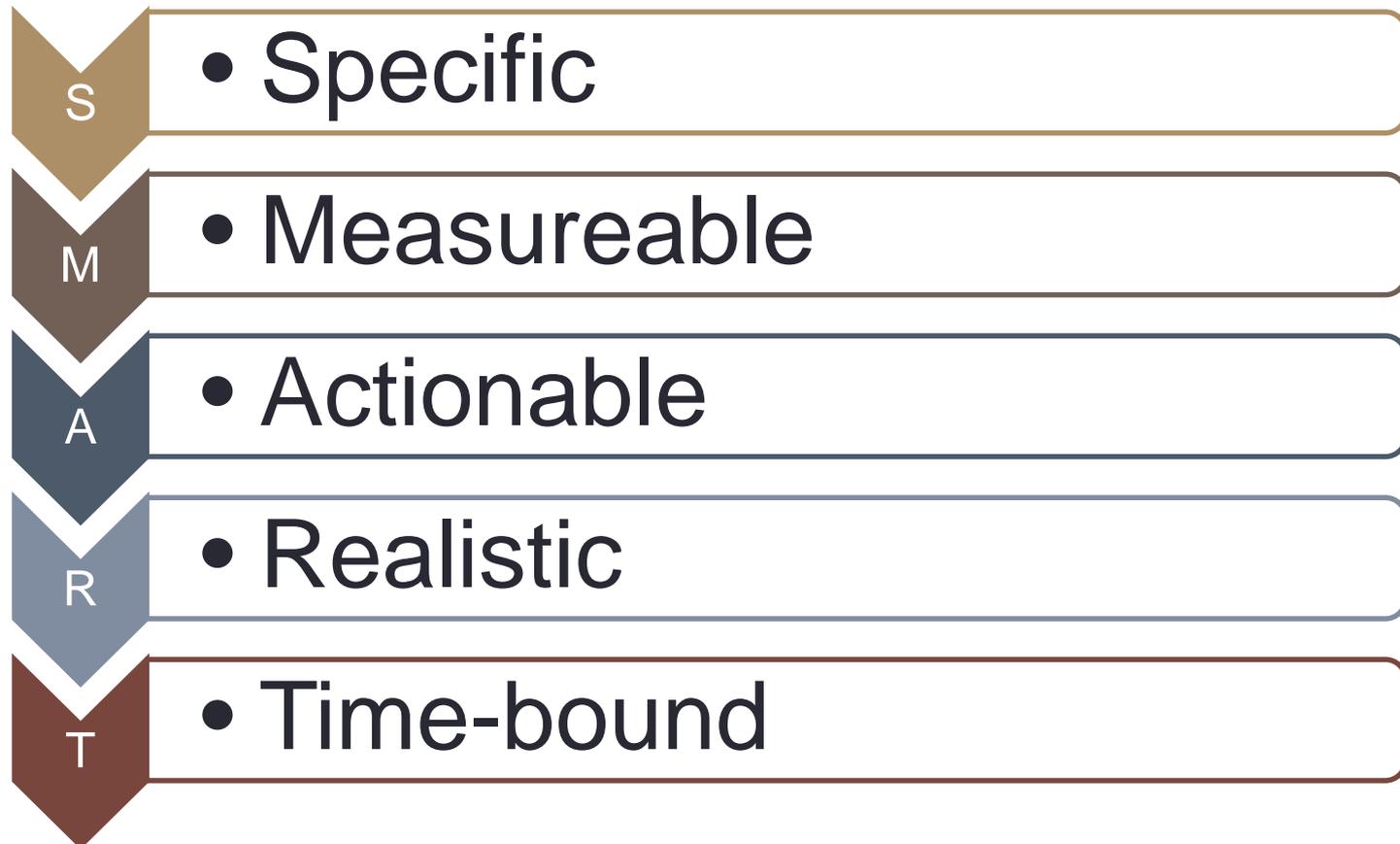
Research goals should be directly related to the proposed questions or hypotheses



Objectives

SMART targets that contribute to reaching the goals

Progress towards objectives is how success is measured



RII Strategic Plan Concepts

- **Activities**: tasks and strategies to achieve the project objectives; what will be done
 - Proposed statement of work should translate into activities
- **Outputs**: tangible products directly attributable to the activities; can be quantified (counted)
- **Outcomes**: impacts, changes, or benefits produced by the activities
 - Research outcomes include discoveries and new applications
- **Metrics**: measures of progress applied to the activities, outputs, or outcomes

Coordination between Strategic and Evaluation Plans

- Strategic Planning Meeting within **90 days** of new award
- Draft Strategic Plan and Evaluation Plan available at Strategic Plan Meeting
- Strategic and Evaluation Plans submitted to NSF within **60 days** of Meeting
- Ensure external evaluator can evaluate all aspects of project performance, products, and outcomes (research and education program and project elements)

Questions?