



NSF EPSCoR RII Track-2  
Annual Reporting Guidelines  
March 8, 2021

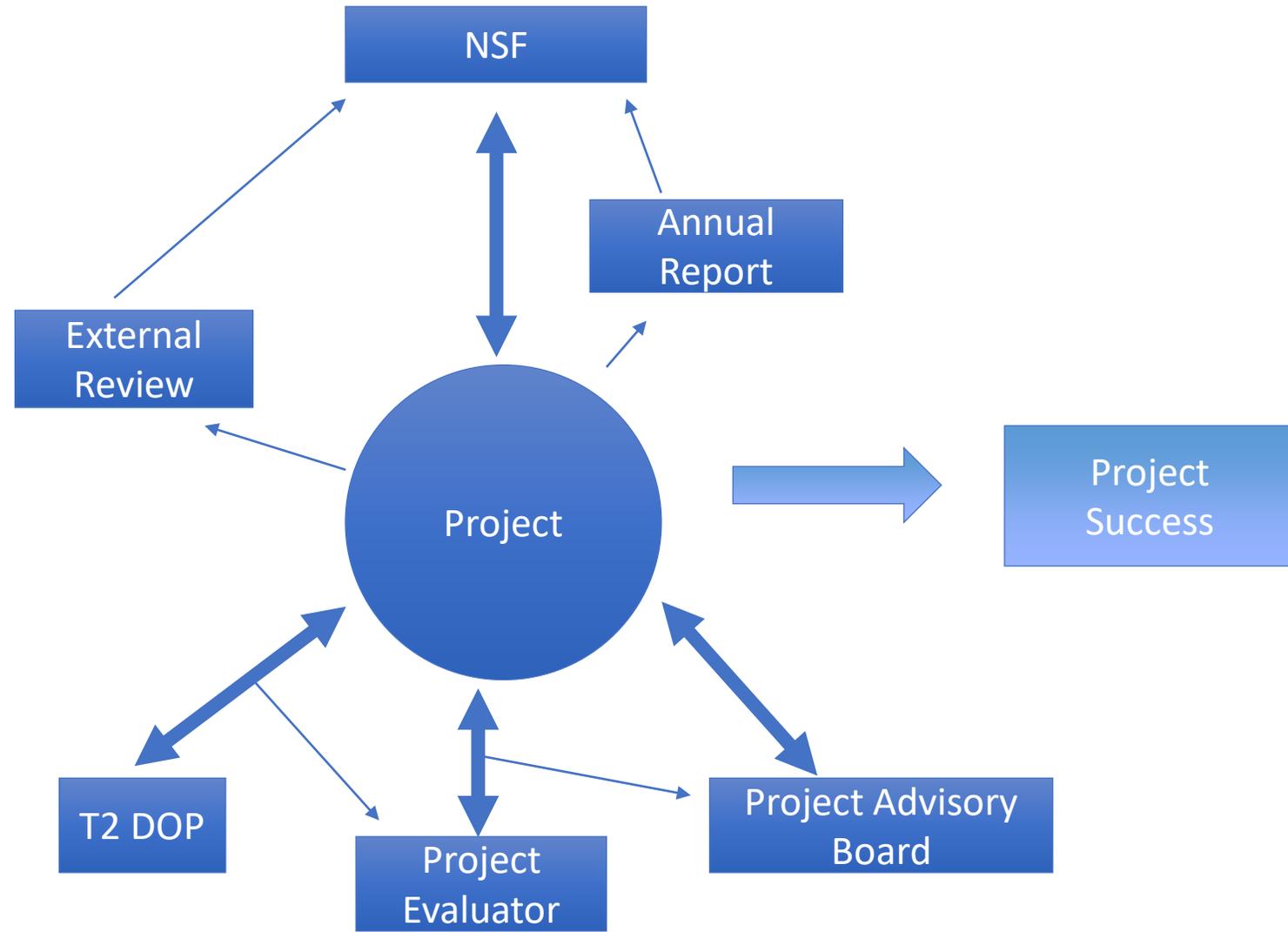
Welcome

## RII Track-2

- Building interjurisdictional collaborative teams
- Designated focus areas consistent with NSF priorities
- Develops comprehensive and integrated visions to drive discovery and build sustainable STEM capacity that exemplifies diversity of all types (individual, institutional, geographic, and disciplinary).
- Increased emphasis on early career faculty

# NSF EPSCoR's Oversight Role

- The alignment of the projects' research and broader impacts objectives with NSF EPSCoR's programmatic objectives is critical.
- In these projects, in addition to the intellectual merit and broader impacts we are placing programmatic emphasis on **inter-jurisdictional collaborations** and the development of **early-career faculty**.
- NSF's role in the cooperative agreement is to provide the appropriate oversight to ensure that both the program's and the projects' objectives are achieved.
- **We take this role very seriously!!**

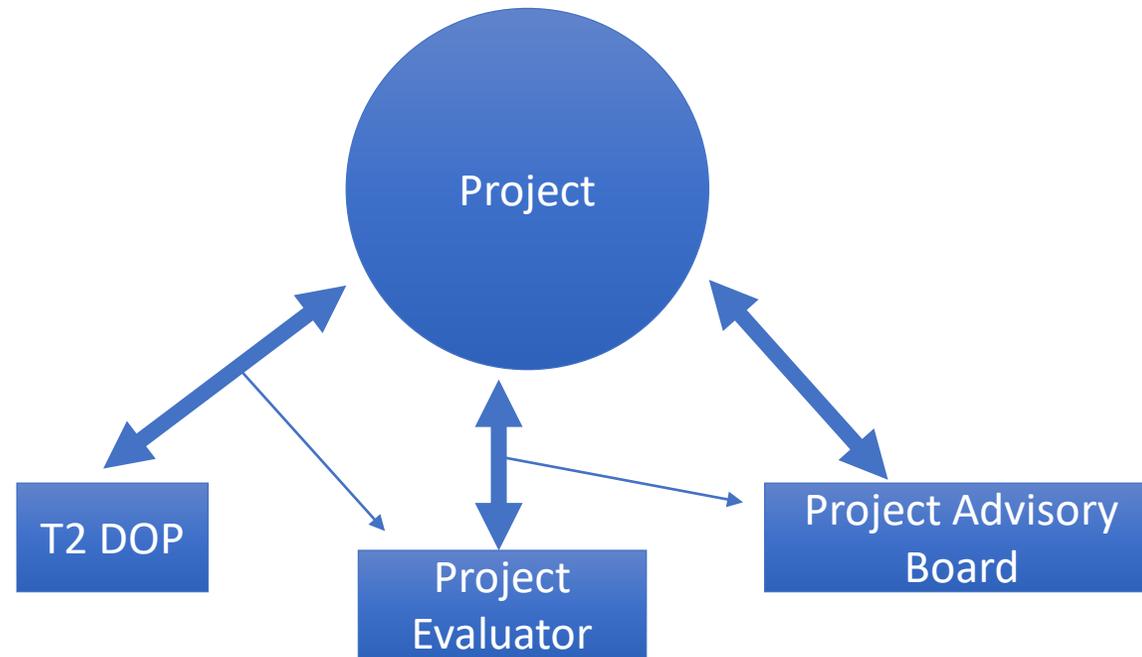


# Evaluation and Assessment

- **Purpose:** Capture evidence to indicate progress towards goals and objectives; and to guide mid-course corrections, as needed to meet the goals
- **Requirements:** Metrics for tracking collaborations and workforce development
  - Collaborative proposals submitted and associated awards garnered
  - Collaborative publications
  - Progression of junior faculty
  - Innovations
  - Research results
  - Longitudinal tracking of undergraduates, graduate students, postdocs
  - Evidence of how the collaborative efforts are strengthened with time
- **Considerations:** Annual reports must indicate how the project is progressing towards developing and strengthening collaborations and meeting project goals, as well as mechanisms and strategies for course-corrections based on evaluation feedback.

# Use everything available to you

- And give them (and you) time...



Remember, the annual report become DUE three months BEFORE the anniversary date

What is needed in the  
Annual Report?

# RII Track-2: Annual Reporting

- Annual Reporting guidance is sent to you on 2/22/21
- Narrative format and should be sent as a PDF file embedded in RPPR
- RPPR must also be completed in terms of “products and participants” in the project (aided by T2DOP which allows an easy upload)

# The PDF Report

- Submitted as a Narrative (total file size needs to be less than 5MB, or uploaded as multiple files)
- Contain the Following Sections:
  1. Heading
  2. Overview/Executive Summary
  3. Research Program
  4. Project Outcomes
  5. Broadening Participation
  6. Development of Early Career Faculty
  7. Evaluation
  8. Programmatic Terms and Conditions
  9. Expenditures and Unobligated Funds

# Overview/Executive Summary

- Vision, Mission, How does the project fit in the context of the field?
- Identify the ROLES of each institution
- Provide brief 35,000 ft summary of KEY accomplishments achieved during the reporting period, (think BOTH IM and BI)
- Describe and significant PROJECT WIDE problems, and address how you mitigated them.
- Specific accomplishments and problems to individual research thrusts can be addressed in the next section

# Research Program

- For each MAJOR THRUST in your project provide two sections
  1. Describe the major accomplishments and research findings during the current reporting period
  2. Describe problems, unexpected results, and novel opportunities encountered and your response to them
- You may align this to a strategic/implementation plan if you have one
- Identify who did what, and if results came from a collaboration and if they are intra- or inter-, emphasize that
- Focus on accomplishments, don't just list objectives outlined in the proposal other than setting the context

# Project Outcomes

- First
  - A short, distinct section that quantitatively describes the numbers of research products according to type.
  - Should match the numbers provided to T2DOP AND what is reported in RPPR
  - We understand that the Year 1 report is based from less data due to the shorter time period
- Second
  - Address in separate succinct sections (both quantitatively and qualitatively), your progress in each of the following in your project:
    - Interjurisdictional Collaborations, :- really tease out the accomplishments that have come about due to collaborations among different institutions and/or jurisdictions
    - Workforce Development,
    - Research Capacity,
    - Jurisdictional Impacts for all involved jurisdictions,
    - Overall Project Integration
  - If you need definitions for these, please refer to the solicitation you applied to

# Broadening Participation

- reports should provide the total number of participants in the activities funded by this award, including faculty, staff, students, and members of all external advisory boards.
- In addition, reports should indicate the numbers of women and groups underrepresented in STEM that participated in project activities
- These data must be reported in aggregate for the project and for each participating institution
- This can be provided in the form of a table, with accompanying narrative
- You may also discuss any initiatives from the project that work towards broadening the participation of diverse individuals in your project.

# Development or Recruitment of Diverse Early Career Faculty

- Provide a short section on efforts in recruitment strategies, professional development, and/or retention strategies for early career faculty
- Also provide specific outcomes/outputs achieved by early career faculty

# Evaluation

- Present major findings from your evaluator
- Address any concerns and/or recommendations made by your evaluators and indicate how you may be mitigating them
- The evaluators report, as well as any advisory board reports should be attached as separate documents in the RPPR along with your report

# Programmatic Terms and Conditions

- If you had any programmatic Terms and Conditions (PTCs) for your project, present any progress toward them.
- If they have been fulfilled, then simply state that
- If you did not have any - state that

# Expenditures and Unobligated funds

- If you have already expended 80% of the year's allocation at the time of reporting state that
  - Note that the PO will check within internal NSF Systems to ensure encumbered funds have been withdrawn from NSF. If this is not reflected, then the PO may contact you and request a spending plan, which may hold p your report's approval.
- If you are on target to spend 80% of your allocated budget by the anniversary date (ie projected), provide a spending plan that shows this (note you will be expected to have it spent by that date!
- If you suspect that the project will remain unspent to the 20% level, please provide a spending plan outlining HOW the excess funds will be spent
- We calculate the percent remaining, by the looking at remaining funds according to NSF systems, then dividing that TOTAL amount by that year's allocation.
- Note that that POs only "see" the prime awardee and NOT sub awards. As PI YOU are responsible to ensuring accounting is done in a timely manner.

# Timelines

- Annual Reports for these projects are **DUE** on **three months before the end** of each project year.
  - The OVERDUE date (**on the one-year anniversary**) is not the “*real*” due date. They really are due **three months earlier**.
    - E.g. If your project has an Aug 31 anniversary, the Report is due in the three months from May 31
  - It takes ~1 month or more, on average, for NSF EPSCoR to process and approve your report, which must happen before continuing funding or spending can be approved.
  - We will **not** rush our process because your report was not submitted on time and this could delay any pending NSF actions (ie new awards for ANY PIs associated with the project).
  - We do realize and understand that this means that your Year 1 report will not reflect a full year’s activity, only the first nine months.
  - To give you and your evaluator the time to incorporate DOP finding in your annual report, data collection ends 1.5 months prior to the annual report’s due date, and the evaluation report is provided 1 month prior to the due date
- The Final Report becomes due on the project end date. The three-month gap in report timing is filled at that time.

# Reporting why is it important?

- Your continued funding requires it
- Your authorization to spend funds is allowed on a year-to-year basis
- Each year, your NSF Program Officer needs to read, and process your annual report, as well as spending, to be able to recommend your project for continued support into the following year.
- Unless you are given approval from NSF, spending of subsequent year's funds is not authorized.

**Thank you!**

**Make sure you carefully read  
and adhere to the guidance we  
sent you!**