



RII Annual and Final Reports

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Office of the Director
Office of Integrative Activities
National Science Foundation

Cooperative Agreement is Partnership

Partnership is a two way street

- **You (state)** set your goals
 - **NSF** helps you to get there
- **You** assess what you do and how you do it
 - **NSF** evaluates your individual program within NSF EPSCoR program as a whole
- ❖ **Plenty of Flexibility in Cooperative Agreements**
- ❖ **Major Opportunities for Leadership and Innovations**

Goals and Objectives

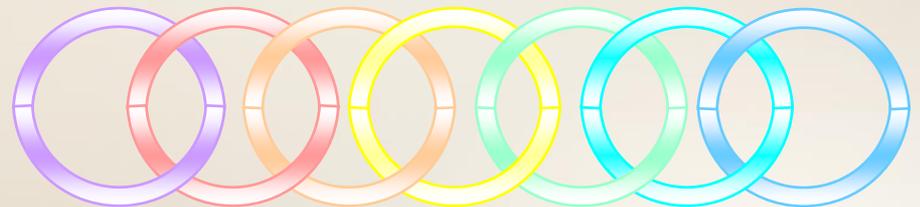
- ARs should be an **effective communication vehicle** between EPSCoR jurisdictions and NSF (rather than a pure formality)
- **Simplicity:**
 - Easier for you to prepare Annual Report
 - Easier for NSF to read and evaluate ARs and process increments
- **Structure** of annual reports should reflect
 - Structure of the RII program (solicitation) and
 - Programmatic Terms and Conditions of RII award
- ARs provide qualitative and quantitative **data uniformly across the program** and clear metrics for measurement of success

How the data will be used?

- Respond to requests by Congress, NSF, states, and other stakeholders
- Monitor progress of individual RIIs
- Assess and evaluate the EPSCoR program
- Make adjustments of the program
- Introduce new elements in the program

Processing RII Award Increment

- Generate a new action number (is related to original award number, but is a separate action)
- Program Officer reads the AR and prepares a Diary Note and a funding recommendation
- HB (office head) reviews the Diary Note and agrees/disagrees with the recommendation
- PO approves AR and signs off recommendation
- Program Assistant processes the AWARD
- The action is forwarded to DGA
- The award letter and the funds are released, PO and PI are notified



Few Important Report's Features

- One PDF file rather than filling out boxes in the NSF FastLane with exception of
 - List of Participants
 - List of Publications
- Executive Summary
- Narrative Report
- Templates for Data
- Statement of Unobligated Funds
- Programmatic Terms and Conditions
- Highlights

Annual versus Final

- Summary and Accomplishments during the **reporting period**
 - Annual report → One year = 12 months of the award
 - Final report → Entire award period

**Start
Progress**

Finish

Executive Summary

- Maximum **5 pages** in length; 12 months reporting period.
- State the **vision** of the RII project.
- **Program.** Briefly describe efforts in research, diversity, workforce development, cyberinfrastructure, outreach and communication, evaluation and assessment, and sustainability. Also, describe the management structure.
- Provide an overview of the reporting period's **Key Accomplishments**, addressing the NSF criteria of intellectual merit and broader impacts in distinct paragraphs.
- Comment on any actions taken in **response to recommendations** from recent site visits, reverse site visits, and/or advisory committee visits.
- Briefly note any **changes in long range plans or priorities**; note also any unusual circumstances that are pertinent to continuation of the award.

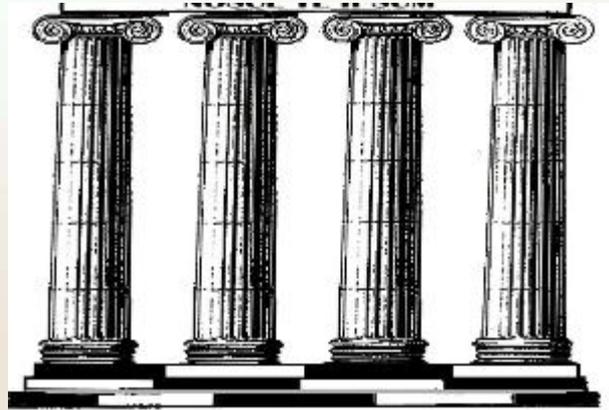
Executive Summary: Static Part

Vision

Mission

Goals

Program Components



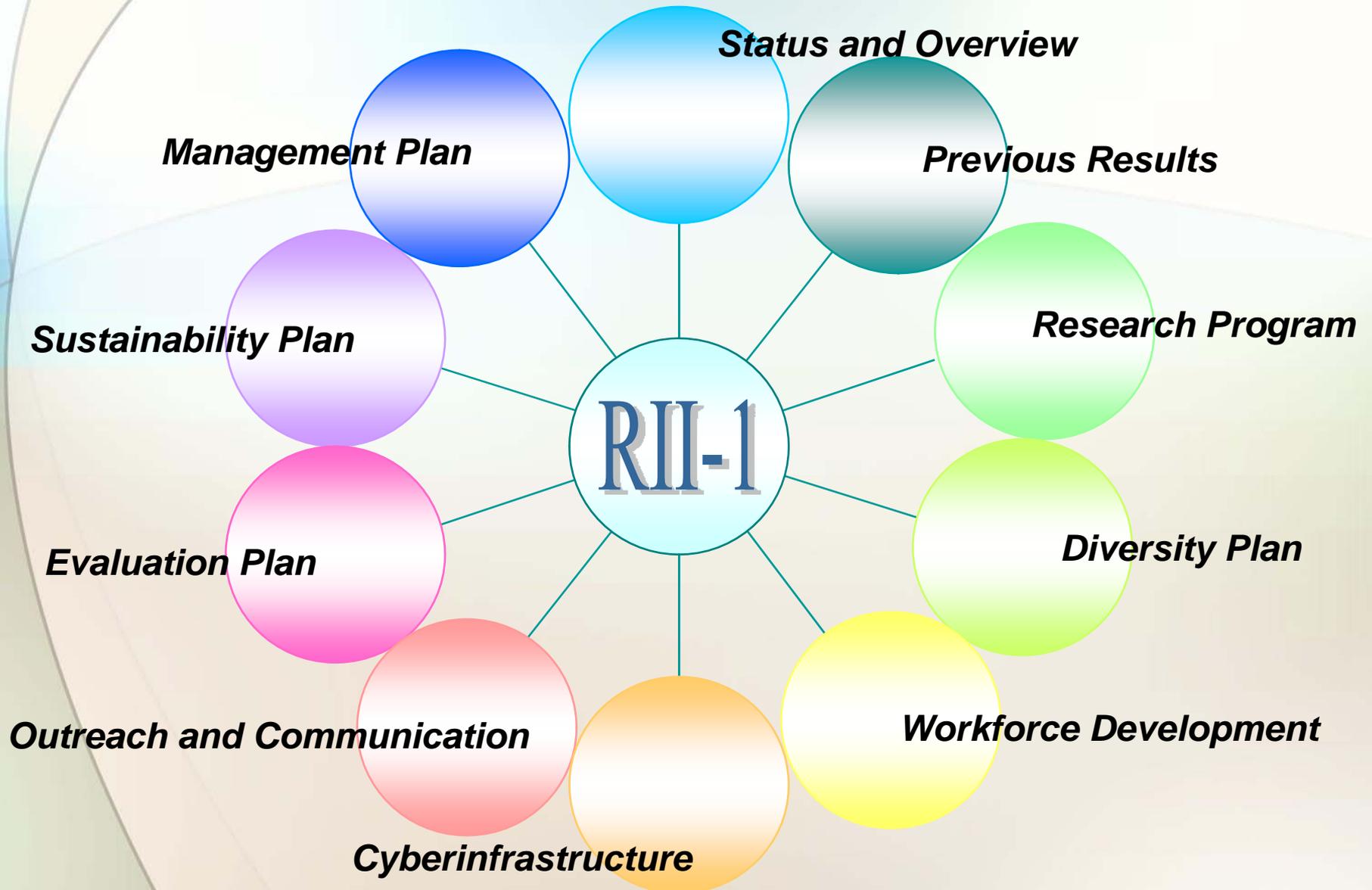
RII project

Executive Summary: Dynamic Part

- ❖ Key Accomplishments
- ❖ Response to recommendations
- ❖ Changes in plans or priorities



Report Narrative and Project Description



Highlights

- Provide one or two science highlights
- Provide one or two education related highlights
- Provide one to two other highlights on activities you would like to emphasize

❖ **What do we do with them?**

- ❖ Promote your individual program
- ❖ Promote the NSF EPSCoR program
- ❖ Use it for our own reporting within NSF and beyond
- ❖ Use it for budget requests to Congress
- ❖ Other purposes in communicating Science at large

Appendixes

Please fill out as precisely as possible. Use your best judgment

- A. Faculty Support
- B. RII Participants
- C. Collaborators
- D. Outreach
- E. Outputs
- F. EPSCoR RII Budget
- G. Cost Sharing and Cost Contributions
- H. EPSCoR RII Leveraged Support



A. Faculty Support

A. FACULTY SUPPORT

Include detail regarding support for all faculty and equivalent listed for the RII project during the current year.

Provide information for faculty at all institutions in a single table.

For each faculty entry, enter months of support in the "Effort" column and the support in \$K in the corresponding "Funds" column.

Institution	Department	Faculty Name	Effort						Funds			
			EPSCoR RII		Other NSF		Other		EPSCoR RII (\$K)	Other NSF (\$K)	Other Govt (\$K)	Other Non-Univ. (\$K)
			Acad. Yr. (mo)	Summer (mo)	Acad. Yr. (mo)	Summer (mo)	Acad. Yr. (mo)	Summer (mo)				
<i>Total for Institution 1</i>												
<i>Total for Institution 2</i>												

Notes:

(1) The total dollar support columns should include **salary** of faculty member and faculty member's support for students and postdocs, including fringe benefits and overhead. Do not include cost of equipment. "EPSCoR RII" includes NSF funds only (cost sharing is not included.)

(2) The names listed in this table should be consistent with the List of RII Participants at the beginning of the annual report unless unusual circumstances are noted in the narrative.

(3) Indicate total amount for each institution by summing the columns as shown.

(4) Add rows to the table as necessary.

A. FACULTY SUPPORT

Include detail regarding support for all faculty and equivalent listed for the RII project during the current year.

Provide information for faculty at all institutions in a single table.

For each faculty entry, enter months of support in the "Effort" column and the support in \$K in the corresponding "Funds" column.

Institution	Department	Faculty Name	Effort						Funds			
			EPSCoR RII		Other NSF		Other		EPSCoR RII (\$K)	Other NSF (\$K)	Other Govt (\$K)	Other Non-Univ. (\$K)
			Acad. Yr. (mo)	Summer (mo)	Acad. Yr. (mo)	Summer (mo)	Acad. Yr. (mo)	Summer (mo)				
MU	Biology	Blough, E.	1.3	0.3			6.3	2.4	21.0		223.1	11.3
MU	Biology	Georgel, P.	4	2					101.4			
MU	Biology	Price, E.	9	3							240	
MU	Chemistry	Norton, M.							75.27		41.1	
MU	Chemistry	Wang, B.	9	2					87.9			
<i>Total for Marshall University</i>			23.3	7.3			6.3	2.4	285.57		504.2	11.3
WVU	Chemistry	Carroll, L.	1	3			2.5		21.5			19.1
WVU	Chemistry	Holland, L.	1.7	2.8		0.03	7.3			12.0		
WVU	Chemistry	Shi, X							89.38			
WVU	Chemistry	Timperman		0.5		1.0		1.5	228.6	80.3	16.4	
WVU	CSEE	Cao, X	2					0.5	41.3		18.9	7.2
WVU	CSEE	Dawson, J.	9	3					172			
WVU	CSEE	Famouri, P.		0.5					43.6			
WVU	CSEE	Hornak, L.	4.5	1.9	0.9	0.45	0.9	0.54	125	12	53	
WVU	CSEE	Korakakis, D.		0.5			2	1.5	4.7		16.6	13.6
WVU	Orthopedics	Li, B.		0.5					3.1			
WVU	MAE	Wu, N.					2.9	1	9.9		73.5	171.5
WVU	MBRCC	Flynn, D.		0.5					14.8			
WVU	Pathology	Perrotta, P.					1.2				17	
WVU	Pharmacy	Gannett, P.	0.3	0.2			1	0.2	4		13	
WVU	Physics	Edwards, B.	0.5	0.5					9.2			
WVU	Physics	Ganikhanov, F	2.25						32.5			
WVU	Physics	Lederman, D.			1	0.5		1.5	126	7.5	94.5	
WVU	Physics	Lewis, J.	4.5	1.75		1.25			68.1	18.5		
WVU	Physics	Myers, T.	4.5	4.5			4.5	4.5	160		140	20
WVU	Physics	Urazhdin, S.		1		1			5.5	6.1		
WVU	Women's Studies	Jackson, K.		1.5					7.6			
<i>Total for West Virginia University</i>			19.25	16.35	1.9	3.2	12.5	9.24	875.38	44.1	407.6	205.1

Notes:

(1) The total dollar support columns should include **salary** of faculty member and faculty member's support for students and postdocs, including

(2) The names listed in this table should be consistent with the List of RII Participants at the beginning of the annual report unless unusual

(3) Indicate total amount for each institution by summing the columns as shown.

(4) Add rows to the table as necessary.



B. RII Participants

B. RII PARTICIPANTS

Enter number of participants in appropriate cells

<i>Institution or RII Totals</i>	<i>Category</i>	<i>Total individuals in category</i>	<i>Male</i>	<i>Female</i>	<i>Blacks or African Americans</i>	<i>Hispanics</i>	<i>Other Ethnic¹</i>	<i>Persons with Disabilities</i>
<i>Institution 1 (enter name)²</i>	Faculty participants (or equivalent)							
	Technical support staff							
	Nontechnical support staff							
	Postdocs							
	Graduate students							
	Undergraduate students							
<i>Institution 2 (enter name)</i>	Faculty participants (or equivalent)							
	Technical support staff							
	Nontechnical support staff							
	Postdocs							
	Graduate students							
	Undergraduate students							
<i>RII total</i>	Faculty participants (or equivalent)							
	Technical support staff							
	Nontechnical support staff							
	Postdocs							
	Graduate students							
	Undergraduate students							
	RII Leadership Team							
	Advisory Board(s)							

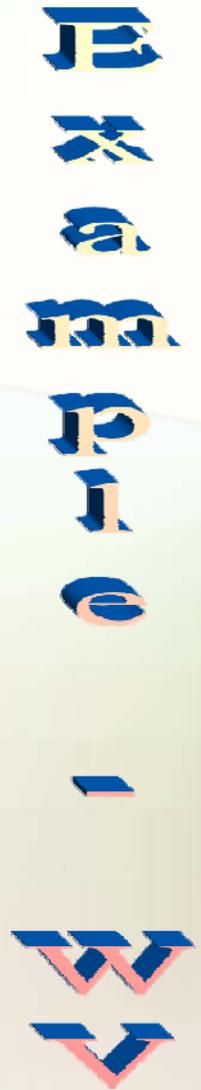


"participation is the new consumption"

B. RII PARTICIPANTS

Enter number of participants in appropriate cells

<i>Institution or RII Totals</i>	<i>Category</i>	<i>Total individuals in category</i>	<i>Male</i>	<i>Female</i>	<i>Blacks or African Americans</i>	<i>Hispanics</i>	<i>Other Ethnic¹</i>	<i>Persons with Disabilities</i>
<i>Marshall University</i>	Faculty participants (or equivalent)	6	4	2				
	Technical support staff	4	3	1				
	Nontechnical support staff	1		1				
	Postdocs	8	7	1				
	Graduate students	17	9	8				
	Undergraduate students	1	1					
	RII Leadership Team	2	2					
<i>West Virginia</i>	Faculty participants (or equivalent)	21	19	2		1		
	Technical support staff	6	5	1				
	Nontechnical support staff	1		1				
	Postdocs	6	4	2		1	1	
	Graduate students	36	21	15		1		
	Undergraduate students	26	14	12	7		1	
	RII Leadership Team	2	2					
<i>WV State University</i>	Faculty participants (or equivalent)	2	1	1	1			
	Technical support staff							
	Nontechnical support staff	2	1	1	1			
	Postdocs							
	Graduate students							
	Undergraduate students	28	9	17	21		7	
	RII Leadership Team	1	1			1		
<i>RII total</i>	Faculty participants (or equivalent)	30	25	5	1	1		
	Technical support staff	10	8	2				
	Nontechnical support staff	4		4	1			
	Postdocs	14	11	3		1	1	
	Graduate students	53	30	23		1		
	Undergraduate students	55	24	29	28		8	
	RII Leadership Team	7	6	1				
	Advisory Board(s)	6	5	1	1			
Notes:								



C. Collaborators



C. COLLABORATIONS

Enter number of relationships in appropriate cells.

Category	<i>Jurisdictional</i>	<i>External</i>
Academic Research Institutions		
Academic Research Institution Collaborators		
Primarily Undergraduate Institutions		
Primarily Undergraduate Institution Collaborators		
Historically Black Colleges and Universities		
HBCU Collaborators		
Hispanic Serving Institutions		
HSI Collaborators		
Tribal Colleges and Universities		
TCU Collaborators		
National Laboratories		
National Lab collaborators		
Industry groups		
Industry collaborators		

Example: Kansas

Appendix C. COLLABORATIONS			
<i>Enter number of relationships in appropriate cells.</i>			
Category	<i>Jurisdictional</i>	<i>External</i>	<i>International</i>
Academic Research Institutions	3	3	1
Academic Research Institution Collaborators	27	2	1
Primarily Undergraduate Institutions	6*		
Primarily Undergraduate Institution Collaborators	15*		
Historically Black Colleges and Universities			
HBCU Collaborators			
Hispanic Serving Institutions			
HSI Collaborators			
Tribal Colleges and Universities	1		
TCU Collaborators	5		
National Laboratories			
National Lab collaborators			
Industry groups			
Industry collaborators			
*A TCU (Haskell) is included here and repeated again under "Tribal Colleges and Universities."			
Notes:			
1) To report international collaborations include an additional column.			

D. Outreach



OUTREACH

D. OUTREACH

Enter number of institutions or persons in appropriate cells.

Category	Total in category	Male	Female	Under-represented minority¹
Academic Research Institutions				
<i>Faculty</i>				
<i>Students</i>				
Primarily Undergraduate Institutions				
<i>Faculty</i>				
<i>Students</i>				
Minority Serving Institutions				
<i>Faculty</i>				
<i>Students</i>				
K-12 Institutions				
<i>Faculty</i>				
<i>Students reached directly</i>				
<i>Students via teacher training</i>				
Other				

Note:

¹Underrepresented minorities include Alaska Natives, Native Americans, Blacks or African American, Hispanics, Native Hawaiians and other Pacific Islanders, and Persons with Disabilities [nsf_frameworkforaction_0808.pdf].

Example: Kansas

Appendix D. OUTREACH

Enter number of institutions or persons in appropriate cells.

Category	Total in category	Male*	Female*
Academic Research Institutions	3		
<i>Faculty</i>	63	47	16
<i>Students</i>	78	27	24
Primarily Undergraduate Institutions	5		
<i>Faculty</i>	9	na	na
<i>Students</i>	1		
Minority Serving Institutions	1		
<i>Faculty</i>	3	1	2
<i>Students</i>	40	10	30
K-12 Institutions	19		
<i>Faculty</i>	27	10	17
<i>Students reached directly</i>	80	na	10+
<i>Students via teacher training</i>	na	na	na
Other: McNair participants	5	1	4

*Totals only include those who chose to report demographic information

E. Outputs



E. OUTPUTS

Show units for table entries.

Category	Total for Current Year	Cumulative Total for the Award
Patents		
Awarded		
Pending		
Licensed		
Proposals/ Grants/ Contracts		
Submitted (include \$\$ requested)		
Awarded (include \$\$ awarded)		
Pending		
Publications		
Primary RII Support		
Partial RII Support		
New Faculty Hired		
Female		
Underrepresented minority		
Disabled		
Center Graduates		
<i>Total Postdocs</i>		
Female		
Underrepresented minority		
<i>Total PhDs graduated</i>		
Female		
Underrepresented minority		
<i>Total Undergraduates graduated</i>		
Female		
Underrepresented minority		

Example

Appendix E. OUTPUTS		
<i>Show units for table entries.</i>		
Category	Total for Current Year	Cumulative Total for the Award
<i>Patents</i>		
Awarded		
Pending		
Licensed		
<i>Proposals/ Grants/ Contracts</i>		
Submitted (include \$\$ requested)	47 (70,027,597)	80 (118,101,766)
Awarded (include \$\$ awarded)	18 (10,015,510)	34 (14,542,070)
Pending	10	27
<i>Publications</i>		
Primary RII Support	25	34
Partial RII Support		
<i>New Faculty Hired</i>	2	6
Female	0	1
Underrepresented minority	1	1
Disabled	0	0
<i>Center Graduates</i>		
<i>Total Postdocs</i>	4	4

F. EPSCoR RII Budget



F. EPSCoR RII Budget

Category	Current award period (\$K)	% of annual budget	Cumulative (\$K)	% cumulative budget
<i>Insert title -Research Area 1</i>				
<i>Insert title -Research Area 2</i>				
<i>Additional areas as appropriate</i>				
Total Research				
Education Activities and Human Resources				
New hires including start ups				
Fellowships				
Educational Activities				
Knowledge Transfer (industry and others)				
Other (specify)				
Total Education and Human Resources				
Experimental and Computational Facilities and Equipment				
Cyberinfrastructure				
Evaluation and assessment				
RII Administration				
Other (specify)				
Total		100		100

Notes:

- 1) List the budget for the requested NSF RII support by focused research area and other activities for the current award period. Do not include cost sharing.
- 2) For each entry in the Table, include indirect costs. Column totals must equal the total NSF budget for the award period.



Example_1: Problems

F. EPSCoR RII Budget

Category	Current award period (\$K)	% of annual budget	Cumulative (\$K)	% cumulative budget
<i>Insert title -Research Area 1</i>				
<i>Insert title -Research Area 2</i>				
<i>Additional areas as appropriate</i>				
Total Research	2,398,077.51	106.58%	4,112,107.83	91.38%
Education Activities and Human Resources				
New hires including start ups				
Fellowships				
Educational Activities				
Knowledge Transfer (industry and others)				
Other (specify)				
Total Education and Human Resources	472,531.11	93.77%	568,273.06	56.54%
Experimental and Computational Facilities and Equipment				
Cyberinfrastructure				
Evaluation and assessment	77,168.00	113.48%	123,086.00	90.49%
RII Administration	185,501.91	102.62%	316,408.77	88.19%
Other (specify)				
Total	3,133,279.53	104.44%	5,119,857.66	85.33%

Notes:

- 1) List the budget for the requested NSF RII support by focused research area and other activities for the current award period. Do not include cost sharing.
- 2) For each entry in the Table, include indirect costs. Column totals must equal the total NSF budget for the award period.
- 3) Include major capital equipment under experimental facilities. Please distinguish between computational facilities (mostly hardware) and cyberinfrastructure (networking, storage, shared software, personnel).
- 4) Support for graduate students should normally be included under research if students work in a research group. Individual merit based student fellowships should be reported under Fellowships. Support for graduate and undergraduate students should be reported under education and human resources if students are primarily responsible for education related activities.
- 5) Please note that the total budget must equal to 100% of NSF provided RII funds.

Example_2: Problems

Appendix F. EPSCoR RII Budget

Category	Current award period (\$K)	% of annual budget	Cumulative (\$K)
<i>Ecological Forecasting</i>	1,482,662.00	65.90%	4,355,748.00
<i>Planning Grants</i>		0.00%	83,168.00
		0.00%	
Total Research	-	0.00%	
Education Activities and Human Resources		0.00%	224,758.00
New hires including start ups	50,000.00	2.22%	150,000.00
Fellowships		0.00%	
Educational Activities		0.00%	
Knowledge Transfer (industry and others) Tallgrass Prairie Retreat		0.00%	7,200.00
Other (Specify)		0.00%	
Total Education and Human Resources	-	0.00%	
Experimental and Computational Facilities and Equipment		0.00%	
Cyberinfrastructure		0.00%	
Evaluation and assessment	67,202.00	2.99%	208,551.00
RII Administration	475,005.00	21.11%	1,545,444.00
Other (Unallocated for extension)	175,131.00	7.78%	175,131.00
Total	2,250,000.00	100.00%	6,750,000.00

Notes:

G. Cost Sharing and Cost Contributions

G. Cost Sharing and Cost Contributions

Category	Cost Sharing (\$K) <i>(reported on line M)</i>	Cost Contributions (\$K) <i>(not included on line M)</i>
State		
Local		
Foundation		
Industry		
International		
Other (specify)		
Total		



Notes:

1) Discuss cost sharing explanation in narrative report: List the cost sharing support of the NSF EPSCoR RII for the current year from each of the following sources (the total must equal line M in the respective Total Budgets). Please note that all amounts reported on line M are subject to NSF audit. In the narrative section of the report, include a brief list of cost sharing allocations (i.e., how cost sharing funds were spent: faculty salary, student support, equipment, etc).

2) Discuss cost contribution explanation in narrative report: Cost contributions; i.e. complementary support for RII activities not listed on line M in the budget. The RII effort can be augmented by other sources, which may include cash contributions, sponsored projects, equipment donations, laboratory renovations, etc. Note: Do not include sponsored projects to the individual faculty members, even if they are related to the core mission of the RII. In the narrative section of the report, include a brief list of cost contributions (i.e., how cost sharing funds were spent: faculty salary, student support, equipment, etc). Do not include buildings.

3) Cash and In-kind contributions may apply to both categories.

Example

G. Cost Sharing and Cost Contributions		
Category	<i>Cost Sharing (\$K)</i> <i>(reported on line M)</i>	<i>Cost Contributions (\$K)</i> <i>(not included on line M)</i>
State		1,323,583.34
Local		
Foundation		
Industry		
International		
Other-Institutional Support		1,889,789.99
<i>Total</i>		3,213,373.33

H. EPSCoR RII Leveraged Support

H. EPSCoR RII Leveraged Support

Designation	NSF RII support (\$K)	Cost sharing (\$K)	Cost contributions (\$K)	Total all sources of Support (sum of 3 columns)
<i>Insert title Research Area 1</i>				
<i>Insert title Research Area 2</i>				
<i>Additional areas as appropriate</i>				
Total Research				
Human Resources Development				
New hires including start ups				
Fellowships				
Educational Activities				
Knowledge Transfer				
Other (specify)				
Total Education and Human Resources				
Experimental and Computational Facilities and Equipment				
Cyberinfrastructure				
Evaluation and assessment				
RII Administration				
Other (specify)				
Total				



Example

H. EPSCoR RII Leveraged Support

Designation	NSF RII support (\$K)	Cost sharing (\$K)	Cost contributions (\$K)	Total all sources of Support (sum of 3 columns)
<i>Insert title Research Area 1</i>				
<i>Insert title Research Area 2</i>				
<i>Additional areas as appropriate</i>				
Total Research	2,398,077.51		3,111,672.58	5,509,750.09
Human Resources Development				
New hires including start ups				
Fellowships				
Educational Activities				
Knowledge Transfer				
Other (specify)				
Total Education and Human Resources	472,531.11		37,193.11	509,724.22
Experimental and Computational Facilities and Equipment				
Cyberinfrastructure				
Evaluation and assessment	77,168.00			77,168.00
RII Administration	185,502.91		64,507.64	250,010.55
Other (specify)				
Total	3,133,279.53		3,213,373.33	6,346,652.86

Questions?

- Ask the NSF EPSCoR office
 - Call
 - Write

Thank you