ADVANCED TECHNOLOGICAL EDUCATION

GETTING STARTED

ATE Principal Investigators Conference
Washington, DC
October 24, 2018

ATE Getting Started Workshop 2018

Session 1: ATE Basics - National Science Foundation

- We want you to succeed
- We want you to understand the program and how you fit into the program
- There is a lot of help – ask questions and reach out
- Understand NSF/program officer expectations

Exercises:

1. What is your award date and when is your annual report due (90 days prior)?

2. Who is your program officer and who is your grants officer?

3. What is your grant number? Go to simple search on the NSF database and put in your grant title or number (or your name) to find info about your award in the NSF database. You can use the ATE program code (7412) in Advanced Search to look at other recent awards too.

Issues/Challenges	***Potential Source(s) of Help***	***Notes & Next Steps***

ATE Getting Started Workshop 2018

Session 2: NSF Inspector General

- Everything you spend is subject to audit
- Understand what the IG investigates and why that is important to know
- Understand what you can and cannot pay for with your ATE grant funds

Exercise:

1. Find the list of items in the solicitation that NSF funds **may not** be used for – mark that section for reference. Write down any questions that you might have about spending below, and follow up as needed.

Issues/Challenges	*Potential Source(s) of Help*	*Notes & Next Steps*

ATE Getting Started Workshop 2018

Session 3: NSF Division of Grants and Agreements (DGA)

- How to manage the fiscal aspects of your award
- Understanding differences between institutional and PI responsibilities
- Considering who to reach out to about fiscal issues
- Participant support issues related to budgeting

Exercises:

1. An institution gets an award in the area of cybersecurity. A dean approaches the PI and wants to use a percentage of ATE award funds to update campus computer labs. Is this permissible? How do you think the PI should handle this situation?

2. Find out what your indirect rate is and who you will be working with on your campus about budgeting issues.

Issues/Challenges	*Potential Source(s) of Help*	*Notes & Next Steps*

Session 4: Mentor-Connect
Mentor-Connect provides mentoring, technical support, and resources to help two-year college personnel prepare competitive NSF ATE grant proposals, navigate the NSF funding process, and then implement funded projects to advance technician education and support the development of STEM faculty leaders in advanced technological education.

- Business office and grants office information
    - Responsibilities/authority
    - Time and effort
    - NSF/College budget alignment
    - Contracting process
    - Budget monitoring
- Grant team administration and management
    - Work plan and timelines
    - Staffing needs and personnel issues
    - Internal and external communication processes and tools
    - Advisory committee roles
- Institutional support expectations and realities
    - Verify original internal college support commitments
    - Confirm original external support commitment from partners
    - Use of indirect cost dollars
    - Process for resolving campus or partner support problems

Issues/Challenges	*Potential Source(s) of Help*	*Notes & Next Steps*
What is the process and who is responsible for expending, managing, and tracking grant funds for your project? What does it mean to cross-walk your grant budget to the college accounting system? Do those involved, including the PI, understand the PI's role in the process of spending grant funds?		

Issues/Challenges	*Potential Source(s) of Help*	*Notes & Next Steps*
Have those working on your project read the proposal thoroughly since it was funded? Are the original goals, objectives, activities and timeline still viable? If changes need to be made, who can make which decisions?		
Are all personnel scheduled to work on the grant ready and set up to do so? Are there any unresolved issues regarding faculty release time, issuing contracts, or filling jobs? If so, how will you address?		
Have communications within and external to the project been addressed? Is there a process in place for resolving communication or support problems either internally or externally?		
Do you know how your organization will use the grant's indirect cost dollars? Will project work benefit from any of those uses?		

ATE Getting Started Workshop 2018

Session 5: EvaluATE

- Understand the services and resources EvaluATE provides.
- Learning about what evaluation, why it’s important, and how to implement it in your project.
- Feel comfortable with obtaining and working with an external evaluator.
- Be informed users and participants of the ATE Annual Survey, why it's important, what your role is, what questions will be asked, and how to obtain data for project and evaluation use.

Exercises:

1. What are the four basic steps of evaluation ?

2. What is the first evaluation timeline item you need to complete?

3. What date will the ATE Annual Survey open?

Issues/Challenges	***Potential Source(s) of Help***	***Notes & Next Steps***

ATE Getting Started Workshop 2018

Session 6: ATE Central

- Understand the services and tools available from ATE Central
- Feel comfortable negotiating the ATE Central portal
- Use the map on the portal to find potential collaborators
- Know more about where to find information on outreach, sustainability, archiving

Exercises:

1. Find a collaborator on the ATE Central map and note their information to follow up with them during or after the conference.

2. Find resources on the ATE Central portal – do a simple or advanced search to find resources on a topic of interest.

3. Explore ATE Central's tools and services – follow up after the conference with ATE Central on any specific resources, tools, or services you'd like to know more about.

Issues/Challenges	***Potential Source(s) of Help***	***Notes & Next Steps***

PRESENTATIONS

Getting Started Workshop

V. Celeste Carter Tom Higgins Heather Watson

Program Directors
Division of Undergraduate Education
National Science Foundation

AACC/NSF National ATE Principal Investigators Conference
October 24, 2018

Agenda for this afternoon

- Introductions
- Check in:
  - Items you brought with you
  - Packet of Materials
- NSF
  - General information
  - Office of Budget, Finance, and Award Management
  - Office of the Inspector General
- Mentor Connect
- Evaluation Team (Evalu-ATE)
- ATE Central
- Roundtable Discussion time

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ATE: 25 Years Supporting Technician Education

In 1992, the Scientific and Advanced Technology Act (SATA) was signed into law by Congress. This act was to establish **"a national advanced technician training program, utilizing the resources of the Nation's two-year associate degree-granting colleges to expand the pool of skilled technicians in strategic advanced technology fields, to increase the productivity of the Nation's industries, and to improve the competitiveness of the United States in international trade, and for other purposes."** This act gave rise to the National Science Foundation's Advanced Technological Education (ATE) program.

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ATE

- The ATE program supports the education of science and engineering technicians at the undergraduate and secondary school level and the educators who prepare them, focusing on technicians for high-technology fields that drive the nation's economy.
- ATE has a new solicitation: ATE 18-571
  - **What was the solicitation to which you applied?**

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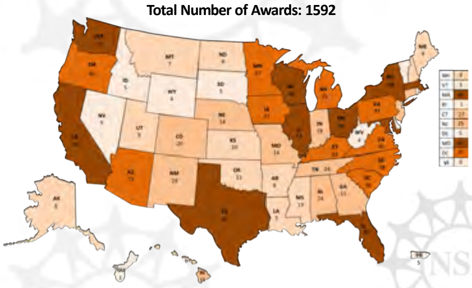
ATE Numbers

- **FY2016**
  - 211 Proposals Oct 8, 2015
- **FY 2017**
  - 167 Proposals Oct. 6, 2016
- **FY 2018**
  - 233 Proposals Oct. 5, 2017
- **FY 2019**
  - ? Proposals Oct. 15, 2018 (we'll have the number at the Conference)

Number of Awards per State in ATE's 25 Year History

Total Number of Awards: 1592



Accountability

Where does the money come from that is supporting your project?

- **You need to report and document the impact and effectiveness of your project to NSF**
- **NSF uses your information to document the impact and effectiveness of the ATE program to Congress and to other stakeholders**

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Reporting

Annual reports

- Due 90 days before the anniversary of your award
- Your evaluator's report needs to uploaded to your annual report (don't copy the evaluator's report into the annual report template)

When is your annual report due? (check your letter or check the awards database)

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Reporting

FastLane/Research.gov: single sign in and template for reports

See appendix for report sections

You can attach .pdf files

- External evaluator's report; photographs, etc.
- Be concise and after submitting, check your report for spelling, cut-and-paste errors, etc.

Don't use .pdf files in place of entering text in the report!!!!

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FastLane/Research.gov Sign In

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Reporting

Special Requirements:

- Notifications and Requests
  - Change of PI and/or Co-PI
  - Change scope of work
  - Reallocation of funds originally budgeted for participant support.
  - You can see the PAPPG for a complete list of notifications and requests. (**NOTE**: Notifications/requests are a separate FastLane/Research.gov action. Merely including this information in your annual report is not sufficient.

Returned Annual Report

Final Report: only covers final year of project, follows same template

Project Outcomes Report: due same time as final, a brief summary, prepared specifically for the public, posted on the NSF website exactly as it is submitted and will be accompanied by a disclaimer

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Advisory Boards

Advisory boards

- Often a good idea for a project to have one
- If you have one, USE IT!!!
- Program vs project advisory board
- They are NOT evaluators for your project

National Visiting Committee (only for Centers)

- Only Centers are required to have one
- Annual visits
- A group of experts who provide advice, assess the plans and progress of the project, and enhance dissemination
- 8-10 members

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Institutional Review Boards (IRBs)

- All projects involving human subjects must either *(1) have approval from the organization's Institutional Review Board (IRB) before issuance of an NSF award or, (2) must affirm that the IRB or an appropriate knowledgeable authority previously designated by the organization (not the Principal Investigator) has declared the research exempt from IRB review.* The language presents the requirements clearly and emphasizes the need for someone other than the Principal Investigator to declare the relevant exemptions.

IRB approvals need to be updated yearly (approvals not exemptions)

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Working with NSF ATE Program Officers

Communicate with Program Officers and Keep them informed of Progress and or Issues

- Please put your award number in the subject line of the email
- Emails are usually the best way
- Tell us when something is going to happen; e.g., a professional development workshop might be good time for a site visit by a Program Officer

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Crediting NSF

Acknowledgment of Support

- "This material is based upon work supported by the National Science Foundation under Grant No. (NSF grant number)." (Oral acknowledgment if appropriate.)

Disclaimer

- "Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the National Science Foundation."

Copies

- The grantee is responsible for assuring that the cognizant NSF Program Officer is provided access to, either electronically or in paper form, a copy of every publication of material based on or developed under this award, clearly labeled with the award number and other appropriate identifying information, promptly after publication.

Logos

http://www.nsf.gov/policies/logos.jsp

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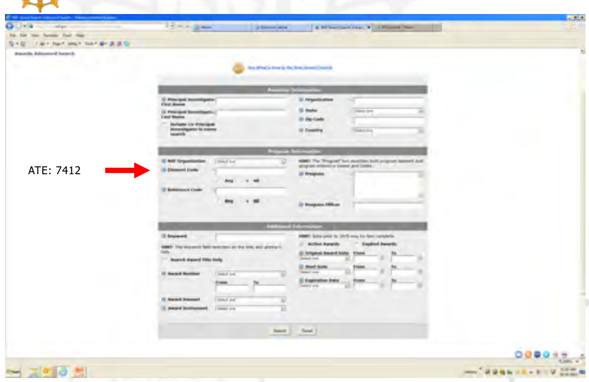
How to find information about NSF awards
www.nsf.gov

Award Search

ATE: 7412



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Reviewing Proposals for NSF

- Great professional development
- Service to the education community
- Opportunity to forge new collaborations
- Send your Program Officer a 2-page CV
- Not just ATE: DUE (IUSE, S-STEM, Noyce), DRL, DGE, HRD programs

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Questions?

National Science Foundation

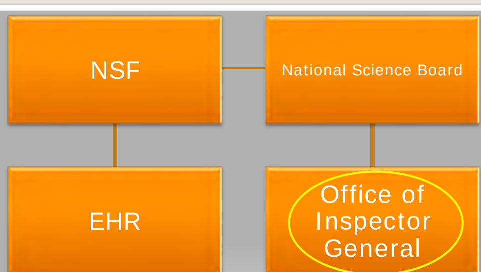
Office of Inspector General

Office of Investigations

ATE Conference
October 24, 2018

- Conduct investigations and reviews of NSF and its programs
- Promote efficiency, economy and effectiveness of NSF internal operations and programs
- Detect and prevent fraud, waste and abuse

OIG Mission



Where is OIG within NSF?

OIG Org Chart

What We Do In Investigations

- Investigate allegations of fraud, waste and abuse
- Investigate allegations of violations of federal policy and laws
- Investigate allegations of research misconduct (fabrication, falsification, plagiarism)
- Conduct outreach
- Conduct proactive reviews of targeted areas

Typical Allegations

- Research Misconduct (FFP)
  - NOTE: We review FFP for possible civil/criminal violations
- Embezzlement/Theft
- Fraud (including false statements, mail and wire fraud)
- Civil False Claims
- Criminal False Claims
- Violations of regulations and policies (conflict of interest, OMB Circulars, NSF policies)

Investigative Process

- We investigate by interviewing individuals, reviewing documents, issuing subpoenas
- We evaluate whether allegations have substance
- We issue Reports of Investigation to NSF with conclusions and recommendations
- We also refer matters to OIG's Office of Audit, and to Department of Justice or state law enforcement authorities, as appropriate

Possible Results of Investigation

- Nothing
- Special oversight or review
- Administrative sanctions
- Suspension/Debarment/Exclusion of individual
- Suspension/Termination of Award
- Civil/Criminal Remedies
- Compliance Plan

Your Role

- Manage award effectively– know rules, keep documentation, have good accounting practices
- Notify OIG of allegations of wrongdoing, and significant administrative or financial problems affecting the award
- Respond to OIG's requests for information
- Take appropriate remedial action if a problem is identified
- Communicate with your program officer

- The Solicitation lists items NSF funds may not be used for, including:
  - replacement equipment or instrumentation that does not significantly improve instructional capability;
  - teaching aids (e.g., films, slides, projectors, "drill and practice" software);
  - vehicles, trailers, laboratory furnishings, or general utility items such as office equipment (including word-processing equipment), benches, tables, desks, chairs, storage cases, and routine supplies;
  - maintenance equipment and maintenance or service contracts;
  - the modification, construction, or furnishing of laboratories or other buildings;
  - the installation of equipment or instrumentation (as distinct from the on-site assembly of multi-component instruments--which is an allowable charge).
- You will be held accountable for what is in the Solicitation (and award letter, grant conditions, etc.)
- OIG may investigate you if you break the rules

Knowing the Rules

- An audit identified purchase card misuse by a university accountant
- Working with the university's internal auditors, we identified:
  - Over 3,800 personal purchases made over 5 years
  - Over 30 different accounts fraudulently charged
  - Over $300,000 fraudulently diverted

Case Study

- Concealment of fraud:
  - Majority of items shipped to home address
  - Forged her supervisor's signature on monthly purchase card statement review
  - Created false invoices
  - Manipulated university's accounting system

Case Study

Case Study

- Results of investigation
  - Indictment
    - 17 counts of Mail Fraud (18 U.S.C. § 1343)
    - 5 counts of Theft (18 U.S.C. § 666)
  - Outcome
    - Guilty plea to all counts
      - Sentenced to 32 months in prison, followed by 3 years probation
      - $316,000 restitution
      - 250 hours of community service

Contact

- Jennifer Springmann
  Assistant Special Agent-in Charge, NSF OIG
  703 292-8757
  jspringm@nsf.gov
- Ginna Ingram
  Senior Investigative Attorney, NSF OIG
  703 292-4984
  gingram@nsf.gov

Jannele Gosey

ATE PI CONFERENCE

GRANT MANAGEMENT KEYS TO SUCCESS

OCTOBER 24, 2018

Jannele Gosey jgosey@nsf.gov
703-292-4445

DGA YEAR IN REVIEW

- **Completed over 22,000 actions.**
- **Relatively small division**
  - **Staff under 30**
  - **Each staff roughly completed on average 1,000 actions**
  - **Conduct award monitoring assistance program among many other tasks.**
  - **Conducts Advanced Monitoring Site Visit Review to grantees.**

GRANTEE RESPONSIBILITIES

- **NSF's legal relationship is with the grantee institution.**
- **The grantee institution is responsible for proposals submitted to NSF.**
- **The grantee institution is also responsible for adhering to the terms and conditions of an NSF award.**
- **This includes establishing appropriate policies and procedures, oversight, internal controls, and training to ensure that award expenditures are allowable, allocable, reasonable, and necessary.**
- **This also includes complying with all relevant federal regulations and national policy requirements.**

PI RESPONSIBILITES

- Responsible for the scientific or technical direction of the project.
- Serves as the first line of communication to the NSF Program Officer and the project relating to the scientific, technical and budgetary aspects of the project.
- Responsible for all timely reports required by NSF.

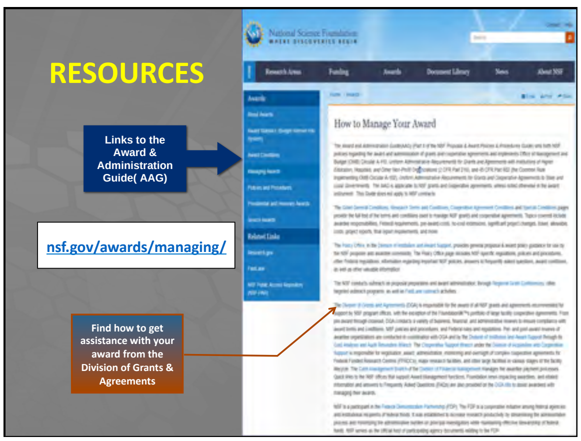
KEYS TO SUCCESS

- Effective Communication
- Know requirements (award letter, award terms and conditions, indirect cost rate agreement, Uniform Guidance)
- Good accounting practices – accumulation & segregation of costs

ALWAYS REMEMBER

- Focus on the solicitation budgetary guidelines
- Review budget with Sponsored Research Office prior to submission to NSF
- Document approvals and conversations between the awardee and NSF program and grant officials.


NSF
ASK EARLY, ASK OFTEN!


RESOURCES
Links to the Award & Administration Guide(AAG)
nsf.gov/awards/managing/
Find how to get assistance with your award from the Division of Grants & Agreements
National Science Foundation
Research Areas
Funding
Awards
Document Library
News
About NSF
How to Manage Your Award

Mentor-Connect

Elaine Craft, PI

Ellen Hause, Co-PI

Dennis Faber, Co-PI

Emery DeWitt, Co-PI

Mentoring in the ATE Program

Getting Started Pre-Conference Workshop
ATE PI Conference
Wednesday, October 24, 2018

Mentoring & Technical Assistance for…

- Grant writing & funding processes
- Project start-up and management

2

"Mentors are guides. We trust them because they have been there before. They embody our hopes, cast light on the way ahead, interpret arcane signs, warn us of lurking dangers, and point out unexpected delights along the way."

Laurent Daloz

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Technical Assistance

Resources

Help desk

Mentors

Leadership Development

4

Timeline ---So Much to Do!

When to do What?

5

NSF Grant Management Checklist: Getting Started

NSF Grant Management Checklist: Getting Started

	Year 1		Year 2	
	0-6 Months	6-12 Months	0-6 Months	6-12 Months
Budget Management	✓✓✓	✓✓	✓✓	✓
Communication Needs	✓✓	✓✓	✓✓	✓✓
Grant Management/Implementation	✓✓✓	✓✓✓	✓✓	✓✓
Evaluation	✓✓	✓✓	✓✓	✓✓
Dissemination		✓	✓	✓
Advisory Board(s)/ NVC's	✓✓	✓✓	✓	✓
Report Preparation		✓	✓	✓

✓ = Emphasis/Time/Attention

- Business & Grants Office
  - Responsibilities/Authority
  - Time & Effort Reporting
  - NSF/College Budget Alignment
  - Contracting Processes/ Responsibilities
  - Budget Monitoring

7

- Grant Team Administration & Management
  - Work Plan and Timelines
  - Staffing needs & Personnel Issues

8

- Grant Team Administration & Management
  - Internal & External Communication Processes & Tools
  - Advisory Committee Roles

9

- Institutional Support Expectations & Realities
  - Verify/confirm original internal college support & external partner commitment
  - Process for resolving campus or partner support problems
  - Use of indirect cost dollars

10

- Data

- Golden Rule

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Leadership Development and Outreach for ATE

NSF DUE #1501183 & #1840856

Elaine Craft, Principal Investigator

Dennis Faber, Co-PI **Ellen Hause, Co-PI**

Emery DeWitt, Co-PI & Project Manager

SC ATE Center of Excellence
Florence-Darlington Technical College
Florence, SC 29501-0548

www.Mentor-Connect.org Mentor-Connect@fdtc.edu (843)676-8540


EvaluATE
evalu-ate.org
Evaluation Support Center for
Advanced Technological Education


Who is EvaluATE
evalu-ate.org
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Advanced Technological Education
A NEW WEBINAR EACH
QUARTER!


EvaluATE
Advancing excellence
through evaluation
Webinars
Resource
Library
Blog and
Newsletter
ATE Annual
Survey
www.evalu-ate.org

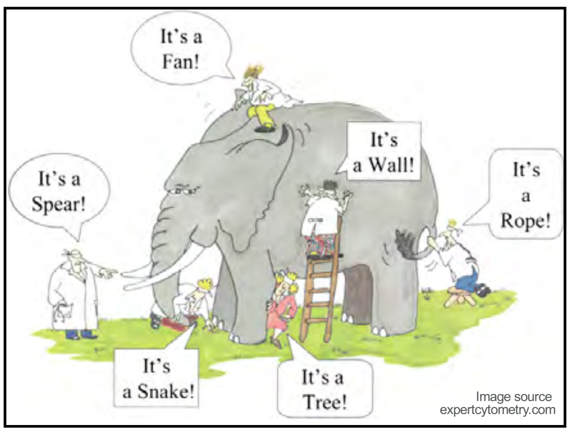
2 TOPICS

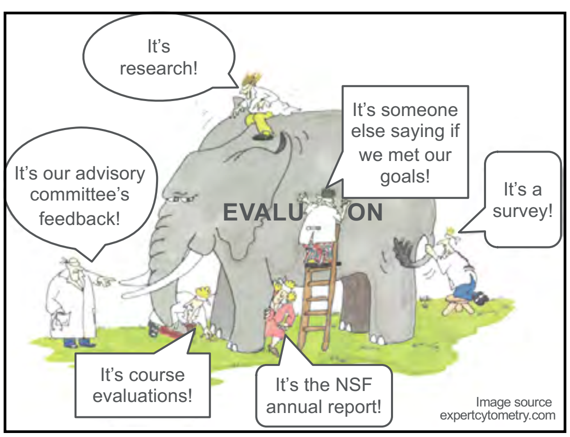
1 Evaluation

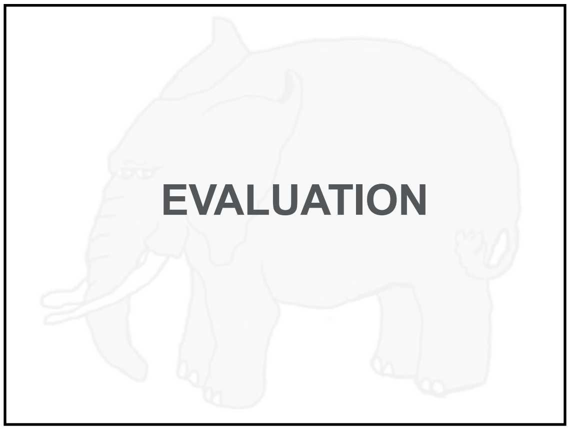
2 ATE Survey

1 EVALUATION

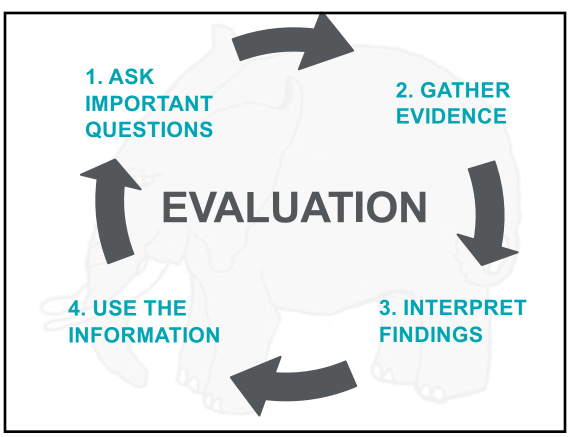

EVALUATION


It's a Fan!
It's a Spear!
It's a Wall!
It's a Rope!
It's a Snake!
It's a Tree!
Image source expertcytometry.com


It's research!
It's our advisory committee's feedback!
It's someone else saying if we met our goals!
EVALU ON
It's a survey!
It's course evaluations!
It's the NSF annual report!
Image source expertcytometry.com


EVALUATION


EVALUATION
A systematic determination of a project's quality and effectiveness.

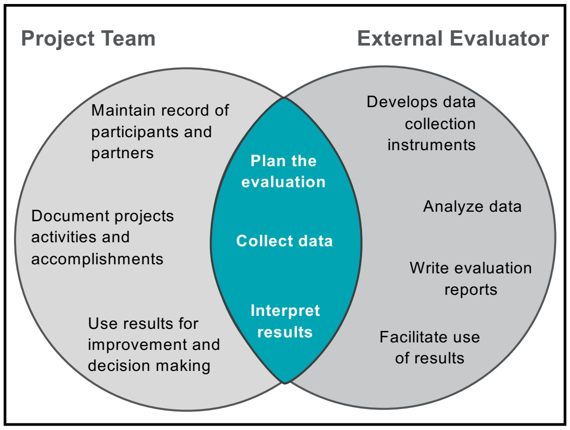

1. ASK IMPORTANT QUESTIONS
2. GATHER EVIDENCE
EVALUATION
3. INTERPRET FINDINGS
4. USE THE INFORMATION

Who has an evaluator?

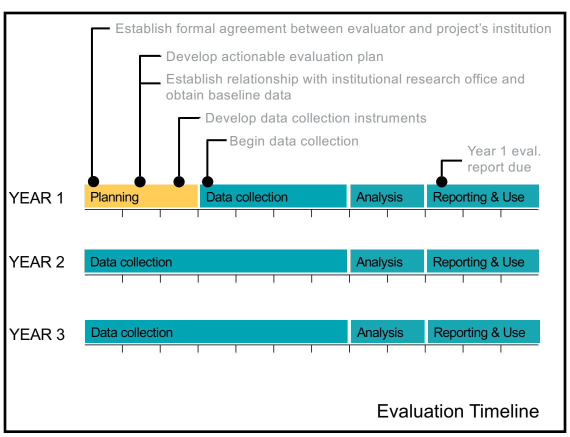
Basic Guidance on Evaluators

bit.ly/finding-eval

WHO will do it?



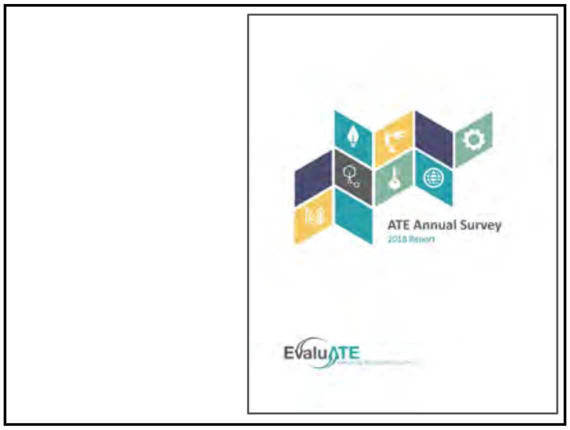
WHAT will happen?



evalu-ate.org/gettingstarted

2 ATE SURVEY

WHY


ATE Annual Survey
2018 Report
EvaluATE


GRANTEE CHARACTERISTICS AND PRACTICES
Most ATE grants are located at two-year colleges, followed by four-year colleges and universities, and
Most ATE grants support projects.
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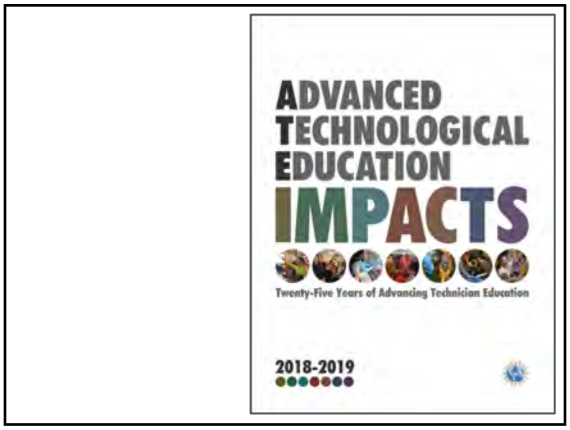
PROGRAM DEVELOPMENT & IMPROVEMENT


ADVANCED
TECHNOLOGICAL
EDUCATION
IMPACTS
Twenty-Five Years of Advancing Technician Education
2018-2019


NSF


UNITED STATES CONGRESS

TIMELINE

DATES TO REMEMBER

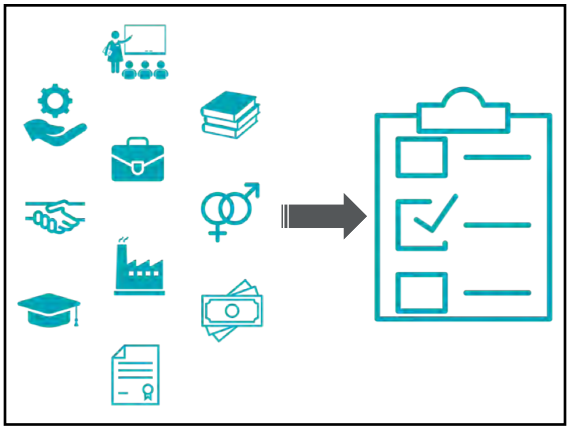
Jan 2019 PI's Information Confirmed

Feb 2019 Survey Opens

Mar 2019 Survey Closes

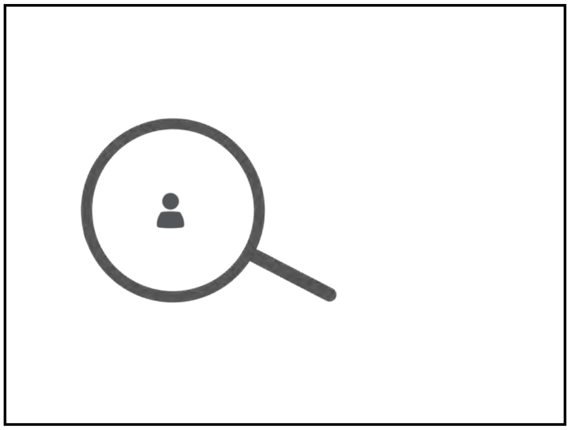
Oct 2019 Survey Reports Available

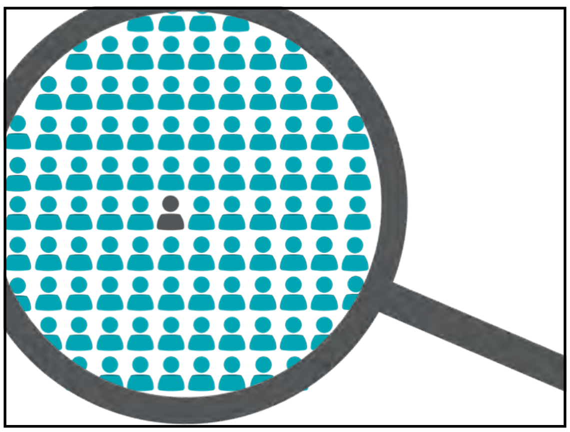
ROLE

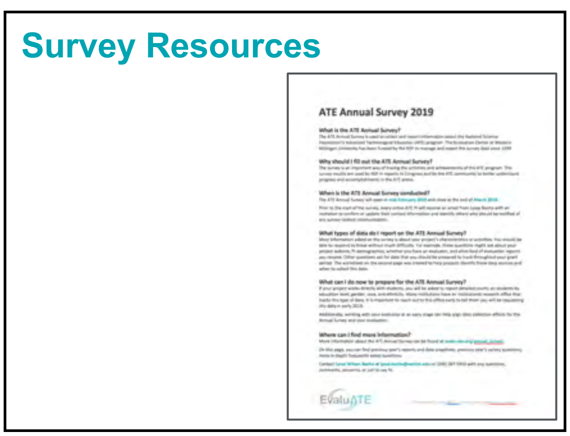



DATA

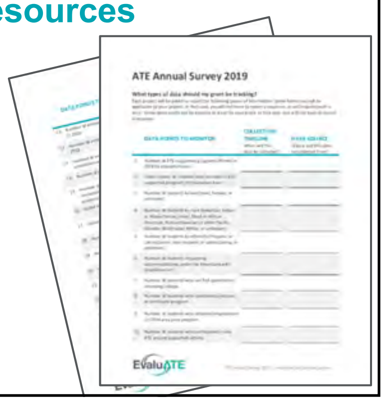

NEW






Survey Resources
ATE Annual Survey 2019
EvaluATE

Survey Resources



Survey Resources

evalu-ate.org/annual_survey/

Survey Resources

Lyssa

Contact Us

Booth #4 at all showcases

Email: info@evalu-ate.org

Website: evalu-ate.org

EvaluATE
evalu-ate.org

? Questions

Getting Started with ATE CENTRAL

Getting Started Workshop
ATE Principal Investigators Conference
Washington, DC
October 24, 2018

Edward Almasy
Director, Internet Scout Research Group
Co-PI, ATE Central

What is ATE Central?

- Information hub for ATE
- Archive for ATE
- Supports and promotes ATE community work
- Provides tools, services, and publications

Information Hub

Information about:

- ATE projects and centers
- ATE-created resources
- ATE events
- ATE program and community

Exercise: Find Potential Collaborators

- Go to `http://atecentral.net`
- Find the map interface
- Look for potential collaborators in your field or near you geographically
- Note this info in your worksheet, and make a goal to follow up with them during or after the PI conference
- Bonus points: Look up their showcase booth number via the PI conference mobile app

http://atecentral.net/map

Tools, Services, and Publications

Tools and Services:

- Archiving service
- Evaluator directory
- Events calendar
- Microsite service
- Social media directory
- Sustainability support

Publications:

- ATE Central Connection
- ATE Activity Report
- ATE Outreach Kit
- ATE Fact Sheet
- ATE Impacts book+blog
- ATE PI Conference app

Microsite Service

- Set up for every new ATE project and center
- Custom URL
  `http://ate.is/myproject`
  `http://ate.community/myproject`
- Leverage community information and resources
- Not affected by institutional issues
- Easier archiving

http://atecentral.net/microsites

Social Media Directory

http://atecentral.net/socialmedia

Archiving Service

- All digital deliverables
- Extend and expand the impact of your work
- Preserves NSF's investment
- Required for all ATE grantees

Session:
Thursday 11:15am
Senate Room

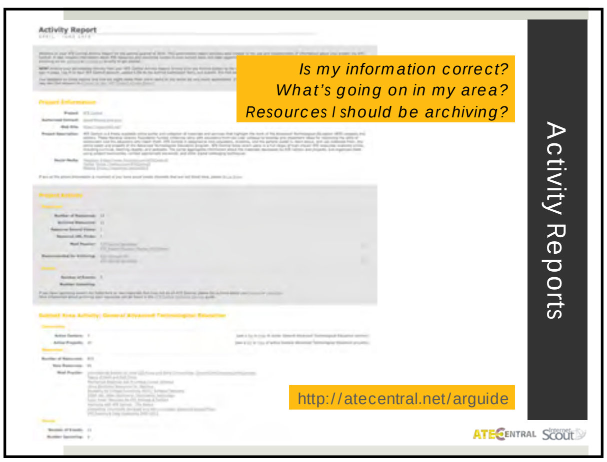
http://atecentral.net/archiving

ATE Central Connection

Featured Projects
Featured Resources
Community Connection
ATE Success Tips
Did You Know?
Upcoming ATE Events
News & Reminders

http://atecentral.net/connection


ATE Fact Sheet
http://atecentral.net/factsheet
ATE Fact Sheet
Active Projects
Active Centers
Projects by Subject Area
Centers by Subject Area
New Projects by Subject Area
Past Projects by Subject Area


Activity Reports
Activity Report
Is my information correct?
What's going on in my area?
Resources I should be archiving?
http://atecentral.net/arguide


ATE Impacts Book
ADVANCED
TECHNOLOGICAL
EDUCATION
IMPACTS
Twenty-Five Years of Advancing Technician Education
2018-2019
Internet Scout
AMERICAN ASSOCIATION OF COMMUNITY COLLEGES
NSF
Session:
Thursday 10:15am
Senate Room
http://ateimpacts.net/book

ATE Impacts Blog

http://ateimpacts.net

ATE CENTRAL Scout

ATE PI Conference App

Available for iPhone/iPad and Android

Search app store for *ate pi 2018*

http://atecentral.net/piapp

ATE CENTRAL Scout

Questions? Find ATE CENTRAL Here

Showcase Booth #2

Using the ATE Impacts Book for Outreach and Collaboration
Thursday 10:15am
Palladian

Archiving with ATE Central
Thursday 11:15am
Senate

Licensing Your Content to Increase Dissemination and Use
Thursday 3:00pm
Congressional

http://atecentral.net

http://ateimpacts.net

info@atecentral.net
microsites@atecentral.net
archiving@atecentral.net

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ATE CENTRAL Scout

SUPPLEMENTARY

Annual Report Template Sections

Accomplishments

- What are the major goals of the project?
- What was accomplished under these goals (you must provide information for at least one of the 4 categories below):
- Major activities
- Specific Objectives
- Significant results
- Key outcomes or other achievements
    - What opportunities for training and professional development has the project provided?
    - How have the results been disseminated to communities of interest?
    - What do you plan to do during the next reporting period to accomplish these goals?

What Happened during this period?

- **Products**
    - Journal articles
    - Websites
- **Participants (Senior Personnel – not workshop participants)**
    - What individuals have worked on the project?
    - What other organizations have been involved as partners?
    - Have other collaborators or contacts been involved?

Impacts

- What is the impact on the development of the principal discipline(s) of the project?
- What is the impact on other disciplines?
- What is the impact on the development of human resources?
- What is the impact on physical resources that form infrastructure?
- What is the impact on institutional resources that form infrastructure?
- What is the impact on information resources that form infrastructure?
- What is the impact on technology transfer?
- What is the impact on society beyond science and technology?

Changes

- Changes in approach and reasons for change
- Actual or anticipated problems or delays and actions or plans to resolve them
- Changes that have a significant impact on expenditures
- Significant changes in use or care of human subjects
- Significant changes in use or care of vertebrate animals
- Significant changes in use or care of biohazards

Special Requirements

Respond to the items in this section if they are applicable.

- Mention any requests submitted to FastLane/Research.gov Notifications and Requests. For example, you may have submitted a request for significant modifications to the scope of work or reallocation of funds originally budgeted for participant support. You can see the web site for a complete list of notifications and requests.
- **NOTE**: NOTIFICATIONS AND REQUESTS ARE A SEPARATE FastLane/Research.gov action. Merely including this information in your annual report is not sufficient.

Attachments

- You must put relevant information into the appropriate text boxes and ONLY attach PDF files as backup documentation. Among the things that are appropriate to send as PDF attachments are:
- Evaluation information such as reports from your Advisory Committee and evaluators. These are often confidential or preliminary and not appropriate to be broadly shared.
- Charts, graphs, data tables, pictures, news articles, and similar material that cannot be represented in text-only format.
- Documents that are too long to be included in the text boxes, such as modules or short publications.

FastLane Help: 1-800-673-6188
Research.gov Help: 1-800-381-1532

Final Report and Project Outcomes Report: see PAPPG

PAPPG Scavenger Hunt

An important resource for the successful completion of an NSF grant is the *Proposal and Awards Policies and Procedures Guide* (PAPPG). This is a dynamic document and is usually updated annually, so it is a good practice to always check that you are working with the current version. As of today, the current version is NSF 18-1 and the link is: https://www.nsf.gov/pubs/policydocs/pappg18_1/index.jsp

Below are a set of common questions PIs have related to managing an award, along with a link to the current PAPPG guidance. See if you can find the answers!

One of my coPIs is moving to another college. Can she remain a coPI on my project?
Read the section on "Changes in PI/PD, co-PI/co-PD or Person-Months Devoted to the Project".
https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_7.jsp#VIIB2 (https://bit.ly/2PD1Y7Y)

We budgeted too much for student stipends and not enough for supplies and materials. Can I change my budget?
Read the "Research Terms and Conditions Appendix A: Prior Approval Matrix".
https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_a.pdf (https://bit.ly/2P06tN2)

We want to have an end of the semester pizza party to celebrate, along with a T-shirt raffle. Can I use grant funds to pay for this?
Read the section on "Allowable and Unallowable Costs".
https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_2.jsp#IIC2gxiii (https://bit.ly/2CkSLgM)

We got off to a slow start our first year and, now that the grant is ending, we have unmet objects and unspent funds. What do I do?
Read the section on "Changes in a Grant Period".
https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_6.jsp#VID3 (https://bit.ly/2yktZuK)

We are making a presentation at a conference. How do we acknowledge the NSF?
Read the section on "Publication/Distribution of Grant Materials".
https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_11.jsp#XIE (https://bit.ly/2RSWTKr)

Also read " NSF Logos and Usage Standards".
https://www.nsf.gov/policies/logos.jsp (https://bit.ly/2COt09O)

Does my final report have to cover the entire award period?
Read the section on "Technical Reporting Requirements".
https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_7.jsp#VIID (https://bit.ly/2CiJeXA)

Our original IRB was only for a single year. Now that the award has been made, do I need to renew it?
Read the section on "Human Subjects".
https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_11.jsp#XIB1 (https://bit.ly/2Owaw4j)

After implementing the grant, we determined that we will have changes in the objectives and scope of the project. Now that the award has been made, do I need to inform of the change?
Read the section on “Changes in project direction or management”.
https://www.nsf.gov/pubs/policydocs/pappg18_1/nsf18_1.pdf (https://bit.ly/2Eq4ZHV)

PAPPG Scavenger Hunt

I am moving to another institution. What are my options for the grant? If both institutions agree, how do I transfer my grant to the new institution?

See "Disposition of a grant when a PI/PD transfers from one organization to another organization". https://www.nsf.gov/pubs/policydocs/pappg18_1/nsf18_1.pdf (https://bit.ly/2Eq4ZHV)

I am planning on applying for a patent based on the work of my ATE grant. What are the rules of NSF?

Please see the section on "Intellectual property". https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_11.jsp (https://bit.ly/2QSHMPO)

The start date for my award is later than the proposed timeline, is it possible to request an early start date?

Read the section on "Conflicting guidelines" https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_10.jsp#XA2b (https://bit.ly/2OtXowA)

Is it possible to request an early start of the budget to claim these expenses that have occurred prior to the actual start date?

Read the section on "Pre-Award (Pre -Start -Date) Costs" https://www.nsf.gov/pubs/policydocs/pappg18_1/pappg_6.jsp#VID3a (https://bit.ly/2J2SvVc)

NATIONAL SCIENCE FOUNDATION

Division of Grants and Agreements (DGA)

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Cartia Brown-Morgan, ENG Grant Administrator | Ext 8709
Jereatha Coleman, CISE/OIA Grant Administrator | Ext 2649

NATIONAL SCIENCE FOUNDATION

Division of Grants and Agreements (DGA)

Top 10 Reasons for Delays in Processing

1. Overdue Reports

Program Officers are responsible for monitoring timely submission of required annual and final reports. In many cases, proposals recommended for award will be delayed due to associated project reports becoming overdue. Beginning in July, DGA will periodically send a list of actions that are blocked by overdue reports. POs may also track overdue reports using the Project Reports Due/Overdue tool in Enterprise Reporting under the Standard Reports section.

2. Budget and Justification Issues

- Unallowable costs; usually found in F. Participant Support, and G.6. Other Direct Costs (e.g. Entertainment Cost)
- Costs not fully described in the budget justification; usually found in G.6. Other.
- Cost Share: only seven solicitations have cost share requirements. All other proposals should not reference cost share in the budget justification.

3. Solicitation Requirements

Deviations from the solicitation and missing documentation for unique solicitation requirements may lead to delays in processing. Any documents required in a solicitation must be uploaded into eJacket prior to recommended for award.

4. Supplements

Prior to recommendation for an award, please ensure that additional external merit review has been obtained if required. In addition, supplements should contain the appropriate indirect cost rate(s).

5. Review Analysis

All “fair” and “poor” reviews must be addressed.

6. Indirect Cost Rates

Except where specifically identified in an NSF program solicitation, prime awardees must use their applicable US federally negotiated indirect cost rate(s) for a proposal. Both domestic and foreign proposing organizations that do not have a current US federally negotiated indirect cost rate(s) may request a *de minimus* indirect cost recovery rate of 10% of modified total direct costs.

7. Subrecipents

Proposing organizations will not have the ability to add a subrecipient unless the entity is registered in FastLane. DGA will be unable to approve a subaward arrangement when an entity is not registered and identified as the Organization within a subaward budget. Prior to recommendation for award, please make sure all subaward budgets identify the intended subrecipient.

Indirect Cost Rates (Subrecipient’s) – It is NSF’s expectation that, consistent with 2 CFR § 200.414, NSF awardees will use the domestic subrecipient’s applicable US federally negotiated indirect cost rate. If no such rate exists, NSF awardees may either negotiate a rate or will fund the subrecipient using the *de minimis* indirect cost rate recovery of 10% of modified total direct costs.

8. Human Subjects

The IRB approval document must clearly reference the project by its title. The title on the IRB approval document and the title of the submitted proposal do not have to match exactly, but it should be clear that they are referencing the same project. The responsibility for affirming that IRB approval or exemption has been obtained rests with the cognizant PO. Prior to award recommendation, please make sure the IRB approval documentation has been uploaded into eJacket.

9. Use of Vertebrate Animals

Proposed NSF projects involving use of any vertebrate animal for research or education must be approved by the submitting organization’s Institutional Animal Care and Use Committee (IACUC) before an award can be made. It is the responsibility of the Program Officer to ensure that the awardee organization’s IACUC reviewed and approved the project, prior to award, and to contact the PI if it has not been completed. No award involving vertebrate animals can be made without this certification. Prior to award recommendation, please make sure this documentation is uploaded to eJacket.

10. Returns and Decommitments

Actions that are decommitted or returned to program for adjustment are removed from the DGA processing log. It is the program office’s responsibility to ensure that timely action is taken to correct the reason for a return or decommittment so the proposal may again be recommended for award and logged back to DGA for further processing.

Grant Management Checklist – Getting Started

☐ COMMUNICATION-PRESS RELEASE: It is a good practice to issue a press release and otherwise announce receipt of your NSF grant. Your institution is relatively unique among community or technical colleges in receiving funding from the National Science Foundation. It is a notable accomplishment! Press releases should include attribution to the National Science Foundation Advanced Technological Education Program. When a news item appears in print or online, capture it and have the PI send it to the project's Program Officer. NSF logos are available for your project's use: https://www.nsf.gov/policies/logos.jsp

☐ COMMUNICATION-PARTNERS/CONTRACTORS: Be certain to notify all partner organizations and individuals who assisted with or contributed to your grant proposal that your proposal resulted in a grant award. This includes those who provided commitment letters, your external evaluator (if named in the proposal), your Mentor if you were in a mentoring program like Mentor-Connect, and your team, colleagues, and administrators within your institution. Very often with subsequent grants you will call upon and work with some if not all of the same people/organizations. You want to reinforce at every opportunity that you value their support and assistance, and that their involvement is critical to the success of the project.

☐ FINANCIAL-RECEIVING AWARD FUNDS: Identify person in business office who will have responsibility for accounting for grant funds. NSF does not send a grant award check to the grantee but rather distributes grant funds by enabling the college to "draw down" funds as expenses are incurred. If your college business office and /or person responsible for grant accounting is new to financial management of NSF grant awards, you may want to share the following information about how to draw down funds. Transactions with NSF are all electronic. To access the Mentor Connect tutorial demonstrating how to draw down funds, go to www.Mentor-Connect.org, Visit Our Library, and then use the search term "NSF Funds." Alternately, use this link: https://library.mentor-connect.org/index.php?P=SearchResults&FK=nsf+funds

☐ FINANCIAL-TRACKING/MANAGING GRANT FUNDS: The PI needs to make sure he or she knows the specific budget codes the college has assigned to your grant budget line items. Codes will be assigned when the grant budget is loaded into the college's accounting system. There will likely be far more college codes assigned than grant line items in the NSF budget. The PI and others who will have budget authority for the grant need to thoroughly understand the cross-walk between the two. *BEST PRACTICE TIP*: Add college-assigned budget codes to purchase requisitions and reimbursement requests as well as to personnel and other contracts at the project level prior to submitting or forwarding for payment. Only project personnel understand what each expense is and where it fits into the overall project budget. The risk of error is greater if this coding is done by someone less familiar with the grant budget. If participant support costs are involved, it is especially important that mistakes in payment coding be avoided.

☐ FINANCIAL-REPORTS: The PI should confirm with the business office how and when reports of grant accounting will be provided to the PI and appropriate administrators. There is always a lag time between when these reports become available and when an expense was approved for the grant. It is important to keep up with grant expenditures throughout the life of the project. *BEST PRACTICE TIP:* Keep a separate spreadsheet accounting system for PI/project team use that lists expenditures as they are incurred or requested so that remaining budget amounts by category are readily available to guide future spending decisions. In-project accounting can then be compared to college reports when they become available to make sure that there are no discrepancies. It is not unusual for expenses to be incorrectly coded which can result in an expense being charged to the wrong line item; or worse, expenses incurred elsewhere at the college may inadvertently be charged to the grant. Someone working with the project outside the business office who thoroughly understands the grant budget needs to keep an eye on the money.

☐ DATA – WITHIN PROJECT/INSTITUTION: As quickly as possible, determine what data you need to collect for your project and where the data are located. If requests for data will need to be made to your college institutional research person/office (IR), be very specific about what you need and when you will need it. Work with IR to make sure you understand the specific information that you will need to provide for data to be pulled from college databases. Data queries require details you may not have considered. Consult with your evaluator about data requirements and be sensitive to requirements for protecting student data.

☐ DATA - PARTNERS: Timely collection of data from partners is perhaps one of the most challenging tasks for any PI. As partnership agreements are put in place for your project (e.g., contract, memorandum of agreement, subaward), always make delivery of essential data integral to the agreement. Make expectations clear from the start. On occasion, it may be essential to withhold grant-funded financial support from an external entity to stimulate or ensure cooperation. When having this data is essential to project evaluation and to assess and document project outcomes and impact, partners who can't or won't provide data about their students or other essential data will detract from your project and chances of success. Allowing this to happen could also negatively impact your ability to receive future grant funding that will require strong results of prior support. Be tough about this. It is important.

☐ HUMAN RESOURCES-PROJECT PERSONNEL: Reread the project proposal carefully, noting all personnel who are named. Individuals receiving compensation or release time should appear in the project description, in the budget/budget justification, and in a list of individuals who will receive funding from the grant (a required proposal document). Make sure that all named individuals understand the time commitment made to the project, or release time that is to be provided. Work with appropriate administrators to get faculty and personnel schedules set up for grant implementation. Be sensitive to the fact that relieving faculty from teaching responsibilities to work on a grant-funded project can be very challenging for those who manage class scheduling and faculty loading. Whether grant-supported time is within normal work schedule or an individual is being compensated via overload or stipend, reinforce the importance of each individual dedicating the time to grant work that has been planned and/or is necessary to achieve project goals.

☐ HUMAN RESOURCES-GRANT FUNDS ALLOCATION: The PI should make sure that the college human resources (HR) department knows if a portion of any employee's salary is to be charged to a grant. If there are part-time contracts or overload pay amounts to be charged to the grant, HR should know this in advance of the work being done. It may be the PI's supervisor or someone else needs to have this conversation with HR, but the PI can alert the appropriate person and provide information for this communication. *BEST PRACTICE TIP*: Code each personnel request with the appropriate budget code that aligns with the budgeted funds for payment.

☐ TIME & EFFORT REPORTING: This is a requirement for anyone receiving grant-funded compensation (including an adjunct faculty teaching to provide release time for another person) and anyone receiving grant-funded release time. Forms that meet NSF expectations and instructions are available from the Mentor-Connect Resource Library. Click on Visit Our Library, use search term "Time and Effort," or access via this link:
https://library.mentor-connect.org/index.php?P=SearchResults&FK=time+and+effort

☐ EVALUATION-GETTING STARTED: The PI needs to jump-start this activity. The grant proposal included an evaluation plan, but the plan should be reevaluated and perhaps expanded upon as this activity begins. The PI needs to make sure that the evaluator has a contract (or that the bid process has been initiated if the college will hire an evaluator for the project by issuing a request for proposals (RFP) to which prospective contractors will respond with a bid for the contract). This will not happen automatically! Someone must request that these actions be taken. *BEST PRACTICE TIP:* If there were adjustments to the project made during pre-funded negotiations with NSF, this may impact the evaluation plan. Any changes should be discussed with the evaluator and/or may need to be incorporated in a RFP.

☐ EVALUATION-RESOURCES: Evaluation should be integral to your project. For information, tools, and resources to enhance this component of your NSF ATE grant, seek out the services of EvaluATE, an NSF ATE-funded resource for ATE grantees. www.Evalu-ATE.org

☐ EVALUATION-ATE SURVEY: In addition to the specific data and information needed by your evaluator for your project, other data and information are likely to be needed for the project to respond to the annual ATE Program Survey. This survey is administered by EvaluATE, an NSF ATE-funded initiative based at the Evaluation Center at Western Michigan University. All PIs are expected to respond to this survey and provide requested information. The survey is administered in the February-March timeframe each year.
A new survey is under development for 2019, but to get an idea of what to expect, the 2018 survey instrument may be accessed at http://www.evalu-ate.org/wp-content/uploads/2018/02/ATE-Survey-2018-1.pdf (on the EvaluATE website).

☐ PROJECT WORK-MANAGING TIMELINE: It has likely been many months since the grant team finalized and submitted the proposal. Once an award letter is received, encourage project team members to re-read the project proposal. Very often, work plans and timelines included in the proposal will need far more specificity than could be included in the proposal to be a good guide for project implementation. Begin by expanding the work plan for the first year, confirming activities, deadlines, and responsibilities. For example, preparing for the ATE PI Conference is an activity that will occur relatively early in the grant year, and work on this may begin as early as the first of July each year when conference information is distributed by the American Association of Community Colleges (AACC) who produces this conference for ATE grantees.

☐ PROJECT WORK-AS ATE GRANTEE: Are you having fun yet? As you launch your project and reflect on all of the work you have committed to do, take time to enjoy what you are doing and to appreciate the privilege that it is to have an ATE grant that empowers you to make a difference. The toughest part may be start up, when new activities and procedures are being initiated, and you don't yet know what impact your work will have. Keep the faith! You may be amazed at all you accomplish by actually implementing your project. Also remember that help is just an email or phone call away. ATE Program colleagues and Program Officers are available and want to help you overcome the challenges that are inevitable with any project that designed to bring about change.

☐ DISSEMINATION-SHARING PROJECT INFORMATION: It will be awhile before you have significant outcomes or products to share with others, but keep in mind that proposals to present at conferences must be submitted far in advance of the actual event. In the meantime, focus on developing clear communications about what your project will accomplish when successfully completed and who can benefit from what you have done and what you expect to learn about technician education in the process. Take an "elevator speech" approach to quickly and succinctly explain your project work (don't expect others to read descriptions excerpted from your grant). Use pictures and graphics to tell your story and as few words as possible. Check out the "ATE Outreach Toolkit" among resources available from ATE Central, https://ATECentral.net.

☐ DISSEMINATION-WEBSITE(S): Having your project information accessible via Internet is often an important component of a dissemination plan. However, don't expect to "build it and they will come." If you have a web presence, you need to proactively work to give people a reason to seek out information about your project and make it easy for them to look you up. *BEST PRACTICE TIP:* quickly set up a web presence for your project by working with ATE Central to establish a "microsite," which they provide for ATE grantees at no cost. You can quickly upload basic information about your project, and you will have a URL to distribute for your project. This will be much faster and more cost effective than creating web pages for your project within your college's website or creating a stand-alone, external website for your project. Should your project evolve into a larger initiative later, microsite content can be transferred to a more complete project website. Go to https://ATECentral.net and then find microsite service under the Resources tab. This is the direct link: https://atecentral.net/microsites.

This material is based upon work supported by the national Science Foundation Grant No. 1501183, and 1840856. Any opinions, findings and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the National Science Foundation. This Mentor-Connect advice was prepared by Elaine L. Craft, longtime ATE PI and PI, Mentor-Connect projects. www.Mentor-Connect.org
Email: Mentor-Connect@fdtc.edu Ph. (843)676-8540

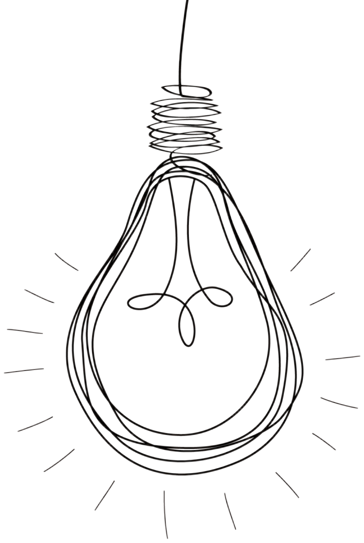
MENTOR CONNECT

Evaluation 101

Principal Investigator "To-Do" Checklist: Before Launching Your Project Evaluation

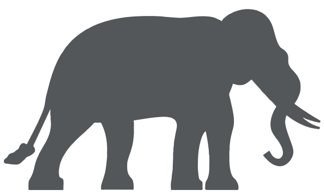
What to Do	To/With Whom
Announce or discuss NSF grant award.	Evaluator, partners and advisors/advisory groups Colleagues at your institution • SRO/grant writer & Data person • Fellow faculty • PR/Marketing Dept. • Business & Purchasing Offices The public– with attribution to NSF!
Process contracts.	Evaluator Partners (include providing data as contract obligation)
Discuss evaluation expectations, processes, activities, and timeline (note IRB considerations).	Evaluator
Review goals/objectives and identify data capture needed (and by whom) for the evaluation.	Evaluator
Determine data definitions, time frames for data capture (e.g., by semester), reporting frequency/dates for project. Don't forget to include current status or recent history for baseline data. Review data management plan.	Data Person
Communicate data needs/timelines/reporting dates to partners from whom you will need data.	Co-PIs, partner institutions/organizations
Review/set goals for success if not specific in proposal (actual numbers, not just %) with interim benchmarks for gauging progress.	Evaluator, Co-PIs, partners
Plan evaluation activities and discuss evaluation tools to be used. Use uniform tools (e.g., surveys) across partnership and include the capture of demographic data and other information that will be needed for the ATE Annual Survey (if not specifically for your project).	Evaluator, Co-PIs
Discuss evaluation reports to be provided and reporting dates (align deadlines to your reporting needs: NSF annual report, advisory meeting, etc.).	Evaluator

This material is based upon work supported by the National Science Foundation Grant No. 1204463 Any opinions findings and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the National Science Foundation.



GETTING STARTED WITH YOUR ATE EVALUATION

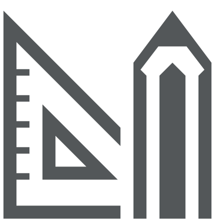
EVALUATION BASICS



- **Ask important questions** about the project's processess and outcomes
- **Gather evidence** that will help answer those questions
- **Interpret findings** and answer the evaluation questions
- **Use the information** for accountability, improvement, and planning
- **Continue** this process throughout the life of your project

Resource:
Data Collection Planning Matrix (bit.ly/data-matrix)

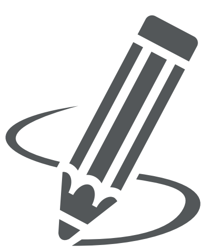
USING EVALUATION



- **Improve** your project
- **Inform** stakeholders
- Fulfill grant **requirements** (annual report)

Resource:
Expectations to Change (E2C) (bit.ly/Adams-E2C)

WORKING WITH YOUR EVALUATOR



- Make sure your evaluator's **contract** is in place
- Assign a **point-person** on your project team for evaluation matters
- Schedule a **recurring meeting** with your evaluator
- Make an appointment with your college's **data person**
- Set up a **timeline** for your evaluation
- Commit to **using** your evaluation results

Resources:
Principal Investigator "To Do" Checklist: Before Launching Your Project Evaluation (bit.ly/ToDoChecklist)

Communication Plan Checklist for ATE Principal Investigators and Evaluators (bit.ly/checklist-commplan)

LEARN MORE

-Resources to help you and your evaluator
Webinars | Blog | Newsletter | Resource Library

EvaluATE
EVALU-ATE.ORG

Communication Plan Checklist
for ATE Principal Investigators and Evaluators

Lyssa W. Becho and Lori A. Wingate | October 2017

Creating a clear communication plan at the beginning of an evaluation can help project personnel and evaluators avoid confusion, misunderstandings, or uncertainty. The communication plan should be an agreement between the project's principal investigator and the evaluator, and followed by members of their respective teams. This checklist highlights the decisions that need to made when developing a clear communication plan.

- ☐ **Designate one primary contact person from the project staff and one from the evaluation team.** Clearly identify who should be contacted regarding questions, changes, or general updates about the evaluation. The project staff person should be someone who has authority to make decisions or approve small changes that might occur during the evaluation, such as the principal investigator or project manager.

- ☐ **Set up recurring meetings to discuss evaluation matters.** Decide on the meeting frequency and platform for the project staff and evaluation team to discuss updates on the evaluation. These regular meetings should occur throughout the life of a project.

  Frequency — At minimum, plan to meet monthly. Increase the frequency as needed to maintain momentum and meet key deadlines.

  Platform — Real-time interaction via phone calls, web meetings, or in-person meetings will help ensure those involved give adequate attention to the matters being discussed. Do not rely on email or other asynchronous communication platforms.

  Agenda — Tailor the agendas to reflect the aspects of the evaluation that need attention. In general, the evaluator should provide a status update, identify challenges, and explain what the project staff can do to facilitate the evaluation. The project staff should share important changes or challenges in the project, such as delays in timelines or project staff turnover. Conversations should close with clear action items and deadlines.

- ☐ **Agree on a process for reviewing and finalizing data collection instruments and procedures, and evaluation reports.** Determine the project staff's role in providing input on instruments (such as questionnaires or interview protocols), the mechanisms by which data will be collected, and reports. Establish a turnaround time for feedback, to avoid delays in implementing the evaluation.

- ☐ **Clarify who is responsible for disseminating reports.** As a rule of thumb, responsibility and authority for the distribution of evaluation report lies with the project's principal investigator. Make it clear whether the evaluator may use the reports for their own purposes and under what conditions.

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Finding and Selecting an Evaluator for Advanced Technological Education (ATE) Proposals

Lori A. Wingate | July 2017 | www.evalu-ate.org

ATE PROPOSERS SHOULD CAREFULLY READ THE ATE PROGRAM SOLICITATION: bit.ly/2017ATE

All ATE proposals are required to request "funds to support an evaluator independent of the project." Ideally, this *external evaluator* should be identified in the project proposal. The information in this guide is for individuals who are able to select and work with an external evaluator at the proposal stage. However, some institutions prohibit selecting an evaluator on a noncompetitive basis in advance of an award being made. Advice for individuals in that situation is provided in an EvaluATE blog (bit.ly/rearick) and newsletter article (bit.ly/no-eval).

This guide includes advice on how to locate and select an external evaluator. It is not intended as a guide for developing an evaluation plan or contracting with an evaluator.

1. What is an external evaluator?

An external evaluator is the person who will lead the design and implementation of the evaluation of your ATE project. The evaluation will include systematic collection and analysis of evidence related to the quality, effectiveness, and impact of the project. To be *external,* the evaluator must be *independent of the project* (see Question 3).

2. When should I start working with an evaluator?

Proposal developers should contact an evaluator at least one month in advance of the proposal's due date—earlier if possible. A good evaluation plan should be closely aligned with the project's goals and activities. To achieve good alignment, the evaluator needs time to review a draft of the proposal, ask questions, and develop a sound evaluation plan. With short notice, some evaluators may offer to provide a generic evaluation plan. However, seasoned proposal reviewers will give your proposal a more favorable review if it has a well-integrated, tailored evaluation plan.

3. Where should I look for an evaluator?

There is no list of vetted or approved evaluators for NSF projects. It is up to the proposal developer (which is usually the principal investigator) to locate an evaluator and determine if they are qualified and right for a project.

Here are three sources for locating a potential evaluator:

- Ask colleagues for recommendations: If you know someone with a grant that has an evaluation component, ask for the evaluator's name and contact information.
- Use the American Evaluation Association's evaluator directory (bit.ly/aea-dir): It's searchable by state and keyword.
- Use ATE Central's evaluator map (atecentral.net/evaluators): This interactive map can be used to identify evaluators by location and the types of ATE projects they evaluate.

Most ATE projects employ evaluators based outside of their home institutions. However, program rules do allow grant recipients to contract with an evaluator who is employed by the project's home institution, as long as the evaluator is *independent of the project*. That is, the evaluator should not work in the same unit

This material is based upon work supported by the National Science Foundation under Grant No. 1600992 Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the National Science Foundation.

where the project is housed. However, neither the evaluator nor any of the project's personnel should have supervisory responsibilities in relation to the other party.

4. How do I determine if an evaluator is qualified and right for my project?

At minimum, an evaluator for an ATE project should have basic social science or education research skills, and academic preparation or extensive practical experience in evaluation. Ideally, ATE project evaluators will also have experience with community colleges and knowledge of the project's disciplinary area.

Keep in mind that there is no certification or credential for evaluators in the United States. Do not assume that just because a person calls themselves an "evaluator" or has evaluated a grant project in the past that they are qualified to evaluate your project. If possible, assess a potential evaluator's qualifications before contacting them. Sometimes you can learn a lot about an evaluator's credentials and experience by searching the web. For example, if the evaluator has a website, review it for evidence of their experience and expertise related to evaluation in general and your type of project in particular. Look for examples of reports, academic papers, presentations, and blogs.

If you find someone who looks promising, contact them to learn more. Here's an example of what to say:

> *I am developing a proposal for the National Science Foundation's Advanced Technological Education program and I'm looking for an evaluator who will help us with the evaluation plan. The project is about [insert super short description of what your project is about]. If you think you might be interested, may I [call or email] you with a few questions?*

In that follow-up dialogue, here are examples of questions you may want to ask:

- What experience have you had evaluating STEM education or similar types of projects?
- What is your experience with community colleges?
- Do you have experience evaluating [insert discipline/content area] projects?
- Tell me about how you work with your clients.
- Who are some of your past clients?

Pay attention not only to how they answer your questions, but the degree of rapport you feel in interacting with them. Successful client-evaluator relationships are grounded in open communication and respect. If this is missing from the start, there are likely to be problems down the road.

If it's not possible to find someone with expertise in both your content area and evaluation, prioritize evaluation knowledge. All evaluators—regardless of their content area knowledge—should take time to learn about the specific contexts of the projects they work with. Evaluation expertise is needed throughout the evaluation process, while content area expertise is needed more intermittently. Without a strong background in evaluation, subject matter experts may be prone to making methodological errors that compromise evaluative findings. Evaluation conclusions should be based on systematically collected data more than the evaluator's experience and opinion. If needed, evaluators may consult with content area experts to compensate for gaps in knowledge.

To learn more about what professional evaluators should know and be able to do, see the following resources:

- The Program Evaluation Standards: bit.ly/jc-pes
- American Evaluation Association Guiding Principles for Evaluators: bit.ly/aea-gp
- Competencies for Canadian Evaluation Practice (U.S. evaluation competencies are being drafted): bit.ly/10v3dc3

5. What should I do after I find the evaluator I want to work with?

First, confirm they want to proceed in working with you on the proposal. Then, ask what they need from you. Most likely, this will include the draft proposal, a timeline for completing the evaluation plan, and a ballpark figure for the evaluation budget (see Question 6). Allow time for one or two conversations with the evaluator, to make sure that you share a common understanding of the proposed project and what responsibilities each party will have for the evaluation.

IMPORTANT! Provide the evaluator with a link to the ATE Program Solicitation (bit.ly/2017ATE) and the ATE Proposal Evaluation Planning Checklist (bit.ly/checklist-evalplan). The latter document includes details about the evaluation-related information needed for the proposal.

6. How much should I budget for the external evaluation?

A prospective evaluator will probably ask you how much your evaluation budget is. A rule of thumb is to dedicate 10 percent of a project's direct costs to evaluation. Among ATE grant recipients, the average is 7 percent.

7. How do I compensate the evaluator for their assistance with the proposal?

Many evaluators are willing to help develop a proposal evaluation plan at no charge with the understanding that they will get the evaluation contract if the proposal is funded. Make this agreement explicit. If you do not get the grant, there will be no financial benefit to them, which is the nature of grant funding. Try to avoid making numerous demands for information and assistance (particularly if it is not specifically about evaluation), given that there is a cost to the evaluator (time) with uncertain benefits.

Whether the proposal is funded or not, share the reviewers' feedback with the evaluator. This will be valuable information for the evaluator's professional development and is a type of compensation in and of itself.

8. The award notification has arrived – what happens next?

If your proposal is accepted, contact the evaluator right away. Begin the contracting process as soon as possible, since it will almost certainly take longer than you expect. Defer to your institution's established contracting process and boilerplate contracts. Work with the evaluator to prepare a statement of work to append to the formal contract. The statement of work should specify the evaluation activities, deliverables, and timeline, elaborating on what was stated in the grant proposal. Once the contract is fully executed, the document will serve as the basis for developing a detailed and actionable evaluation plan.

I am grateful to Sharon Gusky, Mike Rudibaugh, and Brad Watts for their feedback on a draft version of this document.

ATE Annual Survey 2019

What is the ATE Annual Survey?

The ATE Annual Survey is used to collect and report information about the National Science Foundation's Advanced Technological Education (ATE) program. The Evaluation Center at Western Michigan University has been funded by NSF to conduct and report on this survey since 1999.

Why should I fill out the ATE Annual Survey?

The survey results are used by the ATE community and NSF personnel to better understand the program's activities and achievements, gauge progress over time, and assist in both project-level and program-level planning.

When is the ATE Annual Survey conducted?

The 2019 ATE Annual Survey will open in **mid-February** and close at the end of **March**. Prior to the start of the survey, every active ATE PI will receive an email from Lyssa Wilson Becho with an invitation to confirm or update their contact information and identify others who should receive any survey-related communication.

What types of data do I report on the ATE Annual Survey?

Most information asked on the survey is about your project's characteristics or activities. You should be able to respond to these without much difficulty. For example, these questions might ask about your project website, PI demographics, whether you have an evaluator, and what kind of evaluation reports you receive. Other questions ask for data that you should track throughout your grant period. The data collection planning worksheet (see next page) was created to help projects identify these data sources and when to collect this data.

The survey asks about project activities and accomplishments for the previous year. *For the 2019 survey, you will report on what your project did in 2018.*

What can I do now to prepare for the ATE Annual Survey?

If your project works directly with students, you will be asked to report detailed counts of students by education level, gender, race, and ethnicity. Many institutions have an institutional research office that tracks this type of data. It is important to reach out to this office early to tell them you will be requesting this data in early 2019.

Additionally, working with your evaluator at an early stage can help align data collection efforts for the Annual Survey and your evaluation.

Where can I find more information?

More information about the ATE Annual Survey can be found at **evalu-ate.org/annual_survey**.

On that page, you will find previous year's reports and data snapshots, previous year's survey questions, and more in-depth frequently asked questions.

Contact **Lyssa Wilson Becho** at **lyssa.becho@wmich.edu** or (269) 387-5919 with any questions, comments, concerns, or just to say hi.

ATE Annual Survey 2019

Data Collection Planning Worksheet

What types of data should my grant be tracking?

Each project will be asked to report the following information. Some items may not be applicable to your project or you may not have been able to collect appropriate data. In those instances, the survey's directions will specify how to respond (e.g., a zero or non-response). Use the checkboxes below to indicate which data point applies to your project. Then, for each item, identify when the data will be collected and from what source.

		DATA POINTS TO MONITOR	TIMELINE When will this data be collected?	DATA SOURCE Where will this data be collected from?
☐	1	Number of ATE-supported programs offered in 2018, by education-level		
☐	2	Total number of students who were involved in ATE-supported programs, by education-level		
☐	3	Number of students by sex (male, female, or unknown)		
☐	4	Number of students by race (American Indian or Alaska Native, Asian, Black or African American, Native Hawaiian or other Pacific Islander, Multiracial, White, or unknown)		
☐	5	Number of students by ethnicity (Hispanic or Latino/Latino, non-Hispanic or Latino/Latina, or unknown)		
☐	6	Number of students requesting accommodations under the Americans with Disabilities Act		
☐	7	Number of students who are first-generation attending college		
☐	8	Number of students who completed a degree or certificate program		
☐	9	Number of students who obtained employment in STEM area post-program		

		DATA POINTS TO MONITOR	TIMELINE When will this data be collected?	DATA SOURCE Where will this data be collected from?
☐	10	Number of students who participated in any ATE project-supported activity		
☐	11	Number of articulation agreements developed in 2018		
☐	12	Number of articulation agreements in place in 2018		
☐	13	Number of institutions involved in all articulation agreements		
☐	14	Number of students who matriculated in 2018		
☐	15	Number of collaborations with other institutions, business, public agencies, or ATE projects/centers		
☐	16	Dollar value of monetary support received		
☐	17	Dollar value of in-kind support received		
☐	18	Number of instructional modules developed in 2018		
☐	19	Number of instructional activities developed in 2018		
☐	20	Number of courses developed or modified in 2018		
☐	21	Number and type of professional development activities offered and number of participants		
☐	22	Number of other institutions that implemented curriculum created by your ATE project		
☐	23	Number of outreach events to community or potential students and number of participants		

Archiving & You

What is an archive?

An archive is a collection of materials—often comprised of primary source documents—that has been preserved for its enduring value. Archives come in all shapes and sizes, from a small personal archive of cherished family photographs to a large state archive encompassing millions of records. Each archive has a unique purpose and scope. For ATE, the Archive is a virtual space where deliverables and select administrative documents are collected, stored, and made available in digital format. By collecting these materials in a single location, the ATE Central Archive broadens the impact and reach of the ATE community as a whole.

Why should I archive?

No matter how far along you are in meeting the goals of your project or center, dissemination and continued access to the materials you create is vital. During the life of your project or center, ATE Central serves as a distribution channel to the greater ATE and STEM communities; as your project or center sunsets, ATE Central becomes a secure place to store your materials over time. Additionally, by archiving your materials in a single location, your colleagues and fellow grantees can benefit from the easy access that a central archive provides.

Am I required to archive with ATE Central?
If so, what must I archive?

New grantees that apply and are awarded funding under solicitation NSF 14-577 are required to archive their deliverables, as described in their initial grant proposals, with ATE Central. It is important to note that those who receive any new funding (e.g. a center that transitions from regional to national or from national to support center; or a project or center that receives a second round of funding) are also required to archive deliverables created under the new award. While not required, projects or centers funded under earlier RFPs should consider archiving their deliverables to help ensure long-term access. In particular, centers whose funding is scheduled to sunset are encouraged to contact ATE Central to discuss migrating their materials.

Archiving & You

What do I need to know about copyright?

Copyright refers to the legally recognized, exclusive rights that are granted, for a limited time, to the creator of an original work. (To learn more about copyright, please visit *http://copyright.gov*.) These exclusive rights allow the creator to make important decisions as to how the work may be used or distributed; for this reason, we ask that copyright holders visit *http://atecentral.net/archiving* to review NSF's recommended practice for licensing materials created with support from the ATE program.

When should I get started? How do I plan for archiving with ATE Central?

The sooner you prepare to archive with ATE Central, the easier it will be. Ideally, you'll start planning to archive before you create your very first deliverable. If you're already mid-grant or even at the end of your grant, it's not too late! The first step to archiving with ATE Central is to complete our archiving checklist (*http://atecentral.net/archiving*). If you have any questions, please feel free to contact us for help. We'll gladly walk you through the process.

Where can I find more about archiving with ATE Central?

Visit us at *http://atecentral.net/archiving* for a copy of the archiving checklist, submission guidelines, and much more. It's your one-stop-shop for archiving with ATE Central! For questions about archiving with ATE Central, please contact Metadata and Information Specialist, Kendra Bouda, at *kbouda@atecentral.net*.

More Info:	***http://atecentral.net/archiving***
About Copyrights:	***http://copyright.gov***
Creative Commons:	***http://creativecommons.org/licenses***
Contact:	***kbouda@atecentral.net***

ATE CENTRAL http://atecentral.net/

Outreach Quick-Start Guide

You're ready to tell the world what your project or center has to offer. Where do you begin?

1. **Identify your audience.** Focus your efforts on reaching this specific audience.

2. **Craft your pitch.** This should be brief answer to: What is your core mission and why is it important? Use language that anyone can understand and highlight what most excites you about your project or center.

3. **Develop your web presence.** Whether it's a page on your college's website or a simple, free site you set up yourself, being able to point interested people to a URL where they can learn more will extend your audience. Focus on creating a clear, well-designed virtual space, and place your pitch in a prominent position.

4. **Connect your audience and website.** If you can, contact your audience members directly to point them to your site. Make sure you're using industry-specific keywords, and include your URL in all emails and publications. Inform ATE Central so we can point people to your site.

5. **Use social media, like Facebook, to amplify your work.** Create an account for your project or center and let ATE Central know to list it in the Social Media Directory. Post updates on your work and links to related news. Use the Social Media Directory (*https://atecentral.net/index.php?P=SocialMediaDirectory*) to find other projects and centers to follow.

You can find the full outreach kit online: **http://atecentral.net/OutreachKit**. When you want to do larger-scale outreach, the documents there can support your efforts. And as always, please contact **info@atecentral.net** with any questions or suggestions.

To learn more about each of these steps, visit the ATE Central Outreach Kit at
http://atecentral.net/OutreachKit

Outreach: Getting Started

Getting started can be overwhelming, so we've included two short activities that should help you narrow down your identified audience and come up with a short pitch or mission statement that you can use when talking about your project or center.

Identify Your Audience:

1. Who is my primary audience? Be as specific as possible. (For example: *first-year female manufacturing students*.)

2. Other questions that will help you hone in on your audience:

   - Who are my potential collaborators on campus?
   - Which news outlets might be interested in this work?
   - Which professional associations might be interested in the outcomes of this project?
   - Which specific groups could use and benefit from the deliverables of this project or center?
   - Which other ATE centers or projects are engaged in similar work?

Quick Pitch/Mission Statement Template:

1. Start by identifying your audience (see above).

2. What contribution do you make to this audience? Again, the more specific you can be the better. (For example: *we create place based learning modules for first-year female manufacturing students*.)

3. What makes your contribution unique?

4. You may want to use a basic template like this to get started:

   [Project/center name] **is the only** [type of project/center]
   that [contributes what?]
   for [for whom?]
   by [doing what?]