Hello, I'm Jolene Jesse/Paige Smith, a program officer at the National Science Foundation. Welcome to this NSF INCLUDES webinar. We'll be discussing the current NSF INCLUDES Alliance solicitation NSF 18-529.

Please use the Chat box to pose questions as we go along. We will also answer questions at the end of the webinar.

We will send a copy of the slides at the end of this webinar to anyone registered for the webinar. The slides will also be available on the NSF INCLUDES page on the NSF website.

NSF 18-529 asks for proposals for NSF INCLUDES Alliances. Approximately 1 to 3 awards will be made to organizations or consortia of organizations. The purpose of this webinar is to discuss the NSF INCLUDES Alliance solicitation only and will not cover information about the current Dear Colleague Letter NSF 17-111. Also note that the solicitation is not a call for more Design and Development Launch Pilots.

Outline

- What is NSF INCLUDES?
- NSF 18-529 NSF INCLUDES Alliances
- NSF Cooperative Agreements
- Components of an Alliance Proposal
- Merit Review Criteria
- NSF INCLUDES Five Elements and Alliances
- Components of a Proposal: The Rest of It
- Useful Resources
- Questions

2

Here's our agenda for today. We will start by briefly describing what NSF INCLUDES is for those of you who might be new or need a quick refresher. We'll then focus on what we mean by Collaborative Change strategies and the NSF INCLUDES 5 elements of collaborative change.

The discussion will then turn to the NSF INCLUDES Alliance solicitation and what you should include in your proposal. We'll also brief you on NSF cooperative agreements and the NSF Merit Review criteria and additional merit review criteria by which your proposal will be evaluated.

Finally, we list some useful resources for you and take any questions you may have.

Again, if you have questions during the presentation, please feel free to submit them in the Chat box. We are monitoring the Chat box and will answer questions as they come in. We'll also answer some questions live at the end of the presentation.

So what is NSF INCLUDES? NSF INCLUDES is trying to catalyze novel approaches to broadening participation in STEM by incentivizing the building of **collaborative infrastructures** that will bring people and organizations together who might currently be working in isolation. By **collaborative infrastructure** we mean the process by which organizations and institutions come together with a shared goal or vision; map out mutually reinforcing activities; develop goals, objectives and measures to map their progress; engage in constant communication; and advance the potential for expansion and scaling that would not be possible otherwise.

The ultimate goal of NSF INCLUDES is to transform the STEM enterprise at all levels in order to fully engage the nation's talent for the ultimate improvement of the STEM enterprise and the enhancement of US leadership and innovation capacity. NSF INCLUDES is especially interested in broadening participation for those groups traditionally underrepresented in STEM fields; women and girls, persons with disabilities, and people from underrepresented minority groups (African American, Latino, Native American, Native Alaskans, Native Hawaiians, and Pacific Islanders) and **persons from economically disadvantaged backgrounds**.

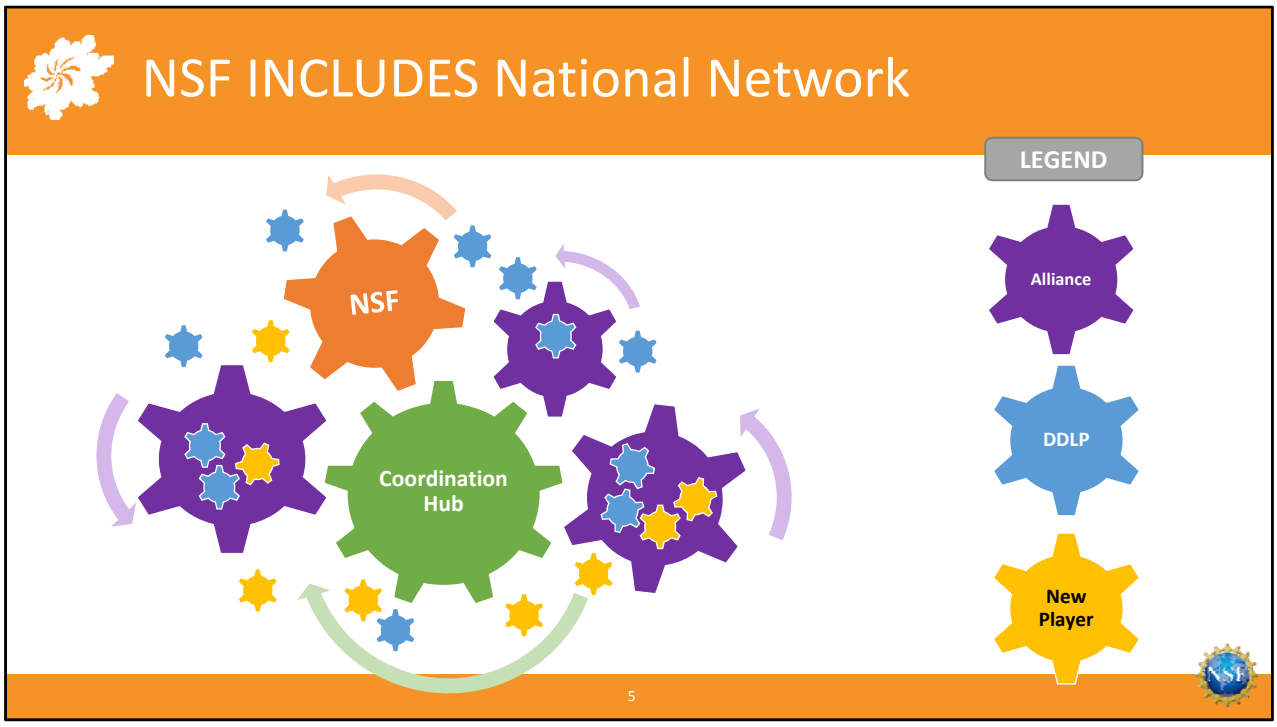
NSF INCLUDES Objectives

Bring together dedicated partners

Find approaches that work

Build a nation where everyone has opportunities in STEM

In general terms NSF INCLUDES seeks to bring together dedicated partners ready to join forces to address a broadening participation problem, support the research needed to find approaches that work, and leverage change so that everyone has the opportunity to be part of the STEM workforce.



Right now, NSF INCLUDES has three essential components:

In FY2016 and FY2017 we offered two opportunities for Design and Development Launch Pilots. These are projects that are meant to lay the foundation for larger scale partnerships by planning and experimenting with collaborative infrastructure building using collaborative change strategies, such as collective impact or networked improvement communities. We ultimately made awards to 70 Design and Development Launch Pilot projects **that are** currently in progress. A list of current DDLPs maybe found on our website: https://www.nsf.gov/news/special_reports/nsfincludes/index.jsp.

Our second component will be the NSF INCLUDES National Network Coordination Hub. This will be the "backbone" or support organization for the entire NSF INCLUDES National Network and will coordinate communication, interoperability, and alignment of activities and help foster the overarching vision and strategy for the program. We released a solicitation in September for the Coordination Hub and proposals were submitted in November. We are hoping to make an award in the next couple of months.

The third component are Alliances. These will build on the activities of launch pilots and add new partners, collaborators and/or networks. The critical functions of each NSF INCLUDES Alliance are to:

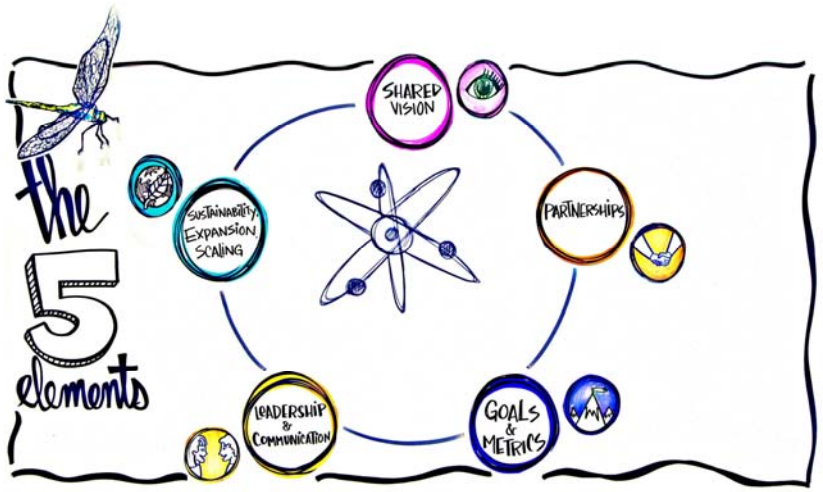
1. Develop a vision and strategy (e.g., problem statement and theory of change) for broadening participation in STEM along with relevant metrics of success and key milestones/goals to be achieved during the project's lifecycle;
2. Contribute to the knowledge base on broadening participation in STEM through broadening participation and implementation research, sharing project evaluations, data, new scientific findings/discoveries, and promising practices;
3. Develop multi-stakeholder partnerships and build infrastructure among them to decrease social distance and achieve progress on common goals targeted by the Alliance;
4. Establish a "backbone" or support organization that provides a framework for communication and networking, network assistance and reinforcement, visibility and expansion of the Alliance and its partners, that will collaborate with the NSF INCLUDES Coordination Hub;
5. Advance a logic model or other heuristic that identifies Alliance outcomes that reflect implementation of change at scale and progress toward developing an inclusive STEM enterprise.

Collectively, the set of NSF INCLUDES Alliances are to:

1. Participate in a network of peer alliances to achieve long-term goals of the NSF INCLUDES program;
2. Collaborate with the NSF INCLUDES Coordination Hub to build critical knowledge that shows measurable progress toward long-term goals; and
3. Work to build on-ramps for other organizations and broadening participation stakeholders to join in and expand the NSF National Network.

What is meant by Collaborative Infrastructure?

NSF INCLUDES Five Elements of Collaborative Infrastructure



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What do we mean by collaborative infrastructure?

NSF INCLUDES National Network infrastructure is designed to foster collaboration by emphasizing the following five characteristics: Vision, Partnerships, Goals and Metrics, Leadership and Communication, and the Potential for Expansion, Impact and Scale.

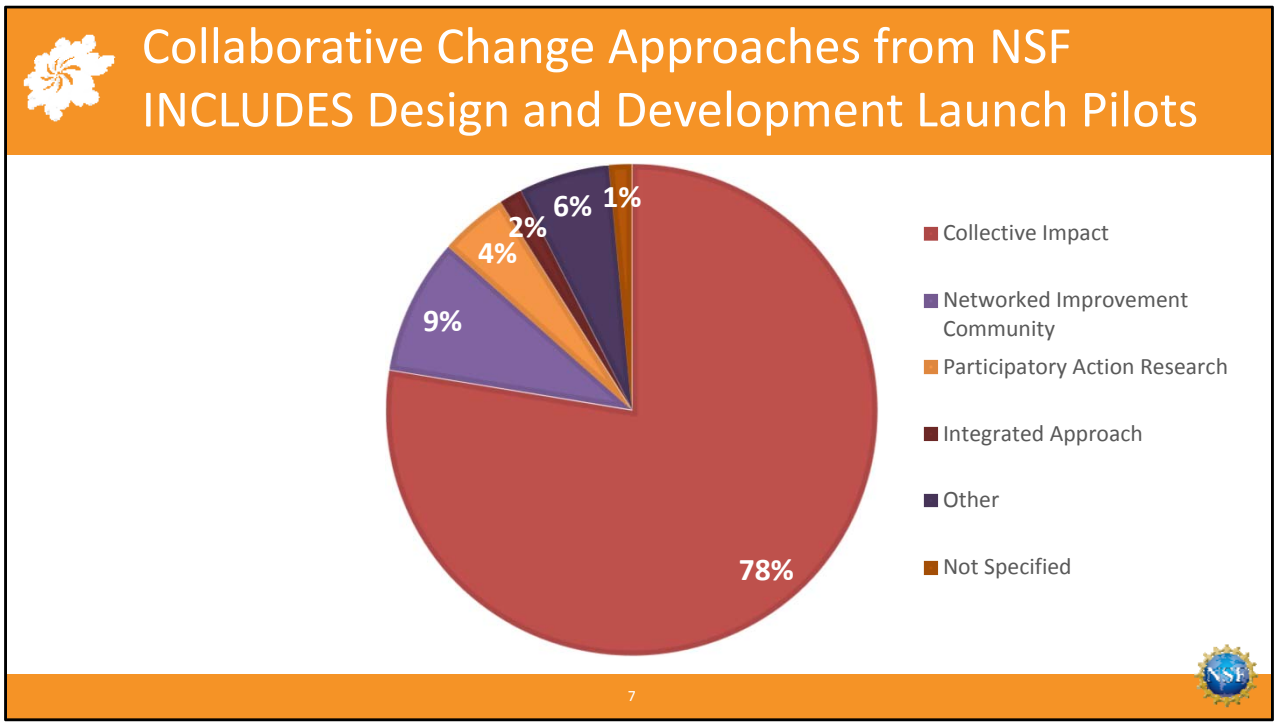
Every NSF INCLUDES project and the NSF INCLUDES National Network engages a broad community in a shared vision of the importance and power of diversity for scientific innovation.

Partnerships and networks are at the heart of the NSF INCLUDES National Network, and through the Coordination Hub, Alliances and the Design and Development Launch Pilots we hope to provide a platform for partnerships and collaborative action.

Partnerships and networks will run on shared goals and metrics that allow for robust data that facilitate evidence-based decision making.

NSF INCLUDES is also designed to build capacity for leadership among organizations and individuals to create opportunities in STEM education and careers.

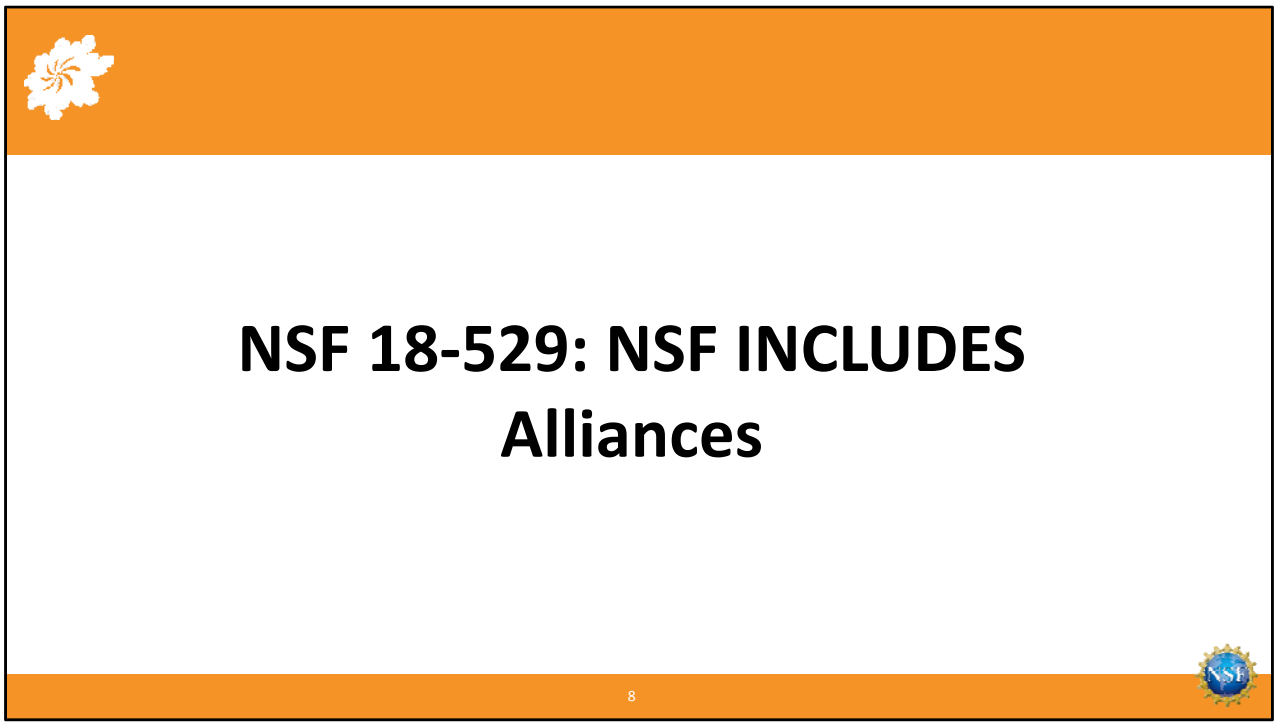
Finally, collaborative infrastructure should lead to more partners joining the movement, more connections being made, and a chance for collaborative change to lead to change on a broad scale.



Extremely important for NSF INCLUDES is the grounding of **all** projects in collaborative change strategies. These are frameworks being used to tackle deeply entrenched, complex problems, like broadening participation in STEM. Such strategies are designed to make collaboration work across government, business, philanthropy, non-profit organizations and citizens to achieve significant and lasting change.

When we analyzed our 70 DD Launch Pilot awards, we found that approximately 78 percent of them suggest they are using the Collective Impact framework. However, we also have Launch Pilots using Networked Improvement Communities, Participatory Action Research, and other Integrated Approaches.

The three most commonly discussed collaborative change strategies include Collective Impact, Networked Improvement Communities, and Research + Practice Partnerships. Each of these has a prominent presence on the internet, and we encourage you to **read** up on these various strategies to see which one most closely aligns with your Alliance idea.



Let's move now to the Solicitation, NSF 18-529, NSF INCLUDES Alliances

With this solicitation, NSF is opening up an opportunity for Design and Development Launch Pilots to build upon their achievements and propose an NSF INCLUDES Alliance that has the potential to substantially broaden participation in STEM fields.

NSF envisions that each Alliance will build on lessons learned, promising practices, and evidence-based mechanisms from the Design and Development Launch Pilots; the science of broadening participation literature; and the research and evaluations from past and present efforts related to broadening participation in STEM.

Alliances will bring together programs, people, organizations, technologies, and institutions to achieve results at scale, provide new research, and leverage NSF's broadening participation investments.

The Alliances will be committed to working collectively to achieve common goals through a well-defined set of common objectives and shared metrics. And finally, Alliances will take the collaborative change strategies started through the Design and Development Launch Pilots and employ them at a much larger scale.

Eligibility and Submission Limits

- Every Alliance proposal must build upon a foundation developed by one or more NSF INCLUDES Design and Development Launch Pilots.
- Similar broadening participation goals
- Similar collaborative change strategies
- This doesn't mean it has to be the *same*; we expect changes that come with experience and for adaptation of practices across more than one launch pilot.

9

We start with eligibility information because this solicitation has some very important restrictions on who may apply.

All NSF INCLUDES Alliance proposals must be built upon a foundation developed by one or more NSF INCLUDES Design and Development Launch Pilot project(s). The integration of the Design and Development Launch Pilot's broadening participation goals and collaborative change strategies must be clearly evident in the Alliance proposal. Partnerships based on more than one Launch Pilot are especially encouraged.

In other words, the proposal must have similar broadening participation goals and similar collaborative change strategies **to a Design and Development Launch Pilot**. These **goals and strategies** don't have to be exactly the same as the original launch pilot goals. We expect **there will be** changes based on the launch pilot experiences **over the** the last year and half as well as adaptation of practices as launch pilots come together to collaborate. This should be explained in your proposal.

Eligibility and Submission Limits (cont.)

- At least one PI or Co-PI from an NSF INCLUDES Design and Development Launch Pilot must be a PI/Co-PI on the Alliance proposal.
- The choice of lead institution or PI should be fully explained in the proposal.
- Design and Development Launch Pilots may be the lead institution on only one Alliance proposal.
- One Alliance proposal submission allowed representing a group of two or more Launch Pilots.

10

Additionally, NSF INCLUDES Proposals must have:

- At least one Principal Investigator or Co-Principal Investigator from an NSF INCLUDES Design and Development Launch Pilot must be included as a PI/Co-PI on the Alliance proposal.
- While the NSF INCLUDES Design and Development Launch Pilot PI's organization does not have to be the lead organization for the Alliance proposal, nor does the individual have to be the lead PI, the choice of lead institution or PI should be fully explained in the proposal.
- Design and Development Launch Pilots may be a part of more than one Alliance proposal. However, they may be the lead institution on only one Alliance proposal.
- In instances where a group of two or more of the same Design and Development Launch Pilots come together to submit an Alliance proposal, they are limited to one Alliance proposal submission representing that group.

Eligibility and Submission Limits (cont.)

Limit on Number of Proposals per Organization:

- An organization may serve as the lead institution on **only one** Alliance proposal.
- Organizations that serve as the lead institution on an Alliance proposal may still participate in other Alliance proposals as a collaborating institution.

11

There is also a limit on the number of proposals an organization can submit as a LEAD organization.

- An organization may serve as the lead institution on only one Alliance proposal.
- Organizations that serve as the lead institution on an Alliance proposal may still participate in other Alliance proposals as a collaborating institution.
- In the event that an organization exceeds the limit of one proposal as lead, proposals received within the limit will be accepted based on earliest date and time of proposal submission. No exceptions will be made.

Eligibility and Submission Limits (cont.)

Limit on Number of Proposals per PI or Co-PI:

- An individual may serve as a PI or Co-PI on **only two (2)** NSF INCLUDES Alliance proposals.
- Proposals that exceed the PI or Co-PI limit will be returned without review.

12

We have also limited the number of proposals an individual may serve on as a PI or Co-PI.

- An individual may serve as a PI or Co-PI on only two (2) NSF INCLUDES Alliance proposals.
- Proposals that exceed the PI or Co-PI limit will be returned without review.
- In the event that an individual exceeds this limit, proposals received within the limit will be accepted based on earliest date and time of proposal submission. **No exceptions will be made.**

Due Dates, Budget and Title

Solicitation: NSF 18-529

- Deadline for proposals: **April 4th, 2018 and April 2nd, 2019**
- Estimated Number of Awards: 1-3 Alliances
- Collaboration is expected
- Budget: between $1 million and $2.5 million per year for 5 years.
- Grant Administration: Cooperative Agreement.
- **Title of Proposed Project:** should begin with the prefix "NSF INCLUDES Alliance:"

13

The deadline for proposals is April 4th, 2018 and April 2nd, 2019 at 5pm local time.

NSF will be making only 1 to 3 Alliance awards. Collaboration is expected, so we are anticipating that all proposals will be collaborative proposals, either with subawards or with the same proposal submitted by multiple organizations with separate budgets. Descriptions of the different types of collaborative proposals is available in our Proposal and Award Policy and Procedures Guide (PAPPG NSF 18-1).

Budgets may range **from** $1 million to $2.5 million per year for 5 years. Awards are thus a minimum of $5 million and a maximum of $12.5 million total over the five years. Our usual caveat must be added here; this is pending availability of funds.

The award will be made as a Cooperative Agreement, and we will discuss cooperative agreements shortly.

Finally, we ask that all Alliance proposals start the title of their proposals with the prefix "NSF INCLUDES Alliance:".

NSF Cooperative Agreements

NSF will make Alliance awards as cooperative agreements.

Cooperative Agreements

- A COOPERATIVE AGREEMENT means a legal instrument of financial assistance between NSF and an awardee that:
- (1) Is used to enter into a relationship the principal purpose of which is to transfer anything of value from NSF to the recipient to carry out a public purpose authorized by a law of the United States (see 31 U.S.C. 6101(3));
- (2) Is distinguished from a grant in that it provides for substantial involvement between NSF and the recipient in carrying out the activity contemplated by the NSF award.

15

Cooperative agreements are very much like the grants NSF normally makes with added involvement between NSF and the recipient of the cooperative agreement in the carrying out of the award activities.

Cooperative Agreements

- Cooperative agreements will be used by NSF when the accomplishment of the project objectives requires substantial ongoing Foundation involvement during the project performance period.
- Substantial agency involvement may be necessary when an activity is technically and/or managerially complex and would require extensive or close coordination between NSF and the awardee.

16

We use cooperative agreements when we would like to work closely on an activity and when activities are very complex and require coordination between NSF and the awardee. This is indeed the case with the Alliances. Complexity is **built** into NSF INCLUDES with multiple partnerships and efforts to keep track of. We expect to be involved with this complexity and to coordinate among all the different actors.

Cooperative Agreements

- Under a cooperative agreement, the awardee has primary responsibility for the conduct of the project.
- While NSF will monitor the cooperative agreement in accordance with the terms and conditions of the award, the Foundation will not assume overall control of a project or unilaterally change or direct the project activities.
- The cooperative agreement will specify the extent to which NSF will advise, review, approve or otherwise be involved with project activities, as well as NSF's right to require more clearly defined deliverables.

17

That being said, grantees are still the main player in the award, and NSF will not take on direct activities or change the entire project direction. There may be more requirements in terms of reporting and we would like to provide advice and approval on some things. This will be spelled out in the Cooperative Agreement negotiated and codified in writing at the time of award.

COMPONENTS OF An Alliance PROPOSAL

NSF 18-529

18

So now we turn to the components of an **Alliance** proposal as described in NSF 18-529.

Project Summary

- **Project Summary (1 page):**
  - Address separately the Intellectual Merit and the Broader Impacts.
  - Write in the third person and be informative to those working in the same or related fields, and understandable to a scientifically or technically literate reader.
  - **Do not submit the Project Summary as a supplementary document unless first securing permission from the NSF INCLUDES program officer. Proposals that include Project Summaries in the Supplementary Document Section without program officer permission will be returned without review.**

19

The project summary for Alliance proposals is exactly the same as the project summary for any NSF proposal.

The project summary has separate boxes for an Overview, the Intellectual Merit and the Broader Impacts.

It should be written in the 3rd person and for an educated audience. Think of it as the first draft of the award abstract should your proposal be recommended.

Do not put the project summary in the supplementary documents section!! Otherwise it will be RWR.

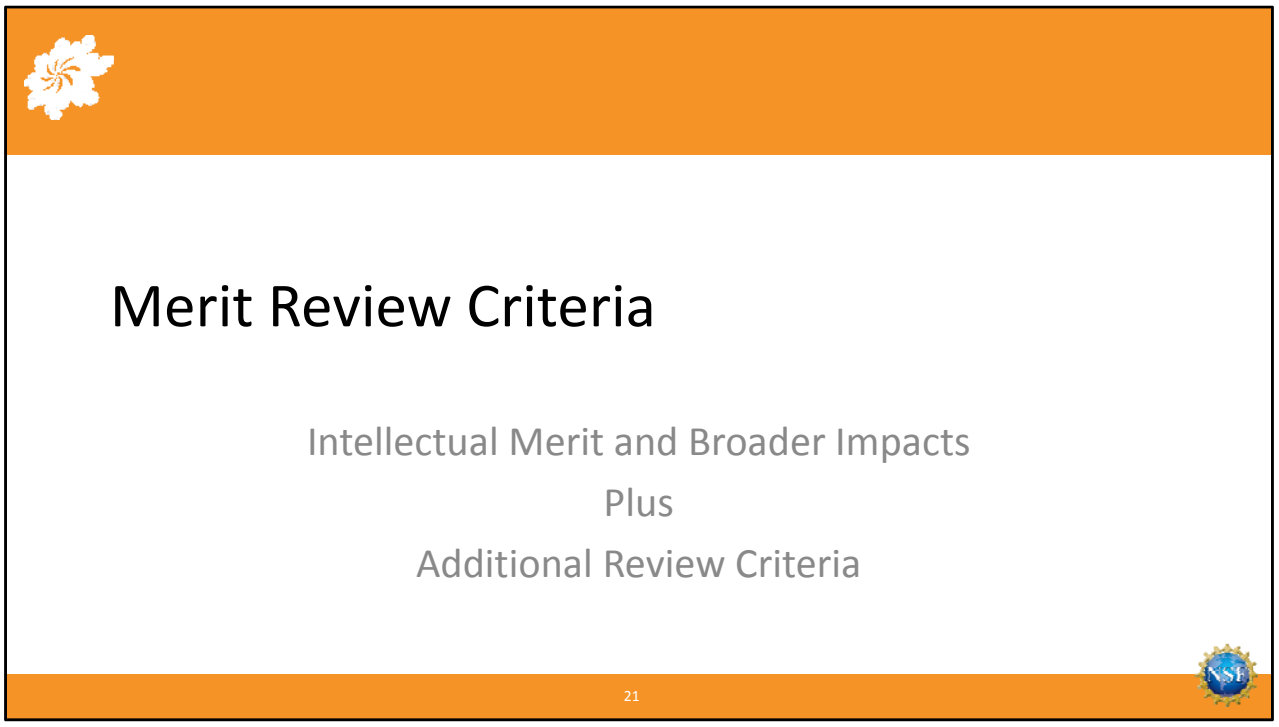
Project Description

- **Project Description:**
  - Maximum of **20 pages** and must contain as separate sections labeled "Intellectual Merit" and "Broader Impacts".
  - Don't forget to discuss any prior NSF support, especially Launch Pilot outcomes!
  - You'll want to discuss:
    1. Objectives and significance of the proposed activity
    2. The suitability of the methods to be used
    3. The qualifications of the investigators and the participating organizations
    4. The effect of the effort on collaborative infrastructure for broadening participation
    5. The amount of funding required

20

The Project Description is the heart of the proposal.

- You have 20 pages and we really hope that you use all of them. We've given you five extra pages because this is a large and complicated undertaking.
- The project description should provide a clear statement of the work to be undertaken and must include the objectives for the period of the proposed work and expected significance. It should also have separate sections labeled "Intellectual Merit" and "Broader Impacts."
- Don't forget to discuss any prior NSF support for the senior personnel and, if applicable, the lead organizations.
- Proposals should discuss:
  - Objectives and significance of the proposed activity
  - The suitability of the methods to be used
  - The qualifications of the investigators and the participating organizations
  - The effect of the effort on collaborative infrastructure for broadening participation
  - The amount of funding required.



NSF proposals are always reviewed by two Merit Review Criteria. We'll briefly discuss those. In addition, Alliance proposals will be reviewed under five additional review criteria: Vision, Partnerships, Goals and Metrics, Leadership and Communication, and Expansion, Sustainability and Scale.

Merit Review Criteria

All NSF proposals are evaluated through two merit review criteria:

- Intellectual Merit – the potential to advance the knowledge
- Broader Impacts – the potential to benefit society and contribute to the achievements of specific, desired societal outcomes

22

First let's address the two NSF review criteria:

- Intellectual Merit, speaks to the potential of the project to generate knowledge.
- Broader Impacts, speaks to the potential to benefit society.

Merit Review Elements

The following **five elements** are considered in the review of both intellectual merit and broader impacts.

1. What is the potential for the proposed activity to
   a. Advance knowledge and understanding within its own field or across different fields (Intellectual Merit); and
   b. Benefit society or advance desired societal outcomes (Broader Impacts)?
2. To what extent do the proposed activities suggest and explore creative, original, or potentially transformative concepts?

23

Reviewers consider the Intellectual Merit and the Broader Impacts of all proposals based on five elements. These are:

1. The potential for the proposed activity to Advance knowledge (Intellectual Merit) or Benefit Society (Broader Impacts). This is the only element that is split between the two review criteria. All other elements are considered for both Intellectual Merit and Broader Impacts.
2. Does the proposal have potentially transformative concepts? Both the Intellectual Merit and the Broader Impacts will be judged for being potentially transformative, creative, and/or original.

Merit Review Elements

3. Is the plan for carrying out the proposed activities well-reasoned, well-organized, and based on a sound rationale? Does the plan incorporate a mechanism to assess success?
4. How well qualified is the individual, team, or organization to conduct the potential activities?
5. Are there adequate resources available to the PI (either at the home organization or through collaborations) to carry out the proposed activities?

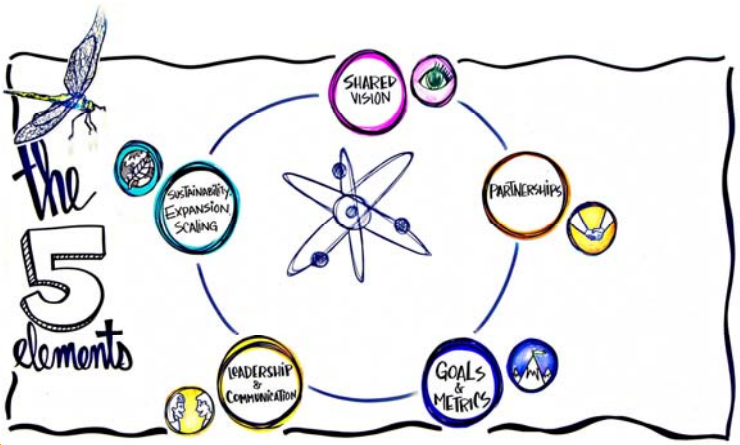
24

3. Is the plan to carry out activities well-reasoned, organized, and is there a plan to assess success (i.e., an evaluation plan).
4. How qualified is the team?
5. Are there adequate resources (human, social, fiscal and physical capital) to do the work?

Again, elements 2 through 5 pertain to both the Intellectual Merit and the Broader Impacts.

NSF 17-591 Additional Review Criteria

- Additional Review Criteria



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- As suggested earlier, the NSF INCLUDES Alliance solicitation also has additional review criteria around the NSF INCLUDES 5 elements: Vision, Partnerships, Goals and Metrics, Leadership and Communication, and potential for expansion, sustainability and scale.

NSF INCLUDES Five Elements and the Alliances

Mapping the Five Elements and the Alliance Functions

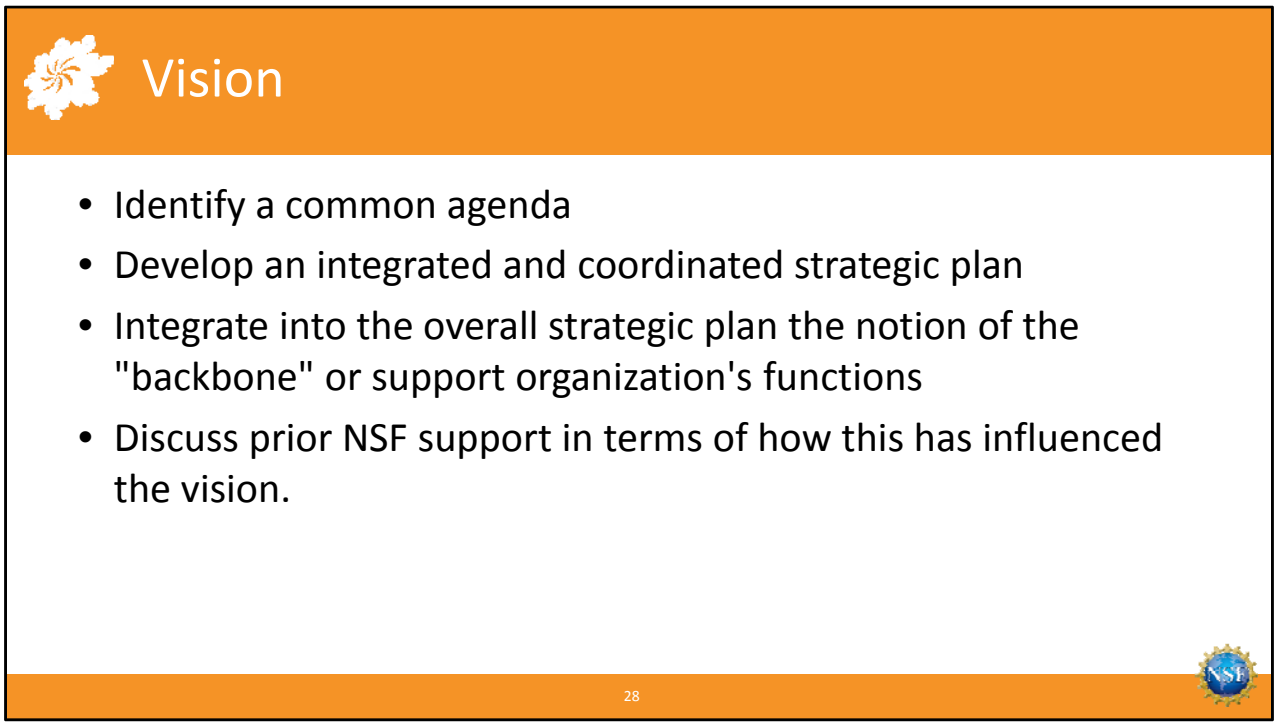
We will now try to cross-map for you the NSF INCLUDES Five Additional Review Criteria/Elements and the Alliance Functions.

Vision

27

Here are the Vision Questions as posed in the solicitation:

- What broadening participation challenge(s) will be addressed and what is the broader vision of the Alliance for effecting change?
- What innovative strategies will be used by the Alliance partnership?
- What strategies will build upon the previous expertise and efforts of the Alliance partners?
- How will the NSF INCLUDES Alliance provide support to the various broadening participation challenges addressed by the partners in the Alliance through a "backbone" or support organization?



Now consider the additional details we give you in the solicitation to address Vision

- Identify a common agenda that reflects a collective understanding of the broadening participation challenge and links to existing research, promising practices and/or to the previous and ongoing activities of Alliance partners.
- Develop an integrated and coordinated strategic plan to **support the Alliance to** address the broadening participation challenges, including technical **infrastructure to facilitate** collaborative **activities. Specify what those activities might be and suggest targeted outcomes for the Alliance.**
- Integrate into the overall strategic plan the notion of the "backbone" or support organization's functions as a separate, objective organization that will facilitate the collaboration, communication and data collection among the Alliance partners.

And discuss your prior NSF support in terms of how this has influenced your vision, if applicable.

Additional Review Criteria for Vision

What reviewers will consider:

- Is the vision for the NSF INCLUDES Alliance sufficiently compelling, ambitious and comprehensive to justify the resources requested?

29

So we will prompt reviewers to consider the following:

Is the vision compelling, ambitious, and comprehensive?

Keep this in mind as you prepare your activities and budget.

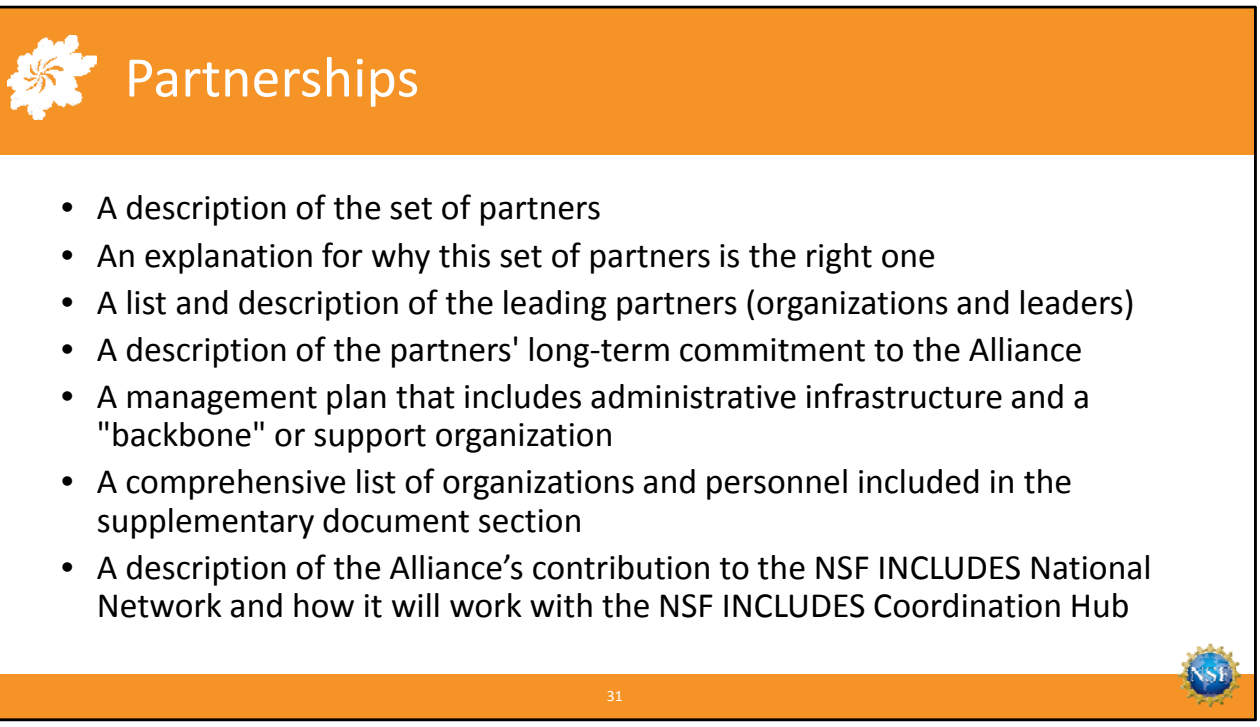
Partnerships

30

Here are the partnership questions posed in the solicitation:

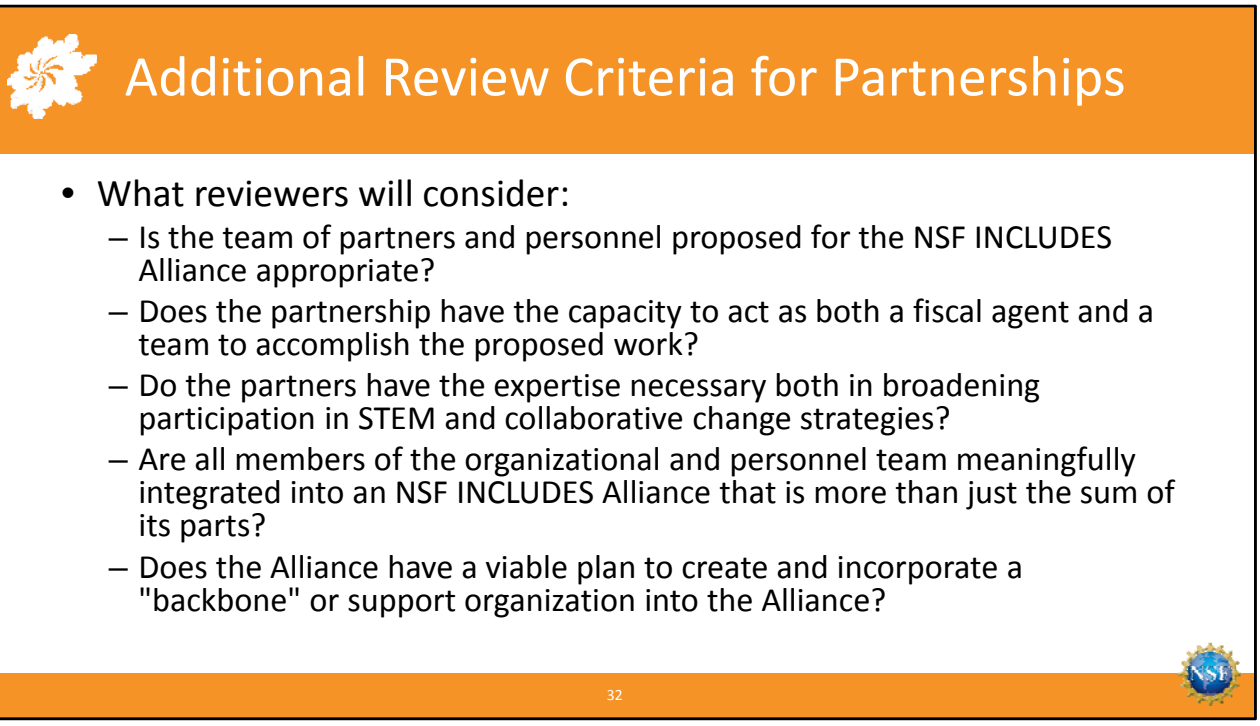
- Which institutions are the proposed partners in the NSF INCLUDES Alliance and what is the evidence that the partnership will be able to use collaborative change frameworks (such as collective impact or networked improvement communities) to achieve the broadening participation goals of the Alliance?
- What expertise do the Alliance partners bring to the effort?
- How will the Alliance incorporate the work of a "backbone" or support organization to support the Alliance and the partners in their work?

- You'll want to talk about who is going to work with you, who are your partners and what they bring to the **Alliance**.
- You'll want to answer questions about the expertise the partnering organizations bring to this effort and how you will leverage these assets for change.
- NSF INCLUDES is based on a partnership and network model. It's putting partnerships to work. **So, you will want to answer the question:** How will the Alliance manage the partnerships and collaborative effort through the use of a support organization?



You will want to include in your proposal:

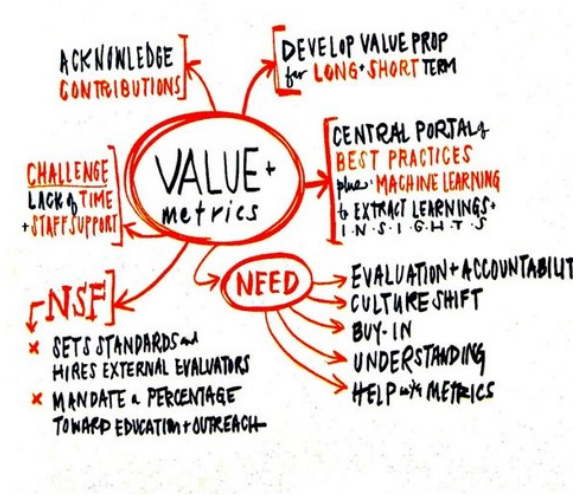
- **A description of the set of partners that** will participate in the Alliance; teams might come together locally, regionally, nationally, by disciplinary focus, or by other multisector categories. Explain why this set of partners is the right set to undertake the collaborative activities and work together to effect the vision you **describe for your Alliance**.
- Identify the leading partners (organizations and leaders) who have the demonstrated capacity and vision to develop, manage, and lead the Alliance.
- Describe these partners' long-term commitment to the Alliance, including the commitment of organizational leaders.
- Present a management plan that includes the administrative infrastructure for the NSF INCLUDES Alliance, including the "backbone" or support organization that will help coordinate activities.
- A comprehensive list of organizations and personnel **along with** a description of each organization's and staff position's roles and responsibilities should be included in the supplementary document section.
- Describe how the Alliance will contribute to the success of the NSF INCLUDES National Network and work with the NSF INCLUDES Coordination Hub (once in place).



Here's what we will ask the reviewers to consider:

- Is the team appropriate?
- Does the partnership have the capacity to act as both a fiscal agent and as a team to do the work?
- Do the partners have the expertise?
- Are all members of the team meaningfully integrated to create a viable working organization?
- Is there a viable support organization and plan to use that **support organization**?

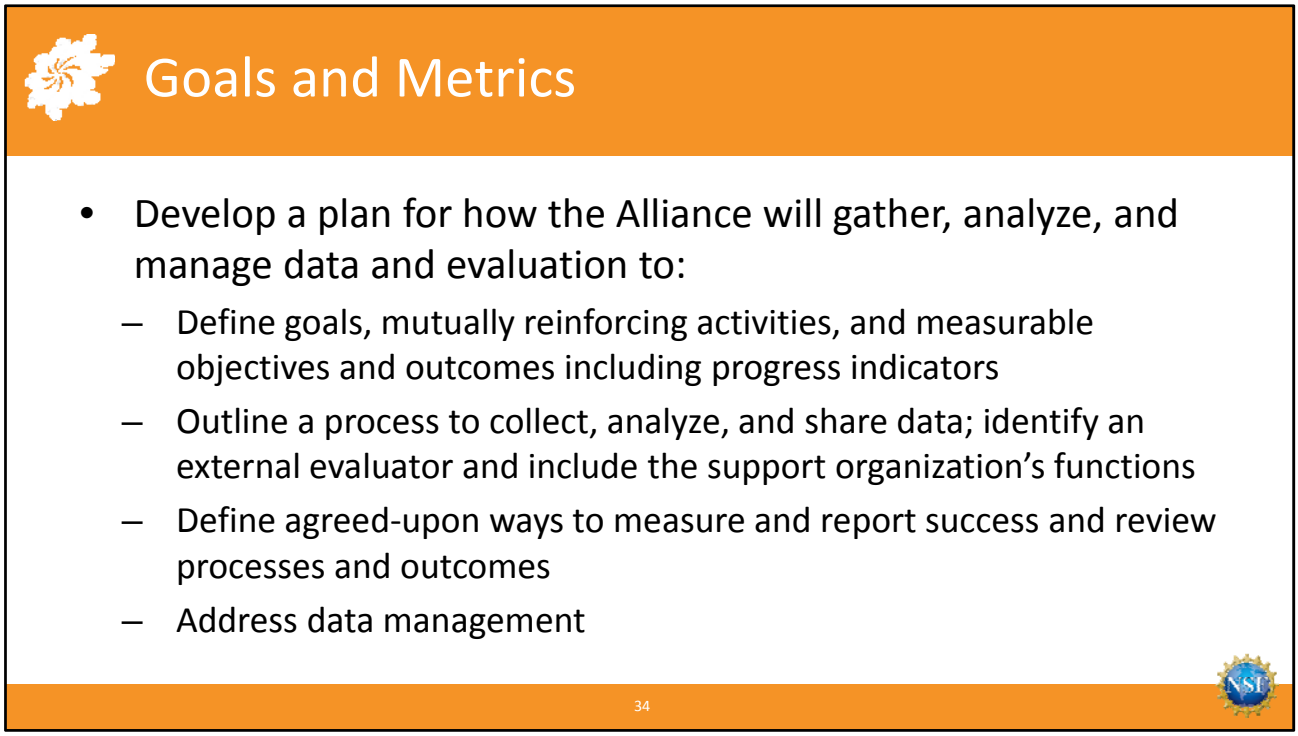
Goals and Metrics



33

Goals and Metrics are critical to the success of the NSF INCLUDES National Network. You will want to address the following questions:

- What is the strategic plan for accomplishing the work of the NSF INCLUDES Alliance and to address the broadening participation challenge(s) identified, including goals and measurable objectives?
- How will progress be documented for the diverse groups of activities and partners described?
- What types of data will be collected and how will data be used?
- How will successfully addressing these objectives position the NSF INCLUDES Alliance for expansion, sustainability and scale?
- What role will the "backbone" or support organization play in collecting and coordinating data on outcomes from the partner institutions?



This is what you'll want to elaborate on:

- Define the Alliance's goals, mutually reinforcing activities, and measurable objectives and outcomes including progress indicators.
- Describe agreed-upon ways to measure and report progress, including the designation of an external evaluator and the involvement of the "backbone" or support organization.
- Describe what success looks like and evidence for its accomplishment.
- Detail an evaluation plan including benchmarks, indicators, logic models, road-maps, or other evaluative methods to document progress toward goals, objectives, and outcomes defined in the proposal for the Alliance as a whole, as well as for each of the partners. The evaluation plan should focus on the evidence needed to improve the work of the Alliance in real time. In addition, it should describe metrics and feedback mechanisms for formative processes and outcome assessments of the collaborative change strategies and broadening participation goals of the NSF INCLUDES Alliance as a part of the overall NSF INCLUDES National Network.
- Outline a process to develop appropriate ways to collect and analyze data from multiple sites and multiple projects including the use of technology and the "backbone" or support organization for data and information sharing.
- Proposals should address the complex data collection, data management, and data sharing necessary to build, **grow, and scale the Alliance**

Additional Review Criteria for Goals and Metrics

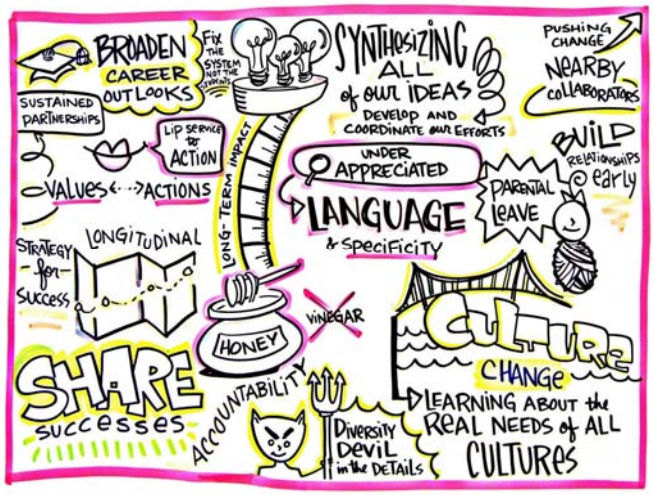
- What Reviewers will consider:
  - Is the strategic plan for shaping a common agenda and shared measurement systems appropriate and convincing?
  - Does the proposal include a robust evaluation plan appropriate for informing program management and establishing the NSF INCLUDES Alliance's outcomes and/or impacts?
  - Will the Alliance effectively use a "backbone" or support organization to coordinate shared goals and metrics?
  - Does the Alliance have a plan for integrating data with the NSF INCLUDES National Network through the NSF INCLUDES Coordination Hub?

35

Here's what the reviewers will consider under Goals and Metrics:

- Is the strategic plan for shaping a common agenda and shared measurement systems appropriate and convincing?
- Does the proposal include a robust evaluation plan appropriate for informing program management and establishing the NSF INCLUDES Alliance's outcomes and/or impacts?
- Will the Alliance effectively use a "backbone" or support organization to coordinate shared goals and metrics? Does the Alliance have a plan for integrating data with the NSF INCLUDES National Network through the NSF INCLUDES Coordination Hub?

Leadership and Communication



36

Moving to Leadership and Communication, here's the questions you should be answering.

- How will the Alliance build capacity for leadership within and among all partnering organizations? How will the Alliance provide for collective leadership among the partnering organizations?
- How will project activities and outcomes be broadly shared with the communities of interest?
- What role will the "backbone" or support organization play in these efforts?

More than any other element, leadership and communication is particularly important and is what distinguishes NSF INCLUDES from any other program for broadening participation. It is the potential for shared leadership and the building of capacity for leadership and communication across the entire Alliance that provides the glue that will give collaborative infrastructure it's ability to function as more than just a collection of organizations.

Important for your discussion of Leadership and Communication would be:

- Outline a strategy for engaging Alliance partners in collaborative change management.
- Describe the NSF INCLUDES Alliance partners and the "backbone" or support organization's expertise in collaborative change and broadening participation in STEM.
- Explain how the Alliance will leverage the "backbone" or support organization and technology to facilitate connectivity among the partners.
- Describe a strategy for engaging organizations in a larger network including a strategy to promote leadership development across the Alliance partners.
- Include a plan to incorporate rigorous and innovative research studies into Alliance activities that contribute to the knowledge base about broadening participation in STEM. This research may be based in the methods and theories from the science of broadening participation and include the social, behavioral, learning, economic, or data sciences.
- Outline a plan for providing new and creative ways to communicate the Alliance's progress, activities, and achievements and how results will be shared with research communities. This plan should include sharing Alliance research, evaluation, and knowledge synthesis with the NSF INCLUDES National Network, the NSF INCLUDES Coordination Hub, and other interested stakeholders.

Additional Review Criteria for Leadership and Communication

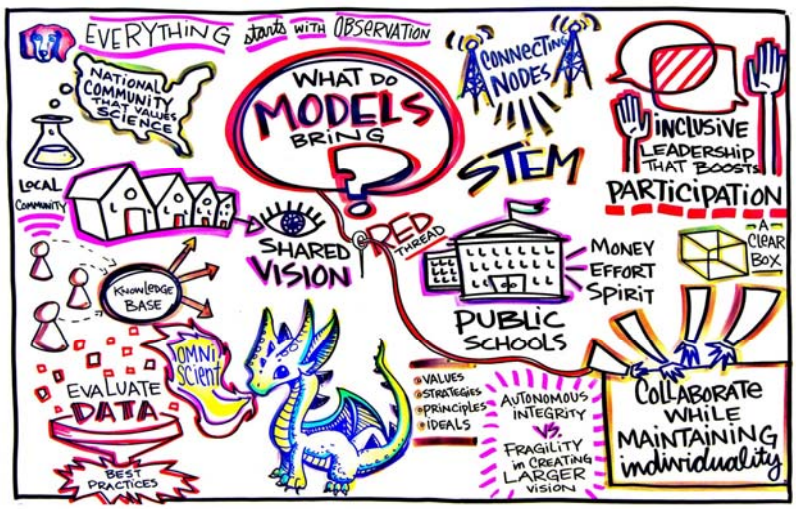
- Reviewers will consider:
  - Does the proposal include a promising plan to promote the development of leadership for the Alliance and within each Alliance partner?
  - Does it incorporate rigorous and innovative research studies into Alliance activities that contribute to the knowledge base about broadening participation in STEM?
  - Is there a credible communication strategy to share knowledge and promising practices both across the Alliance and with the NSF INCLUDES National Network and Coordination Hub?
  - Does the leadership and communication plan effectively use the "backbone" or support organization?

38

The reviewers will be considering:

- Does the proposal include a promising plan to promote the development of leadership for the Alliance and within each Alliance partner?
- Does it incorporate rigorous and innovative research studies into Alliance activities that contribute to the knowledge base about broadening participation in STEM?
- Is there a credible communication strategy to share knowledge and promising practices both across the Alliance and with the NSF INCLUDES National Network and Coordination Hub?
- Does the leadership and communication plan effectively use the "backbone" or support organization?

Potential for Expansion, Sustainability and Scale



39

Finally, we come to our last NSF INCLUDES element: the Potential for Expansion, Sustainability and Scale. **The questions you should address here include:**

- How will the Alliance's activities contribute to next steps for a research agenda and development plan to expand the Alliance's network of organizations and activities?
- What strategies will be used to support sustainability of the Alliance and the scaling of promising practices?
- What will be the overall contribution to broadening participation in the nation's scientific workforce?
- How will the "backbone" or support organization facilitate these efforts and how will sustainability include long-term engagement of the "backbone" or support organization?

Potential for Expansion, Impact and Scale

- Describe a strategy for building and managing an ecosystem for sustainable change including communicating discoveries and generating enthusiasm.
- Outline a plan for advancing the expansion and scale.
- Chart a vision for flexibility across the Alliance using the support organization to respond to changes over time.

40

Your proposal should:

- Describe a strategy for building and managing an **interconnected network** for sustainable change across the Alliance including communicating the discoveries of and generating enthusiasm for the broadening participation challenge.
- Outline a plan for advancing the expansion and scale of the Alliance by connecting expertise from multiple sectors and other private and public funders.
- Chart a vision for flexibility across the Alliance and the "backbone" or support organization to respond to changes over time as the program evolves and new partners join over time with different levels of experience in collaborative change strategies and broadening participation in STEM.

- Reviewers will consider:
  - Does the proposal have a promising plan to support the expansion of the Alliance, provide for long-term sustainability and impact, and manage Alliance scaling?
  - Does the sustainability plan include provisions to maintain the "backbone" or support organization over time?

41

- Reviewers will consider:
  - Does the proposal have a promising plan to support the expansion of the Alliance, provide for long-term sustainability and impact, and manage Alliance scaling?
  - Does the sustainability plan include provisions to maintain the "backbone" or support organization over time?

COMPONENTS OF A PROPOSAL

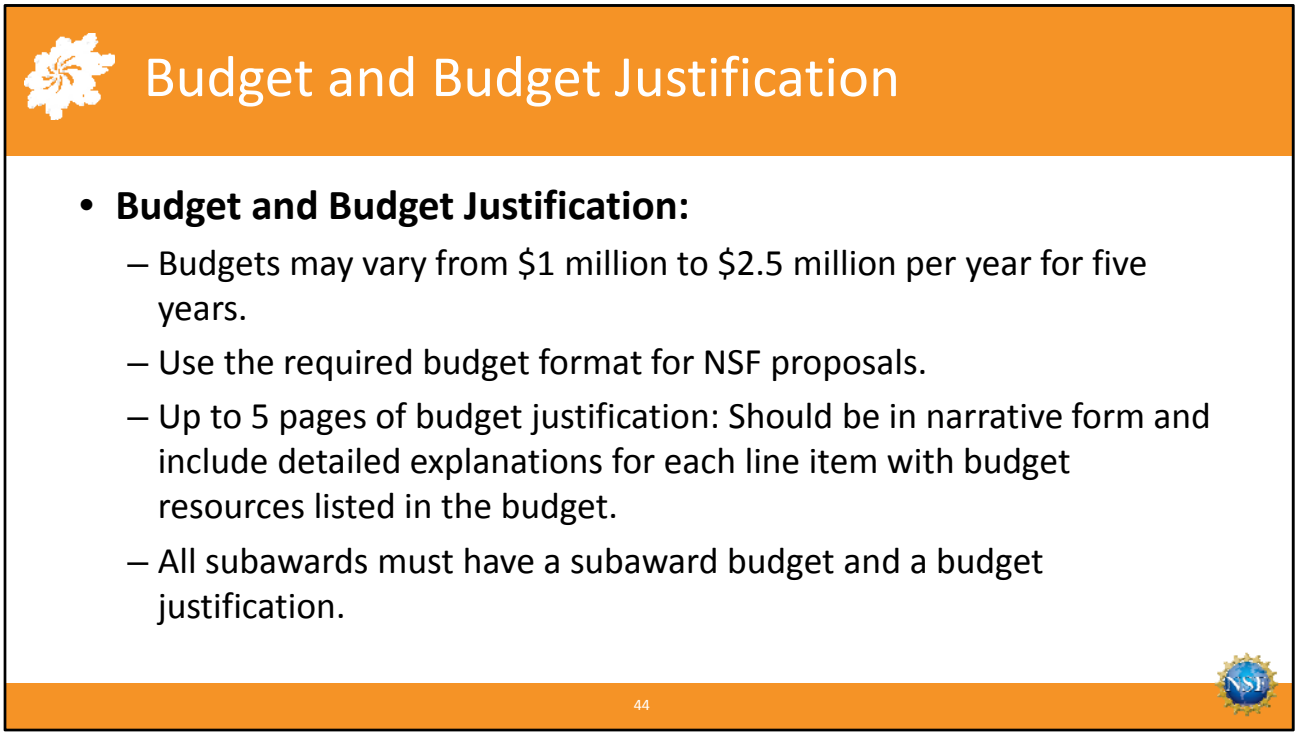
The Rest of It

We move now to the rest of the proposal.

References and Biosketches

- **References Cited:**
  - All references cited in the Project Summary and Project Description should be listed in this section.
- **Biosketches:**
  - Required for PI, Co-PI(s) and senior project personnel.
  - Must follow guidelines of the PAPPG and can not exceed 2 pages.

- We ask that all references are cited in this separate section.
- The guidelines for the biosketches are in the Proposals & Award Policies & Procedures Guide (PAPPG)



- Budgets may vary from $1 million to $2.5 million per year for five years; so from $5 million to $12.5 million over all. The size and scope of your project should dictate the overall budget size. Keep in mind that all budgets are negotiable.
- Use the required budget format for NSF proposals.
- **The** budget justification should be in narrative form and include detailed explanations for each line item with budget resources listed in the budget. **You have up to 5 pages for the justification.** Do not simply submit a spreadsheet. With each line of funding explain what you will do and provide the details.
- All subawards must have a subaward budget and a budget justification **of up to 5 pages**.

Facilities, Equipment and Other Resources And Collaborators

- **Facilities, Equipment and Other Resources:**
  - List of current facilities and equipment to be used in the implementation of the project activities.
  - In this section, institutions may list other partnering organizations that are not receiving substantial funds in the project budget but will be contributing to project activities.
- **Collaborators and Other Affiliations Information:**
  - Separate document for each senior personnel.

45

Facilities, Equipment and Other Resources:

- Provide a list of current facilities and equipment to be used in the implementation of the project activities.
- In this section, **this is where you** may list other partnering organizations that are not receiving substantial funds in the project budget but that will be contributing to project activities.

Collaborators and other affiliations information:

- This section is confusing for NSF INCLUDES proposers. This is not a list of collaborating organizations. This section used to be part of the Biosketch for each PI and Senior Personnel. So in this section you will list separately for all PIs and Senior Personnel their collaborators and other affiliations so that we can mitigate conflicts of interest in the review process. Collaborators include anyone you've been **on a grant with or anyone you've published with in the past 48 months, or edited a volume with in the last 24 months, or any organization from which you have received funds in the last year**.
- This does not count towards the page limit.

Supplementary Documents

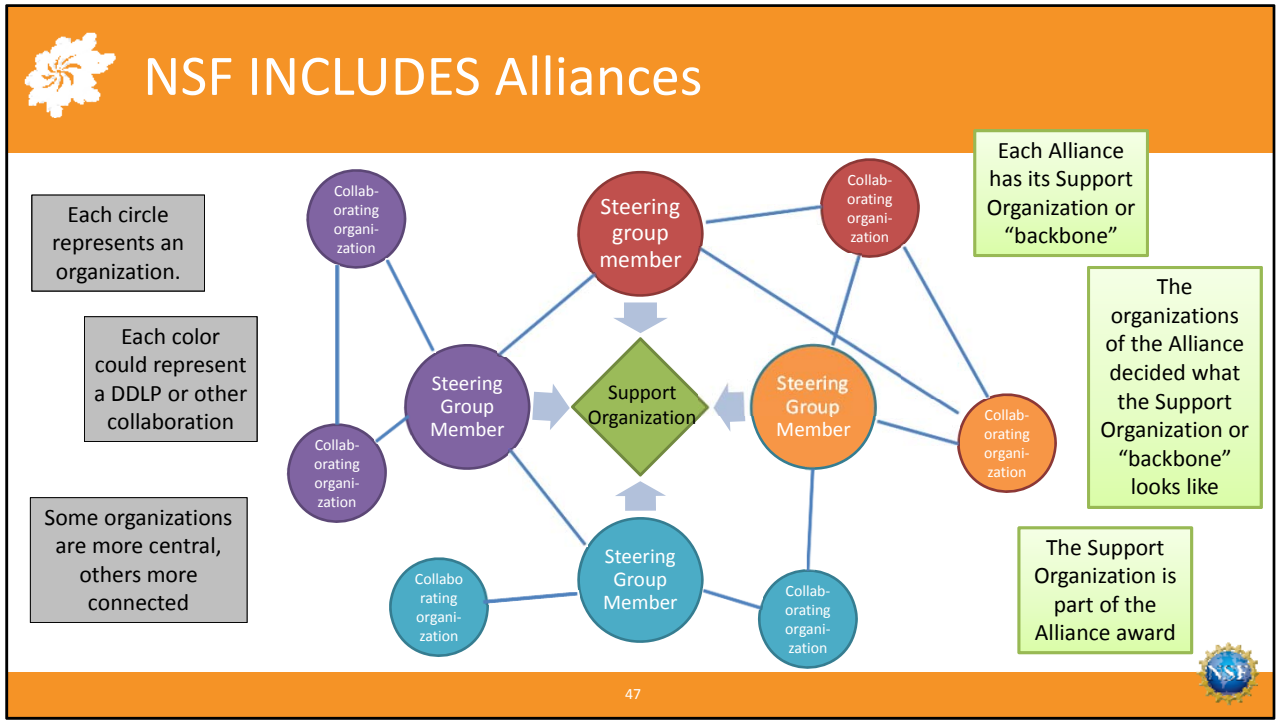
- Data management plan (2 Pages)
- Postdoc mentoring plan, if applicable (1 Page)
- **Additional Supplementary Documents Required:**
  - A list of all project personnel
  - Up to 5 additional biosketches
  - A separate list of all institutions and organizations involved
  - Letters of Support from the leadership of the major collaborating organizations
- **Note: Letters of Collaboration are not requested or allowed!**

46

- Data management plan– you will be collecting data and/or facilitating the sharing of data across the **Alliance**. We want to know how you are going to collect and manage the data. The details can be found in the PAPPG and on the NSF web site. In the case of Alliances, your data management plan should address how you will share data with alliance partners, **with the Coordination Hub** as well as across the NSF INCLUDES National Network as a whole.
- There has to be a mentoring plan if you have a Post Doc mentioned in the budget or the narrative.

For Alliances, there are four additional required supplementary documents including:

- A list of all project personnel who have a role in the Alliance including their first and last names and their organizational affiliations along with a one-sentence description of what their role will be.
- Up to five additional biosketches (using the NSF Format as defined in the PAPPG, no longer than two pages) for any key personnel listed who did not include biosketches in the Biosketch section.
- A separate list of all institutions and organizations that will participate as partners in the Alliance. Outline the Alliance roles and functions each institution will perform.
- Letters of Support from the leadership of the major collaborating organizations in the Alliance indicating awareness of and high-level support for and commitment to the NSF INCLUDES Alliance's efforts. Major collaborating organizations include those organizations that will be contributing project personnel and will receive significant budgetary resources from the Alliance award.
- Note: Letters of Collaboration are not asked for nor allowed.



This is one potential schematic of an Alliance. The members of each Alliance will determine the optimal alliance structure depending on the goals and functions necessary. But this can give you an idea of one configuration. So each circle represents an organization and the colors designate a Design and Development Launch Pilot or other collaboration. In this hypothetical case, the lead organizations from four DDLPs came together to form the Alliance, bringing along their collaborators from their DDLP work. As a collective, they either choose or form a support organization to serve as the backbone for their Alliance. The Alliance partners decide what the support organization looks like and what functions it serves. This is part of the Alliance award.

In this instance, we suggest the Alliance award would be a collaborative among four lead organizations. This may be done through collaborative proposals or through a single proposal with subawards. The support organization, in this case, might be funded through subawards or contracts with the four leads. So, for example, if the award is for $1 million in the first year, to make the math simple, each of the collaborating organizations would receive $250,000. Say they each send $50,000 to the support organization, which then receives $200,000 in the first year to get started. Each of the lead organizations then works with their partners to solidify their collaborative infrastructure working closely with their support organization. In the second year, perhaps the budget increases to $1.5 million, with each organization now receiving $375,000 with each now giving $75,000 to their support organization. By year three, the collaborative infrastructure is humming and the Alliance is expanding. The budget now increases to $2 million per year with more money going to each of the support organizations and, in turn, to the support organization to manage this expansion. The total award size is then $1 million + $1.5 million + $2 million x 3 = $8.5 million over five years.

Alternatively, perhaps the Alliance already has a strong collaborative infrastructure foundation and begins with a higher budget of $2 million per year and then tapers off over time as it attracts more outside funding and works toward sustainability. In the end, perhaps this Alliance asks for $2 million x 3 + $1.5 million + 1 million = $8.5 million over the five years.

This is all for you and your partners to determine. This is not guidance about what we expect to see. Just remember that NSF funding is to go to the collaborative infrastructure to enable the Alliance to work. You should ask for the amount of funding you need for that to happen and definitely plan on bringing in more funders to help your alliance partners to fund the activities that will lead to broadening participation.

Useful Resources

- Solicitation: NSF 18-529
- Email: nsfincludes@nsf.gov
- NSF INCLUDES Website: NSF INCLUDES: https://www.nsf.gov/news/special_reports/nsfincludes/index.jsp
- Proposals & Award Policies & Procedures Guide (PAPPG), January 29, 2018: https://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf18001
- Cooperative Agreement Financial and Administrative Terms (CAFATC) January 30, 2017: https://www.nsf.gov/pubs/policydocs/cafatc/cafatc_117.pdf
- Fastlane: www.fastlane.nsf.gov and Grants.gov: www.grants.gov
- Prospective New Awardee Guide, January 2017: https://www.nsf.gov/bfa/dias/caar/pnag/pnag_jan2017.pdf

48

Some useful resources for you in preparing your Coordination Hub proposal include:

The Solicitation; please read it carefully. It provides you with the best information about what NSF INCLUDES is looking for in Alliance proposals.

Any questions? Please send them to NSFINCLUDES@nsf.gov. We will strive to answer all your questions as quickly as possible.

NSF INCLUDES has a website with more information about NSF INCLUDES, including a introductory video from the NSF Director.

Our web site also has our Proposal and Award Policies and Procedures Guide, NSF 18-1, which gives you all the information you need, including eligibility, allowable costs, and formatting information, among other things.

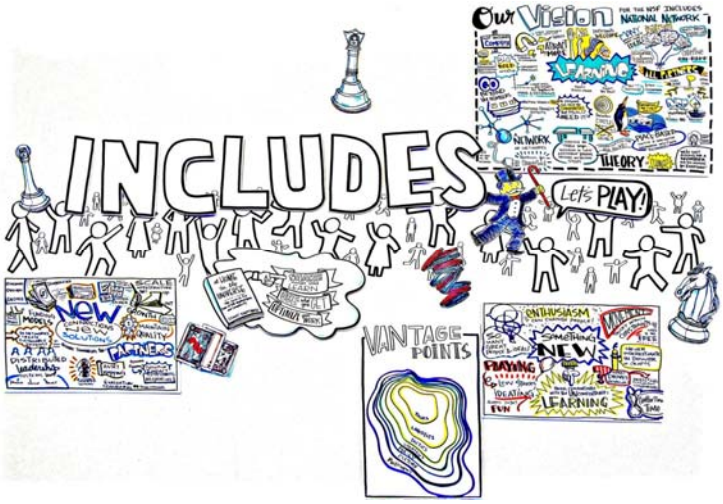
If you want more information about Cooperative Agreements, they may be found in the Cooperative Agreement Financial Terms and Conditions or the CAFATC.

Both FastLane and Grants.gov have information pages and registration information. They also have toll-free help lines. Do not contact program officers with FastLane or Grants.gov Questions. We do not use those systems, and so we will not be able to help you with those questions. The help desks have trained individuals who know the systems inside and out and will be able to help you with any issues you might have.

Finally, if your organization has never had an NSF grant in the past, or if you haven't had an NSF grant in the last 5 years, you will want to read our Prospective New Awardee Guide to find out what kind of documentation you will need and what the process will be should you be recommended for award.

Questions?

NSFINCLUDES@nsf.gov



That's all I have. Thank you for listening and we'll now open up the floor for questions.