



## **General Programmatic Terms and Conditions (PTCs) for the Climate Change Education Partnerships (CCEP) (NSF 12-523) Cooperative Agreement(s)**

**1. Key Personnel:** Except for the Principal Investigator(s) (PIs) or Co-PIs identified in this award, requests to make any changes to personnel, organizations, and/or partnerships specifically named in the proposal, that have been approved as part of this award, shall be submitted in writing to the cognizant NSF Program Official for approval prior to any changes taking effect. Requests for prior approval of changes to the PI(s) or Co-PI(s) must be submitted through FastLane for review by the cognizant NSF Program Official and approval by an NSF Grants Officer.

**2. Program Description:** The Climate Change Education Partnership (CCEP) program seeks to establish a coordinated national network of regionally-based or thematically-based partnerships devoted to increasing the adoption of effective, high-quality educational programs and resources related to the science of climate change and its impacts. Each CCEP is required to be of a large enough scale that it will have catalytic or transformative impact that cannot be achieved through other core NSF program awards. The CCEP program is part of a larger NSF portfolio of awards related to Climate Change Education (CCE) that has two goals: (1) preparing a new generation of climate scientists, engineers, and technicians equipped to provide innovative and creative approaches to understanding global climate change and to mitigate its impact; and, (2) preparing today's U.S. citizens to understand global climate change and its implications in ways that can lead to informed, evidence-based responses and solutions.

Each CCEP is required to include substantial involvement of representatives from each of the following communities: climate scientists; experts in the learning sciences; and, practitioners from within formal or informal education venues. This combined expertise is intended to foster innovative, trans-disciplinary advances in climate change education and insure that educational programs and resources developed by each CCEP reflect current understanding about climate science, the best theoretical approaches for teaching and learning such a complex topic, and the practical means necessary to reach the intended learner audience(s). Additional types of expertise are allowed, but these three required areas must form the core partnership.

**3. Project Governance:** The Awardee will establish an efficient and effective project governing structure and ensure it is in place throughout the award period to support all critical or significant project activities, including these elements:

- Awardee serving as the Lead Institution;
- CCEP Director (expected to be the Lead institution Principal Investigator);
- CCEP Management Team; and
- External Advisory Committee (EAC).

**4. Governing Responsibilities:** The Awardee will efficiently manage and implement all Partnership responsibilities by the governing components throughout the award period. The Awardee serves as the Lead Institution in the CCEP and works with the CCEP Director to promote the success of the overall program. The Awardee, with support from the CCEP Director and CCEP management team, is responsible for planning, operating, and managing the day-to-day activities of the CCEP including, but not limited to:

- Managing, staffing, allocating resources, and overseeing general operations of the CCEP in accordance with plans submitted to and approved by the cognizant NSF Program Official;
- Meeting the responsibilities of the CCEP through a management team led by the CCEP Director and as agreed to by the cognizant NSF Program Official;
- Assembling a CCEP management team to advise the CCEP Director on all aspects of Partnership management. The Management Team's membership generally consists of, but is not limited to, the Director, or his/her designee, as appropriate, as chair of the Management Team, the various leaders of the Partnership's major thrusts or interdisciplinary research groups, and other individuals concerned with education, outreach and diversity. It may also include individuals not directly involved with the Partnership.
- Developing a document that encompasses both Strategic and Implementation plans (referred to as a Strategic and Implementation Plan) and submitting it to the cognizant NSF Program Official within sixty (60) days of the effective date of this CA. The Plan should not exceed 20 pages in length and must include statements about the vision, mission, organizational structure, and management and performance goals and indicators of success. It must also include completion timelines, milestones, and deliverables for the five-year award period. The Plan is to be updated annually prior to the anniversary of the CA official start date, building on the accomplishments of the past year and responding to evolving challenges faced by the CCEP. Goals must include, but need not be limited to:
  - Maintaining the unifying CCEP intellectual theme as proposed with attention to how the CCEP's thrust areas are to be integrated with each other and across participating institutions;

- Integrating CCEP activities into a coherent program with well defined goals;
  - Maximizing knowledge transfer both at the Lead Institution, among partners, and with core stakeholders;
  - Effectively managing the CCEP, including mechanisms for integrating all partners into a cohesive CCEP, focusing CCEP activities, selecting and integrating related projects, allocating resources across all CCEP activities and among partners, and facilitating the involvement of other scientific and educational groups (Note: When the allocation of funds among the CCEP's participants involves an internal proposal and review process, the review criteria used by the CCEP should be consistent with the first two criteria of intellectual merit and broader impact listed in the NSF 12-523 CCEP Phase II Program Solicitation);
  - Implementing a program of ethics training within the cross-disciplinary and multi-institutional context of the CCEP for its staff and its sub-awardee staff, including faculty, visiting faculty, postdoctoral researchers, and graduate and undergraduate students with training topics to include the nature of the research, methodologies used, ownership of research and ideas, and roles and responsibilities regarding intellectual property;
  - Continuing operation of the CCEP and its programs in the event of the absence or loss of key personnel and developing thorough procedures for succession and back up of personnel; and,
  - Generating and implementing a robust and substantive plan for diversity of CCEP staff and participants at the Lead Institutions and partner sites (Note: Attention must be paid to diversity in filling administrative/management, research, and education positions of the Partnership at the senior as well as at lower levels).
- Developing a Five-Year Evaluation Plan: The Awardee will develop a five-year evaluation plan including both formative and summative assessment aspects with substantial breadth and depth within six months of the effective date of this award. The plan must clearly describe the specific goals, strategies and activities, expected outputs, and pursued outcomes. It should detail the types of data to be gathered, and appropriate metrics to assess both the implementation process and the overall impact of the project, consistent with the deliverables and metrics delineated in the “Five-Year Strategic Management Plan”. Attention should be given not only to the educational activities implemented through the Partnership, but also to the evolving impact of the collaboration on the partners and their networks.
  - Establishing an External Advisory Committee (EAC) to provide guidance, advice, and oversight for all the CCEP's activities, consistent with its vision, goals, and objectives. The EAC charter must be included in the Strategic and Implementation Plan and any changes to the charter must be communicated to the cognizant NSF Program Official. The EAC membership must be composed of representatives of the Partnership's core stakeholders, and at a minimum:

- Meet at least annually, at a time and place to be determined in consultation with the Director and the Management Team. NSF program staff will participate in the annual EAC meetings;
  - Include representation from a wide variety of disciplines from constituencies served by the CCEP;
  - Display the diversity of the United States citizenry in its membership; and,
  - Not include members with financial, institutional, or collaborative connection(s) to the CCEP, unless they have been approved by the cognizant NSF Program Official.
- Promoting the functioning together of all awardee-partner institutions of the CCEP as an integrated whole, with shared research, education and knowledge transfer goals and ensuring excellence in management and expedience in resolution of all issues and concerns among all the sub-awardees.
  - Cooperating with NSF-funded efforts to conduct formative program evaluation and third-party monitoring, and to respond to inquiries from NSF or its designated representatives for additional information about the Partnership's efforts. These inquiries may include requests to participate in surveys, interviews and other approaches for collecting data needed to monitor and evaluate the entire CCEP program.
  - Through the CCEP Director, who serves as the liaison between the Partnership and the CCEP Alliance (CCEPA), work with other members of the CCEPA to address common goals, problems and opportunities, and facilitate personnel and resource exchanges, support integrated partnerships, and promote cooperation among all CCEP Partnerships toward:
    - Maintaining active lines of communication through monthly conference calls and bi-annual meetings;
    - Fostering balance among and integration of research, education, and knowledge transfer activities, while avoiding duplication of effort across the CCEPs;
    - Facilitating interactions to address research, education, and management issues and opportunities that transcend individual Partnership capabilities;
    - Serving as the Liaison with core stakeholders to identify needs and opportunities and to plan joint implementation strategies, workshops; and,
    - Preparing educational materials designed to enhance public understanding of science, engineering, technology, and educational advances that serve society.

**5. Reporting Requirements:** The Awardee will comply with all annual and final report requirements identified in the NSF Proposal and Award Policies and Procedures document and provide regular reports as indicated below. Any additional reports desired by the cognizant NSF Program Official will be mutually agreed to and incorporated into the CA by written amendment thereto. The Awardee will submit all

required reports via FastLane using the appropriate reporting category and following content, format, and submission timeline criteria established by the cognizant NSF Program Official. For any type of report not specifically mentioned in FastLane, the Awardee will use the "Interim Reporting" function to submit reports, unless otherwise specified below. Eventually, detailed information on the reporting requirements will be posted on the CCEP Alliance web site, once established. Funding support in years 2 through 5 of this agreement are contingent on the availability of funds and successful scientific progress described in these reports, subject to the approval of the cognizant NSF Program Official.

Reporting requirements include:

- The Awardee will alert the NSF Program Official of potential press releases or other media outreach related to project findings or significant outcomes. As needed, other relevant media outreach will be coordinated between the NSF Program Official and the Awardee's public information office. The Awardee should also send copies of materials publicizing project-related events to the NSF Program Official, but this may be done after-the-fact. This communication with the NSF Program Official should be done via email.
- The Awardee will submit research highlights to NSF as requested by the cognizant NSF Program Official.
- The cognizant NSF Program Official will request the Awardee to maintain a uniform database of quantitative indicators of activity and progress. Details of the database will be determined by the General Programmatic Terms and Conditions for NSF 12-523 Cooperative Agreement(s) or by the cognizant NSF Program Official and provided to the Partnership after coordination with the Partnership Director.
- Annual Program Plan and Budget: A Program Plan and Budget for the next program year, to be submitted with the Annual Project Report, shall cover the upcoming agreement year and include:
  - Description of programmatic goals and objectives with specific tasks/activities to be accomplished in the upcoming year;
  - Projected budget with detailed justification that breaks down costs according to program task/activity and includes individual budget subawards using the NSF Budget Form 1030 along with appropriate budget justifications.
- Interim reports: The Awardee will submit written quarterly reports (due to NSF by 12/31, 3/31, 6/30, and 9/30 each year) as interim progress reports noting significant activities and how they relate to major budget categories. The June quarterly report may be combined with the Annual report submitted through FastLane as required above.

**6. Ongoing Project Oversight:** The Awardee will facilitate full commitment and cooperation among the governing structure components, and all project staff during all ongoing NSF project management and oversight activities. The Awardee will make available key institutional partners and data during any desk or onsite review as well as timely access to all project documentation, with reasonable notice. In addition to the annual prioritization and budgeting process, it may be necessary to redirect resources more frequently (quarterly or monthly). It may also be necessary to bring new investigators/new institutions into the Partnership, establish new subawards and rebudget existing subawards. This is permitted and encouraged. NSF approval will be required to initiate new subawards. Changes in subaward amounts and/or to research directions of ongoing projects will be reported to NSF Program Officials in a timely manner.

Reverse Site Visit: The Awardee will participate annually in one site visit (either on-site, virtually, or as a reverse site visit to NSF) to determine progress at that stage of implementation, to identify any correction measures, to submit recommendations for program improvement, and/or to decide NSF future funding support. Dates and specific topics to be assessed will be agreed between the PI and the cognizant NSF Program Official.