



Instructions for WiscAMP Small Grant and Sub-Award Forms (Revised January 2016)

WiscAMP has developed a number of forms to facilitate required reporting to the National Science Foundation (NSF). Both Small Grant and Sub-award Principal Investigators are required to arrange for the completion of these forms. Much of this reporting focuses on the students who receive direct financial support through the WiscAMP Small Grants (“level one” students) and the faculty and staff involved in the programming provided to those students. The purpose of these instructions is to provide additional information about how to complete and submit these forms beyond what is contained in the forms themselves.

Be aware that there are slightly different versions of the “project summary form” (Form 1) and the “project activities form” (Form 2) for Sub-awards than for the Small Grants. All the other reporting forms mentioned in these instructions are the same for both the Sub-awards and the Small Grants.

In general, NSF asks for electronic submission of the data on an annual basis for periods starting July 1 and ending June 30 of the following year. In most years, NSF requires WiscAMP and the other LSAMP programs to report those data by late October. However, some data, particularly data about the race, ethnicity, and gender of supported students, are required considerably earlier for a narrative report that WiscAMP submits in June.

Nonetheless, reporting deadlines can be complicated by another reality. While Sub-awards have a standard operating year (July 1 through the following June 30), the start and finish dates for Small Grants don’t always coincide with NSF’s reporting year. Small Grant PIs will be informed about when they need to turn in data either in the grant proposal acceptance letter or a separate message that will shortly follow the acceptance letter. In exceptional circumstances (e.g., a delayed start-up, an extension of the grant end date), a PI can ask the WiscAMP Executive Director to amend project specific reporting deadlines.

Irrespective of project specific deadlines, a PI is likely to be contacted by the WiscAMP office about submitting the form data at two points during the year. The first will be a request for data needed for the spring report to NSF. Reminder messages will be sent to PIs in late March or early April, with the expectation that relevant data will be sent in by May 1. As previously noted, the critical need is for the student demographic data captured via Form 3. Nonetheless, if it is possible to submit the other forms, it will be appreciated.

PIs (assuming that all the forms for the July 1 through June 30 period haven’t already been submitted) will be sent a message around August 1. All forms (with the possible exception of Form 1) should be sent to the WiscAMP office by the first week in September.

What follows is more detailed material about each of the forms. For Forms 1 and 2, please refer to the version that is appropriate to the type of award (Small Grant or Sub-award).

Form 1, Summary of Grant Project: This is the version of Form 1 used for Small Grants. This form along, with required attachments, is submitted one month after the grant completion date. Please note that the form lists additional materials for submission beyond answers to the questions on the form.

1. The Budget Close-out Sheet: This form is not available on the WiscAMP website. It will be sent to you with some basic financial information already filled-in.
2. Form 2 (Synopsis of Grant Funded Activities): If you have previously submitted this form and there has been no changes, you can either send a copy or simply note on Form 1 that WiscAMP should use the one already in its possession. If there have been changes, please submit an amended version.

Important: When a single grant funds multiple projects (i.e., projects which are distinct and serve largely different groups of participants), WiscAMP may require multiple Form 2s. If this is required, the PI will be informed in writing.

3. Forms 3 (Student Demographic) and Forms 4 (Faculty/Staff Demographic) if they have not already been submitted. If these have already submitted and there has been no changes you can simply note on Form 1 that WiscAMP should use the ones already in its possession. If there have been changes or additions, please submit the amended or new forms.

Important: Every possible effort should be made to insure the WiscAMP office receives all Form 3s in time to prepare the spring report to NSF.

4. Forms 5 (Student Sign-in) and 6 (Faculty/Staff Sign in) as appropriate. If these have already submitted and there has been no changes you can simply note on Form 1 that WiscAMP should use the ones already in its possession. If there have been changes or additions, please submit the amended or new forms.

Additionally, when a project has recurring activities and a stable group of participants, please provide only one Form 5 and one Form 6 for each type of recurring activity – not for each discrete event. (You can use multiple forms if there are more names than spaces.)

5. PIs are asked to provide additional dissemination materials that describe and/or showcase the project, specifically images of project activities and copies of student publications and presentations.

6. PIs have the option of submitting any materials they believe will help WiscAMP or NSF understand their project and its outcomes better. In particular, if there are reports of assessment or evaluation results that cannot be easily included in Form 1, WiscAMP asks that you to provide those as separate attachments to Form 1.

Any additional questions should be directed to WiscAMP Evaluation and Research Coordinator. The completed form and additional materials can be either mailed or e-mailed as an attachment to the WiscAMP Evaluation and Research Coordinator. Contact information can be found at the end of these instructions or on the Small Grants page of the WiscAMP website.

Form 1, Sub-award Annual Summary: This is the version of Form 1 used for Sub-awards. This form along, with required attachments, is submitted one month after the completion of every Sub-award program year (July 1 through June 30, unless the WiscAMP Executive Director has agreed to other dates). Please note that this version of Form 1 also lists additional materials for submission beyond the questions on the form itself. Though the numbering of these items are different than the equivalent ones on the Small Grants version of the form, with one exception, the instructions remain the same.

That exception is item 12 where the PI for the Sub-award is asked to complete all financial reporting forms for the relevant project year. As noted the WiscAMP office will contact the PI or the PI's designate to identify the specific materials that need to be provided.

Form 2, Synopsis of Grant Funded Activities: This is the version of Form 2 used for Small Grants. This form is completed by the PI (or other project staff) and is for reporting project activities, goals, outcomes and other information that NSF uses to categorize WiscAMP efforts. A Form 2 must be submitted in time for the fall data reporting to NSF, even if some of the information (e.g., for outcomes) is preliminary or even prospective. Changes/amendments to a previously submitted Form 2 can be made when the Form 1 (Summary of Grant Project) is submitted.

Unless informed in writing, PIs should fill out only a single Form 2 for their project. PI's should complete multiple Form 2s only when their grant funds multiple separate projects with substantially different participants.

Please note that in item 7 (Primary Activity Category) respondents are forced to select only one option among all of those available, not one from each category. Though many Small Grants include components that would justify checking multiple options, respondents are asked to choose the single best choice from all of the options provided. Respondents have the option of listing additional activity categories in item 8.

The completed form can be either mailed or e-mailed as an attachment to the WiscAMP Evaluation and Research Coordinator. Contact information can be found at the end of these instructions or on the small grants page of the WiscAMP website.

Form 2, Synopsis of Sub-Award Funded Activities (Annual): This is the version of Form 2 used for Sub-awards. The only substantive difference between this version of Form 2 and the one for Small Grants is that the PI will need to complete the form for every program year, instead of the duration of a small grant. Otherwise, please follow the instructions for the Small Grant version of this form.

Form 3, Student Demographic Information: The same version of this form is used for both Small Grants and Sub-awards. This form must be completed for every “level one” student served through a WiscAMP funded project during any part of a July 1 through June 30 period. PIs have considerable discretion as to how and when they arrange for this form to be completed. However, we strongly recommend that these guidelines be followed. The form has been reconfigured in expectation of making this easier to do.

1. The PI or program staff complete the following fields: Grant Title, Activity Title (optional), Semester/Date of Participation, Student Name, Mentor, and WiscAMP Financial Support. This should be done prior to passing out this form to students.
2. Generally, students should complete all other fields. However, if this is impractical (e.g., there is no longer direct contact with the students) it is permissible for the PI or program staff to complete the form (consistent with federal educational privacy regulations).
3. Students should be reminded to complete all the items in Section 2. In particular students should be encouraged to complete all 3 of the race and ethnicity items.
4. The Contact Information section is voluntary and must be described as such to students. It can only be completed by the student.
5. Students are **not** required to provide a Social Security Number
6. The form should be implemented while students are participating in the project, not after their regular participation is over. It is generally best to implement this form early in the project.

The completed form can be either mailed or e-mailed as an attachment to the WiscAMP Evaluation and Research Coordinator. Please remember that WiscAMP needs information from this form no later than May 1 in any grant period.

Note: WiscAMP hopes to implement a computer application to both collect Form 3 information from students and to submit it to the WiscAMP office. This option has been

piloted at one WiscAMP institution. However, for the time being, PIs interested in alternative means of data collection and/or submission, should consult the “Additional Issues” section of these instructions.

Form 4, Faculty/Staff Demographic Information: The same version of this form is used for both Small Grants and Sub-awards. This form should be completed for all faculty and staff who have a direct role in implementing a WiscAMP funded project during any part of a July 1 through June 30 period. Additionally, in cases where a non-student (e.g., a professional not employed by a higher education institution) has a significant role in implementing project activities, a Form 4 should also be completed for that individual.

While PIs have considerable discretion about how/when this form is completed, in most cases it is best for the PI or project staff to fill in the Grant Title, Activity Title (optional) and Semester or Date of Participation information and, then, for each faculty/staff member to complete the rest of the form. Individuals completing a Form 4 are **not** required to provide Social Security Numbers.

The completed form can be either mailed or e-mailed as an attachment to the Evaluation and Research Coordinator.

Form 5, Student Sign-In Sheet:

The same version of this form is used for both Small Grants and Sub-awards. A Form 5 must be completed for each separate project activity in which there are student participants in addition to those who must complete Form 3. (If there are no such students, there is no need to submit a Form 5.)

WiscAMP interprets this to mean that there needs to be only a single form for each recurring activity and that the students listed on the form is a cumulative list of participants (though use multiple forms when there are more participants than spaces). Alternatively, if the Small Grant or Sub-award funds a series of events where there has been no expectation that the same students will participate on a continuing basis, we recommend submitting sheets for each separate event. For decisions about circumstances that don't easily fit this guidance contact the WiscAMP Evaluation and Research Coordinator.

Though it may appear redundant, level one students (generally those receiving direct support through the WiscAMP Small Grant or Sub-award) must be included on the Form 5 as well as having a completed Form 3 (Student Demographic Form). Other student participants are listed only on Form 5.

The completed form(s) can be either mailed or e-mailed as an attachment to the Evaluation and Research Coordinator.

Form 6, Faculty/Staff Sign-in Sheet: The same version of this form is used for both Small Grants and Sub-awards. Form 6 raises similar issues to those discussed for Form 5. In general, follow the basic guidance provided for Form 5. Again, questions about circumstances that don't easily fit this guidance contact the WiscAMP Evaluation and Research Coordinator.

Note: In addition to faculty and staff attending or participating in project activities or events, Form 6 can also be used to report the attendance/participation of other non-students.

The completed form(s) can be either mailed or e-mailed as an attachment to the Evaluation and Research Coordinator.

Form 7, Student Voluntary Release of Information: The same version of this form is used for both Small Grants and Sub-awards. The purpose of the form is to get students' permission to contact administrative offices for a range of information beyond that obtained through the Small Grant and Sub-award reporting forms. WiscAMP will use this information to support evaluation/program improvement activities and help implement a NSF requirement that WiscAMP improve its ability to track student outcomes subsequent to their periods of WiscAMP outcomes. For the present, the form does not include research uses of the data as defined by federal Human Subject Protection regulations.

Only students who are required to complete a Form 3 should be asked to consider completing a Form 7. Though PIs are allowed considerable discretion as to when and how they implement this form, there are a number of conditions that must be met.

1. Students must understand that signing the form is a voluntary act and has no consequences for their ability to participate in current or future WiscAMP supported activities. Students must be informed that they can revoke consent and how they can do so (i.e., by contacting the WiscAMP office in writing).
2. Students must have an opportunity to read the form and ask questions before being signing it.
3. The form should be administered in a manner that prevents other students or, for that matter, faculty, staff, and administrators not associated with the project from learning whether a student has signed the release. We also recommend that forms be collected and submitted in a manner that minimizes the number of program staff with knowledge of which students signed forms.
4. Only "level one" students, those directly supported through WiscAMP funds, should be asked to sign the Release of Information.

We prefer to receive the signed original form rather than a copy, though we believe that Registrar's offices will accept a PDF of the original. Please send the completed forms to the WiscAMP Evaluation and Research Coordinator.

Additional Issue: Reporting Students Involved in Implementing Project Activities.

It is fairly common for WiscAMP Small Grants or Sub-awards to be involved in implementing project activities. For example, more advanced undergraduate students have been used as peer mentors, tutors, teaching assistants, etc. If these students are compensated using WiscAMP funds they must complete a Form 3, irrespective of the substantive nature of their duties.

The situation is inherently ambiguous in the case of graduate students. Please contact the WiscAMP Executive Director to get guidance about whether completing a Form 3 or Form 4 (Faculty/Staff Demographic) is more appropriate given the substantive nature of the individual's duties and payment source.

Additional Issue: Alternative Methods of Data Submission

Some PIs have recommended that WiscAMP move to a fully electronic data submission system. Some have suggested an online system, others a standardized spreadsheet that could be e-mailed to WiscAMP. WiscAMP has not implemented either of these ideas, but anticipates doing the former for Student Demographic form (Form 3) before the end of 2016.

However, WiscAMP is willing to discuss with PIs the option of sending in custom spreadsheets with information for Forms 3, 4, 5, and/or 6. However, doing so is conditional upon prior agreement with WiscAMP identifying which data will be provided and how it will be formatted. There are two issues of overarching importance.

1. The data provided must be fully compatible with that asked for on any particular form. In particular, the submission must be structured so that any and all combinations of race/ethnicity data can be reported as on the paper forms.
2. Level 1 student participants must still be provided with opportunities to provide the voluntary contact information (section 3 of Form 3) and to complete the voluntary release of information (Form 7).

Please contact the WiscAMP Evaluation and Research Coordinator if you are interested in making use of this option.

We hope these instructions are helpful, but WiscAMP welcomes any feedback that can lead to their improvement. PIs and others wishing further information or clarification should feel

free to contact the WiscAMP Evaluation and Research Coordinator. The contact information for the current Coordinator is:

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