

EPSCoR EPSCOR

Maine EPSCoR

- Maine became an EPSCoR state in 1980 (first cohort)
 - ➤ Maine EPSCoR located at the University of Maine



- ➤ operates under an MOU with the Maine Office of Innovation to implement and oversee NSF EPSCoR programs
 - ➤ UMaine is state's flagship research, education (PhD), and land and sea grant university
 - ➤ ME NSF EPSCoR RII awards provide the infrastructure needed to create new research centers (single focus)
 - ➤ Historically very successful in this strategy (AEWC, FBRI, Climate Change)



EPSCoR

Introduction

- ➤ This project seeks to create a Center for Sustainability Solutions at UMaine.
- ➤ The selection of the research focus for this proposal involved a rigorous statewide process, including AAAS and state EPSCoR Committee review of pre-proposals.
 - The sustainability science focus was highest rated and had the potential for greatest impact for the state at this critical time.



Introduction

The selection of this research focus was supported by:

- ➤ 2001 Kates and colleagues noted that producing knowledge and linking it to actions that meet human needs while preserving the planet's life-support systems is one of science's most fundamental challenges.
 - Fostering research that improves our ability to live sustainably on Earth has been identified as a critical investment priority in NSF's Strategic Plan (NSF 2006).



Introduction **EPSCoR** Maine has a long **Sustainability Science** tradition of developing novel solutions to **Economic** sustainability challenges, such as water pollution, Sustainability habitat conservation, Social **Ecological** and forest management (Judd and Beach 2003). Focus of Sustainability Science

Introduction

- ➤ Natural science & engineering research is necessary but not sufficient alone expertise existed at UMaine & USM to supplement.
- ➤ Ten key faculty members who are now involved in the sustainability project had previously received relevant NSF funding.
- ➤ This sustainability research team began functioning 18 months prior to submitting the EPSCoR proposal to lay a preliminary foundation to grow from.
- Group expanded into the Maine EPSCoR Sustainability Solutions Initiative (SSI).

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Introduction

EPSCoR

Successful sustainability science research requires three components:

- ➤ Understanding dynamics of social-ecological systems (SES)
- ➤ Understanding & strengthening links between knowledge and action (K-A)
- ➤ Overcoming barriers to organizational innovation & interdisciplinary integration (OI)

Sustainability Science

Central Research Theme



Introduction

SSI Mission: To connect knowledge with action in ways that promote strong economies, vibrant communities, and healthy ecosystems in and beyond Maine.





Vision: Create a Center for Sustainability Solutions that searches for, implements, and evaluates policies and practices that promote economic development while protecting ecosystem health and fostering community well-being.

Overall Research Goal: Create a world-class sustainability science research program focused on the dynamics of social-ecological systems (SES), with an explicit goal of understanding and strengthening connections between knowledge and action (K-A).



EPSCoR

Introduction

SSI Core Research Teams:

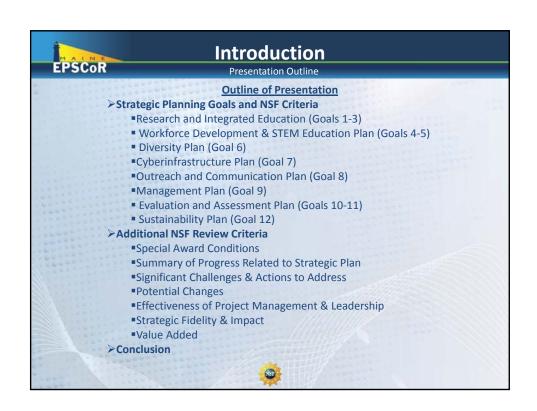
University of Maine: state's flagship research and education (PhD) institution University of Southern Maine (PUI & Masters)

Sustainability Solutions Partners (SSP) program: created to involve undergraduate institutions and community colleges in state:

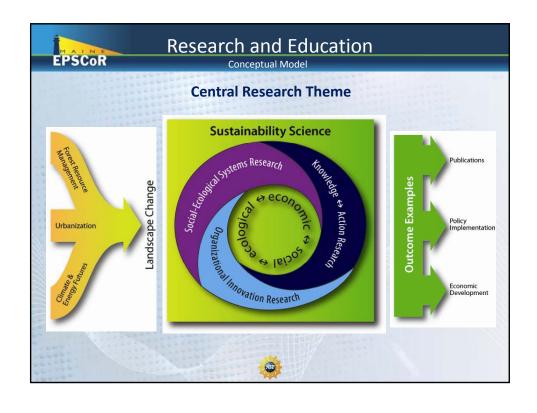
6 private colleges
5 other campuses of University of Maine System
5 community colleges



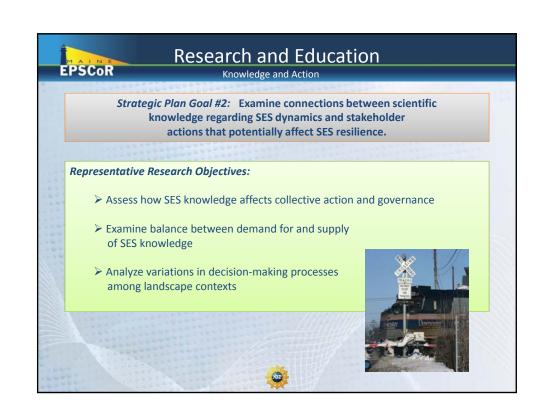




Popularies of social-ecological systems (SES) • SES thresholds, feedbacks, resilience • SES as complex adaptive systems Interactions between knowledge and action (K↔A) • Salience, credibility, legitimacy • Participation, integration, learning, negotiation Organizational innovation (OI) • Internal and external collaborative processes • Harnessing collective intelligence

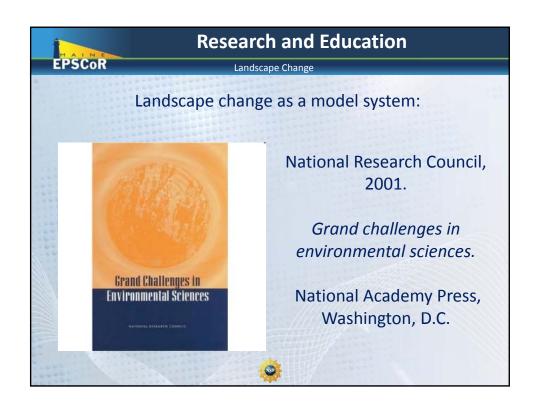


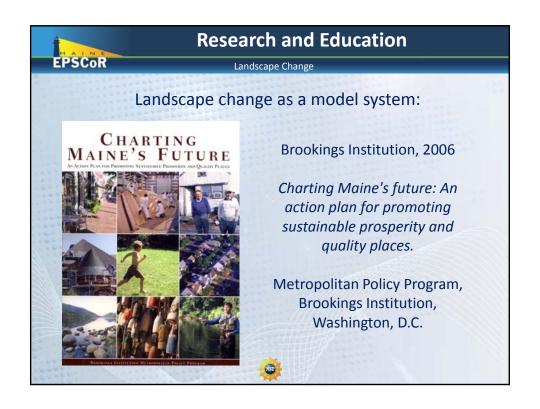




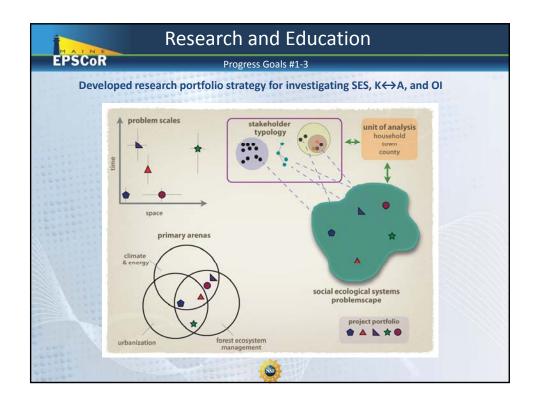












Research and Education

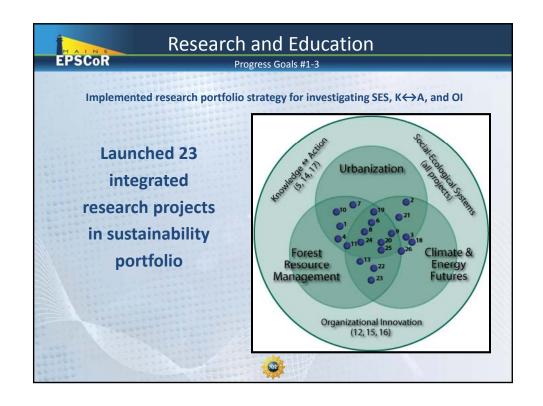
EPSCoR

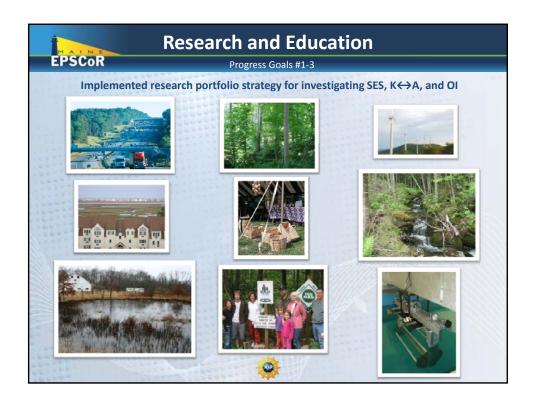
Progress Goals #1-3

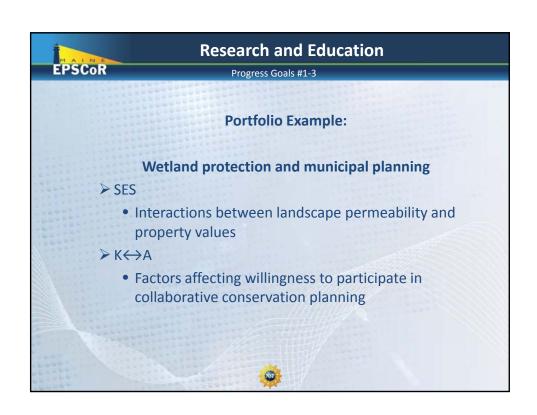
Developed research portfolio strategy for investigating SES, K↔A, and OI

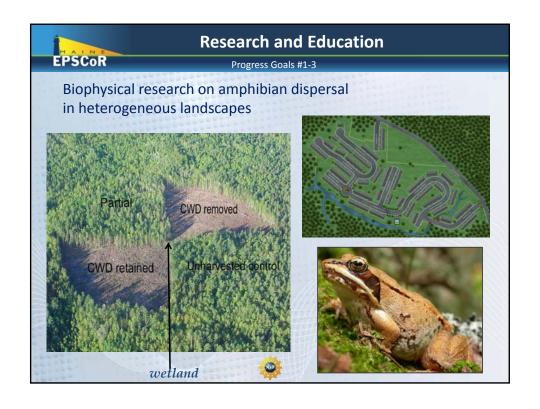
- Designed multiple RFPs and review processes to create and manage research portfolio.
 - YR1 RFP for SSI and SSP teams (Fall 2009)
 - YR2 Integration RFP (Summer 2010)
- Created Science Advisory Board with relevant expertise to guide development and management of research portfolio.
 - Board and Team Research Retreat (December 2009)
- Developed organizational structure to manage portfolio and increase program visibility.
- > Recruited faculty and students to fill identified gaps relevant to research and education objectives.
- Provided relevant SES and K-A training and educational experiences for faculty and students.
- > Engaged with diverse stakeholders throughout Maine.

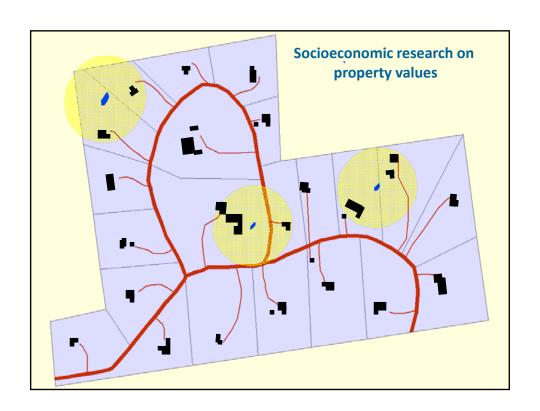


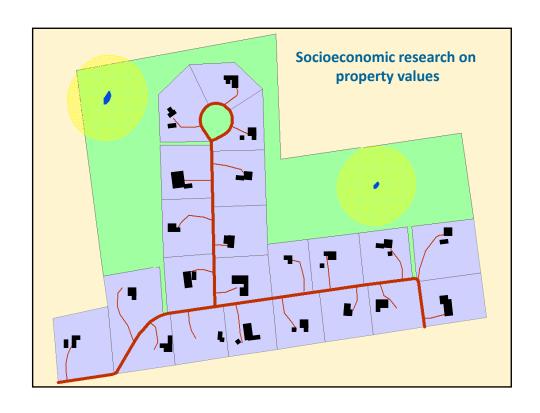


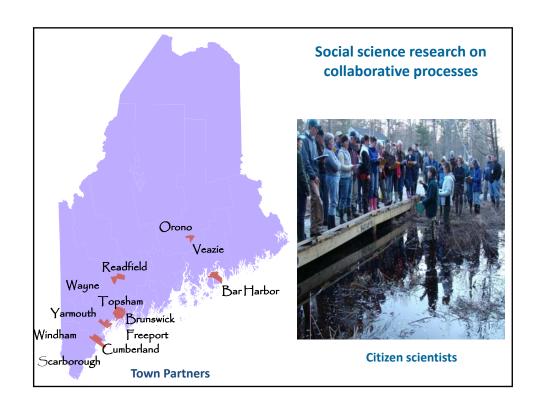












Research and Education

Progress Goals #1-3

Portfolio Example: Wetland Protection and Municipal Planning

Project Progress:

- Supported three doctoral students
- ➤ Initiated research on dispersal and habitat use in heterogeneous landscapes
- ➤ Initiated research on economic barriers to natural resource protection
- ➤ Held many meetings with agencies, town planners, tax assessors, citizen scientists, conservation groups, developers, etc.
- Expanded collaborations across UMaine, USM, and University of Maine Law School
- NSF EPSCoR funding helped secure \$85K grant from private foundation



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Research and Education

Overall Progress

Increased Human Infrastructure

Progress:

- ➤ 3 new faculty hired (ecological modeler, socialecological systems modeler, urban modeler)
 - culty position
- Interviews in progress for 1 additional new faculty position
- > 2 postdoctoral fellows hired (2 searches in progress)
- > 4 SSI doctoral students began spring 2010
- > 11 SSI doctoral students began fall 2010
- 2 SSI Native American students began fall 2010 (M.S.)
- > 36 other graduate students supported & involved
- Search underway for YR3 cohort of SSI doctoral students

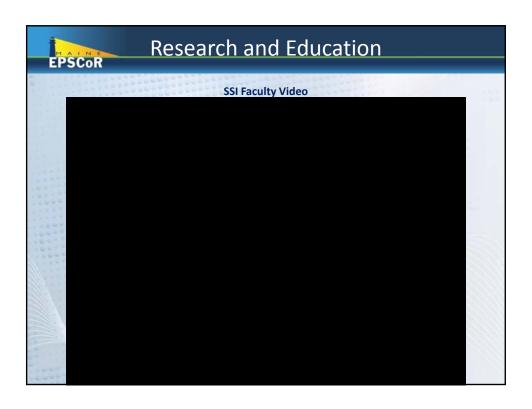




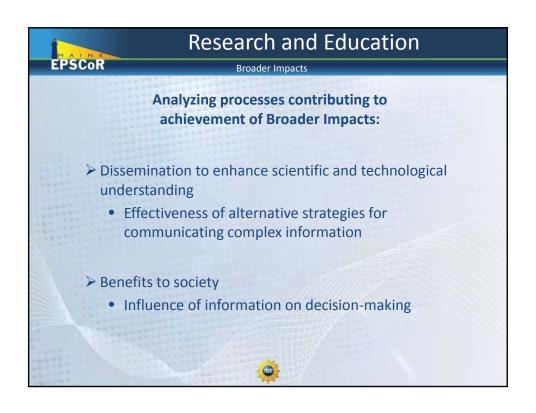
Research and Education Overall Progress Increased recognition and competitiveness: Progress: Published 18 journal articles Conducted 113 professional presentations Submitted 19 grant proposals (\$6.3M) Designed social science lab, which will be augmented by \$3.6M in funding from state for Innovative Industries Initiative Hosted international environmental communication conference Created largest interdisciplinary higher education collaboration in Maine's history

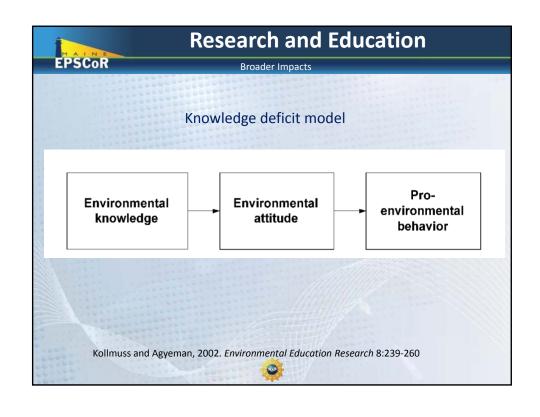


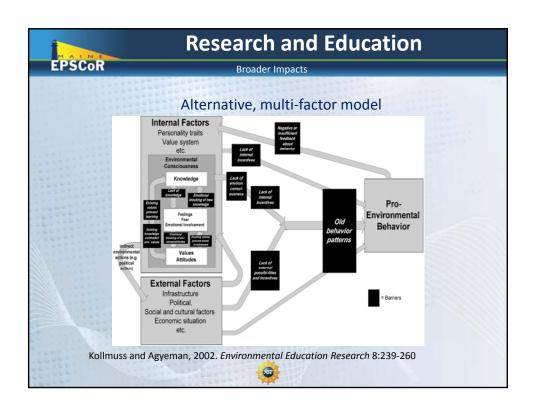




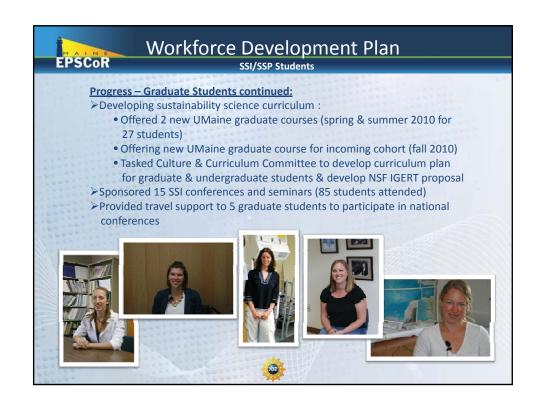
Progress: Integrated research, teaching, and training activities: Developed interdisciplinary, research-based courses Funded 150+ student research and training opportunities Increased participation of under-represented groups: Female faculty & doctoral, undergraduate, & high school students Native American mentoring program Academic institutions throughout Maine Disseminated knowledge widely to professional and public audiences Enhanced infrastructure for research and education: Designed and leveraged funding for social science research lab Formed extensive research and stakeholder networks

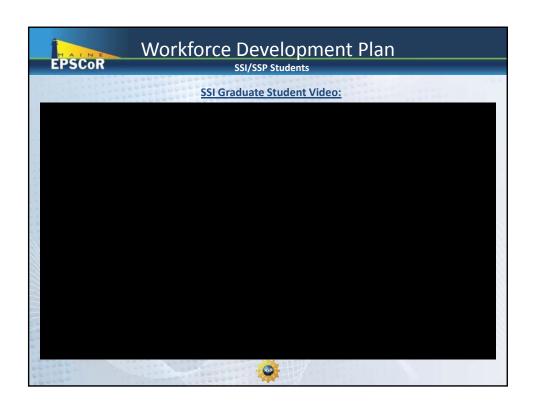


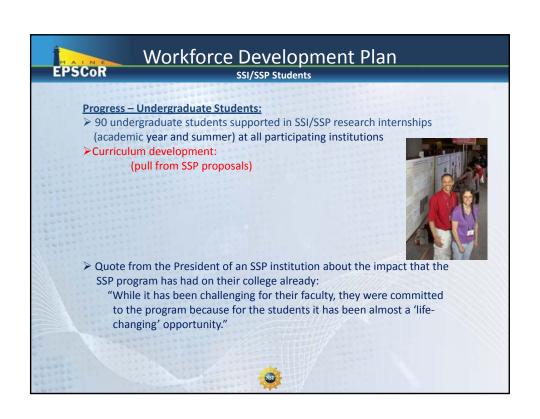




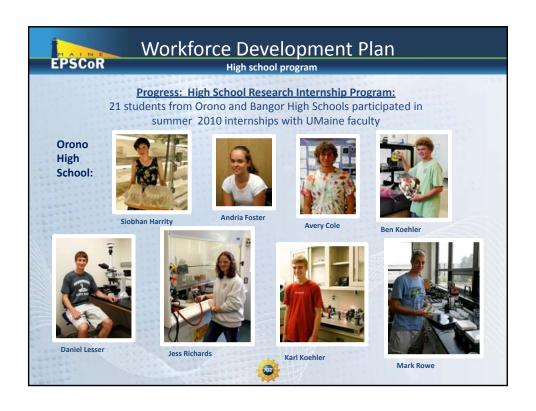




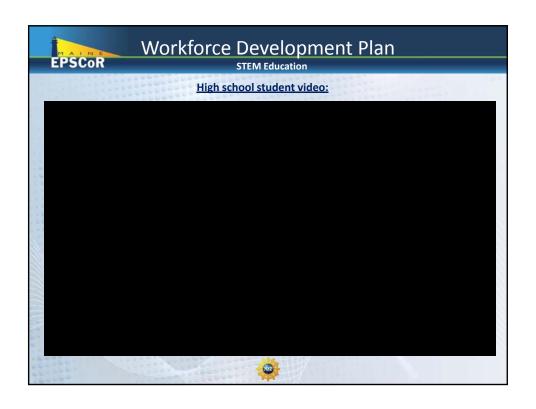


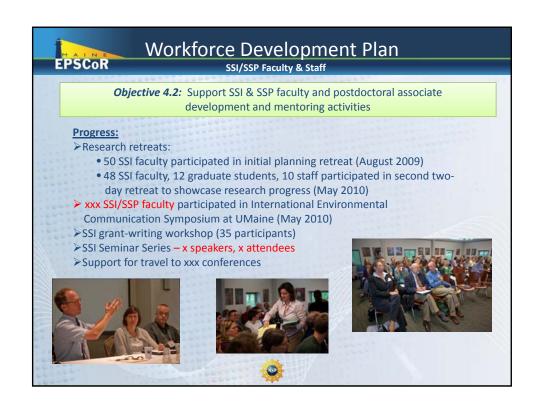


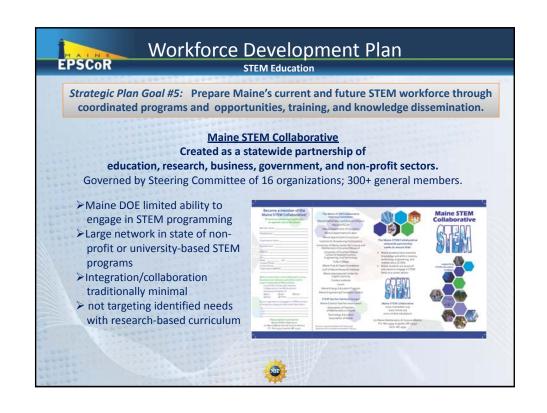


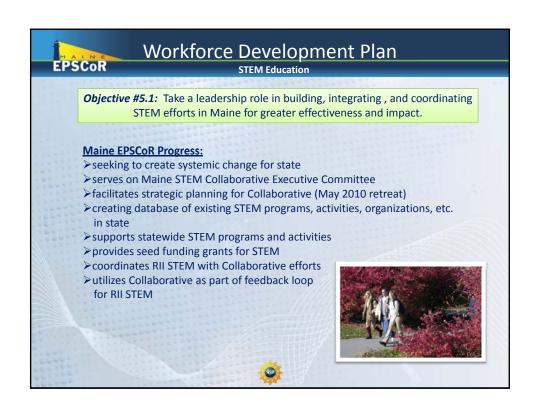


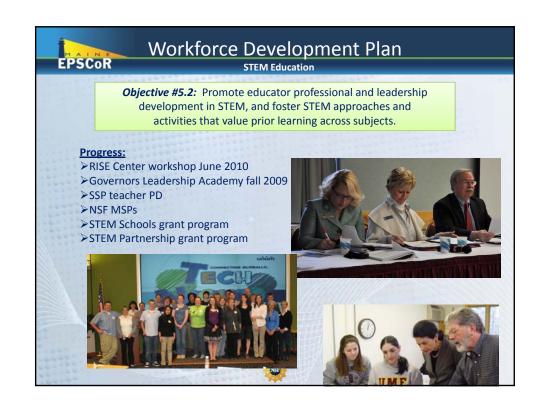


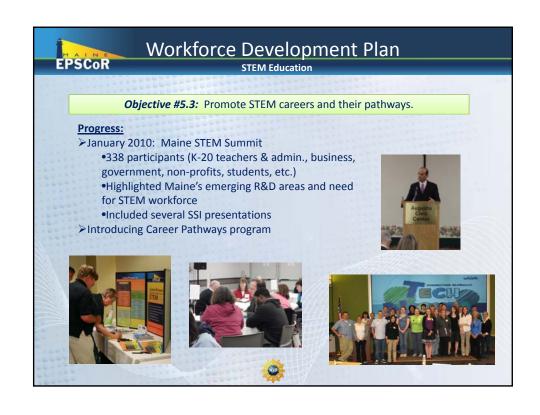


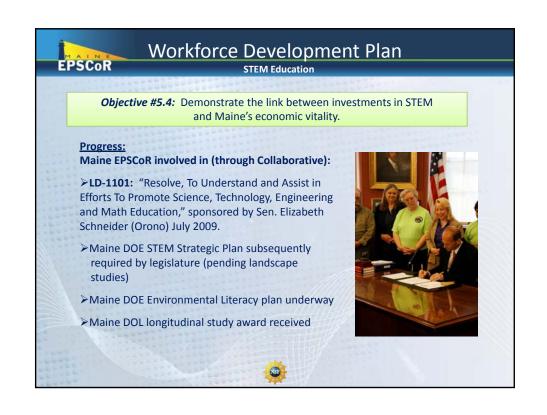


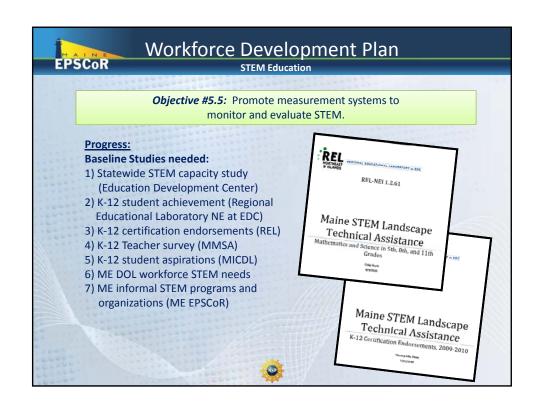


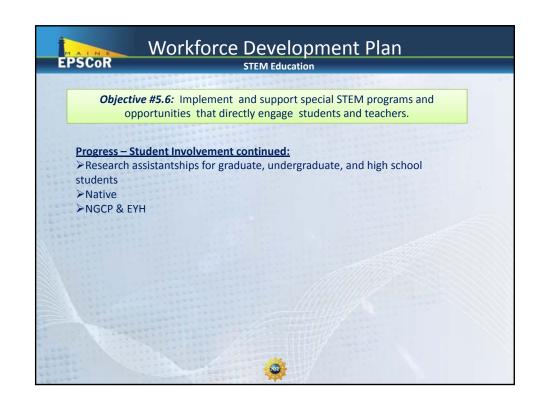


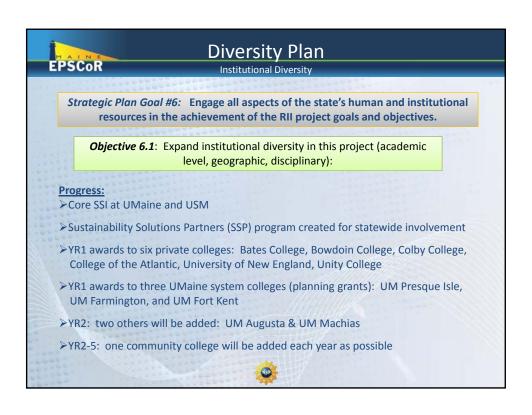


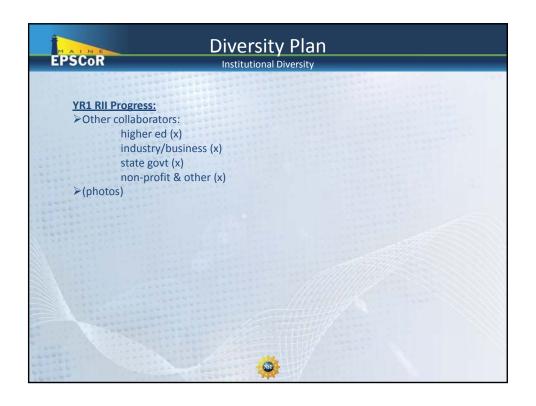


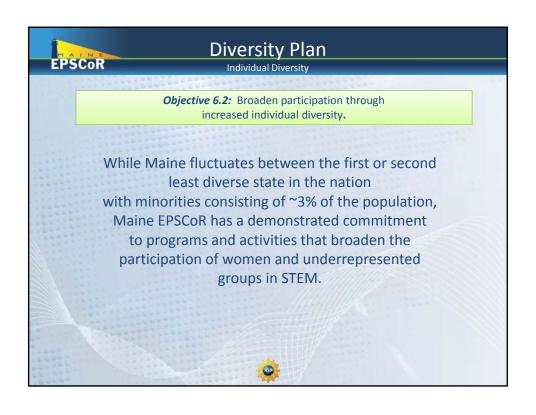


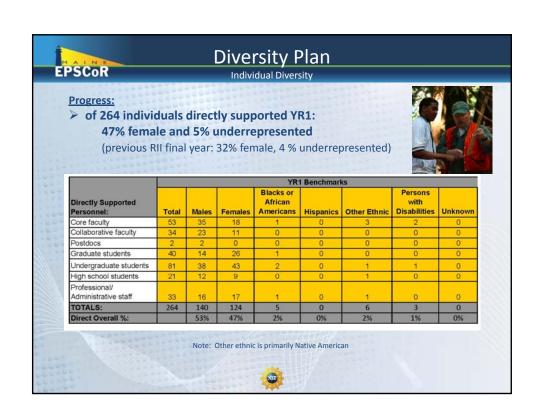


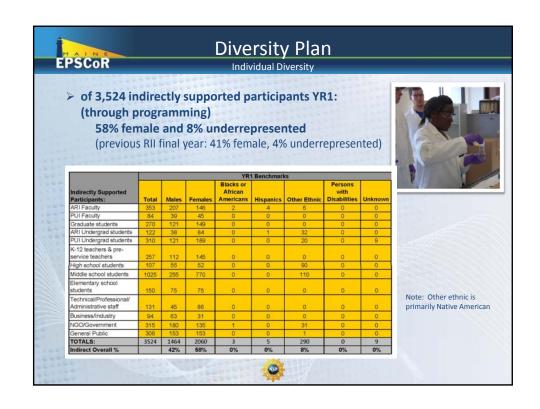








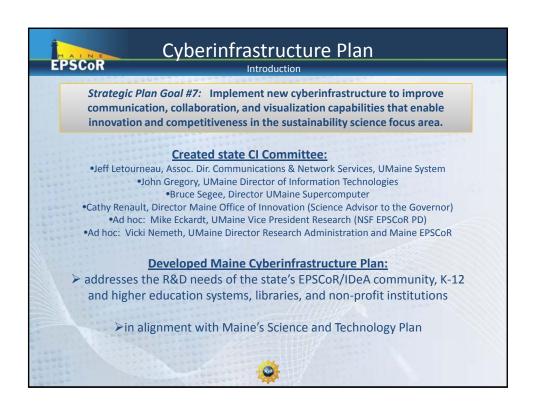


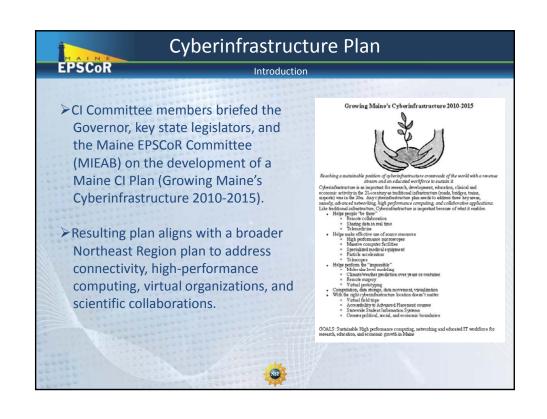




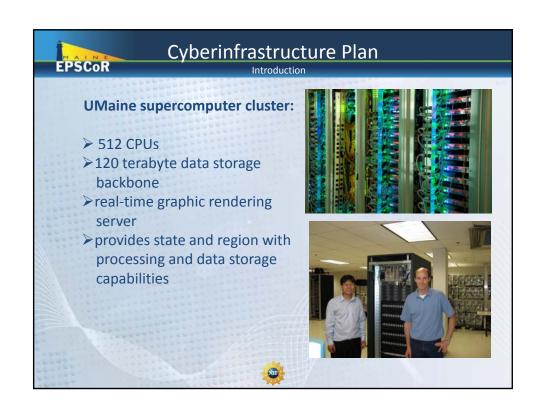








CI Collaborators include: CI Collaborators include: CIOS from leading regional research institutions Northeast Cyberinfrastructure Consortium (NECC) NSF EPSCoR Track 2 RII with VT, NH, RI, DE NE Research and Education Networks (NEREN) National R&E Networks (CANARIE and Internet2)





Cyberinfrastructure Plan

Introduction

Leveraging of CI efforts enabled accomplishment of Phase I of CI plan:

>BTOP: \$25M BTOP broadband infrastructure award

- CI Committee assisted Maine-based Internet Service Provider in a successful proposal.
- Provides the new, critically-needed fiber routes for middle mile fiber throughout rural areas of state.
- Lays foundation for Maine EPSCoR's future CI efforts.
- ➤ NSF EPSCoR Track 2 RII (NECC): IRUs (utilizing above) to extend state's research and education fiber optic network
- NIH INBRE CI Supplement: dense wave division multiplexing equipment to "light" the new fiber routes
- NSF EPSCoR Track 1 RII: communication, visualization, and data tools for end-users to take advantage of above increased bandwidth capabilities in state.



Cyberinfrastructure Plan

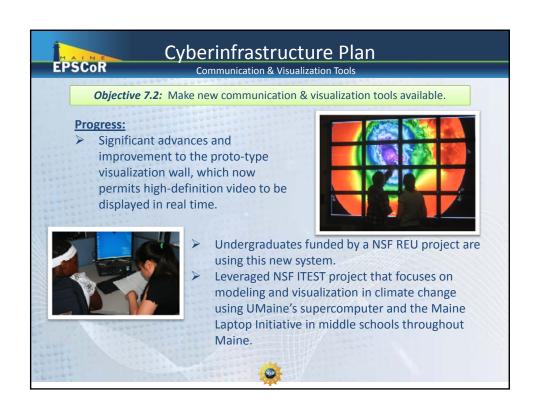
Videoconferencing & Bandwidth Capabilities

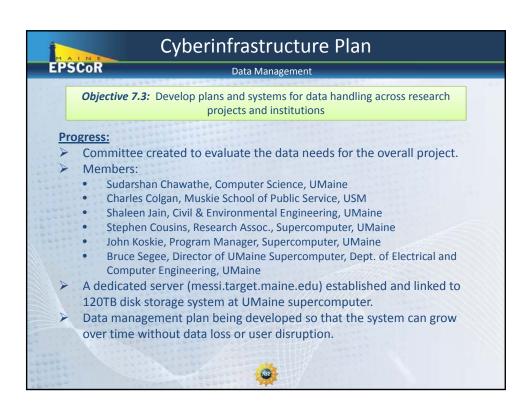
Objective 7.1: Expand statewide videoconferencing capabilities and upgrade high bandwidth fiber interconnections.

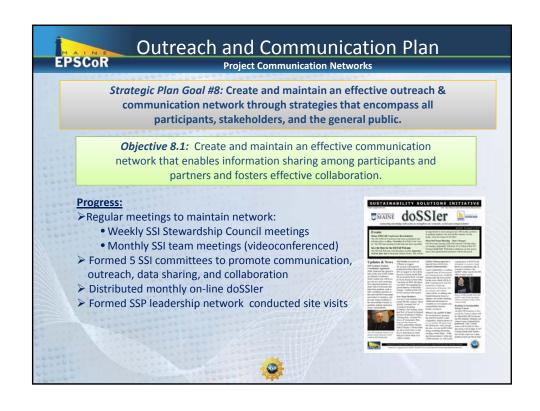
Progress:

- Tandberg 30-port High Definition videoconferencing Multipoint Control Unit was installed for statewide use (allows larger #s of participants)
- Tandberg videoconference systems installed at: (adding to existing videoconferencing network)
 - Maine Mathematics & Science Alliance (Maine STEM Collaborative home) in Augusta
 - USM Law School in Portland (pending) (SSI core faculty team)
- High bandwidth Gigabit Ethernet switches installed in 13 buildings at UMaine (facilitate SSI research collaborations)
- Webcams and training provided for 16 researchers throughout Maine –
 additional training scheduled for upcoming state conference

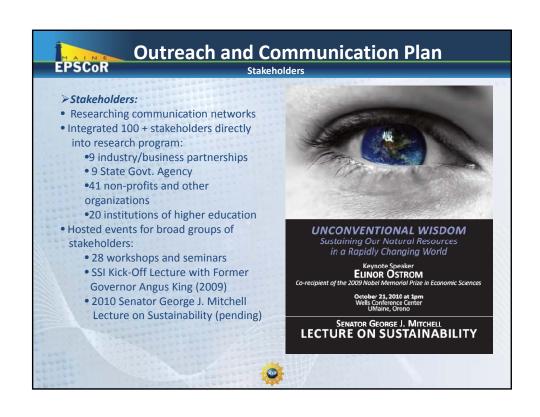


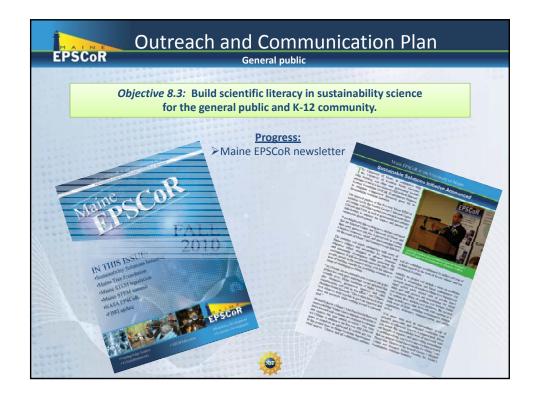


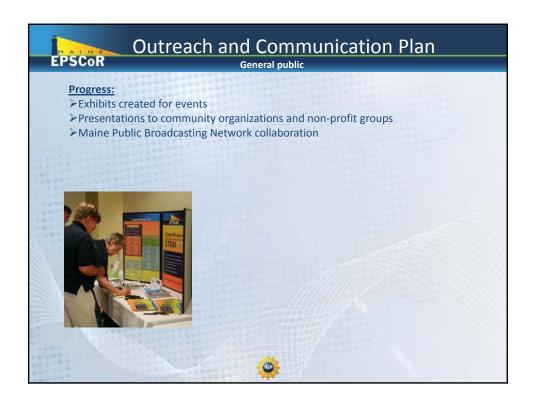




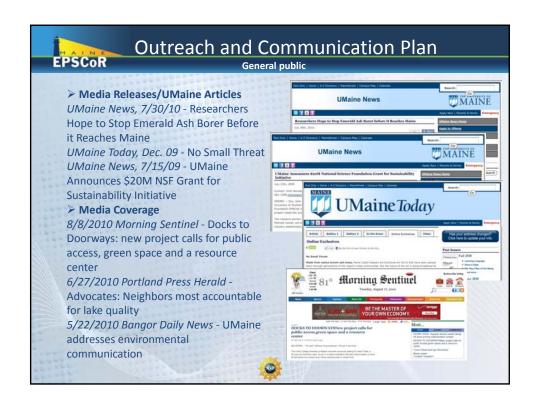


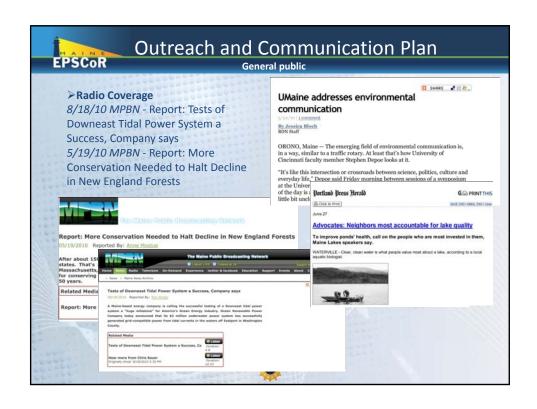






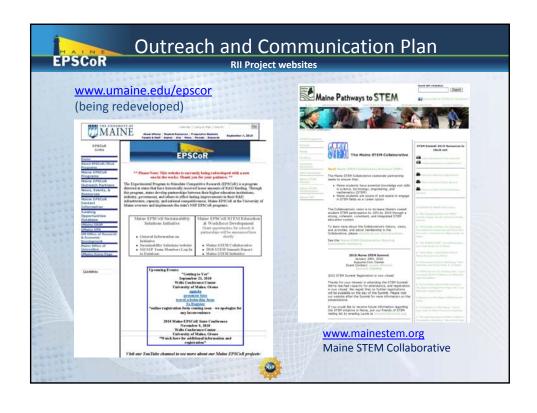


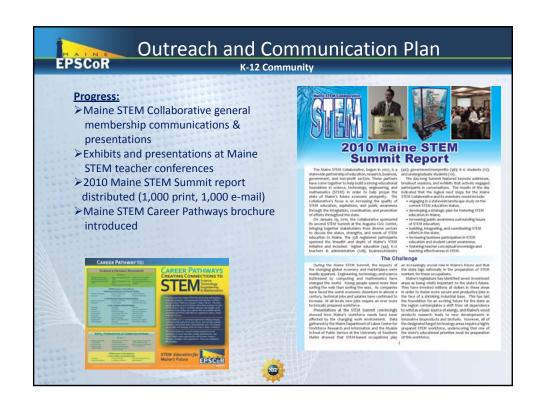












Outreach and Communication Plan

NSF EPSCoR Community

Objective 8.4: Maintain outreach and communication with the NSF EPSCoR office and other EPSCoR jurisdictions.

Progress:

- ➤ September 2009: NSF EPSCoR Program Officer site visit for Maine EPSCoR State Conference, and SSI Strategic Planning session with evaluators
- Annual reports, highlights, newsletter, evaluation & advisory board reports to NSF EPSCoR
- >Attendance and presentations at NSF EPSCoR conferences and meetings:
 - October 2009 NSF EPSCoR National Conference, DC Maine's SSI
 - May 2010 NSF EPSCoR PD/PA meeting, DC
 - March 2010 Arkansas STEM workshop Maine's STEM Collaborative
 - May 2010 PA Best Practices meeting, DC SSI Project Management
- ➤ Informal Project Administrators community networking
- ➤ Networking with other EPSCoR jurisdictions on Track 2, NIH INBRE CI supplements, and other grant opportunities to leverage Track 1 infrastructure investment.





Management Plan

Overall Maine EPSCoR RII Project

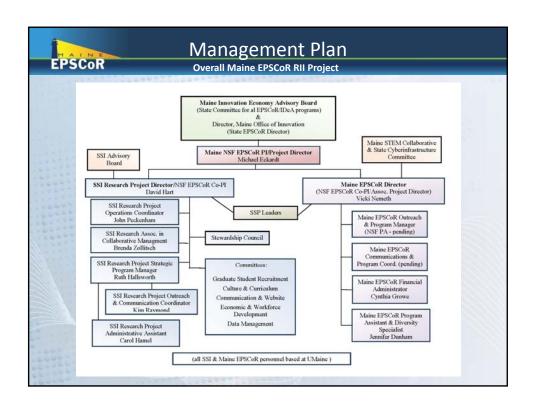
Strategic Plan Goal #9: Implement an effective management plan that will support and ensure the overall success of the Maine EPSCoR RII project.

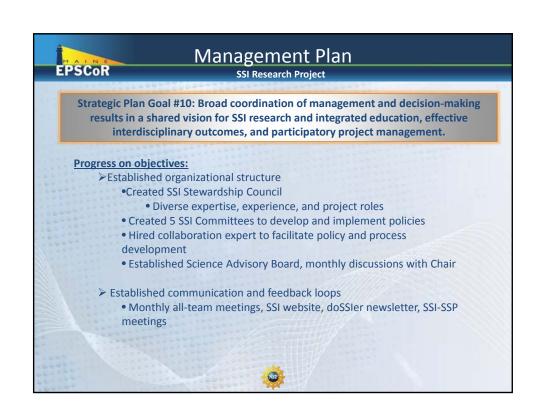
Objective 9.1: Management systems are in place to allow for effective coordination, communication, and integration of all program components at all institutions.

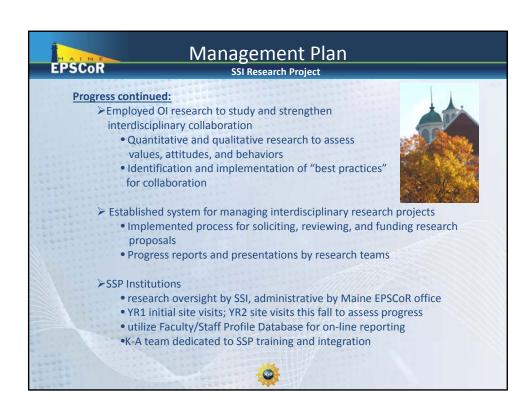
Progress:

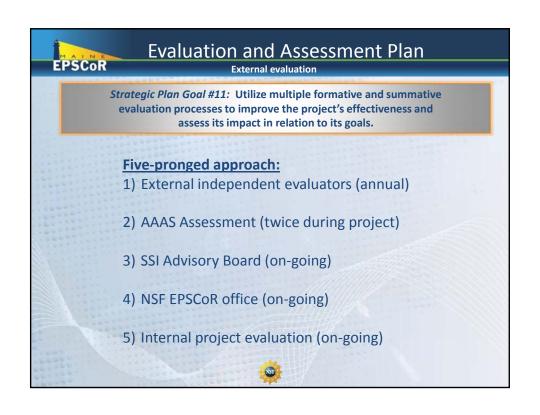
- ➤ Statewide oversight by Maine EPSCoR State Committee
- Management team has direct oversight over all aspects
- > Tandem, but highly integrated, organizational project structure:
 - SSI office: responsible for all research and integrated education components
 - •Maine EPSCoR office: responsible for all other components



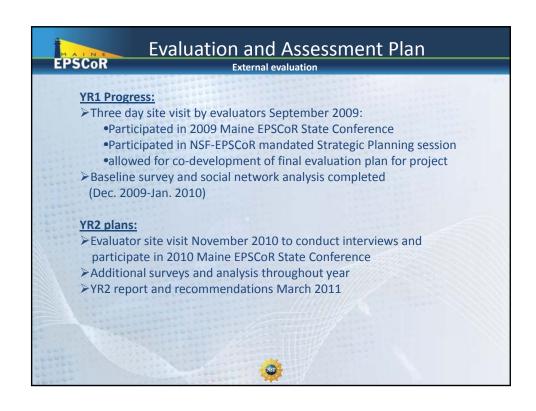


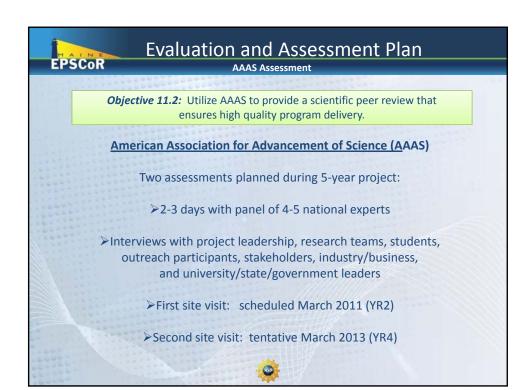


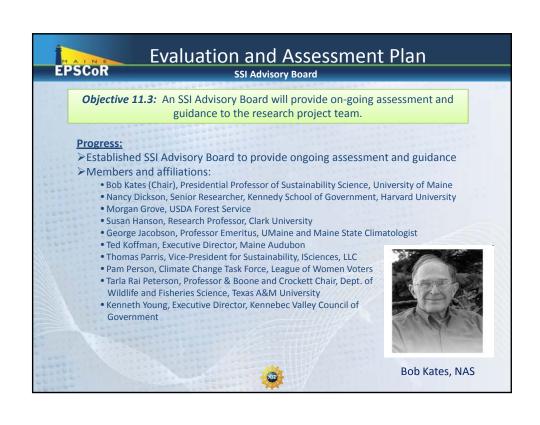




Evaluation and Assessment Plan EPSCoR External evaluation Objective 11.1: Contract with experienced external evaluators to annually assess the project's performance. **External Evaluators:** Dr. Eric Welch, University of Illinois, Chicago Dr. Julia Melkers, Georgia Institute of Technology > Evaluation design includes: quantitative and qualitative longitudinal study over five year project • formative evaluation to provide feedback to Maine EPSCoR management • Summative evaluation to provide outcome measures and analysis for NSF **EPSCoR** and external stakeholders > Evaluation schedule: • Site visits annually around Maine EPSCoR State Conference (as applicable) • On-line surveys and other data collection activities on-going as needed







Evaluation and Assessment Plan

SSI Advisory Board

Progress:

- First meeting December 15, 2009:
 - Briefings and Q&A with all SSI research teams
- Regular communication (> once per month) with Board Chair
- Continued input from Board:
 - Evaluation of research progress
 - Advice to SSI management re suggested program modifications
 - Enhanced networking (regional, national, international)
- Implementation of Board feedback via SSI Stewardship Council and Organizational Innovation research team





Evaluation and Assessment Plan

SSI Advisory Board & External Evaluators Recommendations

YR1 SSI Advisory Board & External Evaluators Recommendations:

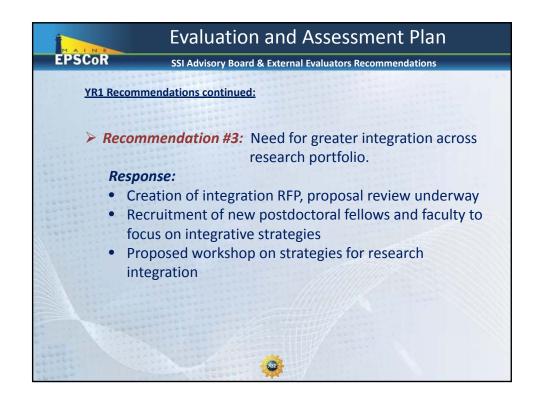
➤ **Recommendation #1:** Need for greater development of interdisciplinary capacity.

Response:

- Increased support for existing interdisciplinary teams
- Training in interdisciplinary "best practices" led by members of SSI Organizational Innovation team
- Recruitment of new faculty, postdoctoral fellows, and doctoral students
- Hiring of expert in collaborative processes



EValuation and Assessment Plan SSI Advisory Board & External Evaluators Recommendations YR1 SSI Advisory Board & External Evaluators Recommendations: Recommendation #2: Need for increased stakeholder engagement. Response: Training in engagement "best practices" led by members of SSI Organizational Innovation team Creation of an integrative Knowledge-Action team serving multiple SSI and SSP projects to facilitate and study engagement processes Hiring of expert in collaborative processes



Evaluation and Assessment Plan

SSI Advisory Board & External Evaluators Recommendations

YR1 Recommendations continued:

Recommendation #4: Address issues raised by low interest in using cybertechnology.

Response: YR2 includes small-group training workshops using webcams, videoconferencing, social networking, etc. for communication.

Recommendation #5: Continue to develop the Faculty/Staff, Student, and Stakeholder databases.
Response: Faculty/Staff/Student Profile Database customized and expanded May 2010 for all SSI and SSP reporting. Stakeholder database updated by SSI office.



EPSCoR

Evaluation and Assessment Plan

NSF EPSCoF

Objective 11.4: Participate in NSF EPSCoR reverse site visits and site visits, and Project Director/Project Administrator meetings and trainings.

NSF EPSCoR Reverse Site Visits:

YR2: September 2010 (current)

YR4: September 2012

NSF EPSCoR Site Visits: (tentative)

YR3: July 2011 to June 2012 YR5: July 2013 to June 2014

Other Maine EPSCoR activities:

YR1: September 2009 Maine EPSCoR State Conference – program officer site visit & participation in strategic planning session

Other NSF EPSCoR activities:

YR1: May 2010 Project Administrator Best Practices workshop



EPSCOR

Evaluation and Assessment Plan

Interna

Objective 11.5: Maine EPSCoR management teams engage in on-going evaluation and assessment to ensure that the project achieves goals, objectives, and benchmarks.

Maine EPSCoR Management Team:

Meets monthly to review progress, challenges, and actions needed, using all inputs as feedback loops.

- SSI/SSP research progress, challenges, issues, and actions addressed by:
- •SSI Stewardship Council (weekly)
- •SSI Research Council: (pending monthly)
- •SSI Research Teams (monthly)
- •SSP Research Teams: (3-4 times a year in person; other on-going)

➤ Maine EPSCoR Office:

- On-going financial review
- On-line reporting databases
- On-going benchmarks assessment
- •SSP Site visits (1-2 times/year) to assess progress & address issues
- •Maine STEM Collaborative: meets monthly & provides feedback loop on outreach efforts





Sustainability Plan

Research

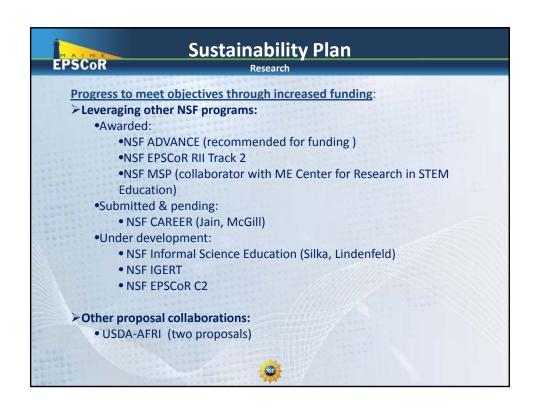
Strategic Plan Goal #12: Sustain the SSI infrastructure, impacts, and achievements through the continued integration of scientific entrepreneurship, institutional and external support, partnerships, education, workforce development, and constituency outreach.

Progress to meet objectives through:

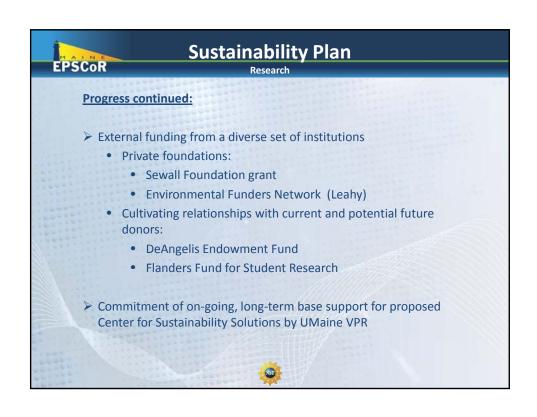
- Project outputs:
 - Human Resource infrastructure:
 - Positions directly supported: 264
 - New hires: 3 faculty, 2 postdocs, 18 graduate, 90 undergraduate,
 21 high school students, 1 administrative
 - Participants: 3,524
 - Publications: 18 scientific journal articles; six websites
 - Proposals:
 - Submitted: 19/\$6.3M
 - Awarded: 9/\$2.4M
 - Pending: 8 /\$3.7M



Progress to meet objectives through synergies & partnerships: Fostered increased commitment to interdisciplinary collaboration Creation of new research teams and partnerships Matching departmental support for SSI graduate students Built state-wide network of university-stakeholder partnerships SSI and SSP projects span wide range of Maine's geography, communities, and concerns Increased recognition for role of higher education in serving state's needs Exploring new opportunities for jurisdictional, regional, national, and international collaboration









Sustainability Plan

Researc

Progress continued:

- ➤ Increased capacity and competitiveness through:
 - Branding Maine as a leader in sustainability science
 - Mitchell Lecture 2010 (Elinor Ostrom, 2009 Nobel Prize winner)
 - Expanded base of interest and experience in solutions-driven, interdisciplinary research involving faculty from throughout Maine
 - Wide array of stakeholders value opportunities to collaborate with university researchers due to growing focus on linking knowledge with action
 - Expansion of interdisciplinary teamwork and university-community partnerships leads to stronger social networks and greater support for science-based decision-making





Special Conditions Progress

RII Project

NSF EPSCoR Special Terms and Conditions:

- ➤ Meet required cost share of 20%:
 - •Met required cost share of \$800,000
 - •Plus additional YR1 cost contributions of \$645,645
- Ensure participant support funds not used for other expenses:
 - Participant support costs are tracked in a separate account

NSF EPSCoR General Terms and Conditions:

- ➤ Key Personnel: no changes
- Project Governance ensures efficient and effective performance:
 - Project organization structured to maximize success
 - NSF-mandated strategic planning session Sept. 2009 (within three months of award) and plan submitted within one month
- Reporting requirements:
 - Annual report submitted with required components
 - YR1 unobligated funds: \$465,285 (11.6%) not spent but committed



Strategic Plan Progress

Summatio

- As detailed in previous slides, the YR1 focus has been on developing the research and education infrastructure to support a large project of this size.
- All strategic plan components were addressed as outlined or at a greater level.
- Achieved or exceeded majority of benchmarks for YR1 in all project component areas.
- ➤ Major exceptions are:
 - •One faculty new hire in interview process
 - •Two postdoctoral fellowship positions in search process
 - •Two professional staff positions in search process



EPSCOR

Challenges and Actions

SSI Research

> Challenges identified by evaluators & advisory board

- Greater integration across SSI projects
 - •Broader focus on major issues regarding Maine's future
 - •Increased responsiveness to stakeholder needs
 - •More solutions-driven approach

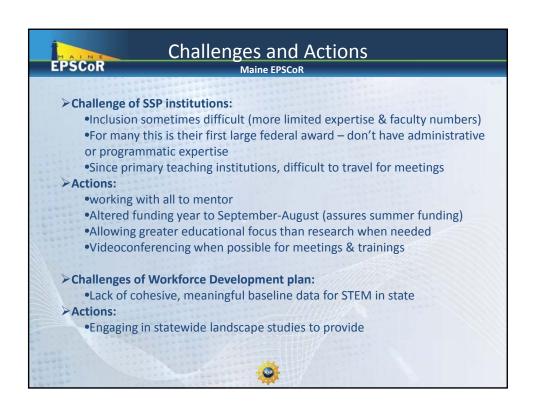
➤ Corresponding actions being taken:

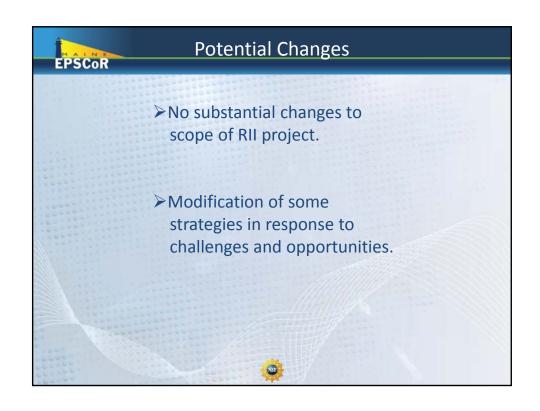
- Focus on increased research integration via RFP (awards Oct. 15)
- Multiple discussions with SSI team regarding integrative research strategies and potential benefits (research retreats)
- New faculty will add greatly to integrative capacity

➢Other challenges & actions:

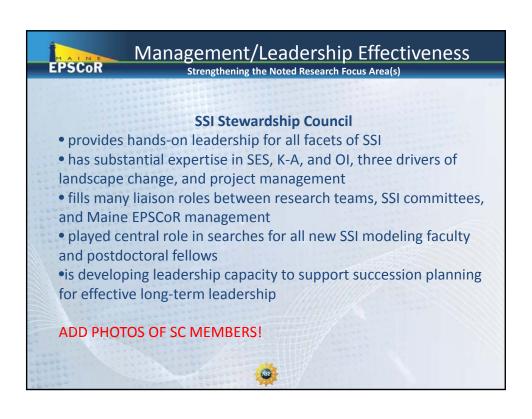
- new hires (in process)
- · data management plan

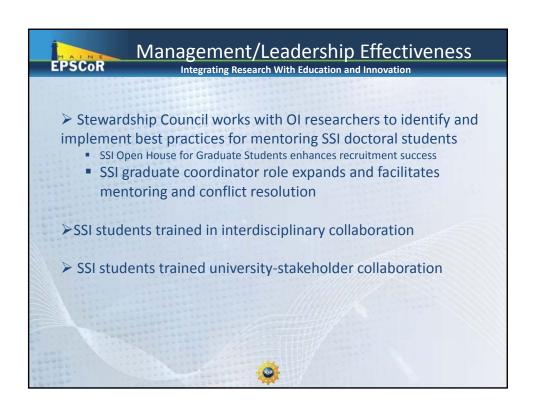


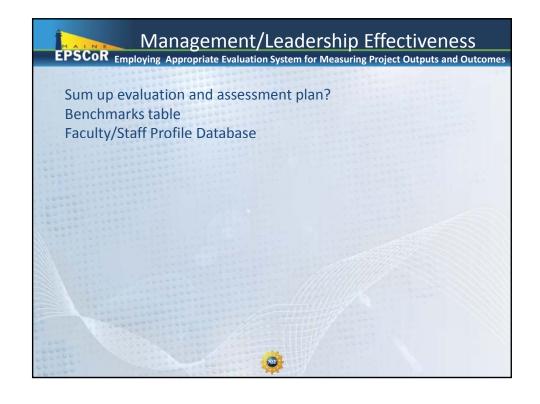
















Strategic Fidelity and Impact

State S&T plan

- Developed research infrastructure plans in response to statewide strengths, opportunities, and barriers
 - •Aligned with 2010 Maine Science and Technology Action Plan to "Create an environment where science, technology, innovation, and entrepreneurship stimulate Maine's economy."
 - Support 4 of Maine's 7 targeted sectors
 - Support goals and objectives to:
 - Increase R&D to public and private sector
 - •Increase employment by building innovation capacity
 - •Increase per-capita income by increasing the skills of Maine workers



EPSCoR

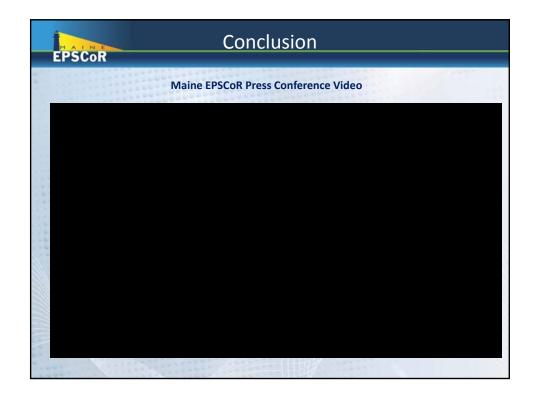
Value Added

Research, Education, and Innovation

- Coordinated research and education to add value across institutions, jurisdiction, and region
- Developed metrics to measure additional value
- > Enhancing Infrastructure with Social Science Research Lab
- > Launched economic development taskforce
- Adding capacity to state's current & future workforce infrastructure:
 - Hired 3 SES Modeling Faculty
 - Interviews underway for Watershed Modeler
 - Hired 2 SSI Postdoctoral Fellows
 - Supported 40 graduate students, 90 undergraduate students, and 21 high school students
 - Recruited strong SSI Doctoral Cohort of 15
 - Formed new Native American Collaborative Research program (2 M.S. Students Participating)







Conclusion

- SSI is taking on a leadership role in this integrated type of sustainability science, which has not been undertaken before.
- This is a unique and trans-disciplinary project, which is especially challenging given the statewide participation of non-research oriented institutions.
- For a comprehensive, statewide project of this magnitude and complexity, progress in YR1 has been significant.
- ➤ Well-positioned for YR2 implementation and expansion, and to set the stage for impacts and outcomes that will truly benefit Maine's quality of place.



