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Award Management

**National Science Foundation
Fall Grants Conference**

Pittsburgh, PA - November 14 & 15 - Carnegie Mellon University

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Award Management

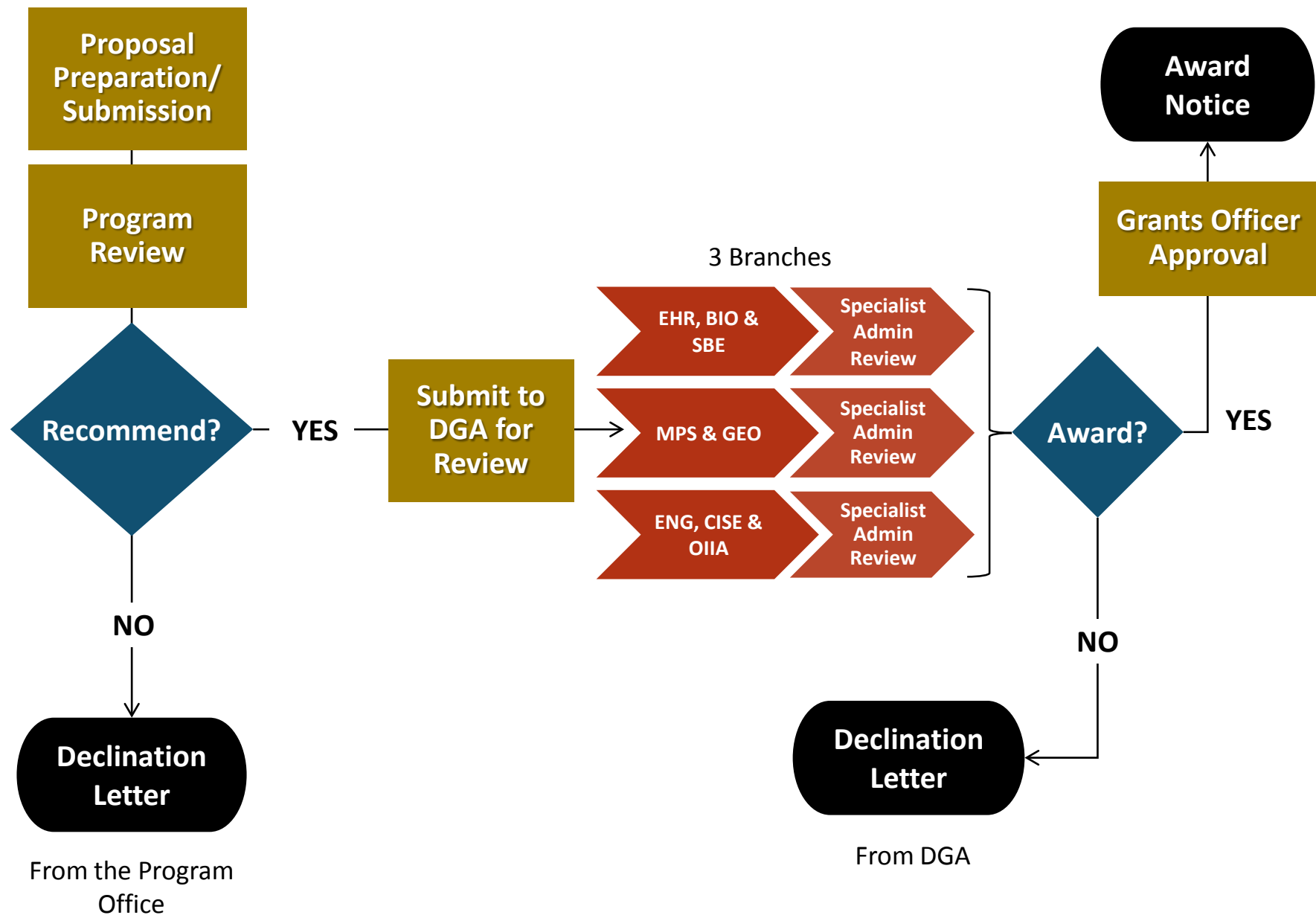
Topics Covered

- NSF Award Process
- Awardee Responsibilities - Keys to Success
- Post Award Notifications and Requests
 - No Cost Extensions
 - Cancelled Appropriations
 - Award Transfer
- Reasons for Delays in Award Processing
- Project Reports
- Other Tips
- Award Monitoring
- General Resources and Org Charts



“Ask Early, Ask Often!”

NSF Award Process - Overview



What Kind of Awards are Issued by DGA?

Assistance Awards - the principal purpose of which is to transfer anything of value from NSF to the grantee for them to carry out a public purpose; and not to acquire property or services for NSF's direct benefit or use.

- **Grants** (*Standard and Continuing*)
- **Cooperative Agreements**
- **Fellowships**

How Many Actions Does DGA Process?

DGA typically approves approximately 17,000 funded actions, and 4,000 non-funded actions each year.

NSF Award Process

In Fiscal Year 2016: DGA Approvals

New and Renewal Awards	Number	Amount (In Millions)
• Standard Grants	9,219	\$3,307
• Continuing Grants	2,399	\$ 653
• Cooperative Agreements	63	\$ 255
• <u>Fellowships</u>	405	\$ 86
Total	12,086	\$4,031

Other funding actions - (Award increments and supplements)

5,235	\$2,080
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Non-funding actions – (No cost extensions and other no funds actions)

3,950

Awardee Responsibilities – Keys to Success

- Compliance with Federal rules
- Adherence to award terms and conditions
- Read your award notice carefully! It may include project or award-specific requirements, such as:
 - Funding restrictions
 - Special reporting requirements
 - Special terms and conditions or other instructions
- Consistent with NSF policies and institutional policies
- Prudent management of funds:
 - Allowable
 - Allocable
 - Reasonable
 - Necessary

Awardee Responsibilities - Keys to Success

- Follow your institutional policies
- If I have questions about the award, who do I contact?

PI:

- Your NSF Program Officer for technical/scientific questions
- Your Sponsored Research Office (SRO) for administrative questions

SRO:

- DGA Portfolio Manager for award specific questions
- NSF Policy Office for general questions

Post-Award Notifications and Requests

Consolidated List of Notifications and Requests (not all-inclusive)

<u>Type of Grantee Notification = Awardee Authority</u>	<u>Submitted By</u>	<u>Who Reviews</u>		
Grantee-Approved No-Cost Extension	AOR	Program Officer		
Significant Changes in Methods or Procedures	PI	Program Officer		
Significant Changes, Delays or Events of Unusual Interest	PI	Program Officer		
Annual and Final Cost Share Notification by Recipient	AOR	Program Officer		
Conflicts of Interest that cannot be satisfactorily managed, imposition of conditions or restrictions when a conflict of interest exists	AOR	OGC		
<u>Type of Grantee Request = NSF Approval Required</u>	<u>Submitted By</u>	<u>Who Reviews and Recommends?</u>	<u>Who Approves?</u>	<u>Amendment or Notice?*</u>
Subawarding, Transferring or Contracting Out Part of an NSF Award	AOR	Program Officer	DGA	Amendment
First NSF-Approved No-Cost Extension	AOR	Program Officer	Program Officer	Notice
Second NSF-Approved No-Cost Extension	AOR	Program Officer	DGA	Amendment
Change in Objectives or Scope	AOR	Program Officer	DGA	Amendment
Long-Term Disengagement of the PI/PD or co-PI/co-PD	AOR	Program Officer	Program Officer	Notice
Change in Person-Months Devoted to the Project	AOR	Program Officer	Program Officer	Notice
Addition of co-PI/co-PD	AOR	Program Officer	DGA	Amendment
Withdrawal of PI/PD or co-PI/co-PD	AOR	Program Officer	DGA	Amendment
Substitute (Change) PI/PD or co-PI/co-PD	AOR	Program Officer	DGA	Amendment
PI/PD or co-PI/co-PD Transfer from One Organization to Another	AOR	Program Officer	DGA	-Old Organization, no notice, check research.gov - New Organization, amendment
Pre-award Costs in Excess of 90 Days	AOR	Program Officer	DGA	Amendment
Salaries of Administrative or Clerical Staff	AOR	Program Officer	DGA	Amendment
Travel Costs for Dependents	AOR	Program Officer	DGA	Amendment
Rearrangements/Alterations (Construction)	AOR	Program Officer	DGA	Amendment
Reallocation of Funds for Participant Support Costs	AOR	Program Officer	Program Officer	Notice
Additional categories of participant support costs other than those described in 2 CFR § 200.75	AOR	Program Officer	DGA	Amendment
Change to cost sharing commitments reflected on Line M of the NSF award budget	**AOR, via email	Program Officer/DGA	DGA	Amendment
Request for Supplemental Support	AOR	Program Officer	DGA	Amendment
Notes:				
See Exhibit VII-I of the PAPPG for more details: https://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf17001&org=NSF				
*You will always be notified when the award is amendment. Program Officer's have the option to send or not send approval notices. Check rearch.gov for the status of your request.				
**Requests to change cost share commitments must be emailed. Best practice is to email both the NSF Program Officer and the DGA Portfolio Manager				

What about More Time: No Cost Extensions

- Cannot be used for awards with \$0 balance
- Not intended just to use up remaining funds (\$\$)
- Submit Grantee Approved NCE at least 10 days prior to end date
 - Must be within 6-months of the end date of the award
- Submit NSF-approved NCE at least 45 days prior to end date
- Research.gov will automatically determine what type of NCE is appropriate based upon eligibility
- May submit an NSF-approved NCE “late”, but will need to include a reason for being late
- Research.gov will block submission of a NCE if the revised end date extends the award beyond the appropriation cancellation date.
 - Most NSF funds have a limited period of availability to expend funds (usually six years from the appropriation year) before the appropriation cancels.
 - NSF will notify grantees of any canceling appropriations on open awards in order for grantees to properly and responsibly expend and draw down funds before the end of the fiscal year.



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Cancelled Appropriations

Edit Notification/Request

Grantee-Approved No-Cost Extension

[← Back to Notifications & Requests Home](#)

ⓘ Appropriated Funds have expired for this award. No Notification/Request can be submitted for this award.

Award Number:
End Date:
Status:

11/30/2016

Forwarded to AOR

Award Title:

ⓘ Reminder: This one time extension may not be exercised merely for the purpose of using the unliquidated balances.

Required

Revised End Date:


11/30/2017

▼

(Always expires on the last day of the month)

Justification for Grantee-Approved No-Cost Extension:

Characters remaining: **978** (out of 1200 max)

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Award Transfers

- Grants are awarded to the Organization and not the PI
- If the PI is moving to a new Organization
 - Nominate new PI
 - Request to sub-award with the new Organization
 - Agree to transfer the grant
 - Terminate the grant



Common Reasons for Delays in Proposal Processing

Proposal Budgets – Unallowable/Unjustified Costs

- Participant Support Costs
- Other Direct Costs
- Subawards:
 - Be sure that sub-recipient budgets and budget justifications are included as part of the proposal budget or post award Addition of Sub-award request.
 - Make sure you have a plan in place for monitoring sub-awards (see Uniform Guidance, 2 § CFR 200)
 - Remember, the relationship is between the prime and the sub-awardee
- Other: Itemize other direct costs clearly in the budget justification and beware of unallowable costs.
- Indirect Costs: Charge in accordance with your most recent federally negotiated rate agreement.
- Budget Justifications: Address all proposed costs by NSF line item.

Common Reasons for Delays in Proposal Processing

Solicitation Requirements

- DGA reviews the solicitation to ensure budgetary and administrative conditions are in accordance with the solicitation.

Research involving Human Subjects or Vertebrate Animals

- Except under very limited circumstances (see the NSF PAPPG for details), IRB and IACUC Certifications must be submitted to the NSF Program Officer before DGA can issue an award. DGA will look for such documentation before making an award.

Overdue Reports

- No future funding
- No administrative actions
- Can impact other PI's awards
- PO can return final report up to 30 days after approval date
- Report status can't be re-set for annual reports

Annual Project Reports (APRs):

- Due annually every year of the project except the final year
- Report on technical progress
- Must be approved by the Program Officer

Final Project Report (FPR):

- This is the final annual report
- This is not intended to be a cumulative report
- Report on technical progress
- Must be approved by the Program Officer

Project Outcomes Report for the General Public (POR):

- Brief summary of the project for the public
- Not approved by the NSF

Project Reports - Tips

- The NSF sends “reminder” notices for all reports – when they are due and when they become overdue
- The report requirements for an award are available to the PI and all Co-Pis via Research.gov
- The SRP also can run a report to show reports for their awards that are due and overdue
- The PI and all Co-Pis may submit the reports
- The SRO does not have access to submit the reports
- When in doubt, call the NSF – PO or Help Desk

Other Tips

- Organization Policies and Procedures should be written and kept up to date
- Follow Research.gov and FastLane directions and edits
- Read error messages received in Research.gov and FastLane – make screen shots to include in emails to Help Desk and PO
 - For Research.gov questions, call the Research.gov Help Desk at 1-800-381-1532
 - For FastLane questions, call FastLane at 1-800-673-6188
- Award notices are sent to the Organization SRO
- Publications are pulled from the APR and FPR

Potential NSF Monitoring

- Programmatic Site Visits
- Division of Institution & Award Support (DIAS) contracted desk reviews
- DIAS Advanced Monitoring Site Visit Program in conjunction with the Division of Grants & Agreements (DGA)
- Division of Financial Management (DFM) baseline monitoring including active payment monitoring and post award financial activity reviews
- Office of Inspector General (OIG) audits



Online Resources

Find how to get assistance with your award from the Division of Grants & Agreements

Direct Links to PAPP-G

Find Award Conditions

National Science Foundation
WHERE DISCOVERIES BEGIN

QUICK LINKS

SEARCH

HOME FUNDING AWARDS DISCOVERIES NEWS PUBLICATIONS STATISTICS ABOUT NSF FASTLANE

Awards

Search Awards
Recent Awards
Presidential and Honorary Awards
About Awards

Proposals and Awards

Proposal and Award Policies and Procedures Guide
Introduction
Proposal Preparation and Submission
• Grant Proposal Guide
• Grants.gov Application Guide
Award and Administration
• Award and Administration Guide
Award Conditions
Other Types of Proposals
Merit Review
NSF Outreach
Policy Office

How to Manage Your Award

The Award and Administration Guide(AAG) (Part II of the NSF Proposal & Award Policies & Procedures Guide) sets forth NSF policies regarding the award and administration of

[nsf.gov/awards/managing/](https://www.nsf.gov/awards/managing/)

The Grant General Conditions, Research Terms and Conditions, Cooperative Agreement Conditions and Special Conditions pages provide the full text of the terms and conditions used to manage NSF grants and cooperative agreements. Topics covered include awardee responsibilities, federal requirements, pre-award costs, no-cost extensions, significant project changes, travel, allowable costs, project reports, final report requirements, and more.

The Policy Office, in the Division of Institution and Award Support, provides general proposal & award policy guidance for use by the NSF proposer and awardee community. The Policy Office page includes NSF-specific regulations, policies and procedures, other Federal regulations, information regarding important NSF policies, answers to frequently asked questions, award conditions, as well as other valuable information.

The NSF conducts outreach on proposal preparation and award administration, through Regional Grant Conferences, other targeted outreach programs, as well as FastLane outreach activities.

The Division of Grants and Agreements (DGA) is responsible for the award of all NSF grants and agreements recommended for support by NSF program offices, with the exception of the Foundation's portfolio of large facility cooperative agreements. From pre-award through closeout, DGA conducts a variety of business, financial, and administrative reviews to ensure compliance with award terms and conditions, NSF policies and procedures, and Federal rules and regulations. Pre- and post-award reviews of awardee organizations are conducted in coordination with DGA and by the Division of Institution and Award Support through its Cost Analysis and Audit Resolution Branch. The Cooperative Support Branch under the Division of Acquisition and Cooperative Support is responsible for negotiation, award, administration, monitoring and oversight of complex cooperative agreements for Federal Funded Research Centers (FFRDCs), major research facilities, and other large facilities in various stages of the facility lifecycle. The Cash Management Branch of the Division of Financial Management manages the awardee payment processes. Quick links to the NSF offices that support Award Management functions, Foundation news impacting awardees, and related information and answers to Frequently Asked Questions (FAQs) are also provided on the DGA site to assist awardees with managing their awards.

Division of Grants and Agreements

Division of Grants and Agreements (DGA)

Main Office; 703-292-8210

Effective: 11/1/2016

DGA Front Office
Staff Associate
Staff Assistant
Branch Chief
Team Lead
Grant Specialist
Grant Administrator
Contractor
Student
IPA

Jamie French
DGA Division Director
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jhFrench@nsf.gov

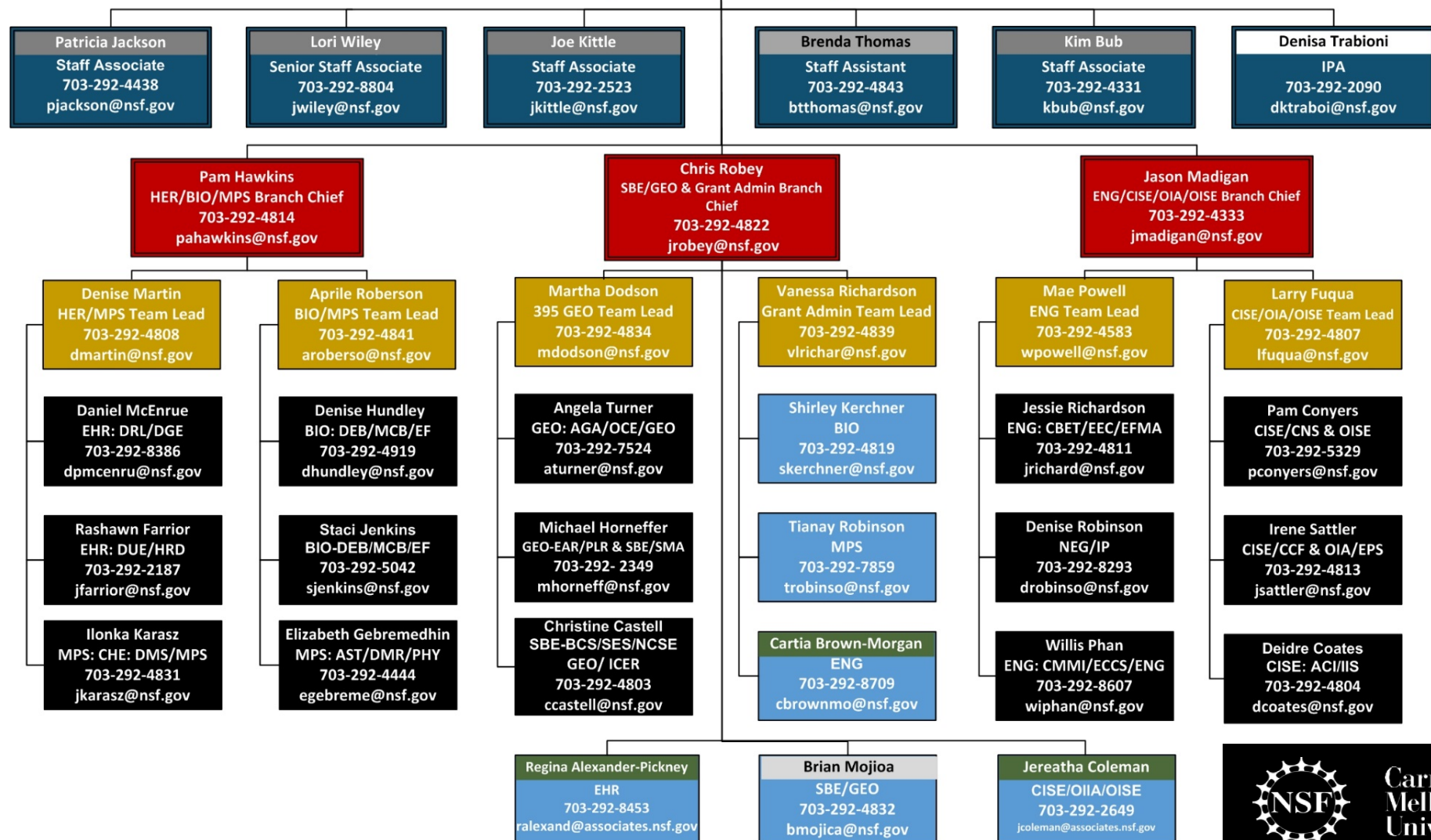
(vacant)
Director of Operations
703-292-xxxx
email@nsf.gov

- Website:

- nsf.gov/bfa/dga/

- Organizational chart:

- nsf.gov/bfa/dga/docs/liaison.pdf



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- Pixburgh or Picksburgh = Pittsburgh
- Stillers = Steelers
- Worsh = Wash
- Sammich = Sandwich
- Pop = Soda
- Dahntahn = Downtown
- Iggle = Eagle
- Keller = Color
- Ketch = Catch
- Redd up = Make Ready or Tidy Up
- Slippy = Slippery
- D'jeet or d'jeetyet = Did you eat / Did you eat yet?
- Yunz or Yinz = You Ones or Y'All



Ask Early, Ask Often!

[nsf.gov/staff](https://www.nsf.gov/staff)

<https://www.nsf.gov/bfa/dias/policy/>

<https://www.nsf.gov/bfa/dga/>