



National Science Foundation  
WHERE DISCOVERIES BEGIN

NSF Grants Conference

# Award Management



March 11-12, 2013

Hosted by Howard University, Arlington, Virginia



# Panelists

## Denise Martin

Team Lead, Office of Budget, Finance & Award Management; Division of Grants & Agreements

## Claudia Postell

Director, Office of the Director, Office of Diversity & Inclusion



**Award Management:** The Grants and Agreements session will address award requirements and conditions, and will outline the responsibilities of those involved in the award process – principal investigators, grantee institutions, Program Officers, research administrators, and agency grants officials. The Office of Diversity and Inclusion will also address compliance and nondiscrimination topics.



# Topics Covered

- Award types
- NSF Award Process
- Award Notification
- Terms & Conditions
- Award Amendments
- Reports
- Monitoring
- AMBAP Visits
- Termination & Disciplinary Actions



# What kind of “Award”?

- Grants
- Cooperative Agreements



- Public purpose of support or stimulation
- Not a direct benefit or use of the Federal government



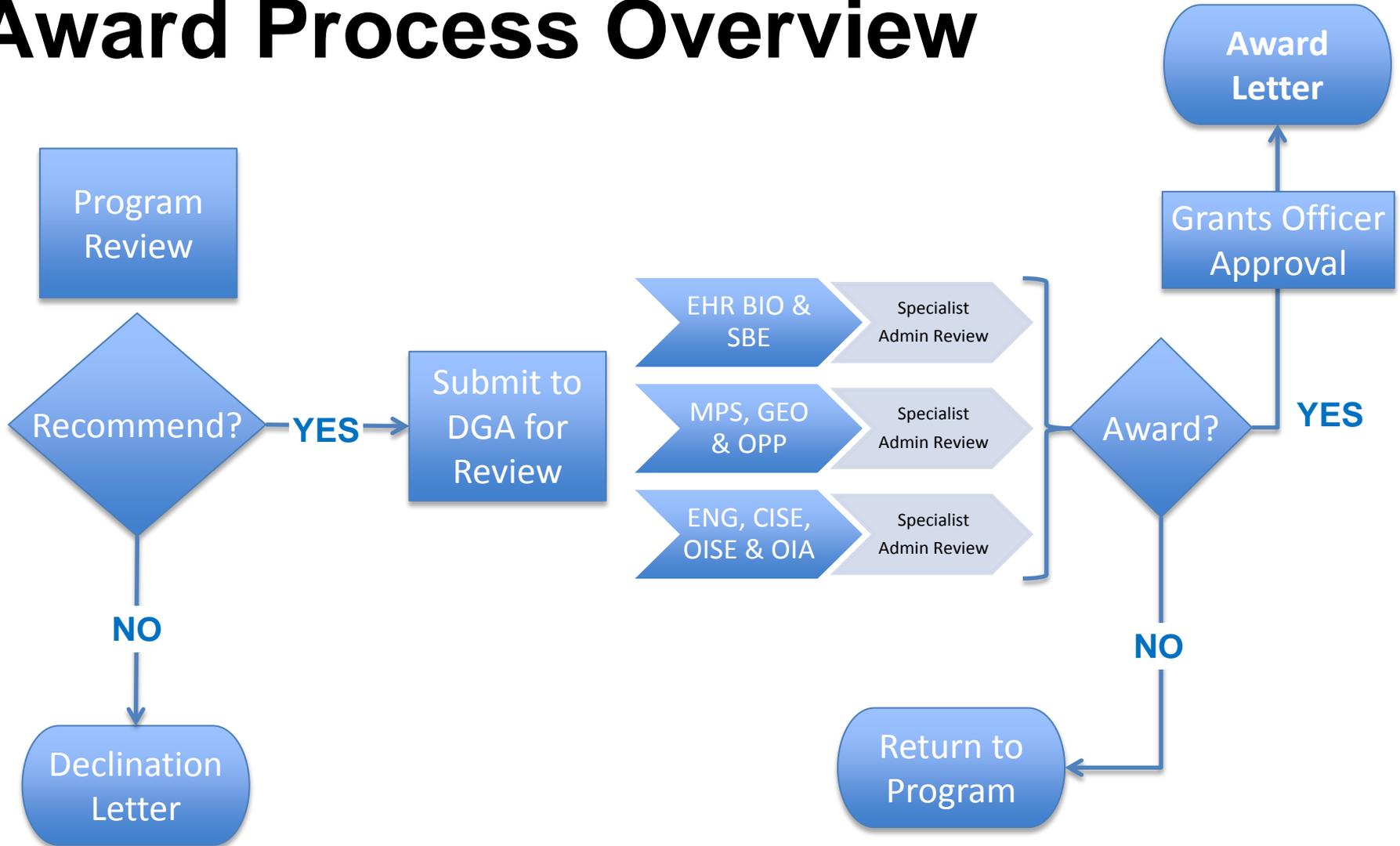
# Award vs. Contract

Award: \$ = Assistance

Contracts: \$ = Goods or Services



# Award Process Overview





# How many awards are we talking about?

**DGA approved over 23,000 actions last fiscal year.**

**18,558 funded actions**

**4,887 non-fund actions**





# Notification & Terms of Award

## Grants

- Award Letter
- Research Terms and Conditions (RTC) or Grant General Conditions (GC-1)



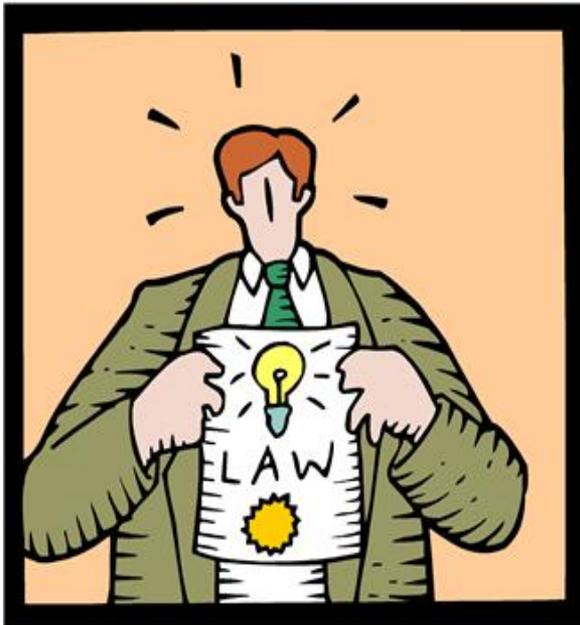
## Cooperative Agreements

- Award Notice
- Financial Administrative Terms and Conditions (FATC)
- Programmatic Terms and Conditions (PTC)





# Awardee Responsibility



- **Compliance with Federal rules**
- **Adherence to award terms**
- **Consistent with NSF policies**
- **Prudent management of funds**
  - Allowable
  - Allocable
  - Reasonable



# Changes that need approval?

- Objective or scope
- Principal Investigators (PIs)
- Subawards
- Participant support
- Pre-award costs



**What about more time?**

- Extensions



# Post Award Notifications & Requests

Research Administration | HOME ▶

[NSF Home](#) | [News](#) | [Site Map](#) | [GPG](#) | [AAG](#) | [Contact Us](#) | [FastLane Help](#)  
[Change Password](#) | [Logout](#)

**Notifications & Requests** | MAIN ▶

Forwarded by PI | Prepared by SPO | Submitted to NSF

Prepare a New Notification or Request for Award #: 9999999

<b>Award Amount:</b>	\$7,000,000.00
<b>Expiration Date:</b>	12/31/2011
<b>Division:</b>	DIVISION OF INFORMATION SYSTEMS
<b>Award Title:</b>	Test for Demo
<b>Awardee Organization:</b>	NSF
<b>PI/PD:</b>	Alphaman, Alan

GRANTEE NOTIFICATION TYPES	Topic Guidance
<input type="radio"/> Anticipated Residual Funds in excess of \$5,000 or 5%	<a href="#">AAG</a>
<input type="radio"/> Grantee Approved No Cost Extension	<a href="#">AAG</a>
<input type="radio"/> Cost Sharing Equal To or Greater Than \$500,000	<a href="#">AAG</a>
<input type="radio"/> Significant Changes/Delays or Events of Unusual Interest	<a href="#">AAG</a>
<input type="radio"/> Conflicts of Interests	<a href="#">AAG</a>
<input type="radio"/> Significant Changes in Methods/Procedures	<a href="#">AAG</a>
<input type="radio"/> Short-Term Absence of the PI/PD (Up to Three Months)	<a href="#">AAG</a>

Select the Notification or Request Type:

GRANTEE NOTIFICATION TYPES	Topic Guidance	GRANTEE REQUEST TYPES (Requires NSF Approval)	Topic Guidance
<input type="radio"/> Anticipated Residual Funds in excess of \$5,000 or 5%	<a href="#">AAG</a>	<input type="radio"/> Addition of SubAward	<a href="#">AAG</a>
<input type="radio"/> Grantee Approved No Cost Extension	<a href="#">AAG</a>	<input type="radio"/> Withdrawal of PI/Co-PI	<a href="#">AAG</a>
<input type="radio"/> Cost Sharing Equal To or Greater Than \$500,000	<a href="#">AAG</a>	<input type="radio"/> Long-Term Absence of the PI/PD (Over Three Months)	<a href="#">AAG</a>
<input type="radio"/> Significant Changes/Delays or Events of Unusual Interest	<a href="#">AAG</a>	<input type="radio"/> NSF Approved No-Cost Extension	<a href="#">AAG</a>
<input type="radio"/> Conflicts of Interests	<a href="#">AAG</a>	<input type="radio"/> PI Transfer	<a href="#">AAG</a>
<input type="radio"/> Significant Changes in Methods/Procedures	<a href="#">AAG</a>	<input type="radio"/> Pre-award Costs in Excess of 90 Days	<a href="#">AAG</a>
<input type="radio"/> Short-Term Absence of the PI/PD (Up to Three Months)	<a href="#">AAG</a>	<input type="radio"/> Rearrangement/Alteration \$25,000 or over (Follow these links for more information on <a href="#">Non-FDP Organizations</a> or <a href="#">FDP Organizations</a> . They will open a PDF file in new window.)	<a href="#">AAG</a>
		<input type="radio"/> Change of PI	<a href="#">AAG</a>
		<input type="radio"/> Significant Change in Person-Months Devoted to Project	<a href="#">AAG</a>
		<input type="radio"/> Changes in Objective or Scope	<a href="#">AAG</a>
		<input type="radio"/> Reallocation of Funds Budgeted for Participant or Trainee Support Costs	<a href="#">AAG</a>

\*Topic Guidance is provided through the Award & Administration Guide (AAG) reference.

Only “Requests” require NSF approval



# Grant Transfers?



## Awarded to the Institution and not the PI

- Nominate substitute PI
- Agree to transfer
- Request to subaward
- Terminate

Requires NSF Approval





# Has my request been approved?



**Not always an Award Amendment...**

**Check**



**for expiration date.**



# Required Technical Reporting



- Annual Project Reports
- Final Project Report
- Project Outcomes Report

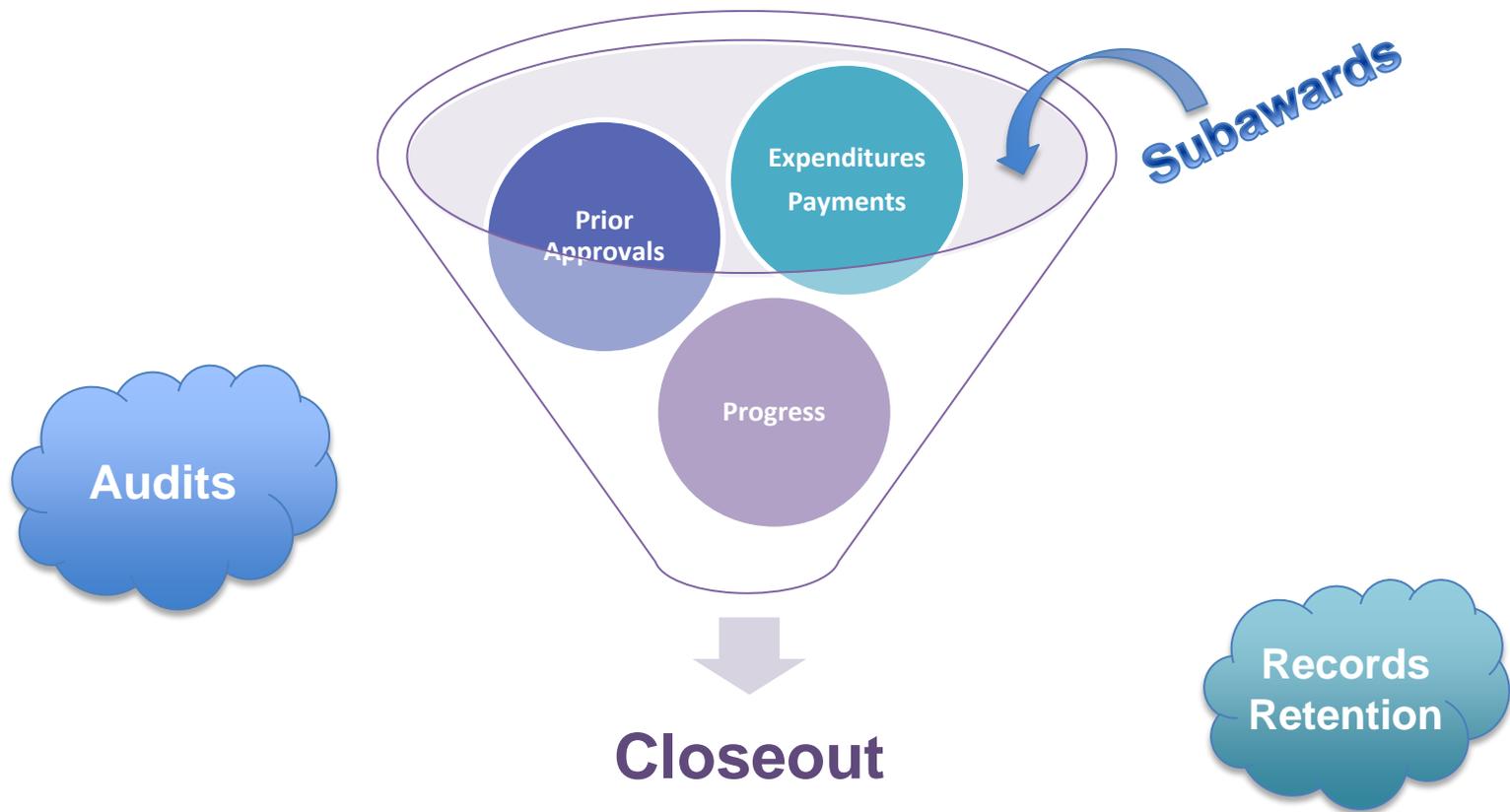
## Overdue Reports

- Prevent any future funding
- Stop prior approvals
- Affect all PIs and co-PIs





# Continuous Award Monitoring





# **AMBAP Visits**

**Division of Grants & Agreements (DGA)**

**Division of Institution & Award Support (DIAS)**

- Coordinate with Cost Analysis & Audit Resolution Branch
- Consult with Program Official
- Review Annual Reports
- Conduct Preparation Meetings
- Correspond with Grantee
- Conduct Site
- Write Post Site-Visit Report
- Follow-up activities as necessary



# What happens if things really go wrong?

- NSF may suspend or terminate award



- Awardee can terminate



# Award Management Online

**National Science Foundation**  
WHERE DISCOVERIES BEGIN

QUICK LINKS

SEARCH

HOME FUNDING AWARDS DISCOVERIES NEWS PUBLICATIONS STATISTICS ABOUT NSF FASTLANE

**Awards**

**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

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

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, 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.

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

Direct Links to GPG & AAG

Find Award Conditions

Click on Policy Office for additional information



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# Ask Early, Ask Often!

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# **Nondiscrimination: Civil Rights Compliance Requirements**

## **Role of the Office of Diversity and Inclusion.**

- **To ensure the agency is in compliance with the laws and regulations governing federal-sector equal employment opportunity and civil rights.**

## **Compliance requirements for recipients of federal/ NSF funds.**

- **All recipients are required to comply with laws and regulations that prohibit discrimination in federally assisted programs and activities.**



# **Nondiscrimination: Civil Rights Compliance Requirements**

- **As part of NSF's proposal guidelines, applicants for NSF funding are to adhere to the various non-discrimination requirements as discussed.**
- **Basically, these federal laws prohibit discrimination on the bases of race, color, national origin, gender, and disability in any program or activity that receives federal funding.**
- **ODI is charged with ensuring recipients are in compliance under applicable statutes via pre and post award compliance reviews.**



# **Nondiscrimination: Civil Rights Compliance Requirements**

## **Pre Award:**

- This is done via submission of an electronic certification at the time of proposal submission. As part of the electronic certification, the Organization's Authorized Representative certifies that the organization agrees to comply with the various nondiscrimination laws and regulations discussed during this presentation. This also applies to sub-recipients.**



# **Nondiscrimination: Civil Rights Compliance Requirements**

## **Post Award:**

- **This is done via post-award compliance reviews.**
- **Goal is to provide meaningful technical assistance to all recipients that help strengthen their current compliance efforts as well as identify and report on best practices.**
- **Requires recipients to provide information, inclusive of data, on specific programs that relate to federal antidiscrimination requirements.**
- **Limited compliance reviews are currently being conducted as part of the Large Facilities Office's Business Service Reviews (BSRs).**



# **Nondiscrimination: Civil Rights Compliance Requirements**

## **Post Award:**

- **Conducting Title IX reviews is part of NSF's Career Life Balance (CLB) Initiative. In response, NSF will initially focus primarily on conducting Title IX reviews.**
- **NSF in the process of implementing guidance for compliance reviews that are similar to that in the BSR process.**
- **Compliance reviews will focus on conducting desk reviews to gather compliance information; collecting promising and innovative practices to share with others, offering technical assistance where needed, and ultimately conducting on-site reviews.**



# **Nondiscrimination: Civil Rights Compliance Requirements**

- **NSF also is responsible for processing complaints of discrimination from institutions that receive NSF funding.**
- **Complaints are forwarded to NSF's EEO Director for processing.**
- **Complaints may also be processed via the institution's internal complaint process.**



# Nondiscrimination: Civil Rights Compliance Requirements

- **NSF's policy is to work with recipients to ensure they are in compliance.**
- **Failure to comply with one or more of the terms and conditions of NSF grants may result in suspension or termination of the grant.**
- **NSF will give the recipient notice and the opportunity to correct the deficiency.**
- **For a review of suspension or termination of procedures, please review NSF's Award and Administration Guide on its website at [www.nsf.gov](http://www.nsf.gov)**





## For More Information

# Ask Early, Ask Often!

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

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

[nsf.gov/about/career\\_opps/rotators/index.jsp](https://www.nsf.gov/about/career_opps/rotators/index.jsp)