



National Science Foundation
WHERE DISCOVERIES BEGIN

NSF Regional Grants Conference Award Management

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Hosted by: The University of Texas at Austin • Austin, TX



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WHERE DISCOVERIES BEGIN

Panelists

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Topics Covered

- **NSF Award Management Philosophy**
 - **Types of Awards**
 - **Award Notification**
 - **Research Terms and Conditions**
 - **Award Revisions: Awardee approval vs. NSF approval**
 - **Publication & Data Sharing**
 - **Other Requirements**
 - **Award Transfers**
 - **Technical Reports**
 - **Termination & Disciplinary Actions**
 - **Nondiscrimination: Civil Rights Compliance Requirements**
 - **Conclusion**
-



NSF Award Management Philosophy

- **NSF is an assistance agency**
 - **Audit responsibility resides with OIG**
 - **End-to-end award management**
 - **Risk-based review**
-



Types of Awards

- **Assistance Awards**
 - Grants
 - Cooperative Agreements
 - **Contracts**
-



Award Notification

- **Grants**
 - Award Notice
 - Research Terms & Conditions (RT&C) or Grant General Conditions (GC-1)
 - Special award conditions
 - **Cooperative Agreements**
-



Terms and Conditions

- **Research Terms and Conditions & NSF Agency Specific Requirements**
 - **Grant General Conditions (GC-1)**
-



Award Changes with Awardee-Authorized Approvals

Notification to NSF is NOT required for:

- **Most budget changes**
 - **90 Day Pre-Award Costs**
-



Award Changes Requiring NSF Notification/Approval

Submit notifications and requests via FastLane.

FastLane 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 Amount: \$7,000,000
Expiration Date: 12/31/2010
Division:
Award Title:
Awardee Organization:
PI/PD:

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

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

Prepare Cancel



Publication & Data Sharing Requirements

- **Acknowledgement of Support**
 - **Disclaimer**
 - **Copyright Material**
 - **Data Sharing**
-



Implementing Data Sharing

NSF Grant Conditions set the basic standards for expected data sharing by NSF awardees.

Visit: <http://www.nsf.gov/bfa/dias/policy/dmp.jsp>

The screenshot shows the NSF website page for 'Dissemination and Sharing of Research Results'. The page features a navigation menu at the top with links for HOME, FUNDING, AWARDS, DISCOVERIES, NEWS, PUBLICATIONS, STATISTICS, ABOUT, and FastLane. A search bar is located in the top right corner. The main content area is titled 'Dissemination and Sharing of Research Results' and includes sections for 'NSF Data Sharing Policy', 'NSF Data Management Plan Requirements', and 'Requirements by Directorate, Office, Division, Program, or other NSF Unit'. The left sidebar contains a navigation menu for the Office of Budget, Finance and Award Management (BFA), including links for DIAS Home, CAAR Branch, Policy Office, Systems Office, View DIAS Staff, Search DIAS Staff, and BFA Organization. The BFA Organization section lists various offices and divisions, such as the Office of Budget, Finance, & Award Management, Budget Division, Division of Acquisition and Cooperative Support, Division of Financial Management, Division of Grants & Agreements, and Division of Institution & Award Support.

Dissemination and Sharing of Research Results

NSF Data Sharing Policy

Investigators are expected to share with other researchers, at no more than incremental cost and within a reasonable time, the primary data, samples, physical collections and other supporting materials created or gathered in the course of work under NSF grants. Grantees are expected to encourage and facilitate such sharing. See [Award & Administration Guide \(AAG\) Chapter VI.D.4.](#)

NSF Data Management Plan Requirements

Beginning January 18, 2011, proposals submitted to NSF must include a supplementary document of no more than two pages labeled "Data Management Plan". This supplementary document should describe how the proposal will conform to NSF policy on the dissemination and sharing of research results. See [Grant Proposal Guide \(GPG\) Chapter II.C.2.i](#) for full policy implementation.

Requirements by Directorate, Office, Division, Program, or other NSF Unit

Links to data management requirements and plans relevant to specific Directorates, Offices, Divisions, Programs, or other NSF units, are provided below. If guidance specific to the program is not provided, then the requirements established in [Grant Proposal Guide, Chapter II.C.2.i](#) apply.

Please note that if a specific program solicitation provides guidance on preparation of data management plans, such guidance must be followed.

- Engineering Directorate (ENG)
 - [Directorate-wide Guidance](#)
- Geological Sciences Directorate (GEO)
 - [Division of Earth Sciences](#)
 - [Integrated Ocean Drilling Program](#)
 - [Division of Ocean Sciences](#)
- Mathematical and Physical Sciences Directorate (MPS)



Other Administrative Requirements

- **Use of Consultants**
 - **Equipment**
 - **Program Income**
 - **Travel**
-



Other Statutory & Regulatory Requirements

- **Animal Welfare**
 - **Recombinant DNA Molecules**
 - **Clean Air and Water**
 - **Human Subjects**
 - **Investigator Financial Disclosure**
 - **Debarment and Suspension**
 - **Nondiscrimination**
-



Award Transfers

- **The award is made to the university.**
 - **The university may transfer the award to another university.**
 - **Universities should consider making a sub-award.**
-



Technical Reports

- **Required:**
 - Annual Project Reports
 - Final Project Reports
 - Project Outcomes Report
 - **Optional:**
 - Interim Project Reports
-



FastLane – Proposals, Awards and Status - Project Reports System

NSF FastLane :: Project Reports Requirements - Windows Internet Explorer

https://www.fldemo.nsf.gov/researchadmin/piFLProjectReportsHome.do

NSF FastLane :: Project Reports Requirements

FastLane PI/CO-PI Management - Award and Reporting Functions | HOME ▶

NSF Home | News | Site Map | GPG | AAG | Contact Us | FastLane Help Change Password | Logout

Project Reports System | MAIN ▶ Organization: NSF

What is the difference between an Annual, Final, Interim and Project Outcomes Report?

Project Reports & Outcomes Interim Project Reports

Search for Awards with Annual/Final Project Report requirements by the following:

Award Number: Award Expiration Date:

Awards with Annual/Final/Project Outcomes Report Requirements:

Please Note - Use the "Interim Project Reports" tab for Contract Interagency Agreements, Interagency Agreements, Fellowships, and Fixed Price Awards.

To view Annual/Final Project Report requirements for an award, click the "Award Number" link below.
Sort results by clicking column titles.

PI/Co-PI's Name: Terry Demo

1 award found.

Award Number	Award Type	Award Title	Award Date	Award Expiration Date
0707551	Continuing Grant	PRS 11/18/06 Release Functional Verification 15	01/15/2007	12/31/2007

Local intranet 100%

Start [Icons] 1:38 PM



FastLane – Proposals, Awards and Status - Project Reports System

NSF FastLane :: Project Reports Requirements - Windows Internet Explorer

https://www.fldemo.nsf.gov/researchadmin/listProjRpts.do?awdID=0707551&awdTit=PRS+11%2F18%2F06+Relea... Live Search

File Edit View Favorites Tools Help

NSF FastLane :: Project Reports Requirements

FastLane PI/CO-PI Management - Award and Reporting Functions | HOME

NSF Home | News | Site Map | GPG | AAG | Contact Us | FastLane Help Change Password | Logout

Project Reports System | MAIN Organization: NSF

Project Reports & Outcomes Interim Project Reports

Award Number: 0707551
Award Title: PRS 11/18/06 Release Functional Verification 15
PI/Co-PI Name: Terry Demo

Awards with Annual/Final/Project Outcomes Report Requirements: [What do "NSF Report Status" and "My Submission Status" mean?](#)

Please Note - Only Principal Investigators (PIs) and Co-PIs may prepare and submit a Project Outcomes Report for the General Public. At this time, preparation and submission of these reports cannot be delegated to an Other Authorized User.

To view a PDF of an approved Project Report, or to Create/Edit a Project Report for this award, click a link in the "Action" column below.
To view a detailed history of Report Review comments, click any "View Comments" text link in the "Action" column.

4 reporting periods found, displaying 1 to 4 1

Report Requirement	Report Period Start Date	Report Period End Date	Report Due Date	Report Overdue Date	NSF Report Status	My Submission Status	Last Submission Date	Action
Annual	01/15/2007	01/14/2008	10/14/2007	01/14/2008	Approved	Submitted	03/18/2008	View PDF
Annual	01/15/2008	01/14/2009	10/14/2008	01/14/2009	Overdue	Not Submitted	04/04/2009	Create/Edit
Annual	01/15/2009	01/14/2010	10/14/2009	01/14/2010	Overdue	Not Submitted	--	Create/Edit
Final	01/15/2010	01/14/2011	01/15/2011	04/14/2011	Not Yet Due	Not Submitted	--	Create/Edit

Export options: Excel

Local intranet 100%

Start NS... Ins... Ele... Mic... Aw... In... Mic... Ple... F... Mic... RE... NS... EN 1:45 PM



FastLane - Research Administration - Project Reports Module

The screenshot shows a web browser window displaying the NSF FastLane Research Administration Project Reports module. The browser title is "NSF FastLane - Research Administration :: Project Reports - Windows Internet Explorer". The address bar shows the URL "https://www.fldemo.nsf.gov/researchadmin/projectreports.do". The page features a red header with the "FastLane" logo and navigation links: "NSF Home | News | Site Map | GPG | AAG | Contact Us | FastLane Help Change Password | Logout". Below the header is a teal navigation bar with "Project Reports | MAIN" and "Organization: NSF". The main content area is titled "Search for an Award's Project Report(s):" and includes a search form with the following fields and options:

- Organization Name:** NSF (dropdown menu)
- PI's Last Name:** (text input field, note: "Enter at least first two characters")
- Award Number:** (text input field, note: "Enter 7 digits")
- Project Report Type:** Annual Final Project Outcomes Interim
- Search Type:** Overdue Due within 30 days Due within 31-90 days Submitted All Project Reports All Project Reports for this year
- Sort Results by:** Award Number PI Last Name

The "Interim" section includes a note: "Interim Reports are not required and do not have due dates, so they are searched for by due date." The browser's taskbar at the bottom shows various application icons and the system clock indicating 1:31 PM.



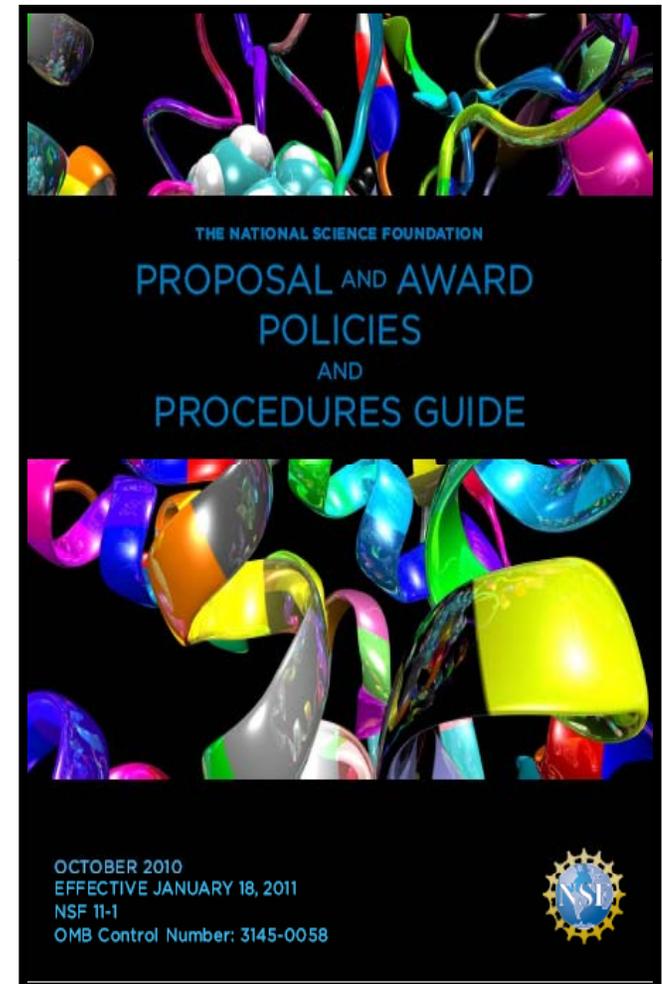
Consequences of Overdue Annual/Final/Project Outcomes Reports

- No future funding
 - No PI changes or no-cost extensions
 - No changes after final report approval by PO
 - PO can return final report up to 30 days after approval date
 - Report status can't be re-set for annual reports
-



Audit Requirements

- **Grant General Conditions (GC-1)**
 - Article 23
- **Research Terms & Conditions (RTC)**
 - Article 26
- **Award & Administration Guide (AAG)**
 - Chapter II.F
- **NSF Office of Inspector General Activities**





Award Suspension & Termination

The award may be suspended or terminated:

- By NSF
- By the Awardee



Accessing Documents on the NSF Website

Go to <http://www.nsf.gov/awards/managing/>

The screenshot shows the NSF website's 'Awards' section. The main heading is 'How to Manage Your Award'. The text describes the 'Award and Administration Guide (AAG)' and provides links to 'General Grant Conditions', 'Research Terms and Conditions', 'Cooperative Agreement Conditions', and 'Special Conditions'. It also mentions the 'Policy Office' and its role in providing general proposal and award policy guidance.

The screenshot shows the 'Awards' sidebar menu. The menu items are: 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, and Grants.gov Application Guide.



Nondiscrimination: Civil Rights Compliance Requirements

- **Role/Responsibilities 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

- **Applicable laws:**
 - ***Title VI of the Civil Rights Act of 1964***
 - ***Title IX of the Education Amendments of 1972***
 - ***Section 504 of the Rehabilitation Act of 1973***
 - ***Age Discrimination Act of 1975***
-



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.**
 - **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 grantees that help strengthen their current compliance efforts as well as identify and report on best practices.**
 - **ODI is in the process of revising and implementing proactive compliance procedures that are the least intrusive to recipients but meet the responsibilities under laws and activities governing this activity.**
-



Nondiscrimination: Civil Rights Compliance Requirements

- **What happens when a complaint is filed?**
 - **Since NSF provides Federal financial assistance, it is responsible for the investigation of complaints of discrimination from institutions that receive NSF funding.**
 - **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
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For More Information

Visit <http://www.nsf.gov/od/odi/>

Office of Diversity and Inclusion

Welcome to the Office of Diversity and Inclusion

The Office of Diversity and Inclusion (ODI), formerly the Office of Equal Opportunity Programs (OEOP), provides direct support and assistance to accomplish NSF's commitment to a model program that provides equal employment opportunity (EEO) to all employees and applicants in all personnel/employment programs and management practices and decisions.

Its mission is to ensure the agency is in compliance with the laws and regulations that govern Federal sector EEO and civil rights and to foster a diverse and inclusive work environment that ensures equal opportunity through policy development, workforce analyses, outreach, and education to best serve NSF's employees and its stakeholders.

ODI supports its mission through (1) advancing NSF's efforts to be a model agency for EEO, including fostering NSF's workforce diversity, eliminating barriers and deficiencies, and proactively addressing EEO concerns; (2) engaging NSF in proactive equal opportunity and diversity-inclusive initiatives and programs to enhance workplace productivity and efficiency; and (3) promoting accountability, education, and communication on EEO, diversity, and inclusion matters with NSF employees, leaders, and stakeholders to facilitate outstanding service.

Quick Links

- Policy Updates
- News
- Strategic Plan
- Calendar

Office of Diversity and Inclusion

- About Us
- ODI Staff
- Laws and Regulations that govern EEO and Civil Rights
- Policies
- Bulletins
- Services
- Diversity Initiatives
- Resources
- Training
- Related Links
- Glossary of EEO Terminology



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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)
