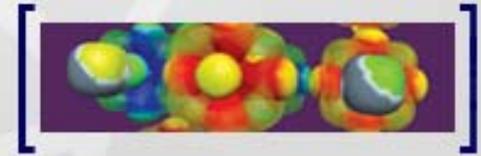




National Science Foundation



NSF Regional Grants Conference

Award Management

April 7-8, 2008

Hosted by: The University of Rhode Island
Providence, Rhode Island

Ask Early, Ask Often!

Name	Title	Contact
Jean Feldman	Head, Policy Office, Division of Institution & Award Support; Office of Budget, Finance & Award Management	jfeldman@nsf.gov (703) 292-8243
John Grzechowiak	Head, Systems Office, Division of Institution & Award Support; Office of Budget, Finance & Award Management	jgrzecho@nsf.gov (703) 292-4813
Karen Tiplady	Division Director, Division of Grants & Agreements; Office of Budget, Finance & Award Management	ktiplady@nsf.gov (703) 292-8210



NSF Award Management Philosophy

- **Assistance Agency**
- **Research Carried Out by Awardee**
- **Integrated Oversight Enterprise:**
 - Program Oversight of Scientific Progress
 - BFA Oversight of Compliance and Business Assistance
- **Audit Responsibility Reside with OIG**
- **End to End Award Management**
- **Risk Based Review**



Types of Awards

- **Grants & Cooperative Agreements**
 - Relationship is of assistance
 - Principal purpose is to accomplish a public purpose of support or stimulation
- **Contracts**
 - Relationship is one of procurement
 - Principal purpose is for the direct benefit or use of the Federal government



Award Administration – Relevant Roles of Awardee & NSF

- **Awardee Role**

- Awardee has full responsibility for the conduct of project or activity and for adherence to the award conditions
- Awardee agrees to comply with the applicable Federal requirements and for the prudent management of all expenditures and actions
- Expenditures must be allowable, allocable, and reasonable, and all actions must be:
 - Consistent with award terms and conditions;
 - Consistent with NSF and awardee policies;
 - Represent effective utilization of resources; and
 - Do not constitute a significant project change.



Award Administration – Relevant Roles of Awardee & NSF (Cont'd)

- **NSF Role**

- Hands off project and minimal monitoring (except for Cooperative Agreements)



The NSF Award

- **Grants**

- Award Letter, Grant General Conditions, occasional special conditions, and other documents incorporated by reference
- Electronic dissemination of Award Letter to AOR
- Awardee Distribution of Terms & Conditions
- Also available electronically via FastLane

- **Cooperative Agreements**

- Financial & Administrative Terms and Conditions
- Programmatic Terms and Conditions



Please Be Aware....

- **Cooperative agreements have added conditions due to substantial involvement of NSF**
 - Be aware that there is generally more reporting and oversight required for a cooperative agreement than a grant
 - There should be ongoing dialogue with the cognizant Program Officer to fully understand the conditions of this type of award



Sample Award Notice

Dr. Robert Edwards
President
Northern Virginia University
Fairfax, VA 22033

Award Date July 31, 2008
Grant No. EEC-0000000
Proposal No EEC-0000000

Dear Dr. Edwards:

The National Science Foundation hereby awards a grant of \$125,000 to Northern Virginia University for additional support of the project described in the proposal referenced above.

This project, entitled "Industry/University Cooperative Research Center for Microwave Engineering," is under the direction of Samuel Hunter.

This award is effective August 1, 2008 and expires July 31, 2011.

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is subject to Federal Demonstration Partnership General Terms and Conditions (FDP-IV, dated 04/1/05) and the NSF Agency-Specific Requirements (dated 10/04) available at http://www.nsf.gov/awards/managing/fed_dem_part.jsp.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address [<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=07444517>].

The cognizant NSF program official for this grant is Wayne Doe (703) 292-1111. The cognizant NSF grants official is Beth Adams (703) 292-2222.

CFDA No. 47.041
sponpgms@nvu.edu

Sincerely,
Jean Bucks, Grants & Agreements Officer

Sample Cooperative Agreement E-mail Notice

NATIONAL SCIENCE FOUNDATION

4201 Wilson Boulevard

Arlington, VA 22230

www.nsf.gov

Project Title: An Example New Cooperative Agreement Notice

PI: John M. Doe, Jane S. Smith, Michael A. Nermal

Awardee: Amadeup Research Institute

Award Number: AST-XXXXXXXX

This is to inform you that your proposal for a Cooperative Agreement, ST-XXXXXXXX, has been awarded.

Please view the award details at the following web address:

[\[https://www.fastlane.nsf.gov/researchadmin/emailLoginHome.do?awardId=XXXXXXXX&amendmentId=000\]](https://www.fastlane.nsf.gov/researchadmin/emailLoginHome.do?awardId=XXXXXXXX&amendmentId=000)

The links within the award document include important terms and conditions. Your understanding of these terms and conditions is essential for effective management of the award.

Awardee-Approved Notifications to NSF

- **Single 12 Month No Cost Extension**
 - This is not to be used for awards that contain a zero balance
 - Does not include Cooperative Agreements
- **Significant Changes in Methods & Procedures***
- **Unusual Occurrences***
- **Short Term Absences (less than 90 days)***
- **Conflict of Interest Not handled by Awardee**

** Note that these three items are notifications that are sent directly from PI to the AOR and then to NSF.*



Awardee-Authorized Approvals

- **Virtually All Budget Changes are PI's Prerogative – Subject to Organizational Approval**
 - Note: Unless such changes constitute a change in objective or scope
 - Exception for Participant Support
- **90 Day Pre-Award Costs**



NSF Prior Approval Requirements (Technically Related)

- **Change in Objective or Scope**
- **Change in Expiration Date (no cost extension)**
- **PI/co-PI Changes**
 - Withdrawal or Change of PI/co-PI
 - Long-term Absence: Defined as 90 days or more
 - Reduction in PI Level of Effort: Defined as a reduction of 25% or more in time devoted to project



NSF Prior Approval Requirements (Financially Related)

- **Transferring the Project Effort via:**
 - Subaward
 - Transfer of the Award to a New Organization (“PI Transfers”)
- **Reallocation of Participant Support**
- **Alterations and Renovations over \$25,000 (Construction)**
- **Change in Cost Sharing Amount Identified on Line M of the Cumulative Award Budget**
- **Pre-award costs more than 90 days prior**



Award Transfers

- **The award is made to the university**
 - Organization has the discretion of appointing a substitute PI or terminating the award
- **If willing to transfer the award to another university be sure to:**
 - Reconcile final expenditures
 - Accurately determine what funds are to be transferred
 - Funds transferred cannot be changed
 - NSF cannot intervene or redo a transfer after it is made
- **Consider making a subaward rather than transferring the whole award**



Please Remember....

- **Notifications and Requests:**

- Be familiar with what needs prior approval so that timely requests and notifications can be made
- Award & Administration Guide (AAG) Exhibit II-1 has summary listing:

http://www.nsf.gov/pubs/policydocs/papp/aag_2ex1.pdf

- Submit all notifications and requests electronically via FastLane



Notifications & Requests | MAIN ▶

Organization: National Science Foundation

[Forwarded by PI](#)
[Prepared by SPO](#)
[Submitted to NSF](#)
Prepare a New Notification or Request for Award #: 0707551

Award Amount: \$0.00
Expiration Date: 12/31/2011
Division: DIVISION OF INFORMATION SYSTEMS
Award Title: PRS 11/18/06 Release Functional Verification 15
Awardee Organization: National Science Foundation
PI/PD: Alphaman, Alan

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%	AAG	<input type="radio"/> Addition of SubAward	AAG
<input type="radio"/> Grantee Approved No Cost Extension	AAG	<input type="radio"/> Withdrawal of PI/Co-PI	AAG
<input type="radio"/> Significant Changes/Delays or Events of Unusual Interest	AAG	<input type="radio"/> Long-Term Absence of the PI/PD (Over Three Months)	AAG
<input type="radio"/> Cost Sharing Equal To or Greater Than \$500,000	AAG	<input type="radio"/> NSF Approved No-Cost Extension	AAG
<input type="radio"/> Conflicts of Interests	AAG	<input type="radio"/> PI Transfer	AAG
<input type="radio"/> Significant Changes in Methods/Procedures	AAG	<input type="radio"/> Pre-award Costs in Excess of 90 Days	AAG
<input type="radio"/> Short-Term Absence of the PI/PD (Up to Three Months)	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 PI and Add/Change Co-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 Grant Proposal Guide (GPG) and Award & Administration Guide (AAG) references.

Technical Reports

- **Required Technical Reports**

- Annual Project Reports

- Due No Later Than 90 days prior to Expiration Date
- Required for **ALL** Standard & Continuing Grants and Cooperative Agreements

- Final

- Due Within 90-days after the Expiration of an Award
- Required for **ALL** Standard & Continuing Grants and Cooperative Agreements
- Required for Individual Research Fellowships per Program Solicitation



Technical Reports

- **Report Contents Include**
 - Participants
 - Activities & Findings
 - Publications & Products
 - Contributions
 - Special Requirements
- **Technical Monitoring**
 - Program Officer Site Visits
 - Participation in required Outreach activities
- **Interim Project Reports (Not required)**
 - Significant Events
 - Per special conditions of the award
 - No submission/preparation after grant is closed



Project Report Tracking & Notification System

- **Projects Report System Edits**

- Provides set reporting reports – annual and final divisible by 12 months
- Tracking System includes: periods, status, and due/overdue dates
- External & Internal Communities Ability to Track On Line
- Notification reminders automatic to PIs and SPOs
- Award Notices – URL with pass through to Project Report Module on FastLane
- Periodic ‘archiving’ of over-aged reports
- NSF systems include hard edits
 - No future funding if overdue annual/final reports
 - No PI changes or no cost extensions
 - No changes after final report approval
 - Report status can’t be re-set for annual reports
 - PO can return up to 30 days after approval date



FastLane – View Awards by Report Requirements or Creation Eligibility

FastLane PI/Co-PI Management
Proposal Functions | HOME ▶

NSF Home | News | Site Map | GPG | GPM | Send Comm

Project Reports | MAIN ▶

[What is the difference between an Annual, Final, and Interim Project Report](#)

Organizational

Annual/Final Project Reports | Interim Project Reports | GPR Facility Reporting

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

Award Number: Award Expiration Date:

Awards with Annual/Final Project Report Requirements:

To view Project Report requirements for an award, click the "Award Number" (e.g.: 0075773) link below.
Sort results by clicking column titles.

Principal Investigator's Name: Alphaman, Alan

13 records found, displaying 11 to 13. [\[< Previous 10\] 1 2](#)

Award Number	Award Type	Award Title	Award Date	Award Expiration Date
0075773	Continuing Grant	Effects of Global Warming on Bird Migrations	12/01/2004	11/30/2005
0075774	Cooperative Agreement	Splitting the Atom (Cancelled)	11/30/2004	10/31/2005
0075775	Standard	Weather Trends for the Last Decade	12/01/2005	11/30/2009

National Science Foundation
4201 Wilson Boulevard, Arlington, Virginia 22230, USA
Tel: 703-292-5111, FIRS: 800-877-8339 | TDD: 703-292-5090

Private

Definitions provided to the user so the right report is created.

Search Capability by Award Number and Award Expiration Date

Awards are now divided into tabs for APR/FPR and GPR report requirements as well as for IPR creation eligibility.

PI locates and selects the Award from the list to create Project Report by clicking on the Award number text link.

Award and Award Expiration Dates shown to user.

FastLane – View Selected Award’s Project Report Requirements

PI views Project Report requirements for reporting periods generated by Awards System for selected Award.

Archive of previous Reports submitted prior to incorporation of new functionality can now be accessed from this screen by clicking link.

FastLane PI/Co-PI Management
 Proposal Functions | HOME ▶

NSF Home | News | Site Map | GPG | GPM | Send Comments | FastLane Help

Project Reports | MA
 Annual/Final Project Report Requirements

Award Number: 0075
 Award Title: Weath
 PI Name: Alan A

Annual/Final Project Report Requirements: What do "

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.
 Sort results by clicking column titles.

Report Requirement	Report Period Start Date	Report Period End Date	Months in Reporting Period	Report Due Date	Report Overdue Date	Report Submission Date	NSF Report Status	My Submission Status	Action
1st (Annual)	12/01/05	11/30/06	12	8/30/06	11/30/06	Not Applicable	Due	Not Submitted	Create/Edit
2nd (Annual)	12/01/06	11/30/07	12	8/30/07	11/30/07	Not Applicable	Not Applicable	Not Submitted	Create/Edit
3rd (Annual)	12/01/07	11/30/08	12	8/30/08	11/30/08	Not Applicable	Not Applicable	Not Submitted	Create/Edit
4th (Final)	12/01/08	11/30/09	12	11/30/09	2/28/10	Not Applicable	Not Applicable	Not Submitted	Create/Edit

▶ [View Previously Submitted Project Reports](#) for this Award

National Science Foundation
 4201 Wilson Boulevard, Arlington, Virginia 22230, USA
 Tel: 703-292-5111, FIRS: 800-877-8339 | TDD: 703-292-5090

Privacy and Security

Award period is divided into reporting periods with a start and end date.

PI is clearly informed when each Report is due for submission and when it is overdue for submission.

PI can track the status of their Report with NSF Report and My Submission Statuses. Definitions of these statuses can be accessed by the link above.

PI clicks on the "Create/Edit" link to access the Project Reports System Control Screen.

PI can only create the first Report for a given period and can only create the next Report upon approval of the first.



Project Reporting Facts

- Extending the grant period does not relieve PIs of reporting requirements
- In the last year of a grant, the PI owes only a final report.....
- Final Report submission means final action – no further activity.....
- If the PI leaves prior to submitting a required report, the organization must still fulfill reporting obligations.....
- The organization is responsible for submission of required reports; not the PI.....



Journal Publications Enhancements

- The Project Reports System in FastLane has been enhanced to improve the process for entering journal publications. Changes include:
 - Users are now instructed to enter all publication information in only this area of the project report. A validation will be added to check if users indicate “yes” below, but then have no entries in the following screens.
 - Users are now warned that publication data entered will be made available to the public via the NSF website.

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

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

Project Reports System | MAIN ▶ Organization: NSF

Publications and Products

Publications and products should only be entered in this section of the project report. All publications and products entered here must be the result of work completed for this award.

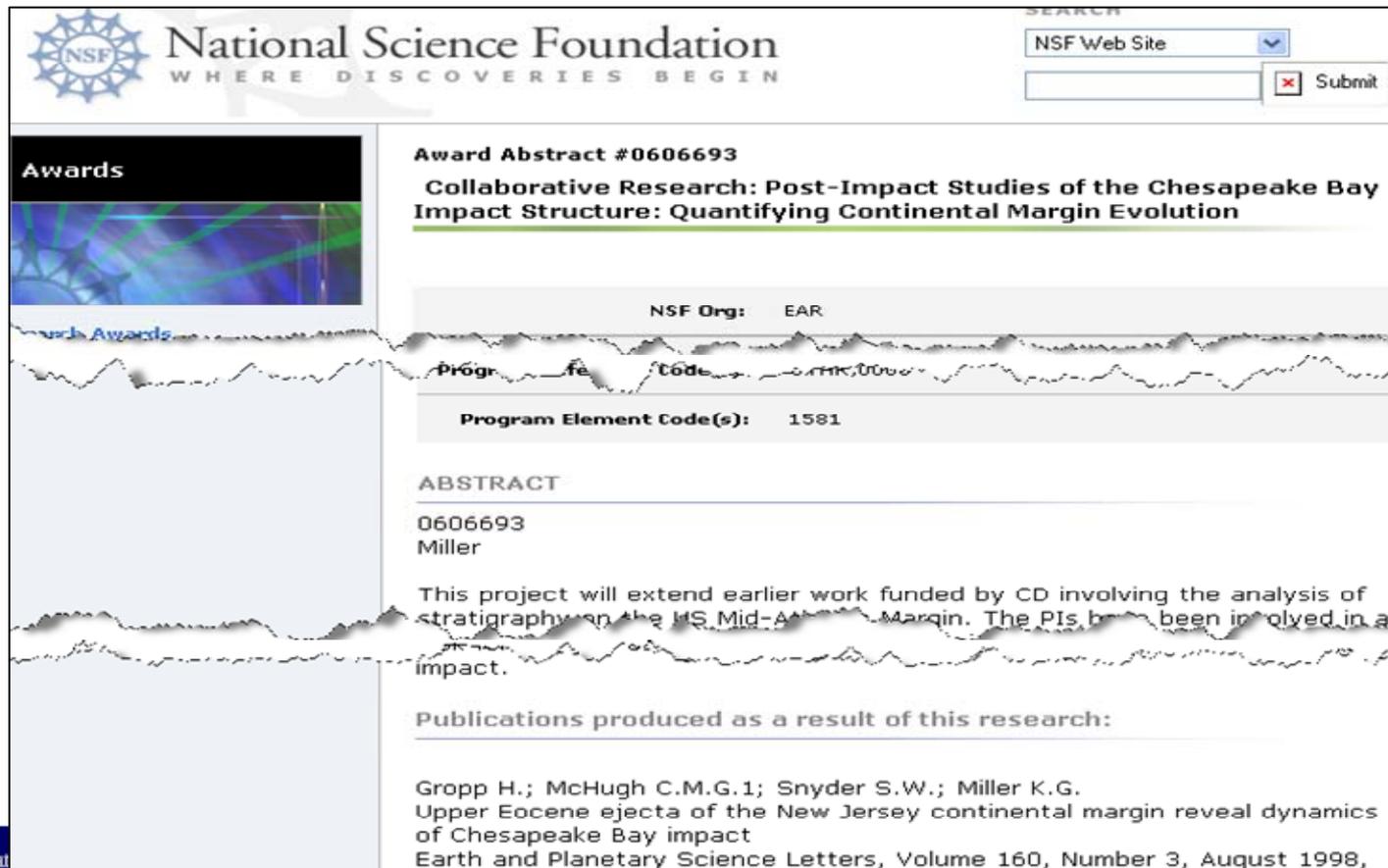
Please note: Information collected here may be made available on the NSF public website.

Do you have any publication and/or products to report?



Journal Publications Enhancements

In an effort to quickly and easily share research outcomes with the research community and the public, journal publications submitted by PIs as part of the project report, will be displayed on the NSF website as part of the Award Search.



The screenshot shows the NSF Award Search interface. At the top left is the NSF logo with the tagline "WHERE DISCOVERIES BEGIN". To the right is a search bar with a dropdown menu set to "NSF Web Site" and a "Submit" button. Below the search bar, the page is divided into two main sections. On the left is a sidebar with a header "Awards" and a small image of a network diagram. The main content area displays the following information:

- Award Abstract #0606693**
- Collaborative Research: Post-Impact Studies of the Chesapeake Bay Impact Structure: Quantifying Continental Margin Evolution**
- NSF Org: EAR**
- Program Element Code(s): 1581**
- ABSTRACT**
- 0606693
Miller
- This project will extend earlier work funded by CD involving the analysis of stratigraphy on the MS Mid-Atlantic Margin. The PIs have been involved in a impact.
- Publications produced as a result of this research:**
- Gropp H.; McHugh C.M.G.1; Snyder S.W.; Miller K.G.
Upper Eocene ejecta of the New Jersey continental margin reveal dynamics of Chesapeake Bay impact
Earth and Planetary Science Letters, Volume 160, Number 3, August 1998,



Publication & Data Sharing Requirements

- Acknowledgement of Support
- Disclaimer
- Copyrightable Material
- Sharing of Data



Data Sharing by NSF Awardees

- **Data access:**

- Helps promote scientific research by permitting other qualified scientists to replicate results;
- To reinterpret data or extend research methods to new areas;
- Thus build upon the existing base of scientific knowledge



Implementing Data Sharing

- **GC - 1, No. 38: Sets a basic standard for expected data sharing by NSF awardees**
 - NSF Programs may implement this sharing policy in ways appropriate to the scientific field and to specific circumstances
 - Specific data sharing policies – including data “pooling” – are particularly appropriate where for example, research transcends national boundaries, and/or where “pooled” data promotes discovery of patterns or interrelationships that would not be evident from individual research data
 - Examples include: OPP, GEO/Ocean Sciences, and SBE



Other Administrative Requirements

- Use of Consultants
- Equipment
- Travel
- Program Income



Use of U.S. Flag Air Carriers

- Any air transportation to, from, between or within a country other than the U.S. of persons or property, the expense of which will be assisted by NSF funding, must be performed by, or under a code-sharing arrangement with, a U.S.-Flag air carrier if service provided by such a carrier is “available.”
- Deviations from the U.S-Flag air carrier policy are described in detail in the Award and Administration Guide at:
http://www.nsf.gov/pubs/policydocs/papp/aag_6.jsp#VIG1b



And Lots of Other Statutory & Regulatory Stuff.....

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



Audit Requirements

- **Grant General Conditions (GC-1) Article 23**
- **Federal Demonstration Partnership (FDP) Terms and Conditions Section .26**
- **Award & Administration Guide, Chapter II.F.**
- **NSF Office of Inspector General Activities**



And when things really go wrong...

- **The award may be suspended or terminated in whole or in part in any of the following situations:**
 - By NSF when:
 - the awardee has materially failed to comply with the terms and conditions of the grant;
 - the Foundation has other reasonable cause;
 - ordered by the Deputy Director under NSF's Regulation on Research Misconduct (45 CFR §689);
 - NSF and the awardee by mutual agreement (if NSF and the awardee cannot reach an agreement, NSF reserves the right to unilaterally terminate the grant); or
 - By the awardee on written notice to NSF



Accessing Documents on the NSF Website

- <http://www.nsf.gov>
- **Click: For the Education & Research Community**
- **Proposal Preparation**
 - Grant Proposal Guide
 - Grants.gov Application Guide
 - Frequently Asked Questions
- **Award Administration**
 - Award & Administration Guide
 - Grant & Agreement Conditions
 - Frequently Asked Questions



NSF Websites

National Science Board	http://www.nsf.gov/nsb/
Director/Deputy Director	http://www.nsf.gov/od/
Inspector General	http://www.nsf.gov/oig/
Office of Cyberinfrastructure	http://www.nsf.gov/dir/index.jsp?org=OCI
Office of International Science and Engineering	http://www.nsf.gov/div/index.jsp?div=OISE
Office of Equal Opportunity Programs	http://www.nsf.gov/od/oeo/index.jsp
Office of Legislative and Public Affairs	http://www.nsf.gov/od/lpa/index.jsp
Office of the General Counsel	http://www.nsf.gov/od/ogc/index.jsp
Office of Polar Programs	http://www.nsf.gov/dir/index.jsp?org=opp
Office of Integrative Activities	http://www.nsf.gov/od/oia/index.jsp
Biological Sciences	http://www.nsf.gov/dir/index.jsp?dir=BIO
Social, Behavioral & Economic Sciences	http://www.nsf.gov/dir/index.jsp?dir=SBE
Computer & Information Science & Engineering	http://www.nsf.gov/dir/index.jsp?dir=CISE
Education & Human Resources	http://www.nsf.gov/dir/index.jsp?dir=EHR
Engineering	http://www.nsf.gov/dir/index.jsp?dir=ENG
Budget, Finance & Award Management	http://www.nsf.gov/bfa/
Geosciences	http://www.nsf.gov/dir/index.jsp?dir=GEO
Information Resource Management	http://www.nsf.gov/oirm/
Mathematical & Physical Sciences	http://www.nsf.gov/dir/index.jsp?dir=MPS

