

Award Management

NSF Regional Grants Conference

March 13-14, 2006

Boulder, CO

Hosted by: **The University of Colorado at Boulder**

Ask Early, Ask Often!!

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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
- Principle purpose is to accomplish a public purpose of support or stimulation

➤ Contracts

- Relationship is one of procurement
- Principle 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.

➔ NSF Role

- Hands off project and minimal monitoring (except for CAs)

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
- Grantee 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, and there should be ongoing dialogue with the cognizant Program Officer to fully understand the conditions of this type of award.

Sample Award Letter

Award Date July 31, 2005
Grant No. EEC-0000000

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

Dear Dr. Edwards:

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

This project, under the direction of Samuel Hunter, is entitled:

"Industry/University Cooperative Research Center for Microwave Engineering."

This award is effective August 1, 2003 and expires July 31, 2004.

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950 (42 U.S.C. 1861 et seq.) and is subject to GC-1 Grant General Conditions (10/02).

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.

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-XXXXXXX

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

Please view the award details at the following web address:

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

Grantee-Approved Notifications to NSF

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

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

Grantee-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; institution has the discretion of appointing a substitute PI.
- If willing to transfer the award to another university be sure to reconcile final expenditures and accurately determine what funds are to be transferred; 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
 - GPM Exhibit III-1 has summary listing
http://www.nsf.gov/pubs/manuals/gpm05_131/ex3_1.pdf
 - Submit all notifications and request through FastLane

Notifications & Requests | MAIN ▶

Organization: NSF

Forwarded by PI

Prepared by SPO

Submitted to NSF

Prepare a New Notification or Request for Award #: 9999999

Award Amount: \$7,000,000.00
Expiration Date: 10/01/2005
Division: DIVISION OF HUMAN RESOURCE DEVELOPMENT
Award Title: Test for Demo
Organization: NSF
PI/PD: Alphaman, Alan

Select the Notification or Request Type:

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

GRANTEE REQUEST TYPES (Requires NSF Approval)	Topic Guidance
<input type="radio"/> Addition of SubAward	GPM
<input type="radio"/> Withdrawal of PI/Co-PI	GPM
<input type="radio"/> Long-Term Absence of the PI/PD (Over Three Months)	GPM
<input type="radio"/> NSF Approved No-Cost Extension	GPG
<input type="radio"/> PI Transfer	GPM
<input type="radio"/> Pre-award Costs in Excess of 90 Days	GPM
<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.)	GPM
<input type="radio"/> Change of PI	GPM
<input type="radio"/> Significant Change in Person-Months Devoted to Project	GPM
<input type="radio"/> Changes in Objective or Scope	GPM
<input type="radio"/> Reallocation of Funds Budgeted for Participant or Trainee Support Costs	GPM

*Topic Guidance is provided through Grant Proposal Guide (GPG) and Grant Proposal Manual (GPM) references.

Prepare

Cancel

Technical Reporting/Monitoring

➔ Required Technical Reports

■ Annual Project Reports

- Due 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 Reporting/Monitoring

- 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
 - Significant Events
 - Per special conditions of the award



Project Report Tracking System

- ➔ System design process has been completed and development has commenced!!
- ➔ Expected implementation in October, 2006.
 - PIs will not be required to file APRs that are for FY2006 and earlier, however, FPRs will be required.
 - Requirement for submission of an FPR will be waived for awards expiring prior to May 1, 1999.

Project Report Tracking System (Cont'd)

- Standard grants, continuing grants (individual research awards), cooperative agreements, and individual fellowships are required to file a Final Project Report (FPR).
- Standard grants, continuing grants (individual research awards), and cooperative agreements are required to file Annual Project Reports (APRs).
- All APRs are for 12 month periods, with the exception of the first report. The first APR is at least 6 months and up to 12 months.
- The FPR is at least one month, up to 12 months. The individual fellowship FPR is the total grant period.
- PIs can submit APRs no more than 90 days before the report end date.

FastLane – View Awards by Report Requirements or Creation Eligibility (new screen)

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

NSF Home | News | Site Map | GPG | GPM | Send Comments | Fa

Project Reports | MAIN ▶ Organization: SUNY

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

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: Search

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

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

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

[Privacy a](#)

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 (new screen)

FastLane PI/Co-PI Management Proposal Functions | HOME

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

Project Reports | MAIN

[Annual/Final Project Reports](#) | [Interim Reports](#) | [SPRA Facility Reports](#)

Award Number: 0075775
Award Title: Weather Trends for the L...
PI Name: Alan Alphaman

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

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

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

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

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

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

FastLane – Project Report System Control Screen (modified existing screen)

The screenshot shows the 'Project Reports System Control' interface. At the top, there is a navigation bar with 'electronic business' and links for 'Home', 'News', 'Comments', and 'ncf.gov'. The main title is 'Project Reports System Control'. Below the title, it displays 'Annual/Final Project Report for Award #: 0075775' and 'Report Period - Start Date: 12/01/05 | End Date: 11/30/06'. The interface is divided into three main sections: 'Prepare Report', 'Check and Submit Report', and 'Other Functions'. The 'Prepare Report' section includes links for 'Participants', 'Activities and Findings', 'Publications and Products', 'Contributions', and 'Special Requirements'. The 'Check and Submit Report' section includes 'Attach File', 'Check Completeness', and 'Review and/or Submit'. The 'Other Functions' section includes 'Review Facts and Contacts', 'Review Past Submissions', and 'Assign or Change PIN'. A 'Work On Another Award' button is located below the 'Check and Submit Report' section. A sidebar on the left contains 'More Information' with links for 'Project Reporting Changes', 'Reporting Requirements', 'Publicity, Privacy Act, Public Burden Statements', 'Report Preparation and Submission Instructions', 'About Project Reports System', and 'Frequently Asked Questions'. At the bottom left, there is contact information for the National Science Foundation. At the bottom right, it says 'Last Modified: 04, 2001(MK)'. Three yellow callout boxes provide additional context: one points to the award number, another points to the 'Review and/or Submit' link, and a third points to the 'Work On Another Award' button.

electronic business
Home News Comments ncf.gov

Project Reports System Control

Annual/Final Project Report for Award #: **0075775**
Report Period - Start Date: 12/01/05 | End Date: 11/30/06

Prepare Report What?

- Participants
- Activities and Findings
- Publications and Products
- Contributions
- Special Requirements

Check and Submit Report What?

- Attach File
- Check Completeness
- Review and/or **Submit**

Other Functions What?

- Review Facts and Contacts
- Review Past Submissions
- Assign or Change PIN

Work On Another Award

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

Last Modified: 04, 2001(MK)

PI creates/edits and submits the Project Report from this threshold.

Title now reflects the actual report user is working on.

Functionality beyond this screen remains the same.

Once all steps are completed, Project Report is now ready for PO review in eJacket.

“Unsubmit Pending” functionality has been removed and is now accommodated on APR/FPR Requirements threshold.

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, and to reinterpret data or extend research methods to new areas, and thus build upon the existing base of scientific knowledge.

NSF Grant General Conditions (GC-1) – June 15, 2005

38. Sharing of Findings, Data, and Other Research Products

- a. NSF expects significant findings from research and education activities it supports to be promptly submitted for publication, with authorship that accurately reflects the contributions of those involved. It expects investigators to share with other researchers, at no more than incremental cost and within a reasonable time, the data, samples, physical collections and other supporting materials created or gathered in the course of the work. It also encourages grantees to share software and inventions or otherwise act to make the innovations they embody widely useful and usable.
- b. Adjustments and, where essential, exceptions may be allowed to safeguard the rights of individuals and subjects, the validity of results, or the integrity of collections or to accommodate legitimate interests of investigators.

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 of Specific Data Sharing Policies at NSF

- Division of Ocean Sciences "**Data and Sample Policy**"
http://www.nsf.gov/pubs/2004/nsf04004/print_toc.htm

- Office of Polar Programs "**Guidelines and Award Conditions for Scientific Data**"
<http://www.nsf.gov/pubs/1999/opp991/opp991.doc>

- Directorate of Social, Behavioral, and Economic Sciences
 - **SES "Data Archiving Policy"**
<http://www.nsf.gov/sbe/ses/common/archive.htm>
 - **BCS "Data Archiving Policy"**
<http://www.nsf.gov/sbe/bcs/common/archive.htm>

Other Administrative Requirements

- Use of Consultants
- Equipment
- Travel
- Program Income



NSF Cost Sharing Requirements

- At the 382nd meeting of the National Science Board on October 13-14th, 2004, the NSB approved a revision to the current policy on cost sharing to eliminate NSF program specific cost sharing requirements and require only the statutory cost sharing of one-percent.
 - The acceptable methods for meeting the statutory cost sharing requirement are specified in the NSF Grant Policy Manual in Section 333.4.
 - All previously issued program solicitations that specify a cost sharing requirement remain in effect, unless NSF formally modifies the program solicitation to eliminate the cost sharing requirement.
 - Cost sharing commitments contained in current active awards remain unchanged.
 - No NSF program officer may unilaterally impose a requirement to cost share.

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
- Grant Policy Manual Section 350
- 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 grantee 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 grantee by mutual agreement (if NSF and the grantee cannot reach an agreement, NSF reserves the right to unilaterally terminate the grant); or
- By the grantee 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
 - Frequently Asked Questions
- ➔ Award Administration
 - Grant Policy Manual
 - Grant & Agreement Conditions
 - Frequently Asked Questions

