

# **Award Management**

NSF Regional Grants Conference

April 4 - 5, 2005

Oakland, CA

**Hosted by: MESA, University of California  
Office of the President**



# Ask Us Early, Ask Us Often!!

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# Types of Awards

- Grants
- Cooperative Agreements
- Contracts

# 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

# 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

# The NSF Award

## ➤ Grants

- Award Letter, Grant General Conditions, occasional special conditions, and other documents incorporated by reference
- Electronic dissemination of Grant Letter and Grantee Distribution of T&C
- Also available electronically via FastLane

## ➤ Cooperative Agreements

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

# Sample Award Letter

Award Date July 31, 2004  
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 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

# Grantee-Approved Notifications

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

\*note that these three items are notifications that are sent directly from PI to the AOR and 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
- ▶ 90 Day Pre-Award Costs

# NSF Prior Approval Requirements (Technically Related)

- Change in Objective or Scope
- Change in Expiration Date
- PI/Co-PI Changes
  - Absence or Change of PI
    - Absence is defined as 90 days or more
  - Reduction in PI Level of Effort
    - Defined as a reduction of 25% or more in time

# NSF Prior Approval Requirements (Financially Related)

- Transferring the Project Effort via:
  - Subaward
  - Transfer of the Award to a New Organization
- 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



**Prepare a New Notification or Request for Award # : 9996453**

**Award Amount:** \$1,120,000.00  
**Expiration Date:** 07/31/2005  
**Division:** DIVISION OF UNDERGRADUATE EDUCATION  
**Award Title:** eGovernment Technical Challenges  
**Organization:** National Science Foundation  
**PI/PD:** Demo, Terry

**Select the Notification or Request Type:**

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

GRANTEE REQUEST TYPES (Requires NSF Approval)	Topic Guidance
<input type="radio"/> Addition of SubAward	<a href="#">GPM</a>
<input type="radio"/> Withdrawal of PI/Co-PI	<a href="#">GPM</a>
<input type="radio"/> Long-Term Absence of the PI/PD (Over Three Months)	<a href="#">GPM</a>
<input type="radio"/> NSF Approved No-Cost Extension	<a href="#">GPG</a>
<input type="radio"/> PI Transfer	<a href="#">GPM</a>
<input type="radio"/> Pre-award Costs in Excess of 90 Days	<a href="#">GPM</a>
<input type="radio"/> Rearrangement/Alteration \$25,000 or over	<a href="#">GPM</a>
<input type="radio"/> Change of PI	<a href="#">GPM</a>
<input type="radio"/> Significant Change in Person-Months Devoted to Project	<a href="#">GPM</a>
<input type="radio"/> Changes in Objective or Scope	<a href="#">GPM</a>
<input type="radio"/> Reallocation of Funds Budgeted for Participant or Trainee Support Costs	<a href="#">GPM</a>

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

# Technical Reporting/Monitoring

- Required Technical Reports
  - Annual Project Reports
  - Final
  - Report Contents Include: Participants, Activities & Findings, Publications & Products, Contributions, and Special Requirements
  
- Technical Monitoring
  - Program Officer Site Visits
  
- Interim Project Reports
  - Significant Events



# Project Reporting

## Annual Reports

- Due 90-days prior to Expiration Date
- Required for **ALL** Standard & Continuing Grants and Cooperative Agreements

## Final Reports

- 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

# Proposed FastLane Project Report Tracking

- Pre-set reporting periods with start and end dates
- Reporting periods initialized at award approval on FastLane
- Submission required in 12 month increments
- Award durations of 18 months will require reporting at 12 and 6 months
- Report status to be tracked on line – by NSF and the awardee
- Annual reports must be submitted prior to final reports
- Implementation of tracking module in Spring, 2005



**e l e c t r o n i c b u s i n e s s**  
Home News Comments nof.gov

Award--0700000

**More Information**

[Project-Reporting Changes](#)

[Reporting Requirements](#)

[Publicity, Privacy Act, Public Burden Statements](#)

[Report Preparation and Submission Instructions](#)

[Performance Project Report](#)

[About Project Reports System](#)

[Frequently Asked Questions](#)

## Project System Control

**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\*\*](#)
- [Unsubmit Pending Reports](#)

**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)



# 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) -- July 01, 2002

## 37. 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 awardees 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. 37 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](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 382<sup>nd</sup> meeting of the National Science Board on October 13-14<sup>th</sup>, 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

