Award Management

NSF Workshop for Sponsored Project Administrators at Hispanic Serving Institutions

April 13, 2007 - Miami, FL

April 20, 2007 – Albuquerque, NM

NSF – HSI Workshop
### Ask Early, Ask Often!

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Contact</th>
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<tr>
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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 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
  – 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
  - There should be ongoing dialogue with the cognizant Program Officer to fully understand the conditions of this type of award
Sample Award Notice

Award Date  July 31, 2007
Grant No.    EEC-0000000

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

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, 2007 and expires July 31, 2010.

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.

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]

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**
  - 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 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 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
  - 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
  - Submit all notifications and requests electronically via FastLane
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: | Alphamay, Alan |

**Select the Notification or Request Type:**

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<tr>
<th>GRANTEE NOTIFICATION TYPES</th>
<th>Topic Guidance</th>
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<tr>
<td>Anticipated Residual Funds in excess of $5,000 or 5%</td>
<td>GPM</td>
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<tr>
<td>Grantee Approved No Cost Extension</td>
<td>GPG</td>
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<tr>
<td>Cost Sharing Equal To or Greater Than $500,000</td>
<td>GPM</td>
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<tr>
<td>Significant Changes/Delays or Events of Unusual Interest</td>
<td>GPM</td>
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<tr>
<td>Conflicts of Interests</td>
<td>GPM</td>
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<td>Significant Changes in Methods/Procedures</td>
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<td>Short-Term Absence of the PI/PD (Up to Three Months)</td>
<td>GPM</td>
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<th>GRANTEE REQUEST TYPES (Requires NSF Approval)</th>
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<td>Addition of SubAward</td>
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<tr>
<td>NSF Approved No-Cost Extension</td>
<td>GPM</td>
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<tr>
<td>PI Transfer</td>
<td>GPM</td>
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<td>Pre-award Costs in Excess of 90 Days</td>
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<td>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.)</td>
<td>GPM</td>
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<tr>
<td>Change of PI</td>
<td>GPM</td>
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<tr>
<td>Significant Change in Person-Months Devoted to Project</td>
<td>GPM</td>
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<tr>
<td>Changes in Objective or Scope</td>
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<td>Reallocation of Funds Budgeted for Participant or Trainee Support Costs</td>
<td>GPM</td>
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*Topic Guidance is provided through Grant Proposal Guide (GPG) and Grant Proposal Manual (GPM) references.*

[Prepare]  [Cancel]
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
Journal Publications Enhancements

The Project Reports System in FastLane will be enhanced to improve the process for entering journal publications. Changes you will notice 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.

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?  Yes  No
Journal Publications Enhancements

- Entering journal publications in a project report will be easier than ever:
  - Instead of manually entering required criteria for journal publications, PIs can perform a search and select their citation that is associated with the award.
  - PIs will follow these easy steps to search for and add a journal publication citation to their project report:

  **Step 1**
  User enters any search criteria and clicks the **Search** button.

  **Step 2**
  The user selects the appropriate citation and selects **Add to Report**.

Search for Journal Publication citation(s) by any of the following:

- **Author:** gargani
- **Journal Title:**
- **Article Title:**
- **Time Period:**
  - Year to Date
  - Last 5 Years
  - All Years

Search Results

- **0 Citations Added to Report**

Use the checkboxes to select citation(s), then click Add to Report to add citation(s) to the project report.

24 items found, displaying 1 to 15:

<table>
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<th>Details</th>
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Add to Report | Done
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.

Award Abstract #0606693
Collaborative Research: Post-Impact Studies of the Chesapeake Bay Impact Structure: Quantifying Continental Margin Evolution

ABSTRACT
0606693 Miller
This project will extend earlier work funded by CD involving the analysis of stratigraphy in the HS Mid-Apex Margin. The PIs have been involved in a...
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
PI locates and selects the Award from the list to create Project Report by clicking on the Award number text link.

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

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

Award and Award Expiration Dates shown to user.
FastLane – View Selected Award’s Project Report Requirements (new screen)

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

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.

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

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.
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
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

- Click: For the Education & Research Community

- Proposal Preparation
  - Grant Proposal Guide
  - Grants.gov Application Guide
  - Frequently Asked Questions

- Award Administration
  - Grant Policy Manual (Soon to be Award & Administration Guide)
  - Grant & Agreement Conditions
  - Frequently Asked Questions
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<td>Director/Deputy Director</td>
<td><a href="http://www.nsf.gov/od/">http://www.nsf.gov/od/</a></td>
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<tr>
<td>Office of Integrative Activities</td>
<td><a href="http://www.nsf.gov/od/oiia/index.jsp">http://www.nsf.gov/od/oiia/index.jsp</a></td>
</tr>
<tr>
<td>Budget, Finance &amp; Award Management</td>
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