



Award Management NSF-Day Workshop

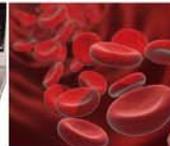
November 8, 2012

NCURA 54th Annual Meeting
Washington, DC





WHERE DISCOVERIES BEGIN



Panelist

Joe Kittle

Grant & Agreement Specialist, Office of Budget, Finance & Award Management, Division of Grants & Agreements (DGA)



WHERE DISCOVERIES BEGIN



Topics We'll Cover

- **Types of NSF Awards**
- **NSF's Award Management Approach**
- **Award Management Roles & Responsibilities**
- **NSF Award Conditions**
- **Post-Award Changes & Requests**
- **Technical Reporting Requirements**
- **Additional Regulatory, Statutory & Policy Requirements**
- **Audit Requirements**



WHERE DISCOVERIES BEGIN



What kind of “Award”?

- ✓ Grants
- ✓ Cooperative Agreements



- ❖ Public purpose of support or stimulation
- ❖ Not a direct benefit or use to the Federal government



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NSF's Award Management Approach

- **NSF is an Assistance Agency**
- **End-to-End Award Management**
- **Integrated Oversight Activities**
- **Audit responsibility resides with OIG**



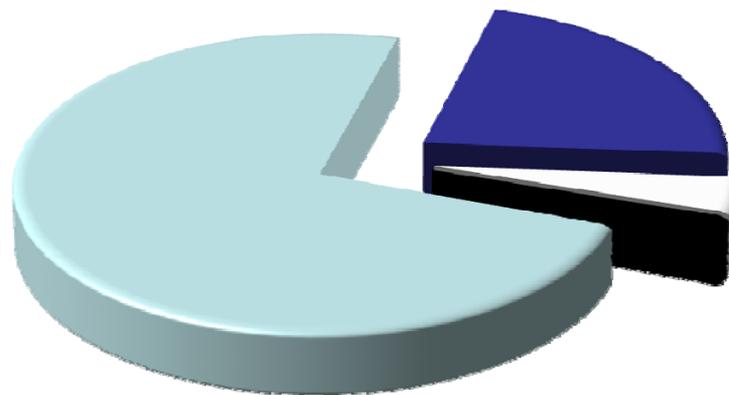
WHERE DISCOVERIES BEGIN



Division of Grants & Agreements

Awarded Nearly
11,000 New Projects
in Fiscal Year 2012

Total New Projects	10,879
Standard Grant	8,016
Continuing grant	2,384
Fellowship	422
Other	57



- Standard Grants
- Continuing grants
- Fellowships
- Other



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Division of Grants & Agreements

FY 2012 Post-Award Monitoring
& Administration

Over 44,000 Active
Awards

\$27 Billion

3,000 Unique Awardees

Over 11,000 Post-Award
Administrative Actions



WHERE DISCOVERIES BEGIN



Roles & Responsibilities

NSF Grants
Officer

NSF Program
Officer

Award
Management

Sponsored
Research Office

Principal
Investigator

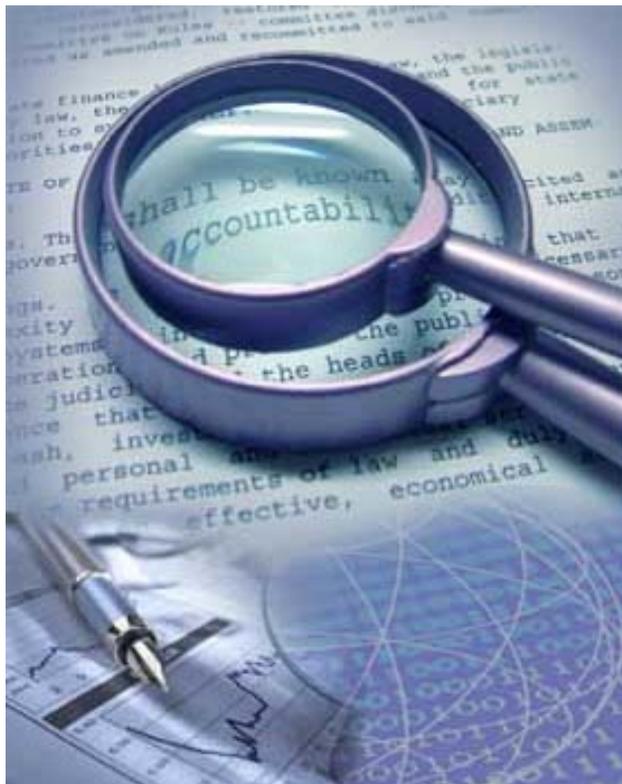
Keep the
PI out of
trouble!!



WHERE DISCOVERIES BEGIN



Awardee Responsibility



- ❖ Compliance with Federal rules
- ❖ Adherence to award terms
- ❖ Consistent with NSF policies
- ❖ **Prudent** management of funds
 - ✓ Allowable
 - ✓ Allocable
 - ✓ Reasonable
 - ✓ Necessary

 View OIG Semi-Annual Reports at www.nsf.gov/oig/pubs.jsp



WHERE DISCOVERIES BEGIN



So you got an award from NSF, where do you start?

Pre-Award

Post-Award

Proposal Preparation & Award Management

Proposal Preparation
FastLane/Grants.gov Submission
NSF Merit Review
Program Office Analysis &
Recommendation
Administrative Review & Negotiation

Project Performance
Monitoring & Oversight
Post-Award Changes & Requests
Award Closeout
Audit Requirements

The Award Notice



WHERE DISCOVERIES BEGIN



Notification & Terms of Award



Grants

- Award Letter
- Research Terms and Conditions (RTC) or Grant General Conditions (GC-1)
- Any Special Terms & Conditions

Cooperative Agreements

- Award Notice
- Financial Administrative Terms and Conditions (FATC)
- Programmatic Terms and Conditions (PTC)



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The Budget

- **Consultants**
- **Subawards**
- **Participant Support**
- **Equipment**
- **Indirect Costs**
- **Travel**
- **Revised Budget Justifications**
- **Solicitations**





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Changes that need approval?

- ✓ Objective or scope
- ✓ Principal Investigators (PIs)
- ✓ Subawards
- ✓ Participant support
- ✗ Most Other Budget Changes



What about more time?

- ❖ Extensions
- ❖ Pre-award costs



WHERE DISCOVERIES BEGIN



Post Award Notifications & Requests

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: \$7,000,000.00
Expiration Date: 12/31/2010
Division: D
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

... Costs in Excess of 90 Days
 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.)

<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

& Administration Guide (AAG) reference.

Prepare Cancel



Only "Requests" Require Prior NSF Approval



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PI Transfers

Nominate
an
Alternate
PI

Transfer
the Award

Add a
Subaward

Terminate
the Award

All Options Will Require Prior NSF Approval

- **Be wary of possible restrictions.**
- **Make use of pre-award transfers when appropriate.**



WHERE DISCOVERIES BEGIN



Required Technical Reporting



- ✓ Annual Project Reports
- ✓ Final Project Report
- ✓ Project Outcomes Report

Overdue Reports Have Consequences...

- ✓ Prevent any future funding
- ✓ Stop prior approvals
- ✓ Affect all PIs and co-PIs





WHERE DISCOVERIES BEGIN



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&awdTtl=PRS+11%2F18%2F06+Relea...

File Edit View Favorites Tools Help

NSF FastLane :: Project Reports Requirements

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

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

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... | 1:45 PM



WHERE DISCOVERIES BEGIN



Other Statutory, Regulatory & Policy Requirements (AAG VI.)

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

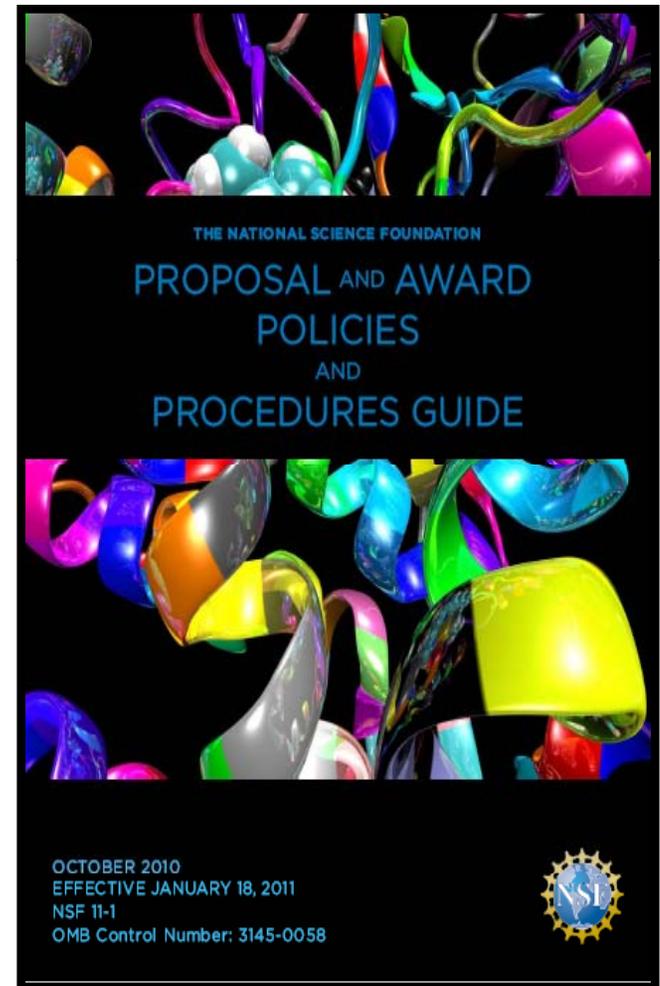


WHERE DISCOVERIES BEGIN



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**



What happens if things really go wrong?

- ❖ NSF may suspend or terminate award
- ❖ Awardee can terminate





WHERE DISCOVERIES BEGIN



Award Management Online

The screenshot shows the NSF Awards Management Online website. At the top is the NSF logo and the tagline 'WHERE DISCOVERIES BEGIN'. Below this is a navigation menu with links for HOME, FUNDING, AWARDS, DISCOVERIES, NEWS, PUBLICATIONS, STATISTICS, ABOUT NSF, and FASTLANE. The main content area is titled 'Awards' and features a search bar and a 'QUICK LINKS' button. The primary heading is 'How to Manage Your Award', followed by a paragraph about the Award and Administration Guide (AAG). A sidebar on the left lists various award-related links, with a red box highlighting the 'Proposals and Awards' section. This section includes links for 'Proposal and Award Policies and Procedures Guide', 'Introduction', 'Proposal Preparation and Submission', 'Grant Proposal Guide', 'Grants.gov Application Guide', 'Award and Administration', 'Award and Administration Guide', 'Award Conditions', and 'Other Types of Proposals'. The main text area contains detailed information about the Grant General Conditions, Research Terms and Conditions, Cooperative Agreement Conditions, and Special Conditions, as well as the role of the Policy Office.

Direct Links to GPG & AAG

Find Award Conditions

Go to [nsf.gov/awards/managing/](https://www.nsf.gov/awards/managing/)

Click on Policy Office for additional information



WHERE DISCOVERIES BEGIN



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)