Panelists

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Award Management: The Grants and Agreements session will address award requirements and conditions, and will outline the responsibilities of those involved in the award process – principal investigators, grantee institutions, Program Officers, research administrators, and agency grants officials. The Office of Diversity and Inclusion will also address compliance and nondiscrimination topics.
Topics Covered

- Award types
- NSF Award Process
- Award Notification
- Terms & Conditions
- Award Amendments
- Reports
- Monitoring
- AMBAP Visits
- Termination & Disciplinary Actions
What kind of “Award”? 

- Grants 
- Cooperative Agreements 

- Public purpose of support or stimulation 
- Not a direct benefit or use of the Federal government
Award vs. Contract

Award: $ = Assistance

Contracts: $ = Goods or Services
Award Process Overview

Program Review

Recommend? YES → Submit to DGA for Review

YES → EHR BIO & SBE Specialist Admin Review

MPS, GEO & OPP Specialist Admin Review

ENG, CISE, OISE & OIA Specialist Admin Review

Award? YES → Award Letter

Grants Officer Approval

NO → Declination Letter

Return to Program
How many awards are we talking about?

DGA approved over 23,000 actions last fiscal year.

18,558 funded actions

4,887 non-fund actions
Notification & Terms of Award

Grants

• Award Letter
• Research Terms and Conditions (RTC) or Grant General Conditions (GC-1)

Cooperative Agreements

• Award Notice
• Financial Administrative Terms and Conditions (FATC)
• Programmatic Terms and Conditions (PTC)
Awardee Responsibility

- Compliance with Federal rules
- Adherence to award terms
- Consistent with NSF policies
- Prudent management of funds
  - Allowable
  - Allocable
  - Reasonable
Changes that need approval?

- Objective or scope
- Principal Investigators (PIs)
- Subawards
- Participant support
- Pre-award costs

What about more time?

- Extensions
Post Award Notifications & Requests

GRANTEE NOTIFICATION TYPES

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<tr>
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<th>GRANTEE REQUEST TYPES (Requires NSF Approval)</th>
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Only “Requests” require NSF approval
Grant Transfers?

Awarded to the Institution and not the PI

- Nominate substitute PI
- Agree to transfer
- Request to subaward
- Terminate

Requires NSF Approval
Has my request been approved?

Not always an Award Amendment…

Check [FastLane](www.fastlane.nsf.gov) for expiration date.
Required Technical Reporting

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

Overdue Reports

- Prevent any future funding
- Stop prior approvals
- Affect all PIs and co-PIs
Continuous Award Monitoring

- Audits
- Prior Approvals
- Expenditures Payments
- Progress
- Closeout
- Subawards
- Records Retention
AMBAP Visits
Division of Grants & Agreements (DGA)
Division of Institution & Award Support (DIAS)

- Coordinate with Cost Analysis & Audit Resolution Branch
- Consult with Program Official
- Review Annual Reports
- Conduct Preparation Meetings
- Correspond with Grantee
- Conduct Site
- Write Post Site-Visit Report
- Follow-up activities as necessary
What happens if things really go wrong?

• NSF may suspend or terminate award

• Awardee can terminate
Award Management Online

Go to nsf.gov/awards/managing/

Direct Links to GPG & AAG

Find Award Conditions

Click on Policy Office for additional information
Ask Early, Ask Often!

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Nondiscrimination: Civil Rights Compliance Requirements

Role of the Office of Diversity and Inclusion.
  • To ensure the agency is in compliance with the laws and regulations governing federal-sector equal employment opportunity and civil rights.

Compliance requirements for recipients of federal/ NSF funds.
  • All recipients are required to comply with laws and regulations that prohibit discrimination in federally assisted programs and activities.
Nondiscrimination: Civil Rights Compliance Requirements

• As part of NSF’s proposal guidelines, applicants for NSF funding are to adhere to the various non-discrimination requirements as discussed.

• Basically, these federal laws prohibit discrimination on the bases of race, color, national origin, gender, and disability in any program or activity that receives federal funding.

• ODI is charged with ensuring recipients are in compliance under applicable statutes via pre and post award compliance reviews.
Nondiscrimination: Civil Rights Compliance Requirements

Pre Award:

- This is done via submission of an electronic certification at the time of proposal submission. As part of the electronic certification, the Organization’s Authorized Representative certifies that the organization agrees to comply with the various nondiscrimination laws and regulations discussed during this presentation. This also applies to sub-recipients.
Nondiscrimination: Civil Rights Compliance Requirements

Post Award:

• This is done via post-award compliance reviews.

• Goal is to provide meaningful technical assistance to all recipients that help strengthen their current compliance efforts as well as identify and report on best practices.

• Requires recipients to provide information, inclusive of data, on specific programs that relate to federal antidiscrimination requirements.

• Limited compliance reviews are currently being conducted as part of the Large Facilities Office’s Business Service Reviews (BSRs).
Nondiscrimination: Civil Rights Compliance Requirements

Post Award:

• Conducting Title IX reviews is part of NSF’s Career Life Balance (CLB) Initiative. In response, NSF will initially focus primarily on conducting Title IX reviews.

• NSF in the process of implementing guidance for compliance reviews that are similar to that in the BSR process.

• Compliance reviews will focus on conducting desk reviews to gather compliance information; collecting promising and innovative practices to share with others, offering technical assistance where needed, and ultimately conducting on-site reviews.
Nondiscrimination: Civil Rights Compliance Requirements

• NSF also is responsible for processing complaints of discrimination from institutions that receive NSF funding.

• Complaints are forwarded to NSF’s EEO Director for processing.

• Complaints may also be processed via the institution’s internal complaint process.
Nondiscrimination: Civil Rights Compliance Requirements

• NSF’s policy is to work with recipients to ensure they are in compliance.

• Failure to comply with one or more of the terms and conditions of NSF grants may result in suspension or termination of the grant.

• NSF will give the recipient notice and the opportunity to correct the deficiency.

• For a review of suspension or termination of procedures, please review NSF’s Award and Administration Guide on its website at www.nsf.gov
For More Information

Welcome to the Office of Diversity and Inclusion

The Office of Diversity and Inclusion (ODI), formerly the Office of Equal Opportunity Programs (OEOP), provides direct support and assistance to accomplish NSF's commitment to a model program that provides equal employment opportunity (EEO) to all employees and applicants in all personnel/employment programs and management practices and decisions.

Its mission is to ensure the agency is in compliance with the laws and regulations that govern Federal sector EEO and civil rights and to foster a diverse and inclusive work environment that ensures equal opportunity through policy development, workforce analyses, outreach, and education to best serve NSF's employees and its stakeholders.

ODI supports its mission through (1) advancing NSF's efforts to be a model agency for EEO, including fostering NSF's workforce diversity, eliminating barriers and deficiencies, and proactively addressing EEO concerns; (2) engaging NSF in proactive equal opportunity and diversity-inclusive initiatives and programs to enhance workplace productivity and efficiency; and (3) promoting accountability, education, and communication on EEO, diversity, and inclusion matters with NSF employees, leaders, and stakeholders to facilitate outstanding service.
For More Information

Ask Early, Ask Often!

nsf.gov/staff
nsf.gov/staff/orglist.jsp
nsf.gov/about/career_opps/rotators/index.jsp