Award Management

**National Science Foundation
Fall Grants Conference**

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Kim Bub

Staff Associate

Division of Grants & Agreements (DGA)

Jeff Vieceli

System Administrator & Head, Systems Office
Division of Institution & Award Support (DIAS)

Award Management

- NSF Award Process
- Awardee Responsibilities - Keys to Success
- Post Award Notifications and Requests
  - No Cost Extensions
  - Cancelled Appropriations
  - Award Transfer
- Reasons for Delays in Award Processing
- Project Reports
- Other Tips
- Award Monitoring
- General Resources and Org Charts

"Ask Early, Ask Often!"
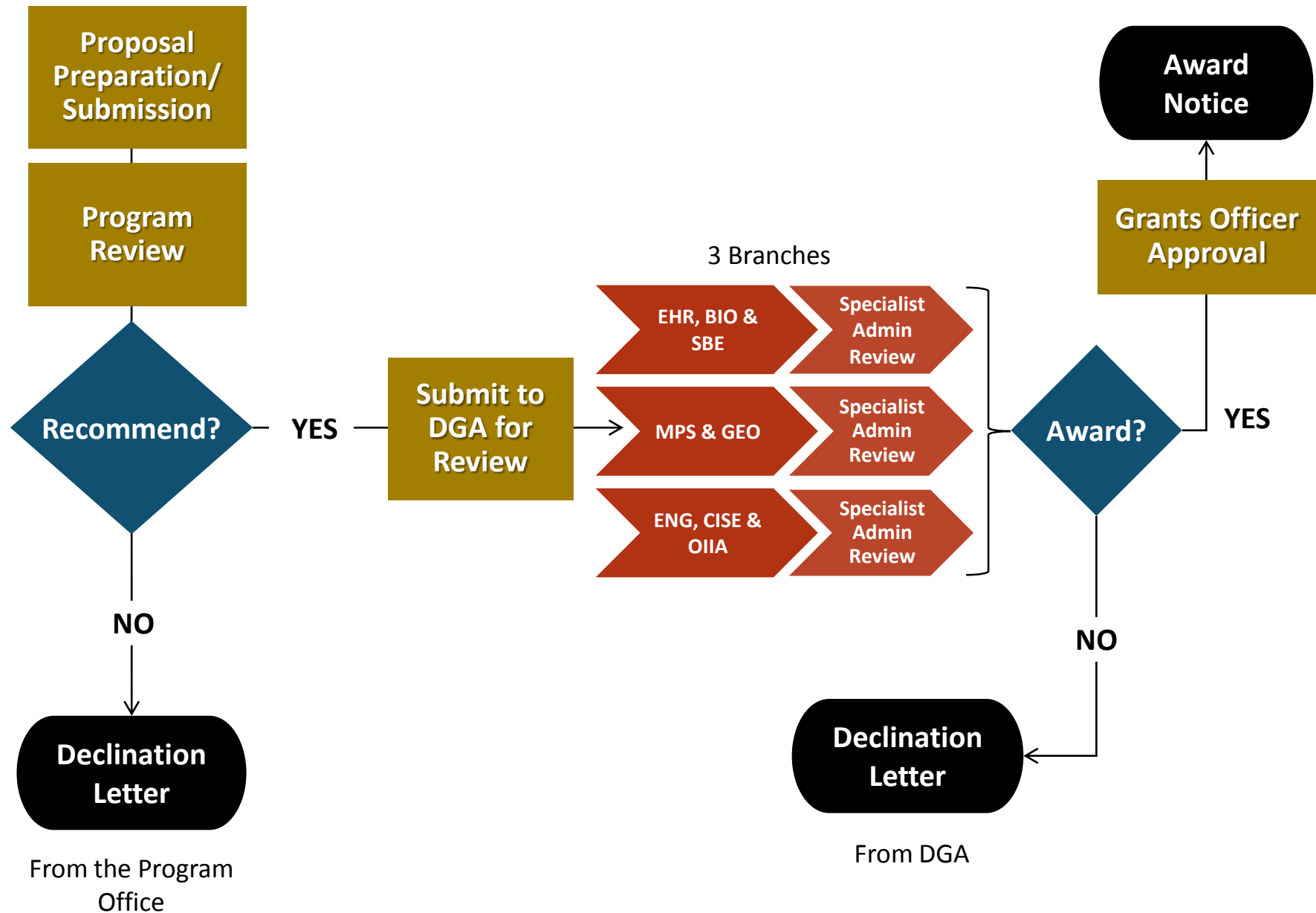
What Kind of Awards are Issued by DGA?

Assistance Awards - the principal purpose of which is to transfer anything of value from NSF to the grantee for them to carry out a public purpose; and not to acquire property or services for NSF's direct benefit or use.

- **Grants** (*Standard and Continuing*)
- **Cooperative Agreements**
- **Fellowships**

How Many Actions Does DGA Process?

DGA typically approves approximately 17,000 funded actions, and 4,000 non-funded actions each year.

In Fiscal Year 2016: DGA Approvals

New and Renewal Awards	Number	Amount (In Millions)
• **Standard Grants**	9,219	$3,307
• **Continuing Grants**	2,399	$ 653
• **Cooperative Agreements**	63	$ 255
• **Fellowships**	405	$ 86
Total	**12,086**	**$4,031**

Other funding actions - (Award increments and supplements)

5,235   **$2,080**

Non-funding actions – (No cost extensions and other no funds actions)

3,950

- Compliance with Federal rules

- Adherence to award terms and conditions

- Read your award notice carefully! It may include project or award-specific requirements, such as:

  - Funding restrictions
  - Special reporting requirements
  - Special terms and conditions or other instructions

- Consistent with NSF policies and institutional policies

- Prudent management of funds:

  - Allowable
  - Allocable
  - Reasonable
  - Necessary

- Follow your institutional policies
- If I have questions about the award, who do I contact?

PI:

- Your NSF Program Officer for technical/scientific questions
- Your Sponsored Research Office (SRO) for administrative questions

SRO:

- DGA Portfolio Manager for award specific questions
- NSF Policy Office for general questions

Consolidated List of Notifications and Requests (not all-inclusive)

Type of Grantee Notification = Awardee Authority	Submitted By	Who Reviews		
Grantee-Approved No-Cost Extension	AOR	Program Officer		
Significant Changes in Methods or Procedures	PI	Program Officer		
Significant Changes, Delays or Events of Unusual Interest	PI	Program Officer		
Annual and Final Cost Share Notification by Recipient	AOR	Program Officer		
Conflicts of Interest that cannot be satisfactorily managed, imposition of conditions or restrictions when a conflict of interest exists	AOR	OGC		

Type of Grantee Request = NSF Approval Required	Submitted By	Who Reviews and Recommends?	Who Approves?	Amendment or Notice?*
Subawarding, Transferring or Contracting Out Part of an NSF Award	AOR	Program Officer	DGA	Amendment
First NSF-Approved No-Cost Extension	AOR	Program Officer	Program Officer	Notice
Second NSF-Approved No-Cost Extension	AOR	Program Officer	DGA	Amendment
Change in Objectives or Scope	AOR	Program Officer	DGA	Amendment
Long-Term Disengagement of the PI/PD or co-PI/co-PD	AOR	Program Officer	Program Officer	Notice
Change in Person-Months Devoted to the Project	AOR	Program Officer	Program Officer	Notice
Addition of co-PI/co-PD	AOR	Program Officer	DGA	Amendment
Withdrawal of PI/PD or co-PI/co-PD	AOR	Program Officer	DGA	Amendment
Substitute (Change) PI/PD or co-PI/co-PD	AOR	Program Officer	DGA	Amendment
PI/PD or co-PI/co-PD Transfer from One Organization to Another	AOR	Program Officer	DGA	-Old Organization, no notice, check research.gov -New Organization, amendment
Pre-award Costs in Excess of 90 Days	AOR	Program Officer	DGA	Amendment
Salaries of Administrative or Clerical Staff	AOR	Program Officer	DGA	Amendment
Travel Costs for Dependents	AOR	Program Officer	DGA	Amendment
Rearrangements/Alterations (Construction)	AOR	Program Officer	DGA	Amendment
Reallocation of Funds for Participant Support Costs	AOR	Program Officer	Program Officer	Notice
Additional categories of participant support costs other than those described in 2 CFR § 200.75	AOR	Program Officer	DGA	Amendment
Change to cost sharing commitments reflected on Line M of the NSF award budget	**AOR, via email	Program Officer/DGA	DGA	Amendment
Request for Supplemental Support	AOR	Program Officer	DGA	Amendment

Notes:

See Exhibit VII-I of the PAPPG for more details: https://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf17001&org=NSF

*You will always be notified when the award is amendment. Program Officer's have the option to send or not send approval notices. Check rearch.gov for the status of your request.

**Requests to change cost share commitments must be emailed. Best practice is to email both the NSF Program Officer and the DGA Portfolio Manager

- Cannot be used for awards with $0 balance

- Not intended just to use up remaining funds ($$)

- Submit Grantee Approved NCE at least 10 days prior to end date
  - Must be within 6-months of the end date of the award

- Submit NSF-approved NCE at least 45 days prior to end date

- Research.gov will automatically determine what type of NCE is appropriate based upon eligibility

- May submit an NSF-approved NCE "late", but will need to include a reason for being late

- Research.gov will block submission of a NCE if the revised end date extends the award beyond the appropriation cancellation date.
  - most NSF funds have a limited period of availability to expend funds (usually six years from the appropriation year) before the appropriation cancels.
  - NSF will notify grantees of any canceling appropriations on open awards in order for grantees to properly and responsibly expend and draw down funds before the end of the fiscal year.

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- Grants are awarded to the Organization and not the PI
- If the PI is moving to a new Organization
  - Nominate new PI
    - Request to sub-award with the new Organization
  - Agree to transfer the grant
  - Terminate the grant

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Proposal Budgets – Unallowable/Unjustified Costs

- Participant Support Costs
- Other Direct Costs
- Subawards:
    - Be sure that sub-recipient budgets and budget justifications are included as part of the proposal budget or post award Addition of Sub-award request.
    - Make sure you have a plan in place for monitoring sub-awards (see Uniform Guidance, 2 § CFR 200)
    - Remember, the relationship is between the prime and the sub-awardee
- Other: Itemize other direct costs clearly in the budget justification and beware of unallowable costs.
- Indirect Costs: Charge in accordance with your most recent federally negotiated rate agreement.
- Budget Justifications: Address all proposed costs by NSF line item.

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Solicitation Requirements

- DGA reviews the solicitation to ensure budgetary and administrative conditions are in accordance with the solicitation.

Research involving Human Subjects or Vertebrate Animals

- Except under very limited circumstances (see the NSF PAPPG for details), IRB and IACUC Certifications must be submitted to the NSF Program Officer before DGA can issue an award. DGA will look for such documentation before making an award.

Overdue Reports

- No future funding
- No administrative actions
- Can impact other PI's awards
- PO can return final report up to 30 days after approval date
- Report status can't be re-set for annual reports

Annual Project Reports (APRs):
- Due annually every year of the project except the final year
- Report on technical progress
- Must be approved by the Program Officer

Final Project Report (FPR):
- This is the final annual report
- This is not intended to be a cumulative report
- Report on technical progress
- Must be approved by the Program Officer

Project Outcomes Report for the General Public (POR):
- Brief summary of the project for the public
- Not approved by the NSF

- The NSF sends "reminder" notices for all reports – when they are due and when they become overdue

- The report requirments for an award are available to the PI and all Co-Pis via Research.gov

- The SRP also can run a report to show reports for their awards that are due and overdue

- The PI and all Co-Pis may submit the reports

- The SRO does not have access to submit the reports

- When in doubt, call the NSF – PO or Help Desk

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- Organization Policies and Procedures should be written and kept up to date

- Follow Research.gov and FastLane directions and edits

- Read error messages received in Research.gov and FastLane – make screen shots to include in emails to Help Desk and PO
    - For Research.gov questions, call the Research.gov Help Desk at 1-800-381-1532
    - For FastLane questions, call FastLane at 1-800-673-6188

- Award notices are sent to the Organization SRO

- Publications are pulled from the APR and FPR

- Programmatic Site Visits

- Division of Institution & Award Support (DIAS) contracted desk reviews

- DIAS Advanced Monitoring Site Visit Program in conjunction with the Division of Grants & Agreements (DGA)

- Division of Financial Management (DFM) baseline monitoring including active payment monitoring and post award financial activity reviews

- Office of Inspector General (OIG) audits

Find how to get assistance with your award from the Division of Grants & Agreements

nsf.gov/awards/managing/

Direct Links to PAPP-G

Find Award Conditions

Division of Grants and Agreements (DGA)

Main Office: 703-292-8210

effective as of 11/01/16

Color Key
DGA Front Office
Staff Associate
Staff Assistant
Branch Chief
Team Lead
Grant Specialist
Grant Administrator
Contractor
Student
IPA

Jamie French
DGA Division Director
703-292-8644
jhfrench@nsf.gov

(vacant)
Director of Operations
703-292-xxxx
email@nsf.gov

Lori Wiley
Senior Staff Associate
703-292-8804
lwiley@nsf.gov

Brenda Thomas
Staff Assistant
703-292-4830
btthomas@nsf.gov

Joe Kittle
Staff Associate
703-292-2523
jkittle@nsf.gov

Patricia Jackson
Staff Associate
703-292-4438
pjackson@nsf.gov

Denisa Traboini
IPA
703-292-2090
dktraboi@nsf.gov

Kim Bub
Staff Associate
703-292-4331
kbub@nsf.gov

Pam Hawkins
EHR/BIO/MPS Branch Chief
703-292-4814
pahawkin@nsf.gov

Chris Robey
SBE/GEO & Grant Admin Branch Chief
703-292-4822
jrobey@nsf.gov

Jason Madigan
ENG/CISE/OIA/OISE Branch Chief
703-292-4333
jmadigan@nsf.gov

Denise Martin
EHR/MPS Team Lead
703-292-4808
dmartin@nsf.gov

Aprile Roberson
BIO/MPS Team Lead
703-292-4841
aroberso@nsf.gov

Martha Dodson
SBE/GEO Team Lead
703-292-4834
mdodson@nsf.gov

Vanessa Richardson
Grant Administrator Team Lead
703-292-4839
vlrichar@nsf.gov

Mae Powell
ENG Team Lead
703-292-4583
wpowell@nsf.gov

Larry Fuqua
CISE/OIA/OISE Team Lead
703-292-4807
lfuqua@nsf.gov

Daniel McEnrue
EHR–DRL/DGE
703-292-8386
dpmcenru@nsf.gov

Denise Hundley
BIO–DBI/IOS/BIO
703-292-4919
dhundley@nsf.gov

Angela Turner
GEO–AGS/OCE/GEO
703-292-7524
aturner@nsf.gov

Shirley Kerchner
BIO
703-292-4819
skerchne@nsf.gov

Jessie Richardson
ENG–CMMI/ECCS/ENG
703-292-4811
jrichard@nsf.gov

Pam Conyers
CISE–CNS & OISE
703-292-5329
pconyers@nsf.gov

Rashawn Farrior
EHR–DUE/HRD
703-292-2187
lfarrior@nsf.gov

Staci Jenkins
BIO–DEB/MCB/EF
703-292-5042
sjenkins@nsf.gov

Michael Horneffer
GEO–EAR/PLR & SBE–SMA
703-292-2349
mhorneff@nsf.gov

Tianay Robinson
MPS
703-292-7859
trobinso@nsf.gov

Denise Robinson
ENG–CBET/EEC/EFMA
703-292-8293
drobinso@nsf.gov

Irene Sattler
CISE–CCF & OIA-EPS
703-292-4813
isattler@nsf.gov

Ilonka Karasz
MPS–CHE/DMS/MPS
703-292-4831
ikarasz@nsf.gov

Elizabeth Gebremedhin
MPS–AST/DMR/PHY
703-292-4444
egebreme@nsf.gov

Christine Castell
SBE–BCS/SES/NCSE GEO/ICER
703-292-4803
ccastell@nsf.gov

Cartia Brown-Morgan
ENG
703-292-8709
cbrownmo@associates.nsf.gov

Willis Phan
ENG–IIP
703-292-8607
wiphan@nsf.gov

Deidre Coates
CISE–ACI/IIS
703-292-4804
dcoates@nsf.gov

Regina Alexander-Pinkney
EHR
703-292-8453
ralexand@associates.nsf.gov

Brian Mojica
SBE/GEO
703-292-4832
bmojica@nsf.gov

Jereatha Coleman
CISE/OIA/OISE
703-292-2649
jcolereman@associates.nsf.gov

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- Pixburgh or Picksburgh = Pittsburgh
- Stillers = Steelers
- Worsh = Wash
- Sammich = Sandwich
- Pop = Soda
- Dahntahn = Downtown
- Iggle = Eagle
- Keller = Color
- Ketch = Catch
- Redd up = Make Ready or Tidy Up
- Slippy = Slippery
- D'jeet or d'jeetyet = Did you eat / Did you eat yet?
- Yunz or Yinz = You Ones or Y'All

Ask Early, Ask Often!

nsf.gov/staff

https://www.nsf.gov/bfa/dias/policy/

https://www.nsf.gov/bfa/dga/

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