



National Science Foundation
WHERE DISCOVERIES BEGIN

NSF Grants Conference Award Management

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Panelists

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Award Management



- ❖ Awards and Responsibilities
- ❖ NSF Award Process
- ❖ Terms and Conditions
- ❖ Prior Approvals
- ❖ Reporting and Monitoring
- ❖ Suspension and Termination
- ❖ Non-discrimination: Civil Rights Compliance Requirements



What kind of “Award”?

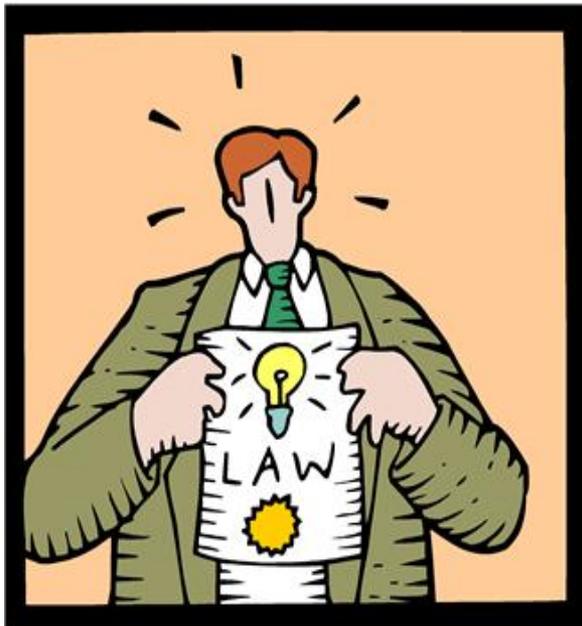
- ✓ Grants
- ✓ Cooperative Agreements



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



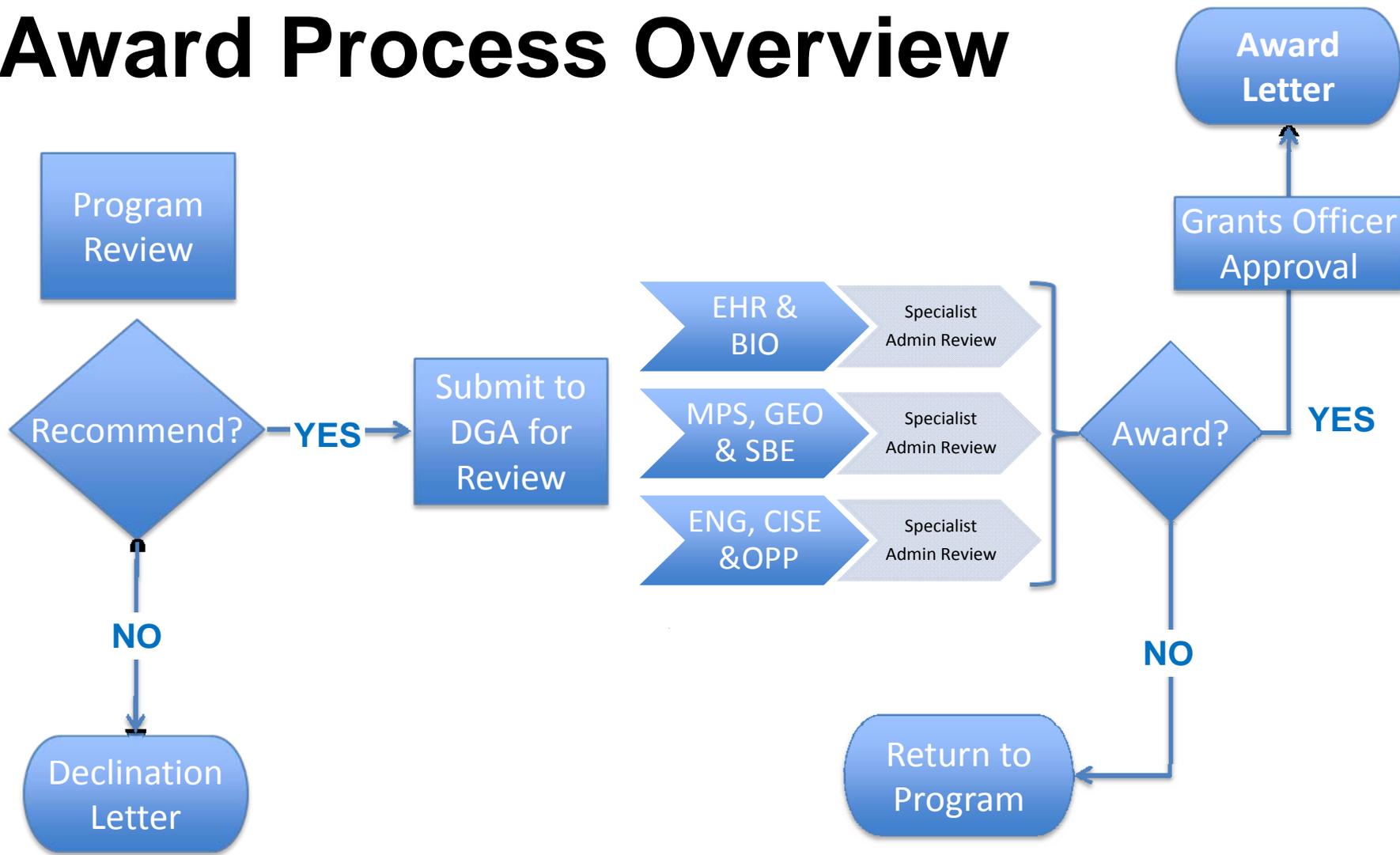
Awardee Responsibility



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



Award Process Overview





How many awards are we talking about?

DGA typically approves over
10,000 new awards, plus more than
3,500 supplements.

Also NSF releases about 6,500
grant increments each year.





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)



Changes that need approval?

- ✓ Objective or scope
- ✓ Principal Investigators (PIs)
- ✓ Subawards
- ✓ Participant support



What about more time?

- ❖ Extensions
- ❖ Pre-award costs



Post Award Notifications & Requests

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Notifications & Requests | MAIN ▶

Forwarded by PI
Prepared by SPO
Submitted to NSF

Prepare a New Notification or Request for Award #: 999999

Award Amount:	\$7,000,000.00
Expiration Date:	12/31/2011
Division:	DIVISION OF INFORMATION SYSTEMS
Award Title:	Test for Demo
Awardee Organization:	NSF
PI/PD:	Alphaman, Alan

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

GRANTEE NOTIFICATION TYPES	Topic Guidance	GRANTEE REQUEST TYPES (Requires NSF Approval)	Topic Guidance
<input type="radio"/> Anticipated Residual Funds in excess of \$5,000 or 5%	AAG	<input type="radio"/> Addition of SubAward	AAG
<input type="radio"/> Grantee Approved No Cost Extension	AAG	<input type="radio"/> Withdrawal of PI/Co-PI	AAG
<input type="radio"/> Cost Sharing Equal To or Greater Than \$500,000	AAG	<input type="radio"/> Long-Term Absence of the PI/PD (Over Three Months)	AAG
<input type="radio"/> Significant Changes/Delays or Events of Unusual Interest	AAG	<input type="radio"/> NSF Approved No-Cost Extension	AAG
<input type="radio"/> Conflicts of Interests	AAG	<input type="radio"/> PI Transfer	AAG
<input type="radio"/> Significant Changes in Methods/Procedures	AAG	<input type="radio"/> Pre-award Costs in Excess of 90 Days	AAG
<input type="radio"/> Short-Term Absence of the PI/PD (Up to Three Months)	AAG	<input type="radio"/> Rearrangement/Alteration \$25,000 or over	AAG
		(Follow these links for more information on DP PDF file in new	AAG
		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

Only "Requests" require NSF approval

*Topic Guidance is provided through the Award & Administration Guide (AAG) reference.

Prepare
Cancel



Grant Transfers?



Awarded to the Institution and not the PI

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

Requires NSF Approval





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Has my request been approved?



Not always an Award Amendment...

Check  for expiration date.





Required Technical Reporting



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

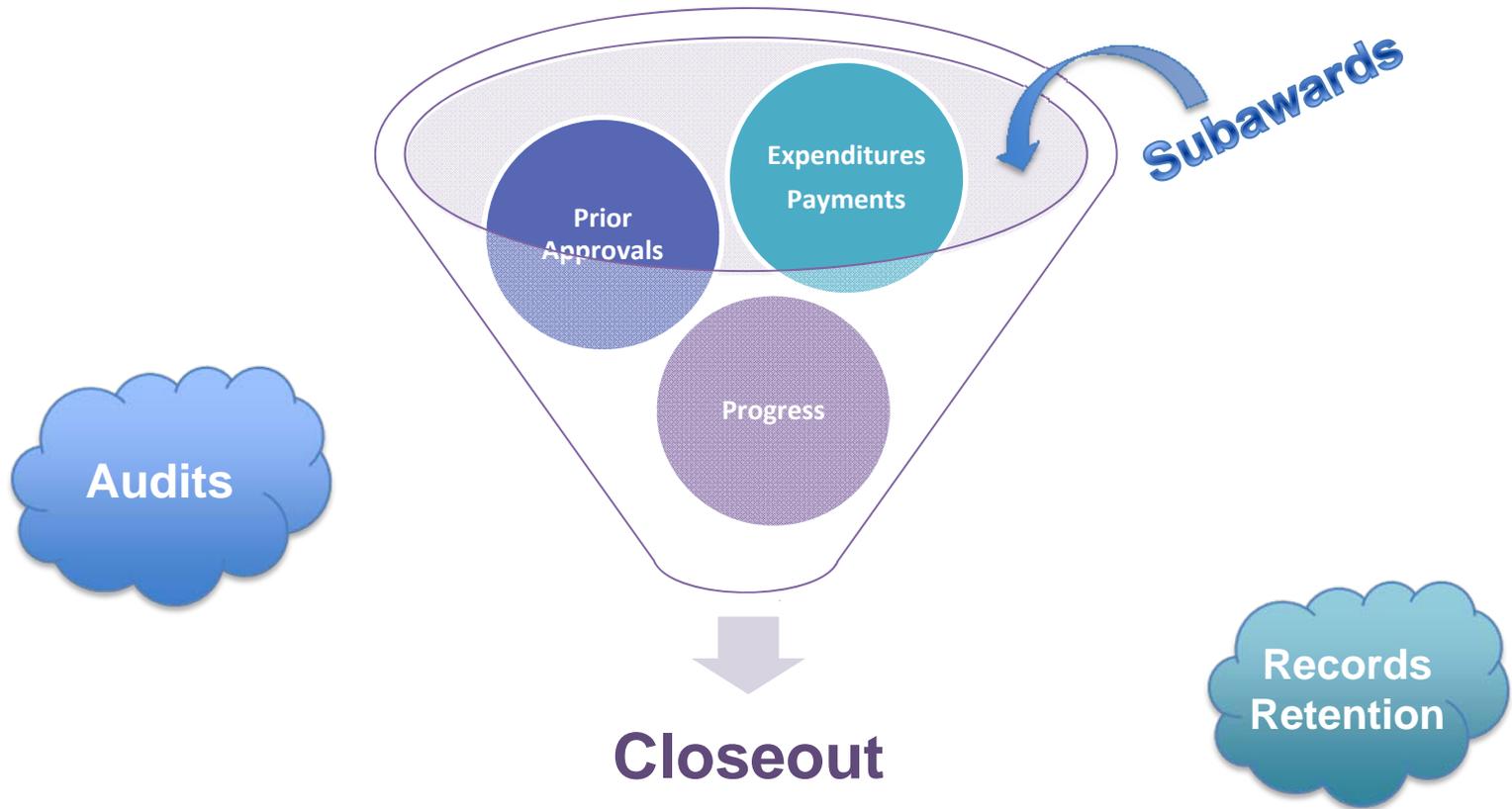
Overdue Reports

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





Continuous Award Monitoring





Award Management Online

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

Direct Links to GPG & AAG

Find Award Conditions

Click on Policy Office for additional information



What happens if things really go wrong?



❖ NSF may suspend or terminate award

❖ Awardee can terminate





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 their 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

Visit <http://www.nsf.gov/od/odi/>

Office of Diversity and Inclusion

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.

Quick Links

- Policy Updates
- News
- Strategic Plan
- Calendar

About Us

ODI Staff

Laws and Regulations that govern EEO and Civil Rights

Policies

Bulletins

Services

Diversity Initiatives

Resources

Training

Related Links

Glossary of EEO Terminology



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)

[nsf.gov/about/career_opps/rotators/index.jsp](https://www.nsf.gov/about/career_opps/rotators/index.jsp)