

# NSF Grants Conference

## Grantee Cash Management Section

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NOVEMBER 15, 2016



A photograph of the Washington Monument, a tall, white, obelisk-shaped structure, standing prominently against a clear blue sky. In the foreground, a green lawn is dotted with numerous American flags on tall poles. To the right, a portion of a large, classical-style building with columns is visible. The text "NSF Award Cash Management Service" is overlaid in white, serif font, centered on the image.

# NSF Award Cash Management Service

# Agenda

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- ★ GCMS Monitoring Activities
- ★ Small Business Innovation Research(SBIR)
- ★ Returning Funds to NSF
- ★ Questions
- ★ Open Discussion

# Grantee Cash Management Section Monitoring Activities



# GCMS Monitoring Activities

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- ★ Program Income
- ★ Cancelling Funds
- ★ Final Unliquidated Balances
  - ★ Balances of Concern
- ★ Future Monitoring Activities

# PROGRAM INCOME

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- ★ Gross income earned by the grantee that is directly generated by a supported activity or earned as a result of the grant.
- ★ Conference Grants are now deductive [FL26 Article 4](#)

# Program Income Examples

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## Includes but not limited to:

- Fees charged to register participants for a workshop or conference
- Rental or usage fees charged for use of supplies or equipment purchased with grant program funds
- services or items fabricated or produced under a sponsored program such as books and publications, software.
- Income from the sale of real property
- Income from Membership fees charged to individuals and organizations for grant related activities

## Does not Include:

- Interest earned on deposit made from reimbursement
- Royalties from patents, copyrights, etc.
- Is not your total draw down amount requested for any given period

Award #	Funds Authorized	Cash Disbursed	Available
Award 1	\$446,000.00	\$247,475.17	\$198,524.83
Award 2	\$128,500.00	\$123,833.32	\$4,666.68



## Reporting Worksheet Instructions

The 2014 Proposal and Award Policies and Procedures Guide (PAPPG) requires that all awardee organizations submit a Program Income Reporting Sheet. Starting October 1st all awardee organizations must report the amount of program income earned and expended as of September 30th each year. Awardee organizations will be required to submit the Program Income Reporting Sheet by November 14 in order to report the amount of program income earned and expended as of the end of the previous Federal fiscal year.

Program income is gross income earned by the awardee organization that is directly generated by a supported activity or earned as a result of NSF-funding. This would include things such as fees for services performed, the use or rental of real or personal property acquired under the grant, the sale of commodities or items fabricated under the grant, and license fees. Interest earned on advances of Federal funds is not program income.



### Program Income Reporting Worksheet

- 1** To start, you must first click **Download the Program Income Reporting Worksheet** at the top of the [Program Income](#) page.

#### Worksheet



[Download the Program Income Reporting Worksheet](#)  
Program Income reporting worksheet.

- 2** Once opened, begin by completing the following sections at the top left of the worksheet:

- Organization Name:** Enter your organization's name
- NSF Organization ID:** Enter your organization's NSF ID (10 characters)
- State:** Enter your organization's state abbreviation code (e.g., VA)
- Reporting Period:** Pre-populated by NSF

Organization Name:	
NSF Organization	
State:	
Reporting Period	

- 3** Next, you will need to list your NSF awards that earned program income. If no awards have program income, skip to **Step 8**.

NSF Award Number	Program Income Category (Pre-populated)	Cumulative Program Income Reported Since Award Start Date	Cumulative Program Income Reported Since Award Start Date (Excludes Interest)	Cumulative Unexpended Program Income	Notes
NSF AWARD NUMBER	PROGRAM INCOME CATEGORY	IF A CUMULATIVE REPORTING PERIOD IS SPECIFIED, REPORT THE CUMULATIVE PROGRAM INCOME REPORTED SINCE THE START DATE OF THE REPORTING PERIOD. IF NO REPORTING PERIOD IS SPECIFIED, REPORT THE CUMULATIVE PROGRAM INCOME REPORTED SINCE THE AWARD START DATE.	IF A CUMULATIVE REPORTING PERIOD IS SPECIFIED, REPORT THE CUMULATIVE PROGRAM INCOME REPORTED SINCE THE START DATE OF THE REPORTING PERIOD. IF NO REPORTING PERIOD IS SPECIFIED, REPORT THE CUMULATIVE PROGRAM INCOME REPORTED SINCE THE AWARD START DATE.	IF A CUMULATIVE REPORTING PERIOD IS SPECIFIED, REPORT THE CUMULATIVE PROGRAM INCOME REPORTED SINCE THE START DATE OF THE REPORTING PERIOD. IF NO REPORTING PERIOD IS SPECIFIED, REPORT THE CUMULATIVE PROGRAM INCOME REPORTED SINCE THE AWARD START DATE.	

*Note: Only include awards that were active, based upon the start and expiration date, during the most recently completed Federal fiscal year.*

- 4** For each award listed, enter the cumulative amount of program income earned since the start of the award. Please note, program income does not include:

- Interest earned on deposit,
- Royalties from patents and copyrights,
- And is not your total draw down amount requested for any given period.

NSF Award Number	Program Income Category (Pre-populated)	Cumulative Program Income Reported Since Award Start Date	Cumulative Program Income Reported Since Award Start Date (Excludes Interest)	Cumulative Unexpended Program Income	Notes
NSF AWARD NUMBER	PROGRAM INCOME CATEGORY	IF A CUMULATIVE REPORTING PERIOD IS SPECIFIED, REPORT THE CUMULATIVE PROGRAM INCOME REPORTED SINCE THE START DATE OF THE REPORTING PERIOD. IF NO REPORTING PERIOD IS SPECIFIED, REPORT THE CUMULATIVE PROGRAM INCOME REPORTED SINCE THE AWARD START DATE.	IF A CUMULATIVE REPORTING PERIOD IS SPECIFIED, REPORT THE CUMULATIVE PROGRAM INCOME REPORTED SINCE THE START DATE OF THE REPORTING PERIOD. IF NO REPORTING PERIOD IS SPECIFIED, REPORT THE CUMULATIVE PROGRAM INCOME REPORTED SINCE THE AWARD START DATE.	IF A CUMULATIVE REPORTING PERIOD IS SPECIFIED, REPORT THE CUMULATIVE PROGRAM INCOME REPORTED SINCE THE START DATE OF THE REPORTING PERIOD. IF NO REPORTING PERIOD IS SPECIFIED, REPORT THE CUMULATIVE PROGRAM INCOME REPORTED SINCE THE AWARD START DATE.	

- 5** You must also determine the type of program income reported based on award terms and conditions and enter into

Program Income Type	
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# Program Income

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- ★ The Program Income Reporting Worksheet will be available to awardees through Research.gov starting October 1<sup>st</sup>.
- ★ Access webpage address:  
<http://research.gov/programincome>
- ★ **November 14, 2016** was the deadline for awardees to update, certify and submit the Program Income Reporting Worksheet to NSF for FY16.

# Results

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★ Received over \_\_\_\_\_ program income reports

# Canceling Appropriations

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- ★ Each year NSF and our grantees lose \$5 to \$9 million in canceling funds
- ★ Public Law 101-510 requires that all federal agencies financially close fixed year appropriation accounts and **cancel** any remaining balances by September 30th of the 5th year after the period of availability.

Appropriation Activity & Status			
Fund Status	Open	Expired	Cancelled
Fiscal Year	Beginning Budget Fiscal Year to Ending Budget Fiscal Year	5 Years after Ending Budget Fiscal Year	End of the 5 <sup>th</sup> Expired Year
Allowed Activity	Obligate/Expend	Expend	Return \$ to Treasury

Example:

- 2011/2012 Appropriation obligated until 9/30/2012
  - Expend funds from obligated year (2011) through 9/30/2017
  - Funds cancel on September 30, 2017 – return to US Treasury
- ★ The federal appropriation and not the effective/expiration dates of the award determines when it will cancel.

# Canceling Appropriations Critical Date

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- ★ **ACM\$ will be closing on September 22, 2017 at 12:00pm EDT for year end.**
- ★ After the cancel date:
  - ★ *no adjustments*
  - ★ *no extensions*
- ★ GCMS will continue to reach out to awardees who have cancelling funds throughout FY 2017.

# Balances of Concern

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- ★ 3 months prior to expiration
  - ★ 75% or > unliquidated
- ★ Email inquiry
  - ★ Is there a problem?

# Small Business Innovation Research(SBIR)

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- Effective July 1 all new SBIR grants began being paid through ACM\$
- First group was 184 grantees
- Expect approximately 600 new grantees after full conversion is complete



# Returning Funds to NSF

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## ★ACM\$

- ★Transaction total must be zero dollars or greater
- ★Mailed Check to NSF Cashier
- ★Pay.gov, which now includes payment options for:
  - ★ Debit and Credit card,
  - ★ PayPal, and
  - ★ Dwolla

# ACM\$ Maintenance Tasks

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- ★ Clean up Fastlane contacts –contact information is used to send NSF financial related information.
- ★ Clean up draft transactions in ACM\$

# Updated GCMS Contact List

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- ★ **Chris Berner**– Acting Section Head– [cmberner@nsf.gov](mailto:cmberner@nsf.gov) or (703) 292-4335. USP & Foreign Grantees
- ★ **Dorothy Battle**– [dbattle@nsf.gov](mailto:dbattle@nsf.gov) or (703) 292-4440  
AL, AR, CO, DE, FL, ID, IN, KY, LA, MA, MS, OR, PA, RI, SC, TN, UT, WV and All Fellowship Payments
- ★ **Ilene Caruso** – [icaruso@nsf.gov](mailto:icaruso@nsf.gov) or (703) 292-8334  
AK, CA, CT, HI, IA, IL, KS, ME, MO, ND, NH, NM, NV, NY, OH, SD, WA, WY and All SBIR
- ★ **Una Alford (Detailee)**– [ualford@nsf.gov](mailto:ualford@nsf.gov) or (703) 292-7111  
DC, GA, MD, MT, NE, NJ, OK, VA
- ★ **Judy Chu (Detailee)**– [jchu@nsf.gov](mailto:jchu@nsf.gov) or 703-292-2546  
AZ, MI, MN, NC, OH, OR, TX, VT.

# Questions

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# Open Discussion

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- Feedback from the institutions
- Best Practices
- Challenges and concerns