

## V. The Award and Continued Support

### A. STANDARD AND CONTINUING GRANTS

NSF awards two types of grants:

**Standard Grants**, in which NSF agrees to provide a specific level of support for a specified period of time with no statement of NSF intent to provide additional future support without submission of another proposal, and

**Continuing Grants**, in which NSF agrees to provide a specific level of support for an initial specified period of time, usually a year, with a statement of intent to provide additional support of the project for additional periods, provided funds are available and the results achieved warrant further support.

Notification of an NSF grant is by a letter signed by an NSF Grants Officer, an transmitted to the organizations via e-mail. An NSF grant consists of:

1. the award letter, which includes any special provisions applicable to the grant and any numbered amendments thereto;
2. the budget that indicates the amounts, by categories of expense, on which NSF has based its support (or otherwise communicates any specific approvals or disapprovals of proposed expenditures);
3. the proposal referenced in the award letter;
4. the applicable grant conditions<sup>29</sup>, such as Grant General Conditions (NSF GC-1) or Federal Demonstration Partnership (FDP) Terms and Conditions; and
5. any NSF brochure, program guide, solicitation or other NSF issuance that may be incorporated by reference in the award letter. NSF transmits grants to organizations via e-mail.

In addition to the e-mail notification, grantees can access NSF award letters in FastLane. Sponsored projects offices are able to view, print and/or download NSF award letters for their organizations.

**Effective/Expiration Dates and Preaward Costs.** The grant period begins on the effective date specified in the award letter or, in its absence, the date of the award letter and runs until the expiration date indicated. Expenditures incurred within the 90-day period preceding the effective date of the grant may be authorized by the grantee organization. Such expenditures, however, are made at the grantee's risk. Expenditures after the scheduled expiration date of the grant only may be made to honor documented commitments made on or before the expiration date. PIs should consult their business offices for details.

### B. ADDITIONAL SUPPORT

#### 1. Incremental Funding

Incremental funding for continuing grants within the total duration of the project is based on NSF review of project reports and does not require submission of a new proposal. NSF must receive an annual project report for each increment of funding at least three months prior to the end of the current funding period. See Chapter VI, Section G.1. for information on NSF's electronic reporting system.

#### 2. Renewal Proposals

Renewal proposals are requests for additional funding for a support period subsequent to that provided by a standard or continuing grant. Renewal proposals compete with all other pending proposals and must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. In preparing a renewal proposal, proposer should assume that reviewers will not have access to previous proposals.

All proposals for renewed support of research projects, from academic institutions *only*, must include information on human resources development at the postdoctoral, graduate and undergraduate levels as part of Results from Prior NSF Support.<sup>30</sup> This may involve, but is not limited to, the role of research in student training, course preparation and seminars (particularly for undergraduates). Special accomplishments in the development of professional scientists and engineers from underrepresented groups should be described. Graduate students

who participated in the research should be identified by name. This requirement does not apply to non-academic organizations.

PIs are encouraged to discuss renewal proposals with the Program prior to submission of a proposal. Unless precluded by individual program requirements, PIs can choose either of the following two formats for preparation of a renewal proposal. Both types of renewal proposals must be submitted electronically via the NSF FastLane system.

- **Traditional Renewal.** The "traditional" renewal proposal is developed as fully as though the proposer were applying for the first time. It covers all the information required in a proposal for a new project, including results from the prior work. The 15-page limitation on the project description applies.
- **Accomplishment-Based Renewal.** In an "Accomplishment-Based Renewal" (ABR) proposal, the Project Description (including the Results from Prior NSF Support) is replaced with the following items:
  - copies of no more than six reprints<sup>31</sup> of publications resulting from the research supported by NSF (including research supported by other sources that is closely related to the NSF-supported research) during the preceding three to five year period. Of the six publications, two preprints (accepted for publication) may be included;
  - information on human resources development at the postdoctoral, graduate and undergraduate levels; and
  - a brief summary (not to exceed four pages) of plans for the proposed support period.

All other information required for NSF proposal submission remains the same.

It must be clearly indicated in the proposal that it is an ABR submission and the box for "Accomplishment-Based Renewal" must be checked on the proposal Cover Sheet. ABR proposals may not be submitted for consecutive renewals.

### **3. Two-Year Extensions for Special Creativity**

A Program Officer may recommend the extension of funding for certain research grants beyond the initial period for which the grant was awarded for a period of up to two years. The objective of such extensions is to offer the most creative investigators an extended opportunity to attack adventurous, "high-risk" opportunities in the same general research area, but not necessarily covered by the original/current proposal. Awards eligible for such an extension are generally three-year continuing grants. Special Creativity Extensions are initiated by the NSF Program Officer based on progress during the first two years of a three-year grant; PIs will be informed of such action a year in advance of the expiration of the grant.

### **4. Supplemental Funding**

In unusual circumstances, small amounts of supplemental funding and up to six months of additional support may be requested to assure adequate completion of original scope of work. The grantee must submit a request for supplemental funding to the cognizant NSF Program Officer at least two months before funds are needed.

Requests for supplemental funding may be initiated in the FastLane system by using the "Supplemental Funding Request" function.<sup>32</sup> Such requests must include a summary of the proposed work, a brief justification, and a budget for the requested funds.

**Note:** A signed paper copy of the supplemental funding request budget is no longer required to be submitted to NSF because all necessary certifications are provided at the time of submission of the supplemental funding request.

Program Officers may make decisions regarding whether or not to recommend a small supplement without merit review of the supplemental request. Requests for larger supplements, or for more than six months, may require additional merit review. Supplemental funding requests will not be approved for such purposes as defraying

costs associated with increases in salaries or additional indirect cost reimbursement. Grantees should contact the cognizant Program Officer prior to submitting a request for supplemental funding.

## C. NO-COST EXTENSIONS

### 1. Grantee-Authorized Extension

Grantees may authorize a one-time extension of the expiration date of the grant of up to 12 months if additional time beyond the established expiration date is required to assure adequate completion of the original scope of work within the funds already made available. This one-time extension may not be exercised merely for the purpose of using the unliquidated balances. The grantee shall notify NSF, providing supporting reasons for the extension and the revised expiration date, at least ten days prior to the expiration date specified in the grant to ensure accuracy of NSF's grant data. All grantee-authorized extension notifications must be submitted via the FastLane system. For grantee authorized extensions, no amendment will be issued.

### 2. NSF-Approved Extension

If additional time beyond the extension provided by the grantee is required and exceptional circumstances warrant, a formal request must be submitted to NSF. The request must be submitted to NSF at least 45 days prior to the expiration date of the grant. The request must explain the need for the extension and include an estimate of the unobligated funds remaining and a plan for their use. As indicated above, that unobligated funds may remain at the expiration of the grant is not in itself sufficient justification for an extension. The plan must adhere to the previously approved objectives of the project. All requests for NSF-approved extensions must be submitted via the FastLane system. Any NSF-approved no-cost extension will be issued by an NSF Grants Officer in the form of an amendment to the grant specifying a new expiration date. Grantees are cautioned not to make new commitments or incur new expenditures after the expiration date in anticipation of a no-cost extension.

**29** Additional coverage on the NSF grant conditions (e.g., GC-1 and FDP III) is contained in GPM Section 240.

**30** This requirement applies to both types of renewal proposals: Traditional Renewal and Accomplishment-Based Renewal.

**31** Reprints should be provided as supplementary documentation and included in Proposal Section I.

**32** Detailed instructions for preparation and submission of supplemental funding requests are available on the FastLane website.