

MAY 20 - 21, 2019

SPRING GRANTS CONFERENCE

Award Management



National
Science
Foundation

NSF Speakers

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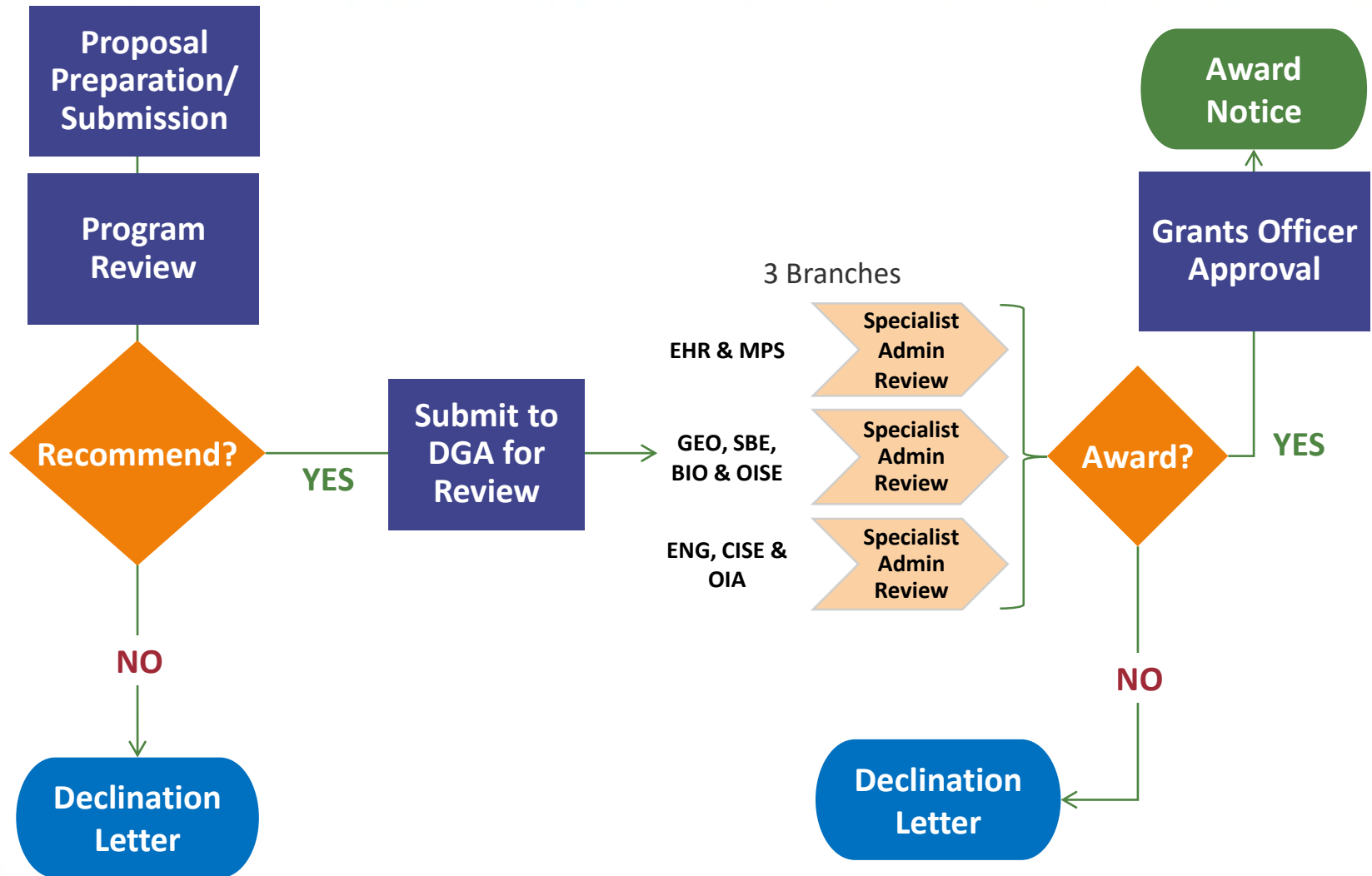
Topics Covered

- Award Process
- Award Processing Delays
- Post-Award Notifications and Requests
- No Cost Extensions
- Award Transfers
- Awardee Responsibilities – Keys to Success



“Ask Early, Ask Often!”

NSF Award Process - Overview



NSF Award Process - DGA

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**

DGA Mission Statement

“Support the issuance of NSF assistance awards and other agreements by providing business, financial, and award administration assistance from pre-award through closeout.”

How Many Award Actions Does DGA Process Each Year?

DGA Typically Approves:

- ~12,000 New Awards
- ~5,000 Supplements/Continuing Grant Increments
- ~5,000 Non-funded actions

Common Reasons for Delays in Award Processing

Reasons Include...

- Overdue project reports
- Not following solicitation requirements
- Missing IRB and IACUC approvals
- Unallowable or unjustified budget items

Overdue Project Reports

Consequences

- No future funding – subject award or associated awards
- No administrative actions – subject award or associated awards
- Can impact other PIs' awards

Annual and Final Project Reports

- Must be approved by the NSF Program Officer
- Annual reports are due 90 days prior to the end of the current budget period
- Final reports are due 120 days after the end date of the award

Project Reports

Project Outcomes Report (POR) for the General Public

- Due 120 days after the end date.
- Not approved by the NSF Program Officer.

General Information about Project Reports

- The NSF sends “reminder” notices for all reports – when they are due and when they become overdue.
- The report requirements for an award are available to the PI and all Co-PIs via Research.gov.
- The SRO also can run a report to show reports for their awards that are due and overdue via Research.gov.
- Any Active personnel—the PI and all Co-PIs--may submit the reports.
- The SRO does not have access to submit the reports.
- When in doubt, contact your Program Officer, or the Research.gov Help Desk.

Project Reports

PAPPG Chapter VII.D. - FPR and POR

- By submitting the final project report, the PI is signifying that the scope of work for the project has been completed and that he/she does not anticipate that any further research activities (including a no-cost extension, supplemental funding, or transfer of the grant) need to be completed on the project. Submission of the final project report, however, does not preclude the grantee from requesting any further payments for costs incurred during the period of performance.

Project Reports

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! Please Note: The final project report is a vital, and required, part of the award closeout process. By submitting the report, you are indicating that the scope of work for the project has been completed and you do not anticipate any further action on the award, including a no cost extension, supplemental funding, nor transfer (PI Transfer). If you have questions regarding your award, please contact your cognizant Program Officer, or the Division of Grants and Agreements official listed on your award notice.

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! Please Note: This project outcomes report is a vital, and required, part of the award closeout process. By submitting this report, you are indicating that the scope of work for the project has been completed and you do not anticipate any further action on this award, including a no cost extension, supplemental funding, nor transfer (PI Transfer). If you have questions regarding your award, please contact your cognizant Program Officer, or the Division of Grants and Agreements official listed on your award notice.

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Project Outcomes Report

Solicitation Requirements

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

Human Subjects and Vertebrate Animals

- All NSF projects involving human subjects must conform with the Common Rule (45 CFR 690).
- Before an award can be made, all projects involving human subjects must either have an IRB approval or exemption.
- All NSF projects involving vertebrate animals must comply with the Animal Welfare Act and related regulations.
- Before an award can be made, all projects involving vertebrate animals must have an IACUC approval.
- What about awards lacking definite plans for use of human subjects?

Proposal Budgets

Budget Line F, Participant Support Costs

- Know the definition of participant support. Be aware of NSF's policy with respect to participant support and watch out for unallowable entertainment and indirect costs.

Budget Line G, Other Direct Costs

- Subawards (G.5) Be sure that sub-recipient budgets and budget justifications are included as part of the proposal budget.
- Other (G.6) Itemize other direct costs clearly in the budget justification and beware of unallowable costs.

Proposal Budgets (cont'd)

Budget Line I, Indirect Costs

- Charge in accordance with your most recent federally negotiated rate agreement.
- In most cases, a supplement should use the rate used for the original award.

Budget Justification

- No more than five pages.
- The amounts for each budget line item requested must be documented and justified.
- Amounts budgeted must be consistent with the proposing organization's policies and procedures and cost accounting practices used in accumulating and reporting costs.

Typical Areas of Questions for DGA

Conference Proposals and Participant Support Costs

- Definitions of budget line items
- Allowable costs

Addition of Sub-Awards and Sub-Recipient Monitoring

- Submit request through FastLane; must have DUNS number and be registered in FastLane
- Monitoring requirements outlined in 2 CFR 200

Award Close-Out and Mandatory Cost-Share Requirements

- Most awards automatically closed
- If special terms & conditions in award, need requirements fulfilled, reports submitted, manual close-out

NSF Prior Approval Matrix: Research Terms & Conditions

Research Terms and Conditions Appendix A
Prior Approval Matrix
December 10, 2018

[illegible]

Post Award Requests/Long-Term Disengagement of the PI or co-PI

In the event the PI or co-PI is disengaged from the project for greater than three months but intends to return

- Request must be submitted by AOR in Research.gov
- NSF PO will provide written approval if satisfactory
- No formal amendment to grant
- Failure to provide status of absence could lead to termination

Post Award Requests/Participant Support Costs

Approved by the Program Officer

Reallocation of Funds for Participant Support Costs

- Approved by the NSF Program Officer*

Approved by DGA

Additional categories of participant support costs other than those described in 2 CFR § 200.75 (such as incentives, gifts, souvenirs, t-shirts and/or memorabilia).*

- Recommended by the Program Officer, approved by DGA
- These are generally unallowable costs

No Cost Extensions

- Awards with \$0 balances cannot be extended.
- Awards cannot be extended just to spend remaining funds.
- Submit Grantee-Approved NCEs at least 10 days prior to the award end date.
- Submit the NSF-Approved NCEs at least 45 days prior to the award end date.
- Research.gov will automatically determine what type of NCE is appropriate based upon eligibility.
- NSF-Approved NCEs may be submitted “late,” but you will need to explain why.
- Verify that the no cost extension changed the end date.

No Cost Extensions and Cancelling Appropriations

- Most NSF funds have a limited period of availability for expenditure (usually 6 years from the original appropriation year).
- NSF will notify grantees of any cancelling appropriations on open awards so grantees may properly and responsibly expend and drawdown funds before they cancel at the end of the fiscal year.
- Research.gov will block submission of a NCE if the revised end date extends the award beyond the appropriation cancellation date.

No Cost Extension – Expiring Funds Warning

Edit Notification/Request

Grantee-Approved No-Cost Extension

[← Back to Notifications & Requests Home](#)

ⓘ Appropriated Funds have expired for this award. No Notification/Request can be submitted for this award.

Award Number:

[REDACTED]

Award Title:

[REDACTED]

End Date:

11/30/2016

Status:

Forwarded to AOR

ⓘ Reminder: This one time extension may not be exercised merely for the purpose of using the unliquidated balances.

Required

Revised End Date:

11/30/2017



(Always expires on the last day of the month)

Justification for Grantee-Approved No-Cost Extension:

[REDACTED]

Characters remaining: **978** (out of 1200 max)

No Cost Extension – A New Notice

New NSF-Approved No Cost Extension Award Notice

NATIONAL SCIENCE FOUNDATION Award Notice	
Award Number (FAIN): [REDACTED]	Amendment Number: 001
AWARDEE INFORMATION	
Award Recipient: [REDACTED]	
Awardee Address: [REDACTED]	
Official Awardee Email Address: [REDACTED]	
Unique Entity Identifier (DUNS ID): [REDACTED]	
AMENDMENT INFORMATION	
Amendment Type: No Cost Extensions	
Amendment Date: 03/27/2018	
Amendment Number: 001	
Proposal Number: Not Applicable	
Amendment Description:	
The purpose of this amendment is to extend the end date from 08/31/2017 to 03/31/2018 without additional funds to allow for the completion of the agreed-to level of effort.	
Except as modified by this amendment, the award conditions remain unchanged.	
NSF CONTACT INFORMATION	
The Managing Grants Official for this award can be found at https://www.nsf.gov/bfa/dga/docs/liaison.pdf	
Awarding Official Name: Vanessa L. Richardson	Managing Program Officer Name: Ann K. Sakai
Awarding Official Email: vlrichar@nsf.gov	Managing Program Officer Email: asakai@nsf.gov

Award Transfers

Grants are awarded to the Organization, not the PI

If the PI is moving to a new Organization, the transferring organization typically has the options below:

- Nominate new PI: The request will be reviewed by the NSF Program Officer, and sent to DGA for final review/approval.
- Request to sub-award
- Agree to transfer – New Award issued to New Awardee
- Terminate: Contact DGA and the NSF Program Officer immediately. There is no module for requesting termination of an award.

These and other possible alternatives should be discussed with the DGA Grants Officer.

Some Things to Remember About Award Transfers

- For CAREER awards, only options 3 or 4 can be exercised.
- What if the original award was funded with Established Program to Stimulate Competitive Research (EPSCoR) funds?
 - If the original award received EPSCoR funding, and the new awardee is in a non-EPSCoR State, those funds can't be transferred.
- Make sure you are transferring the correct amount!! Upon transfer of the grant to the new organization, any monetary discrepancies must be resolved between the original and the new grantee. NSF will not intervene in any disputes between the two organizations regarding the transferred amount.

NSF Monitoring Activities

- 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



Federal Awardee Performance Information and Integrity System (FAPIIS)

- Federal agencies are required to report award terminations to FAPIIS in accordance with 2 CFR §200.340.
- Federal award recipients are required to self-report certain proceedings in accordance with 2 CFR §200, Appendix XII.
- Federal agencies are required to evaluate FAPIIS information prior to issuing new awards in accordance with 2 CFR §200.205.
- www.FAPIIS.gov

Awardee Responsibilities – Keys to Success

- Comply with all relevant federal regulations and national policy requirements.
- Adhere to the terms and conditions of an NSF award.
- 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

Awardee Responsibilities – Keys to Success (cont'd)

- Make sure the award has an active PI.
- Manage funds prudently:
 - Allowable
 - Allocable
 - Reasonable
 - Necessary
- Track report requirements.
- Establish appropriate policies and procedures (written), oversight, and internal controls.

Awardee Responsibilities – Keys to Success (cont'd)

- Train staff so they understand their roles and responsibilities.
- Be consistent!
- Maintain timely and effective lines of communication. Know who to contact for relevant information. In general...

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. Always include the award number in any email or communications to assist us with responding to your inquiry.

*NSF Policy Office with general grant policy questions

New Award Notices

- Opportunity to Standardize, Streamline and Simplify
- Ensures that NSF is compliant with Uniform Guidance and other policies
- Create easy-to-read layout
- Take advantage of new technology
- Allow NSF to cc PIs and co-PIs on Award Notices
- Simplify processing for award-making Divisions
- Less reliance on code-changes/reprogramming
- Less prone to issues due to technology upgrades

New Award Notice - Actions with Funding

NATIONAL SCIENCE FOUNDATION Award Notice

Award Number (FAIN): [REDACTED]
Managing Division Abbreviation: AST

Amendment Number: 004

AWARDEE INFORMATION

Award Recipient: [REDACTED]
Awardee Address: [REDACTED]
Official Awardee Email Address: [REDACTED]
Unique Entity Identifier (DUNS ID): [REDACTED]

AMENDMENT INFORMATION

Amendment Type: Supplement
Amendment Date: 06/26/2018
Amendment Number: 004
Proposal Number: Not Applicable
Amendment Description:

The purpose of this amendment is to:

- Add supplemental support to the award in the amount shown below in the Funding Information section as modified by the revised budget dated June 15, 2018.
- Extend the end date from 6/31/2018 to 1/31/2019.

Funds provided by this award include support for "Research Experiences for Teachers (RET)" in accordance with NSF Program Solicitation 17-575 (ENG & CISE), NSF Dear Colleague Letter 12-075 (BIO), or NSF Program Solicitation 13-542, "Research Experiences for Undergraduates (REU)."

Except as modified by this amendment, the award conditions remain unchanged.

New Award Notice - Actions with Funding

Released - April 2019

- Incremental Funding
- Supplemental Funding
- Creativity Extensions
- Forward Funded Increments

New Awards are scheduled for October/November 2019

For More Information

“Ask Early, Ask Often!”

- NSF Division of Financial Management for questions related to payment, financial policy, financial reporting, ACMS.
- 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
- Remember to submit sub-recipient information to the Federal Subaward Reporting System (FSRS)
- 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
- Policy Office Website: <https://www.nsf.gov/bfa/dias/policy/>
- DGA Website: <https://www.nsf.gov/bfa/dga/>