



NSF Grants Conference Award Management

March 19-20, 2012

Hosted by: Loyola University Chicago & Northwestern University • Evanston, IL



Panelists

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Management, Division of Grants & Agreements**

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**Director, Office of the Director, Office of Diversity &
Inclusion**



Award Management: This session will address award requirements and conditions, and will outline the responsibilities of those involved in the award process – principal investigators, grantee institutions, Program Officers, research administrators, and agency grants officials.



Topics Covered

- Award vs. Contract
- From Recommendation to Award
- Award Notification
- Terms & Conditions
- Award Amendments
- Reports
- Audits
- Termination & Disciplinary Actions
- AMBAP Visits
- Nondiscrimination: Civil Rights Compliance Requirements

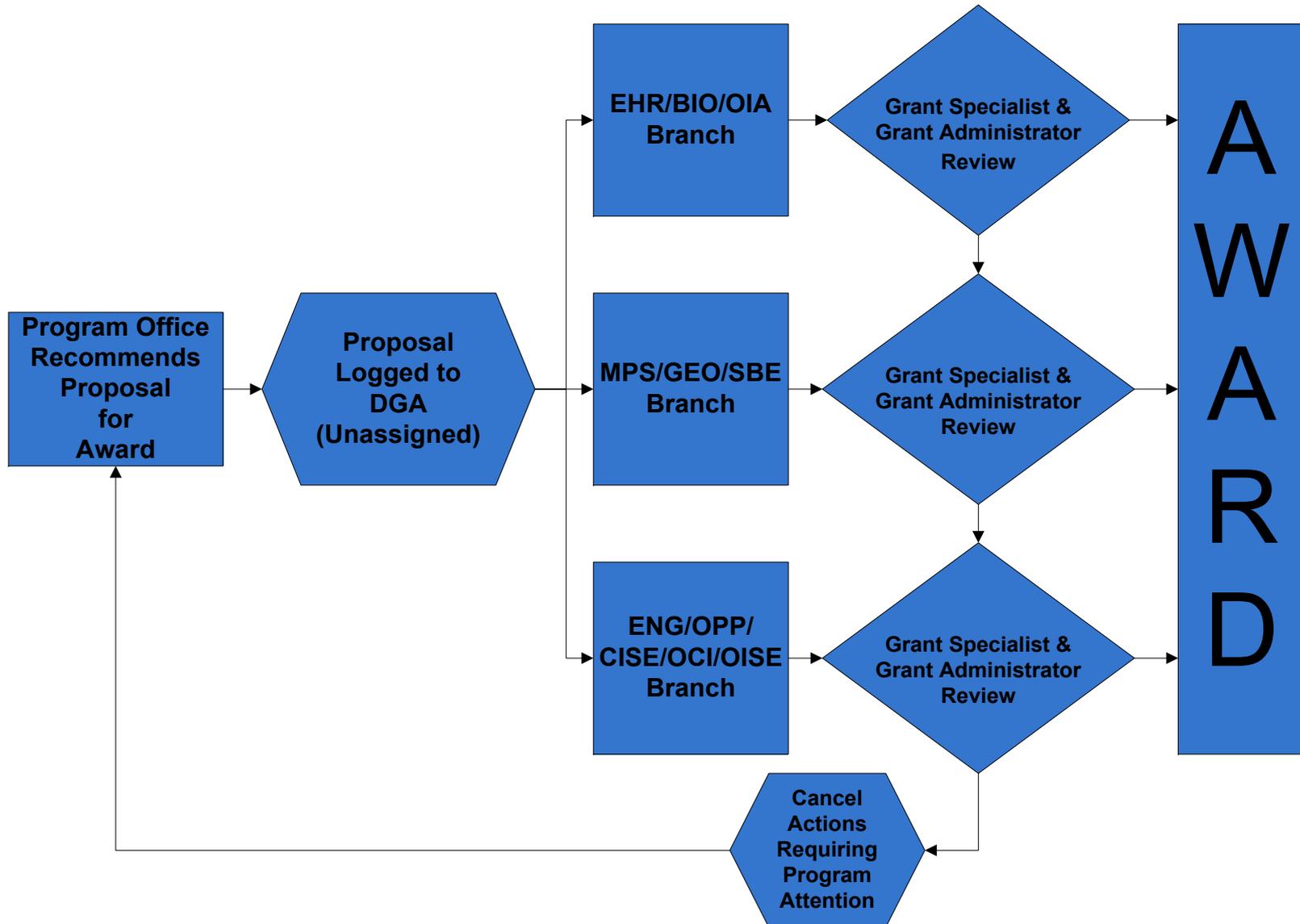


Award vs. Contract

Award: \$ = Assistance

Contracts: \$ = Goods or Services

DGA Flowchart





Actions – FY 2011

Quarter	Actions	Percent
1	2,229	10%
2	5,218	22%
3	7,028	30%
4	8,982	38%
Total	23,457	100%

Quarter	Actions	Percent
1	1,797	8%
2	4,876	21%
3	6,351	27%
4	10,433	44%
Total	23,457	100%

No Actions Left Behind in FY 11



Award Notification

Grants

- Award Letter

Cooperative Agreements

- Award Notice



Terms and Conditions

Grant

- Research Terms and Conditions (RTC) or Grant General Conditions (GC-1)

Cooperative Agreement

- Financial Administrative Terms and Conditions (FATC)

Agency Specific Requirements



Award Amendment

Notification/Request

- Award & Administration Guide, Exhibit II-1



Award Changes Requiring NSF Notification/Approval

Submit notifications and requests via FastLane.

FastLane Research Administration | HOME

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Notifications & Requests | MAIN

Forwarded by PI | Prepared by SPO | Submitted to NSF

Organization: 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 (Follow these links for more information on Non-FDP Organizations or FDP Organizations . They will open a PDF file in new window.)	AAG
		<input type="radio"/> Change of PI	AAG
		<input type="radio"/> Significant Change in Person-Months Devoted to 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

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

Prepare Cancel



Action Types – FY 2011

Type of Award	# of Actions	Percent
New Project	10,623	45.3%
Supplement	3,545	15.1%
Incr Fd, Cont Comt	3,474	14.8%
Other Admin No Fund Actions	2,857	12.2%
No Cost Extensions	1,000	4.3%
Renewal	754	3.2%
Frwd Funded	689	2.9%
PI Transfer	395	1.7%
Reduction	75	0.3%
Accmpl Bsd Renewal	20	0.1%
Creativity Extension	16	0.1%
Award Cancellation	9	0.0%
Total	23,457	100.0%





Technical Reports

- Required:
 - Annual Project Reports
 - Final Project Reports
 - Project Outcomes Report
- Optional:
 - Interim Project Reports



FastLane – Proposals, Awards and Status - Project Reports System

NSF FastLane :: Project Reports Requirements - Windows Internet Explorer

https://www.fldemo.nsf.gov/researchadmin/piFLProjectReportsHome.do

File Edit View Favorites Tools Help

NSF FastLane :: Project Reports Requirements

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FastLane PI/CO-PI Management - Award and Reporting Functions | HOME ▶

Project Reports System | MAIN ▶ Organization: NSF

[What is the difference between an Annual, Final, Interim and Project Outcomes Report?](#)

[Project Reports & Outcomes](#) | [Interim Project Reports](#)

Search for Awards with Annual/Final/Project Report requirements by the following:

Award Number: Award Expiration Date:

Awards with Annual/Final/Project Outcomes Report Requirements:

Please Note - Use the "Interim Project Reports" tab for Contract Interagency Agreements, Interagency Agreements, Fellowships, and Fixed Price Awards.

To view Annual/Final Project Report requirements for an award, click the "Award Number" link below.
Sort results by clicking column titles.

PI/Co-PI's Name: Terry Demo

1 award found. 1

Award Number	Award Type	Award Title	Award Date	Award Expiration Date
0707551	Continuing Grant	PRS 11/18/06 Release Functional Verification 15	01/15/2007	12/31/2007

Local intranet 100%

Start | NS... | Ins... | Ele... | Mic... | Aw... | In... | Mic... | Ple... | F... | Mic... | RE... | NS... | 1:38 PM



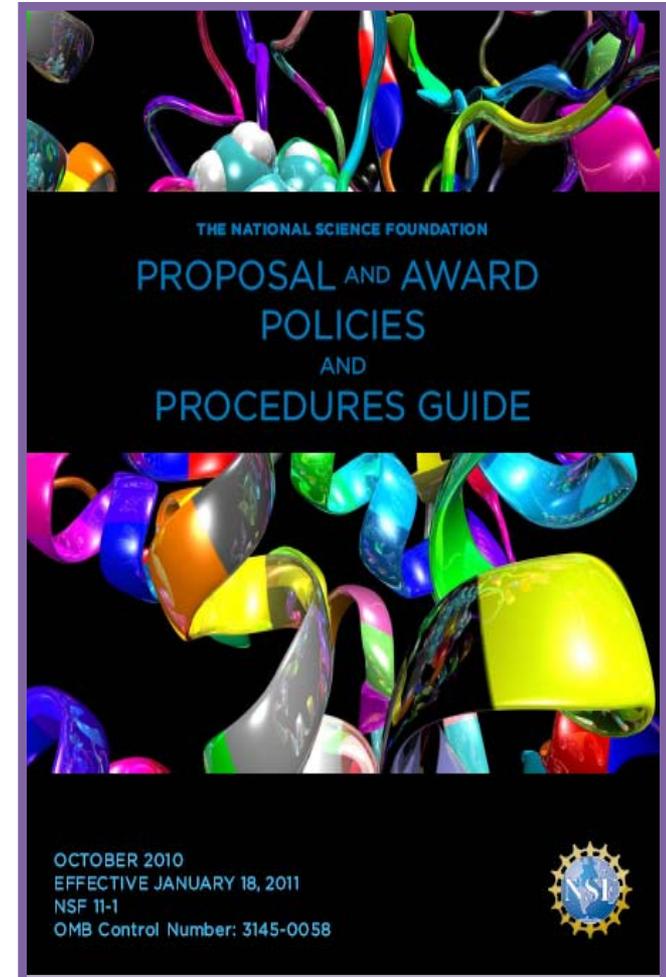
Consequences of Overdue Annual/Final/Project Outcomes Reports

- No future funding
- No PI changes or no-cost extensions
- Report status can't be re-set for annual reports
- PO can return final report up to 30 days after approval date



Audit Requirements

- Grant General Conditions (GC-1)
 - Article 26
- Research Terms & Conditions (RTC)
 - Article 26
- Award & Administration Guide (AAG)
 - Chapter II.F
- NSF Office of Inspector General Activities





Suspension & Termination

The award may be suspended or terminated:

- By NSF
- By the Awardee



AMBAP Visits

Division of Grants & Agreements (DGA)

Division of Institution & Award Support (DIAS)

- Coordinate with Cost Analysis & Audit Resolution Branch
- Consult with Program Official
- Review Annual Reports
- Conduct Preparation Meetings
- Correspond with Grantee
- Conduct Site
- Write Post Site-Visit Report
- Follow-up activities as necessary



Accessing Documents on the NSF Website

Go to <http://www.nsf.gov/awards/managing/>

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Awards

How to Manage Your Award

The *Award and Administration Guide*(AAG) (Part II of the *NSF Proposal & Award Policies & Procedures Guide*) sets forth NSF policies regarding the award and administration of grants and cooperative agreements and implements Office of Management and Budget (OMB) Circular A-110, *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations* (2 CFR Part 215), and 45 CFR Part 602 (the Common Rule implementing OMB Circular A-102), *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*. The AAG is applicable to NSF grants and cooperative agreements, unless noted otherwise in the award instrument. This Guide does not apply to NSF contracts.

The [General Grant Conditions](#), [Research Terms and Conditions](#), [Cooperative Agreement Conditions](#) and [Special Conditions](#) pages provide the full text of the terms and conditions used to manage NSF grants and cooperative agreements. Topics covered include awardee responsibilities, Federal requirements, pre-award costs, no-cost extensions, significant project changes, travel, allowable costs, project reports, final report requirements, and more.

The [Policy Office](#), in the [Division of Institution and Award Support](#), provides general proposal & award policy guidance for use by the NSF proposer and awardee community. The Policy Office page includes NSF-specific regulations, policies and procedures, other Federal regulations, information regarding important NSF policies, award conditions, as

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Proposals and Awards

Proposal and Award Policies and Procedures Guide
Introduction
Proposal Preparation and Submission

- Grant Proposal Guide
- Grants.gov Application Guide

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Ask Early, Ask Often!

Larry Fuqua

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NSF

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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

Applicable laws:

- *Section 504 of the Rehabilitation Act of 1973*
- *Title VI of the Civil Rights Act of 1964*
- *Age Discrimination Act of 1975*
- *Title IX of the Education Amendments of 1972*

Applicable regulations:

- *45 CFR parts 605, 611, 617, and 618*



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.
- 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 grantees that help strengthen their current compliance efforts as well as identify and report on best practices.
- 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.
- NSF in the process of implementing guidance for compliance reviews that are not part of BSRs but using a similar model.
- Compliance reviews will focus on "CLB" best practices; conducting desk reviews to gather compliance information; and 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 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

Office of Diversity and Inclusion Navigation:

- 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)