



NATIONAL SCIENCE FOUNDATION  
**GRANTS CONFERENCE**

February 29 - March 1, 2016

Hosted by Portland State University



Portland  
State  
UNIVERSITY

# Award Management

# Speaker

## **Karen Tiplady**

Division Director, Office of Budget, Finance & Award Management; Division of Grants & Agreements (DGA)

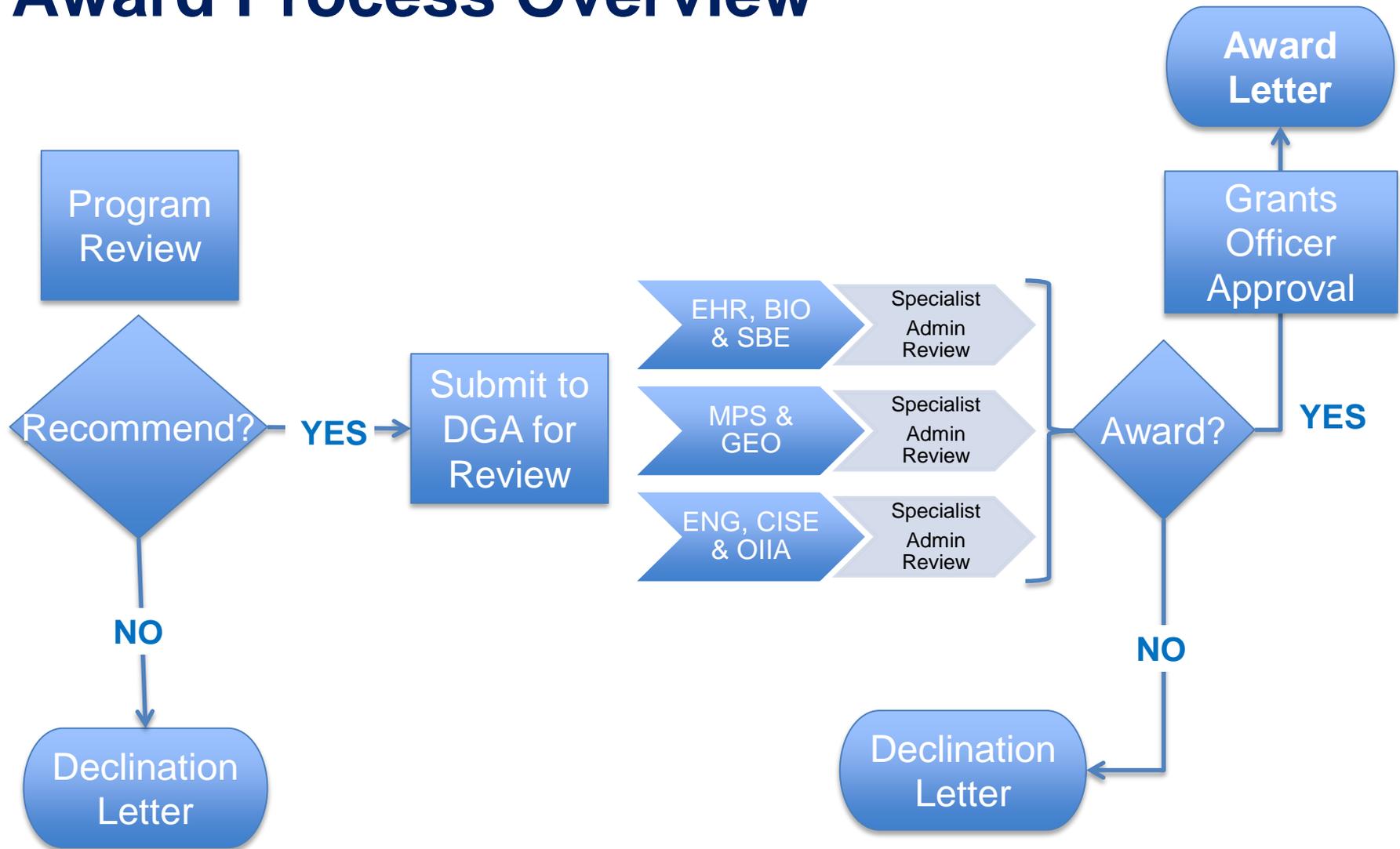


# Topics Covered

- NSF Award Process
- Awardee Administration Roles
- Award Notification
- Award Revisions: Awardee Approval vs. NSF Approval
- Sub-awards
- Post Award Changes
- Termination & Disciplinary Actions
- Accessing Documents on the NSF Website
- Conclusion



# Award Process Overview



# This Year in Numbers

Or at least  
this past  
Fiscal Year

**15,300** Funded Award Actions  
approved by DGA in FY14

**12,100** New and Renewal Awards



**4,400** Admin Actions

**621** Award Transfers



# What Kind of “Award”?



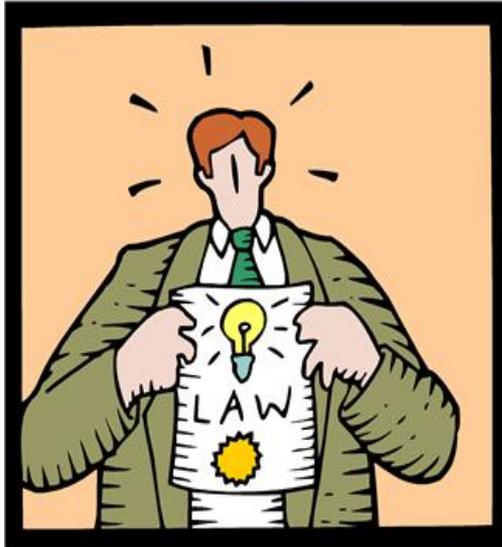
## Assistance Awards

- Public purpose of support or stimulation (grants & CAs)
- Not a direct benefit or use of the Federal government (contracts to procure goods & services)



- **Grants**
  - Standard (all \$ up front)
  - Continuing Grants
- **Cooperative Agreements (CAs)**  
(substantial involvement)

# Awardee Responsibility



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

# Subawards and Subrecipient Monitoring

**The prime awardee is responsible for certain pre-award and post-award monitoring of their subrecipients:**

- Ability to perform (technically, financially, and administratively)
- Adequate accounting system
- Not debarred from Federal grants or contracts
- Appropriate indirect cost rate and application base
- Performs Cost/Price Analysis
- Plan in place for monitoring subawards
- Review of invoices
- Technical reviews or site visit reports
- Flow-down provisions to subawardee
- Audit & access to subawardee records
- Cost principles (Uniform Guidance references (2 § CFR 200), FAR)
- Administrative requirements (Uniform Guidance references (2 § CFR 200))
- Statutory or regulatory requirements (COI, human subjects, drug-free workplace, CA-FATC Article 8)



# Post-Award Notifications and Requests



Log In | Home | Contact | Help | About

## About Notifications and Requests

Notifications and requests communicate changes in the scope, time, staff or budget of an NSF funded project. Depending on the type of change, awardee organizations must notify or request approval from NSF prior to taking action. Depending on the type of notifications or requests, they can be created and submitted by either the Principal Investigators (PIs) and/or Sponsored Project Offices (SPOs).

 [Full listing of all NSF notifications and requests](#)

As part of the effort to modernize FastLane, the National Science Foundation is transitioning the notifications and requests functionality from FastLane to Research.gov. The table below provides the location for each notification and request.

Type	Notification or Request	Policy Reference	Location
<b>Budget Activities</b>			
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)	Request	GPG (II.C.2.g(v))	Research.gov
Change in Person-Months Devoted to Project	Request	AAG (II.B.2.d)	Research.gov

**Notifications = Awardee Authority**

**Requests = NSF Approval Required**

# Important to know...

## Email is NOT sufficient for prior approvals



- All required notifications and requests must be **submitted through Research.gov / FastLane**
- Emails to the NSF PO or comments in project reports do not suffice to obtain prior approval
- Must also **follow institutional policies**

# Has my request been approved?



**Not always an Award Amendment...**

**Check**



# What about more time?

- **Grantee Approved No Cost Extensions**
  - Submit Notification at least 10 days prior to award end date
  - Cannot be used for awards with \$0 balance
- **NSF-approved extensions**
  - Request prior to award end date with justification
  - Not intended just to use up remaining \$



# Grant Transfers



## Awarded to the Institution and not the PI

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



**Requires NSF Approval**

# Consequences of Overdue Research Performance Progress Report (RPPR)

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



# Award Suspension and Termination

**The award may be suspended or terminated in whole or in part in any of the following situations:**

- By NSF when:
  - The awardee has materially failed to comply with the terms and conditions of the grant
  - NSF has other reasonable cause
  - NSF is ordered by the Deputy Director under NSF's Regulation on Research Misconduct (45 CFR & 689)
  - NSF and the awardee mutually agree that termination would be in both parties' best interest
  - NSF and the awardee cannot reach an agreement. NSF reserves the right to unilaterally terminate the grant
- By the awardee via a written notice to NSF, which includes the final balance



# Canceled Appropriations

## A cautionary tale.....

*Canceled*— An appropriation or fund account in which the balance has been closed or canceled and is no longer available for obligation or expenditure for any purpose.

For most NSF awards this means 6 years from appropriation year.

Don't lose sight of original award if supplements have been added and extensions granted.



# Potential NSF Monitoring

- 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



# Advanced Monitoring Site Visit

## Risk Factors:

- Award Amount
- New Grantee Status
- High \$ Amount to Subawards
- Government Owned Equipment
- Participant Support



# Just arrived... FAPIIS January 2016

- Federal Awardee Performance and Integrity Information System
- Federal awarding agencies must take into consideration any information about the entity
- Federal awarding agencies must report information on termination due to a material failure to comply or if entity is not qualified due to integrity or prior performance

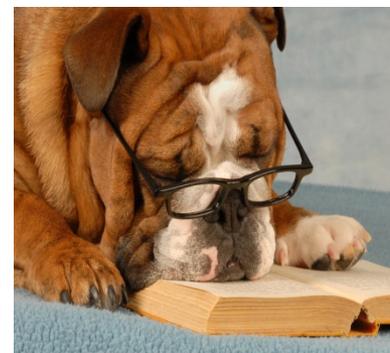


# Keys to Success

**Read your award letter carefully!**

**It may include project or award-specific requirements, such as:**

- Funding restrictions
- Special reporting requirements
- Other special conditions



# Online Resources

Find how to get assistance with your award from the Division of Grants & Agreements

Direct Links to GPG and AAG

Find Award Conditions

### Awards



- Search Awards
- Recent Awards
- Presidential and Honorary Awards
- About 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

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

### Proposals and Awards

- Proposal and Award Policies and Procedures Guide
  - Introduction
  - Proposal Preparation and Submission
    - Grant Proposal Guide
    - Grants.gov Application Guide
- Award and Administration
  - Award and Administration Guide
- Award Conditions
- Other Types of Proposals
- Merit Review
- NSF Outreach
- Policy Office

[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, answers to frequently asked questions, award conditions, as well as other valuable information.

The NSF conducts outreach on proposal preparation and award administration, through [Regional Grant Conferences](#), other targeted outreach programs, as well as [FastLane outreach](#) activities.

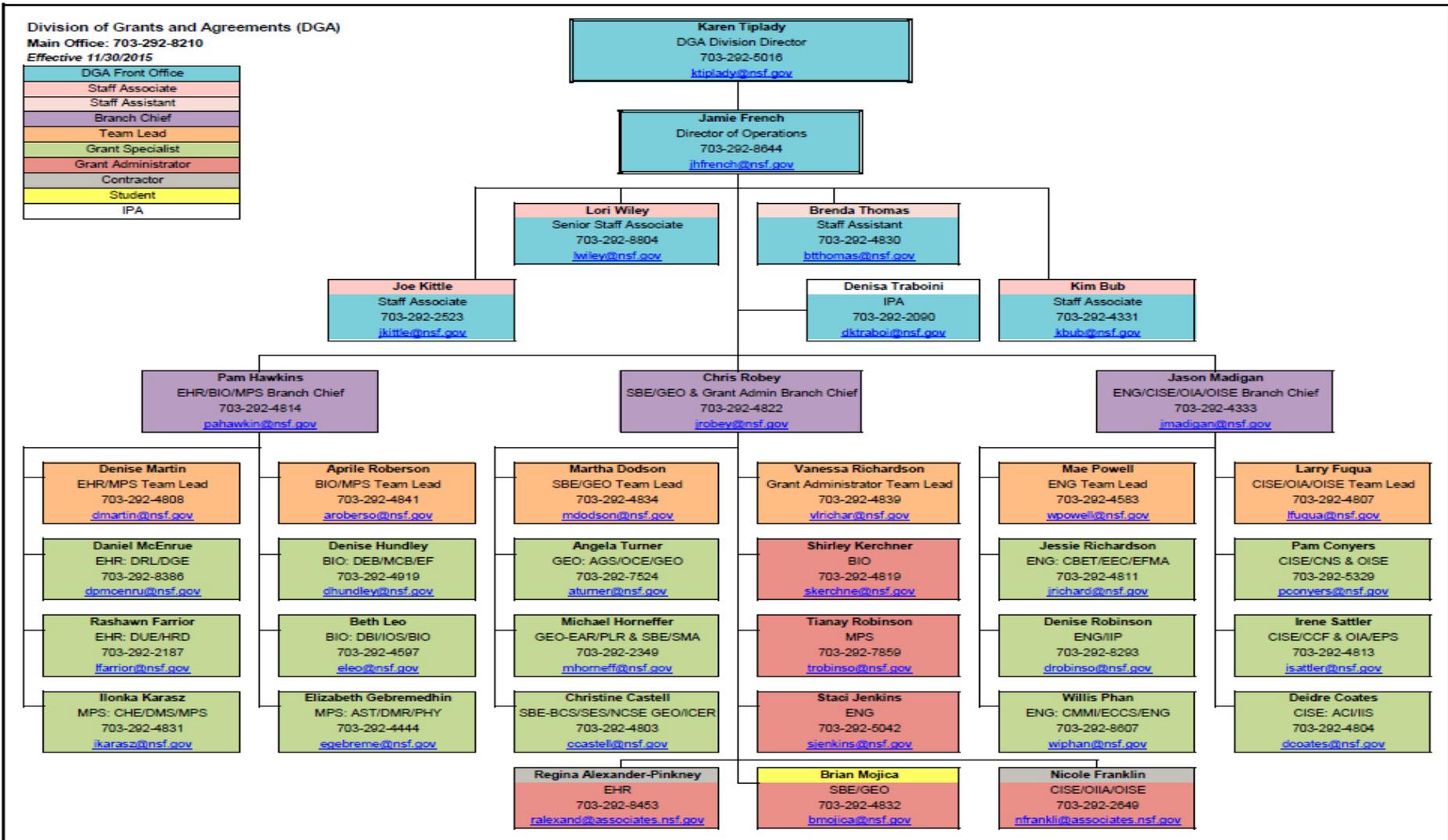
The [Division of Grants and Agreements](#) (DGA) is responsible for the award of all NSF grants and agreements recommended for support by NSF program offices, with the exception of the Foundation's portfolio of large facility cooperative agreements. From pre-award through closeout, DGA conducts a variety of business, financial, and administrative reviews to ensure compliance with award terms and conditions, NSF policies and procedures, and Federal rules and regulations. Pre- and post-award reviews of awardee organizations are conducted in coordination with DGA and by the [Division of Institution and Award Support](#) through its [Cost Analysis and Audit Resolution Branch](#). The [Cooperative Support Branch](#) under the [Division of Acquisition and Cooperative Support](#) is responsible for negotiation, award, administration, monitoring and oversight of complex cooperative agreements for Federal Funded Research Centers (FFRDCs), major research facilities, and other large facilities in various stages of the facility lifecycle. The [Cash Management Branch](#) of the [Division of Financial Management](#) manages the awardee payment processes. Quick links to the NSF offices that support Award Management functions, Foundation news impacting awardees, and related information and answers to Frequently Asked Questions (FAQs) are also provided on the [DGA site](#) to assist awardees with managing their awards.



# Division of Grants and Agreements

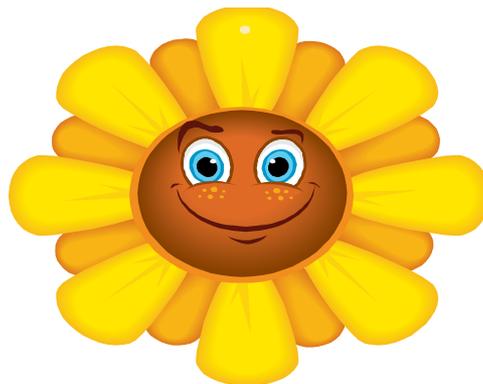
website: [nsf.gov/bfa/dga/](http://nsf.gov/bfa/dga/)

org chart: [nsf.gov/bfa/dga/docs/liaison.pdf](http://nsf.gov/bfa/dga/docs/liaison.pdf)



# NSF Friendly Reminder...

***ASK EARLY!***



***ASK OFTEN!***

To find contact information for NSF staff, please search [nsf.gov/staff](https://www.nsf.gov/staff) or reference NSF's organization chart at [nsf.gov/staff/orglist.jsp](https://www.nsf.gov/staff/orglist.jsp)

