



National Science Foundation
GRANTS CONFERENCE

Arlington, VA • November 2-3, 2015
Hosted by Georgetown University



GEORGETOWN UNIVERSITY

Award Management



Speaker

Jamie French

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

2



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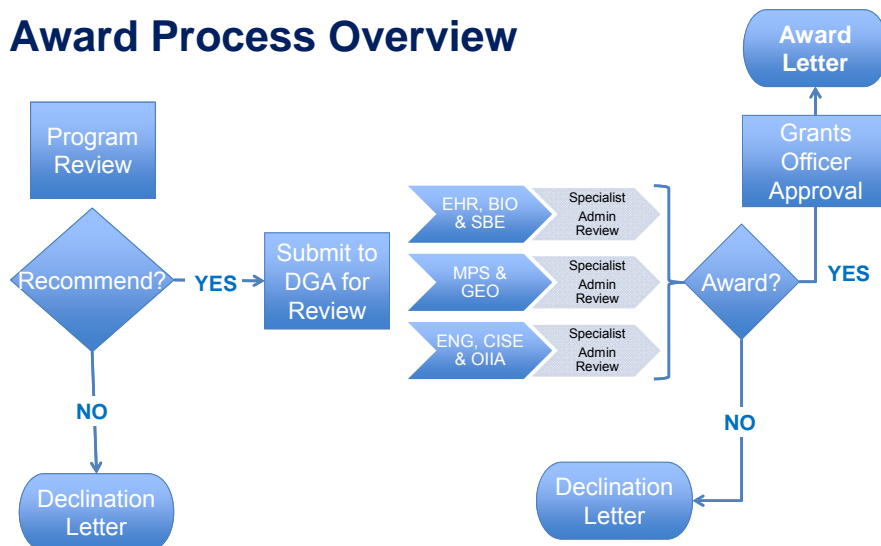
Topics Covered

- 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

3



Award Process Overview



4



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

5



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What Kind of “Award”?

- **Grants**
 - Standard (all \$ up front)
 - Continuing Grants
- **Cooperative Agreements (CAs)** (substantial involvement)
 - Public purpose of support or stimulation (grants & CAs)
 - Not a direct benefit or use of the Federal government (contracts to procure goods & services)



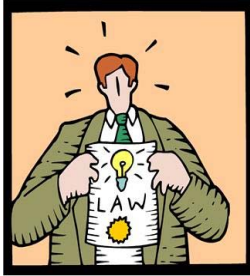
6



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Awardee Responsibility



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

7



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Subawards & 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)



8



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Post-Award Notifications and Requests

Research.gov
ONLINE GRANTS MANAGEMENT
FOR THE NSF COMMUNITY

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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
Budget Activities			
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

9



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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**

10



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Has my request been approved?



Not always an Award Amendment...

Check  www.fastlane.nsf.gov

11



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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 \$



12



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Grant Transfers?



Awarded to the Institution and not the PI

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



Requires NSF Approval

13



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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



14



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Award Suspension & 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



15



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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.

16



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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



17



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Advanced Monitoring Site Visit

Risk Factors:

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

18



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Coming soon....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

19



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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



20



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Online Resources

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

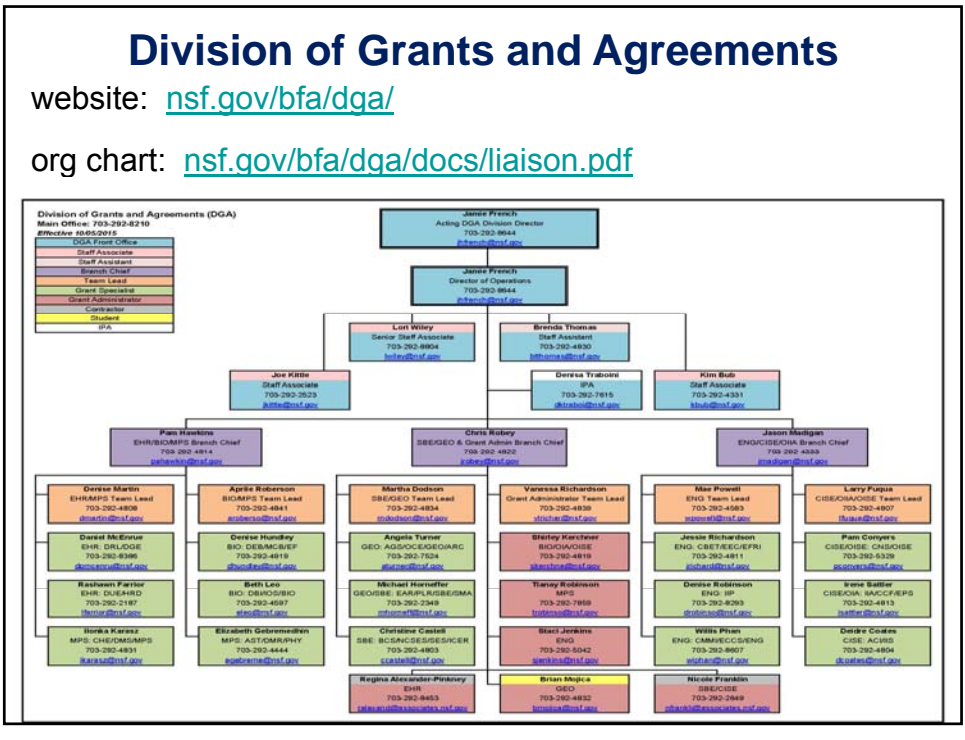
[nsf.gov/awards/managing/](https://www.nsf.gov/awards/managing/)

Direct Links to GPG and AAG

➔

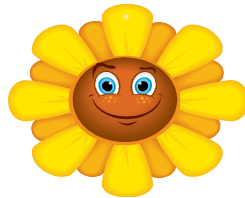
Find Award Conditions

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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)

23



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