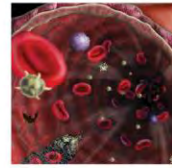


FALL GRANTS CONFERENCE



NOVEMBER 18 - 19, 2019 • BOSTON, MASSACHUSETTS

Award Management



NSF Speakers

Jeff Vieceli

System Administrator & Head, Systems Office
Division of Institution & Award Support (DIAS)
Office of Budget, Finance & Award
Management (BFA)



Lori Wiley

Senior Staff Associate
Division of Grants & Agreements (DGA)
Office of Budget, Finance & Award
Management (BFA)

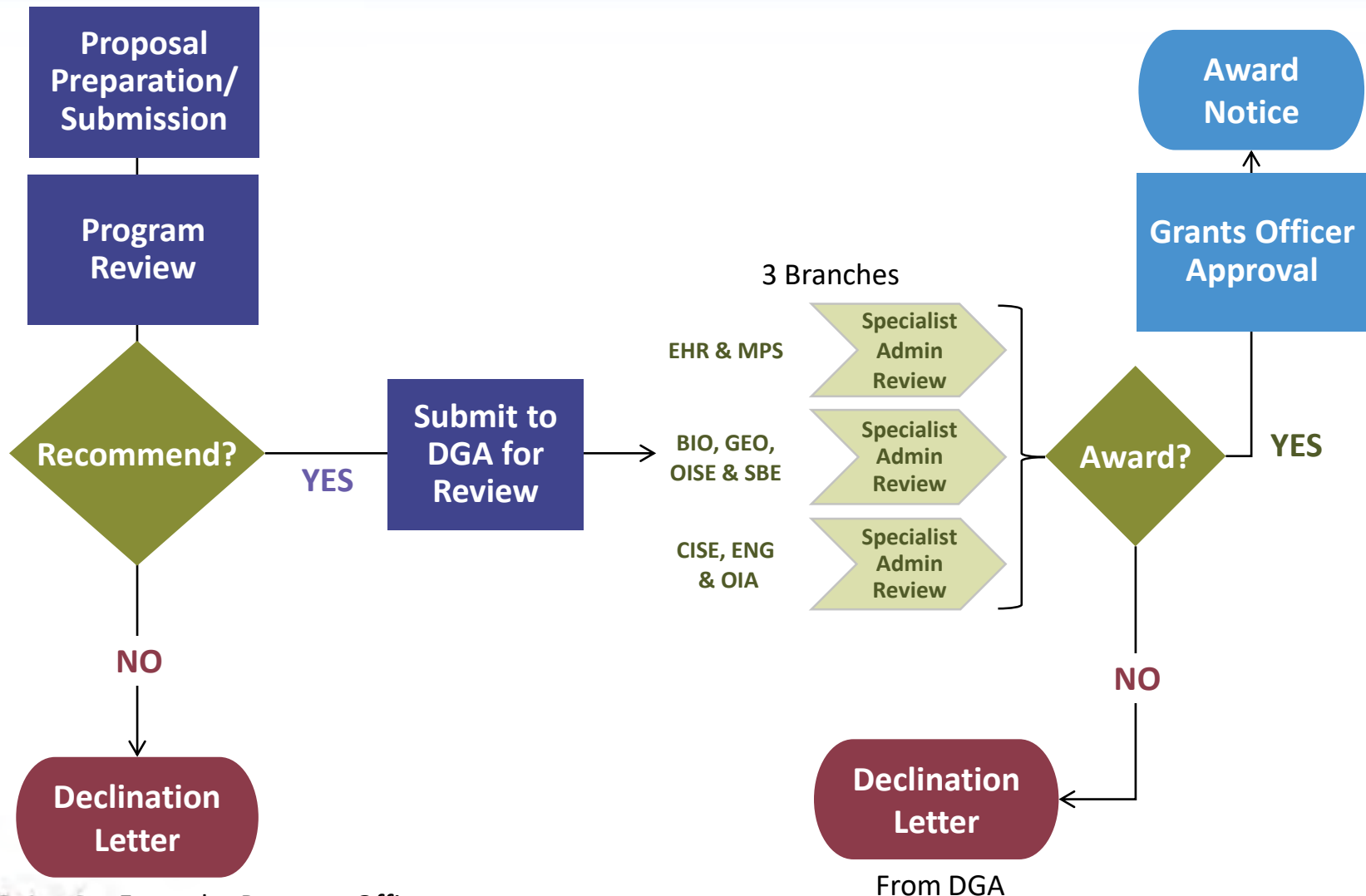
Topics Covered

- Award Process
- Award Processing Delays
- No-Cost Extensions
- Post-Award Notifications and Requests
- NSF Monitoring Activities
- New NSF Award Notice
- Awardee Responsibilities – Keys to Success



“Ask Early, Ask Often!”

NSF Award Process - Overview



Types of Awards Issued

Assistance Awards - the principal purpose is to transfer anything of value from NSF to an awardee to carry out a public purpose and not to acquire property or services for NSF's direct benefit or use.

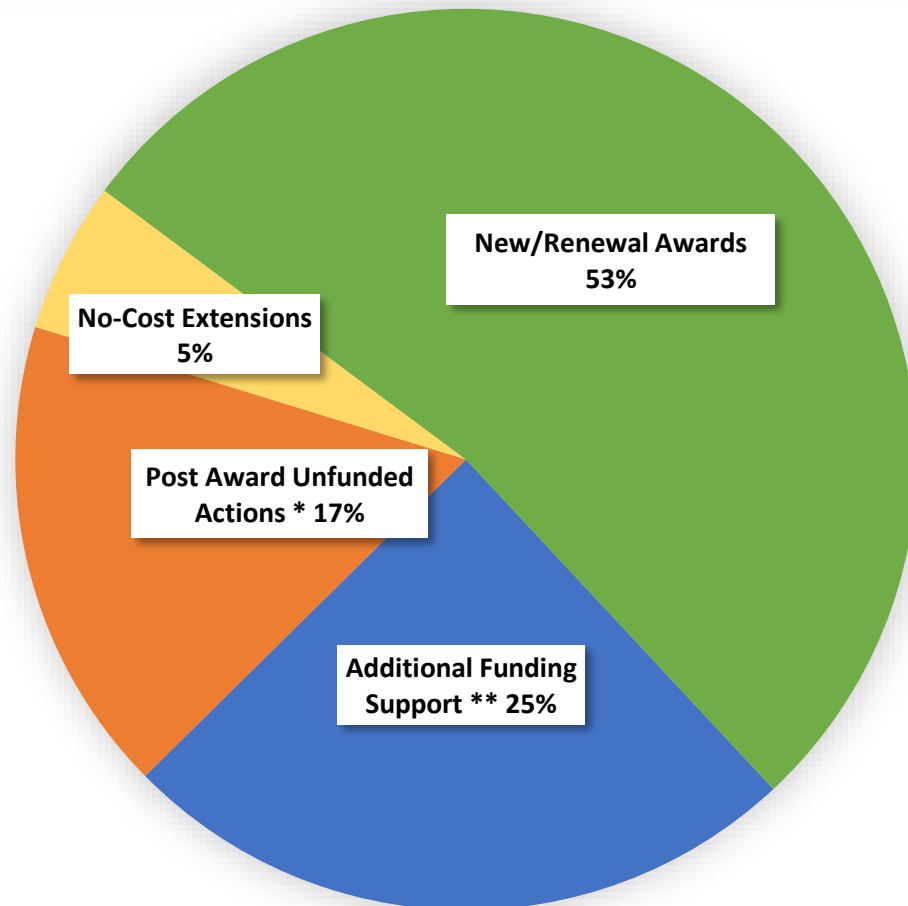
- **Grants** (*Standard and Continuing*)
- **Cooperative Agreements**
- **Fellowships**

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.”



Award Actions Processed by DGA in FY 2019



**\$5.7 billion obligated
21,579 actions**

- * includes other admin actions (e.g., PI changes, subawards, etc.), PI/award transfers, and cancellations/reductions
- ** includes forward funded CGIs, increments, supplements, and creativity extensions

Award Processing Delays

Reasons Include...

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

Proposal Budgets

Budget Justification

- Follow proposal preparation instructions in the PAPPG;
- Justification no more than five (5) pages;
- Each budget line item amount must be documented and justified;
- All subawards must have separate budget/justification; and
- Amounts must be consistent with proposing organization's policies, procedures, and cost accounting practices used in accumulating and reporting costs.

Proposal Budget (cont'd)

Budget Line F, Participant Support Costs

- Know the definition of participant support and only include those allowable costs under this budget line. Be aware of unallowable entertainment and exclusion of indirect costs.

Budget Line G, Other Direct Costs

- If project costs do not fall within any other budget line, then use “Other” (G.6) and explicitly explain the costs in the justification to ensure only allowable costs are being requested.

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 from the federally negotiated agreement used for the original award.

Other Requirements

Solicitation Requirements

- All budgetary and administrative conditions in solicitation must be addressed.

Vertebrate Animals

- Must comply with the Animal Welfare Act and related regulations.
- Institutional Animal Care and Use Committee (IACUC) approval is required before an award can be made.

Human Subjects

- Must conform with the Common Rule (45 CFR 690).
- Institutional Review Board (IRB) approval or declaration of exemption is required before an award can be made.
- Projects lacking definite plans for use of human subjects shall provide a determination notice indicating that no work with human subjects, including recruitment, will be conducted until full IRB approval is obtained.

Overdue Project Reports

Annual and Final Project Reports

- **Annual** reports due **90 days prior** to end of current budget period
- **Final** reports due **within 120 days** of award end date
- **Must be approved** by the NSF Program Officer within these reporting time periods or will be overdue (submit early!)

Consequences of Overdue Reports

- Prevents NSF approval of all actions (funded and administrative) for the subject award and any associated awards for both the PI and any co-PIs
- Delayed submission can impact other PIs' awards – especially critical during the 4th quarter of the fiscal year

Project Report Reminders

General Information about Project Reports

- Project report requirements are available to the PI and all Co-PIs via Research.gov.
- The SRO also can run reports on Research.gov for their all of the organization's awards that are due and overdue to ensure compliance with award terms and conditions.
- NSF sends “reminder” notices for all reports – when due and date report becomes overdue.
- Active PIs and all Co-PIs may submit the reports.
- The SRO does not have access to submit the reports.
- When in doubt, contact your NSF Program Officer, or the Research.gov Help Desk.

Project Reports

PAPPG Chapter VII.D. – Technical Reporting

- 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 Outcomes Report (POR) and any other required reporting (e.g., final cost share notification) are also due **within 120 days** of the award end date.

Project Reports



Welcome Alan Alphaman | [Sign Out \(Home\)](#) | [My Profile](#) | [Contact](#) | [Help](#) | [About](#)

My Desktop	Prepare & Submit Proposals	Awards & Reporting	Manage Financials	Administration
----------------------------	--	--	-----------------------------------	--------------------------------

! 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.

- [Hide all notifications](#) (Viewing 1 of 1 notification)

Project Reports



Welcome | [Sign Out \(Home\)](#) | [My Profile](#) | [Contact](#) | [Help](#) | [About](#)

My Desktop	Prepare & Submit Proposals	Awards & Reporting	Manage Financials	Administration
----------------------------	--	--	-----------------------------------	--------------------------------

! 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.

- [Hide all notifications](#) (Viewing 1 of 1 notification)

Project Outcomes Report



Requests for No-Cost Extensions (NCEs)

Requirements:

- NCEs **cannot be used to spend remaining funds** or requested for **awards with \$0 balances**.
- Submit Grantee-Approved NCE notification at least 10 days prior to award end date.
- Submit NSF-Approved NCE requests for approval at least 45 days prior to award end date.
- Research.gov will automatically determine what type of NCE is appropriate based upon eligibility and timing.
- Any NCE requests submitted “late” must include strong justification for the delay.

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
Awarding Official Email: vrichar@nsf.gov

Managing Program Officer Name: Ann K. Sakai
Managing Program Officer Email: asakai@nsf.gov



Limitations on No-Cost Extensions

- Do not make new commitments or incur new expenditures after the award end date in anticipation of receiving approval for a no-cost extension.
- Be aware that most NSF appropriated **funds have a limited period of availability** for expenditure before the appropriation cancels.
- Research.gov will block submission of a NCE if the revised end date extends the award beyond September 30th of the appropriation cancellation year for all funds.
- If a small portion of funds (e.g., supplement) remains available beyond requested end date, a NCE can be processed; however, the **no-cost extension will NOT extend the period of availability of any canceling funds.**

Canceling Appropriations

In accordance with 31 USC 1552(a), funds will no longer be available for expenditure for any purpose beyond September 30th of the fifth fiscal year after the expiration of a fixed appropriation's period of availability for incurring new obligations.

- NSF's R&RA and EHR funds will generally cancel approx. 6 fiscal years after the funds are awarded.
- **ACM\$ flags awards with canceling funds** and NSF sends detailed notifications to ACM\$ of cancelling appropriations on open awards.
- Grantees must properly and responsibly expend and drawdown funds for costs to be incurred before the funds cancel on September 30th.
- During fiscal yearend, **awards with all remaining funds canceling will be financially closed** and unable to request upward adjustments. (See PAPPG Chapter VIII.E.)

Research Terms & Conditions Prior Approval Matrix

Research Terms and Conditions Appendix A

Prior Approval Matrix

December 10, 2018

https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_a.pdf

	Reference	RTC Overlay	NSF	DOE	NIH	USDA NIFA	DOC	NASA
Prior Written Approval (prior approval)*	200.407							
Use of grant agreements (including fixed amount awards), cooperative agreements, and contracts	200.407(a)							
Changes in principal investigator (PI), project leader, project partner, or scope of effort.	200.201(b)(5)	Required	Required	Required	Required	Required	Required	Required
Cost sharing or matching	200.407(b)							
Use of unrecovered indirect costs, including indirect costs on cost sharing or matching.	200.306(c)	Waived	Waived	Waived	Waived	Waived ¹⁵	Waived	Waived
Use of current fair market value to determine the value of non-Federal entity donations of services and property for the purposes of cost sharing or matching.	200.306(d)(2)	Waived	Waived	Waived	Waived	Waived	Waived	Required
Costs of the fair market value of equipment or other capital assets and fair rental charges for land when the Federal award supports activities that require use of equipment, buildings or land.	200.306(h)(2)	Required	Required	Required	Required	Required	Required	Required
Program Income	200.407(e)							
Use of program income during the period of performance								
Revision of budget and program plans								
Change in the scope or the objective of the project or project								
Change in PI/PD specified in the application or Federal award								
Disengagement from the project for more than three months								
project by the approved PI/PD.								
Inclusion, unless waived, of costs that require prior approval								
Transfer of funds budgeted for participant support costs to								
Subawarding, transferring or contracting out any work unrelated								
to the acquisition of supplies, material, equipment or general								
Changes in the approved cost-sharing or matching provisions								
Need for additional Federal funding to complete the project								
Incur project costs 90 calendar days before the Federal award								
incur project costs more than 90 calendar days pre-award								
Initiate a one-time extension of the period of performance								
Subsequent no-cost extension or extension of more than								
Carry-forward of unexpended balances to subsequent fiscal								
Transfer amounts budgeted for indirect costs to absorb indirect								
Rebudgeting among direct cost categories for Federal awards								
transfers exceeds or is expected to exceed 10 percent of								
Transfer of funds between construction and non-construction								
Real Property								
Encumber real property acquired with Federal funds.								
Transfer of title to the Federal awarding agency or to a third								
Special arrangements and alterations costs incurred specifically								
Equipment								
Encumber equipment acquired with Federal funds.								
Fixed amount subawards	200.407(g)							
Subawards based on fixed amounts up to the simplified acquisition threshold, provided the subawards meet the requirements for fixed amount awards in 200.201.	200.332	Required	Required	Required	Required	Required	Required	Required

Michigan State University

[Policy Guidance](#)

Prepare New Notification / Request

[Back to Notifications & Requests](#)

Prepare New

Step 1: Select type of change

All
 Budget Activities
 No-Cost Extensions
 Changes in Objectives, Scope, or Methodology and other Significant Changes
 Changes in PI/PD, co-PI/co-PD or Person-Months Devoted to the Project at the Initiation of the Grantee Organization
 Other

Step 2: Select notification / request

The "Other Request" option must only be used to submit prior approvals requests contained in PAPP Chapter X.A.3, and, that do not already have a specific request type. Any request submitted that does not meet this criteria will be rejected.

Step 3: Enter award number and click 'Prepare New'.

Award Number:

NSF Prior Approval Requests

Highlights / Most Common Requests:

- Change in PI or co-PI
- **Disengagement of PI** (>3 months or 25% reduction of time)
 - Approved by PO if satisfactory (no grant amendment)
 - Failure to provide status of absence could lead to termination
- Transfer of funds from **participant support** to other categories
- Incur pre-award costs more than 90 days before award start date
- Changes in **scope or project objectives**
- **Subawarding**, transferring, or contracting out any work not approved with the original award
 - Submit subaward request through FastLane
 - Subawardee must have DUNS number and be registered in FastLane

Award Transfers

Grants are awarded to the Organization, not the PI

Possible options for organization if PI requests transfer:

- 1) Nominate **new PI**: request will be reviewed by the NSF PO and sent to DGA for final review/approval
- 2) Request to **subaward** to new organization
- 3) Agree to **transfer**: New Award issued to New Awardee
- 4) Request to **terminate**: Contact DGA and the NSF PO immediately for next steps (no module for requesting termination of an award)

Contact DGA Grants Officer for alternatives, if available.

Award Transfers Limitations & Tips

- For CAREER awards, only options 3 or 4 can be exercised.
- Funding and solicitation requirements:
 - Established Program to Stimulate Competitive Research (EPSCoR) funds can only be transferred to an EPSCoR state
 - Solicitation requirements must be met by new awardee
- Make sure to **transfer 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.
 - Also note that transferred funds retain their limitation of availability from the original award (i.e., canceling appropriations).

NSF Monitoring Activities

- Programmatic Site Visits
- Division of Institution & Award Support (DIAS) contracted desk reviews
- DIAS Advanced Monitoring Site Visit Program in conjunction with DGA
- Division of Financial Management (DFM) baseline monitoring including active payment monitoring and post award financial activity reviews
- Office of Inspector General (OIG) audits



New Award Notices

Implementation with Award System Modernization

- Opportunity to Standardize, Streamline and Simplify
- Ensures compliance with Uniform Guidance and other policies
- Allow NSF to copy 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

Released in April 2019

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

New Awards scheduled for January 2020

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.



Awardee Responsibilities – Keys to Success

- **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
- Comply with all relevant...
 - ✓ Federal regulations,
 - ✓ National policy requirements, and
 - ✓ All terms and conditions

Awardee Responsibilities – Keys to Success (cont'd)

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

Awardee Responsibilities – Keys to Success (cont'd)

- Train staff to understand their roles and responsibilities.
- Maintain timely and effective lines of communication.
- Know who to contact* for relevant information:
- **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
(DGA assigned by Program Division – 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

Tips & Contacts for More Information . . .

“Ask Early, Ask Often!”

- Questions on **payments, ACM\$,** financial policies and reporting – NSF’s Division of Financial Management: www.nsf.gov/bfa/dfm/cmeab.jsp
- Tips for assistance with **Research.gov** and **FastLane**:
 - ✓ Follow directions and edits
 - ✓ Read error messages and make screen shots to include in any emails to Help Desk and/or NSF PO
 - ✓ call Research.gov Help Desk at 1-800-381-1532
 - ✓ call FastLane at 1-800-673-6188
- **Policy Office** (proposal & award policies): www.nsf.gov/bfa/dias/policy
- **DGA** (grant-specific inquiries): www.nsf.gov/bfa/dga