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Award Management
Topics Covered

• NSF Award Process
• Awardee Responsibilities - Keys to Success
• Post Award Notifications and Requests
  ▪ No Cost Extensions
  ▪ Cancelled Appropriations
  ▪ Award Transfer
• Reasons for Delays in Award Processing
• Project Reports
• Other Tips
• Award Monitoring
• General Resources and Org Charts

“As Ask Early, Ask Often!”
NSF Award Process - Overview

Proposal Preparation/Submission

Program Review

Recommend?

YES

Submit to DGA for Review

3 Branches

EHR, BIO & SBE
Specialist Admin Review

MPS & GEO
Specialist Admin Review

ENG, CISE & OIIA
Specialist Admin Review

Awards?

YES

Grants Officer Approval

Awards Notice

NO

Declination Letter

From the Program Office

NO

Declination Letter

From DGA

From 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**

How Many Actions Does DGA Process?
DGA typically approves approximately 17,000 funded actions, and 4,000 non-funded actions each year.
## NSF Award Process

### In Fiscal Year 2016: DGA Approvals

<table>
<thead>
<tr>
<th>Category</th>
<th>Number</th>
<th>Amount (In Millions)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard Grants</strong></td>
<td>9,219</td>
<td>$3,307</td>
</tr>
<tr>
<td><strong>Continuing Grants</strong></td>
<td>2,399</td>
<td>$653</td>
</tr>
<tr>
<td><strong>Cooperative Agreements</strong></td>
<td>63</td>
<td>$255</td>
</tr>
<tr>
<td><strong>Fellowships</strong></td>
<td>405</td>
<td>$86</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>12,086</td>
<td>$4,031</td>
</tr>
</tbody>
</table>

Other funding actions - (Award increments and supplements)

- **Total**: 5,235 $2,080

Non-funding actions – (No cost extensions and other no funds actions)

- **Total**: 3,950
Awardee Responsibilities – Keys to Success

• Compliance with Federal rules
• Adherence to award terms and conditions
• 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
• Consistent with NSF policies and institutional policies
• Prudent management of funds:
  ▪ Allowable
  ▪ Allocable
  ▪ Reasonable
  ▪ Necessary
Awardee Responsibilities - Keys to Success

- Follow your institutional policies
- If I have questions about the award, who do I contact?

**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
- NSF Policy Office for general questions
### Consolidated List of Notifications and Requests (not all-inclusive)

#### Type of Grantee Notification = Awardee Authority

<table>
<thead>
<tr>
<th>Notification</th>
<th>Submitted By</th>
<th>Who Reviews</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grantee-Approved No-Cost Extension</td>
<td>AOR</td>
<td>Program Officer</td>
</tr>
<tr>
<td>Significant Changes in Methods or Procedures</td>
<td>PI</td>
<td>Program Officer</td>
</tr>
<tr>
<td>Significant Changes, Delays or Events of Unusual Interest</td>
<td>PI</td>
<td>Program Officer</td>
</tr>
<tr>
<td>Annual and Final Cost Share Notification by Recipient</td>
<td>AOR</td>
<td>Program Officer</td>
</tr>
<tr>
<td>Conflicts of Interest that cannot be satisfactorily managed, imposition of conditions or restrictions when a conflict of interest exists</td>
<td>AOR</td>
<td>OGC</td>
</tr>
</tbody>
</table>

#### Type of Grantee Request = NSF Approval Required

<table>
<thead>
<tr>
<th>Request</th>
<th>Submitted By</th>
<th>Who Reviews and Recommends?</th>
<th>Who Approves?</th>
<th>Amendment or Notice?*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subawarding, Transferring or Contracting Out Part of an NSF Award</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>First NSF-Approved No-Cost Extension</td>
<td>AOR</td>
<td>Program Officer</td>
<td>Program Officer</td>
<td>Notice</td>
</tr>
<tr>
<td>Second NSF-Approved No-Cost Extension</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>Change in Objectives or Scope</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>Long-Term Disengagement of the PI/PD or co-PI/co-PD</td>
<td>AOR</td>
<td>Program Officer</td>
<td>Program Officer</td>
<td>Notice</td>
</tr>
<tr>
<td>Change in Person-Months Devoted to the Project</td>
<td>AOR</td>
<td>Program Officer</td>
<td>Program Officer</td>
<td>Notice</td>
</tr>
<tr>
<td>Addition of co-PI/co-PD</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>Withdrawal of PI/PD or co-PI/co-PD</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>Substitute (Change) PI/PD or co-PI/co-PD</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>PI/PD or co-PI/co-PD Transfer from One Organization to Another</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>Pre-award Costs in Excess of 90 Days</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>Salaries of Administrative or Clerical Staff</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>Travel Costs for Dependents</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>Rearrangements/Alterations (Construction)</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>Reallocation of Funds for Participant Support Costs</td>
<td>AOR</td>
<td>Program Officer</td>
<td>Program Officer</td>
<td>Notice</td>
</tr>
<tr>
<td>Additional categories of participant support costs other than those described in 2 CFR § 200.75</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>Change to cost sharing commitments reflected on Line M of the NSF award budget</td>
<td><strong>AOR, via email</strong></td>
<td>Program Officer/DGA</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
<tr>
<td>Request for Supplemental Support</td>
<td>AOR</td>
<td>Program Officer</td>
<td>DGA</td>
<td>Amendment</td>
</tr>
</tbody>
</table>

**Notes:**


*You will always be notified when the award is amendment. Program Officer’s have the option to send or not send approval notices. Check research.gov for the status of your request.

**Requests to change cost share commitments must be emailed. Best practice is to email both the NSF Program Officer and the DGA Portfolio Manager.*
What about More Time: No Cost Extensions

• Cannot be used for awards with $0 balance
• Not intended just to use up remaining funds ($$)
• Submit Grantee Approved NCE at least 10 days prior to end date
  ▪ Must be within 6-months of the end date of the award
• Submit NSF-approved NCE at least 45 days prior to end date
• Research.gov will automatically determine what type of NCE is appropriate based upon eligibility
• May submit an NSF-approved NCE “late”, but will need to include a reason for being late
• Research.gov will block submission of a NCE if the revised end date extends the award beyond the appropriation cancellation date.
  ▪ Most NSF funds have a limited period of availability to expend funds (usually six years from the appropriation year) before the appropriation cancels.
  ▪ NSF will notify grantees of any canceling appropriations on open awards in order for grantees to properly and responsibly expend and draw down funds before the end of the fiscal year.
What about More Time: No Cost Extensions

• Research.gov will block submission of a NCE if the revised end date extends the award beyond the *appropriation cancellation* date.

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Cancel Appropriate

Grantee-Approved No-Cost Extension

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

Award Number: [redacted]  
End Date: 11/30/2016  
Status: Forwarded to AOR

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

Revised End Date: 11/30/2017  
(Always expires on the last day of the month)

Justification for Grantee-Approved No-Cost Extension:

Characters remaining: 978 (out of 1200 max)
• Grants are awarded to the Organization and not the PI
• If the PI is moving to a new Organization
  ▪ Nominate new PI
    • Request to sub-award with the new Organization
  ▪ Agree to transfer the grant
  ▪ Terminate the grant
Proposal Budgets – Unallowable/Unjustified Costs
• Participant Support Costs
• Other Direct Costs
• Subawards:
  ▪ Be sure that sub-recipient budgets and budget justifications are included as part of the proposal budget or post award Addition of Sub-award request.
  ▪ Make sure you have a plan in place for monitoring sub-awards (see Uniform Guidance, 2 § CFR 200)
  ▪ Remember, the relationship is between the prime and the sub.awardee
• Other: Itemize other direct costs clearly in the budget justification and beware of unallowable costs.
• Indirect Costs: Charge in accordance with your most recent federally negotiated rate agreement.
• Budget Justifications: Address all proposed costs by NSF line item.
Common Reasons for Delays in Proposal Processing

**Solicitation Requirements**
- DGA reviews the solicitation to ensure budgetary and administrative conditions are in accordance with the solicitation.

**Research involving Human Subjects or Vertebrate Animals**
- Except under very limited circumstances (see the NSF PAPPG for details), IRB and IACUC Certifications must be submitted to the NSF Program Officer before DGA can issue an award. DGA will look for such documentation before making an award.

**Overdue Reports**
- No future funding
- No administrative actions
- Can impact other PI’s awards
- PO can return final report up to 30 days after approval date
- Report status can’t be re-set for annual reports
Project Reports

Annual Project Reports (APRs):
- Due annually every year of the project except the final year
- Report on technical progress
- Must be approved by the Program Officer

Final Project Report (FPR):
- This is the final annual report
- This is not intended to be a cumulative report
- Report on technical progress
- Must be approved by the Program Officer

Project Outcomes Report for the General Public (POR):
- Brief summary of the project for the public
- Not approved by the NSF
Project Reports - Tips

• 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 SRP also can run a report to show reports for their awards that are due and overdue

• The PI and all Co-Pis may submit the reports

• The SRO does not have access to submit the reports

• When in doubt, call the NSF – PO or Help Desk
Other Tips

• Organization Policies and Procedures should be written and kept up to date

• 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
  ▪ 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

• Award notices are sent to the Organization SRO

• Publications are pulled from the APR and FPR
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
Online Resources

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

Direct Links to PAPP-G

nsf.gov/awards/managing/

Find Award Conditions
Division of Grants and Agreements

Website:
- nsf.gov/bfa/dga/

Organizational chart:
- nsf.gov/bfa/dga/docs/liaison.pdf
Pittsburghese

- Pixburgh or Picksburgh = Pittsburgh
- Stillers = Steelers
- Worsh = Wash
- Sammich = Sandwich
- Pop = Soda
- Dahntahn = Downtown
- Iggle = Eagle
- Keller = Color
- Ketch = Catch
- Redd up = Make Ready or Tidy Up
- Slippy = Slippery
- D’jeet or d’jeetyet = Did you eat / Did you eat yet?
- Yunz or Yinz = You Ones or Y’All
Ask Early, Ask Often!

nsf.gov/staff
https://www.nsf.gov/bfa/dga/