



# Award Management



NSF Workshop for Sponsored Project Administrators  
at Hispanic Serving Institutions

April 13, 2007 - Miami, FL

April 20, 2007 – Albuquerque, NM



**NSF – HSI Workshop**



# Ask Early, Ask Often!

Name	Title	Contact
Jean Feldman	Head, Policy Office, Division of Institution & Award Support (DIAS)	<a href="mailto:jfeldman@nsf.gov">jfeldman@nsf.gov</a> (703) 292-8243
Andrea Kline	Grants Specialist, Division of Grants & Agreements (DGA)	<a href="mailto:akline@nsf.gov">akline@nsf.gov</a> (703) 292-4820



# NSF Award Management Philosophy

- Assistance Agency
- Research Carried Out by Awardee
- Integrated Oversight Enterprise:
  - Program Oversight of Scientific Progress
  - BFA Oversight of Compliance and Business Assistance
- Audit Responsibility Reside with OIG
- End to End Award Management
- Risk Based Review



# Types of Awards

- Grants & Cooperative Agreements
  - Relationship is of assistance
  - Principle purpose is to accomplish a public purpose of support or stimulation
- Contracts
  - Relationship is one of procurement
  - Principle purpose is for the direct benefit or use of the Federal government



# Award Administration – Relevant Roles of Awardee & NSF

- Awardee Role
  - Awardee has full responsibility for the conduct of project or activity and for adherence to the award conditions
  - Awardee agrees to comply with the applicable Federal requirements and for the prudent management of all expenditures and actions
  - Expenditures must be allowable, allocable, and reasonable, and all actions must be:
    - Consistent with award terms and conditions;
    - Consistent with NSF and awardee policies;
    - Represent effective utilization of resources; and
    - Do not constitute a significant project change.
  
- NSF Role
  - Hands off project and minimal monitoring (except for Cooperative Agreements)



# The NSF Award

- Grants
  - Award Letter, Grant General Conditions, occasional special conditions, and other documents incorporated by reference
  - Electronic dissemination of Award Letter to AOR
  - Grantee Distribution of Terms & Conditions
  - Also available electronically via FastLane
- Cooperative Agreements
  - Financial & Administrative Terms and Conditions
  - Programmatic Terms and Conditions



## Please Be Aware....

- Cooperative agreements have added conditions due to substantial involvement of NSF
  - Be aware that there is generally more reporting and oversight required for a cooperative agreement than a grant
  - There should be ongoing dialogue with the cognizant Program Officer to fully understand the conditions of this type of award



# Sample Award Notice

Award Date     July 31, 2007  
Grant No.        EEC-0000000

Dr. Robert Edwards  
President  
Northern Virginia University  
Fairfax, VA 22033

Dear Dr. Edwards:

The National Science Foundation hereby awards a grant of \$125,000 to Northern Virginia University for additional support of the project described in the proposal referenced above.

This project, entitled "Industry/University Cooperative Research Center for Microwave Engineering," is under the direction of Samuel Hunter.

This award is effective August 1, 2007 and expires July 31, 2010.

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is subject to Federal Demonstration Partnership General Terms and Conditions (FDP-IV, dated 04/1/05) and the NSF Agency-Specific Requirements (dated 10/04) available at [http://www.nsf.gov/awards/managing/fed\\_dem\\_part.jsp](http://www.nsf.gov/awards/managing/fed_dem_part.jsp).

The attached budget indicates the amounts, by categories, on which NSF has based its support. Please view the project reporting requirements for this award at the following web address [\[https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=07444517\]](https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=07444517).

The cognizant NSF program official for this grant is Wayne Doe (703) 292-1111. The cognizant NSF grants official is Beth Adams (703) 292-2222.

Sincerely,

Jean Bucks  
Grants & Agreements Officer





# Sample Cooperative Agreement E-mail Notice

NATIONAL SCIENCE FOUNDATION  
4201 Wilson Boulevard  
Arlington, VA 22230  
[www.nsf.gov](http://www.nsf.gov)

Project Title: An Example New Cooperative Agreement Notice

PI: John M. Doe, Jane S. Smith, Michael A. Nermal

Awardee: Amadeup Research Institute

Award Number: AST-XXXXXXX

This is to inform you that your proposal for a Cooperative Agreement, ST-XXXXXXX, has been awarded.

Please view the award details at the following web address:

[\[https://www.fastlane.nsf.gov/researchadmin/emailLoginHome.do?awardId=XXXXXXX&amendmentId=000\]](https://www.fastlane.nsf.gov/researchadmin/emailLoginHome.do?awardId=XXXXXXX&amendmentId=000)

The links within the award document include important terms and conditions. Your understanding of these terms and conditions is essential for effective management of the award.



# Grantee-Approved Notifications to NSF

- Single 12 Month No Cost Extension
  - This is not to be used for awards that contain a zero balance
  - Does not include Cooperative Agreements
- Significant Changes in Methods & Procedures\*
- Unusual Occurrences\*
- Short Term Absences (less than 90 days)\*
- Conflict of Interest Not handled by Organization

***\* Note that these three items are notifications that are sent directly from PI to the AOR and then to NSF.***



# Grantee-Authorized Approvals

- Virtually All Budget Changes are PI's Prerogative – Subject to Organizational Approval
  - Note: Unless such changes constitute a change in objective or scope
  - Exception for Participant Support
- 90 Day Pre-Award Costs



# NSF Prior Approval Requirements (Technically Related)

- Change in Objective or Scope
- Change in Expiration Date (no cost extension)
- PI/co-PI Changes
  - Withdrawal or Change of PI/co-PI
  - Long-term Absence: Defined as 90 days or more
  - Reduction in PI Level of Effort: Defined as a reduction of 25% or more in time devoted to project



# NSF Prior Approval Requirements (Financially Related)

- Transferring the Project Effort via:
  - Subaward
  - Transfer of the Award to a New Organization (“PI Transfers”)
- Reallocation of Participant Support
- Alterations and Renovations over \$25,000 (Construction)
- Change in Cost Sharing Amount Identified on Line M of the Cumulative Award Budget
- Pre-award costs more than 90 days prior



# Award Transfers

- The award is made to the university
  - Institution has the discretion of appointing a substitute PI or terminating the award
- If willing to transfer the award to another university be sure to:
  - Reconcile final expenditures
  - Accurately determine what funds are to be transferred
  - NSF cannot intervene or redo a transfer after it is made
- Consider making a subaward rather than transferring the whole award



# Please Remember....

- Notifications and Requests:
  - Be familiar with what needs prior approval so that timely requests and notifications can be made
  - GPM Exhibit III-1 has summary listing:  
[http://www.nsf.gov/pubs/manuals/gpm05\\_131/ex3\\_1.pdf](http://www.nsf.gov/pubs/manuals/gpm05_131/ex3_1.pdf)
  - Submit all notifications and requests electronically via FastLane



## Notifications & Requests | MAIN ▶

Organization: NSF

Forwarded by PI

**Prepared by SPO**

Submitted to NSF

### Prepare a New Notification or Request for Award #: 9999999

**Award Amount:** \$7,000,000.00  
**Expiration Date:** 10/01/2005  
**Division:** DIVISION OF HUMAN RESOURCE DEVELOPMENT  
**Award Title:** Test for Demo  
**Organization:** NSF  
**PI/PD:** Alphaman, Alan

### Select the Notification or Request Type:

GRANTEE NOTIFICATION TYPES	Topic Guidance
<input type="radio"/> Anticipated Residual Funds in excess of \$5,000 or 5%	<a href="#">GPM</a>
<input type="radio"/> Grantee Approved No Cost Extension	<a href="#">GPG</a>
<input type="radio"/> Cost Sharing Equal To or Greater Than \$500,000	<a href="#">GPM</a>
<input type="radio"/> Significant Changes/Delays or Events of Unusual Interest	<a href="#">GPM</a>
<input type="radio"/> Conflicts of Interests	<a href="#">GPM</a>
<input type="radio"/> Significant Changes in Methods/Procedures	<a href="#">GPM</a>
<input type="radio"/> Short-Term Absence of the PI/PD (Up to Three Months)	<a href="#">GPM</a>

GRANTEE REQUEST TYPES (Requires NSF Approval)	Topic Guidance
<input type="radio"/> Addition of SubAward	<a href="#">GPM</a>
<input type="radio"/> Withdrawal of PI/Co-PI	<a href="#">GPM</a>
<input type="radio"/> Long-Term Absence of the PI/PD (Over Three Months)	<a href="#">GPM</a>
<input type="radio"/> NSF Approved No-Cost Extension	<a href="#">GPG</a>
<input type="radio"/> PI Transfer	<a href="#">GPM</a>
<input type="radio"/> Pre-award Costs in Excess of 90 Days	<a href="#">GPM</a>
<input type="radio"/> Rearrangement/Alteration \$25,000 or over (Follow these links for more information on <a href="#">Non-FDP Organizations</a> or <a href="#">FDP Organizations</a> . They will open a PDF file in new window.)	<a href="#">GPM</a>
<input type="radio"/> Change of PI	<a href="#">GPM</a>
<input type="radio"/> Significant Change in Person-Months Devoted to Project	<a href="#">GPM</a>
<input type="radio"/> Changes in Objective or Scope	<a href="#">GPM</a>
<input type="radio"/> Reallocation of Funds Budgeted for Participant or Trainee Support Costs	<a href="#">GPM</a>

\*Topic Guidance is provided through Grant Proposal Guide (GPG) and Grant Proposal Manual (GPM) references.

**Prepare**

**Cancel**







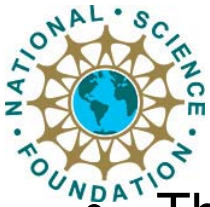
# Technical Reports

- Required Technical Reports
  - Annual Project Reports
    - Due No Later Than 90 days prior to Expiration Date
    - Required for **ALL** Standard & Continuing Grants and Cooperative Agreements
  - Final
    - Due Within 90-days after the Expiration of an Award
    - Required for **ALL** Standard & Continuing Grants and Cooperative Agreements
    - Required for Individual Research Fellowships per Program Solicitation




# Technical Reports

- Report Contents Include
  - Participants
  - Activities & Findings
  - Publications & Products
  - Contributions
  - Special Requirements
- Technical Monitoring
  - Program Officer Site Visits
  - Participation in required Outreach activities
- Interim Project Reports (Not required)
  - Significant Events
  - Per special conditions of the award



# Journal Publications Enhancements

- The Project Reports System in FastLane will be enhanced to improve the process for entering journal publications. Changes you will notice include:
  - Users are now instructed to enter all publication information in only this area of the project report. A validation will be added to check if users indicate “yes” below, but then have no entries in the following screens.
  - Users are now warned that publication data entered will be made available to the public via the NSF website.



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

[NSF Home](#) | [News](#) | [Site Map](#) | [GPG](#) | [GPM](#) | [Contact Us](#) | [FastLane Help](#)  
[Change Password](#) | [Logout](#)

**Project Reports System** | MAIN ▶ **Organization:** NSF

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**Publications and Products**

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Publications and products should only be entered in this section of the project report. All publications and products entered here must be the result of work completed for this award.

**Please note:** Information collected here may be made available on the NSF public website.

**Do you have any publication and/or products to report?**



# Journal Publications Enhancements

- Entering journal publications in a project report will be easier than ever:
  - Instead of manually entering required criteria for journal publications, PIs can perform a search and select their citation that is associated with the award.
  - PIs will follow these easy steps to search for and add a journal publication citation to their project report

Search for Journal Publication citation(s) by any of the following

Author:

Journal Title:

Article Title:

Time Period:  Year to Date  Last 5 Years  All Years

## Step 1

User enters any search criteria and clicks the **Search** button

## Step 2

The user selects the appropriate citation and selects **Add to Report**

**Search Results** 0 Citations Added to Report [Prev]1,2 [Next]

Use the checkboxes to select citation(s), then click **Add to Report** to add citation(s) to the project report

24 items found, displaying 1 to 15

Add to Report	Details
<input checked="" type="checkbox"/>	1. Gargani, J, Author, Reprint Author Gargani J. Gargani, J. ; Geoffroy, L, et al. <b>Fault slip and Coulomb stress variations around a pressured magma reservoir: consequences on seismicity and magma intrusion</b> TERRA NOVA 18 (6): 403-411 DEC 2006
<input type="checkbox"/>	2. Hamidi, AA, Author, Reprint Author Hamidi A. A. Hamidi, A. A. ; Gargani, S, et al. <b>Optimizing crude oil fired heaters</b> HYDROCARB PROCESS 85 (9): 113-117 SEP 2006

[Prev]1,2 [Next]



# Journal Publications Enhancements

In an effort to quickly and easily share research outcomes with the research community and the public, journal publications submitted by PIs as part of the project report, will be displayed on the NSF website as part of the Award Search.

A screenshot of the NSF Award Search results page. The page header includes the NSF logo and the text "National Science Foundation WHERE DISCOVERIES BEGIN". A search bar is visible in the top right corner with "NSF Web Site" selected in a dropdown menu and a "Submit" button. The main content area displays the award details for "Award Abstract #0606693". The title is "Collaborative Research: Post-Impact Studies of the Chesapeake Bay Impact Structure: Quantifying Continental Margin Evolution". Below the title, it shows "NSF Org: EAR". There are fields for "Program Element Code(s): 1581". The "ABSTRACT" section contains the text: "0606693 Miller This project will extend earlier work funded by CD involving the analysis of stratigraphy on the MS Mid-Atlantic Margin. The PIs have been involved in a impact." Below the abstract, it lists "Publications produced as a result of this research:" followed by the citation: "Gropp H.; McHugh C.M.G.1; Snyder S.W.; Miller K.G. Upper Eocene ejecta of the New Jersey continental margin reveal dynamics of Chesapeake Bay impact Earth and Planetary Science Letters, Volume 160, Number 3, August 1998,".



# Project Report Tracking & Notification System

- Projects Report System Edits
  - Provides set reporting reports – annual and final divisible by 12 months
  - Tracking System includes: periods, status, and due/overdue dates
  - External & Internal Communities Ability to Track On Line
  - Notification reminders automatic to PIs and SPOs
  - Award Notices – URL with pass through to Project Report Module on FastLane
  - Periodic ‘archiving’ of over-aged reports
  - NSF systems include hard edits
    - No future funding if overdue annual/final reports
    - No PI changes or no cost extensions
    - No changes after final report approval
    - Report status can’t be re-set for annual reports



# FastLane – View Awards by Report Requirements or Creation Eligibility (new screen)

## Project Reports | MAIN ▶

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

Definitions provided to the user so the right report is created.

[Annual/Final Project Reports](#)

[Interim Project Reports](#)

[GPRF Facility Reporting](#)

Search Capability by Award Number and Award Expiration Date

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

Award Number:  Award Expiration Date:

Awards are now divided into tabs for APR/FPR and GPRF report requirements as well as for IPR creation eligibility.

### Awards with Annual/Final Project Report Requirements:

To view Project Report requirements for an award, click the "Award Number" (e.g.: 0075773) link below. Sort results by clicking column titles.

Principal Investigator's Name: Alphaman, Alan

13 records found, displaying 11 to 13.

[\[< Previous 10\] 1 2](#)

<a href="#">Award Number</a>	<a href="#">Award Type</a>	<a href="#">Award Title</a>	<a href="#">Award Date</a>	<a href="#">Award Expiration Date</a>
<a href="#">0075773</a>	Continuing Grant	Effects of Global Warming on Bird Migrations	12/01/2004	11/30/2005
<a href="#">0075774</a>	Cooperative Agreement	Splitting the Atom (Cancelled)	11/30/2004	10/31/2005
<a href="#">0075775</a>	Standard	Weather Trends for the Last Decade	12/01/2005	11/30/2009

PI locates and selects the Award from the list to create Project Report by clicking on the Award number text link.

Award and Award Expiration Dates shown to user.



# FastLane – View Selected Award’s Project Report Requirements (new screen)

PI views Project Report requirements for reporting periods generated by Awards System for selected Award.

Archive of previous Reports submitted prior to incorporation of new functionality can now be accessed from this screen by clicking link.

FastLane PI/Co-PI Management Proposal Functions | HOME

NSF Home | News | Site Map | GPG | GPM | Send Comments | FastLane Help

## Project Reports

Annual/Final Project Report Requirements

Award Number: 0075  
Award Title: Weath  
PI Name: Alan A

Annual/Final Project Report Requirements: [What do I need to know?](#)

To view a PDF of an approved Project Report, or to Create/Edit a Project Report for this award, click a link in the "Action" column below.  
Sort results by clicking column titles.

Report Requirement	Report Period Start Date	Report Period End Date	Months in Reporting Period	Report Due Date	Report Overdue Date	Report Submission Date	NSF Report Status	My Submission Status	Action
1st (Annual)	12/01/05	11/30/06	12	8/30/06	11/30/06	Not Applicable	Due	Not Submitted	<a href="#">Create/Edit</a>
2nd (Annual)	12/01/06	11/30/07	12	8/30/07	11/30/07	Not Applicable	Not Applicable	Not Submitted	<a href="#">Create/Edit</a>
3rd (Annual)	12/01/07	11/30/08	12	8/30/08	11/30/08	Not Applicable	Not Applicable	Not Submitted	<a href="#">Create/Edit</a>
4th (Final)	12/01/08	11/30/09	12	11/30/09	2/28/10	Not Applicable	Not Applicable	Not Submitted	<a href="#">Create/Edit</a>

[View Previously Submitted Project Reports](#) for this Award

National Science Foundation  
4201 Wilson Boulevard, Arlington, Virginia 22230, USA  
Tel: 703-292-5111, FIRS: 800-877-8339 | TDD: 703-292-5090

[Privacy and Security](#)

Award period is divided into reporting periods with a start and end date.

PI is clearly informed when each Report is due for submission and when it is overdue for submission.

PI can track the status of their Report with NSF Report and My Submission Statuses. Definitions of these statuses can be accessed by the link above.

PI clicks on the "Create/Edit" link to access the Project Reports System Control Screen.

PI can only create the first Report for a given period and can only create the next Report upon approval of the first.





# Publication & Data Sharing Requirements

- Acknowledgement of Support
- Disclaimer
- Copyrightable Material
- Sharing of Data



# Data Sharing by NSF Awardees

- Data access:
  - Helps promote scientific research by permitting other qualified scientists to replicate results;
  - To reinterpret data or extend research methods to new areas;
  - Thus build upon the existing base of scientific knowledge



# Implementing Data Sharing

- GC - 1, No. 38: Sets a basic standard for expected data sharing by NSF awardees
  - NSF Programs may implement this sharing policy in ways appropriate to the scientific field and to specific circumstances
  - Specific data sharing policies – including data “pooling” – are particularly appropriate where for example, research transcends national boundaries, and/or where “pooled” data promotes discovery of patterns or interrelationships that would not be evident from individual research data
    - Examples include: OPP, GEO/Ocean Sciences, and SBE



# Other Administrative Requirements

- Use of Consultants
- Equipment
- Travel
- Program Income



# And Lots of Other Statutory & Regulatory Stuff.....

- Nondiscrimination
- Animal Welfare
- Recombinant DNA Molecules
- Clean Air and Water
- Human Subjects
- Investigator Financial Disclosure
- Debarment and Suspension



# Audit Requirements

- Grant General Conditions (GC-1) Article 23
- Federal Demonstration Partnership (FDP) Terms and Conditions Section .26
- Grant Policy Manual Section 350
- NSF Office of Inspector General Activities



## And when things really go wrong...

- The award may be suspended or terminated in whole or in part in any of the following situations:
  - By NSF when:
    - the grantee has materially failed to comply with the terms and conditions of the grant;
    - the Foundation has other reasonable cause;
    - ordered by the Deputy Director under NSF's Regulation on Research Misconduct (45 CFR §689);
    - NSF and the grantee by mutual agreement (if NSF and the grantee cannot reach an agreement, NSF reserves the right to unilaterally terminate the grant); or
  - By the grantee on written notice to NSF



# Accessing Documents on the NSF Website

- <http://www.nsf.gov>
- Click: For the Education & Research Community
- Proposal Preparation
  - Grant Proposal Guide
  - Grants.gov Application Guide
  - Frequently Asked Questions
- Award Administration
  - Grant Policy Manual (Soon to be Award & Administration Guide)
  - Grant & Agreement Conditions
  - Frequently Asked Questions





# NSF Websites

National Science Board	<a href="http://www.nsf.gov/nsb/">http://www.nsf.gov/nsb/</a>
Director/Deputy Director	<a href="http://www.nsf.gov/od/">http://www.nsf.gov/od/</a>
Inspector General	<a href="http://www.nsf.gov/oig/">http://www.nsf.gov/oig/</a>
Office of Cyberinfrastructure	<a href="http://www.nsf.gov/dir/index.jsp?org=OCI">http://www.nsf.gov/dir/index.jsp?org=OCI</a>
Office of International Science and Engineering	<a href="http://www.nsf.gov/div/index.jsp?div=OISE">http://www.nsf.gov/div/index.jsp?div=OISE</a>
Office of Equal Opportunity Programs	<a href="http://www.nsf.gov/od/oeo/index.jsp">http://www.nsf.gov/od/oeo/index.jsp</a>
Office of Legislative and Public Affairs	<a href="http://www.nsf.gov/od/lpa/index.jsp">http://www.nsf.gov/od/lpa/index.jsp</a>
Office of the General Counsel	<a href="http://www.nsf.gov/od/ogc/index.jsp">http://www.nsf.gov/od/ogc/index.jsp</a>
Office of Polar Programs	<a href="http://www.nsf.gov/dir/index.jsp?org=opp">http://www.nsf.gov/dir/index.jsp?org=opp</a>
Office of Integrative Activities	<a href="http://www.nsf.gov/od/oia/index.jsp">http://www.nsf.gov/od/oia/index.jsp</a>
Biological Sciences	<a href="http://www.nsf.gov/dir/index.jsp?dir=BIO">http://www.nsf.gov/dir/index.jsp?dir=BIO</a>
Social, Behavioral & Economic Sciences	<a href="http://www.nsf.gov/dir/index.jsp?dir=SBE">http://www.nsf.gov/dir/index.jsp?dir=SBE</a>
Computer & Information Science & Engineering	<a href="http://www.nsf.gov/dir/index.jsp?dir=CISE">http://www.nsf.gov/dir/index.jsp?dir=CISE</a>
Education & Human Resources	<a href="http://www.nsf.gov/dir/index.jsp?dir=EHR">http://www.nsf.gov/dir/index.jsp?dir=EHR</a>
Engineering	<a href="http://www.nsf.gov/dir/index.jsp?dir=ENG">http://www.nsf.gov/dir/index.jsp?dir=ENG</a>
Budget, Finance & Award Management	<a href="http://www.nsf.gov/bfa/">http://www.nsf.gov/bfa/</a>
Geosciences	<a href="http://www.nsf.gov/dir/index.jsp?dir=GEO">http://www.nsf.gov/dir/index.jsp?dir=GEO</a>
Information Resource Management	<a href="http://www.nsf.gov/oirm/">http://www.nsf.gov/oirm/</a>
Mathematical & Physical Sciences	<a href="http://www.nsf.gov/dir/index.jsp?dir=MPS">http://www.nsf.gov/dir/index.jsp?dir=MPS</a>