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WHERE DISCOVERIES BEGIN
NSF Grants Conference
Award Management
March 11-12, 2013
Hosted by Howard University, Arlington, Virginia

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# Panelists

## Denise Martin

Team Lead, Office of Budget, Finance & Award Management; Division of Grants & Agreements

## Claudia Postell

Director, Office of the Director, Office of Diversity & Inclusion

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## Award Management:

The Grants and Agreements session will address award requirements and conditions, and will outline the responsibilities of those involved in the award process – principal investigators, grantee institutions, Program Officers, research administrators, and agency grants officials. The Office of Diversity and Inclusion will also address compliance and nondiscrimination topics.

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# Topics Covered

- Award Types
- NSF Award Process
- Award Notification
- Terms & Conditions
- Award Amendments
- Reports
- Monitoring
- AMBAP Visits
- Termination & Disciplinary Actions

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## What kind of "Award"?

- Grants
- Cooperative Agreements

- Public purpose of support or stimulation
- Not a direct benefit or use of the Federal government

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# Award vs. Contract

**Award: $ = Assistance**

**Contracts: $ = Goods or Services**

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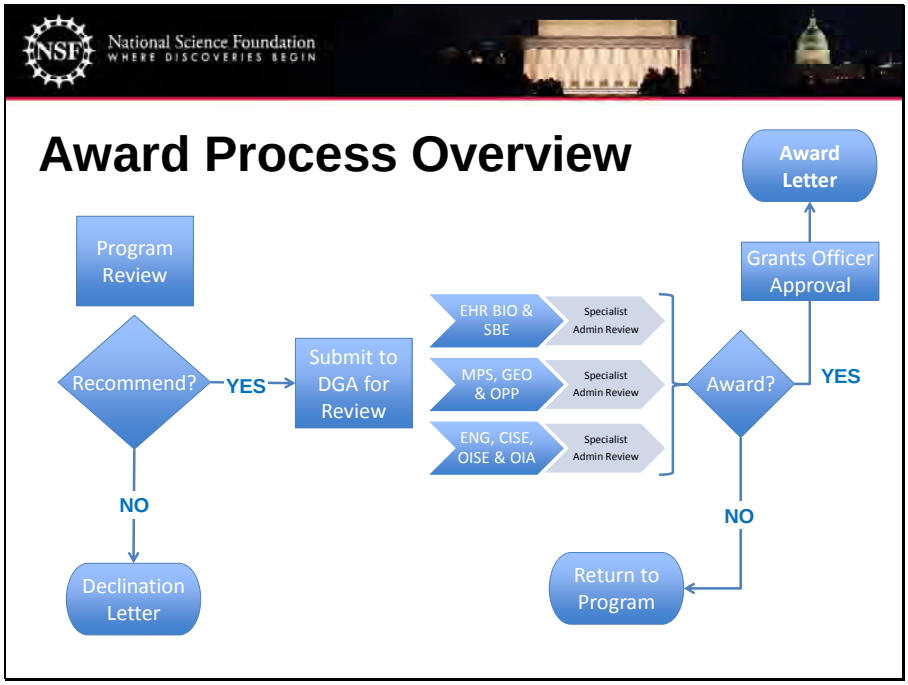
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Award Process Overview
Award Letter
Program Review
Grants Officer Approval
Recommend?
YES
Submit to DGA for Review
EHR BIO & SBE
Specialist Admin Review
MPS, GEO & OPP
Specialist Admin Review
ENG, CISE, OISE & OIA
Specialist Admin Review
Award?
YES
NO
NO
Declination Letter
Return to Program

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# How many awards are we talking about?

**DGA approved over 23,000 actions last fiscal year.**

**18,558 funded actions**

**4,887 non-fund actions**

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# Notification & Terms of Award

## Grants

- Award Letter
- Research Terms and Conditions (RTC) or Grant General Conditions (GC-1)

## Cooperative Agreements

- Award Notice
- Financial Administrative Terms and Conditions (FATC)
- Programmatic Terms and Conditions (PTC)

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# Awardee Responsibility

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

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# Changes that need approval?

- Objective or scope
- Principal Investigators (PIs)
- Subawards
- Participant support
- Pre-award costs

**What about more time?**

- Extensions

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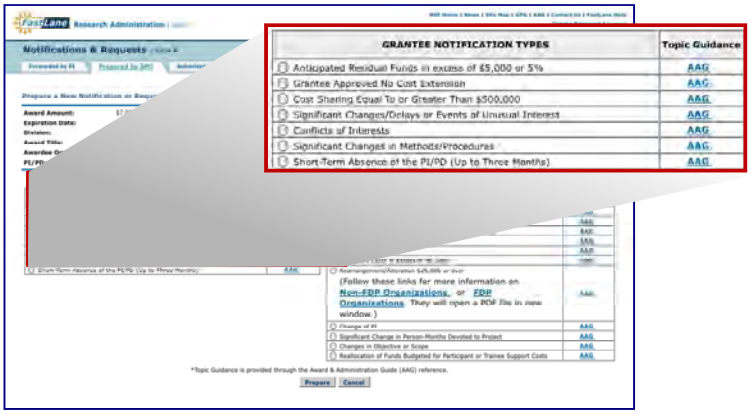
# Post Award Notifications & Requests




**Only "Requests" require NSF approval**

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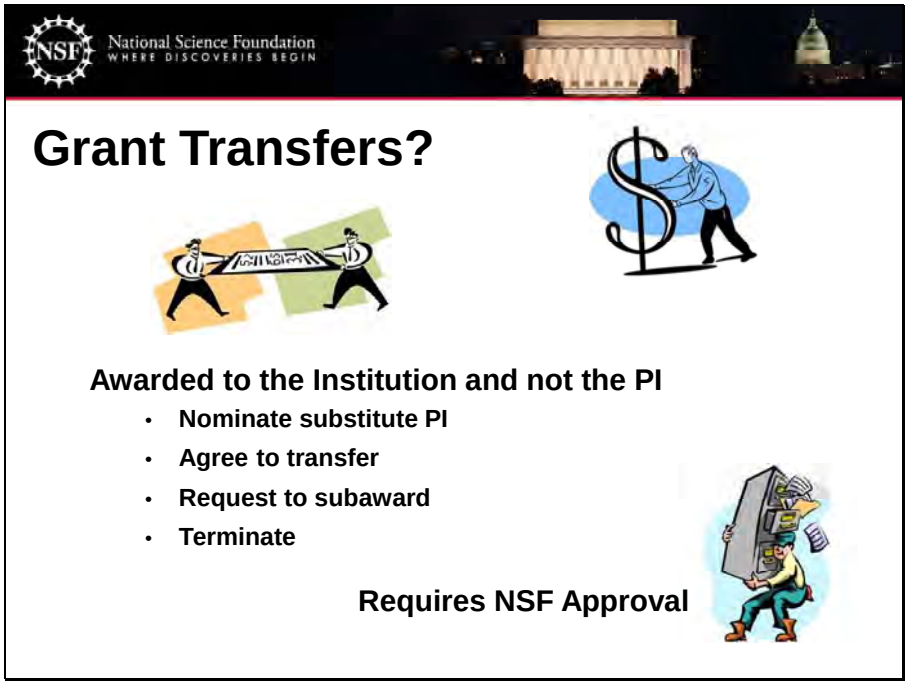
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Grant Transfers?
Awarded to the Institution and not the PI
Nominate substitute PI
Agree to transfer
Request to subaward
Terminate
Requires NSF Approval

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# Has my request been approved?

**Not always an Award Amendment…**

**Check FastLane for expiration date.**

www.fastlane.nsf.gov

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# Required Technical Reporting

- **Annual Project Reports**
- **Final Project Report**
- **Project Outcomes Report**

## Overdue Reports

- **Prevent any future funding**
- **Stop prior approvals**
- **Affect all PIs and co-PIs**

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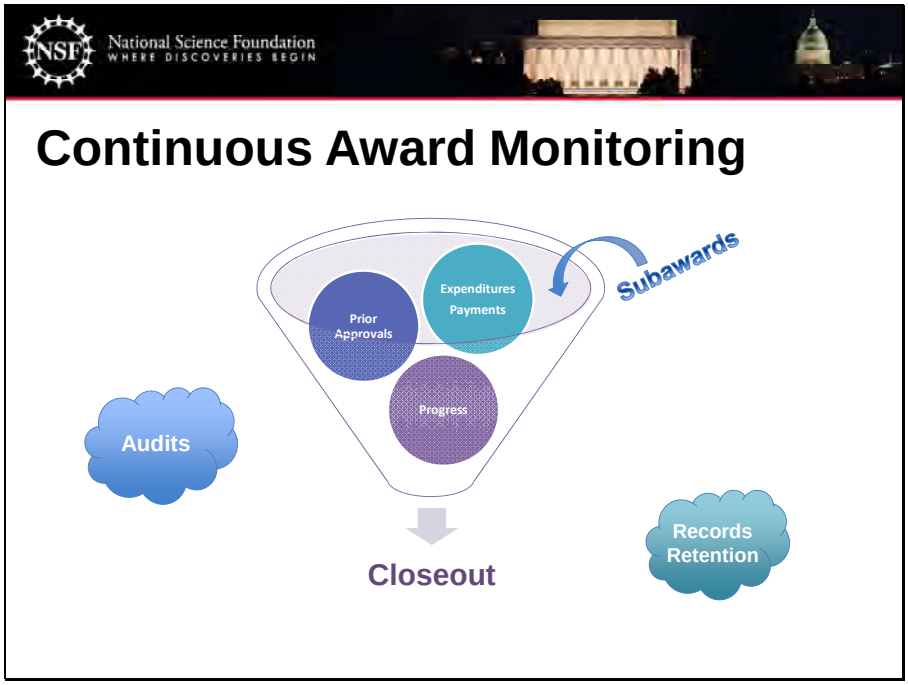
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Continuous Award Monitoring
Subawards
Expenditures
Payments
Prior
Approvals
Progress
Audits
Closeout
Records
Retention

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# AMBAP Visits

**Division of Grants & Agreements (DGA)**
**Division of Institution & Award Support (DIAS)**

- **Coordinate with Cost Analysis & Audit Resolution Branch**
- **Consult with Program Official**
- **Review Annual Reports**
- **Conduct Preparation Meetings**
- **Correspond with Grantee**
- **Conduct Site Visit**
- **Write Post Site Visit Report**
- **Follow-up Activities as Necessary**

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## What happens if things really go wrong?

- NSF may suspend or terminate award

- Awardee can terminate

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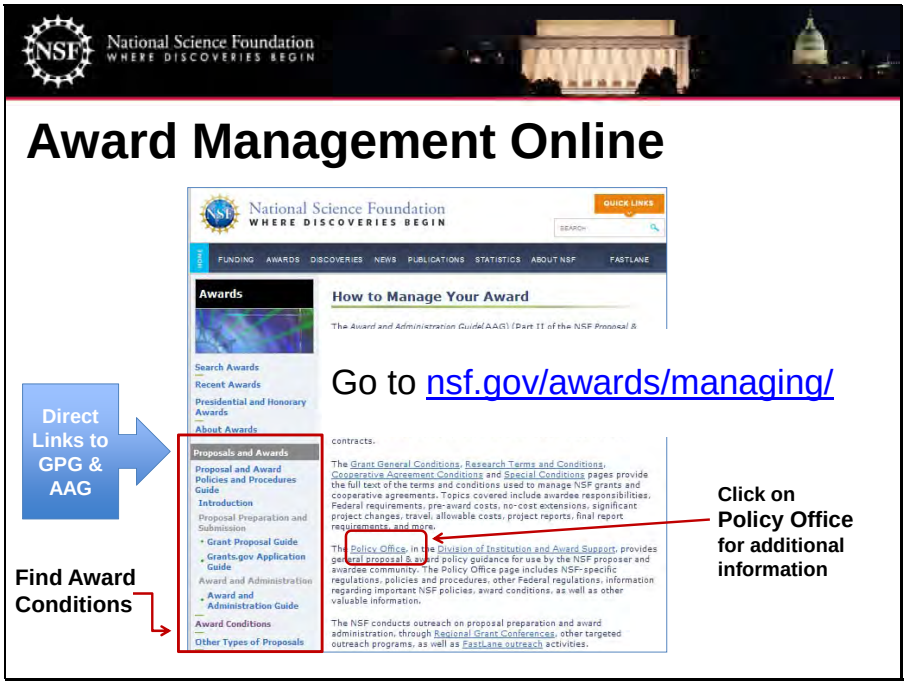
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Recent Awards
Presidential and Honorary Awards
About Awards
Proposals and Awards
Proposal and Award Policies and Procedures Guide
Introduction
Proposal Preparation and Submission
Grant Proposal Guide
Grants.gov Application Guide
Award and Administration
Award and Administration Guide
Award Conditions
Other Types of Proposals
Direct Links to GPG & AAG
Find Award Conditions
Click on Policy Office for additional information

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# Ask Early, Ask Often!

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# Nondiscrimination: Civil Rights Compliance Requirements

**Role of the Office of Diversity and Inclusion:**

- **To ensure the agency is in compliance with the laws and regulations governing federal-sector equal employment opportunity and civil rights.**

**Compliance requirements for recipients of federal/NSF Funds:**

- **All recipients are required to comply with laws and regulations that prohibit discrimination in federally assisted programs and activities.**

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# Nondiscrimination: Civil Rights Compliance Requirements

- **As part of NSF's proposal guidelines, applicants for NSF funding are to adhere to the various non-discrimination requirements as discussed.**
- **Basically, these federal laws prohibit discrimination on the bases of race, color, national origin, gender, and disability in any program or activity that receives federal funding.**
- **ODI is charged with ensuring recipients are in compliance under applicable statutes via pre and post award compliance reviews.**

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# Nondiscrimination: Civil Rights Compliance Requirements

**Pre Award:**

- **This is done via submission of an electronic certification at the time of proposal submission. As part of the electronic certification, the Organization's Authorized Representative certifies that the organization agrees to comply with the various nondiscrimination laws and regulations discussed during this presentation. This also applies to sub-recipients.**

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# Nondiscrimination: Civil Rights Compliance Requirements

## Post Award:

- **This is done via post-award compliance reviews.**
- **Goal is to provide meaningful technical assistance to all recipients that help strengthen their current compliance efforts as well as identify and report on best practices.**
- **Requires recipients to provide information, inclusive of data, on their specific programs that relate to federal antidiscrimination requirements.**
- **Limited compliance reviews are currently being conducted as part of the Large Facilities Office's Business Service Reviews (BSRs).**

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# Nondiscrimination: Civil Rights Compliance Requirements

## Post Award:

- **Conducting Title IX reviews is part of NSF's Career Life Balance (CLB) Initiative. In response, NSF will initially focus primarily on conducting Title IX reviews.**
- **NSF in the process of implementing guidance for compliance reviews that are similar to that in the BSR process.**
- **Compliance reviews will focus on conducting desk reviews to gather compliance information; collecting promising and innovative practices to share with others, offering technical assistance where needed, and ultimately conducting on-site reviews.**

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# Nondiscrimination: Civil Rights Compliance Requirements

- **NSF also is responsible for processing complaints of discrimination from institutions that receive NSF funding.**
- **Complaints are forwarded to NSF's EEO Director for processing.**
- **Complaints may also be processed via the institution's internal complaint process.**

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## Nondiscrimination: Civil Rights Compliance Requirements

- **NSF's policy is to work with recipients to ensure they are in compliance.**
- **Failure to comply with one or more of the terms and conditions of NSF grants may result in suspension or termination of the grant.**
- **NSF will give the recipient notice and the opportunity to correct the deficiency.**
- **For a review of suspension or termination of procedures, please review NSF's Award and Administration Guide on its website at www.nsf.gov**

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## For More Information

# Ask Early, Ask Often!

**nsf.gov/staff**

**nsf.gov/staff/orglist.jsp**

**nsf.gov/about/career_opps/rotators/index.jsp**