



# **HBCU-UP PI/PD CONFERENCE**

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# Speaker

Rashawn Farrior – Grant and Agreement Specialist –  
703.292.2187 – [lfarrior@nsf.gov](mailto:lfarrior@nsf.gov)



# Discussion Topics

- Award Administration Roles
- Award Notifications and Requirements
- Proposal Review & Award Management
- Advanced Monitoring and Business Assistance Program (AMBAP)
- Resources and Pathways to Success

# Award Administration Roles

## Division of Grants & Agreements (DGA)

- Handled over 42,000 active awards in Fiscal Year 2014
- Reviews, negotiates and obligates funding for approximately 11,300 new awards each year
- Responsible for monitoring the business practices of all our grantees





# **Award Administration Roles**

## **Grantees**

- Full responsibility for the conduct of project activity and for adhering to the award conditions.
- Compliance to all applicable Federal requirements and to manage all expenditures and actions prudently
- Ensures that expenditures are allowable, allocable, and reasonable.

# Award Administration Roles

## Working Relationships



# **Award Administration Roles**

## Annual Project Reports (APR)

- Program's responsibility to review and approve
- APR is due every 12 months of the project (90 days prior to the end of the project budget period)
- Last annual report is deemed the Final Project Report

# Award Administration Roles

## Annual Project Reports Continued

- Reports must be reviewed and submitted through Research.gov not Fastlane
- DGA *cannot* process actions with overdue annual or final reports linked to the PI/Co-PIs of current awards



# Proposal Review & Award Management

## Institutional Review Board (IRB) Approval Documentation

"It's no big deal, we will get IRB approval when we actually decide to involve human subjects."

- Necessary documentation *NEEDS* to be submitted before the Proposal can receive funding.



# Award Administration Roles

## Notification of Award

- Award Letter
- Solicitation NSF 14-513
- Research Terms and Conditions (RTCs), occasional special conditions, and other documents incorporated by reference

# Award Management

## Participant Support

- Participants or Trainees (not employees – exception school districts – teacher training)
- Stipends, subsistence allowance, travel, registration fees, tuition
- Funds may *not* be re-budgeted to other expense categories with out prior written approval of the NSF program officer

# Proposal Review & Award Management

## Participant Support

- Awardee organizations must be able to identify participant support costs.
- Participant Support is not a normal account classification
- Highly recommended that separate accounts, sub-accounts sub-task or sub-ledgers be established to account for these costs.
- Written policies & procedures
- Indirect cost cannot be charged

# **Proposal Review & Award Management**

## **Program Income**

- Gross income earned by the grantee that is directly generated by a supported activity or earned as a result of the grant.
- Received or accruing to the grantee during the period of the grant is to be retained by the grantee, added to the funds of the project and thus used to further project objectives.
- Any program income generated must be expended prior to drawing down additional funds from the Award.



# **Proposal Review & Award Management**

## **Sub-Award Monitoring**

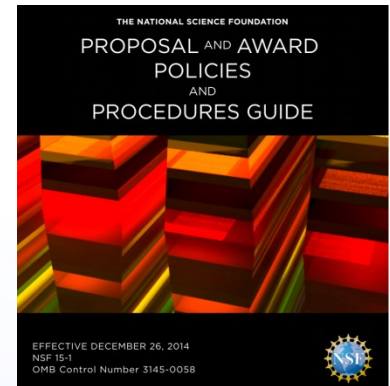
- Ability to perform (technically, financially and administratively)
- Check for debarment or suspension of the organization, PI/Co-PIs through the use of Sam.gov
- Indirect cost rate & base

# Proposal Review & Award Management

## Award Changes with Awardee-Authorized Approvals

Notification to NSF **is NOT** required for:

- Virtually all budget changes
- Budget changes are the PI's prerogative and are subject to organizational approval
- 90 Day Pre-Award Costs



# Proposal Review & Award Management

## Award Changes Requiring NSF Notification

Notification to NSF **is** required for but not limited to:

- Grantee Approved No-Cost Extension
- Short term absences of PI/Co-PIs (less than 90 days)

# Proposal Review & Award Management

## Award Changes Requiring NSF Prior Approval

Prior Approval **is** required for:

- Changes 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: 90 days or more
  - Reduction of PI level of effort of 25% or more time devoted to the project

# Proposal Review & Award Management

## Prior Approval Request Policies

### Exhibit II-1: **GRANTEE NOTIFICATIONS TO AND REQUESTS FOR APPROVAL FROM THE NATIONAL SCIENCE FOUNDATION\***

All notifications and requests for approval from the National Science Foundation must be submitted electronically via the NSF FastLane System at <http://www.fastlane.nsf.gov>. Questions related to the electronic processing of these notifications and requests should be forwarded to the FastLane Help Desk by phone at: 1-800-673-6188 or by e-mail to: [fastlane@nsf.gov](mailto:fastlane@nsf.gov).

#### Type of Grantee Notification

#### AAG Citation

Grantee Approved No-Cost Extension  
 Significant Changes in Methods/Procedures  
 Significant Changes/Delays or Events of Unusual Interest  
 Short-Term Absence of the PI/PD or co-PI/co-PD  
 Amount of Federal funds is expected to exceed the grant  
 by more than \$5,000 or 5%  
 Cost Share \$500K or more  
 Conflicts of Interest that cannot be satisfactorily managed,  
 reduced or eliminated

I.D.3c(i)  
 II.B.1b  
 II.B.1c  
 II.B.2c  
 II.C.2c  
  
 II.D.5  
 IV.A

#### Type of Grantee Request

#### AAG

#### RTC

#### GC-1

#### Direct questions to:

First NSF Approved No-Cost Extension	I.D.3c(ii)(a)	Article 25	Article 4	Program Office
Second NSF Approved No-Cost Extension	I.D.3c(ii)(b)	Article 25	Article 4	Grants Office
Request for Supplemental Support	I.E.4			Program Office**
Change in Objective or Scope	II.B.1a	Article 25	Article 8	Program Office**
Long-Term Absence of the PI/PD or co-PI/co-PD	II.B.2d	Article 25	Article 8	Program Office**
Change in Person-Months Devoted to Project	II.B.2e	Article 25	Article 8	Grants Office, if necessary
Withdrawal of PI/PD or co-PI/co-PD	II.B.2f	Article 25	Article 8	Program Office**
Substitute PI/PD or co-PI/co-PD	II.B.2g	Article 25	Article 8	Program Office**
PI/PD or co-PI/co-PD Transfer from One Organization to Another	II.B.2h	Article 25	Article 8	Grants Office
Contracting or Transferring the Project Effort (Subawards)	II.B.3	Article 25	Article 8	Grants Office
Pre-award Costs in Excess of 90 Days	V.A.2b	Article 25	Article 3	Grants Office
Reallocation of Funds Budgeted for Participant or Trainee Support Costs	V.B.8	Article 27	Article 2	Program Office
Rearrangements/Alterations in excess of \$25,000	V.C.1	Article 27	Article 11	Grants Office
Adjustments to cost sharing commitments reflected on Line M of the approved NSF budget	II.D	Article 23	Article 25	Grants Office

**Notes:** \*This listing of Notifications and Requests for Approval is not intended to be all-inclusive. \*\*Final action by Grants Officer, when warranted





## Notifications &amp; 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:** 12/31/2011  
**Division:** DIVISION OF INFORMATION SYSTEMS  
**Award Title:** Test for Demo  
**Awardee 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="#">AAG</a>
<input type="radio"/> Grantee Approved No Cost Extension	<a href="#">AAG</a>
<input type="radio"/> Cost Sharing Equal To or Greater Than \$500,000	<a href="#">AAG</a>
<input type="radio"/> Significant Changes/Delays or Events of Unusual Interest	<a href="#">AAG</a>
<input type="radio"/> Conflicts of Interests	<a href="#">AAG</a>
<input type="radio"/> Significant Changes in Methods/Procedures	<a href="#">AAG</a>
<input type="radio"/> Short-Term Absence of the PI/PD (Up to Three Months)	<a href="#">AAG</a>

GRANTEE REQUEST TYPES (Requires NSF Approval)	Topic Guidance
<input type="radio"/> Addition of SubAward	<a href="#">AAG</a>
<input type="radio"/> Withdrawal of PI/Co-PI	<a href="#">AAG</a>
<input type="radio"/> Long-Term Absence of the PI/PD (Over Three Months)	<a href="#">AAG</a>
<input type="radio"/> NSF Approved No-Cost Extension	<a href="#">AAG</a>
<input type="radio"/> PI Transfer	<a href="#">AAG</a>
<input type="radio"/> Pre-award Costs in Excess of 90 Days	<a href="#">AAG</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="#">AAG</a>
<input type="radio"/> Change of PI	<a href="#">AAG</a>
<input type="radio"/> Significant Change in Person-Months Devoted to Project	<a href="#">AAG</a>
<input type="radio"/> Changes in Objective or Scope	<a href="#">AAG</a>
<input type="radio"/> Reallocation of Funds Budgeted for Participant or Trainee Support Costs	<a href="#">AAG</a>

\*Topic Guidance is provided through the Award &amp; Administration Guide (AAG) reference.

Prepare

Cancel

# **Advanced Monitoring & Business Assistance Program (AMBAP)**

- Over 30 visits each year
- One week at site (or virtual)
- Grantees selected by Risk Assessment Algorithm
- Program insight is necessary for a successful site visit
- Cost Analyst and Grants Specialist work as a team to conduct the site visit

# AMBAP Visit Preparation

- Begin prep using Site Visit confirmation letter as a guide
- Pull samples and documentation of all award modules identified in the letter (e.g. Travel, Time & Effort, Forms, etc.)
- Be prepared. Organize documentation accordingly.

# **AMBAP Visit Preparation**

## Issues Identified in Past

- Lack of written Policies and Procedures
- “You didn’t specifically ask for that document.” – Awardee responsibility to demonstrate and document source material
- Time & effort reporting system and procedures not followed

# Pathways to Success!

- Focus on the objectives of the project/program
- Effective communication
- Approvals & requirements
- Good accounting practices
- Official records



# Resources

- [NSF Home Page](#)
- [The Proposal and Award Policies and Procedures Guide \(PAPPG\)](#)



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*"Ask Early, Ask Often!"*