



# NSF TECHNICAL ASSISTANCE WORKSHOP— UNDERSTANDING THE NSF PROCESSES

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# AGENDA

- Introduction
- What is the National Science Foundation?
- Proposal & Award Policies and Procedures Guide (PAPPG)
- Roles and Relationships
- Award Process
- New Awardee/Updated Performer Information
- Budget Information
- Participant Support Costs and Subaward Relationships
- Post Award Information (Requests, Approvals, Reporting)
- Pathways to Success
- Contact Information
- Q & A

# INTRODUCTIONS

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## WHAT IS THE NATIONAL SCIENCE FOUNDATION?

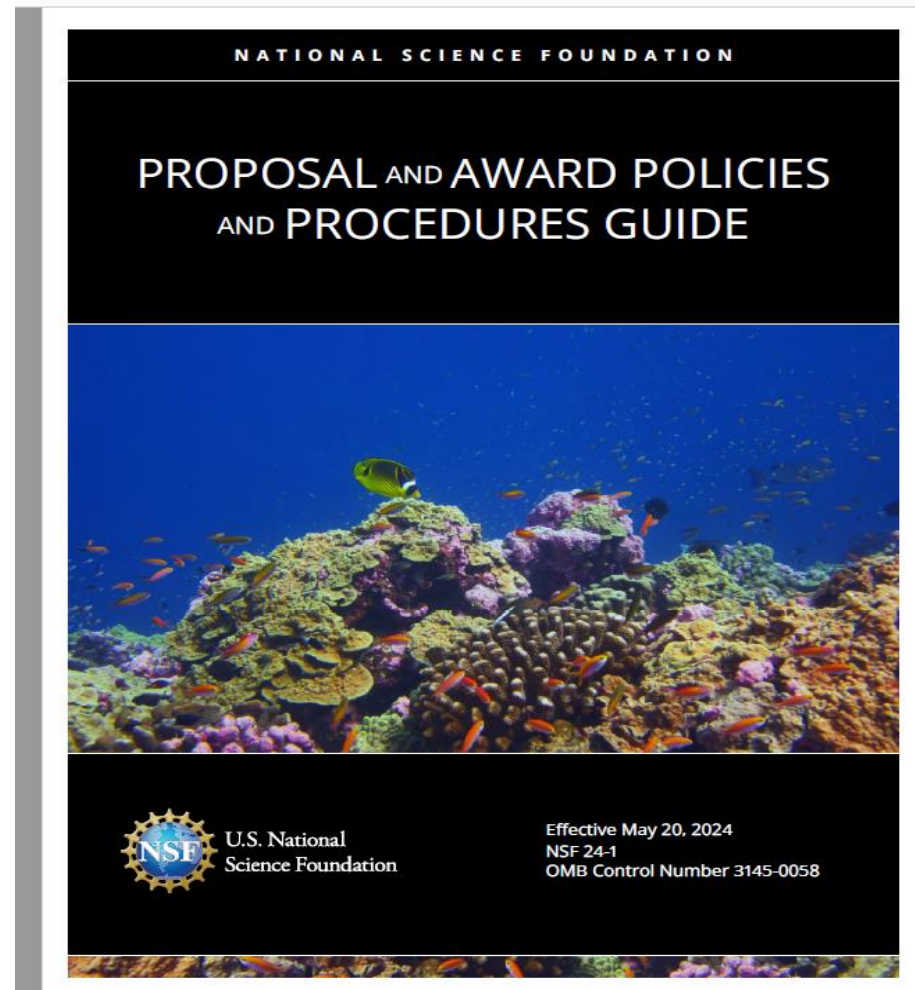
- The National Science Foundation (NSF) is an independent federal agency created by Congress in 1950 "to promote the progress of science; to advance the national health, prosperity, and welfare; to secure the national defense..." NSF is vital because we support basic research and people to create knowledge that transforms the future. This type of support:
- Is a primary driver of the U.S. economy
- Enhances the nation's security
- Advances knowledge to sustain global leadership
- With our annual budget, we are the funding source for approximately 27 percent of the total federal budget for basic research conducted at U.S. colleges and universities. In many fields such as mathematics, computer science and the social sciences, NSF is the major source of federal backing.

- 
- NSF is located at 2415 Eisenhower Avenue, Alexandria VA 22314
  - The NSF is organized into:
  - 2 Offices → 9 Divisions
  - 7 Directorates → 32 Divisions

The ***National Science Board*** oversees the NSF.

# PROPOSAL & AWARD POLICIES AND PROCEDURES GUIDE

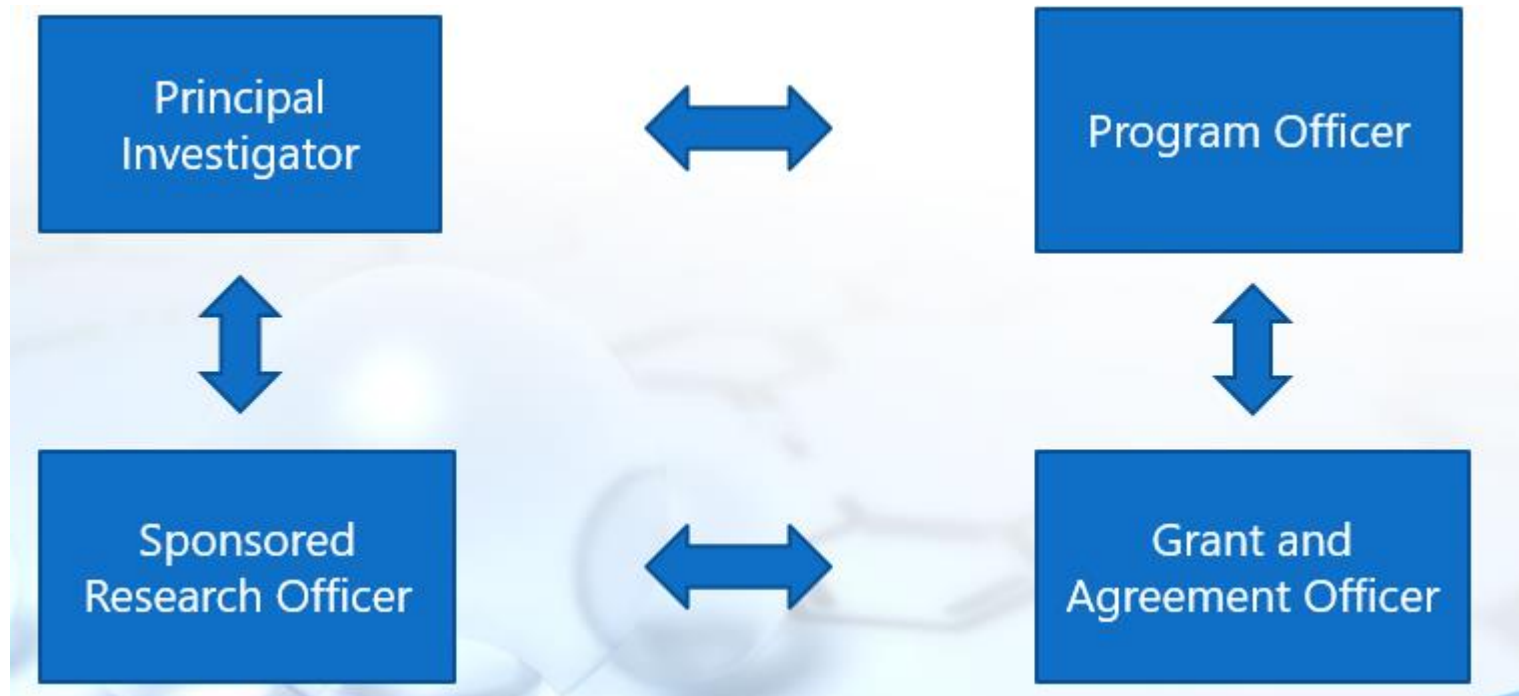
NSF 24-1



# WHAT IS YOUR ROLE?

- Principal Investigator (PI) – means the individual(s) designated by the proposer, and approved by NSF, who will be responsible for the scientific or technical direction of the project. NSF does not infer any distinction in scientific stature among multiple PIs, whether referred to as PI or Co-PI. If more than one, the first one listed will serve as the contact PI, with whom all communications between NSF program officials and the project relating to the scientific, technical, and budgetary aspects of the project should take place. The PI and any identified Co-PIs, however, will be jointly responsible for submission of the requisite project reports.
- Program Officer (PO) – The NSF program officer reviews the proposal and analyzes the input received from the external reviewers. After scientific, technical and programmatic review and consideration of appropriate factors, the program officer makes an "award" or "decline" recommendation to the division director. Final programmatic approval for a proposal is generally completed at NSF's division level.
- Grants Management Specialist/Grants Officer – A DGA officer reviews the recommendation from the program division/office for business, financial and policy implications, and the processing and issuance of a grant or cooperative agreement. DGA generally makes awards to academic institutions within 30 days after the program division/office makes its recommendation.
- Office of Sponsored Research (OSP)/ Sponsored Research Officer (SPO) - Full responsibility for the conduct of project activity and for adhering to the award conditions. Must ensure that the institution is in compliance to all applicable Federal requirements and to manage all expenditures and actions prudently. And also ensures that expenditures are allowable, allocable, and reasonable.

# WORKING RELATIONSHIPS

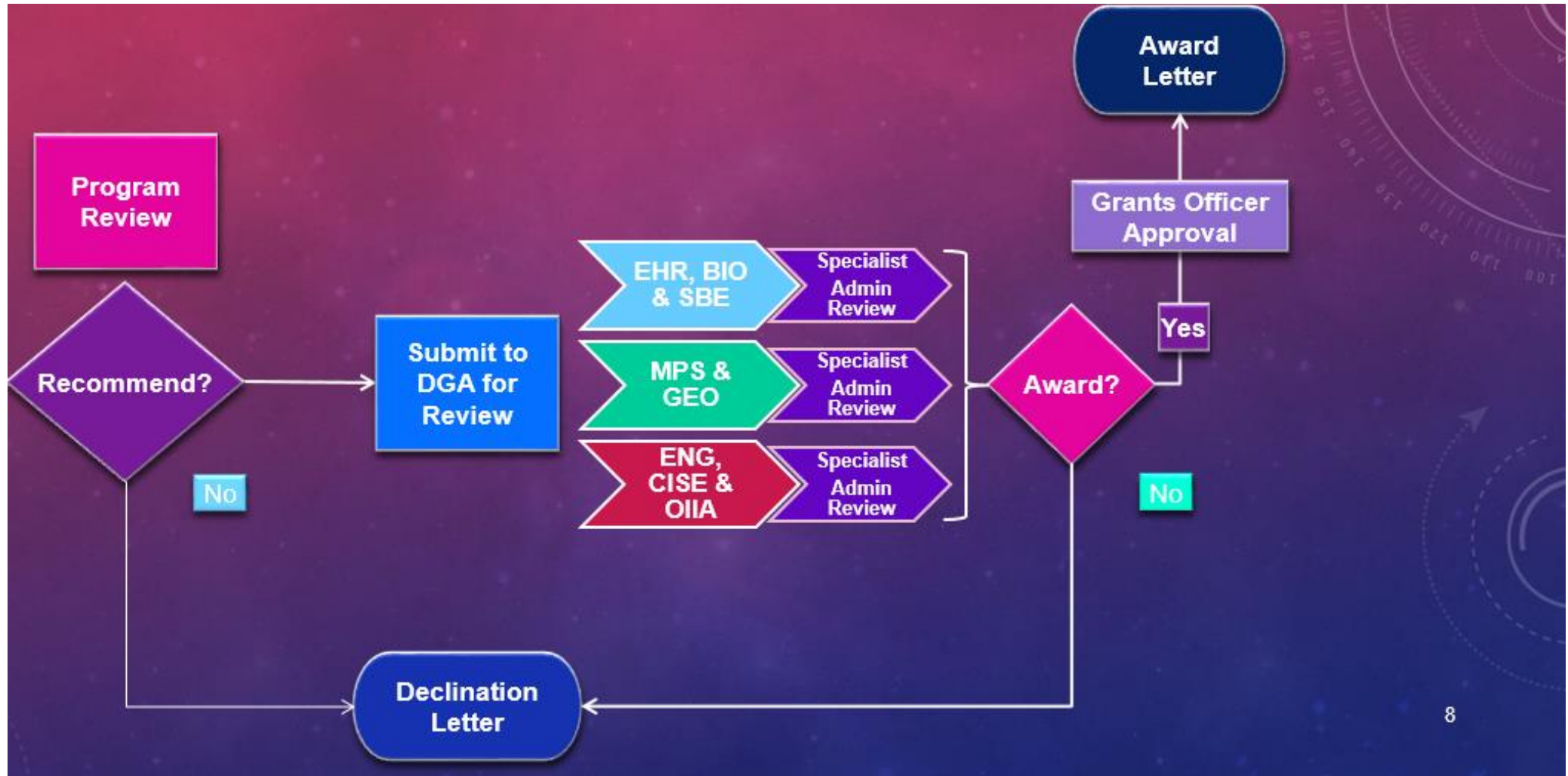




# DIVISION OF GRANTS AND AGREEMENTS (DGA)

- **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.**

# DGA'S ROLE IN THE AWARD PROCESS





# NOTIFICATION OF AWARD

- Award Letter by email
- Solicitation 24 – 536
- Research Terms and Conditions (RTCs), occasional special conditions, and other documents incorporated by reference

# NEW AWARDEE AND UPDATED PERFORMER INFORMATION

**New Awardee** – A new awardee is an institution (the award is made to the institution, not the PI) that has never received an NSF grant award.

Before an NSF award is made to a New Awardee institution, a review is completed by DGA (if awarded amount will be \$500K or under) or NSF's Cost Analysis and Pre-Award Branch (CAAP) (if awarded is over \$500K) to verify the accounting system capability and the institution's financial viability to be able to handle the federal funding.

**Updated Performer** – An institution that has received NSF awards, but hasn't had an award in 5 years (end date of last award).

# NEW AWARDEE/UPDATED PERFORMER PACKAGE

The New Awardee/Updated Performer Package will be requested in the form of an email and the required documents are to be returned within 15 days.

Examples of information requested are:

- Copy of the Project Cost Ledger
- Institutions policies and procedures on Participant Support, Allowability of Costs and Subawards
- Last 2 years of financial statements

Once your information is received, it can take up to **60 days** for the CAAP review to be completed.

# BUDGET

## Sections of an NSF Proposal

### Budget (Required)

- Each proposal must contain a budget for each year of support requested. The budget justification should be no more than five pages for all years of the project combined.
- Proposals containing subawards must include a separate budget justification of no more than five pages for each subaward.

SUMMARY PROPOSAL BUDGET		YEAR 1		FOR NSF USE ONLY	
ORGANIZATION NSF		PROPOSAL NO.		FUNDING SOURCE	
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR Terry Deane		AWARD NO.		PROGRAM / CENTER	
A. TENURE PERSONNEL, POST-DOCTORAL FACULTY and Other Tenure Associates (List each separately with title, A.T. where number in brackets)		CAL	ACAD	SUM	
1. Terry Deane - name		0.00	0.00	0.00	\$ 400,000.00
2.					
3.					
4.					
5.					
6. C. OTHERS LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE		0.00	0.00	0.00	0
7. C. TOTAL SENIOR PERSONNEL (7.A + 7.B)		0.00	0.00	0.00	400,000
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)					
1. C. POST-DOCTORAL SCHOLARS		0.00	0.00	0.00	0
2. C. OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMERS, ETC.)		0.00	0.00	0.00	0
3. C. GRADUATE STUDENTS					0
4. C. UNDERGRADUATE STUDENTS					0
5. C. SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)					0
6. C. OTHER					0
TOTAL SALARIES AND WAGES (A + B)					400,000
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)					0
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)					400,000
D. EQUIPMENT \$10K PER ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000					
TOTAL EQUIPMENT					0
E. TRAVEL 1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)					0
2. FOREIGN					0
F. PARTICIPANT SUPPORT COSTS					
1. STIPENDS		0			0
2. TRAVEL		0			0
3. SUBSISTENCE		0			0
4. OTHER		0			0
TOTAL NUMBER OF PARTICIPANTS (1 + 2)					0
TOTAL PARTICIPANT COSTS					0
G. OTHER DIRECT COSTS					
1. MATERIALS AND SUPPLIES					0
2. PUBLICATION COSTS/DOCUMENTATION/COMMUNICATION					0
3. CONSULTANT SERVICES					0
4. COMPUTER SERVICES					0
5. SUBAWARDS					0
6. OTHER					0
TOTAL OTHER DIRECT COSTS					0
TOTAL INDIRECT COSTS (A THROUGH G)					400,000
H. INDIRECT COSTS (IF AGENCY RATE AND BASE)					
(Rate - Base)					
TOTAL INDIRECT COSTS (H.A)					0
TOTAL DIRECT AND INDIRECT COSTS (H + I)					400,000
K. RESIDUAL FUNDS					0
L. AMOUNT OF THIS REQUEST (J OR (L) MINUS K)					400,000.00
M. COST SHARING PROPOSED LEVEL %					0
AGREED LEVEL % (IF DIFFERENT %)					0
PURD NAME					
DEPT. NAME					
Terry Deane					

## Budgetary Guidelines

**Information regarding budgetary guidelines can be found in the PAPPG as well as NSF program solicitations.**

Amounts should be:

- Realistic and reasonable
- Well-justified and should establish need
- Consistent with program guidelines

Eligible costs consist of:

- Personnel
- Equipment
- Travel
- Participant support
- Other direct costs (e.g., subawards, consultant services, computer services, and publications costs)



### **Budget Justification**

- Each budget line-item amount must be documented and justified; unallowed costs include entertainment, alcohol, recognition awards, prizes, and intramural meetings.

### **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 the most recent federally negotiated rate agreement.





# WHAT ARE PARTICIPANT SUPPORT COSTS (PSCS)?

The following definition is from the Uniform Guidance, 2 CFR 200.75 and included in the PAPPG :

Participant support costs are direct costs such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with NSF-sponsored conferences or training projects.

In accordance with the PAPPG, participant support costs must be specified, itemized and justified in the budget justification of the proposal; indirect cost recovery is not permitted.

# PARTICIPANT SUPPORT COST CATEGORIES DEFINED

F 1. Stipends – To help defray the costs of participating in a conference or training activity, funds may be proposed for payment of stipends, per diem or subsistence allowances, based on the type and duration of the activity. Such allowances must be reasonable, in conformance with the policy of the proposing organization and limited to the days of attendance at the conference plus the actual travel time required to reach the conference location.

F 2. Travel – Funds may be requested for the travel costs of participants.

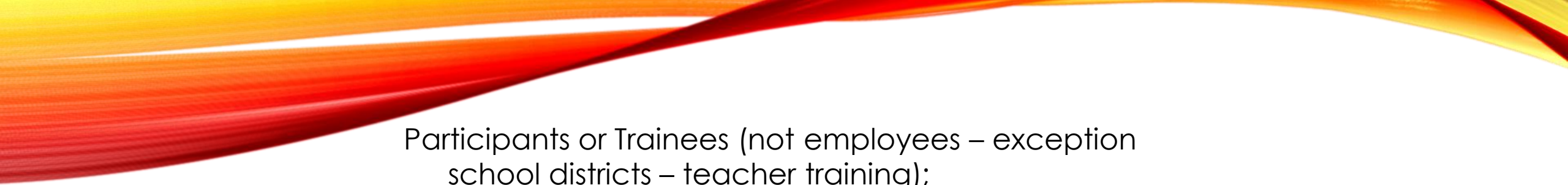
➤ **Field Trips:** When the purpose of the field trip is directly related to and necessary to meet the objectives of the training activity, costs of transportation for participants can be allowable.

F 3. Subsistence Allowance – Food and drink during activities

F 4. Other – Registrations fees, tuition, etc.

F. PARTICIPANT SUPPORT COSTS		
1. STIPENDS	\$ _____	0
2. TRAVEL	_____	16,400
3. SUBSISTENCE	_____	25,806
4. OTHER	_____	3,260
TOTAL NUMBER OF PARTICIPANTS		( 33 )

Place all related participant support costs in designated participant cost categories unless otherwise stated in solicitation.



Participants or Trainees (not employees – exception school districts – teacher training);

Funds *may not* be re-budgeted to other expense categories without prior written approval of the NSF program officer

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.

Institution must have written policies & procedures



# SUBAWARD MONITORING

## Prime Awardee's Responsibilities

The prime award recipient has the responsibility to ensure that sponsor funds, including those sub awarded to other organizations, are spent in accordance with all applicable laws and regulations.

This means regular monitoring of subrecipient's programmatic and financial activities.

# SUBAWARD 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
- Additional session can be scheduled (Selection process, pre award review, monitoring/managing, FFATA, etc.)

# RE-BUDGETING AUTHORITY

NSF allows the institutions total budget reallocation authority. However, you must adhere to your institution's policies and procedures.

You do NOT have to request permission from NSF to make budget changes unless:

- Funding needs to be moved OUT of the Participant Support Costs Category.

OR

- The change would result in a change of scope or objective.

\*If either situation were to arise, permission from the Program Officer is needed and the request can be made through [Research.gov](https://www.research.gov).

# RESEARCH.GOV REQUESTS

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:** 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	GRANTEE REQUEST TYPES (Requires NSF Approval)	Topic Guidance
<input type="radio"/> Anticipated Residual Funds in excess of \$5,000 or 5%	<a href="#">AAG</a>	<input type="radio"/> Addition of SubAward	<a href="#">AAG</a>
<input type="radio"/> Grantee Approved No Cost Extension	<a href="#">AAG</a>	<input type="radio"/> Withdrawal of PI/Co-PI	<a href="#">AAG</a>
<input type="radio"/> Cost Sharing Equal To or Greater Than \$500,000	<a href="#">AAG</a>	<input type="radio"/> Long-Term Absence of the PI/PD (Over Three Months)	<a href="#">AAG</a>
<input type="radio"/> Significant Changes/Delays or Events of Unusual Interest	<a href="#">AAG</a>	<input type="radio"/> NSF Approved No-Cost Extension	<a href="#">AAG</a>
<input type="radio"/> Conflicts of Interests	<a href="#">AAG</a>	<input type="radio"/> PI Transfer	<a href="#">AAG</a>
<input type="radio"/> Significant Changes in Methods/Procedures	<a href="#">AAG</a>	<input type="radio"/> Pre-award Costs in Excess of 90 Days	<a href="#">AAG</a>
<input type="radio"/> Short-Term Absence of the PI/PD (Up to Three Months)	<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 & Administration Guide (AAG) reference.

# 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



# 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)

# AWARD CHANGES REQUIRING NSF PRIOR APPROVAL

Prior Approval is required for:

- Sub awarding or Transferring out an NSF Award
- Changes in objective or scope
- Change in expiration date (no-cost extension)
- PI/Co-PI changes


# REPORTING REQUIREMENTS

## ANNUAL REPORTS

- Due 90 days prior to the end of the current budget period.
- Failure to submit annual report timely will prohibit any pending administrative request or proposal for approval.

## PROJECT OUTCOMES REPORT

- Due no later than 120 days following expiration of the grant.
- Geared to inform general public and outcomes of the project.
- Submitting this report is notifying NSF you have completed the grant.



1) Please submit your reports in Research.gov as soon as you can. You want to allow the Program Officer enough time to review.

2) An overdue report flag will prevent the processing of any new funded or non-funded actions for your institution.

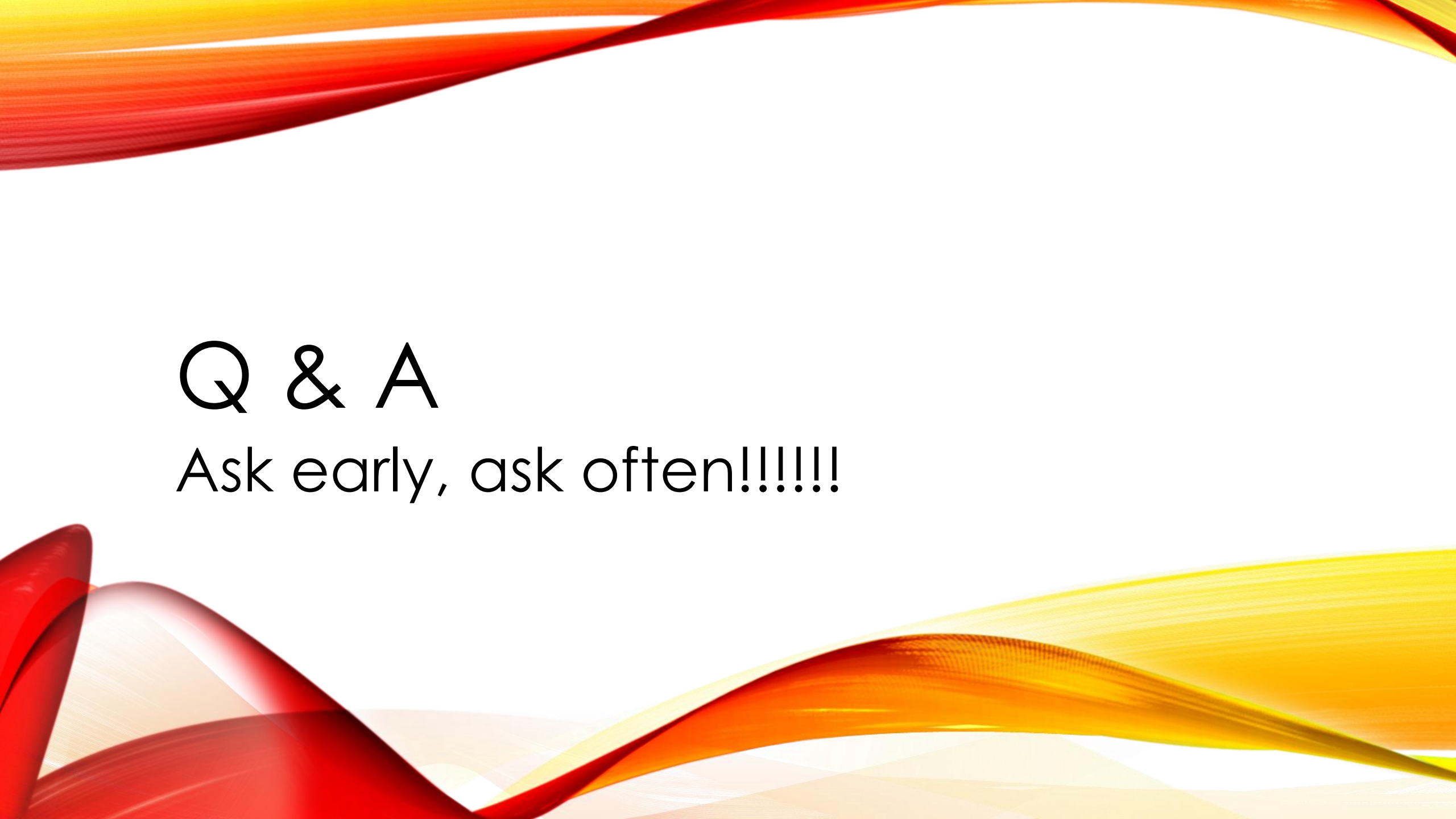
3) Do not submit the Project Outcomes Report if you intend to request any type of amendment action for the award (supplement, NCE, etc.). By submitting this report, it starts the award closure process, and no further action can be taken against this award.

# PATHWAYS TO SUCCESS!

- ✓ Focus on the objectives of the project
- ✓ Follow the PAPPG 24-1 and the solicitation for your award
- ✓ Adhere to the policies and procedures of your institution
- ✓ Official records to include sign-in sheets, invoices, and receipts in case of an audit or site visit
- ✓ Good accounting practices/spend your award funding!
- ✓ **4 C's (Copy, Converse, Collaborate, Care - The Golden Rule)**

## Contacts for More Information . . .

- Questions on **payments, ACM\$,** financial policies and reporting – NSF's Division of Financial Management: [www.nsf.gov/bfa/dfm/cmeab.jsp](http://www.nsf.gov/bfa/dfm/cmeab.jsp)
- Tips for assistance with **Research.gov:**
  - ✓ 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
- **Policy Office** (proposal & award policies): [www.nsf.gov/bfa/dias/policy](http://www.nsf.gov/bfa/dias/policy)
- **DGA** (grant-specific inquiries): [www.nsf.gov/bfa/dga](http://www.nsf.gov/bfa/dga)



Q & A

Ask early, ask often!!!!!!