

**ATE PI CONFERENCE**

**GRANT MANAGEMENT KEYS  
TO SUCCESS**

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**SPEAKER**



**Rashawn Farrior - EHR Team Leader**

**703.292.2187 - [lfarrior@nsf.gov](mailto:lfarrior@nsf.gov)**

# DGA YEAR IN REVIEW



- Completed over 22,000 actions.
- **Relatively small division**
  - Staff under 30
  - Each staff roughly completed on average 1,000 actions
  - Conduct award monitoring assistance program among many other tasks.
  - Conducts Advanced Monitoring Site Visit Review to grantees.

# GRANTEE RESPONSIBILITIES



- NSF's legal relationship is with the grantee institution.
- The grantee institution is responsible for proposals submitted to NSF.
- The grantee institution is also responsible for adhering to the terms and conditions of an NSF award.
- This includes establishing appropriate policies and procedures, oversight, internal controls, and training to ensure that award expenditures are allowable, allocable, reasonable, and necessary.
- This also includes complying with all relevant federal regulations and national policy requirements.

# PI RESPONSIBILITIES



- **Responsible for the scientific or technical direction of the project.**
- **Serves as the first line of communication to the NSF Program Officer and the project relating to the scientific, technical and budgetary aspects of the project.**
- **Responsible for all timely reports required by NSF.**

# NEW PERFORMERS



- **New Performer:** Any grantee organization that has never received any funding from NSF.
- **Updated Performer:** Any grantee that has not had an active NSF award within the last five years.
- **Process of New Awardee Package**
  - Program Officer Roles
  - Grants Officer Roles
  - Grantee Institution Roles

# MY BUDGET REVIEW



- **Verify all PIs and CO-PIs**
- **Checks calendar months or summer months added**
- **Salary and fringe benefits**
- **Equipment**
- **Travel**
- **Participant support costs**
- **Sub-awards**
- **Other Direct Costs**
- **Indirect Costs(Base and applicable rate applied)**

# **PARTICIPANT SUPPORT COSTS**



- **Must have policies and procedures**
- **Separate account codes**
- **Cannot be employees of the grantee organization**
- **Generally excluded from indirect cost**
- **Re-budgeting restrictions.**



# SUB-AWARD ISSUES



- No budget attached
- Incorrect or no indirect rate applied
- Not excluding in excess of the first 25K for each sub-award per the college's rate agreement under modified total direct cost base application.
- Lack of policies and procedures.

# INDIRECT COSTS



- **Use your federally negotiated rate**
- **Show base and provide indirect cost calculation**
- **Explain any exclusions from your base**
- **Use 10 % modified total direct cost if grantee does not have a federally negotiated rate.**

# FREQUENT ERRORS ON BUDGETS



- No participant support count listed
- Participant support not being excluded from indirect cost base
- Subaward not being excluded from indirect cost base
- Indirect cost rate not used correctly.
- Little to no budget justification for budget line items.

# KEYS TO SUCCESS



- **Effective Communication**
- **Know requirements (award letter, award terms and conditions indirect cost rate agreement, Uniform Guidance)**
- **Good accounting practices – accumulation & segregation of costs**

# ALWAYS REMEMBER



- **Focus on the solicitation budgetary guidelines**
- **Review budget with Sponsored Research Office prior to submission to NSF**
- **Document approvals and conversations between the awardee and NSF program and grant officials.**



**ASK EARLY, ASK OFTEN!**

# RESOURCES

Links to the  
Award &  
Administration  
Guide( AAG)

[nsf.gov/awards/managing/](https://www.nsf.gov/awards/managing/)

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

The screenshot shows the NSF website's Awards section. At the top, the NSF logo and tagline "National Science Foundation WHERE DISCOVERIES BEGIN" are visible. A search bar is in the top right. A navigation bar includes links for HOME, Research Areas, Funding, Awards, Document Library, News, and About NSF. The main content area is titled "Awards" and includes a sidebar with links to "About Awards", "Award Statistics (Budget Internet Info System)", "Award Conditions", "Managing Awards", "Policies and Procedures", "Presidential and Honorary Awards", "Search Awards", "Related Links", "Research.gov", "FastLane", and "NSF Public Access Repository (NSF-PAR)". The main article is titled "How to Manage Your Award" and contains several paragraphs of text. An arrow from the callout box points to the "Managing Awards" link in the sidebar. Another arrow from the callout box points to the first paragraph of the article.

NSF National Science Foundation  
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## How to Manage Your Award

The *Award and Administration Guide*(AAG) (Part II of the *NSF Proposal & Award Policies & Procedures Guide*) sets forth NSF policies regarding the award and administration of grants and cooperative agreements and implements Office of Management and Budget (OMB) Circular A-110, *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations* (2 CFR Part 215), and 45 CFR Part 602 (the Common Rule implementing OMB Circular A-102), *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*. The AAG is applicable to NSF grants and cooperative agreements, unless noted otherwise in the award instrument. This Guide does not apply to NSF contracts.

The [Grant General Conditions](#), [Research Terms and Conditions](#), [Cooperative Agreement Conditions](#) and [Special Conditions](#) pages provide the full text of the terms and conditions used to manage NSF grants and cooperative agreements. Topics covered include awardee responsibilities, Federal requirements, pre-award costs, no-cost extensions, significant project changes, travel, allowable costs, project reports, final report requirements, and more.

The [Policy Office](#), in the [Division of Institution and Award Support](#), provides general proposal & award policy guidance for use by the NSF proposer and awardee community. The Policy Office page includes NSF-specific regulations, policies and procedures, other Federal regulations, information regarding important NSF policies, answers to frequently asked questions, award conditions, as well as other valuable information.

The NSF conducts outreach on proposal preparation and award administration, through [Regional Grant Conferences](#), other targeted outreach programs, as well as [FastLane](#) outreach activities.

The [Division of Grants and Agreements \(DGA\)](#) is responsible for the award of all NSF grants and agreements recommended for support by NSF program offices, with the exception of the Foundation's portfolio of large facility cooperative agreements. From pre-award through closeout, DGA conducts a variety of business, financial, and administrative reviews to ensure compliance with award terms and conditions, NSF policies and procedures, and Federal rules and regulations. Pre- and post-award reviews of awardee organizations are conducted in coordination with DGA and by the [Division of Institution and Award Support](#) through its [Cost Analysis and Audit Resolution Branch](#). The [Cooperative Support Branch](#) under the [Division of Acquisition and Cooperative Support](#) is responsible for negotiation, award, administration, monitoring and oversight of complex cooperative agreements for Federal Funded Research Centers (FFRDCs), major research facilities, and other large facilities in various stages of the facility lifecycle. The [Cash Management Branch](#) of the [Division of Financial Management](#) manages the awardee payment processes. Quick links to the NSF offices that support Award Management functions, Foundation news impacting awardees, and related information and answers to Frequently Asked Questions (FAQs) are also provided on the [DGA site](#) to assist awardees with managing their awards.

NSF is a participant in the [Federal Demonstration Partnership \(FDP\)](#). The FDP is a cooperative initiative among federal agencies and institutional recipients of federal funds. It was established to increase research productivity by streamlining the administrative process and minimizing the administrative burden on principal investigators while maintaining effective stewardship of federal funds. NSF serves as the official host of participating agency documents relating to the FDP.