



# POST AWARD MANAGEMENT

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# AGENDA

- Prior Approvals
- Re-Budgeting Authority
- No Cost Extensions
- Reporting Requirements
- Site Visit Information
- Pathways to Success
- Resources
- Q & A

No-Cost Extension			
Grantee-Approved No-Cost Extension	Notification	PAPPG (VI.D.3.c(i))	Research.gov
First NSF-Approved No-Cost Extension	Request	PAPPG (VI.D.3.c(ii)(a))	Research.gov
Second NSF-Approved No-Cost Extension	Request	PAPPG (VI.D.3.c(ii)(b))	Research.gov
Changes in Objectives, Scope, or Methodology or other Significant Changes			
Changes in Objectives or Scope	Request	PAPPG (VII.B.1.a)	Research.gov
Significant Changes/Delays or Events of Unusual Interest	Notification	PAPPG (VII.B.1.c)	Research.gov
Significant Changes in Methods/Procedures	Notification	PAPPG (VII.B.1.b)	Research.gov

Type	Notification or Request	Policy Reference	Location
<b>Budget Activities</b>			
Additional categories of participant support costs other than those described in 2 CFR § 200.75 (such as incentives, gifts, souvenirs, t-shirts and/or memorabilia)	Request	PAPPG (II.C.2.g(v))	Research.gov
Change in Person-Months Devoted to Project	Request	PAPPG (VII.B.2.b)	Research.gov
Pre-award Costs in Excess of 90 days	Request	PAPPG (X.A.2.b)	Research.gov
Reallocation of Funds Provided for Participant Support Costs	Request	PAPPG (II.C.2.g(v))	Research.gov
Rearrangement/Reconversion costs in excess of \$25,000	Request	PAPPG (X.C.1)	Research.gov
Salaries of Administrative or Clerical Staff	Request	PAPPG (II.C.2.g(l)(b))	Research.gov
Travel Costs for Dependents	Request	PAPPG (II.C.2.g(iv)(a))	Research.gov

Long-Term Disengagement of the PI/Project Director (PD) or co-PI/co-PD	Request	PAPPG (VII.B.2.a)	Research.gov
PI/PD or co-PI/co-PD Transfer from one organization to another	Request	PAPPG (VII.B.2.f)	FastLane
Substitute (Change) PI/PD or co-PI/co-PD	Request	PAPPG (VII.B.2.e)	FastLane
Withdrawal of PI/PD or co-PI/co-PD	Request	PAPPG (VII.B.2.d)	Research.gov

### Other

Annual and Final Cost Share Notification by Recipient	Notification	PAPPG (VII.D.5)	FastLane
Conflicts of Interest that cannot be satisfactorily managed, reduced or eliminated and research that proceeds without the imposition of conditions or restrictions when a conflict of interest exists	Notification	PAPPG (IX.A)	Research.gov
Subawarding, Transferring or Contracting Out Part of an NSF Award	Request	PAPPG (II.C.2.g(vi)(e)) PAPPG (VII.B.3)	FastLane

# 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 Fastlane.

# NO COST EXTENSION (NCE)

**Grantee-Approved Extension may not be used due to unspent grant funds.**

**These extensions must be submitted 10 days prior to the end of the date of the grant. Reviewed by Program Officer and no Amendment is issued.**



**NSF-Approved No Cost Extension must be submitted 45 days prior to the end date of the grant.**

**Recommended by Program Officer and amendment is issued by NSF Grants Officer.**

# 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.



# FINAL & PROJECT OUTCOMES REPORTS

- **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.**

Do not submit these reports if you intend to request a NCE. Submission of these reports state that the project is done and the system will initiate the financial and administrative closing of the award.

# ADVANCED MONITORING SITE VISIT (NOT THE AGEF PROGRAM SITE VISIT)

Site visits are one of several monitoring tools used by the Office of Budget, Finance and Award Management (BFA) Division to provide oversight of NSF's research award portfolio.

The Division of Institute and Award Support (DIAS) uses a risk assessment algorithm to develop the list of institutions that will receive an Advanced Monitoring Site Visit for that year. 30 visits are done each year either in person or virtually, by a Cost Analyst from DIAS and a Grants Management Specialist from DGA.

This is a business assistance visit and not an audit. We review your time and effort systems, accounting systems and also review your policies and procedures to make sure that you are in compliance with Federal guidelines and regulations.

Being prepared prior to the site visit always helps things run smoother.



# Other Resources

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

Links to the  
Award &  
Administration  
Guide( AAG)

Find Award  
Conditions

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

National Science Foundation  
WHERE DISCOVERIES BEGIN

Research Areas Funding Awards Document Library News About NSF

Awards

- 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
- NSF Public Access Repository (NSF-PAR)

## 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.

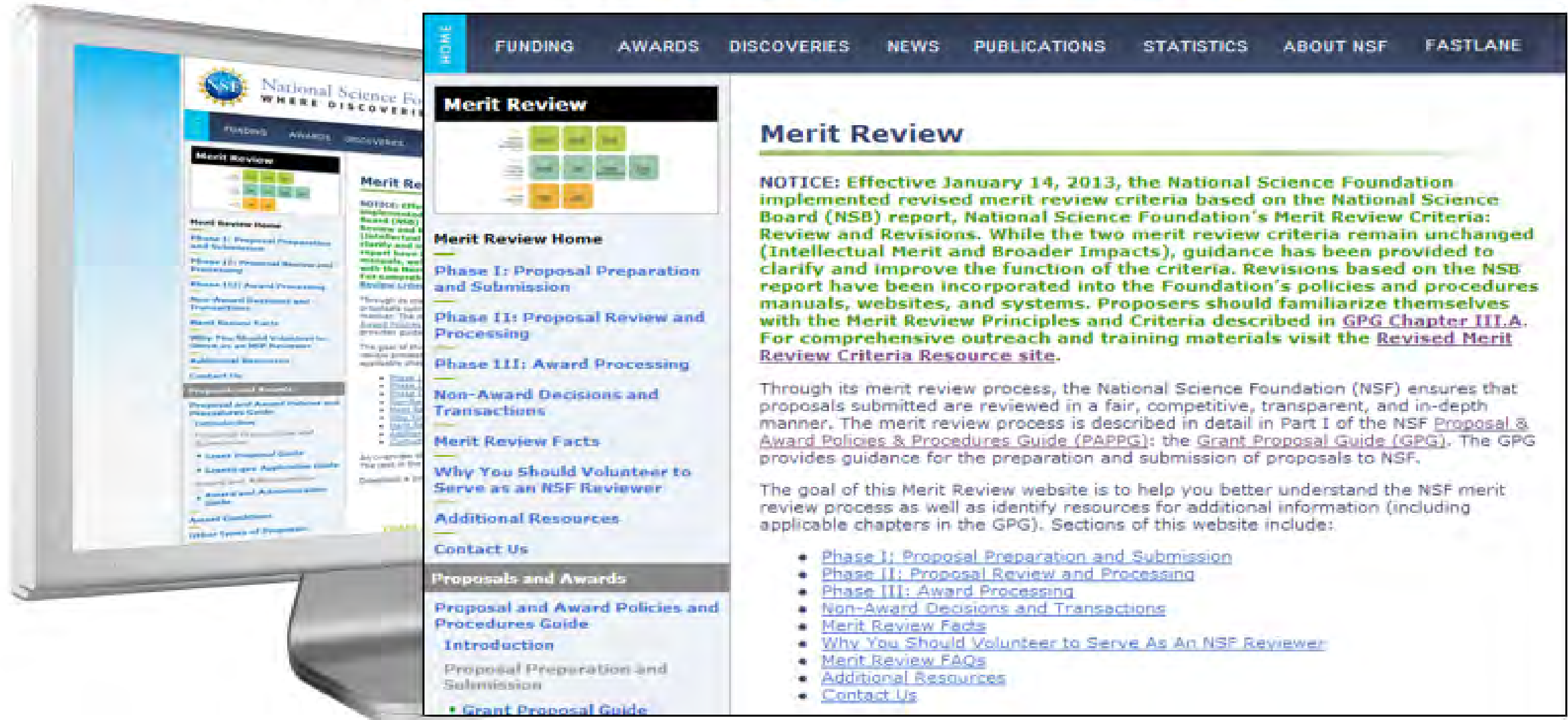
The NSF conducts outreach on proposal preparation and award administration, through Regional Grant Conferences, other targeted outreach programs, as well as FastLane outreach activities.

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.

# For More Information

Go to NSF's Home Page (<http://www.nsf.gov>)



The image shows a computer monitor on the left displaying the NSF website's 'Merit Review' page. To the right is a larger, detailed view of the same page. The website has a dark blue header with navigation links: HOME, FUNDING, AWARDS, DISCOVERIES, NEWS, PUBLICATIONS, STATISTICS, ABOUT NSF, and FASTLANE. The main content area is white with a blue sidebar on the left. The sidebar contains the NSF logo and the text 'National Science Foundation WHERE DISCOVERY HAPPENS'. Below the logo are navigation links for FUNDING, AWARDS, and DISCOVERIES. The main content area features a 'Merit Review' section with a grid of colored boxes (green, orange, blue) representing different stages or resources. Below this grid is a 'Merit Review Home' section with a list of links: Phase I: Proposal Preparation and Submission, Phase II: Proposal Review and Processing, Phase III: Award Processing, Non-Award Decisions and Transactions, Merit Review Facts, Why You Should Volunteer to Serve as an NSF Reviewer, Additional Resources, and Contact Us. At the bottom of the sidebar, there are links for 'Proposals and Awards', 'Proposal and Award Policies and Procedures Guide', 'Introduction', 'Proposal Preparation and Submission', and 'Grant Proposal Guide'.

**Merit Review**

**Merit Review Home**

- Phase I: Proposal Preparation and Submission
- Phase II: Proposal Review and Processing
- Phase III: Award Processing
- Non-Award Decisions and Transactions
- Merit Review Facts
- Why You Should Volunteer to Serve as an NSF Reviewer
- Additional Resources
- Contact Us

**Proposals and Awards**

- Proposal and Award Policies and Procedures Guide
- Introduction
- Proposal Preparation and Submission
- Grant Proposal Guide

**Merit Review**

**NOTICE:** Effective January 14, 2013, the National Science Foundation implemented revised merit review criteria based on the National Science Board (NSB) report, National Science Foundation's Merit Review Criteria: Review and Revisions. While the two merit review criteria remain unchanged (Intellectual Merit and Broader Impacts), guidance has been provided to clarify and improve the function of the criteria. Revisions based on the NSB report have been incorporated into the Foundation's policies and procedures manuals, websites, and systems. Proposers should familiarize themselves with the Merit Review Principles and Criteria described in [GPG Chapter III.A](#). For comprehensive outreach and training materials visit the [Revised Merit Review Criteria Resource site](#).

Through its merit review process, the National Science Foundation (NSF) ensures that proposals submitted are reviewed in a fair, competitive, transparent, and in-depth manner. The merit review process is described in detail in Part I of the NSF [Proposal & Award Policies & Procedures Guide \(PAPPG\)](#); the [Grant Proposal Guide \(GPG\)](#). The GPG provides guidance for the preparation and submission of proposals to NSF.

The goal of this Merit Review website is to help you better understand the NSF merit review process as well as identify resources for additional information (including applicable chapters in the GPG). Sections of this website include:

- [Phase I: Proposal Preparation and Submission](#)
- [Phase II: Proposal Review and Processing](#)
- [Phase III: Award Processing](#)
- [Non-Award Decisions and Transactions](#)
- [Merit Review Facts](#)
- [Why You Should Volunteer to Serve As An NSF Reviewer](#)
- [Merit Review FAQs](#)
- [Additional Resources](#)
- [Contact Us](#)



# PATHWAYS TO SUCCESS!

- Policies and Procedures;
- Effective communication between everyone involved;
- Official records;
- Good accounting practices;
- SPEND YOUR MONEY!!!!!!

The background features several flowing, wavy bands of color. At the top, a thick band of red and orange flows from left to right. At the bottom, there are more complex, layered waves in shades of red, orange, and yellow, creating a sense of movement and depth. The central text is set against a plain white background.

ASK EARLY, ASK OFTEN!



# CONTACT INFORMATION

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