



Research Administrators Council Carnegie Mellon University

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Travel Award Recipient
November 28, 2006**

NSF ppt file:

<http://www.nsf.gov/bfa/dias/policy/outreach.jsp#present>

NSF

Update

October 2006



National Science Foundation

Main Topics

- **NSF – In a Nutshell**
- **FY 07 Budget Update**
 - American Competitiveness Initiative
- **Challenges & Opportunities**
- **Current Proposal, Award and Funding Trends**
- **NSF Proposal/Award Policy & Procedural Update**
- **Electronic Initiatives Update**



Proposal & Award Policy & Procedural Update



National Science Foundation

Coverage

- **Consolidation of the Grant Proposal Guide (GPG) and the Grant Policy Manual (GPM)**
- **Recent Legislative Changes in the Consultant Rate of Pay Limitations**
- **Project Reporting Tracking System**
- **Please Remember.....**



Consolidation of NSF Policy Documents

- **The Grant Proposal Guide (GPG) and Grant Policy Manual (GPM) are being combined and consolidated**
- **The NSF Proposal & Award Policies & Procedures Guide will also eventually include the NSF Grants.gov Application Guide**



Reasons for Changing to New Policy Framework

- Improve both awareness and knowledge of the complete set of NSF policies and procedural documents;
- Increase ease of access to the policies and procedures that govern the entire grant lifecycle;
- Eliminate duplicative coverage between the GPG and GPM;
- Increase the transparency of our proposal and award process; and
- Allow NSF to better manage amendments between the documents due to administrative changes.



National Science Foundation (NSF) Proposal & Award Policies and Procedures Guide

- **Part I: Proposal Preparation and Submission Guidelines**
 - A. Grant Proposal Guide (GPG)
 - B. Grants.gov Application Guide (to be incorporated into the NSF Proposal & Award Policies and Procedures Guide at a later date)



National Science Foundation (NSF) Proposal & Award Policies and Procedures Guide

- **Part II: Award & Administration Guidelines**
 - Award and Administration Guide (formerly the GPM)
- The document can be viewed or printed in its entirety or as separate files.



Consultant Rate of Pay Update

- **Appropriation Act applicable to NSF for Fiscal Year 2006 no longer specify a limitation on the amount of compensation that may be paid to a consultant under an NSF award**
 - Previously was limited to the daily equivalent of the then current maximum rate paid to an Executive Schedule Level IV Federal employee (exclusive of indirect cost, travel, per diem, clerical services, fringe benefits and supplies.)
- **Payments should be comparable to normal and customary fees charged by the consultant for comparable services**



Consultant Rate of Pay Update (Cont'd)

- **NSF Terms and Conditions (Grant General Conditions (GC-1) and Cooperative Agreement Financial and Administrative Terms and Conditions (CA FATC) have been revised to implement this change:**
 - All new grants, cooperative agreements and funding amendments to existing awards subject to the new terms and conditions dated 03/15/06
 - Parallel change will be made to Federal Demonstration Partnership Operating Procedures (Appendix B, National Policy Requirements)



Consultant Rate of Pay Update (Cont'd)

- Funds awarded prior to incorporation of the revised conditions will still be subject to the consultant rate of pay limitation until all of those funds are expended
- NSF will not amend awards to provide additional funds for increases in consultant rate of pay
- Awardees are authorized to transfer funds among budget categories to cover allowable expenditures. Prior NSF approval is not required for such actions
- Frequently Asked Questions and a list of prior archived rates are available on the Policy Office website at:
<http://www.nsf.gov/bfa/dias/policy>



Please Remember.... (Cont'd)

- **PI Transfers**

- The award is made to the university; institution has the discretion of appointing a substitute PI.
- If willing to transfer the award to another university be sure to reconcile final expenditures and accurately determine what funds are to be transferred; NSF cannot intervene or redo a transfer after it is made.
- Consider making a subaward rather than transferring the whole award.



Please Remember.... (Cont'd)

- **Notifications and Requests -- be familiar with what needs prior approval so that timely requests and notifications can be made**
 - GPM Exhibit III-1 has summary listing



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: 10/01/2005
Division: DIVISION OF HUMAN RESOURCE DEVELOPMENT
Award Title: Test for Demo
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%	GPM
<input type="radio"/> Grantee Approved No Cost Extension	GPG
<input type="radio"/> Cost Sharing Equal To or Greater Than \$500,000	GPM
<input type="radio"/> Significant Changes/Delays or Events of Unusual Interest	GPM
<input type="radio"/> Conflicts of Interests	GPM
<input type="radio"/> Significant Changes in Methods/Procedures	GPM
<input type="radio"/> Short-Term Absence of the PI/PD (Up to Three Months)	GPM

GRANTEE REQUEST TYPES (Requires NSF Approval)	Topic Guidance
<input type="radio"/> Addition of SubAward	GPM
<input type="radio"/> Withdrawal of PI/Co-PI	GPM
<input type="radio"/> Long-Term Absence of the PI/PD (Over Three Months)	GPM
<input type="radio"/> NSF Approved No-Cost Extension	GPG
<input type="radio"/> PI Transfer	GPM
<input type="radio"/> Pre-award Costs in Excess of 90 Days	GPM
<input type="radio"/> Rearrangement/Alteration \$25,000 or over (Follow these links for more information on Non-FDP Organizations or FDP Organizations . They will open a PDF file in new window.)	GPM
<input type="radio"/> Change of PI	GPM
<input type="radio"/> Significant Change in Person-Months Devoted to Project	GPM
<input type="radio"/> Changes in Objective or Scope	GPM
<input type="radio"/> Reallocation of Funds Budgeted for Participant or Trainee Support Costs	GPM

*Topic Guidance is provided through Grant Proposal Guide (GPG) and Grant Proposal Manual (GPM) references.

Prepare

Cancel

Please Remember.... (Cont'd)

- **Cost Sharing.....**

- Although NSF cost sharing policy may have changed for new solicitations, cost share requirements incorporated into existing awards must still be met.
- If there is more than \$500K total cost share required over the life of an existing award, then the AOR must submit an annual cost share certification on FastLane at the same time the Annual Report is provided by the PI.



Coverage

- **Project Report Tracking**
- **Grants.gov**
- **Grants Management Line of Business (GMLoB)**



Project Report Tracking & Edits

- **Annual Project Reports**

- Due 90 days prior to expiration date
- Required for ALL standard grants, continuing grants and cooperative agreements
- **For Continuing Grants:** Increments are not released until annual report has been reviewed and approved
- **For Standard Grants:** Final report cannot be submitted if annual report has not been submitted

- **Final Project Reports**

- Due within 90 days after expiration of award
- Required for standard grants, continuing grants and cooperative agreements



Project Report Tracking & Edits (Cont'd)

- **Projects Report Tracking & System Edits**
 - Provides set reporting reports – annual and final divisible by 12 months
 - Tracking System includes: periods, status, and due/overdue dates
 - External & Internal Communities Ability to Track Electronically
 - Notification reminders automatically sent to PIs and SPOs



FastLane – View Awards by Report Requirements or Creation Eligibility (new screen)

FastLane PI/Co-PI Management Proposal Functions | HOME

NSF Home | News | Site Map | GPG | CPM | Send Comments | FastLane Help Logout

Project Reports | MAIN

Organization: SUNY at

What is the difference between an Annual, Final, and Interim Project Report?

Annual/Final Project Reports Interim Project Reports GPRA Facility Reporting

Search for Awards with Annual/Final Project Report requirements by the following:

Award Number: Award Expiration Date: Search

Awards with Annual/Final Project Report Requirements:

View Project Report requirements for an award, click the "Award Number" (e.g.: 0075773) link below. Sort results by clicking column titles.

Principal Investigator's Name: Alphaman, Alan

11 records found, displaying 11 to 13. [[Previous 10](#)] 1, 2

Award Number	Award Type	Award Title	Award Date	Award Expiration Date
0075773	Continuing Grant	Effects of Global Warming on Bird Migrations	12/01/2004	11/30/2005
0075774	Cooperative Agreement	Splitting the Atom (Cancelled)	11/30/2004	10/31/2005
0075775	Standard	Weather Trends for the Last Decade	12/01/2005	11/30/2005

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4201 Wilson Boulevard, Arlington, Virginia 22230, USA
Tel: 703-292-5111, FIRS: 800-877-8339 | TDD: 703-292-5090

Privacy and Security

Search capability by Award Number and Award Expiration Date.

Definitions provided to the user so the right Report is created.

Awards are now divided into tabs for APR/FPR and GPRA report requirements as well as for IPR creation eligibility.

PI locates and selects the Award from the list to create Project Report by clicking on the Award number text link.

Award and Award Expiration Dates shown to user.

FastLane – View Selected Award’s Project Report Requirements (new screen)

FastLane PI/Co-PI Management Proposal Functions | HOME

NSF Home | News | Site Map | GPG | GPM | Send Comments | FastLane Help Logout

Project Reports | MAIN

[Annual/Final Project Reports](#) | [Interim Reports](#) | [PRA Facility Reports](#)

Award Number: 0075775
Award Title: Weather Trends for the L...
PI Name: Alan Alphaman

Annual/Final Project Report Requirements: [What do "NSF Report Status" and "My Submission Status" mean?](#)

To view a PDF of an approved Project Report, or to Create/Edit a Project Report for this award, click a link in the "Action" column below.
 Sort results by clicking column titles.

Report Requirement	Report Period Start Date	Report Period End Date	Months in Reporting Period	Report Due Date	Report Overdue Date	Report Submission Date	NSF Report Status	My Submission Status	Action
1st (Annual)	12/01/05	11/30/06	12	8/30/06	11/30/06	Not Applicable	Due	Not Submitted	Create/Edit
2nd (Annual)	12/01/06	11/30/07	12	8/30/07	11/30/07	Not Applicable	Not Applicable	Not Submitted	Create/Edit
3rd (Annual)	12/01/07	11/30/08	12	8/30/08	11/30/08	Not Applicable	Not Applicable	Not Submitted	Create/Edit
4th (Final)	12/01/08	11/30/09	12	11/30/09	2/28/10	Not Applicable	Not Applicable	Not Submitted	Create/Edit

[View Previously Submitted Project Reports](#) for this Award

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[Privacy and Security](#)

Award period is divided into reporting periods with a start and end date.

PI is clearly informed when each Report is due for submission and when it is overdue for submission.

PI can track the status of their Report with NSF Report and My Submission Statuses. Definitions of these statuses can be accessed by the link above.

PI views Project Report requirements for reporting periods generated by Awards System for selected Award.

PI clicks on the "Create/Edit" link to access the Project Reports System Control Screen.

Archive of previous Reports submitted prior to incorporation of new functionality can now be accessed from this screen by clicking link.

PI can only create the first Report for a given period and can only create the next Report upon approval of the first.

What is Grants.gov?

- A single source for finding grant opportunities
- A standardized manner of locating and learning more about funding opportunities
- A single, secure and reliable source for applying for Federal grants online
- A simplified grant application process with reduction of paperwork
- A unified interface for all agencies to announce their grant opportunities, and for all grant applicants to find and apply for those opportunities



Grants.gov Brief History

- **President's Management Agenda**

- Applicants for federal grants apply for and manage grant funds through a common site, to simplify grant management and eliminate redundancy.



Grants.gov Current Status and Next Steps

- **All 26 grant-making agencies are required to post all discretionary grant programs in the Grants.gov Find**
- **OMB has directed agencies to post in Grants.gov Apply:**
 - 75% of their funding opportunities in FY 2006;
 - 100% of their funding opportunities in FY 2007.



NSF Grants.gov Lessons Learned in 06

- **NSF has received just over 559 application submissions through Grants.gov since June 2005.**
- **This count includes applications submitted to:**
 - Four programs requiring submission through Grants.gov; and
 - 171 programs to date where submission through Grants.gov was optional.
- **When submission through Grants.gov was an option, 1% of the applicants chose to submit through Grants.gov.**



NSF Grants.gov Lessons Learned in 06

- **Of the 559 submissions, 301 applications were successfully inserted into FastLane (54% success rate).**
- **The 258 applications or 46 percent of applications that were not successful required the applicant to correct problems and resubmit.**



Major Problems Encountered

- Applicants submitting applications with attachments that are not in PDF.
- The PI or Co-PI typed their name differently in various portions of the application and the software could not tell if this was the same or another individual.
- Problems with registration



Major Problems Encountered

Cont'd

- Mac and UNIX issues
- Applicants had varying success in submitting proposals, some taking as many as four attempts before successful insertion into FastLane.



NSF Implementation in 2007

- By close of FY 2006, 80% of NSF funding opportunities had been posted in Grants.gov Apply
- Those programs designated required in FY 06 will remain required in FY 07
- Unless otherwise specified, optional submission for the vast majority of NSF programs



NSF Implementation in 2007 (Cont'd)

- **Will not be used until a Grants.gov solution has been developed, for:**
 - Separately submitted collaborative proposals
 - Fellowship programs that require submission of reference letters



And, as a reminder....

- **NSF also does not accept applications through Grants.gov for:**
 - Submission of Letters of Intent and Preliminary Proposals
 - Changed/Corrected Applications
 - Revisions
 - Continuations
 - Supplemental Funding Requests



NSF Grants.gov Required in 2007

- **Antarctic Artists and Writers (OPP)**
- **Scientific Computing Research Environments for the Mathematical Sciences (MPS)**
- **Living Stock Collections (BIO)**
- **Advanced Learning Technologies (CISE)**
- **CEDAR, GEM, and SHINE Postdoctoral Research (GEO)**
- **Research in Disability Education (EHR)**
- **Infrastructure Materials Applications and Structural Mechanics (ENG)**
- **Geography and Regional Science (SBE)**



Words to Live By....

- **File attachments must be in pdf**
- **Check to ensure the program does not require mandatory submission!!**
- **Check the institutional names used!**
- **Use the Checklist!**
- **Read the Grants.gov Application Guide**
- **Follow any special instruction in the funding opportunity**
- **Allow extra time for editing!!!**



GMLOB Vision

- A government-wide solution to support end-to-end grants management activities that promote citizen access, customer service, and agency financial and technical stewardship.



GMLOB Outcomes

- Multiple agencies are using the same grants systems. There are fewer grants management systems in operation across the Federal government
- Business processes across agencies are more standardized and streamlined
- There is decreased administrative burden on grantees as a result of fewer, more standardized sets of grantor procedures and policies



GMLOB Outcomes (Cont'd)

- Information about grants is more readily available, comparable, and transparent
- States and other grantees spend less to interface with fewer grants systems
- Federal spending to build, sustain, and upgrade systems has decreased
- Best practices in grants management more readily implementable among agencies using shared grants systems and services



GMLOB Operating Model

- **Grants management community will process grants in a decentralized way using common business processes supported by shared technical support services.**



GMLOB Second Round Consortia Recommendation: Timeline

- **The timeline for completing Declarations of Intent and naming the additional consortia is as follows:**
 - Week of August 22, 2006 – convene first meeting of the Consortia Recommendation Committee
 - August 25, 2006 – Declarations of Intent due from agencies
 - September 22, 2006 – Recommendation report due to OMB
 - November 2006 – Additional consortia named in passback
 - February 2007 – OMB publicly announces additional consortia in the President's Budget



Accessing Documents on the NSF Website

- www.nsf.gov

• Click:



- **How to Prepare Your Proposal**

- Grant Proposal Guide
- Frequently Asked Questions

- **Award Administration**

- Grant Policy Manual
- Grant & Agreement Conditions
- Frequently Asked Questions



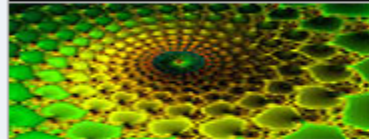
NSF Outreach/Learning Opportunities

- **NSF Regional Grants Conference**
 - Two-day, bi-annual conference
 - NSF Representatives from:
 - All NSF Directorates
 - Office of Budget, Finance & Award Management
 - Office of the General Counsel
 - Office of the Inspector General
 - <http://www.nsf.gov/bfa/dias/policy/outreach.jsp>
- **SRA & NCURA conferences**
 - Annual and regional conference participation
 - NSF-Updates and Workshops
- **Focused Outreach**
 - Tribal Colleges, HBCUs, HSIs, MSIs





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BFA Organization

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Policy Office

HEAD: Jean Feldman

[Policy Office Overview:](#)

The Policy Office is responsible for developing, implementing and issuing proposal and award policy for the programs of the National Science Foundation and is available to assist you with questions involving policy related issues. Questions related to specific awards should be directed to the [Division of Grants and Agreements](#).

Grants & Cooperative Agreements:

- [NSF's Response to the Community Regarding Hurricane Katrina](#)
- [Policy & Guidance](#) (including the [Grant Proposal Guide \(GPG\)](#), and [Grant Policy Manual \(GPM\)](#))
- [Examples of Activities that Demonstrate Broader Impacts](#)
- [FAQs: Proposal Preparation and Award Administration](#)
- [FAQs: Payments to Consultants under NSF Awards](#)
 - [Archived Consultant Rates](#)
- [FAQs regarding Electronic Signatures](#)
- [Revision of the NSF Cost Sharing Policy](#)
- [Grants.gov](#)
 - [NSF FY 2006 Grants.gov Implementation Strategy](#)
 - [Listing of FY 2006 NSF Programs Authorizing or Requiring Use of](#)