

ESTABLISHED PROGRAM TO STIMULATE COMPETITIVE RESEARCH (EPSCOR)

EPSCOR PI MEETING

PRE AND POST AWARD

MANAGEMENT

MAY 2024



ACRONYMS

GRANTS MANAGEMENT SPECIALIST (GMS)

DIVISION OF GRANTS & AGREEMENTS (DGA)

DIVISION OF INSTITUTION AND AWARD SUPPORT (DIAS)

PROPOSAL AND AWARD POLICIES AND PROCEDURES GUIDE (PAPPG)



AGENDA

DGA
OVERVIEW

WHAT IS MY
ROLE?

NOTIFICATIONS
& REQUESTS

PROCESSING
DELAYS

DIAS
OVERVIEW

ENSURING
SUCCESS

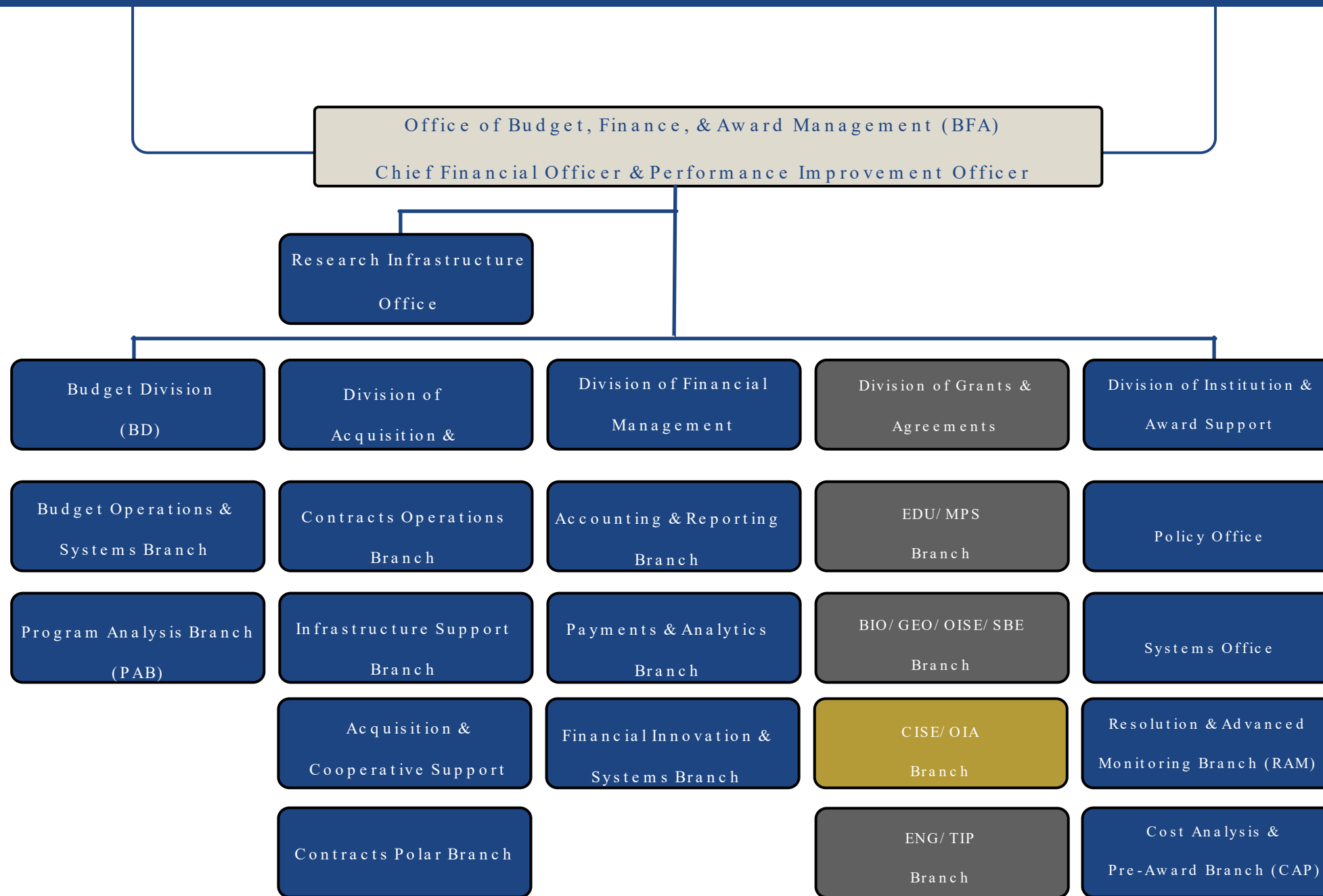
AUDIT
FINDINGS

Q&A
SESSION



The Division of Grants & Agreements

(DGA)



Cartia (Car-ti-a) Brown-Morgan

GMS

CCF/OIA Directorates.

cbrownmo@nsf.gov

(703) 292-8709



WHAT IS MY ROLE?

PRINCIPAL INVESTIGATOR (PI)

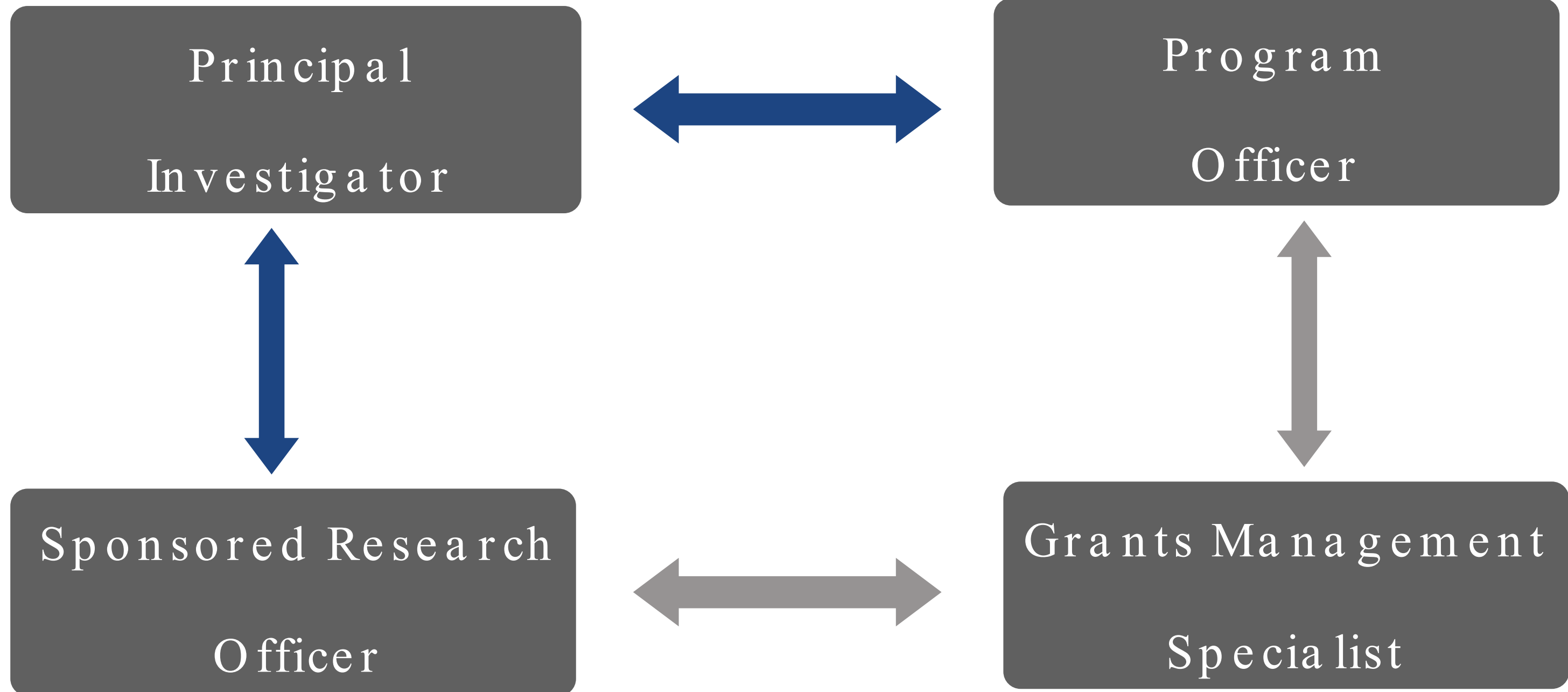
PROGRAM OFFICER (PO)

GRANTS MANAGEMENT
SPECIALIST (GMS)

SPONSORED RESEARCH
OFFICE (SRO)



WORKING RELATIONSHIPS



...

NOTIFICATIONS & REQUESTS

...

NOTIFICATION & REQUESTS

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Explore initiating and developing Research.gov proposals before you prepare them in the actual Research.gov Proposal Submission System.

- Prepare & Submit Proposals**
Prepare, submit and check status of proposals
 - Letters of Intent and Proposals
 - Demo Site: Prepare Proposals
 - Check Proposal Status**FASTLANE PROPOSAL FUNCTIONS**
 - Additional proposal functions
- Proposal/Panel Review**
Review proposals, participate in panels
 - FASTLANE PROPOSAL REVIEW**
 - Proposal Review
 - FASTLANE PANEL REVIEW**
 - Panelist Functions
- Awards & Reporting**
Submit project reports, notifications & requests, and supplemental funding requests
 - Project Reports
 - Continuing Grant Increments Reports
 - Award Documents
 - Deposit Public Access Publication
 - Example Project Reports (Demo site)
 - Notifications & Requests
- Fellowships & Honorary Awards**
Nominate colleagues, apply for awards
 - Graduate Research Fellowship Program (GRFP)
 - Postdoctoral Fellowships and Other Programs
 - Honorary Awards



...

PROCESSING DELAYS

...

TOP 3 REASONS FOR DELAYS

IN AWARD PROCESSING



OVERDUE PROJECT REPORTS

Annual Project Reports (APR), Interim Reports, Final Annual Project Reports (FPR), and Project Outcomes Report for the General Public (POR).



NOT FOLLOWING SOLICITATION REQUIREMENTS

DGA reviews the proposal to ensure budgetary and administrative conditions are in accordance with the solicitation.



UNALLOWABLE OR UNJUSTIFIED BUDGET ITEMS

PAPPG [II.D.2.f\(xiii\)](#) & 2 CFR 200, Subpart E provides comprehensive information regarding costs allowable under Federal awards.



REPORTING REQUIREMENTS

Annual Project Report (APR)

Must be approved by the NSF Program Officer.

Annual reports are due 90 days prior to the end of the current budget period.

Final Reports (FPR)

Must be approved by the NSF Program Officer.

Final reports are due 120 days after the end date of the award.

Project Outcomes Report (POR)

Not approved by the NSF Program Officer.

Project Outcomes Report are due 120 days after the end date.



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THREE TIPS TO REMEMBER

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TIP # 1



SUMMARY PROPOSAL BUDGET				YEAR Cumulative	
ORGANIZATION				FOR NSF USE ONLY	
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR				PROPOSAL NO.	DURATION (months)
				Proposed	Granted
				AWARD NO.	
A. SENIOR PERSONNEL: PIPD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF Funding	
	CAL	ACAD	SUMR	Funds Requested By proposer	Funds granted by NSF (if different)
1.	0.00	0.00	0.00	00,000	
2.					
3.					
4.					
5.					
6. (0) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)	0.0	0.0	0.0		0
7. (0) TOTAL SENIOR PERSONNEL (1 - 6)	0.0	0.0	0.0		0
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)					
1. (0) POST DOCTORAL SCHOLARS	0.00	0.00	0.00		0
2. (0) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)	0.00	0.00	0.00		0
3. (0) GRADUATE STUDENTS					0
4. (0) UNDERGRADUATE STUDENTS					0
5. (0) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)					0
6. (0) OTHER					0
TOTAL SALARIES AND WAGES (A + B)					0
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)					0
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)					0
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)					
\$					
TOTAL EQUIPMENT					0
E. TRAVEL					0
1. DOMESTIC (INCL. U.S. POSSESSIONS)					0
2. INTERNATIONAL					0
F. PARTICIPANT SUPPORT COSTS					
1. STIPENDS \$ 0					
2. TRAVEL 0					
3. SUBSISTENCE 0					
4. OTHER 0					
TOTAL NUMBER OF PARTICIPANTS (0) TOTAL PARTICIPANT COSTS					0
G. OTHER DIRECT COSTS					
1. MATERIALS AND SUPPLIES					0
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION					0
3. CONSULTANT SERVICES					0
4. COMPUTER SERVICES					0
5. SUBAWARDS					0
6. OTHER					0
TOTAL OTHER DIRECT COSTS					0
H. TOTAL DIRECT COSTS (A THROUGH G)					0
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE)					
TOTAL INDIRECT COSTS (F&A)					0
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)					0
K. FEE					0
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)					
M. COST SHARING PROPOSED LEVEL \$ 0				AGREED LEVEL IF DIFFERENT \$	
PI/PD NAME				FOR NSF USE ONLY	
				INDIRECT COST RATE VERIFICATION	
ORG. REP. NAME*				Date Checked	Date Of Rate Sheet
				Initials - ORG	

*ELECTRONIC SIGNATURES REQUIRED FOR REVISED BUDGET





TIP # 2

UNIFORM GUIDANCE

COST PRINCIPLES

(2 CFR 200)





TIP # 3



NATIONAL SCIENCE FOUNDATION

Award Notice

Award Number (FAIN): XXXXXXXX
 Managing Division Abbreviation: XXXX Amendment Number: 000

AWARDEE INFORMATION

Award Recipient: XXXXXXXX
 Awardee Address: XXXXXXXXXXXX
 Official Awardee Email Address: xxxxxxxx@xxxxx.xxx
 Unique Entity Identifier (DUNS ID): XXXXXXXXXXXX

AMENDMENT INFORMATION

Amendment Type: New Project
 Amendment Date: XX/XX/XXXX
 Amendment Number: 000
 Proposal Number: XXXXXXXX

Amendment Description:

The National Science Foundation hereby awards a XXXXXX for support of the project described in the proposal referenced above.

AWARD INFORMATION

Award Number (FAIN): XXXXXXXX
 Award Instrument: XXXXXX Grant
 Award Date: XX/XX/XXXX
 Award Period of Performance: Start Date: XX/XX/XXXX End Date: XX/XX/XXXX
 Project Title: XXXXXXXXXXXX
 Managing Division Abbreviation: XXXX
 Research and Development Award: XXXX
 Funding Opportunity: XXXXXXXXXXXXXXXX
 CFDA Number and Name: XXXX.XX XXXXXXXX

FUNDING INFORMATION

Amount Obligated by this Amendment: \$XXXX,XXX
 Total Intended Award Amount: \$XXXX,XXX

Total Approved Cost Share or Matching Amount: \$X
 Total Amount Obligated to Date: \$XXXX,XXX
 Expenditure Limitation: Not Applicable

Contingent on the availability of funds and scientific progress of the project, NSF expects to continue support at approximately the following level:

PROJECT PERSONNEL

Principal Investigator: XXXXXX XXXXXXXX Email: xxx@xxxx.xxx Institution: XXXXXXXX

NSF CONTACT INFORMATION

Managing Grants Official (Primary Contact) XXXXXXXX
 Name: XXXXXXXX Email: xxxxx@xxxx.xxx
 Awarding Official Name: XXXXXXXX
 Email: xxxxx@xxxx.xxx
 Managing Program Officer Name: XXXXXXXX
 Email: xxxxx@xxxx.xxx

GENERAL TERMS AND CONDITIONS

This is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is subject to Research Terms and Conditions (RTCs) dated XX/XX/XXXX, and NSF Agency Specific Requirements, dated XX/XX/XXXX available at <https://www.nsf.gov/awards/managing/rtc.jsp>.

XXXX XXXX X X XXXX XXXXX XXXXX X XXX

This award is made in accordance with the provisions of NSF Solicitation: XXXXXX XXXXXXXX XXXXXXX XXXXXXXX



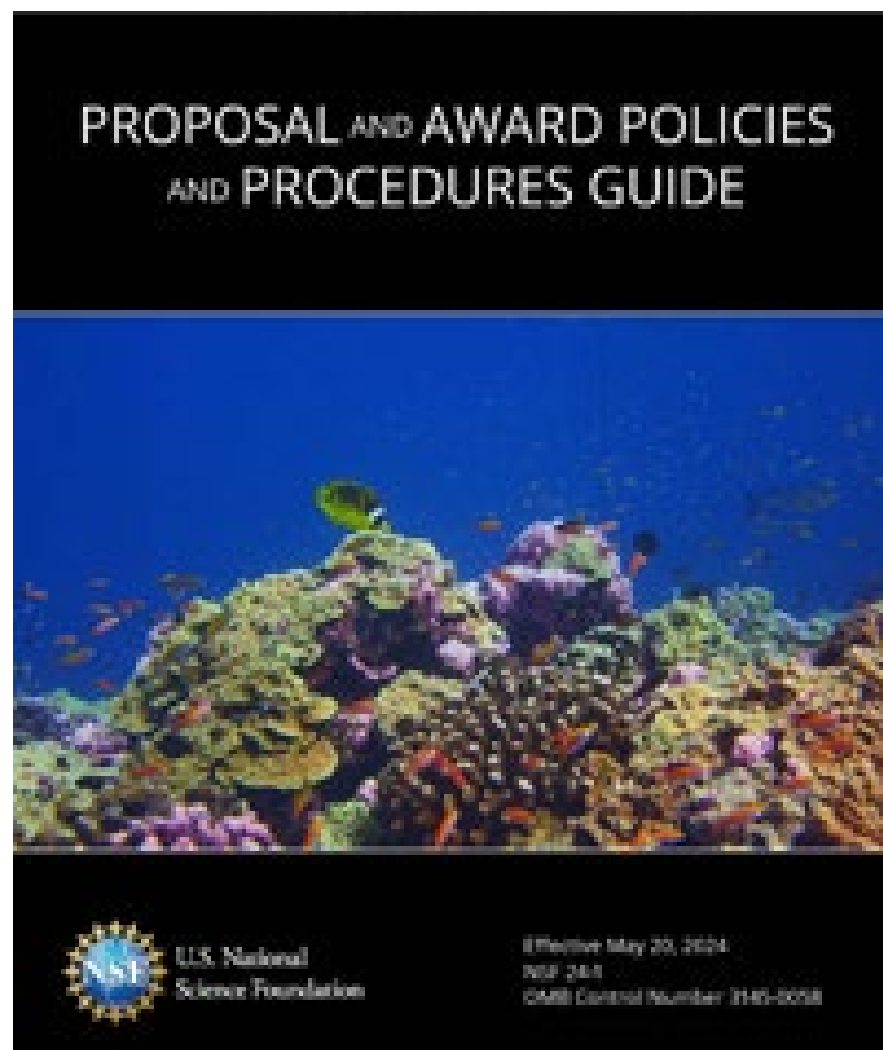


BONUS

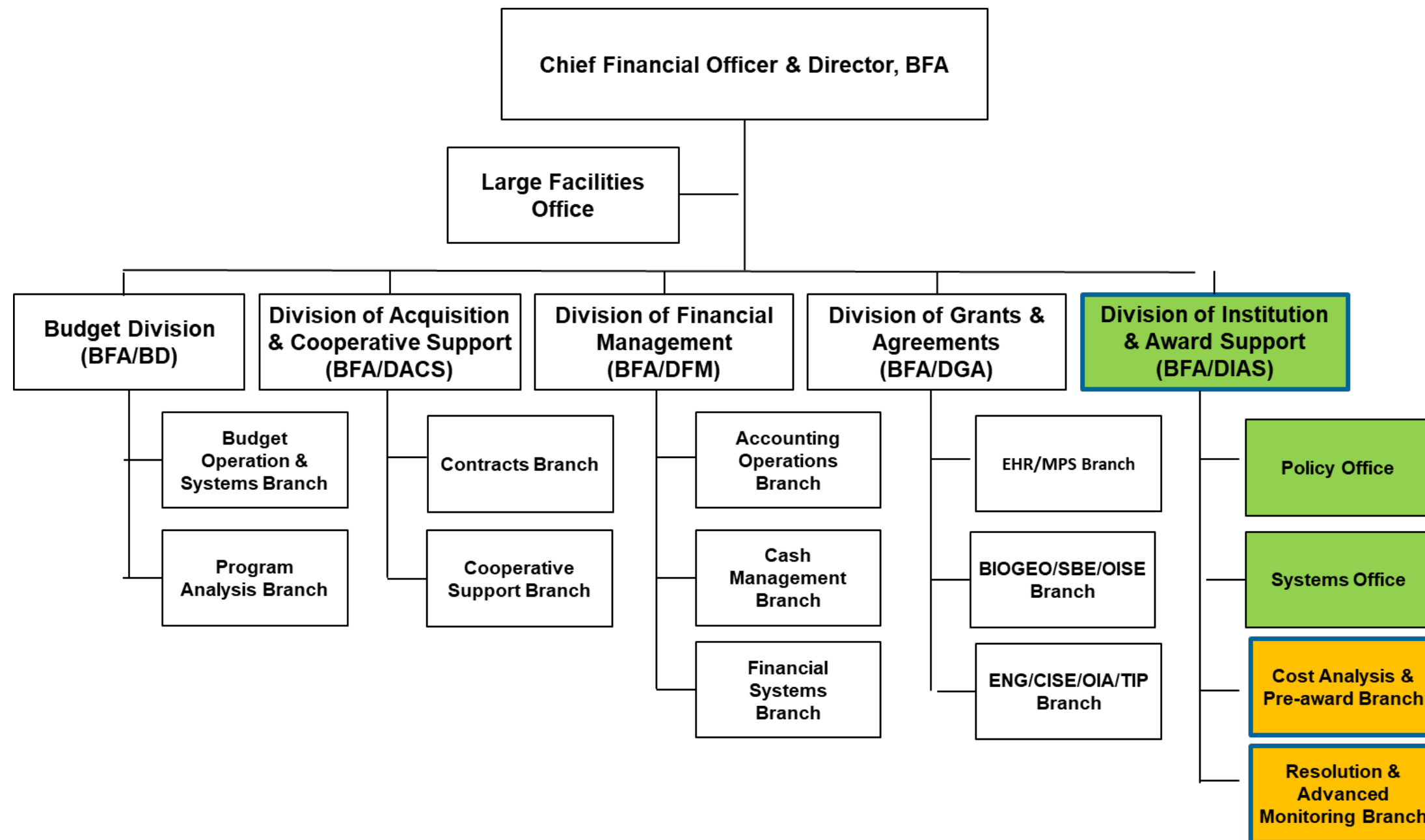
NEW PAPPG

EFFECTIVE MAY 20, 2024

“The Proposal & Award Policies & Procedures Guide (PAPPG) is comprised of documents relating to the Foundation's proposal and award process for the assistance programs of NSF.



Division of Institution and Award Support (DIAS)



Elizabeth "Liz" DeHart

Cost Analyst

Resolution and Advanced
Monitoring Branch

edehart@nsf.gov

(703) 292-2152



Division of Institution and Award

Support (DIAS) Overview

- Oversight
- Policy
- Systems
- Cost Analysis and Pre-award Branch
- Resolution and Advanced Monitoring Branch



ENSURING SUCCESS TECHNICALLY & ADMINISTRATIVELY

- Scientific and Technical ability are key, but...
- Keys to Success:
 - Writing (internal controls)
 - Following (established policies)
 - Documenting (all costs charged to awards)
 - Asking (ask questions when anomalies come up)
- Prior Approvals



FREQUENT AUDIT FINDINGS

- Subawards & Subrecipient Assessment Monitoring (2 CFR 200.331-334)
- Participant Support Costs (2 CFR 200.456)
- Allowability & Allocation of Costs – (2 CFR 200.402-405, w/emphasis on: 405(d))
- If a cost benefits two or more projects or activities in proportions that cannot be determined because of the interrelationship of the work involved, then, notwithstanding paragraph (c) of this section, the costs may be allocated or transferred to benefitted projects on any reasonable [and] documented basis
- Promotional Items (2 CFR 200.421)
- Application of Indirect Cost Rates [2 CFR 200, Appx II (IHEs) & Appx III (NPs)]
- Purchases Near or After POP (See Allocable Costs above)
- Unsupported Costs [2 CFR 200.302(b)(2)]



RECENT EPSCoR OIG FINDINGS:

SUBAWARDS & SUBRECIPIENT ASSESSMENT & MONITORING

- The prime awardee, nor its subrecipient were able to provide supporting documentation for any of the \$250,000+ in cost share claimed under the closed EPSCoR award.
- The prime awardee claimed \$200,000 in cost sharing under the EPSCoR award related to a subaward. Although the subrecipient was able to provide general ledger data to support it incurred \$200,000 in expenses for this award, the subrecipient did not maintain sufficient documentation to support the allowability (reasonable, allocable, and necessary) of the expenditures recorded in the general ledger.



RECENT EPSCOR OIG FINDINGS:

PARTICIPANT SUPPORT COSTS – MEALS (2 CFR 200.456)

- Costs for a “welcome lunch,” where only 24 of 50 attendees were participants. Auditors questioned costs charged for meals of non-participants, which included awardee staff and family members of participants. The meals were deemed unnecessary and unreasonable for the performance of the award, and staff meals are typically not allowable under NSF awards
- An awardee charged an award for a “student and mentor lunch,” where only 22 of 49 attendees were participants. Auditors question costs charged for meals of non-participants, including awardee students, faculty, and staff. The meals were deemed unnecessary and unreasonable for the performance of the award, and staff meals are typically not allowable under NSF awards



RECENT EP SCOR OIG FINDINGS:

PARTICIPANT SUPPORT COSTS – CONT.

ENTERTAINMENT (200.456) & PROMOTIONAL ITEMS (200.421)

- Activities such as museum and zoo admission, yoga and gym access, and theater and movie tickets are typically considered to be entertainment. The EPSCoR awardee did not disclose these activities or their programmatic purpose; nor prior written approval (per NSF terms and conditions) obtained. Also, documentation supporting the costs did not verify those who attended the activities were eligible program participants.
- OIG questioned costs for promotional items with subrecipient and EPSCoR logos. The prime awardee also provided detailed receipts for promotional items including embroidered briefcases and engraved pens.
- An EPSCoR subrecipient purchased reusable tote bags imprinted with the name of its EPSCoR-funded summer internship program to the award, stating the bags were used as recruitment material at conferences.



RECENT EP SCOR OIG FINDINGS:

ALLOW ABILITY & ALLOCATION OF COSTS (2 CFR 200.402-405)

- In the final month of the NSF EPSCoR award's period of performance, the prime awardee charged the award for 100 percent of the costs incurred to purchase a copier. Although the budget for the award included funding for printing/copying equipment, the awardee did not receive the copier until the final two days of the award's more than 7-year period of performance.



Resource Links

- [Cooperative Agreement Definition](#)
- [NSF Prior Approval Matrix](#)
- [NSF Division of Grants & Agreements](#)
- [NSF Cost Analysis and Pre-award Branch](#)
- [NSF Resolution and Advanced Monitoring \(RAM\)](#)
- [DIAS Tools and Resources](#)
- [Finalized NSF Management Decisions](#)
- [IG Promising Practices for NSF Award Management](#)



Q & A

