ATE Community Support – Addressing Questions on ATE Grants Management During Covid-19

June 10, 2020
1:00-2:00 p.m. Eastern
Dr. Celeste Carter, NSF Program Director
Co-Lead, ATE Program Officer
National Science Foundation
Changes in Project

Annual Reports

No-cost Extensions

Budget Adjustments

Supplemental Funding Requests

Re-cap

Q & A with Dr. Carter
Communicating with your Program Officer

Preserving original Goals, Intellectual Merit & Broader Impacts

Revisiting Deliverables, Timeline, and Scope

Changes as needed to move forward
Program officer

- E-mail
- They approve changes
- They want you to succeed
Changes in Project

- Integrity of Proposal
- Goals
- Intellectual Merit
- Broader Impacts
Deliverables might include
- Workshops
- Presentations
- Course Modifications

Timeline Solutions
- Virtual
- No Cost Extension
Changes in Project

- COVID
  - Workshops
  - Travel

- Non-COVID
  - Change of courses
  - PI/Co-PI Change
Timeline

Sections – Information needed

How to address shortfalls & change in plans

Report pitfalls

Evaluator’s report
E-mail - 90 days

Timing for submission
Information Needed

➡️ What are the major goals of the project?
➡️ What was accomplished under these goals (you must provide information for at least one of the 4 categories)?

➡️ Major activities
➡️ Specific objectives
➡️ Significant results
➡️ Key outcomes or other achievements
Information Needed (continued)

- What opportunities for training and professional development has the project provided?
- How have the results been disseminated to communities of interest?
- What do you plan to do during the next reporting period to accomplish the goals?
COVID Challenges & Changes

- Activity completion
- Training & travel
- Faculty teleworking
- Unexpected financial costs changes
- Evaluator’s site visit
Five Report Pitfalls
1. Recycling last year’s report without changes.
2. Including students’ names.
3. Not attaching your evaluator’s report.
4. Not using/responding to your evaluator’s report.
5. Only reporting the positive things and not the challenges/unforeseen obstacles.
Evaluator

- Communicate with evaluator
- Discuss changes
- Plan the timing for report submission
- Attach external evaluator report
Full copy of presentation entitled:

Effective Strategies for
Preparing Annual Reports:
Demystifying the Process
No-Cost Extensions

What?
- More time to complete your project
- Within same budget

When?
- In final months of last year of a grant award
- Submit notification (or request) 1-2 months before award anniversary

Restrictions?
- May not have $0 remaining balance of grant funds at time of request
- May not be just for using unliquidated balances
No-Cost Extensions

Length?
- 12 months
- Can close out grant sooner if money is gone/work is done

Justification?
- Work plan must adhere to previously approved objectives of project

Types?
- Grantee approved - 1st no-cost extension
- NSF Program Officer approved - subsequent no-cost extension(s)
## No-Cost Extensions

### When to Submit?
- 1st no-cost extension: at least 10 calendar days prior to anniversary date of award (sooner is advisable)
- 2nd no-cost extension: at least 45 days before scheduled grant end date

### What information to supply?
- Each request must be justified – brief statement inserted in text box
- Plan for work must adhere to previously approved objectives of project

### How to submit?
- PI initiates in Research.gov
- AOR must approve & submit to NSF
Log-in to Research.gov (same NSF # and password as FastLane)
Select “Notifications & Requests” under Awards & Reporting
No-Cost Extensions

Prepare New

Step 1: Select type of change
- All
- Budget Activities
- No-Cost Extensions
- Changes in Objectives, Scope, or Methodology and other Significant Changes
- Changes in PI/PD, co-P/co-PD or Person-Months Devoted to the Project at the initiation of the Grantee Organization
- Other

Step 2: Select notification / request

*The “Other Request” option must only be used to submit requests for prior approval specified in PAPPG Chapter 1,4,3, that do not already have a specific request type. In addition, it may be used at the direction of NSF or when specified in the applicable terms and conditions. Any request submitted that does not meet these criteria will be rejected.

Select Type of Change First  Go
Enter your Grant #
Select revised End Date from Drop Down

Type in Justification

Reminder: This one time extension may not be exercised merely for the purpose of using the unliquidated balances

Revised End Date: 06/30/2021

(Always expires on the last day of the month)

Justification for Grantee-Approved No-Cost Extension:
More information about no-cost extensions:

PAPPG 20-1, Part II - Award Administration and monitoring of Grants and Cooperative Agreements, Chapter VI: NSF Awards, Subpart D: NSF Grant Periods, Subpart 3, Change in Grant Period, Subpart c, No-cost extensions.
PI has authority to move money ...with one exception: Participant Support

Restrictions on Participant Support
Program Officer must approve:
$ moved out of Participant Support, or
$ moved between categories within Participant Support

F. PARTICIPANT SUPPORT COSTS
1. STIPENDS $___________________
2. TRAVEL $___________________
3. SUBSISTENCE $___________________
4. OTHER $___________________

However, PI has authority to move money into Participant Support
Budget reallocation impact on indirect costs? A business office concern

College Policies & Procedures for expenditures must be followed
PAPPG 20-1

“In unusual circumstances, small amounts of supplemental funding and up to six months of additional support may be requested to assure adequate completion of the original scope of work”

But, NSF Programs and Program Officers have additional flexibility .....
**Supplemental Funding**

#### What?
- Adds additional funding to an existing grant award

#### Why?
- Circumstances change or opportunities emerge that align with original project goals/objectives

#### Types?
- Additional financial support for work within current goals/objectives
- Financial support for an additional scope of work that responds to a Dear Colleague Letter opportunity
Dear Colleague Letters- ATE Funding Opportunities for Grantees

**NSF 16-007**
Dear Colleague Letter: Advanced Technological Education (ATE) Program Support for Manufacturing Innovation Institutes (MIIs) and Investing in Manufacturing Communities Partnerships (IMCPs)

**NSF 19-057**
Dear Colleague Letter: International Training and Education in Advanced Technologies (ATE-I)

**NSF 20-054**
Dear Colleague Letter: Undergraduate Research Experiences in Advanced Technological Education (ATE-URE)
When to consider?

- Circumstances change or opportunities emerge that align with original project goals/objectives
- Any project year, including no-cost extension year
- After communicating with your Program Officer

When to submit request?

- 2 months before money is needed
- Requests may be submitted within any project year
Supplemental Funding

- **Length?**
  - Work to be completed by end date of grant award

- **Restrictions?**
  - Amount of request in a given year is restricted (PAPPG)
  - Limit applies to annual total if multiple requests are submitted

- **Notification?**
  - Award amendment is issued via email
How to Request?

- Outline your idea/concept for a supplemental funding request
- Send to your Program Officer and request feedback
- Formally submit a Supplemental Funding request only if Program Officer has informally indicated that it is OK to do so
- NOTE: This is not a new grant proposal
How to submit online request?

» Login to Research.gov

» Under “Awards and Reporting,” select FastLane

» Automatically transfers from Research.gov to FastLane
In FastLane, Select Award & Reporting Functions

Principal Investigator (PI)/Co-Principal Investigator (Co-PI) Management

What Do You Want To Work On?

- Proposal Functions
- Award And Reporting Functions
- Change PI Demographic Information - Disabled in FastLane. Go to My Profile in Research.gov
- Research.gov Functions
Select Supplemental Funding Request
Next, select grant #

Principal Investigator (PI)/Co-Principal Investigator (Co-PI) Management

Award and Reporting Functions

- Notifications and Requests
- Continuation Funding Status
- View/Print Award Documents
- Project Reports - Disabled In FastLane, Log In to Research.gov
- Supplemental Funding Request
- Research.gov Functions
Information required?

- Summary of Proposed Work
- Justification
- Budget & Budget Justification

If responding to Dear Colleague Letter, see the letter for additional specifications and funding limits.
More information about **Supplemental Funding**:

PAPPG 20-1, Part II - Award Administration and monitoring of Grants and Cooperative Agreements, Chapter VI: NSF Awards, Subpart E: Additional Funding Support, Subpart 4, Supplemental Support
Grant Management Strategies

- Changes in Project
- Annual Reports
- No-cost Extensions
- Budget Adjustments
- Supplemental Funding Requests
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