



ATECENTERS

NSF Guidance on Financial Management of ATE Grants: What You Don't Know Can Hurt You!

February 10, 2016

The Webinar Begins At 3 PM Eastern

Webinar Details

- For this webinar you will be in listen only mode using your computer or phone
- Please ask questions via the question window
- This webinar is being recorded – you will be sent a recording link

Brought To You By

CCTA | CENTERS COLLABORATIVE FOR TECHNICAL ASSISTANCE



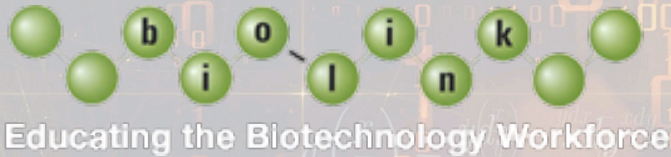
And
Mentor-Connect

With Additional Support by the ATE Collaborative Impact
Project

ATECENTERS

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The CCTA IS Led By



- **National Center for Convergence Technology (CTC)** based at Collin College in Frisco, TX (lead)
- **South Carolina ATE National Resource Center (SCATE)** based at Florence Darlington Technical College in Florence, SC
- **Florida ATE Center (FLATE)** based at Hillsborough Community College in Tampa, FL
- **Bio-Link Next Generation National ATE Center for Biotechnology and Life Sciences (Bio-Link)** based at City College of San Francisco in San Francisco, CA
- **Networks Resource Center** based at the Maricopa Community College District in Phoenix, AZ

CCTA Purpose

- Respond to a request from the Department of Labor (DOL) to the NSF to have ATE Centers provide technical assistance services to DOL TAACCCT grantees
 - Success coaching
 - In-person convenings
 - Knowledge management /best practices
 - Peer-to-peer learning

CCTA Activities are Relevant for

- Department of Labor grants
- National Science Foundation Projects and Centers
- Workforce-oriented programs of all kinds

Deliverables

- Topical Webinars and Teleconferences On
 - Existing and new solutions
 - Live/recorded with attendee Q&A
 - Archived on www.atecentral.net
- Other online media including videos and transcripts

Deliverables Continued

- Invitations to regional discipline-specific conferences
- Identify and document best practices
- Host convenings

Poll #1: Your Affiliation

- A. On a grant, I am the principal investigator
- B. I am the main grant lead or project staff member
- C. I am in grants management or the business office
- D. Neither

Facilitator



Elaine Craft, Director
SC ATE Center of Excellence
PI, SC ATE National Resource
Center for Expanding Excellence in
Technician Education
PI, Mentor-Connect: Leadership
Development and Outreach for ATE



Presenter



V. Celeste Carter, Ph.D.

vccarter@nsf.gov

Division of Undergraduate Education

National Science Foundation

Arlington, VA

Presenter



Rashawn Farrior

Grant and Agreement Specialist
Division of Grants and Agreements

lfarrior@nsf.gov

Advanced Technological Education (ATE) Program

- Focus: education of science and engineering technicians for high-technology fields that drive the nation's economy.
- ATE Projects, ATE Centers & Targeted Research on Technician Ed.
 - Funding from \$150,000-\$4 million over all 3 tracks
- Grades 7-12, two-year and four-year institutions (**Pathways**).
- **Community and technical colleges *must be* in leadership roles.**
- **Education / Industry Partnerships** are a hallmark of ATE.
- ***Proposal Deadline: October 6, 2016.***

Program Officer Responsibilities

- Work to revise or develop a program solicitation or Dear Colleague Letter.
- Provide feedback to prospective PIs when you submit a 1-2 pg. synopsis of your project ideas.
- Form panels of proposals, invite reviewers, oversee the merit review process
- Negotiate with PIs to make a recommendation for award on a proposal.
- Conduct outreach activities to inform the community about funding opportunities at the NSF

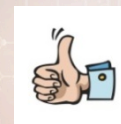
New Performers* Submit proposal

*Never received an award OR no award within 5-yrs OR never reviewed by CAAR

Merit Review

Ratings and Program Officer review

Program Officer (PO) then does 2 things



Begins negotiation with PI to resolve questions and concerns (intends to recommend for award)

Sends proposal to Division of Grants and Agreements (DGA)

DGA sends New Performer Package to Institution

Institution completes package → DGA

Cost Analysis & Audit Resolution (CAAR)

DGA notifies PO recommend award

DGA Declines & De-briefs Institution



Questions?



Topics Covered

- Division of Grants and Agreements
- Award Administration Roles
- Types of Awards
- Time & Effort
- Things I look for in a Budget
- Revised Budgets
- Participant Support
- Budget Changes
- Indirect Cost Rates
- Frequent Errors on Budgets
- Accessing Documents on the NSF Website
- Conclusion

DGA Year in Review

- Completed over 22,000 actions.
- Extremely 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.

Awardee

- Has full responsibility for the conduct of project/activity and for adhering to the award conditions.
- Ensures that all expenditures are allowable, allocable and reasonable.
- Complies with all federal guidelines and statutes.

Time & Effort

- Policies and procedures
- Must be apart of your official payroll
- Should reflect 100% non-sponsored and sponsored activity
- Should be able to reflect across multiple activities (timesheet)
- Should charge same amount for grant just as your institutional salary if you have a documented rate
- Must be related to work performed
- Must be actual not budgeted

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
- Not employees of the university
- Generally excluded from indirect cost
- Re-budgeting restrictions

BUDGET CHANGES

Award changes with awardee-authorized approvals

Notification to NSF is NOT required for:

- Virtually all budget changes
- Budget changes are the PI's prerogative and are subject to organizational approval
- 90 day pre-award costs



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
- 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 dollar amount associated for PIs and Co-PIs
- 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

Submit Notifications & Requests via FastLane


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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: 12/31/2011

Division: DIVISION OF INFORMATION SYSTEMS

Award Title: Test for Demo

Awardee Organization: NSF

PI/PD: Alphanan, Alan

Select the Notification or Request Type:

GRANTEE NOTIFICATION TYPES	Topic Guidance	GRANTEE REQUEST TYPES (Requires NSF Approval)	Topic Guidance
<input type="radio"/> Anticipated Residual Funds in excess of \$5,000 or 5%	AAG	<input type="radio"/> Addition of SubAward	AAG
<input type="radio"/> Grantee Approved No Cost Extension	AAG	<input type="radio"/> Withdrawal of PI/Co-PI	AAG
<input type="radio"/> Cost Sharing Equal To or Greater Than \$500,000	AAG	<input type="radio"/> Long-Term Absence of the PI/PD (Over Three Months)	AAG
<input type="radio"/> Significant Changes/Delays or Events of Unusual Interest	AAG	<input type="radio"/> NSF Approved No-Cost Extension	AAG
<input type="radio"/> Conflicts of Interests	AAG	<input type="radio"/> PI Transfer	AAG
<input type="radio"/> Significant Changes in Methods/Procedures	AAG	<input type="radio"/> Pre-award Costs in Excess of 90 Days	AAG
<input type="radio"/> Short-Term Absence of the PI/PD (Up to Three Months)	AAG	<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.)	AAG
		<input type="radio"/> Change of PI	AAG
		<input type="radio"/> Significant Change in Person-Months Devoted to Project	AAG
		<input type="radio"/> Changes in Objective or Scope	AAG
		<input type="radio"/> Reallocation of Funds Budgeted for Participant or Trainee Support Costs	AAG

*Topic Guidance is provided through the Award & Administration Guide (AAG) reference.

Prepare
Cancel

Pathways to Success

- Effective communication
- Know requirements (award letter, award terms and conditions, uniform guidance)
- Good accounting practices – accumulation & segregation of costs
- Focus on the solicitation budgetary guidelines
- Review budget with PI to submission to NSF
- Document approvals and conversations between the awardee, NSF program and grant officials

Need More information?

NSF home page:

<http://www.nsf.gov>



Ask Early,

Ask Often!

Questions?

Join Us!

Next Week—Mentor-Connect Webinar

with guest Dr. Celeste Carter, NSF

Preparing a Budget and Budget Justification for your NSF ATE Proposal

Thursday, February 18, 2016

01:00-02:30 PM Eastern



Registration Link → www.Mentor-Connect.org

Join Us – All CCTA Webinars, 3 pm Eastern

Upcoming CCTA Webinars on Building Communities of Practice

February 25, 2016 Part I led by Marilyn Barger, FLATE

March 24, 2016 Part II led by Ann Beheler, National CTC

Both webinars will focus on various approaches for developing a strong, working community of practice that actively engages members from multiple locations

For Other Upcoming Webinars see:
<http://www.atecenters.org/ccta>

Join us in Pittsburgh, PA!



July 25-28, 2016



www.highimpact-tec.org



Register for HI-TEC and TAACCCT Convening

HI-TEC Conference July 27-28 in Pittsburgh, PA

Register at <http://www.highimpact-tec.org/registration.php>.

Free follow-up **TAACCCT technical assistance convening** for all TAACCCT grantees and others who can benefit on **Friday, July 29.**

Contacts

- V. Celeste Carter, Program Officer - vccarter@nsf.gov
- Rashawn Farrior - Grant and Agreement Specialist - lfarrior@nsf.gov