

# **American Recovery & Reinvestment Act of 2009**

**National Science Foundation  
Recipient Reporting Requirements  
September 2009**

# American Recovery & Reinvestment Act

☐ Signed into law by President Obama on February 17th, 2009

- *“This investment will ignite our imagination once more, spurring new discoveries and breakthroughs that will make our economy stronger, our nation more secure and our planet safer for our children.”*

☐ The \$3B provided to NSF will go directly:

- Into the hands of the nation’s best and brightest researchers at the forefront of promising discoveries;
- To deserving graduate students at the start of their careers; and
- To developing advanced scientific tools infrastructure that will be broadly available to the research community.



# American Recovery & Reinvestment Act

## ▣ Reporting and Accountability Requirements

- OMB expectations for accountability & transparency for agencies and recipients
- Higher scrutiny from:
  - Administration;
  - Congress;
  - Public;
  - Recovery Act Accountability & Transparency Board; and
  - NSF Office of the Inspector General (OIG)



# NSF ARRA Implementation

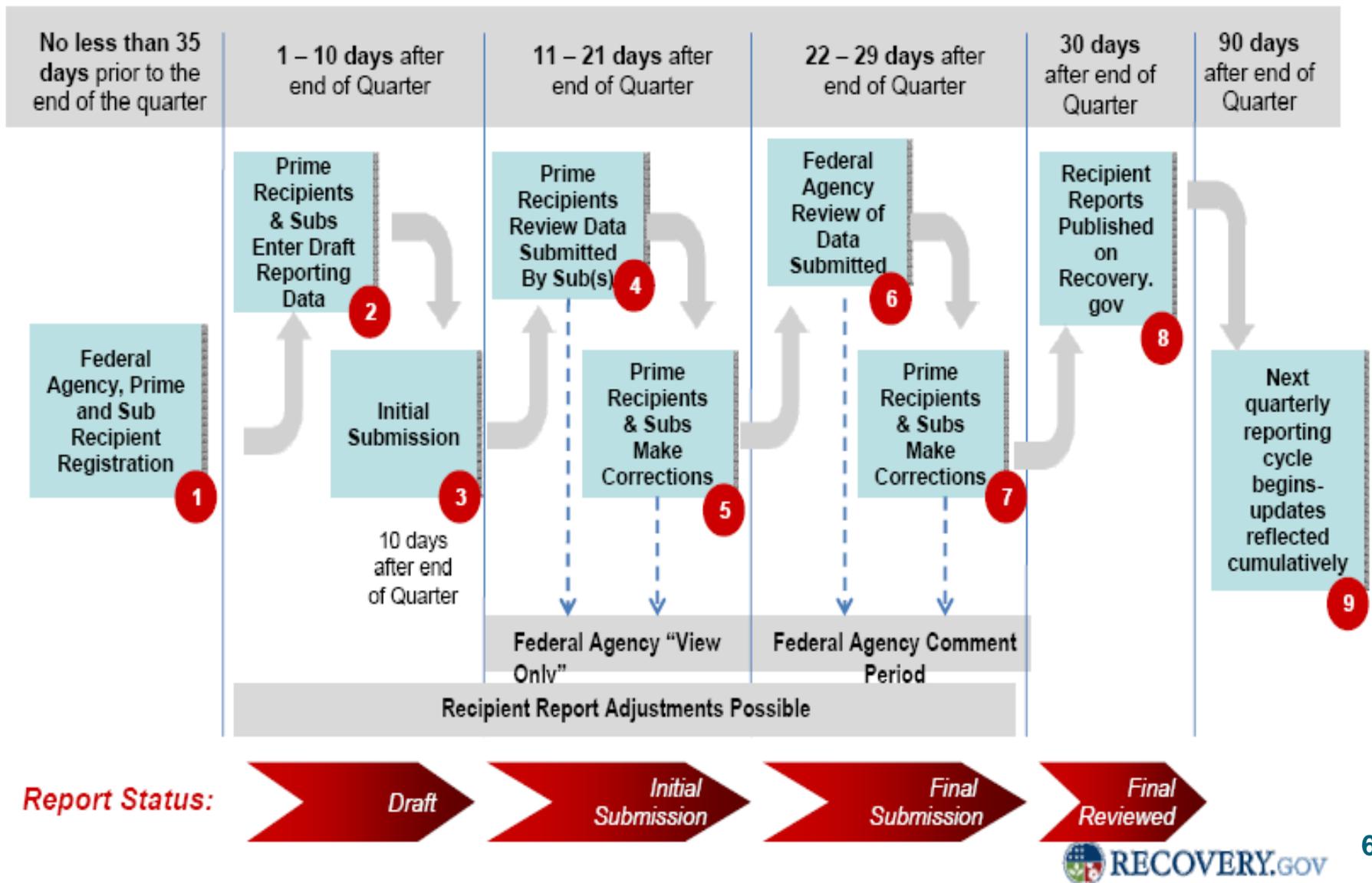
## ▣ Reporting and Accountability Requirements and Special Award Conditions:

- Awards identify funding coming from ARRA and should be considered as one-time funding.
- Within 10 days following the end of each quarter, the recipient must report in accordance with Section 1512c of the Act.
- Funds must be separately tracked and monitored independently of non-ARRA funding.
- NSF will monitor ARRA funds, and, if, after 12 months, no allowable expenditures have been incurred, NSF will consider reducing or terminating the award and reallocating the funds.
- Separate award terms and conditions apply for fellowships to individuals.

# NSF ARRA Reporting

- ▣ Each NSF award that includes funds provided by the Recovery Act will require *the recipient* to submit quarterly reports to a central Federal website ([www.FederalReporting.gov](http://www.FederalReporting.gov)). There are 3 options for submission of the reports:
  - 1) Online data entry in a Web browser;
  - 2) Excel spreadsheet; or
  - 3) Custom software system extract in XML.
- ▣ Government-wide guidance for carrying out these reporting requirements was issued by OMB on June 22, 2009, and is available electronically on [www.recovery.gov](http://www.recovery.gov).
- ▣ Section V of this guidance specifically addresses job creation estimates by recipients.

# In-bound Recipient Reporting (FederalReporting.Gov) Timeline and Activities



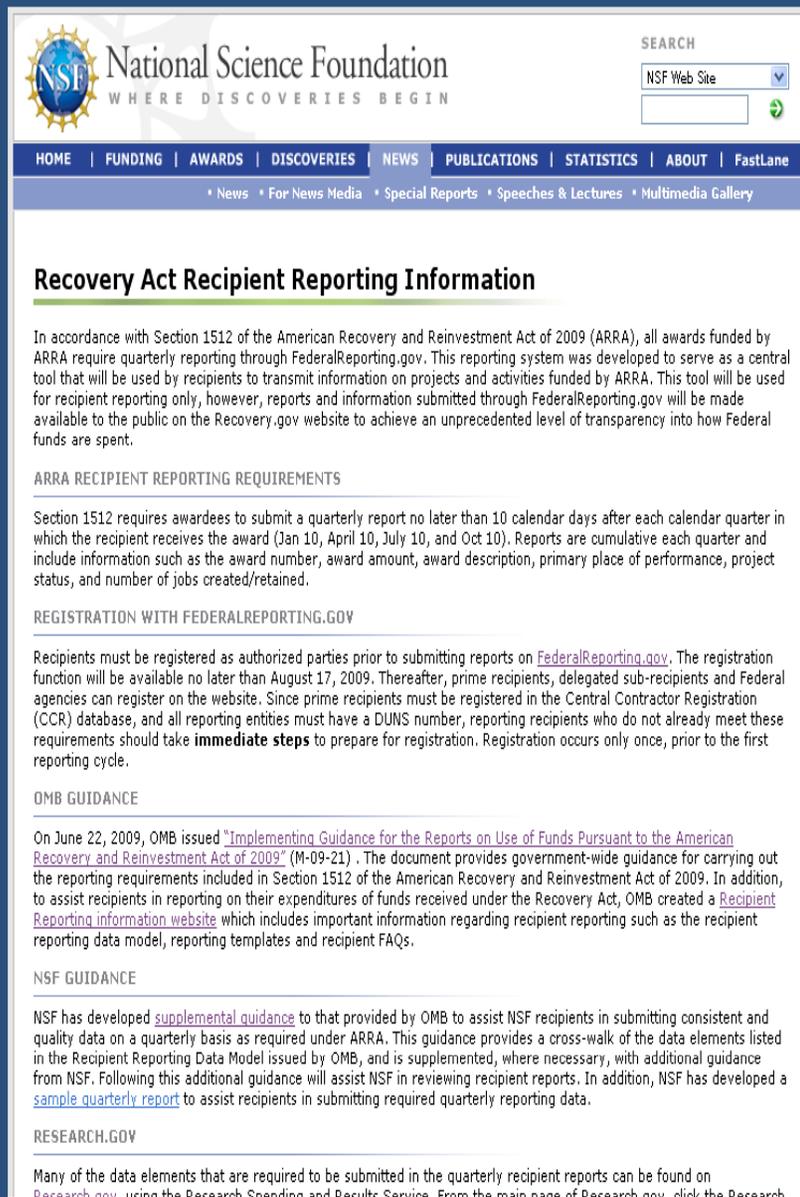
# ARRA Reporting Requirements

- ▣ Federal Funding Agency
- ▣ Award identification
- ▣ Recipient D-U-N-S
- ▣ Parent D-U-N-S
- ▣ Recipient CCR information
- ▣ CFDA number
- ▣ Recipient Congressional District
- ▣ Recipient account number
- ▣ Project/grant period
- ▣ Award type, date, description, & award amount
- ▣ Total Federal Amount of ARRA expenditures
- ▣ Activity Code
- ▣ Quarterly activities/project description
- ▣ Project description and status
- ▣ Job narrative and number of jobs created/retained
- ▣ Infrastructure expenditures and rationale, if applicable
- ▣ Recipient primary place of performance
- ▣ Recipient area of benefit
- ▣ Recipient officer names and compensation (Top 5)
- ▣ Total number and amount of small sub-awards; less than \$25,000

# Tools for Use by NSF Recipients in Meeting the ARRA Reporting Requirements



# NSF – Recipient Reporting Website



The screenshot shows the NSF Recipient Reporting Website. At the top left is the NSF logo with the tagline "WHERE DISCOVERIES BEGIN". To the right is a search bar with "NSF Web Site" selected. Below the search bar is a navigation menu with links: HOME, FUNDING, AWARDS, DISCOVERIES, NEWS, PUBLICATIONS, STATISTICS, ABOUT, and FastLane. Underneath the navigation menu are sub-links: News, For News Media, Special Reports, Speeches & Lectures, and Multimedia Gallery. The main content area is titled "Recovery Act Recipient Reporting Information". It contains a paragraph explaining that ARRA-funded awards require quarterly reporting through FederalReporting.gov. Below this are sections for "ARRA RECIPIENT REPORTING REQUIREMENTS", "REGISTRATION WITH FEDERALREPORTING.GOV", "OMB GUIDANCE", "NSF GUIDANCE", and "RESEARCH.GOV". Each section provides detailed information and links to relevant resources.

**Recovery Act Recipient Reporting Information**

In accordance with Section 1512 of the American Recovery and Reinvestment Act of 2009 (ARRA), all awards funded by ARRA require quarterly reporting through [FederalReporting.gov](#). This reporting system was developed to serve as a central tool that will be used by recipients to transmit information on projects and activities funded by ARRA. This tool will be used for recipient reporting only, however, reports and information submitted through [FederalReporting.gov](#) will be made available to the public on the [Recovery.gov](#) website to achieve an unprecedented level of transparency into how Federal funds are spent.

**ARRA RECIPIENT REPORTING REQUIREMENTS**

Section 1512 requires awardees to submit a quarterly report no later than 10 calendar days after each calendar quarter in which the recipient receives the award (Jan 10, April 10, July 10, and Oct 10). Reports are cumulative each quarter and include information such as the award number, award amount, award description, primary place of performance, project status, and number of jobs created/retained.

**REGISTRATION WITH FEDERALREPORTING.GOV**

Recipients must be registered as authorized parties prior to submitting reports on [FederalReporting.gov](#). The registration function will be available no later than August 17, 2009. Thereafter, prime recipients, delegated sub-recipients and Federal agencies can register on the website. Since prime recipients must be registered in the Central Contractor Registration (CCR) database, and all reporting entities must have a DUNS number, reporting recipients who do not already meet these requirements should take **immediate steps** to prepare for registration. Registration occurs only once, prior to the first reporting cycle.

**OMB GUIDANCE**

On June 22, 2009, OMB issued "[Implementing Guidance for the Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009](#)" (M-09-21). The document provides government-wide guidance for carrying out the reporting requirements included in Section 1512 of the American Recovery and Reinvestment Act of 2009. In addition, to assist recipients in reporting on their expenditures of funds received under the Recovery Act, OMB created a [Recipient Reporting information website](#) which includes important information regarding recipient reporting such as the recipient reporting data model, reporting templates and recipient FAQs.

**NSF GUIDANCE**

NSF has developed [supplemental guidance](#) to that provided by OMB to assist NSF recipients in submitting consistent and quality data on a quarterly basis as required under ARRA. This guidance provides a cross-walk of the data elements listed in the Recipient Reporting Data Model issued by OMB, and is supplemented, where necessary, with additional guidance from NSF. Following this additional guidance will assist NSF in reviewing recipient reports. In addition, NSF has developed a [sample quarterly report](#) to assist recipients in submitting required quarterly reporting data.

**RESEARCH.GOV**

Many of the data elements that are required to be submitted in the quarterly recipient reports can be found on [Research.gov](#), using the Research Spending and Results Service. From the main page of [Research.gov](#), click the Research

- Registration with [FederalReporting.gov](#)
- OMB Guidance
- NSF Guidance

# NSF Recipient Reporting Instructions

- ▣ Crosswalk of data elements provided by OMB
- ▣ Assists NSF in reviewing reports
- ▣ Research.gov – Research Spending & Results

**National Science Foundation (NSF)**  
**American Recovery & Reinvestment Act of 2009 (ARRA)**  
**Recipient Quarterly Reporting Instructions**  
**September 01, 2009**

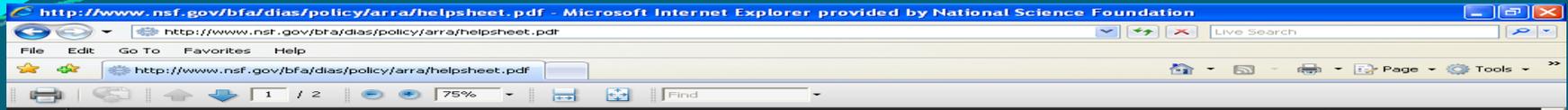
The following information is provided to assist NSF recipients in consistent and quality data quarterly reporting under ARRA. This chart provides a cross-walk of the data elements listed in the Recipient Reporting Data Model issued by OMB in the Final Production Release v.3.0. Guidance. The data model, however, has been modified to include only those data elements that are applicable to NSF assistance awards. In an effort to ensure data quality and to assist recipients in reporting accurate data for ARRA quarterly reports, NSF is providing additional information, where appropriate, for use by the recipient. Following this additional guidance will assist NSF in reviewing recipient reports. As new information becomes available, this document will be updated accordingly.

Many of the data elements that are required to be submitted in the quarterly recipient reports can be found on Research.gov, ([www.Research.gov](http://www.Research.gov)) using the Research Spending and Results Service. From the main page of Research.gov, click the Research Spending and Results link to navigate to the search page. Type in the applicable Award ID Number into the Awardee or Award Information box and click Search. A [help sheet](#) that illustrates the location of many of the requisite responses is available for use by the recipient community.

Data Elements		Yellow – Input (user provided)		Blue – System provided (e.g. CCR, Agency Code Reference Table)					
RECIPIENT DATA ELEMENTS									
	Data Element	OMB Definition (as specified in OMB Recipient Reporting Data Model, v3.0)	Type	Max Length	Example	Comments	Control	Validation and Business Rule(s)	Additional NSFGuidance, where applicable
1	Funding Agency Code	The Federal Agency name corresponding to the Federal Agency Code used.	string	55	6800	Federal Agency code is mandatory for Recipient Reporting.  The Funding Agency is the agency that receives the ARRA funds through the ARRA funds appropriation.	April 1, 2009 Federal Register Transparency Act Guidance March 30, 2007.  Initial Reference: fips95-2.pdf  Latest Reference: NIST Special Publication 800-87		Select/Enter "4600" for all NSF awards.
2	Funding Agency Name	The Federal Agency name corresponding to the Federal Agency Code used.	string	55	ENVIRONMENTAL PROTECTION AGENCY	Inferred given the Funding Agency Code	April 1, 2009 Federal Register Transparency Act Guidance March 30, 2007	This field is inferred given the Funding Agency Code provided	This field will be auto-populated by FederalReporting.gov.

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# ARRA Recipient Help Sheet



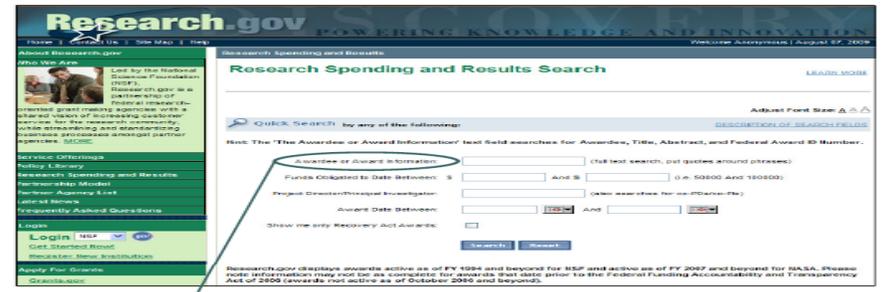
## ARRA Recipient Reporting

### Completing Reporting Requirements Using Information From Research.gov

Many of the data elements for your award that are required in the American Recovery and Reinvestment Act (ARRA) Recipient Reports can be found on Research.gov, using the Research Spending and Results Service.

#### Find Your Award

The Research Spending and Results service can be found at [www.research.gov](http://www.research.gov). From the main page of Research.gov, click the Research Spending and Results link to navigate to the search page.



Type in your Award ID Number into the **Awardee or Award Information** box and click Search



#### Get Your Information

Information you will need to complete your ARRA Recipient Report will be available in the Research Spending and Results Detail page for your award. The numbers listed below correspond to data elements listed in the Awardee Guidance document.

##### Research Spending and Results Detail

**Grant Detail**

**Awardee:** UNIVERSITY OF FLORIDA  
 Doing Business As Name: UNIVERSITY OF FLORIDA  
 DUNS: 2000-099-0200  
 20000991400  
 06/03/2009  
 \$556,404  
 \$556,404  
 06/15/2009  
 05/1/2012  
 Grant  
 47-002  
 490191 - R&A RECOVERY ACT  
 DISBURSES OF THE ABOVE AWARD SPENDING ON  
 08-12716  
 06062014  
 145031897  
 211800205 DEP & SELF RECOG  
 Michael L. Shankard  
 703-293-8442  
 mshank@ufl.gov

**Awardee Location:**  
 Street: 1 UNIVERSITY OF FLORIDA  
 City: GAINESVILLE  
 State: FL  
 ZIP: 32611-2002

No.	Research.gov Element Name	ARRA Report Element Name
5	Primary Program Source	Program Source (TAS)
6	Federal Award ID Number	Award Number
7	DUNS ID	Recipient DUNS Number
10	CFDA Number	CFDA Number
20	Cong. District	Recipient Cong. District
23	Transaction Type	Award Type
24	Award Date	Award Date
25	Abstract at Time of Award	Award Description
26	Award Title or Description	Project Name or Proj/ Prog Title
33	Funds Obligated to Date	Amount of Award
48&	Street	Primary Place of

# Sample Quarterly Report

samplequarterreport [Read-Only] [Compatibility Mode] - Microsoft Excel

Recipient Report: Grant or Loan			Version: 1.1
<b>Prime Recipient</b>			
<b>Reporting Information</b>			
Award Type*	Award Number*	Final Report*	
Grant	0999999	N	
<b>Award Recipient Information</b>			
Recipient DUNS Number*	Recipient Account Number	Recipient Congressional District*	
123456789		29	
<b>Award Information</b>			
Funding Agency Code*	Awarding Agency Code*	Award Date*	
4900	4900	07/23/2009	
Amount of Award*	CFDA Number*	<b>Agency Drop-Down List:</b> 0500 - Government Accountability Office <b>Program Source (TAS) Drop-Down List:</b> 05-0108-Salaries and Expenses, Recovery Act	
\$315,000.00	47.082		
Program Source (TAS)*	Sub Account Number for Program Source (TAS)	<b>Know the code and want to check the name? Search by Code</b> <b>Enter Agency Code:</b> 0500 Agency Name: Government Accountability Office <b>Enter Program Source (TAS) Code:</b> 05-0108 Program Source (TAS) Name: Salaries and Expenses, Recovery Act	
49-0101		<b>Know the name and want to find the code? Search by Name</b> <b>Enter Agency Name:</b> Government Accountability Office Agency Code: 0500 <b>Enter Program Source (TAS) Name:</b> Salaries and Expenses, Recovery Act Program Source (TAS) Code: 05-0108	
Total Number of Sub Awards to Individuals*	Total Amount of Sub Awards to Individuals*		
0.00	\$0.00		
Total Number of Payments to Vendors less than \$25,000/award*	Total Amount of Payments to Vendors less than \$25,000/award*		
0.00	\$0.00		
Total Number of Sub Awards less than \$25,000/award*	Total Amount of Sub Awards less than \$25,000/award*		
0.00	\$0.00		
Award Description*			

Instructions Prime Recipient Sub Recipients Vendors

start | NSF Wi... | Inbox ... | 2 Win... | Present... | 2 Fire... | Microso... | 12:15 PM

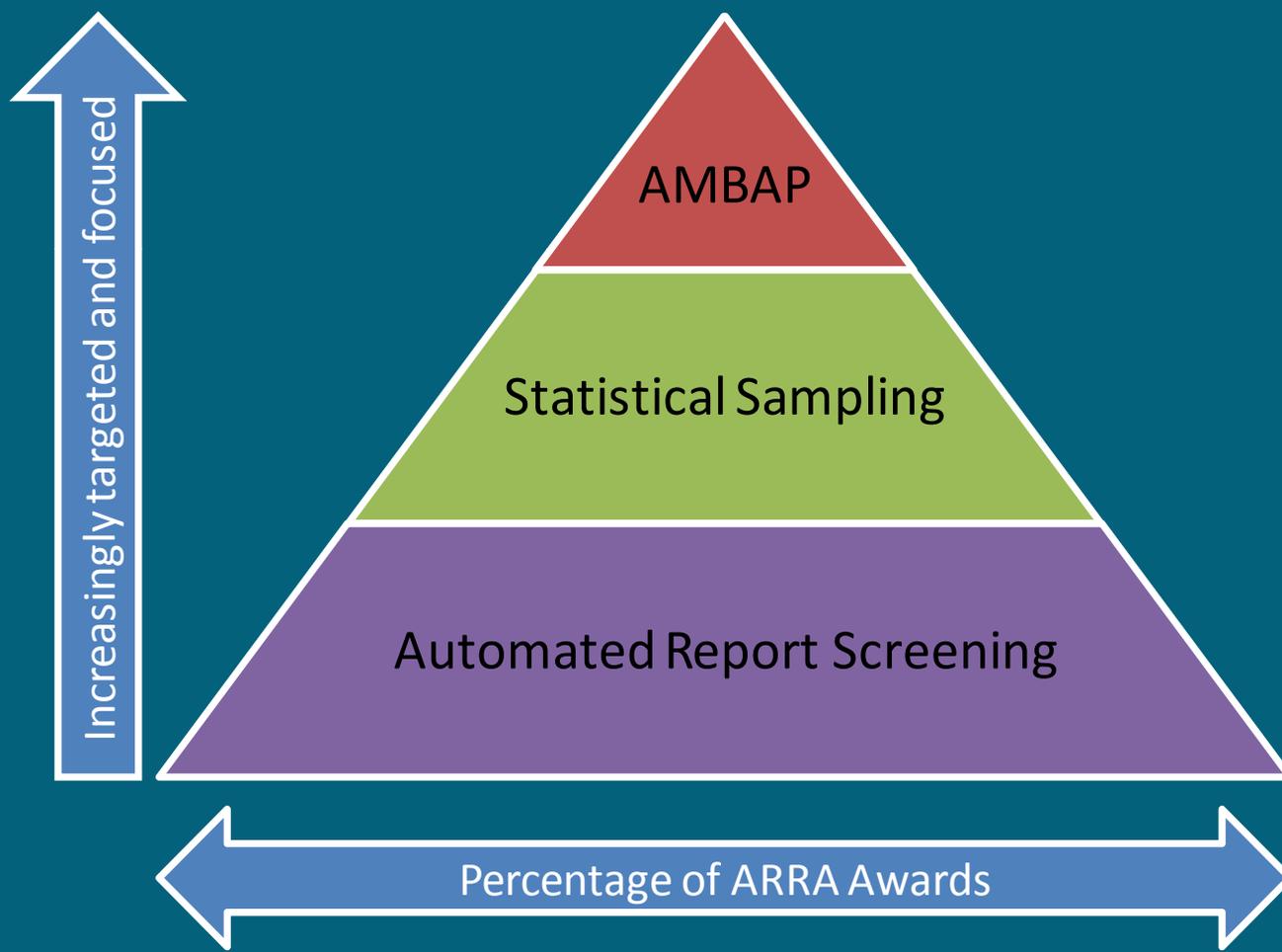
# Agency Responsibilities

- ▣ Agencies will conduct data quality reviews of submitted reports. The purpose of such reviews is to identify and avoid “material omissions and significant reporting errors” by grantees. The primary focus of the review is on reported data that could lead to the public being misled about the purpose, intent, and scope of award.
  
- ▣ Agencies are required to classify submitted reports using the following 3 categories:
  - Not reviewed by agency;
  - Reviewed by agency, no material omissions or significant reporting error identified; and
  - Reviewed by agency, material omissions or significant reporting errors identified.
  
- ▣ Agencies are required to continuously evaluate recipient and subrecipient efforts to meet Section 1512 requirements as well as the requirements of the OMB implementing guidance.

# Components of NSF's Data Quality Process



# Recipient Report Review Mechanisms





ARRA questions also may be directed to the Policy Office/DIAS at: [policy@nsf.gov](mailto:policy@nsf.gov)