



10 Things You Need to Know About National Science Foundation Financial Reporting and Cash Requests

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Management Section

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Grantee Cash Management Section

Grantee Cash Management Section

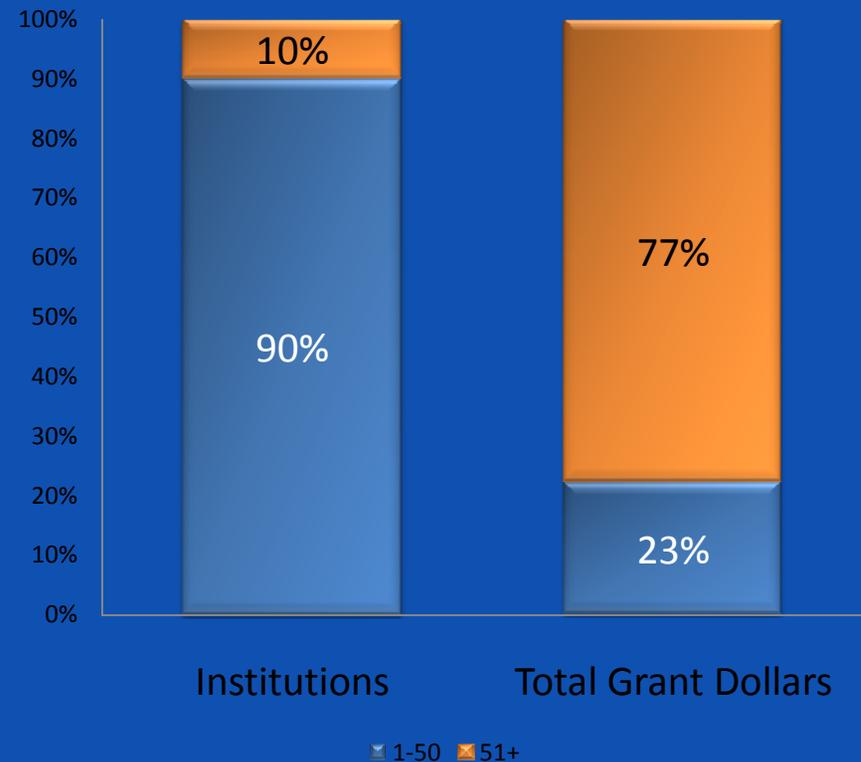


Customers: 1,816 active grantee organizations with 51,527 active awards

Institution Grant Analysis

Number of Grants	Institution Count	Percent
1	680	37.44%
2-3	430	23.68%
4-5	157	8.65%
6-15	229	12.61%
16-30	92	5.07%
31-50	52	2.86%
51-100	53	2.92%
101-200	44	2.42%
201-300	26	1.43%
301-500	29	1.60%
501+	24	1.32%
Grand Total	1816	100.00%

Distribution of Grant Dollars



*as of 01/2011

Institution Grant Analysis

(continued)

- **Out of a total of 1,816 Institutions with 51,527 grants:**
 - 37% or 680 have one grant
(average amount of \$1.133 million)
 - 70% or 1,267 have 5 or less grants
 - 90% or 1,640 have 50 or less grants
 - 10% or 176 have 51 or more grants.
These institutions have 84% (43,081) of the total grants and receive 77% of the funds.
 - 1% or 24 have over 500 grants each
(highest being 853)

What's New

- New ability to designate a “Financial Representative” who has no FastLane Permissions
- Survey Results
- Payment process change is moving forward; NSF is moving a Pooling basis to a Grant by Grant basis

Grantee Survey Results

What we learned

- Strengths Noted:
 - FastLane Financial Function is user friendly
 - Helpful and responsive staff
 - Overall customer satisfaction
- Proposed grant-by-grant payment draw request feedback:
 - Some concerns noted by larger institutions
 - Large majority of respondents indicated having the human and system resources already in place to accommodate this change.

Grantee Survey Results

What we learned

- Areas of Improvement Noted:
 - Timeliness of funds deposit
 - Enhancement of the FFR
- System enhancement suggestions
- Survey results are available at the following link: <http://www.nsf.gov/bfa/dfm/docs.jsp>

System Updates on the horizon...

- Cash Request and history improvements* when we migrate to Research.gov
- Next day deposits*
- EFT banking info will be collected from CCR for all grantees
- **Identifying “new” and “canceling” awards on the FFR***
- **Linking award numbers on the FFR to the award detail information***
- Improvements to Program Income reporting (pre-population, etc...)
- Improving on-line help and training available*

*Improvement suggested on survey

Grant by Grant Payment Requests #8

Where are we at?

- Developing Requirements
- Communications/Outreach
 - Internal Users
 - External Users
 - Other Federal Agencies
- Discussing Reconciliation process options
- Eliminate the need for a Quarterly FFR
- Determining Final Timeline
 - Estimated implementation October 2012

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February 07, 2011

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[Policy Library](#)

An electronic library that consolidates Federal and agency-specific policies, guidelines and procedures for use by Federal agencies and the awardee community. Agency-specific documents are included only for Research.gov partner agencies.



[Grants Application Status](#)

Principal Investigators and Sponsored Projects Office staff can check the status of grant applications, from submission to decision, submitted to NSF and USDA/NIFA. Account Required.



[Federal Financial Report](#)

Institutions can prepare and submit grant financial reports to NSF using the new government-wide standard form. Account Required.



[Project Outcomes Report](#)

New! Principal Investigators can prepare and submit the Project Outcomes

RECOVERY.GOV

Learn More About the American Recovery and Reinvestment Act of 2009.

[Learn More](#)

Events

March 4 - 6, 2011

[NCURA Financial Research Administration \(FRA\) 12 Conference](#)

March 21 - 22, 2011

[NSF Regional Grants Conference](#)

March 27 - 30, 2011

[SRA Southern/Northeast Section Meeting](#)



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My Weather

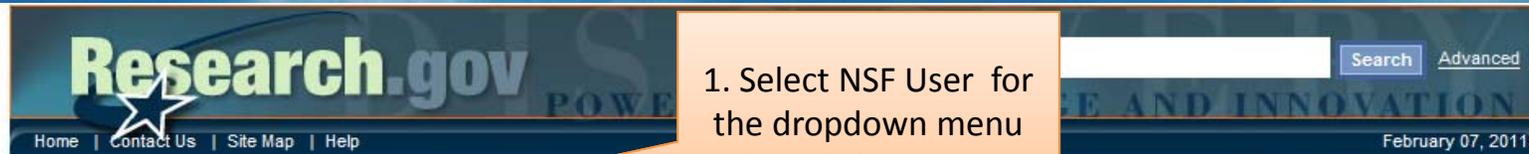
What is Research.gov?

Research.gov is a...

- New initiative that enables organizations and grantees to have a one place access to a menu of services for multiple federal agencies.
- Modernization of FastLane that provides a menu of services:
 - tailored to meet the unique needs of the research community.
 - aimed at easing the grants administrative burden.
- Research-oriented solution for delivering services under the Grants Management Line of Business initiative.

Logging into Research.gov

#7

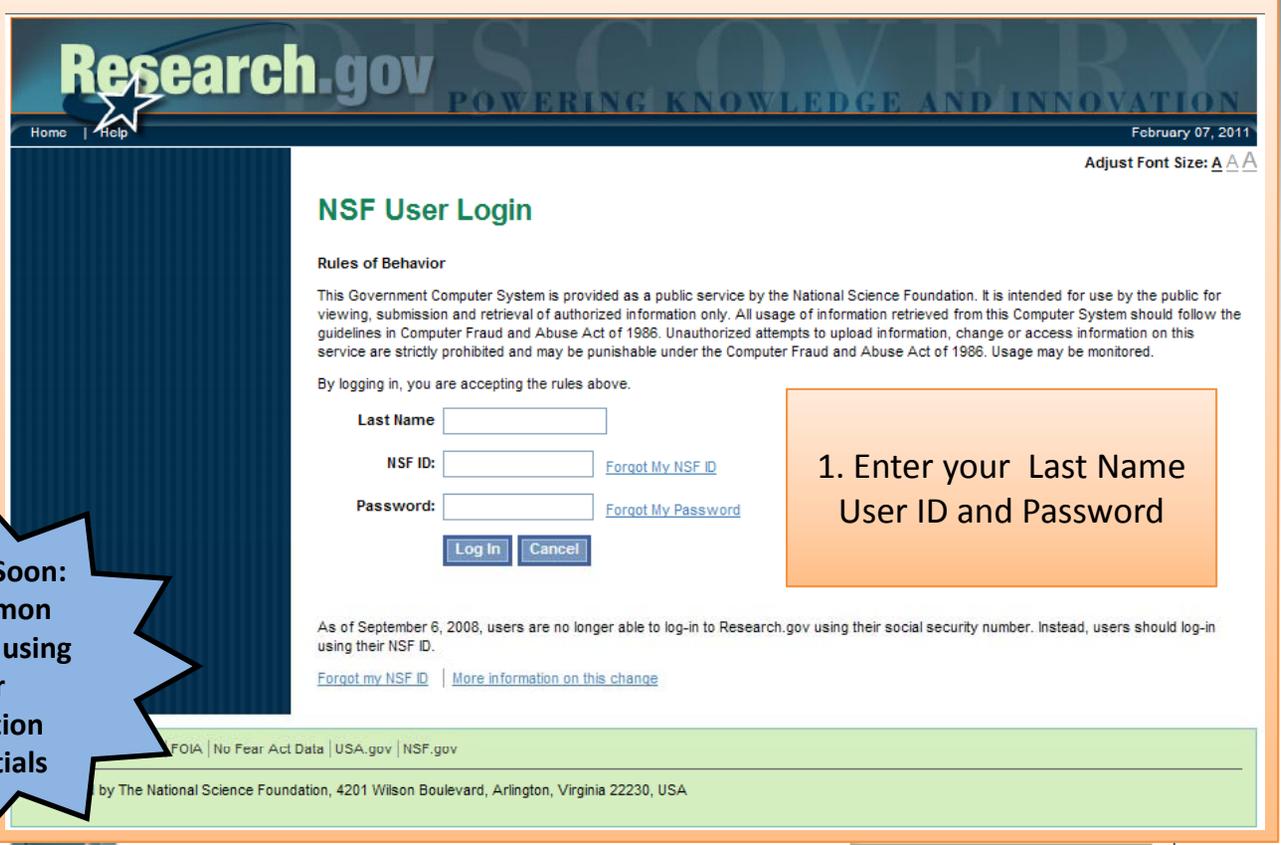


1. Select NSF User for the dropdown menu then click on Login



Coming Soon: Single sign-on between Research.gov and FastLane

Coming Soon: In Common logon using your institution credentials



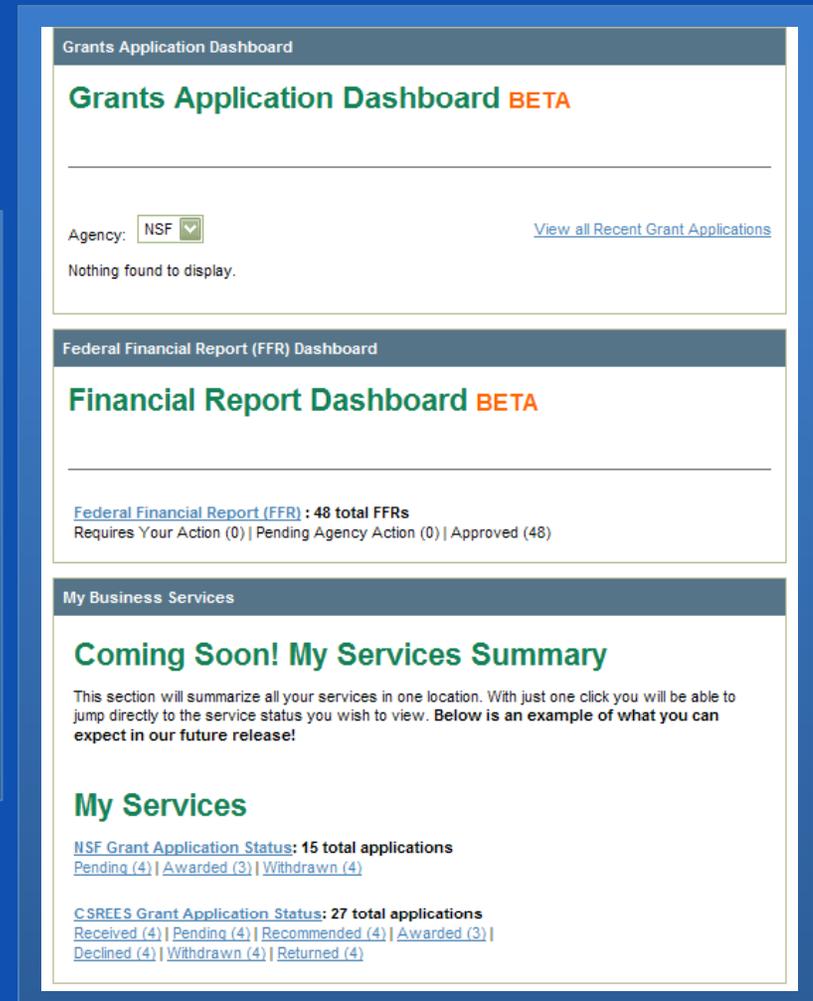
1. Enter your Last Name User ID and Password



Differences from the FastLane FFR

- The *Navigation Menu* and *Dashboard* environment are new:

User navigation options will most likely be found on the green bar located on the left of the screen or in a dashboard window located in the center.



Differences from the FastLane FFR

(continued)

- Historical FFR reports are available in the dashboard and are no longer selected from a drop-down list.
- Grantees with a single NSF award are no longer required to complete an FFR Attachment. All entries are made on the FFR main page.
- Changes made to user permissions are not reflected in Research.gov until the next business day.
- Features available both FastLane and Research.gov FFRs:
 - Printing report to a PDF format
 - Downloading data to MS Excel format
 - Uploading user report data with completed MS Excel file

Differences from the FastLane FFR (continued)

Research.gov - Federal Financial Report Attachment

FEDERAL FINANCIAL REPORT

- FFR Attachment
- FFR
- Certification
- Advances/Reimbursements
- Awards Purged
- FFR History

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 - Research Spending & Results
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FFR Attachment for Quarter Ending: 12/31/2010

XXXXXXX AL | XXXXXXXX
Quarter Ending : 12/31/2010 | Due Date: 02/12/2011

OMB APPROVAL: 0348-0061

View:

2 Grants Found. Showing Results 1-2

PAGE: 1 of 1

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Federal Grant Number	Recipient Account Number	PI/PO Name	From	To	Total Federal Funds Authorized (A1)	Previous Cumulative Cash Disbursements (A2)	Federal Share of Expenditures (Cumulative Cash Disbursements) (A3)	Unobligated Balance of Federal Funds (A4)	Hold Grant Open
0633333	G233010	Dol	05/07	04/10	\$29,687.56	\$29,687.56	\$29,687.56	\$0.00	Financially Closed
0956874	<input type="text" value="G233011"/>	Dol	09/10	08/11	\$19,114.00	\$18,095.67	\$18,100.00	\$1,014.00	
Totals					\$48,801.56	\$47,783.23	\$47,787.56	\$1,014.00	

Quick Search for a single grant by Federal Grant Number:

Federal Grant Number

Differences from the FastLane FFR

(continued)

FEDERAL FINANCIAL REPORT

- FFR Attachment
- FFR
- Certification
- Advances/Reimbursements
- Awards Purged
- FFR History

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FFR Attachment for Quarter Ending: 12/31/2010

[FFR Help](#)
 XXXXXXXX | FL | XXXXXXXX
 Quarter Ending : 12/31/2010 | Due Date: 02/12/2011
 OMB APPROVAL: 0348-0061

- Warning: The amount of cumulative cash disbursements is less than the amount previously reported for awards 0421178, 0441095, 0454501, 0547178. Please review the amount entered and correct if necessary.

View New
 1 Gra New
 Show Canceling
All

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Federal Grant Number	Recipient Account Number	PI/PD Name	From	To	Total Federal Funds Authorized (A1)	Previous Cumulative Cash Disbursements (A2)	Federal Share of Expenditures (Cumulative Cash Disbursements) (A3)	Unobligated Balance of Federal Funds (A4)	Hold Grant Open
★ 1023456	800000638	Su	10/10	09/14	\$124,225.00	\$0.00	\$0.00	\$124,225.00	

Quick Search for a single grant by Federal Grant Number:

Federal Grant Number

Canceling Appropriations

Federal Appropriation Law

- Federal funds are made available for obligation and expenditure by means of appropriation acts or occasionally by other legislation and the subsequent administrative actions that release appropriations to the spending agencies.

Key Appropriation Terminology	
One-Year	Current or unexpired
Multi-Year	Expired
No-Year	Canceled

Canceling Appropriations

Examples of the Issue

Inst Name	# of Awards with Canceling Funds	Canceling Amount
Observatory	2	\$955,749.97
University of N.	4	\$834,544.20
University of C.	8	\$786,778.26
State University	9	\$735,818.30
University of M.	17	\$701,238.43
University of T.	9	\$690,164.84
M. University	4	\$622,674.05
State Univ	12	\$485,258.37
State University	8	\$432,175.65
Institution	5	\$380,750.73

Canceling Appropriations

Scenario One

- Award Example – **0500001**
- Award Amount – **\$500,000**
- Project Period – **07/01/2005 – 06/30/2010**
- Funding Mechanism – **Standard Grant** – 5 Year
– *funded all up front with 05/06 appropriation*
- Institution requests 12 Month NCE – **OK**
– *new end date becomes **06/30/2011***
- Institution requests a second 12 Month NCE – **NO**
– *NCE extension can not extend end date past **09/30/2011** – only 3 months can be granted*

Canceling Appropriations

Appropriation Example Timeline

	Multi-Year Example	Actual Fiscal Year	Scenario One
YR 1	Current	FY 2005 Funding Action (\$500,000)	07/01/05 – 09/30/05
YR 2	Current	FY 2006	10/01/05 – 09/30/06
YR 3	Expired	FY 2007	10/01/06 – 09/30/07
YR 4	Expired	FY 2008	10/01/07 – 09/30/08
YR 5	Expired	FY 2009	10/01/08 – 09/30/09
YR 6	Expired	FY 2010 First 12 Month NCE	10/01/09 – 06/30/10 07/01/10 – 09/30/10
YR 7	Expired	FY 2011 Second NCE (only 3 Months)	10/01/10 – 06/30/11 07/01/11 – 09/30/11
YR 8	Canceled/Closed	FY 2012	10/01/11 – ...

Canceling Appropriations

Scenario Two

- Award Example – **0500002**
- Award Amount – **\$600,000**
- Project Period – **07/01/2005 – 06/30/2010**
- Funding Mechanism – **Continuing Grant** – 5 Year (3 Increments)
 - *First increment \$200,000 funded up front with 05/06 appropriation*
 - *Second increment \$200,000 funded 07/01/2006 with 06/07 appropriation*
 - *Third increment \$200,000 funded 07/01/2007 with 07/08 appropriation*
- Institution requests 12 Month NCE – **OK**
 - *new end date becomes **06/30/2011***
- Institution requests a second 12 Month NCE – **OK**
 - *new end date becomes **06/30/2012***
 - *Any unspent portion of the first increment (\$200,000) will be canceled 09/30/2011*
 - *Remaining unspent portions of the second and third increments will be available to new end date of 06/30/2012*

Canceling Appropriations

Appropriation Example Timeline

	Multi-Year Example	Actual Fiscal Year	Scenario Two
YR 1	Current	FY 2005 First Increment (\$200,000)	07/01/05 – 09/30/05
YR 2	Current	FY 2006 Second Increment (\$200,000)	10/01/05 – 09/30/06
YR 3	Expired	FY 2007 Third Increment (\$200,000)	10/01/06 – 09/30/07
YR 4	Expired	FY 2008	10/01/07 – 09/30/08
YR 5	Expired	FY 2009	10/01/08 – 09/30/09
YR 6	Expired	FY 2010 First 12 Month NCE	10/01/09 – 06/30/10 07/01/10 – 09/30/10
YR 7	Expired	FY 2011 Second 12 Month NCE	10/01/10 – 06/30/11 07/01/11 – 09/30/11
YR 8	Canceled/Closed	FY 2012 (First Increment Only) Second/Third Increments - OK	10/01/11 – ... 10/01/11 – 06/30/12

Canceling Appropriations

Summary

- Public Law 101-510 requires that all federal agencies financially close fixed year appropriation accounts and cancel any remaining balances by September 30th of the 5th year after the period of availability.
- All NSF awards funded with FY 05/06 appropriations are due to cancel on 09/30/2011.
- These grants may not be extended past 09/30/2011 due to an edit built into the FastLane ***No-Cost Extension*** system.
- The federal appropriation and not the effective/expiration dates of the award determines when it will cancel.
- Starting in February, GCMS accountants will contact all grantees with awards with cancelling funds.

Canceling Appropriations

Using a Preliminary FFR

- A preliminary FFR for quarter ending 09/30/20XX becomes necessary when a grantee has expenditures to report against an award with un-liquidated funds available which had been funded by an appropriation which will be canceled at the end of the federal fiscal year.
- If you receive notice from your accountant indicating your institution has an award affected by cancelling appropriations, you may request a preliminary FFR.
- Preliminary FFR Timeline:
 - Generated typically around September 1st of each year
 - Due September 15th
 - Only includes the awards for which the reports have been requested
 - Available on FastLane or Research.gov

Preliminary FFR

Key Points to Remember

- Expenses are posted by NSF manually and the reported expenditure amount will show up on the official FFR as “financially closed”
- Award is closed internally and the remaining funds are de-obligated
- If only a portion of the award was funded with the canceling appropriation, only that portion will be reduced but not whole award
- Once appropriation is canceled, no future adjustments will be accepted against the appropriation
- If a refund becomes necessary due to a reduction of allowable expenditures, a refund will be required via Pay.gov or check and the associated credit will not be reflected on future FFR's

Cash on Hand Reconciliations

- Common issues grantees have:
 - Refunds credited to canceled appropriations don't appear on the FFR – manual reconciliation item
 - Lingering difference that lasts until the final award expires leaving a balance at the end with no active awards
 - Reported expenditure or cash draw errors that are not caught in the institution reconciliations
 - Crediting refund errors
 - Tax debt offset credit withholdings either to/from NSF

Fixing Mistakes on Cash Requests

- Cash requests can be canceled if an error is identified:
 - Call the assigned Accountant
 - Only available for the same day the cash request was submitted
- Refund can be made if mistake is noticed late:
 - Pay.gov
 - Check by mail: address available under website FAQ's <http://www.nsf.gov/bfa/dfm/cmeab.jsp>

New Staff – Resources Available

- We are here to help your financial staff get set-up:
 - How to gain access to FastLane/Research.gov
 - Begin requesting cash payments
 - Submitting quarterly reports
 - How to use Research.gov/FastLane Financial Functions
- Outreach Visits
 - If interested, we could come to you on one of our next outreach trips to provide assistance.

Additional Tools Available

- Custom Cash Request History Reports
- Financial Function Tip Sheets/Manuals
- FastLane Demonstration Site

<https://www.fldemo.nsf.gov/jsp/homepage/faulogin.jsp>

- Organizational Reports

FastLane/Research Administration/Organizational Reports

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