



NSF Regional Grants Conference
ARRA Recipient Reporting &
America COMPETES Act
Implementation

March 22-23, 2010

Hosted by: Case Western Reserve University, Cleveland, OH

Panelist

- **Jean Feldman**

Head, Policy Office, Office of Budget,
Finance & Award Management, Division of
Institution & Award Support



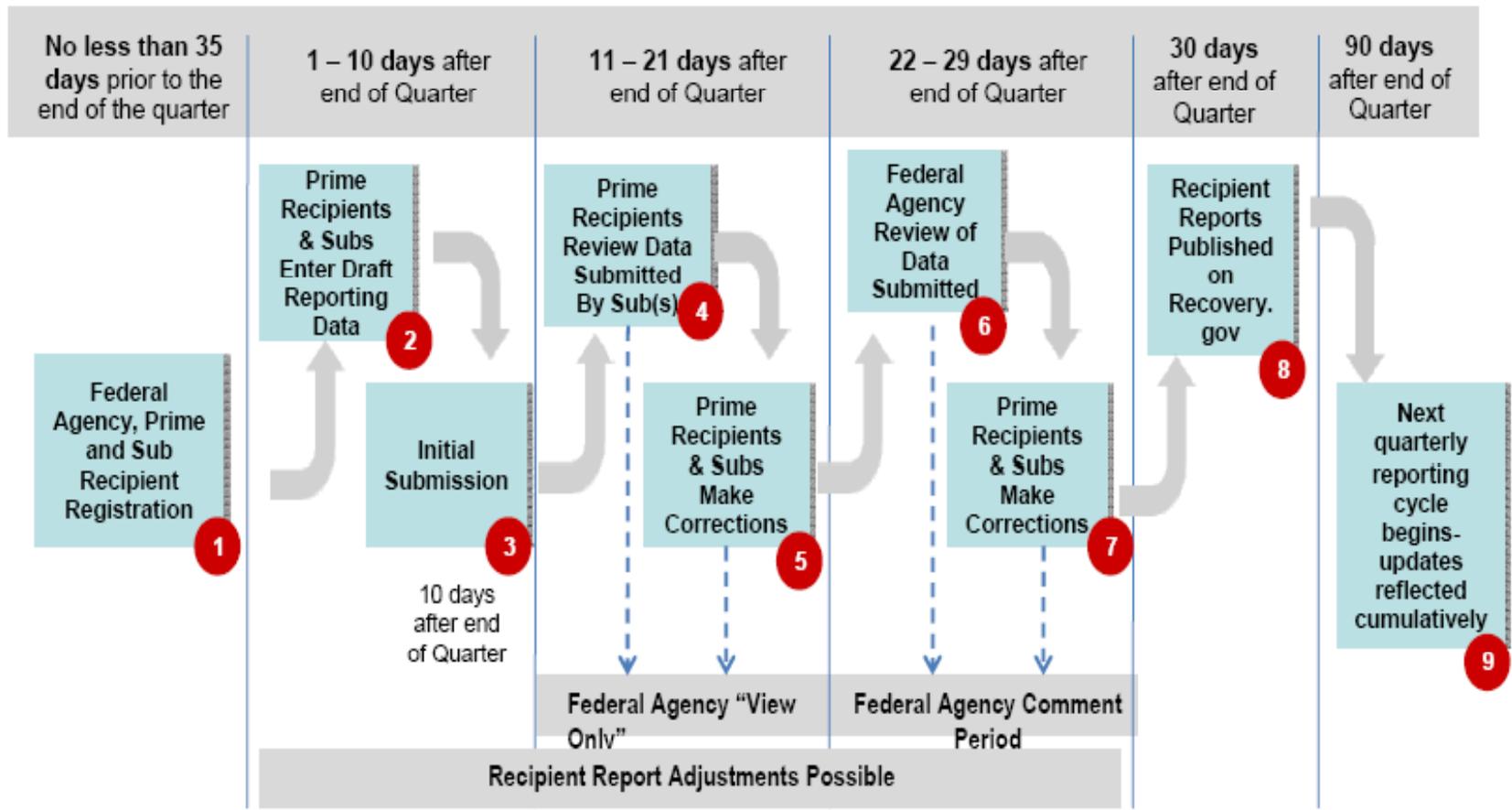
ARRA: Transparency and Accountability Requirements

- The OMB expectation is for a high level of accountability and transparency from both agencies and recipients.
- Higher scrutiny from:
 - Administration
 - Congress
 - Public
 - Recovery Act Accountability & Transparency Board
 - NSF Office of the Inspector General (OIG)

NSF ARRA Implementation

- Reporting and Accountability Requirements & 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.
 - Exemptions from reporting include awards to individuals & awards less than \$25,000
 - 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.

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



Report Status:



ARRA Recipient Reporting

Each NSF award that includes ARRA funding requires the recipient to submit quarterly reports to a central Federal website.

Quarterly Federal Data Quality Review:



NSF's Stage 1 Review Process

- “Non-Compliant” Awards
 - A list of non-reporting awards and recipients is sent to OMB, Recovery Act Board and our OIG.
 - Two time non-reporters are receiving high scrutiny
- *Reported data* is screened to identify significant reporting errors. Fields reviewed are in 5 data elements:
 - Award Number
 - Amount of Award
 - Recipient Name/DUNS
 - Number of Jobs
 - Total Amount of ARRA Expenditure

NSF Stage 2 Review Process

- Agencies are required to continuously evaluate recipients for compliance with ARRA Section 1512 requirements and the requirements of the OMB implementing guidance.
- Data Screening - Reported data is screened for “Major 2-” and “Minor” Issues (31 items)
- Sampling PO review - A statistical sample of reports will be selected to review fields that cannot be reviewed through screening. Fields include: Award Title, Award Description, Quarterly Activities/Project Description, and Description of Jobs Created
- Expenditure check - Reported expenditure data is compared against FFR submission for that quarter.
- Recipient notified at end of quarter via e-mail to make corrections next quarter

ARRA Recipient Reporting: First Quarter Results

- NSF ARRA Reporting 98%!
- Total of 107 out of 4,502 awards did not report
 - 107 awards at 87 institutions
- No Uncorrected Significant Errors
 - All errors noted by NSF on Federalreporting.gov were corrected by 29th.

ARRA Recipient Reporting: Second Quarter Results

- Communicated reminder to report; recipients that did not report received three reminders in January 2010
- Due date extended from January 10th to 22nd
- Federal Review January 24th to 29th
- NSF ARRA Reporting 99.6%!
- Total of 15 out of 4,535 awards did not report
– 15 out of 820 institutions
- Less than .1% Uncorrected Significant Errors (5)

ARRA Recipient Reporting: Guidance Changes

- M- 10-08 dated 12/18/09 “ Updated Guidance on ARRA – Data Quality, Non Reporting Recipients and Reporting of Jobs Estimates.”
 - More prescriptive federal data quality guidelines
 - Job estimates
 - Change to quarterly reporting
 - Definition change – report jobs created/retained that were funded with ARRA funds that quarter

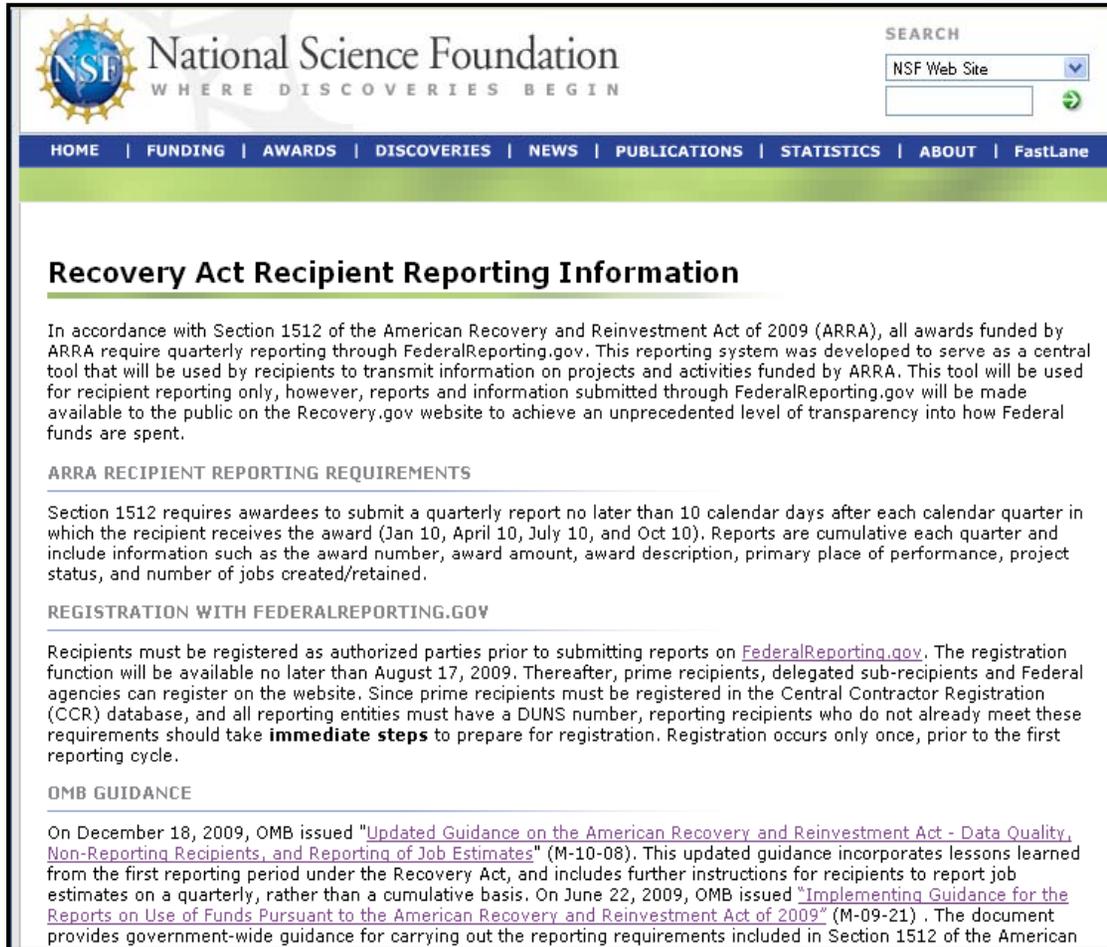
ARRA Recipient Reporting: Frequent Issues & Errors

- Most Frequent Issues:
 - Incorrect Data that cause federal agencies to not receive your report - Award Number, Agency Code
 - Submission issues – registration, draft
 - Duplicate reporting
- Top 4 Errors
 - Award Number
 - Award Date
 - Treasury Account Symbol
 - Expenditure Amount
- Don't change prior quarters – fix prospectively unless a significant error.

ARRA Reporting Requirements – 99 data elements

- Federal Funding Agency
- Award identification
- Recipient D-U-N-S
- Recipient CCR information
- CFDA number
- Recipient Congressional District
- Recipient account number
- Project/grant period
- Treasury Accounting Symbol
- Award type, date, description, & award amount
- Total Federal Amount of ARRA expenditures
- 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

NSF Recipient Reporting Website



The screenshot shows the NSF Recipient Reporting Website. At the top left is the NSF logo with the text "National Science Foundation 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 | FastLane. The main content area has a heading "Recovery Act Recipient Reporting Information" followed by a paragraph explaining the reporting requirements under the American Recovery and Reinvestment Act of 2009 (ARRA). Below this are three sections: "ARRA RECIPIENT REPORTING REQUIREMENTS", "REGISTRATION WITH FEDERALREPORTING.GOV", and "OMB GUIDANCE", each with a brief description of the requirements and guidance.

- Registration with FederalReporting.gov
- OMB Guidance
- NSF Guidance
 - <http://nsf.gov/recovery/reporting.jsp>

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 28, 2009 – changes are identified in red

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) 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, v.3.0)	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: fips85-2.pdf Latest Reference: NIST Special Publication 800-87	Select/Enter '4800' 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.

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. From the main page of Research.gov, click the Research Spending and Results link to navigate to the search page.

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 QuickFIND document.

Research Spending and Results Detail

Grant Detail	
Awardee:	UNIVERSITY OF FLORIDA
Doing Business As Name:	University of Florida
State:	Thurgood, Fla 352-392-8205 239049187.edu
Award Date:	06/29/2009
Estimated Total Award Amount:	\$556,404
Funds Obligated to Date:	\$556,404
Award Start Date:	06/15/2009
Award Expiration Date:	05/31/2012
Transaction Type:	Grant
Agency:	NSF
CFDA Number:	47-802
Primary Program Source:	480191 - ARRA RECOVERY ACT
Award Title or Description:	ORIGINATION OF THE SEABOARD ACC-ACCESS SIGNING SA
Federal Award ID Number:	08-02718
DUNS ID:	000000000
Parent DUNS ID:	152831827
Program:	5V18B0555 DEF & SELF RECOG
Program Officer:	MICHAEL L. MCKINRA 703-293-8442 mmckinr@nsf.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



NSF Implementation Activities

The America COMPETES Act

SEC 7008: Postdoctoral Research Fellows

- “Mentoring - The Director shall require that all grant applications that include funding to support postdoctoral researchers include a description of the mentoring activities that will be provided for such individuals, and shall ensure that this part of the application is evaluated under the Foundation's broader impacts merit review criterion. Mentoring activities may include career counseling, training in preparing grant applications, guidance on ways to improve teaching skills, and training in research ethics.
- Reports - The Director shall require that annual reports and the final report for research grants that include funding to support postdoctoral researchers include a description of the mentoring activities provided to such researchers.”

SEC 7008: Postdoctoral Research Fellows

NSF Implementation:

- Each proposal that contains postdoctoral researchers must include, as a supplementary document, a description of the mentoring activities that will be provided for such individuals. The mentoring plan must not exceed one page.
- This one-page limitation also is applied to proposals with subawards, and, separately submitted collaborative proposals.
- The Return without Review section and the Proposal Preparation Checklist emphasize that proposals that do not describe mentoring activities provided to postdoctoral researchers **will be** returned without review.

SEC 7009: Responsible Conduct of Research

“The Director shall require that each institution that applies for financial assistance from the Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project.”

SEC 7009: Responsible Conduct of Research

- Implementation Plan:
 - While training plans are not required to be included in proposals submitted, institutions are advised that they are subject to review upon request.
 - NSF modified its standard award conditions to clearly stipulate that institutions are responsible for verifying that undergraduate students, graduate students, and postdoctoral researchers supported by NSF to conduct research have received RCR training.
 - NSF will support the development of an on-line digital library containing research findings, pedagogical materials, and promising practices regarding the ethical and responsible conduct of research.

SEC 7009: Responsible Conduct of Research – Status Update

- Formally implemented the RCR requirement in the revised Proposal & Award Policies & Procedures Guide (NSF 10-1)
- Effective for proposals submitted, or due, on or after January 4, 2010
- Applicable Sections in the GPG and the AAG updated
- Certification Screen in FastLane has been revised to incorporate the RCR Certification

SEC 7009: Responsible Conduct of Research – Status Update

- Funded on-line resources
 - NSF Award 0936857, PI: Fountain, University of Massachusetts, Amherst. <http://www.umass.edu/sts/digitallibrary/>
 - NSF Award 0936865, PI: Hollander, National Academy of Sciences. <http://www.onlineethics.org/CMS/about/UserGuide/18848.aspx>
- RCR Page on the NSF Policy Website
 - <http://www.nsf.gov/bfa/dias/policy/rcr.jsp>
 - Federal Register Notices
 - NSF Implementation
 - FAQs

SEC 7010: Reporting of Research Results

- Section 7010 requires that all final project reports and citations of published research documents resulting from research funded, in whole or in part, by the Foundation, are made available to the public in a timely manner and in electronic form through the Foundation's Website.

SEC 7010: Reporting of Research Results

- The new report will be prepared and submitted via Research.gov. PIs will be required to prepare a summary – specifically for the public – on the nature and outcomes of the award.
- Implemented via revisions to the NSF Agency Specific Requirements to the standard Grant Conditions
- Effective January 4, 2010, new awards and funding increments to existing awards incorporate the new requirement.

Project Outcomes Reporting Tool on Research.gov

PIs/co-PIs will:

- Log into Research.gov with FastLane log in
- See the Project Outcomes Report Dashboard on home page
- See the number and status of required reports:
 - Due
 - Overdue
 - Submitted
 - Not yet due
- Click on link to view, prepare, and submit reports

Research.gov POWERING KNOWLEDGE AND INNOVATION

Home | Contact Us | Site Map | Help

Welcome John Smith | My Profile | Logout | September 28, 2009

Print Page Adjust Font Size: A A A

MY DESKTOP

Research.gov Services

- Grants Application Status
- Research Spending & Results
- Policy Library
- Project Outcomes Report

Who We Are

- Service Offerings
- News
- Science & Innovation

FEEDBACK

Tell us what you think

Grants Application Status Dashboard

Agency: ALL [View All](#) | [Search Grant Applications](#)

Agency	Agency Tracking Number	Submitting Institution	Descriptive Title of Project	Status	Status Date	Requested Amount
NSF	0414395	Arizona State University	Donec nunc at urna. Et al varius varius sem	Awarded	05/01/2009	\$365,372
CSREES	2007-05080	Kansas State University	Donec nunc at urna. Et al varius varius sem	Awarded	05/01/2009	\$642,671
CSREES	2007-04978	Kansas State University	Donec nunc at urna. Et al varius varius sem	Awarded	05/01/2009	\$5,400,000
DoDIARO	55995	University of Washington	Donec nunc at urna. Et al varius varius sem	Awarded	05/01/2009	\$100,000
NSF	0414395	Kansas State University	Donec nunc at urna. Et al varius varius sem	Awarded	05/01/2009	\$365,372

The displayed grant applications have had a status change during the last six months (maximum of 10 displayed). Grant Application Statuses are updated nightly for NSF and DoDIARO, and every Friday for CSREES.

Project Outcomes Report Dashboard

[Project Outcomes Report](#) : 8 Total
Due (1) | Overdue (1) | Submitted (4) | Not Yet Due (1) | Waived (1)

My Links

Group Header Name [Link Name Here](#)

Science & Innovation

Explore Science & Innovation

Events

August 7 – 11, 2009 [SRA Western Section Meeting NSB Meeting](#)

August 7 – 11, 2009 [National Science Board Meeting Partnership Meeting](#)

August 7 – 11, 2009 [Center for Computational Materials Design \(CCMD\) Semi-Annual Meeting Partnership Meeting](#)

[View All Events](#)

My Weather

72° F
Partly Cloudy

Prepare Reports

Welcome John Smith | My Profile | Logout | September 28, 2009

Project Outcomes Report

Print Page Adjust Font Size: A A A

Award ID: 0558755
Report Period: 10/1/2008 to 9/30/2009

Project Outcomes Report for the General Public
The Project Outcomes Report for the General Public must be at least 200 words in length and can be up to 800 words.

Related Images
To add up to 6 supporting images, click the Add & Remove Images button below.
Photos (1 of 6) [View Full Size](#)

Image column goes here

[Add & Remove Images](#)

WYSIWYG Editor

Word Count: 150

[Cancel](#) [Preview](#) [Save](#) [Save & Submit](#)

Upload images with report:

- Must acknowledge permission granted to use image
- Maximum of 6 images

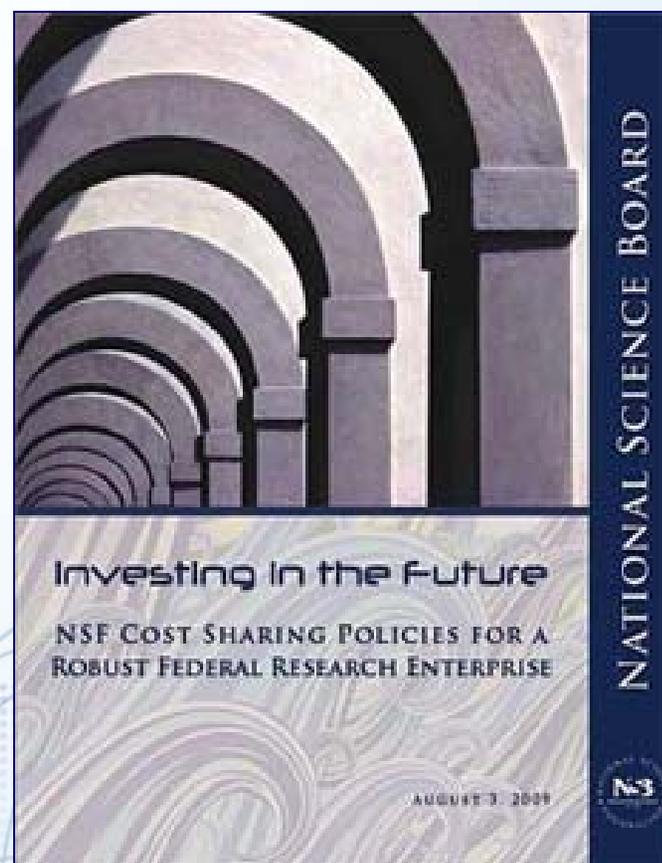
Report should:

- Address the intellectual merit and broader impacts of the work as defined in the NSF merit review criteria.
- Be brief: 200-800 words
- Be written for the lay reader by the PI or co-PI

Preview report before submitting, save report and return later to finish, or submit. PIs/co-PIs can edit report for up to 30 days following submission. Updates after 30 days can be made by adding an addendum.

Section 7013: Cost Sharing

- NSB Cost Sharing Report
 - ACA directed NSB to evaluate decision to eliminate cost sharing
 - This is the second report issued by the NSB which contains a comprehensive set of recommendations to be addressed.

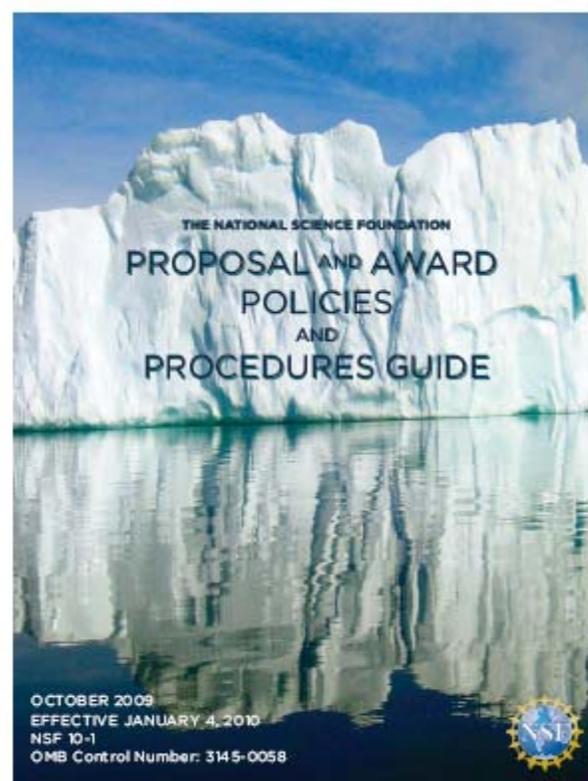


ACA: For More Information

See:

http://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp

Look for further developments in the Proposal & Award Policies & Procedures Guide (PAPPG) as ACA is implemented.



For More Information....

Ask Early, Ask Often

www.nsf.gov/staff

www.nsf.gov/staff/orglist.jsp