

NSF Proposal & Award Policies & Procedures Guide

Issued: October 1, 2009

Effective: January 4, 2010

Staff Training Sessions:

Topics Covered



- ▣ American Recovery & Reinvestment Act (ARRA)
 - NSF Award Conditions & Recipient Reporting Basics

- ▣ America COMPETES Act (ACA)
 - Mentoring for Postdoctoral Researchers (Section 7008)
 - Responsible Conduct of Research (Section 7009)
 - Reporting of Research Results (Section 7010)

The American Recovery & Reinvestment Act



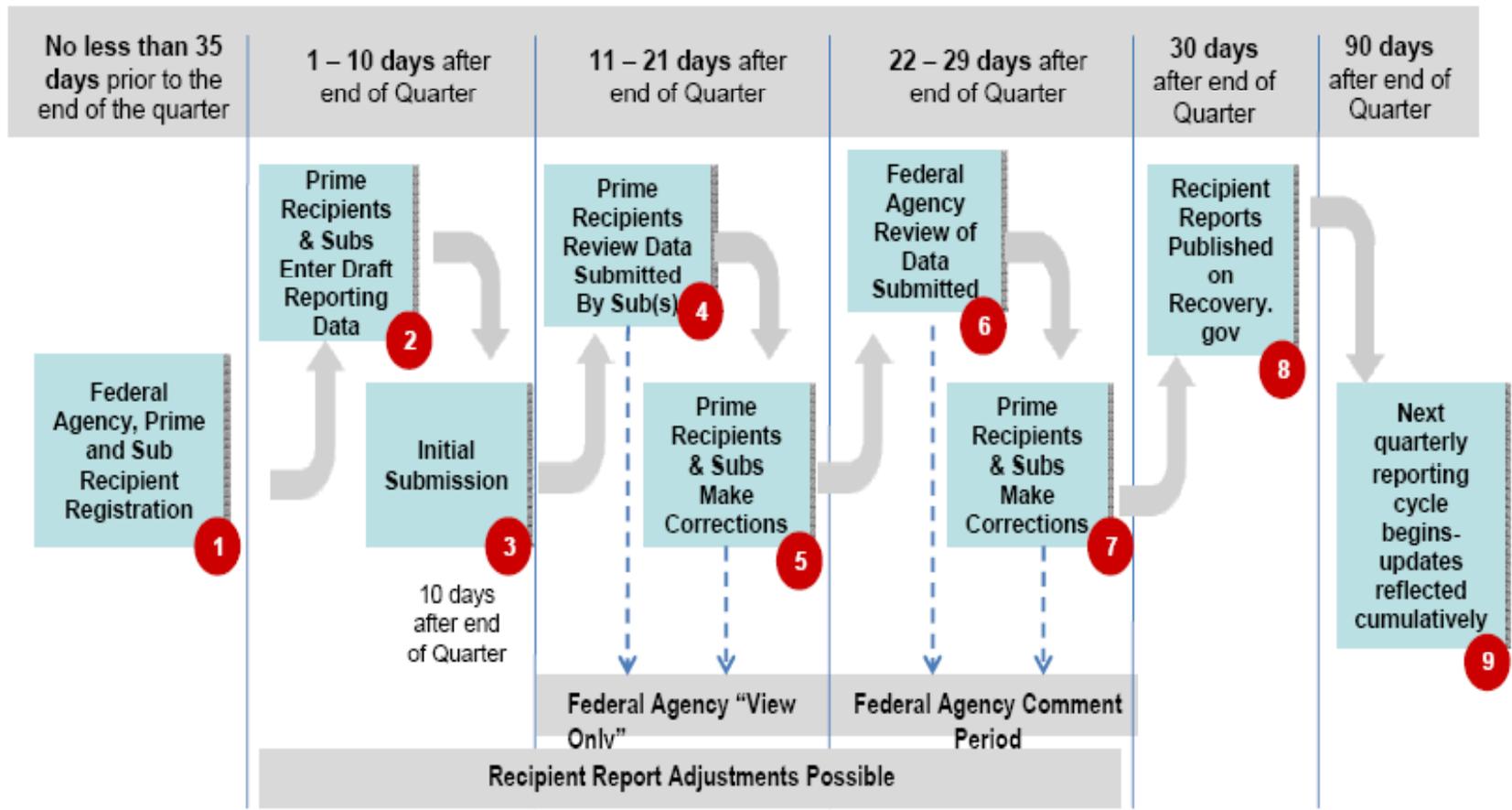
NSF Award Conditions
& Recipient Reporting
Basics

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:



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 by **October 10th**. There are 4 phases during the first 30 day period:

Phase I – Oct. 1st – 10th

- Recipient enters and submits reports

Phase 2 – Oct. 11th – 21st

- Recipients review and revise data

Phase 3 – Oct. 22nd – 29th

- Agencies conduct data quality reviews and notify recipients of errors; recipients make corrections

Phase 4 – Oct. 30th

- Reports are published on Recovery.gov

- Agency reviews are intended to identify “material omissions and significant reporting errors” that would mislead the public.
- OMB guidance allows agencies to define their own data quality review protocol and definition of “material omissions and significant reporting errors”

Agency Responsibilities

NSF's Approach to Federal Data Quality Review

☐ NSF Recipient Reporting Tiger Team

☐ Define severity categories

- Non Reporting = Material Omission reported to RATB
- Major 1 = Significant error publicly reported on FederalReporting.gov
- Major 2 = Awardee notified to correct next report

- Minor = Awardee notified of error
- No Action = Not material or there is not basis for evaluating data; optional element or populated element

☐ Define screening protocol by core of NSF tiger team (Data Match, sampling, FFR match, No action)

☐ Develop NSF specific reporting guidance

☐ Initiated ongoing outreach to support recipient reporting

☐ Develop and Implement a multi-step data review process

☐ Implement recipient notification process and maintain compliance database

☐ Integrate with NSF advanced monitoring (AMBAP) with appropriate actions

NSF's Review Process: Days 22-29

▣ "Non-Reported" Awards

- Recipients of these awards are notified via the website and NSF e-mail of non-compliance
- A list of these awards and recipients is sent to the Recovery Act Board

▣ Reported data is screened to identify Major 1 (material omissions or significant reporting) errors. 3 data elements are reviewed:

- Number of Jobs: Threshold (exceeds budgetary personnel by factor of 5)
- Amount of Award: Threshold (exceeds 10%)
- Total Amount of ARRA Expenditure: Threshold (exceeds award amount)

▣ The status of each report in FederalReporting.gov is manually updated to reflect either "reviewed with or without material omissions or significant reporting errors"

NSF's Review Process: Days 30-90

- ▣ Agencies are required to continuously evaluate recipients for compliance with ARRA Section 1512 requirements and the OMB implementing guidance.
- ▣ Data Screening - Reported data is screened for “Major” and “Minor” Issues (33 items)
- ▣ Sampling review - A manual sample pool of reports will be selected to review fields that cannot be reviewed through screening
 - 3 Fields include: Award Description, Quarterly Activities/Project Description, and Description of Jobs Created/Retained
 - Program Officers are integral to the process in reviewing the Quarterly Activities/Project Description and Description of Jobs Created/Retained fields
- ▣ Expenditure check - Reported expenditure data is compared against FFR submission for that quarter.
- ▣ Recipient notified via e-mail to make corrections next quarter

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

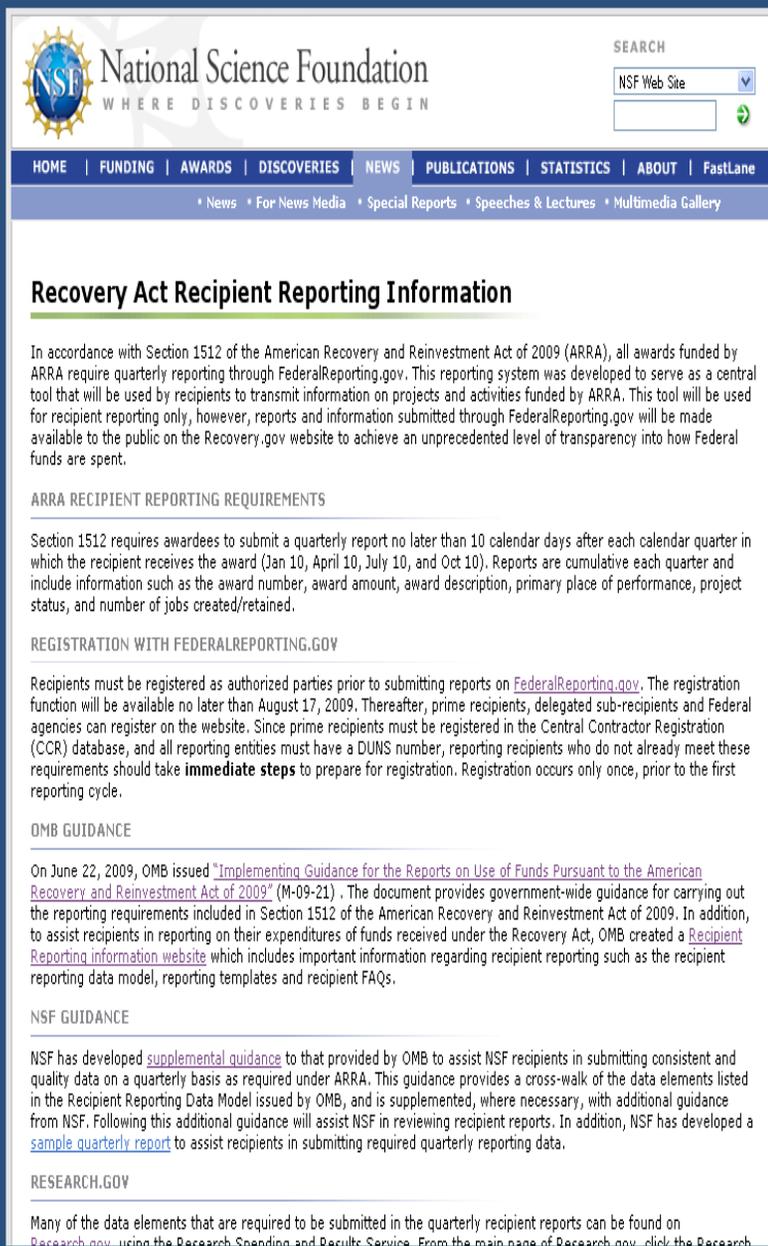
Tools for Use by NSF Recipients in Meeting the ARRA Reporting Requirements



NSF Recipient Outreach Activities

- ▣ NSF Recipient Reporting Website
- ▣ NSF Recipient Reporting Instructions, crosswalk document, help sheet and Sample quarterly report
- ▣ Direct email communication to NSF ARRA recipients about reporting and to those institutions who have not registered on FederalReporting.gov
- ▣ Internal Outreach – Town hall meetings, FAQ's
- ▣ External Outreach – discussions at Conferences (FDP, Regional Grants Conferences, NCURA, SRA, SBIR, etc.)

NSF Recipient Reporting Website



The screenshot shows the NSF Recipient Reporting Information page. 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 logo is a navigation menu with links: HOME, FUNDING, AWARDS, DISCOVERIES, NEWS, PUBLICATIONS, STATISTICS, ABOUT, and FastLane. A secondary menu includes: News, For News Media, Special Reports, Speeches & Lectures, and Multimedia Gallery.

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
 - <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 01, 2009

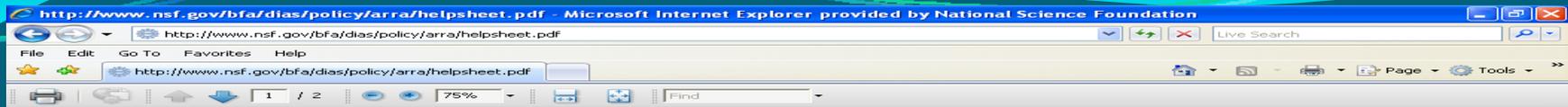
The following information is provided to assist NSF recipients in consistent and quality data quarterly reporting under ARRA. This chart provides a cross-walk of the data elements listed in the Recipient Reporting Data Model issued by OMB in the Final Production Release v.3.0. Guidance. The data model, 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) 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. 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 Guidance document.

Research Spending and Results Detail

Grant Detail

Awardee: UNIVERSITY OF FLORIDA
 University of Florida
 Shonglin Min
 352-392-8295
 2004@ufl.edu
 06/29/2009
 \$555,404

Award Date: 06/15/2009
Estimated Total Award Amount: \$555,404
Funds Obligated to Date: \$555,404
Award Start Date: 06/15/2009
Award Expiration Date: 06/30/2012
Transaction Type: Grant
CFDA Number: 47-089
Primary Program Source: 490101 - RFA RECOVERY ACT
Awardee Title or Description: DISSEMINATION OF THE ASSOCIATED AND STRESS SIGNALING IN
Federal Award ID Number: 06-2716
DUNS ID: 06962314
Recipro DUNS ID: 145031897
Program: 51-9999-000 DEF & SELF RECOG
Program Officer: Michael L. Shankland
 703-293-8442
 mshanklan@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
Prime Recipient			
Reporting Information			
Award Type*	Award Number*	Final Report*	
Grant	0999999	N	
Award Recipient Information			
Recipient DUNS Number*	Recipient Account Number	Recipient Congressional District*	
123456789		29	
Award Information			
Funding Agency Code*	Awarding Agency Code*	Award Date*	
4900	4900	07/23/2009	
Amount of Award*	CFDA Number*	Agency Drop-Down List: 0500 - Government Accountability Office Program Source (TAS) Drop-Down List: 05-0108-Salaries and Expenses, Recovery Act	
\$315,000.00	47.082		
Program Source (TAS)*	Sub Account Number for Program Source (TAS)	Know the code and want to check the name? Search by Code Enter Agency Code: 0500 Agency Name: Government Accountability Office Enter Program Source (TAS) Code: 05-0108 Program Source (TAS) Name: Salaries and Expenses, Recovery Act	
49-0101		Know the name and want to find the code? Search by Name Enter Agency Name: Government Accountability Office Agency Code: 0500 Enter Program Source (TAS) Name: 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 16

The America COMPETES Act



NSF Implementation Activities

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

▣ Section 7008 has been implemented via revisions to the relevant sections of the Grant Proposal Guide (GPG), the FastLane Project Reporting System, and the Representative Activities of Broader Impacts document that is posted on the NSF website.

- 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.

SEC 7008: Postdoctoral Research Fellows

- ▣ 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.

- ▣ The FastLane project reporting format has been modified to inform PIs of the requirement to report on the mentoring activities provided to postdoctoral researchers during the performance period.
 - This includes any postdoctoral researcher not identified in the original proposal submission!

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

- Beginning early 2010, NSF will require that at the time of proposal submission to NSF, a proposing institution's AOR must certify that the institution has a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF to conduct research.



SEC 7009: Responsible Conduct of Research

▣ Implementation Plan (Cont'd):

- While training plans are not required to be included in proposals submitted, institutions are advised that they are subject to review upon request.
- NSF will modify 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

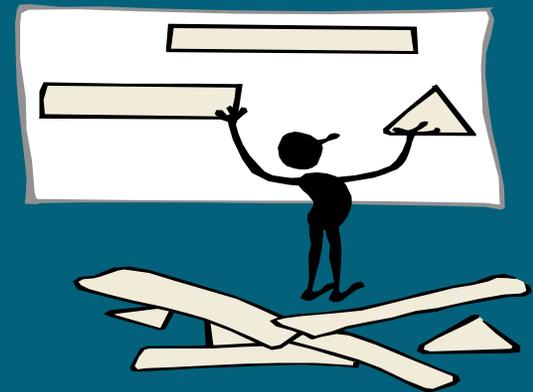
▣ Federal Register Notice announcing NSF's final implementation published on August 20, 2009

- <http://edocket.access.gpo.gov/2009/E9-19930.htm>

▣ Estimated implementation dates:

● Revised Proposal & Award Policies & Procedures Guide & Federal Register Notice:

- Issuance: October 2009
- Implementation: January 2010



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.



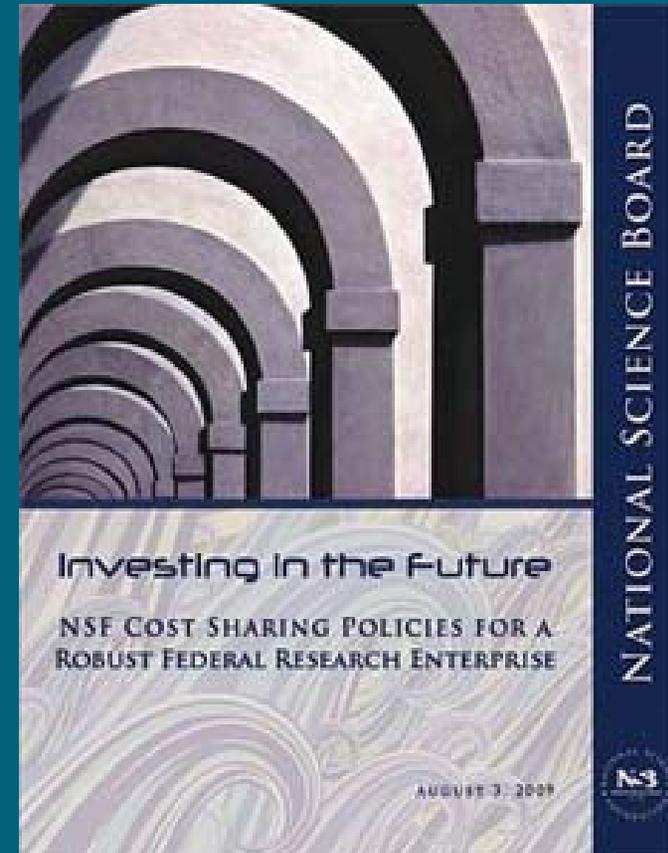
SEC 7010: Reporting of Research Results

- ▣ A new report will be developed in Research.gov that requires PIs to prepare a summary – specifically for the public – on the nature and outcomes of the award.
- ▣ FastLane Project Reports system will be modified to incorporate this requirement.
- ▣ Will be implemented via revisions to the NSF Agency Specific Requirements to the Research Terms and Conditions and the Grant General Conditions
- ▣ Expected implementation: Effective January 4, 2010, new awards and funding increments to existing awards will incorporate the new requirement.

Section 7013: Cost Sharing

▣ NSB Cost Sharing Report

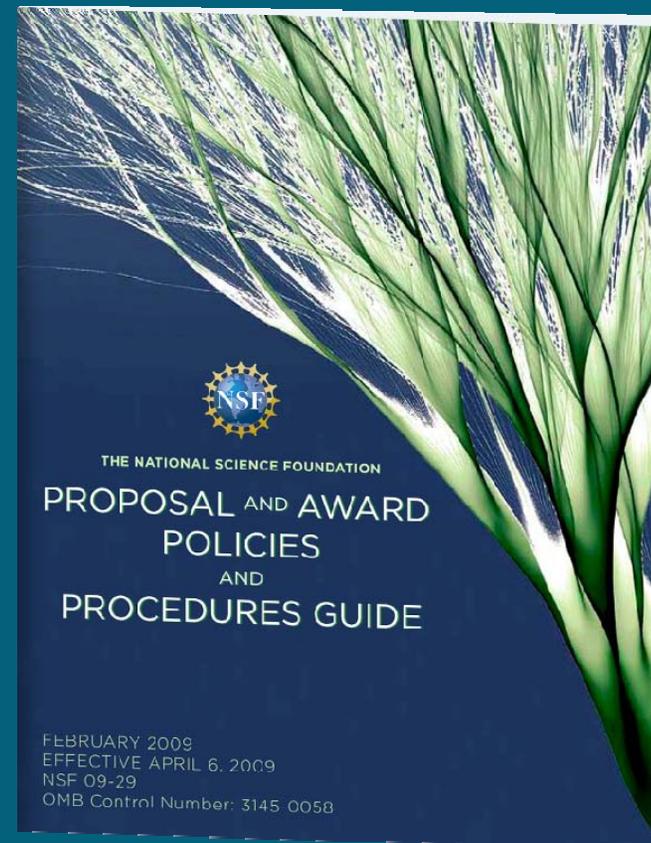
- ACA directed NSB to evaluate decision to eliminate cost sharing
- This is a second comprehensive report and recommendations
- NSF will be reviewing the recommendations over the coming weeks and developing an appropriate implementation strategy



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



<http://www.nsf.gov/staff>

<http://www.nsf.gov/staff/orglist.jsp>