Office of Budget, Finance, and Award Management

Updates to the Business & Operations Advisory Committee

Marty Rubenstein
NSF CFO and BFA Director
May 18, 2010
Spring 2010 Topics

- NSF FY 2011 Budget Request
- American Recovery and Reinvestment Act
- Policy Updates
- Customer Satisfaction Survey
- Financial Statement Audit Issues
FY 2011: Stewardship/AOAM Initiatives

Acquisition Workforce: $4 million, 11 FTE
- Improve the capacity, capabilities, and effectiveness of the acquisition workforce.
- Key focus for NSF: pre-solicitation phase of major acquisitions.

Assessment and Evaluation Capabilities: $1 million, 4 FTE
- Establish a centralized NSF capability for assessment and evaluation.
- Government-wide initiative to strengthen program evaluation, led by OMB and Council of Economic Advisors.
- Major Driver: new approaches emerging from Science of Science and Innovation Policy (SciSIP).
Each NSF award that includes ARRA funding requires the recipient to submit quarterly reports to a central Federal website.

**Stage 1 Review:**
- Phase 1
  - (Days 1-30)
  - Automated Data Checks
  - Non Reporting Check (Omissions)
  - Significant Error Review

**Stage 1 Review:**
- Phase 2
  - (Days 30 – 75)
  - Continuous QA Period

**Stage 2 Review:**
- Phase 3
  - (Days 30-90)

Results communicated to recipients through FederalReporting.gov and SPO to make corrections.

Results communicated to recipient SPO to make corrections.

Results are communicated to recipient SPO to improve next quarter reporting.
## ARRA – RECIPIENT REPORTING

### Key Quarterly Results:

<table>
<thead>
<tr>
<th>Quarter Ending</th>
<th>Recipient Reporting Compliance rate</th>
<th>Total not reporting</th>
<th>Significant errors and accuracy rate</th>
<th>Data calls</th>
<th>Jobs</th>
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<tbody>
<tr>
<td>9/30/2009</td>
<td>98%</td>
<td>107/4,502</td>
<td>100%</td>
<td>6</td>
<td>2,491.51</td>
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<td>12/31/2009</td>
<td>99.7%</td>
<td>14/4,535</td>
<td>99.9%</td>
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<td>2,913.87</td>
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<td>7 two-time non-reporters</td>
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<td>One uncorrected significant error</td>
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<td>and data call info. will be available</td>
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<td>later in the quarter</td>
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<tr>
<td>3/31/2010</td>
<td>99.5%</td>
<td>25/4,626</td>
<td>Only 2 two-time non-reporters</td>
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<td>3,628.93</td>
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<td>Significant error and</td>
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ARRA – RECIPIENT REPORTING

Impact on NSF and Grantees

- Increased Oversight by Multiple Parties
  - Presidential Memo dated April 6, 2010
  - Government Accountability Office reviews – assess reliability of data and information systems that produce the data
  - OIG audit of Agency Data Quality Review Process – review effectiveness and implementation of Agency Data Quality Review Process for ensuring quality of recipient data
  - Five OMB guidance updates in less than a year; with latest one issued on March 22\textsuperscript{nd}
  - Timing of distributing guidance to stakeholders

- Associated Benefits
  - Improves collaboration with grantees due to continuous correspondence, interaction and outreach
  - Provides informative feedback to NSF on challenges faced by grantees
  - Allows NSF to highlight its existing capabilities (e.g., research.gov, NSF websites, etc.) in providing transparent data to the public
Obama Administration

Key Themes for Government-wide Grants Policy

- **Transparency & Accountability**
  - Increased engagement by OMB and Congress
  - Open Government Initiatives
  - FFATA
  - ARRA
  - Grants Executive Board, Grants Policy Committee & GMLoB coordination (IT/Policy: Integration)
  - Professionalizing Grants management series (GPC Training & Certification Workgroup)
  - RAT Board Report on Contracts and Grants Workforce – Issued March 2010

- **Stakeholder involvement**
  - FDP, NGP (AGA Partnership)
BFA Customer Satisfaction Survey: 2009

- **Utility of Survey**
  - Indicates quality of our communications & service to NSF staff
  - Validates/focuses our priorities to strengthen operations

- **Communications**
  - Overall score was 3.7 (unchanged from 2008)
    - 65% satisfied, 7% dissatisfied
  - Division scores range from 3.3 to 3.9

- **Services**
  - Overall score was 3.7 (unchanged from 2008)
  - 66% satisfied, 5% dissatisfied
  - Division scores range from 3.2 to 3.9

- **Best Performance:** Assistance Awards (4.0) and Cooperative Agreements (3.9) that benefited from DGA portfolio-focused realignment

- **Challenges:** Finance System (3.5), Contracts (3.1), Program Management Data (3.2)

**Scoring:**
- 1 = Strongly dissatisfied
- 2 = Dissatisfied
- 3 = Neutral
- 4 = Satisfied
- 5 = Strongly satisfied
Financial Statement Audit

FY 2010:
- Audit entrance was held on March 9th
- Agreed on list of documentation to meet audit requirements

FY 2009:
- Issued updated Corrective Action Plan (CAP) for Significant Deficiency on Contract Monitoring of Cost Reimbursement Contracts to Office of Inspector General (OIG)
  - OIG agreed with actions on nine of ten recommendations in Plan; Mgmt. is working closely with OIG to reach agreement on remaining recommendation
  - All items in CAP with a due date of March 31st were completed
- Provided CAP for Mgmt. Letter Report lower level findings to OIG