



NSF Update

NCURA Region IV
Spring Meeting
April 17-20, 2011





Contact Information

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Ask Early, Ask Often!

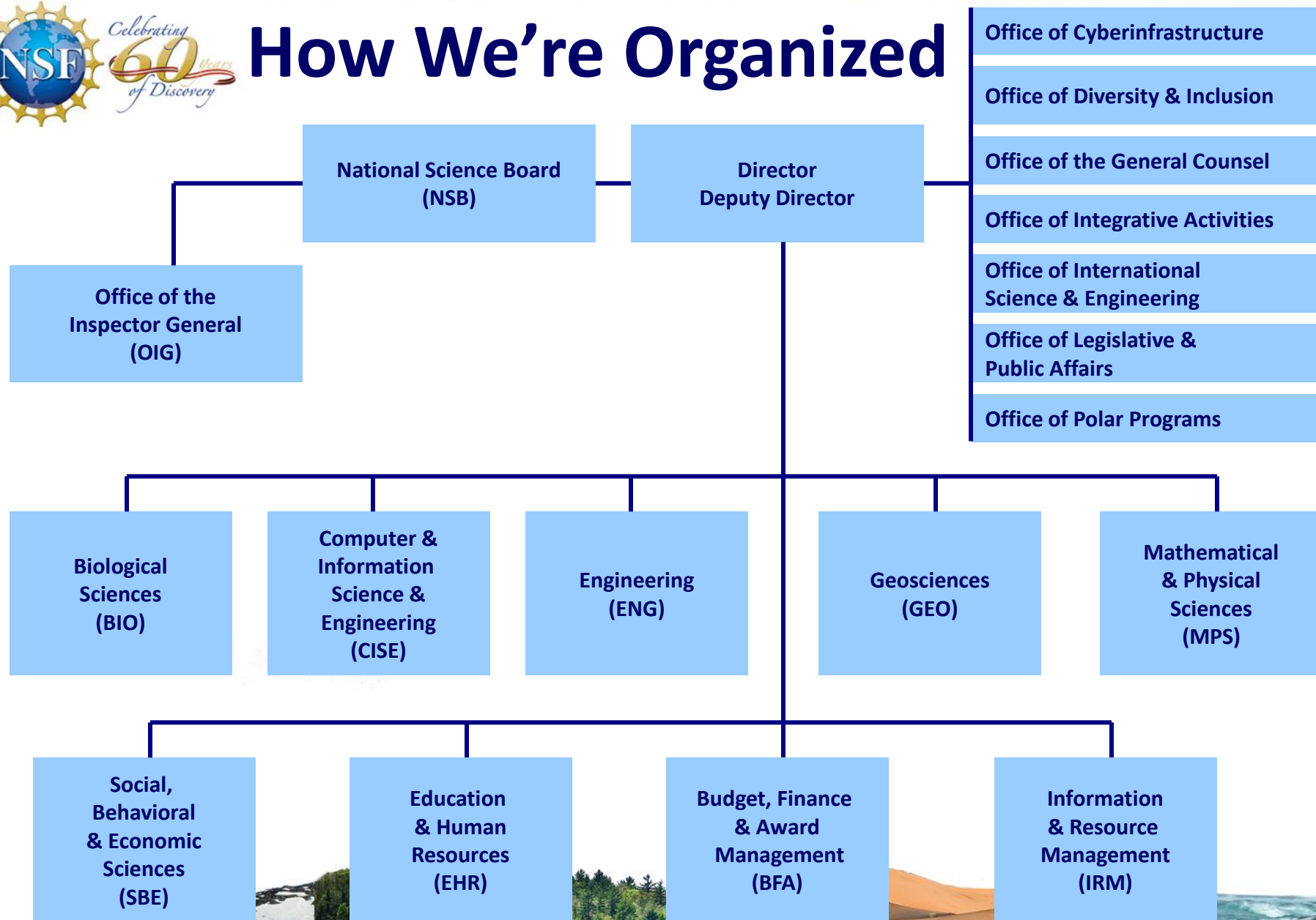




Topics Covered

- NSF FY 2012 Budget Request
- NSF Proposals & Awards & Funding Rates
- American Recovery & Reinvestment Act of 2009
- Interdisciplinary Research
- Transparency & Accountability
- Policy Updates
- Key Documents
- Conclusion







Personnel Changes

- Dr. Subra Suresh confirmed as NSF Director
- Dr. Cora Marrett nominated as NSF Deputy Director
- Joan Ferrini-Mundy appointed Assistant Director for Education & Human Resources
- Dr. Machi Dilworth appointed Head, Office of International Science & Engineering
- Dr. Farnam Jahanian appointed Assistant Director for Computer & Information Science & Engineering
- Ms. Amy Northcutt appointed Acting Director of the Office of Information & Resource Management





FY 2011 Appropriations Process

(Dollars in Millions)

	FY 2011 Request	FY 2010 Enacted	FY 2011 Estimate	FY 2011 Request Amt	Pct	FY 2010 Enacted Amt	Pct
R&RA	\$6,019	\$5,564	\$5,510	-\$509	-8.5%	-\$54	-1.0%
EHR	\$892	\$873	\$861	-\$31	-3.5%	-\$12	-1.4%
MREFC	\$165	\$117	\$117	-\$48	-29.1%	\$0	0.0%
AOAM	\$329	\$300	\$299	-\$30	-9.1%	-\$1	-0.3%
NSB	\$5	\$5	\$5	\$0	0.0%	\$0	0.0%
OIG	\$14	\$14	\$14	\$0	0.0%	\$0	0.0%
NSF	\$7,424	\$6,873	\$6,806	-\$618	-8.3%	-\$67	-1.0%

Totals may not add due to rounding

¹ All years exclude transfers of \$54 million for US Coast Guard Icebreakers. The FY 2011 Estimate includes an across-the-board rescission of .2 percent.





FY 2012 Request vs. FY 2010 Enacted

(Dollars in Millions)

**Difference between
FY 2010 Enacted and
FY 2012 Request**

	FY 2010 Enacted	FY2012 Request	Amount	Percent
R&RA	\$ 5,564	\$ 6,254	\$ 690	12%
EHR	873	911	38	4%
MREFC	117	225	107	92%
AOAM	300	358	58	19%
NSB	5	5	0	7%
OIG	14	15	1	7%
Total, NSF	\$ 6,873	\$ 7,767	\$894	13%

Totals may not add due to rounding

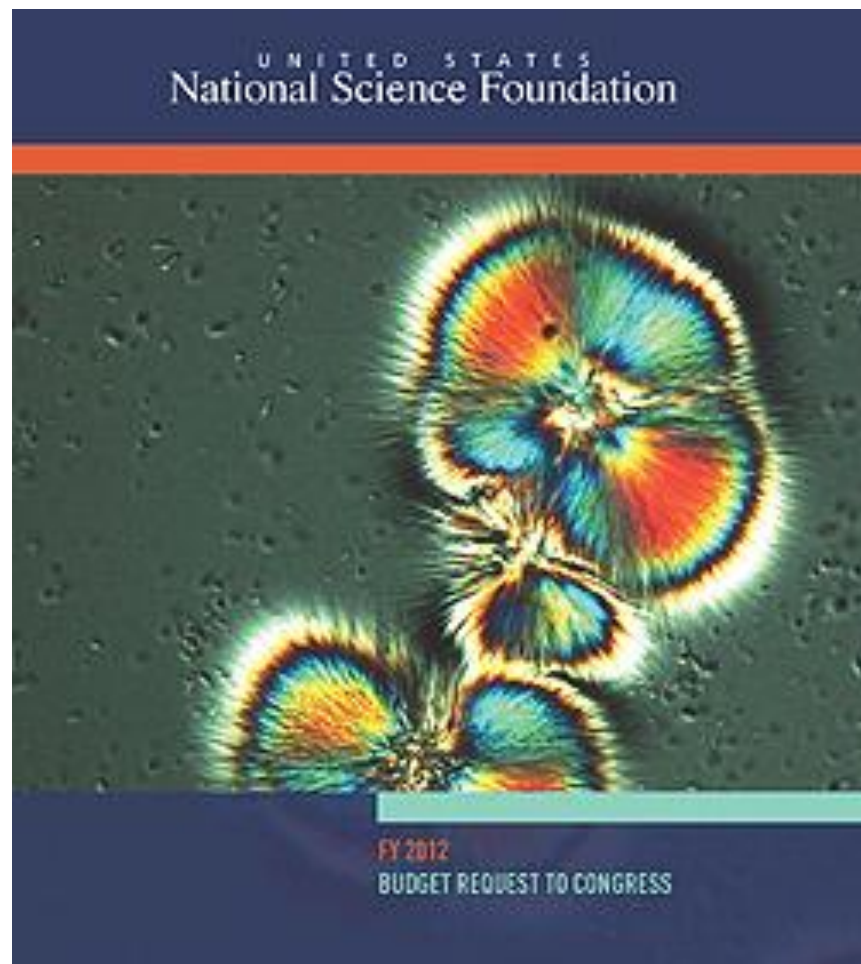




FY 2012 Budget Request

The Three Pillars of Innovation

- Invest in the Building Blocks of American Innovation
- Promote Competitive Markets that Spur Productive Entrepreneurship
- Catalyze Breakthroughs for National Priorities





FY 2012 Budget Request: Terminations and Reductions

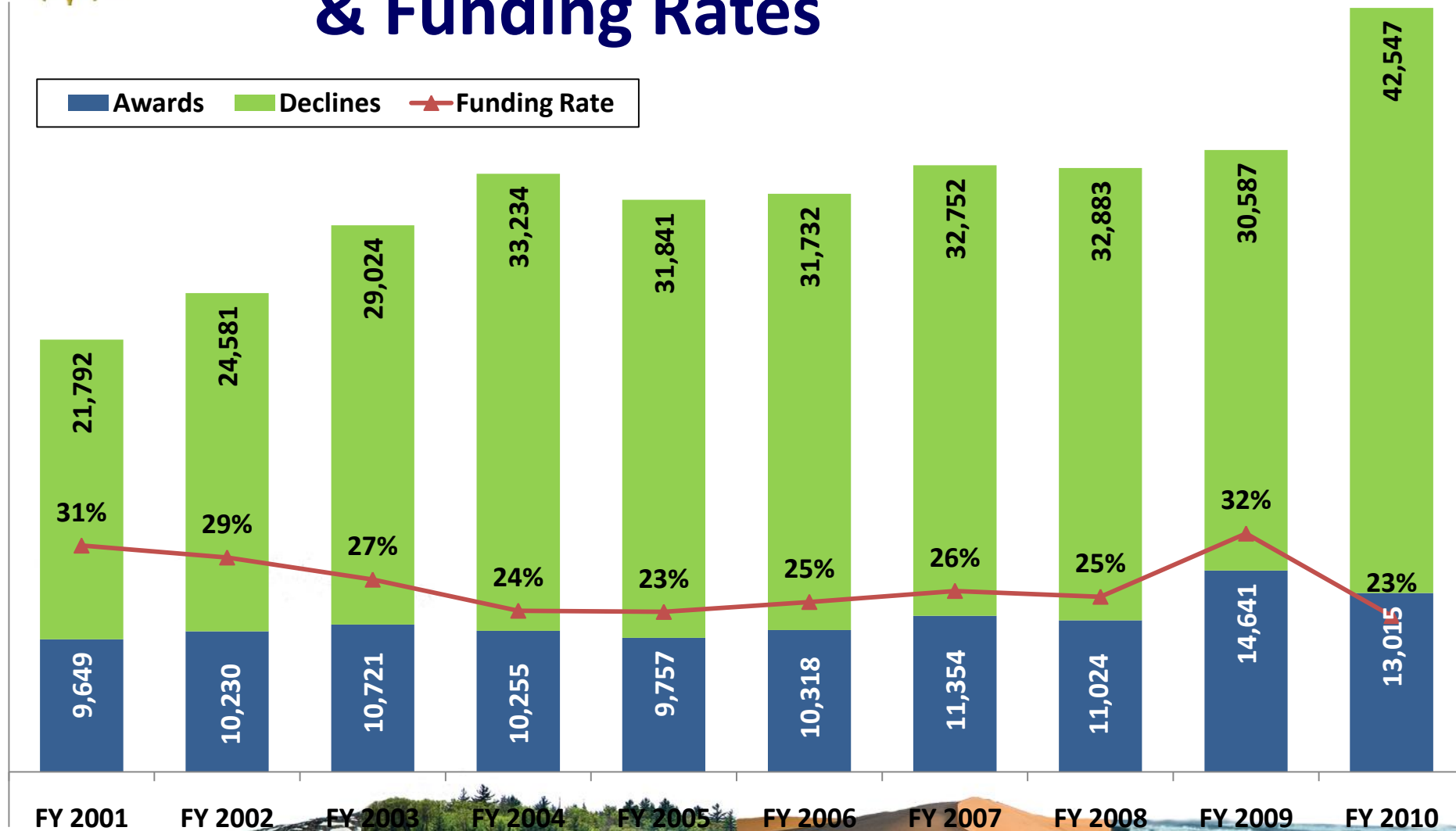
- Terminations:
 - Deep Underground Science and Engineering Laboratory (DUSEL)
 - Graduate STEM Fellows in K-12 Education (GK-12)
 - National STEM Distributed Learning Program (NSDL)
 - Research Initiation Grants to Broaden Participation in Biology (RIG-B)
 - Synchrotron Radiation Center (SRC)
- Reductions:
 - Science of Learning Centers (SLC)





NSF Competitive Awards, Declines & Funding Rates

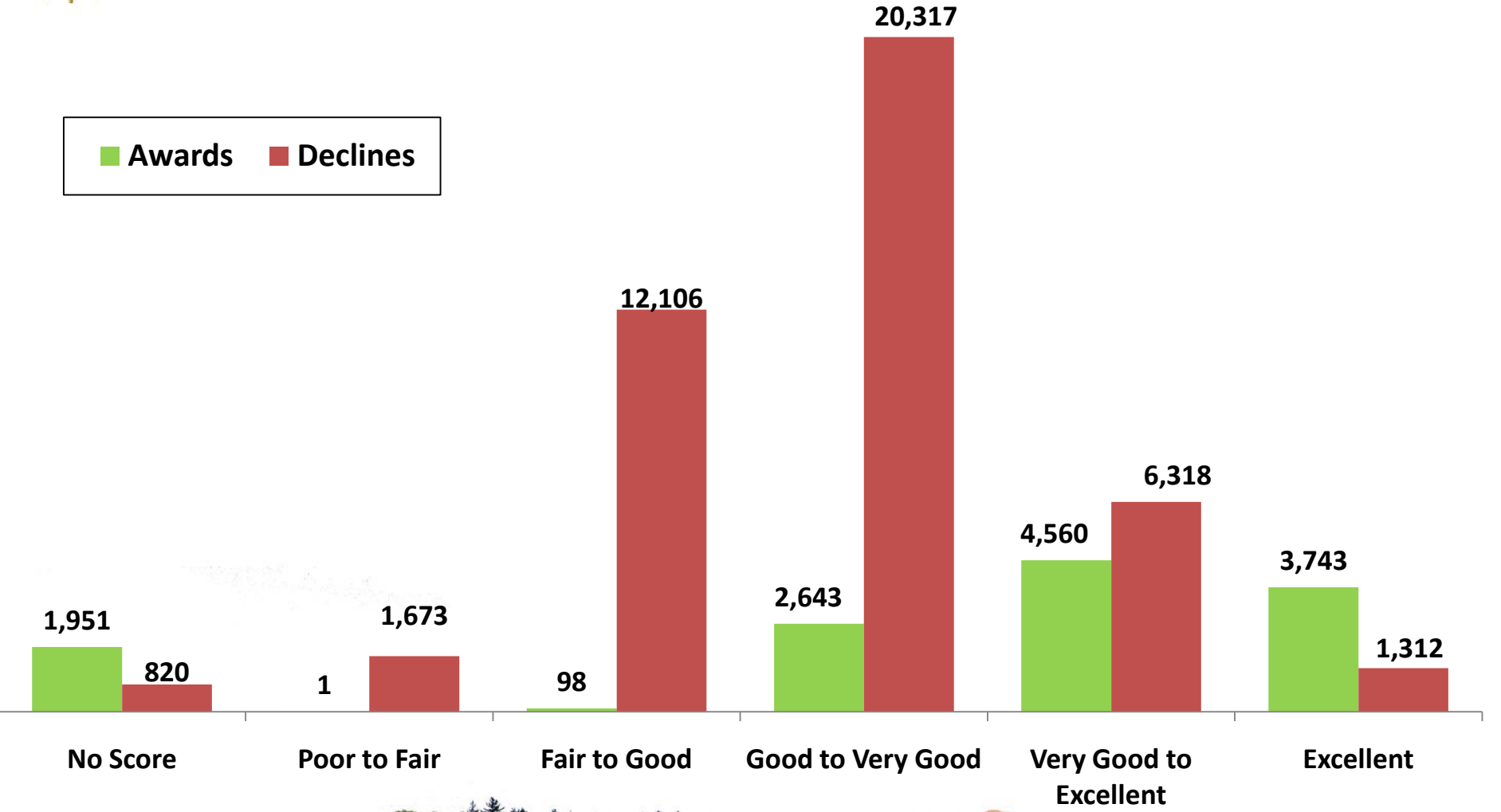
Awards Declines Funding Rate





Distribution by Average Reviewer Ratings for Awards & Declines, FY 2010

■ Awards ■ Declines





Transparency & Accountability - Administration Priorities





Focus on “Open Government”

Core Principles:

- Transparency
- Participation
- Collaboration

Open Government Policy:

- The President’s Memorandum on Transparency and Open Government (Jan 21, 2009)
- A Strategy for American Innovation: Driving Towards Sustainable Growth and Quality Jobs
- The Open Government Directive



“My Administration is committed to creating an unprecedented level of openness in Government. We will work together to ensure the public trust and establish a system of transparency, public participation, and collaboration. Openness will strengthen our democracy and promote efficiency and effectiveness in Government.”

- President Barack Obama





Government-wide efforts: Transparency



- **USA Spending.gov:** Financial Transparency
- **Recovery.gov:** Tracking Economic Stimulus Spending
- **Data.gov:** One Stop Data Sharing Platform
- **IT Dashboard:** Visualizing Technology Spending

“Transparency promotes accountability by providing the public with information about what the Government is doing.”

OMB Memo on Open Government, Dec. 8, 2009





Current Research.gov Services

- Public Facing Services:

- SEE Innovation (New!)
- Research Spending & Results
 - Find Recovery Act Awards
- Research Headlines & Events
- Policy Library (Government-wide)

- Research Community Services:

- Project Outcomes Report for the General Public (New!)
- Grants Application Status
- Federal Financial Reports
- Manage institution and user accounts
- Research Performance Progress Reports (planning stage)
- Application Submission Web Service (now in pilot)

The screenshot shows the Research.gov homepage. At the top is the header with the Research.gov logo and the tagline "POWERING KNOWLEDGE AND INNOVATION". Below the header is a navigation bar with links for Home, Contact Us, Site Map, and Help. The main content area is divided into several sections. On the left, there is a sidebar with links for "About Research.gov", "Who We Are", "Service Offerings", "Policy Library", "Research Spending and Results", "Partnership Model", "Partner Agency List", "Latest News", and "Frequently Asked Questions". The main content area features a large banner with the text "Why should I Use Research.gov? Get the answers >>" and a photo of a woman. Below the banner is a "Services" section with a list of services and their descriptions. On the right side, there is an "Events" section with a list of upcoming events and a "My Weather" section showing the current weather in Arlington, VA.

Research.gov POWERING KNOWLEDGE AND INNOVATION

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Welcome Anonymous | January 22, 2010

About Research.gov

Who We Are

Led by the National Science Foundation (NSF), Research.gov is a partnership of federal research-oriented grant making agencies with a shared vision of increasing customer service for the research community, while streamlining and standardizing business processes amongst partner agencies. [MORE](#)

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Get the answers >>

Services

Online tools to help you manage your grants

Welcome to Research.gov. Below is a list of services that we offer. Select a service from below to find out more.

- [Research Spending and Results](#)
Now Available! Find Recovery Act Awards made by NSF. Here you can also find information about how NSF and NASA grant award dollars are being spent, what research is being performed, and how the outcomes of the research are benefiting society.
- [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, USDA/CSREES, and DoD/ARO. Account Required.
- [Institution and User Management](#)
Institution Administrators can manage profiles and permissions for their institutions and users. Account Required.
- [Federal Financial Report](#)
Institutions can prepare and submit grant financial reports to NSF using the new government-wide standard form. Account Required.
- [Recovery Act](#)
Learn More About the American Recovery and Reinvestment Act of 2009.

Events

- January 21 - 22, 2010
[Center for Research in Intelligent Storage \(CRIS\) IAB Meeting](#)
Partnership meeting
- January 25 - 26, 2010
[FDP Meeting](#)
Partnership meeting
- February 10 - 12, 2010
[NCURA Departmental Research Administration Workshop](#)
Workshop

[View All Events](#)

My Weather

40°F
Cloudy

Arlington, VA
Fri, 22 Jan 2010 12:52 pm EST
Enter Your Zip: [go!](#)



Policy Update





Policy Update Topics

- America COMPETES Act (ACA) Provisions
 - Responsible Conduct of Research
 - Reporting of Research Results
 - NSF Cost Sharing Policy
 - ACA Reauthorization and NSF Merit Review Criteria
- NSF Data Management Plan Requirements
- FFATA Subrecipient Reporting
- Grant-by-Grant Payments
- Primary Place of Performance
- ARRA Update
- Research Performance Progress Report
- Key Documents





*Celebrating
60
of Discovery*

Responsible Conduct of Research (RCR)

- Institution must certify it has a plan to provide appropriate training and oversight in the responsible and ethical conduct of research
- NSF funding of National Center for Professional & Research Ethics



<http://www.csl.uiuc.edu/ethics-center>





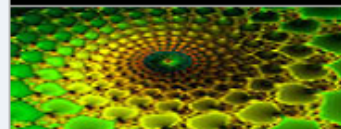
Responsible Conduct of Research (RCR)

- Federal Register Notices

- FAQs

- International Research Integrity

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Responsible Conduct of Research (RCR)

This page provides resources on NSF's implementation of Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act. The responsible and ethical conduct of research (RCR) is critical for excellence, as well as public trust, in science and engineering. Consequently, education in RCR is considered essential in the preparation of future scientists and engineers.

Statutory Requirement

"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."

• Federal Register Notices

- [NSF's Implementation of Section 7009 of America COMPETES Act](#)
- [NSF's Proposed Implementation of Section 7009 of America COMPETES Act](#)
- [RCR Implementation in the Grant Proposal Guide \(GPG\)](#)
- [RCR Implementation in the Award & Administration Guide \(AAG\)](#)
- [RCR Frequently Asked Questions \(FAQs\)](#)
- [International Research Integrity](#)
- NSF-funded Beta Sites
 - [Ethics in Science and Engineering National Clearinghouse](#)
 - [Online Ethics Center Enhancements and America COMPETES](#)

<http://www.nsf.gov/bfa/dias/policy/rcr.jsp>



Project Outcomes Report for the General Public

- Effective for new awards, and funding amendments to existing awards, made on or after January 4, 2010.
- Report is prepared in and submitted via Research.gov.
- PIs are required to prepare a brief summary (200-800 words) specifically for the public on the nature and outcomes of the award.
- Report is published on Research.gov – Research Spending & Results exactly as it is submitted.
- Report is not reviewed or approved by NSF.





Project Outcomes Report for the General Public

- New functionality implemented in Research.gov in August 2010
- Developed “How to Prepare and Submit NSF Project Outcomes Reports” in Research.gov
- Updated email notification to more clearly articulate new requirement to PIs





Project Outcomes Report Contents

- Report Should Contain:
 - Outcomes/findings that address the intellectual merit and broader impacts of the NSF-funded activity
 - Products that have resulted from the award should also be listed (collections, data sets, software, etc.)
 - All publications that are provided in FastLane are automatically included.





Project Outcomes Report Contents

- Report should NOT contain:
 - Confidential, proprietary business information
 - Unpublished conclusions or data that could compromise ability to publish results
 - Invention disclosures that might adversely affect patent rights
 - Private Personally identifiable information



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About the Project Outcomes Report for the General Public

Section 7010 of the America COMPETES Act requires that research funded in whole or in part by NSF report on the outcomes of the funded research for the general public. The Project Outcomes Report for the General Public serves as a brief summary prepared by the Principal Investigator (PI) or co-PI specifically for the public, describing the nature and outcomes of the project.

These reports will be posted for public viewing exactly as submitted by the PI or co-PI and accompanied by a disclaimer.

This new reporting requirement is effective for new awards made or existing awards that receive funding increments or supplements on or after January 4, 2010. PIs and co-PIs will use Research.gov to prepare and submit these reports. Please note this report is required in addition to final project reports which PIs and co-PIs will continue to submit through FastLane.

The Project Outcomes Report will describe the project outcomes or findings that address the intellectual merit and broader impacts of the work as defined in the NSF merit review criteria. Additionally, PIs and Co-PIs will have the opportunity to creatively showcase their work by uploading images that will be posted with the report.

Following submission, the public can view a Project Outcomes Report for the General Public online through Research.gov's Research Spending and Results Search. Research Spending and Results allows you to find awards based on search criteria such as awardee, award ID, fields of research and education, and Congressional District where the award was made.

How PIs and co-PIs can prepare and submit Project Outcomes Reports:

1. Log-in to Research.gov (first time Research.gov users, see [How Do I Login?](#)).

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Sample Project Outcomes Report

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NSF FastLane

NASA Inspires

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Awardee Location

Street:

City:

State:

ZIP:

County:

Country:

Awardee Cong. District:

Primary Location of Performance

Organization Name:

Street:

City:

State:

ZIP:

County:

Country:

Cong. District:

Abstract at Time of Award

After recent high profile failures, the structural health evaluation of existing infrastructure is a high priority. The goal is to limit the total damage caused by a single event. The goal is to limit the total damage caused by a single event. The goal is to limit the total damage caused by a single event.

The overall objective is to synthesize research on the development of the PI as a role model for the vision exists for a practical research for project's activities to produce a positive professional. Considering diverse perspectives, demolishing a structure is unfailing.

Project Outcomes Report

Disclaimer

This Project Outcomes Report for the General Public is displayed verbatim as submitted by the Principal Investigator (PI) for this award. Any opinions, findings, and conclusions or recommendations expressed in this Report are those of the PI and do not necessarily reflect the views of the National Science Foundation; NSF has not approved or endorsed its content.

BRIGE 0824227 Annual Project Report – Year 2, Final Report

Infrastructure Health Evaluation via Experimental Techniques

This project's major research thrust is the experimental development of structural health evaluation. The ultimate aim of this infrastructure protection method is increased public safety. Improved structural health evaluation techniques can create maintenance-based inspection rather than less efficient routine inspection. The identification of at-risk structures can prevent loss of infrastructure and perhaps loss of life after aging or severe events. Residual strength determination can help in the prevention of progressive collapse and the rehabilitation of damaged structures.

The vision to improve response and recovery efforts by answering the question: *how do engineers cost-effectively determine a "dangerous" threshold for any building in real-time?* Current damage evaluation consists of visual inspection that identifies only external damage. Global internal damage quantification is underway herein in a manner that can be used on common infrastructure. A structural health algorithm requires damage indicators for measuring extent and identifying location. To this end, a series of laboratory experiments have been performed as a part of this work. One additional research project and several educational activities have also been undertaken.

As an initial investigation, experiments on a stainless steel cantilever beam are used to determine potential parameters for damage detection. The next step in higher order analysis has been measuring and studying the damage trend behaviors of a student-constructed tower. The incrementally damaged responses show a decreased first modal frequency as well as characteristic coupling and splitting in the higher modal frequencies. In fact, the first natural frequency lowered by a surprising 27.75% and 34.60% with increasing damage.

The location of the damage will require a more complex structure, which has been the latest focus. A three story metal frame structure was constructed. A significant amount of time was devoted to comparing data from traditional sensors and high-speed video analysis: displacement is well tracked visually by Xcitex's ProAnalyst, but acceleration is better monitored by contact transducers. Dynamic structural parameters were obtained from the measured response using a specialized software suite called STAR Modal. After the baseline, "healthy", or undamaged state of the structure was established, damage was incrementally applied to the building by removing various members one at a time.

Images (1 of 5)





NSF's Revised Cost Sharing Policy

- In response to statutory requirements, and, as recommended by the National Science Board, mandatory cost sharing has been implemented for the following programs:
 - Major Research Instrumentation Program;
 - Robert Noyce Scholarship Program;
 - Engineering Research Centers;
 - Industry/University Cooperative Research Centers;
 - Experimental Program to Stimulate Competitive Research
 - Cost sharing for these programs must be identified on Line M of the approved budget.





NSF's Revised Cost Sharing Policy

- Mandatory NSF-required programmatic cost sharing will rarely be approved for an NSF program.
 - To request consideration of mandatory programmatic cost sharing requirement in an NSF solicitation, the program must develop a **compelling justification regarding why non-Federal financial support and commitment is considered foundational to programmatic success**. Such requests to require cost sharing must be explicitly approved by the NSF Director.





NSF's Revised Cost Sharing Policy

- Inclusion of voluntary *committed* cost sharing is prohibited in solicited & unsolicited proposals.
 - To be considered voluntary committed cost sharing, the cost sharing must meet all of the standards of [2 CFR § 215.23](#), to include identification of cost sharing on the NSF budget.
 - Line M will be “grayed out” in FastLane.
- Organizations may, at their own discretion, continue to contribute any amount of voluntary uncommitted cost sharing to NSF-sponsored projects.





NSF's Revised Cost Sharing Policy

- The Facilities, Equipment & Other Resources section should be used to provide a comprehensive description of all resources (both physical and personnel) necessary for, and available to a project, without reference to cost, date of acquisition, and whether the resources are currently available or would be provided upon receipt of the grant.





NSF's Revised Cost Sharing Policy

- NSF program officers may discuss the “bottom line” award amount with PIs, but may not renegotiate or impose cost sharing or other organizational commitments.
- NSF Program Officers may not impose or encourage programmatic cost sharing requirements.





NSF's Revised Cost Sharing Policy

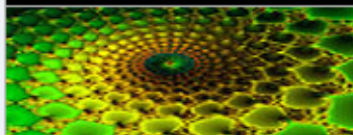
- Significant effort made in scrubbing existing cost sharing requirements in funding opportunities:
 - Both in the five solicitations that require cost sharing, and
 - Language changed from “cost sharing is not required” to “Voluntary committed cost sharing is prohibited” in all other announcements and solicitations.
- Cost sharing FAQs issued, and, updated
 - A new change has been issued to address “effort reporting for voluntary uncommitted cost sharing.”
- Send additional questions to costsharing@nsf.gov





NSF Revised Cost Sharing Policy

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Policy Office

HEAD: Jean Feldman

The Policy Office is responsible for developing, implementing and issuing proposal and award policy for the programs of the National Science Foundation and is available to assist you with questions involving policy related issues. Questions related to specific awards should be directed to the [Division of Grants and Agreements](#).

Grants & Cooperative Agreements:

- [Policy & Guidance](#) (including the [Proposal and Award Policies and Procedures Guide](#), which incorporates the [Grant Proposal Guide](#) (GPG) and [Award & Administration Guide](#) (AAG))
- [FAQs: Proposal Preparation and Award Administration](#)
- [Responsible Conduct of Research \(RCR\)](#)
- [FAQs: Project Outcomes Report for the General Public \(POR\)](#)
- [NSF Data Management Policy](#)
- [NSF Merit Review Process](#)
- [Examples of Activities that Demonstrate Broader Impacts](#)
- NSF Cost Sharing Policy
 - [Overarching Policies on Cost Sharing](#)
 - [FAQs on on Cost Sharing](#)
 - [Pre-award](#)
 - [Post-award](#)
 - **NSF Programs with Mandatory Cost Sharing**
 - Major Research Instrumentation Program
 - Robert Noyce Scholarship Program
 - Engineering Research Centers
 - Industry/University Cooperative Research Centers
 - Experimental Program to Stimulate Competitive Research

<http://www.nsf.gov/bfa/dias/policy/index.jsp>



America COMPETES Reauthorization & NSF Merit Review Criteria

- NSB Task Force on Merit Review established Spring 2010, charged with “examining the two Merit Review Criteria and their effectiveness in achieving the goals for NSF support for science and engineering research and education”
- Focusing on:
 - How criteria are being interpreted and used by PIs, reviewers, and NSF staff
 - Strengths and weaknesses of criteria
 - Impact of criteria on how PIs develop projects
 - Role of the institution





America COMPETES Reauthorization & NSF Merit Review Criteria – Next Steps

- NSB Task Force on Merit Review will continue its review and formulate overall recommendations about the review criteria
- NSF will develop policy related to the Broader Impacts Review Criterion by late June in consultation with the NSB, as required by the America COMPETES Reauthorization Act
- NSF will give sufficient notice to community before any new policy becomes effective





New Data Management Plan Requirements

- Data management plan must be submitted as a Supplementary Document – **effective for proposals submitted, or due, on or after January 18, 2011**
- Plan should describe how the proposal will conform to NSF policy on dissemination and sharing of research results.
- A valid Data Management Plan may include only the statement that no detailed plan is needed, as long a clear justification is provided.
- Except where specified in a solicitation, plan may not exceed two pages.





New Data Management Plan Requirements

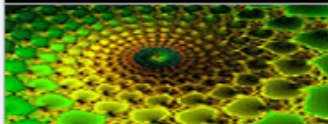
- Proposers who feel that the plan cannot fit within the two page limit may use part of the 15-page Project Description for additional data management information.
- Plan will be reviewed as part of the intellectual merit and/or broader impacts of the proposal.
- Does not supersede specialized solicitation requirements regarding data management plans.
- FastLane will not permit submission of a proposal that is missing a data management plan.





NSF Data Management Policy – Online Resources

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Dissemination and Sharing of Research Results

NSF Data Sharing Policy

Investigators are expected to share with other researchers, at no more than incremental cost and within a reasonable time, the primary data, samples, physical collections and other supporting materials created or gathered in the course of work under NSF grants. Grantees are expected to encourage and facilitate such sharing. See [Award & Administration Guide \(AAG\) Chapter VI.D.4](#).

NSF Data Management Plan Requirements

Proposals submitted or due on or after January 18, 2011, must include a supplementary document of no more than two pages labeled "Data Management Plan". This supplementary document should describe how the proposal will conform to NSF policy on the dissemination and sharing of research results. See [Grant Proposal Guide \(GPG\) Chapter II.C.2.i](#) for full policy implementation.

Requirements by Directorate, Office, Division, Program, or other NSF Unit

Links to data management requirements and plans relevant to specific Directorates, Offices, Divisions, Programs, or other NSF units, are provided below. If guidance specific to the program is not provided, then the requirements established in [Grant Proposal Guide, Chapter II.C.2.i](#) apply.

Please note that if a specific program solicitation provides guidance on preparation of data management plans, such guidance must be followed.

- Engineering Directorate (ENG)
 - [Directorate-wide Guidance](#)
- Geological Sciences Directorate (GEO)
 - [Division of Earth Sciences](#)
 - [Integrated Ocean Drilling Program](#)
 - [Division of Ocean Sciences](#)

<http://www.nsf.gov/bfa/dias/policy/dmp.jsp>



Primary Place of Performance

- Proposers are now required to enter a Primary Place of Performance.
 - Previously, this information was automatically derived from proposing organization data.
 - The information is based on FFATA requirements
 - The nine-digit zip-code that is entered is validated against USPS data.
 - Proposals that fail this validation cannot be submitted.
 - If the proposer receives an error message, they will be required to log onto the USPS website, enter the address, retrieve the zip code provided and enter it in FastLane.





FFATA Subrecipient Reporting: What NEW reporting is required?

- Prime contract awardees of contracts \$25K or more must report associated contract subawards
 - Data collection will be phased in with all required contract subawards reporting by March 2011
- Prime grant awardees of grants \$25K or more must report associated grant subawards
- Executive compensation information for awardees





Subrecipient Reporting: When does reporting begin?

- Contracts subaward (subcontracts only) reporting requirement will be phased in as follows:
 - Phase 1: Reporting subawards of prime awards valued greater than \$20M began in **July 2010**
 - Phase 2: Reporting subawards of prime awards valued greater than \$550K began **October 1, 2010**
 - Phase 3: Reporting subawards of prime awards valued at \$25K or more begins **March 1, 2011**
- Grants subaward (subgrants only) reporting is required for all new awards made on or after **October 1, 2010** for all new prime grant awards \$25K or more
 - FSRS began accepting reports on **October 29, 2010**





Report Submission Timeframe

All awardees must report by the end of the month following the month the award or obligation was made

- For example, if an award is made on October 10, 2010 the awardee would have until November 30, 2010 to report the award – all awards made during October will have until November 30, 2010 to report





Grant-By-Grant Payment

- NSF is currently planning a transition from Grant Pooling to the Grant-By-Grant (GBG) payment method
 - Working closely with grantees and other federal agencies to learn from previous transition experiences
 - Large outreach effort to grantees is planned to help prepare
- The benefits of this transition include:
 - Increased grantee access to more detailed and timely financial data, funds status information, and expenditure data
 - Detailed, real-time access to information on payments and award balances
 - Reduced need for manual accounting processes including reconciliations and adjustments





ARRA - Recipient Reporting

Key Quarterly Results

Quarter Ending 3/31/2010

- Recipient Reporting Compliance rate was 99.5%
- Total of 25 out of 4,626 awards did not report
- Only 2 two-time non-reporters
- No uncorrected significant errors and 100% accuracy rate
- Responded to nine data calls from OMB and Recovery Board

Quarter Ending 6/30/2010

- Recipient reporting compliance rate was 99.8%
- Total of 8 out of 4,706 awards did not report
- Only 1 two-time non-reporter
- Two uncorrected significant errors and 99.6% accuracy rate
- Responded to six data calls from OMB and Recovery Board

Quarter Ending 9/30/2010

- Recipient reporting compliance rate was 99.6%
- Total of 20 out of 4,801 awards did not report
- 2 three-time non-reporters, 6 two-time non-reporters
- No uncorrected significant errors and 100% accuracy rate
- Responded to six data calls from OMB and Recovery Board

Quarter Ending 12/31/2010

- Recipient reporting compliance rate was 99.9%
- Total of 3 out of 4,702 awards did not report
- Only 1 two-time non-reporter
- Significant error and data call information will be available later in the quarter

Government-wide compliance rate average of 98.8% for quarter ending 9/30



ARRA Reporting Tools

- NSF Recipient Quarterly Reporting Instructions, revised October 4, 2010
- NSF Common Reporting Errors Guidance

American Recovery and Reinvestment Act (ARRA) of 2009 NSF Common Reporting Errors Guidance¹

Recipient Reporting Data Element	Common Recipient Reporting Errors	Recommended Reporting Solutions and Additional Reporting Guidance
Award Number	<ul style="list-style-type: none"> • Incorrect data reported • Inclusion of division alphabetical prefix code (e.g., III-P-0123456) 	<ul style="list-style-type: none"> • Enter the 7-digit numeric value from the field entitled, "Federal Award ID Number" in Research.gov (e.g., 0123456) and do not include the alphabetical prefix. • Access your specific award information in Research.gov by selecting Research Spending and Results Detail and then entering the "Awardee, Title, Abstract, and Federal Award ID Number" into the "Awardee or Award Information" field.
Recipient DUNS Number/Recipient Congressional District	<ul style="list-style-type: none"> • Incorrect data reported 	<ul style="list-style-type: none"> • Review Research.gov to obtain correct information. • Update Institutional data via FastLane.nsf.gov if the information listed on Research.gov is not accurate. • Access your specific award information in Research.gov by selecting Research Spending and Results Detail and then entering the "Awardee, Title, Abstract, and Federal Award ID Number" into the "Awardee or Award Information" field.
Final Reporting	<ul style="list-style-type: none"> • Not entering a "Y" in the "Final Report" field to denote that the submitted report is a final report, and there will be no further quarterly reports submitted for an award • Lack of explanation in the "Quarterly Activities/Project Description for Prime and Sub-recipients" field to note why the amounts in the "Total Federal Amount of ARRA Expenditure" and the "Award Amount" fields are not equal • The "Project Status" field is not marked as "Fully Complete" 	<ul style="list-style-type: none"> • Ensure that a "Y" has been entered in the "Final Report" field if the submission is the final report for an award. • Verify the accuracy of amounts entered in the "Award Amount," "Total Federal Amount of ARRA Expenditure," and "Total Federal Amount of ARRA Funds Received/Invoiced" fields. <ul style="list-style-type: none"> ○ The "Total Federal Amount of ARRA Funds Received/Invoiced" should not exceed the "Total Federal Amount of ARRA Expenditure." ○ If funds will be fully expended, all three amounts should equal one another. • If all awarded funds will not be fully expended, provide a clear explanation in the "Quarterly Activities/Project Description for Prime and Sub-recipients" field detailing why the final amount in the "Total Federal Amount of ARRA Expenditure" field does not equal the amount in the "Award Amount" field, and confirm that no more funds will be expended by the prime recipient for the award. • Mark the "Project Status" field as fully complete by selecting "Fully Complete" from the drop-down menu. • Ensure that the "Award Amount" field is accurate.

<http://www.nsf.gov/recovery/reporting.jsp>



Research Performance Progress Report (RPPR) Background

- An initiative of the Research Business Models (RBM) Subcommittee of the National Science and Technology Council (NSTC)
 - The first meeting of the Working Group was held on May 13, 2004
 - NSF participated heavily in development and served as Chair of the Subcommittee
- Objective to establish a uniform format for reporting performance on Federally-funded research projects
 - Format developed as the “Research alternative” to the Performance Progress Report (PPR);
 - Proposed policy addresses interim progress reports only; and
 - The working group used the NSF progress report format in FastLane as the model.





RPPR Status

- The RPPR Policy Letter was signed by OMB/OSTP on April 21, 2010
- Each agency is required to post an implementation plan on the NSF and RBM website within nine months after issuance of the OMB/OSTP Policy Letter
- The NSF implementation will be VERY familiar to our recipient community





Fact Sheets on Recent Updates

RECENT CHANGES TO NSF PROPOSAL & AWARD POLICIES

New Reporting Requirement: Project Outcomes Report for the General Public

To comply with section 7010 of the America COMPETES Act, NSF implemented a new reporting requirement for new awards and funding amendments made on or after January 4, 2010. This report is submitted by the Principal Investigator (PI) and serves as a brief summary, prepared specifically for the public, on the nature and outcomes of the funded project. Unlike the annual and final reports, however, this Project Outcomes Report (POR) must be submitted in Research.gov. Also unlike annual and final reports, the POR will not be reviewed or approved by NSF, and will appear on Research.gov's Research Spending and Results exactly as it is submitted by the PI.

PIs will have the ability to save and preview the report before it is submitted. In addition, images and addenda may be added but are not required. Additional information about the contents of these new reports can be found in Chapter II.E.3 of the Award & Administration Guide in the NSF Proposal & Award Policies & Procedures Guide.

Mentoring Plans Required in Proposal Supplementary Documents

To comply with section 7008 of the America COMPETES Act, NSF implemented a requirement that all proposals that contain postdoctoral researchers must also provide a description of the mentoring activities that will be provided to them.

Proposals that request funding to support postdoctoral researchers must also contain a Mentoring Plan as a supplementary document. FastLane will not permit submission of a proposal that includes a postdoctoral researcher but fails to include a mentoring plan.

Additional information about this requirement including examples of mentoring activities can be found in Chapter II.C.2.j of the Grant Proposal Guide of the NSF Proposal & Award Policies & Procedures Guide.

IMPORTANT LINKS:

- National Science Foundation
www.nsf.gov
- Division of Institution and Award Support
www.nsf.gov/bfa/dias
- Policy Office
www.nsf.gov/bfa/dias/policy
- NSF Proposal & Award Policies and Procedures Guide (NSF 11-1)
www.nsf.gov/pubs/2011/pa11-1/pa11-1.pdf
- National Science Foundation
4201 Wilson Boulevard
Arlington, Virginia 22230 USA
- TEL: (703) 292-5111
FIRS: (800) 877-8339
TDD: (800) 281-8749

Questions may be directed to the Policy Office at NSF

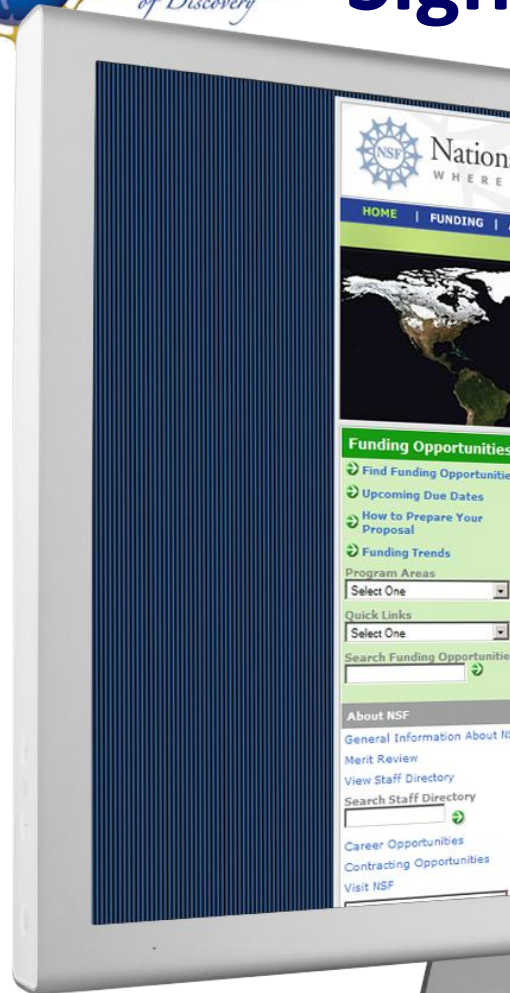
Email: policy@nsf.gov
Phone: (703) 292-6243

http://www.nsf.gov/bfa/dias/policy/factsheets/datamgmt_costshare.pdf

http://www.nsf.gov/bfa/dias/policy/factsheets/por_mentor.pdf




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All 2011

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[NSF Day at the University of San Diego](#)
Outreach

February 18, 2011
[NSF Day at Texas State University-San Marcos](#)
Outreach

March 21, 2011 - March 22, 2011
[NSF Regional Grants Conference - Nashville, TN](#)
Outreach



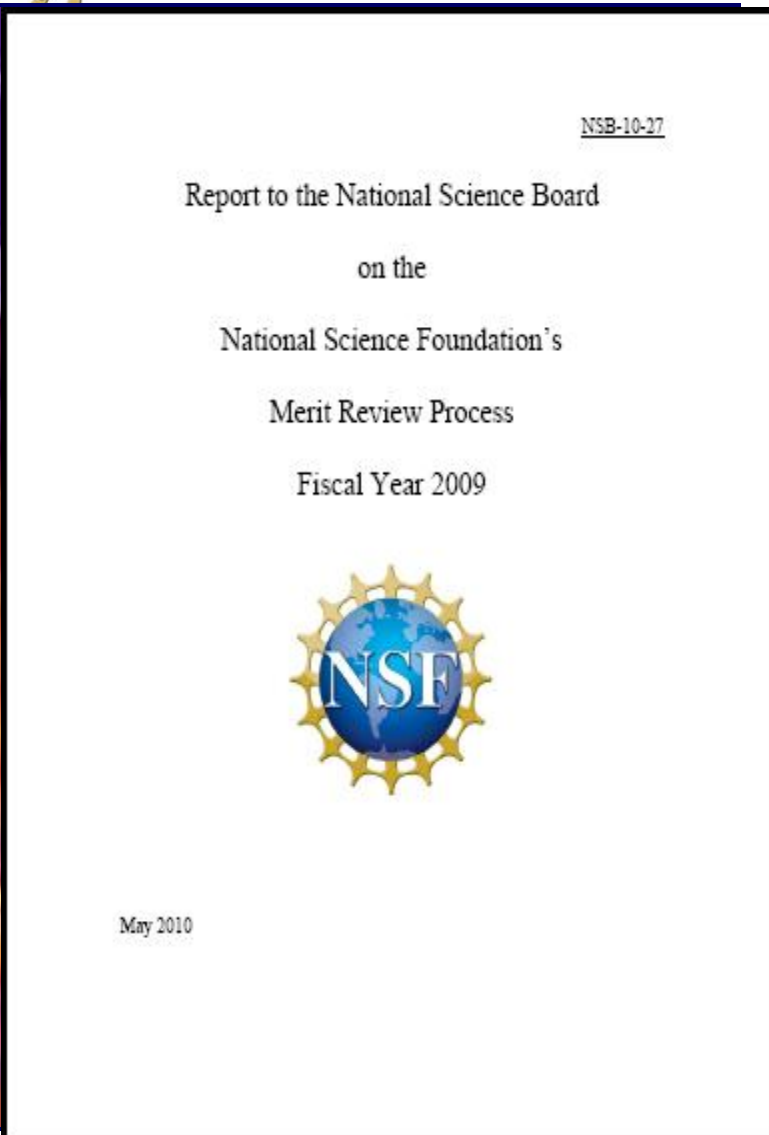


NSF Outreach/Learning Opportunities

- NSF Regional Grants Conference
 - Two-day, bi-annual conference
 - Spring 2011 mtg was in Nashville, TN
 - October 17-18 , 2011 in Austin, TX
 - More information & registration at:
<http://www.nsf.gov/bfa/dias/policy/outreach.jsp>
- SRA & NCURA Conferences
 - Annual meetings and spring regional conferences
 - NSF Updates and Workshops
- Focused Outreach
 - Tribal Colleges, HBCUs, HSIs



Key Documents



- **Proposal & Award Policies & Procedures Guide (PAPPG)**
- **FY 2012 Budget Request to Congress**
- **Science & Engineering Indicators**
- **Report to the NSB on NSF Merit Review Process**





For More Information

Ask Early, Ask Often!

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

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

