



# National Science Foundation Update

**PRA 4 Conference – July 2010**

**Providence, RI**



NATIONAL SCIENCE FOUNDATION

# Ask Early, Ask Often

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# Topics

- ❖ Recent Personnel Changes
- ❖ NSF FY 2010 Budget & FY 2011 Budget Request
- ❖ Proposal & Award Funding Rates
- ❖ American Recovery & Reinvestment Act of 2009 (ARRA)
  - ❖ NSF Funding
  - ❖ Recipient Reporting
- ❖ America COMPETES Act
  - ❖ NSF Implementation
- ❖ Transparency, Accountability & You



# Personnel Changes

- ❖ Dr. Arden Bement, NSF Director has left NSF as of June 1
- ❖ Dr. Cora Marrett named Acting NSF Director as of June 1
- ❖ Dr. Subra Suresh, has been nominated for Director, National Science Foundation
- ❖ Ms. Marty Rubenstein named Chief Financial Officer & Director, Office of Budget, Finance & Award Management
- ❖ Dr. Myron Gutmann named Assistant Director for Social, Behavioral & Economic Sciences (SBE)
- ❖ Dr. Edward Seidel named Assistant Director for MPS
- ❖ Dr. Jose Munoz named NSF Chief Technology Officer Director



# FY 2010 NSF Budget

*Dollars in Millions*

Account	FY 2009 Omnibus	FY 2009 ARRA Actual	FY 2009 Totals	FY 2010 Appropriation	Percent Change over FY 2009 Omnibus
R&RA	\$5,152	\$2,063	\$7,215	\$5,564	8%
EHR	\$846	\$85	\$931	\$873	3%
MREFC	\$161	\$254	\$415	\$117	-27%
AOAM	\$294	-	\$294	\$300	2%
NSB	\$4	-	\$4	\$4.54	13%
OIG	\$12	\$0.02	\$12	\$14	17%
Total	\$6,469	\$2,402	\$8,870	\$6,873	6.24%

Totals may not add due to rounding.



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# FY 2010 Budget

- ❖ Increased support for Graduate Research Fellowship and CAREER Programs.
- ❖ Increases support for Advanced Technological Education (ATE) Program.
- ❖ Increases support for exploratory, high risk research.
- ❖ Supports research to predict future environmental conditions and develop strategies for responding to global environmental change.



# FY 2011 Budget Request

*Dollars in Millions*

Account	FY 2010 Appropriation	FY 2011 Request	Change over FY 2010 Appropriation	
R&RA	\$5,564	\$6,019	\$455	8%
EHR	\$873	\$892	\$19	2%
MREFC	\$117	\$165	\$48	41%
AOAM	\$300	\$329	\$29	10%
NSB	\$4.54	\$5	\$0.30	7%
OIG	\$14	\$14	\$0.35	3%
Total	\$6,873	\$7,424	\$552	8%

Totals may not add due to rounding.



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# FY 2011 Budget Request: Administration Priority Programs

Administration Priority Programs:

	FY 2011 Total	Increase over FY 2010
Graduate Research Fellowship Program	\$158 M	\$22.3 M
Faculty Early Career Development	\$209 M	\$12.8 M
Climate Change Education Program	\$10 M	-
Advanced Technological Education	\$64 M	-





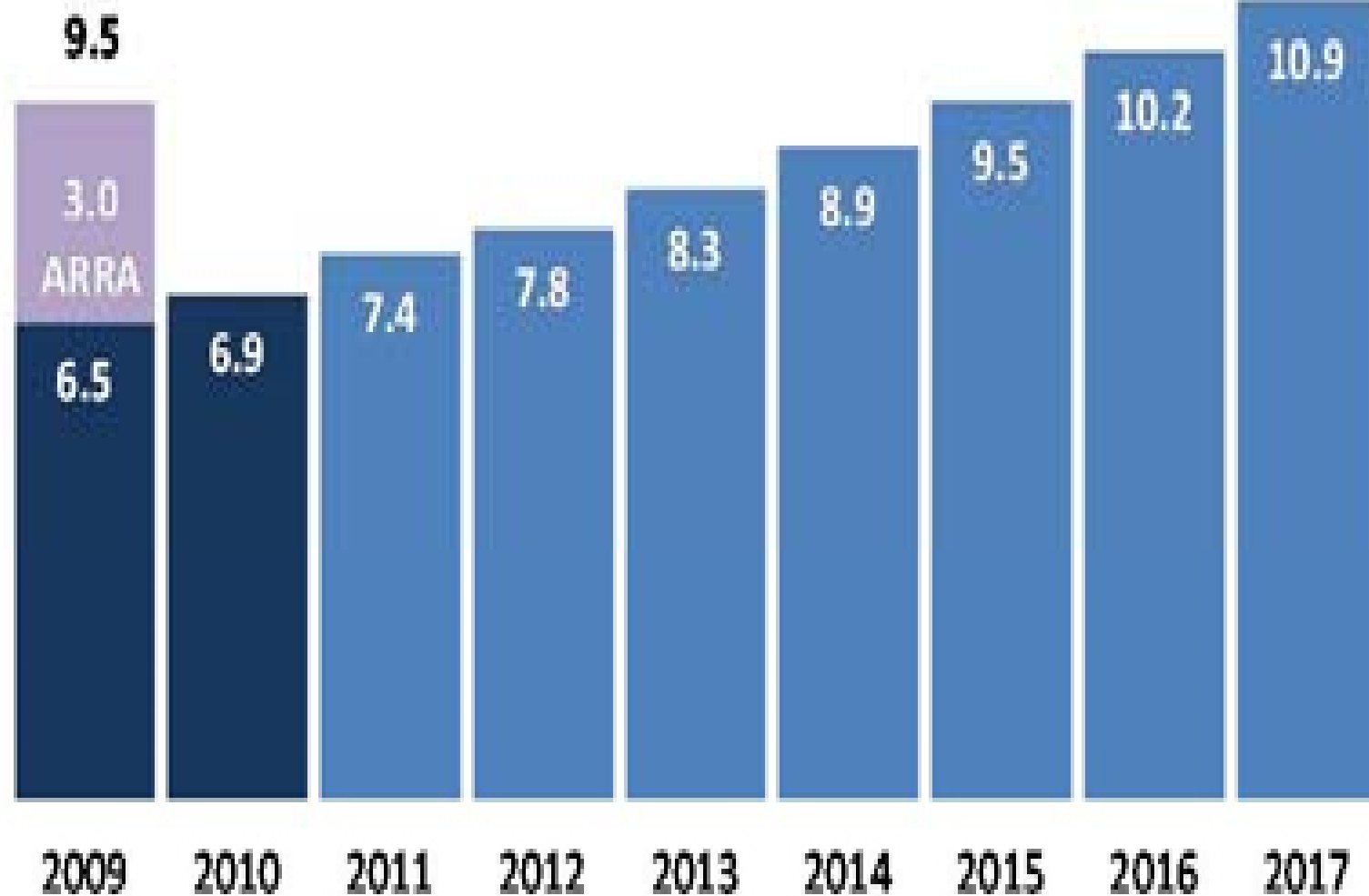
# FY 2011 Budget Request: NSF-wide Priorities

- ❖ USGCRP: NSF contributions increase by 16 percent, to \$370 million
- ❖ NSF portfolios:
  - ❖ Science, Engineering, and Education for Sustainability (SEES): \$766 million
  - ❖ Cyberlearning Transforming Education (CTE): \$41 million

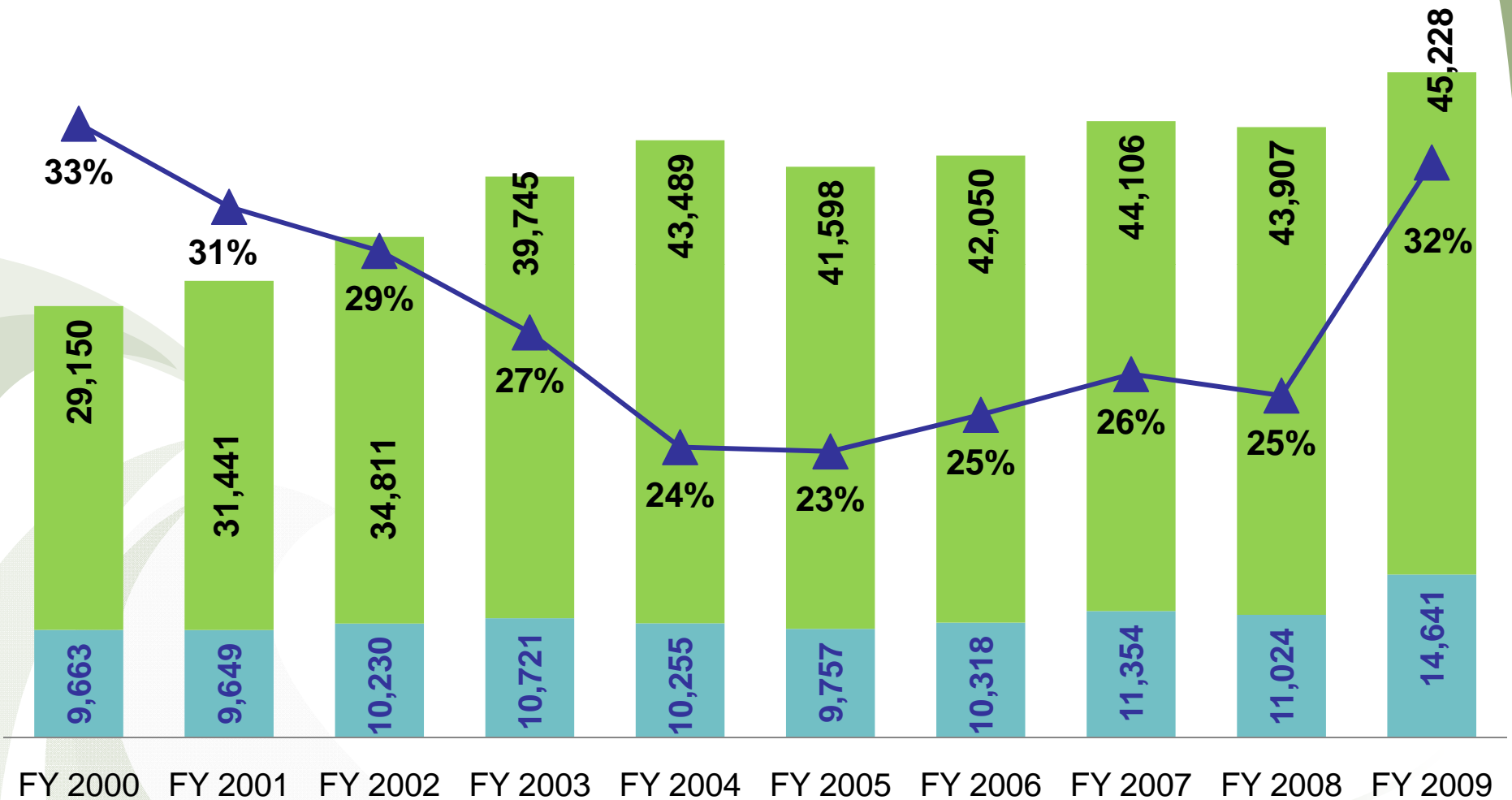


# President's Plan for Science and Innovation

Total NSF Funding  
(dollars in billions)



# Number of NSF Competitive Proposals and Awards and Funding Rates

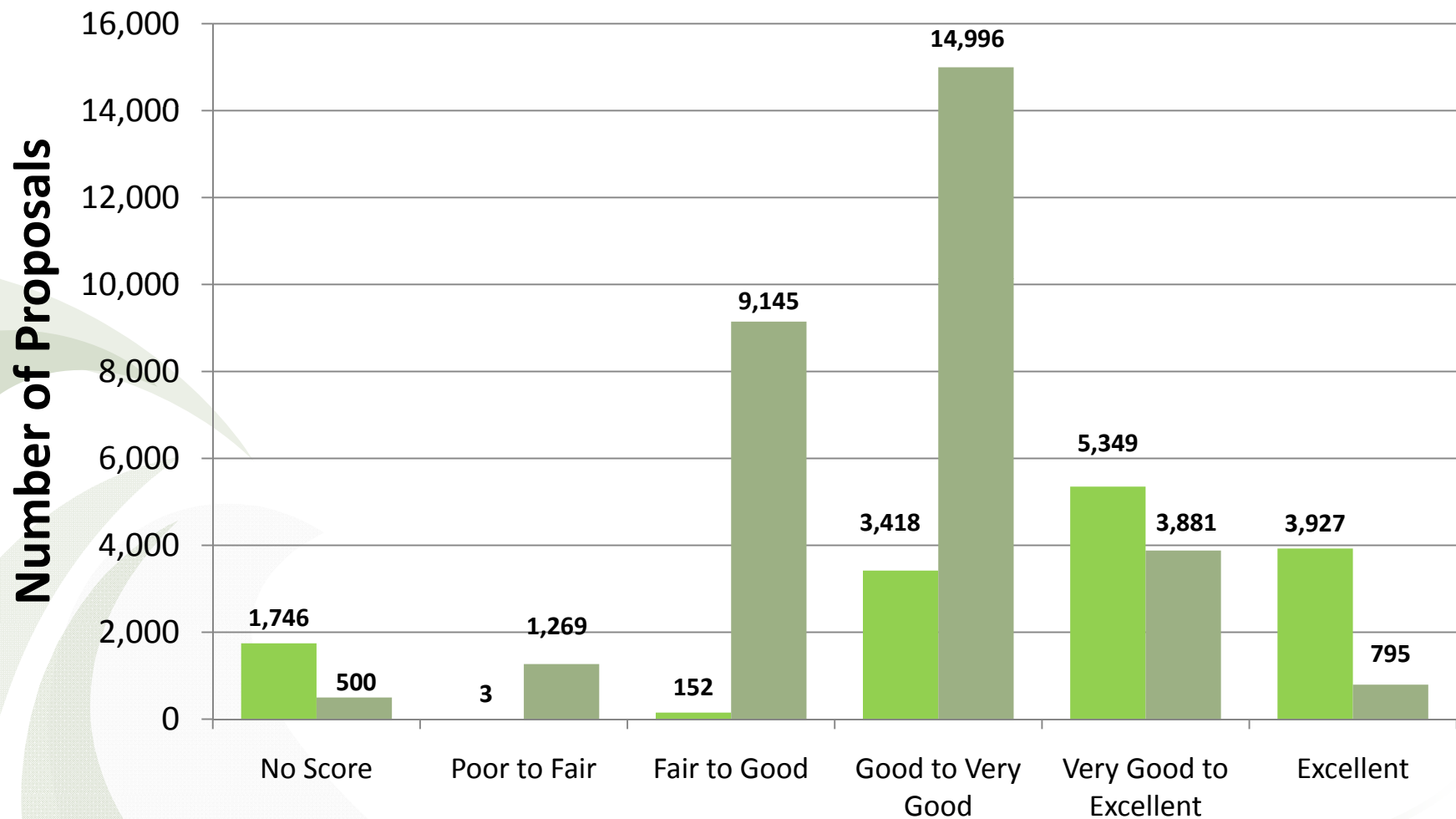


Awards

Competitive Proposals

Funding Rate

## Distribution of Average Reviewer Ratings for Awards and Declines, FY 2009



■ Awards ■ Declines

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# American Recovery and Reinvestment Act of 2009 (ARRA)

*“Even beyond energy, from the National Institutes of Health to the National Science Foundation, this recovery act represents the biggest increase in basic research funding in the long history of America’s noble endeavor to better understand our world. Just as President Kennedy sparked an explosion of innovation when he set America’s sights on the moon, I hope this investment will ignite our imagination once more, spurring new discoveries and breakthroughs that will make our economy stronger, our nation more secure, and our planet safer for our children.”*

President Barack Obama  
February 17, 2009



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# ARRA: NSF Budget Highlights

- ❖ \$3 billion supplemented FY 2009 funding:
  - ❖ \$2 billion for research and related activities for proposals that were reviewed and/or awarded prior to September 30, 2009.
  - ❖ \$ 1 billion dedicated as specified in ARRA.



# ARRA: Specified Programs

- ❖ Academic Research Infrastructure \$200 million
- ❖ Major Research Instrumentation \$300 million
- ❖ Robert Noyce Teacher Scholarships \$60 million
- ❖ Math and Science Partnerships \$25 million
- ❖ Science Masters Program \$15 million
- ❖ Alaska Region Research Vessel \$148 million
- ❖ Ocean Observatories Initiative \$106 million
- ❖ Advanced Technology Solar Telescope \$146 million



# 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)





# **The American Recovery & Reinvestment Act**

## **NSF Award Conditions & Recipient Reporting Basics**



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# 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.



# 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:

### Stage 1 (1-30 days)

- Non Reporting (Omissions)
- Significant Errors

Results communicated to recipients through [federalreporting.gov](http://federalreporting.gov) and SPO to make changes

### Stage 2 (30 – 60 days)

- Automated Data Checks
- Program Officer Reviews
- Federal Financial Report

Results communicated to recipient, to improve next quarter reporting



# 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



# NSF ARRA Recipient Reporting Results

Quarter Ending 9/30/2009	Quarter Ending 12/31/2009	Quarter Ending 3/31/2010
<ul style="list-style-type: none"><li>❖ Recipient Reporting Compliance rate was 98%</li><li>❖ Total of 107 out of 4,502 did not report</li><li>❖ No uncorrected significant errors and 100% accuracy rate</li><li>❖ Responded to six data calls from OMB and Recovery Board</li><li>❖ 2,491.51 jobs</li></ul>	<ul style="list-style-type: none"><li>❖ Recipient Reporting Compliance rate was 99.7%</li><li>❖ Total of 14 out of 4,535 did not report</li><li>❖ 7 two time non-reporters</li><li>❖ One uncorrected significant error and 99.9% accuracy rate</li><li>❖ Responded to nine data calls from OMB and Recovery Board</li><li>❖ 2,913.87 jobs</li></ul>	<ul style="list-style-type: none"><li>❖ Recipient Reporting compliance rate was 99.5%</li><li>❖ Total of 25 out of 4,626 did not report</li><li>❖ Only 2 two-time (non-consecutive) non-reporters</li><li>❖ Five uncorrected significant errors and accuracy rate</li><li>❖ 3,628.93 jobs</li></ul>



# ARRA Recipient Reporting: Important Guidance Changes

- ❖ M-10-14 dated 03/22/10, “Updated Guidance on the American Recovery and Reinvestment Act”
  - ❖ Highlights steps agencies must take to review data quality of recipient during new “continuous corrections” period;
  - ❖ Introduced new category of data quality issue: Administrative/Technical;
  - ❖ Provides guidance on tagging a report as final.





# 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





# ARRA and PI Transfers

- ❖ With the exception of awards where zero dollars have been expended, ARRA awards may not be transferred from one institution to another.
- ❖ The subaward mechanism is an available option in lieu of transfer.
- ❖ CAREER Awards
  - ❖ If the subaward mechanism is used, the subaward institution must meet the organizational eligibility criteria specified in the CAREER solicitation.
  - ❖ NSF also will require a Letter from the Chair of the subawardee institution that confirms that the PI is on a tenure-track or tenured appointment with education responsibilities, and that he/she supports the PI's CAREER goals as outlined in the originally submitted proposal.



# NSF Recipient Reporting Website



The screenshot shows the NSF Recipient Reporting Website. 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" entered. Below the search bar is a navigation menu with links: HOME, FUNDING, AWARDS, DISCOVERIES, NEWS, PUBLICATIONS, STATISTICS, ABOUT, and FastLane. The main content area is titled "Recovery Act Recipient Reporting Information". It contains 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 section provides detailed information about the reporting process, including deadlines and required information.

**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](http://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 December 18, 2009, OMB issued "[Updated Guidance on the American Recovery and Reinvestment Act - Data Quality, Non-Reporting Recipients, and Reporting of Job Estimates](#)" (M-10-08). This updated guidance incorporates lessons learned from the first reporting period under the Recovery Act, and includes further instructions for recipients to report job estimates on a quarterly, rather than a cumulative basis. 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

- ❖ 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

<div>  <div> <b>National Science Foundation (NSF)</b>  <b>American Recovery &amp; Reinvestment Act of 2009 (ARRA)</b>  <b>Recipient Quarterly Reporting Instructions</b>  <b>September 28, 2009 – changes are identified in red</b> </div> </div> <p>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.</p> <p>Many of the data elements that are required to be submitted in the quarterly recipient reports can be found on Research.gov, (<a href="http://www.Research.gov">www.Research.gov</a>) 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 <a href="#">help sheet</a> that illustrates the location of many of the requisite responses is available for use by the recipient community.</p> <div> <div>Data Elements</div> <div> Yellow – Input (user provided)  Blue – System provided (e.g. CCR, Agency Code Reference Table) </div> </div>									
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 NSF Guidance, 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: fips05-2.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.



# New NSF Reporting Instructions, dated May 4, 2010

## ❖ Changes include:

- ❖ **Award Number Data Field** to emphasize the importance of this entry as it is used by FederalReporting.gov to forward the report to the appropriate agency;
- ❖ **Final Report Data Field** to incorporate supplemental guidance issued by OMB regarding when a report should be flagged as “Final”(see [OMB Memorandum M-10-14 dated 03/22/10](#));
- ❖ **Award Date Data Field** to clearly articulate that this is the field used by NSF to determine when the initial quarterly submission is due;
- ❖ **Quarterly Activities/Project Description** to clarify the instructions for recipients; and
- ❖ **Number of Jobs Created/Retained Data Field** for consistency with guidance issued by OMB (see [OMB Memorandum M-10-08, dated 12/18/09](#)).



# ARRA Recipient Help Sheet

http://www.nsf.gov/bfa/dias/policy/arra/helpsheet.pdf - Microsoft Internet Explorer provided by National Science Foundation

http://www.nsf.gov/bfa/dias/policy/arra/helpsheet.pdf

File Edit Go To Favorites Help

http://www.nsf.gov/bfa/dias/policy/arra/helpsheet.pdf

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Find

## 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](http://www.research.gov). From the main page of Research.gov, click the Research Spending and Results link to navigate to the search page.



Research.gov

POWERING KNOWLEDGE AND INNOVATION

Research Spending and Results Search

QUICK SEARCH by any of the following:

Awardee or Award Information: (Full text search, put quotes around phrases)

Funds Obligated to Date Between: \$ And \$ (i.e. 50500 And 100500)

Project Director/Principal Investigator: (Also searches for co-PIs/awards)

Award Date Between: And

Show me only Recovery Act Awards

Search Reset

Research.gov displays awards active as of FY 1994 and beyond for NSF and active as of FY 2007 and beyond for NASA. Please note: information may not be as complete for awards that date prior to the Federal Funding Accountability and Transparency Act of 2009 (awards not active as of October 2009 and beyond).

### 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

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

#### Grant Detail

Awardee:  
Doing Business As Name:  
200:

Award Date:  
Estimated Total Award Amount:  
Funds Obligated to Date:  
Award Start Date:  
Award Expiration Date:  
Transaction Type:  
Agency:  
CFDA Number:  
Primary Program Source:  
Award Title or Description:  
Federal Award ID Number:  
DUNS ID:  
Parent DUNS ID:  
Program:  
Program Officer:

UNIVERSITY OF FLORIDA  
University of Florida  
Shanglin Mo  
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SYNTHESIS OF SELF-RECOG  
Michael L. Mahland  
753-262-2442  
mahland@ufl.edu

Awardee Location  
Street:  
City:  
State:  
Zip:

1 UNIVERSITY OF FLORIDA  
GAINESVILLE  
FL  
32611-2052

start

NSF WinSt...

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ARRA Rep...

ARRA Rep...

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# 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

## 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.



# SEC 7009: Responsible Conduct of Research – Status Update

- ❖ Formally implemented the RCR requirement in the revised *Proposal & Award Policies & Procedures Guide* (10-1)
- ❖ Effective for proposals submitted 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>

## ❖ New solicitation: NSF 10-547

## ❖ 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.

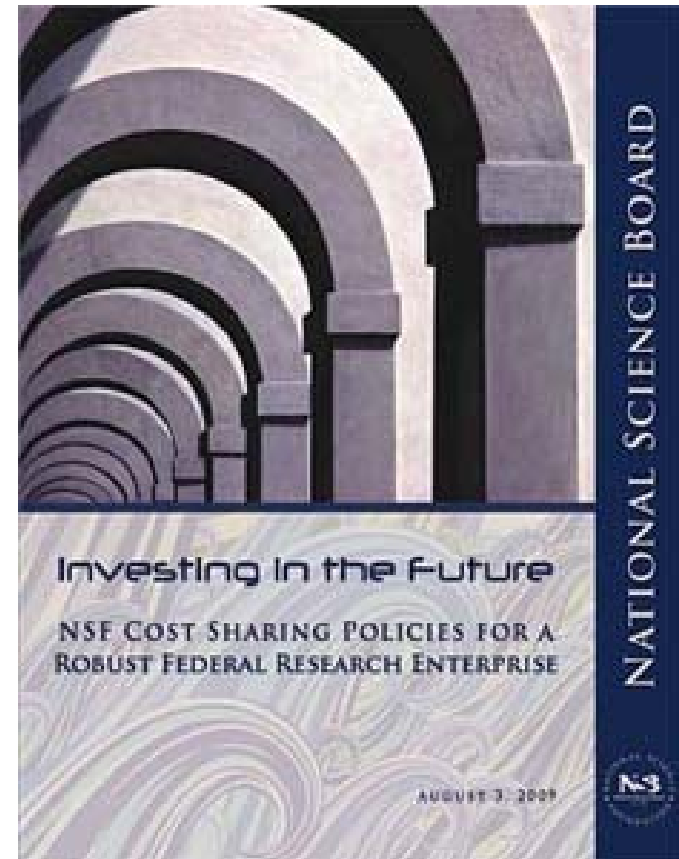


# Section 7013: Cost Sharing

## ❖ 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.

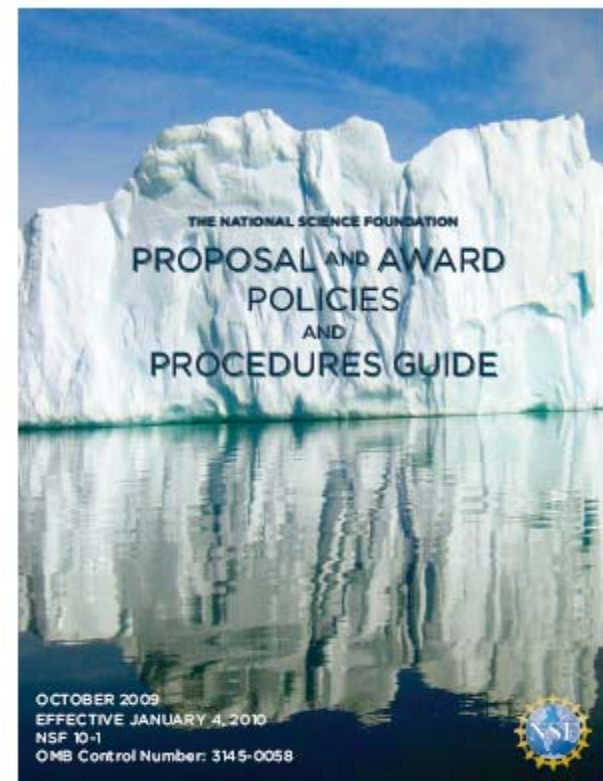




# ACA: For More Information

See: [http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=papp](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.



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# Changes to Implementation of NSF's Data Management Policy



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# Data Management Plans

- ❖ NSF will require all proposals include a data management plan in the form of a supplemental document (maximum of 2-pages)
- ❖ This supplement should describe how the proposal will conform to NSF policy on the dissemination and sharing of research results
- ❖ A valid Data Management Plan may include only the statement that no detailed plan is needed, as long as the statement is accompanied by a clear justification.
- ❖ The Data Management Plan will be reviewed as an integral part of the proposal, coming under Intellectual Merit or Broader Impacts or both, as appropriate for the scientific community of relevance.



# Data Management Plans (Cont'd)

- ❖ NSF plans to use an automated approach in FastLane to check compliance



# Transparency, Accountability & You

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## Administration Priorities



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# 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**



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# Grants.gov

The screenshot shows the Grants.gov website. At the top is the Grants.gov logo and a navigation bar with links for Search, Contact Us, Site Map, and Help. A left sidebar contains a menu with categories like 'FOR APPLICANTS' and 'FOR GRANTORS'. The main content area features the slogan 'Find. Apply. Succeed.' and a paragraph explaining the site's purpose. To the right, there is a 'RECOVERY.GOV' section with information about the American Recovery and Reinvestment Act. At the bottom, a 'What's New at Grants.gov' section lists a notice about the contact center closure on September 7, 2009, for Labor Day.

**GRANTS.GOV<sup>SM</sup>**

Search Contact Us Site Map Help

**FOR APPLICANTS**

- Applicant Login
- Find Grant Opportunities
- Get Registered
- Apply for Grants
- Track My Application
- Applicant Resources
- Search FAQs, User Guides and Site Information

**APPLICANT SYSTEM-TO-SYSTEM**

**FOR GRANTORS**

**ABOUT GRANTS.GOV**

**HELP**

**CONTACT US**

**SITE MAP**

## Find. Apply. Succeed.

Grants.gov is your source to FIND and APPLY for federal government grants. The U.S. Department of Health and Human Services is proud to be the managing partner for Grants.gov, an initiative that is having an unparalleled impact on the grant community. [Learn more](#) about Grants.gov and determine if you are eligible for grant opportunities offered on this site.

Grants.gov does not provide personal financial assistance. To learn where you may find personal help, check [Government Benefits](#), [Student Loans](#) and [Small Business Start-up Loans](#).

**RECOVERY.GOV**

In response to The American Recovery and Reinvestment Act or Recovery Act, Grant-making agencies are posting Recovery Act specific grant opportunities on Grants.gov. [View all opportunities >](#)

Other information and opportunities regarding the Recovery Act is available. [Learn more >](#)

Update-to-date information on the state of recovery. [Learn more >](#)

**THE WHITE HOUSE WASHINGTON**

**Recovery Act Grant Opportunities**

**Archived Webinars**

### What's New at Grants.gov

New Opportunities This Week

September 7, 2009: Grants.gov Contact Center Closed in Observance of Labor Day



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# USA Spending.gov: Financial Transparency



### Welcome to USAspending.gov

Where Americans Can See Where Their Money Goes

Have you ever wanted to find more information on government spending? Have you ever wondered where Federal contracting dollars and grant awards go? Or perhaps you would just like to know, as a citizen, what the Government is really doing with your money.

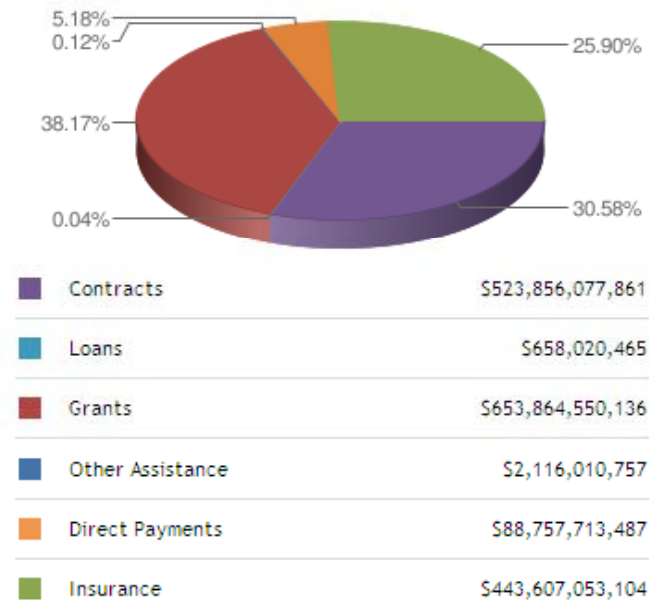
[LEARN MORE](#)

### Last Data Update

Contracts data is up-to-date as of February 10, 2010 for all 24 CFO Act agencies.

Assistance (Grants/Other & Loans) data is up-to-date as of March 07, 2010 for 19 of 22 CFO Act agencies. Updates are currently pending for the following agencies: DOE, NRC and VA

### FEDERAL SPENDING FY 2009



### TOP 5 ASSISTANCE RECIPIENTS FY 2009

1	NEW YORK STATE DEPT OF HEALTH	\$29,547,145,628
2	DEPARTMENT OF HEALTH CARE SERVICES	\$28,700,358,274
3	TEXAS HEALTH & HUMAN SERVICES COMMISSION	\$17,181,517,108
4	PENNSYLVANIA DEPT OF PUBLIC WELFARE	\$13,866,984,890
5	OHIO DEPT OF JOB & FAMILY SERVICES	\$13,645,371,322

### TOP 5 CONTRACTORS FY 2009

1	LOCKHEED MARTIN CORPORATION	\$38,327,816,102
2	THE BOEING COMPANY	\$20,135,278,483
3	NORTHROP GRUMMAN CORPORATION	\$17,114,007,562
4	GENERAL DYNAMICS CORPORATION	\$16,702,633,547
5	RAYTHEON COMPANY	\$15,776,184,036



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# Recovery.gov



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# NSF Recovery



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WHERE DISCOVERIES BEGIN

SEARCH

HOME | FUNDING | AWARDS | DISCOVERIES | NEWS | PUBLICATIONS | STATISTICS | ABOUT | FastLane

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## NSF Information Related to the American Recovery and Reinvestment Act of 2009

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### OVERVIEW OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (RECOVERY ACT)

The American Recovery and Reinvestment Act of 2009 (Recovery Act) was signed into law by President Obama on February 17th, 2009. It is an unprecedented effort to jumpstart our economy, create or save millions of jobs, and put a down payment on addressing long-neglected challenges so our country can thrive in the 21st century. The Act is an extraordinary response to a crisis unlike any since the Great Depression, and includes measures to modernize our nation's infrastructure, enhance energy independence, expand educational opportunities, preserve and improve affordable health care, provide tax relief, and protect those in greatest need.

### IMPLEMENTING THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (RECOVERY ACT) Atom

This section includes major announcements regarding the Recovery Act such as press releases, fact sheets, frequently asked questions and important notices to the community detailing how NSF is implementing the Recovery Act.

[A New Look Beneath the Waves: Ocean Observatories Initiative Gets Underway](#)  
Posted October 6, 2009

[Expeditions in Computing Continue to Break New Ground](#)  
Posted October 6, 2009

[NSF Announces First Major Award Under American Recovery and Reinvestment Act to the Alaska Region Research Vessel \(ARRV\)](#)



# Open Government

The screenshot shows the White House Open Government Initiative website. At the top, the header includes "the WHITE HOUSE PRESIDENT BARACK OBAMA" and a search bar. The main navigation bar features links for "BLOG", "PHOTOS & VIDEO", "BRIEFING ROOM", "ISSUES", "the ADMINISTRATION", "the WHITE HOUSE", and "our GOVERNMENT". The page title is "Open Government Initiative" with the tagline "TRANSPARENCY ♦ PARTICIPATION ♦ COLLABORATION". A large quote from President Obama is displayed: "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." To the right of the quote, there is a stack of overlapping images showing various government websites and data visualizations, including one labeled "federal IT portfolio".

the WHITE HOUSE PRESIDENT BARACK OBAMA

Get Email Updates | Contact Us

BLOG PHOTOS & VIDEO BRIEFING ROOM ISSUES the ADMINISTRATION the WHITE HOUSE our GOVERNMENT

Home • The Administration • Open Government Initiative

Search WhiteHouse.gov

## Open Government Initiative

TRANSPARENCY ♦ PARTICIPATION ♦ COLLABORATION

OPEN GOV

About Open Government | Open Gov Blog | Around the Government | Innovations Gallery

“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.”

Business.gov COLLABORATE

your window the federal IT portfolio


Department of Veterans Affairs

Agency Exhibitions




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# NSF Open Government



National Science Foundation

OpenNSF  
SHARE YOUR IDEAS



WHITEHOUSE.GOV/OPEN

[Login / Signup](#)

[Accessibility](#)

**SHARE.  
DISCUSS.  
VOTE.**

Give us *your* ideas on how we can create our Open Government Plan.

**This plan will help NSF:**

- Improve the availability and quality of information
- Work better with others inside & outside the government
- Be more efficient & innovative

[Learn More...](#)

Ideas will be accepted until March 19, 2010.

[Share an Idea](#)[Discuss & Vote on Ideas](#)





# Transparency, Accountability & You

\*\*\*\*\*

## What It All Means For You



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# NSF Bringing it All Together

- ❖ Technology & Tools:

- ❖ Research.gov: Partnerships and Services for the Research Community

- ❖ Standards and Policy:

- ❖ Project Outcomes Report for the General Public (America COMPETES Act)
  - ❖ Federal Financial Report
  - ❖ Research Performance Progress Report



# Research.gov

- ❖ Supports the needs of institutions and researchers
  - ❖ Modernization of FastLane providing next generation grants management capabilities to meet the unique needs of the research community
  - ❖ Provides a menu of grants management and information services for multiple Federal agencies in one place
  - ❖ Intuitive, easy-to-use environment to conduct business with the Federal Government
- ❖ Increases transparency of Federal research spending and outcomes
- ❖ Provides the public, scientific community, and Congress with easy access to information about:
  - ❖ How Federal research funds are being spent
  - ❖ What outcomes are being achieved
  - ❖ How those outcomes benefit society
- ❖ Leverages government-wide standards





# Current Research.gov Partners

Research.gov simplifies the research community's access to information and grant services for multiple federal agencies

- ❖ National Science Foundation (Lead Agency)
- ❖ National Aeronautics and Space
- ❖ Administration (Partner Agency)
- ❖ Department of Defense Research (Partner Agency)
- ❖ National Institute of Food and Agriculture (Partner Agency) *Formerly USDA's Cooperative State Research, Education, and Extension Service*



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# Research.gov Services

## ❖ Public Facing Services:

- ❖ Research Spending & Results
  - ❖ Find NSF Recovery Act Awards
- ❖ Policy Library (Government-wide)
- ❖ Research Headlines and Events
- ❖ Science and Innovation (coming soon)

## ❖ Research Community Services:

- ❖ View the status of grant applications
- ❖ Sponsored Project Office
- ❖ Principal Investigator
- ❖ Submit Federal Financial Reports
- ❖ Manage institution and user accounts
- ❖ Application Submission Web Services Pilot
- ❖ Project Outcomes Report for the general public (coming soon)
- ❖ Research Performance Project Report (Focus in FY2010)

## ❖ Research.gov Desktop for NSF Staff

- ❖ Find Reviewers



# Science and Innovation

- ❖ A new, interactive public service providing access to robust information about the outcomes and impacts of NSF-funded research
  - ❖ Read exciting NSF award highlights - summaries describing the outcomes of NSF-funded research and their benefits to society
  - ❖ Find research experts and research assets (program centers, facilities, telescopes and observatories, and vehicles) in your state or related to a research topic
  - ❖ Use the interactive map to find your state's total number of awards in a fiscal year, total amount of funds obligated in a fiscal year, and recent awards and award abstracts



# Application Submission Web Services

## ❖ NSF is working with institutions to pilot an application submission service

- ❖ Consistent with Grants.gov framework for system-to-system
- ❖ Provides applicants with a seamless experience for submitting proposals via web services to Research.gov and Grants.gov
- ❖ Leverages Research and Related data standard grantees are familiar with
- ❖ Lays ground work for future opportunities to extend these capabilities to post-award management (e.g., financial and project reporting)

## ❖ Currently in pilot

- ❖ Available to a limited number of institutions who can apply to select NSF funding opportunities. This ensures the service meets applicant needs before expanding to more institutions and additional funding opportunities
- ❖ Institutions continue to have option to submit grant applications to NSF through FastLane and Grants.gov, as well as Research.gov

## ❖ If interested in participating, contact NSF at [feedback@research.gov](mailto:feedback@research.gov)



# Project Outcomes Report for the General Public

- ❖ NSF's approach to meeting reporting requirements outlined in the America Competes Act of 2007
- ❖ PIs/Co-PIs will use Research.gov to prepare and submit a brief summary – specifically for the public – that describes the nature and outcomes of the award
- ❖ PIs/Co-PIs will continue to submit Final and Annual Project reports through FastLane

The screenshot shows a web form titled "Project Outcomes Report" for the General Public. At the top, it displays the user's name (John Smith), profile link, login link, and the date (September 28, 2008). The form includes a header with "Award ID: 0550755" and "Report Period: 10/1/2008 to 9/30/2009". Below this, a section titled "Project Outcomes Report for the General Public" explains that the report must be at least 200 words and can be up to 800 words. A text area contains placeholder text: "Lorem ipsum dolor sit amet, consectetur adipiscing elit. Pellentesque quis dignissim lectus. Aliquam erat volutpat. Curabitur lobortis velit at quam volutpat auctor. Etiam adipiscing, lectus elementum lacula molestie, dolor orci hendrerit massa." Below the text area is a "WYSIWYG Editor" section with a rich text editor interface. To the right of the editor is a "Related Images" section with a note: "To add up to 6 supporting images, click the Add & Remove Images button below." Below this is a grid of six image placeholders. At the bottom of the form, there is a "Word Count: 150" indicator and four buttons: "Cancel", "Preview", "Save", and "Save & Submit".





# Research Performance Progress Report

- ❖ The Research Performance Progress Report (RPPR) was approved by OMB/OSTP in April 2010
- ❖ NSF will use Research.gov to provide a new online service for preparing and submitting this report
  - ❖ NSF has a history of success implementing new government standards through Research.gov, including the Federal Financial Report (FFR)
- ❖ NSF will initially partner with NASA to deliver RPPR to the research community
- ❖ <http://www.nsf.gov/bfa/dias/policy/rppr/index.jsp>



# “My Research.gov”

New enhancements to Research.gov allow you to:

- ❖ Customize your Research.gov homepage and profile
- ❖ Sign up for personalized news feeds for awards (Research Spending and Results), headlines, and events. Select the alerts you receive by:
  - ❖ Institution
  - ❖ Agency
  - ❖ Information type
  - ❖ Congressional district
  - ❖ And more!



# Discover Research.gov Today!

The screenshot shows the Research.gov homepage. At the top, the logo "Research.gov" is displayed with the tagline "POWERING KNOWLEDGE AND INNOVATION". Below the logo, there are navigation links: Home, Contact Us, Site Map, and Help. A welcome message reads "Welcome Anonymous | September 16, 2009".

The left sidebar contains several sections:

- About Research.gov**: Includes a "Who We Are" section with a photo of people working together and text explaining the site's mission.
- Service Offerings**: A list of services including Policy Library, Research Spending and Results, Partnership Model, Partner Agency List, Latest News, and Frequently Asked Questions.
- Login**: A section with a "Login" button, a "Get Started Now!" link, and a "Register New Institution" link.
- Apply For Grants**: A section with links to "Grants.gov", "NSF FastLane", and "NASA IISPIRES".
- Feedback**: A section with a "Tell Us What You Think" link.

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 smiling woman. Below the banner, there is a "Services" section with the heading "Online tools to help you manage your grants" and a list of services with icons:

- Research Spending and Results**: A section titled "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**: A section titled "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**: A section titled "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**: A section titled "Institution Administrators can manage profiles and permissions for their institutions and users. Account Required."
- Federal Financial Report**: A section titled "Institutions can prepare and submit grant financial reports to NSF using the new government-wide standard form. Account Required."
- Recovery Act**: A section titled "Learn More About the American Recovery and Reinvestment Act of 2009."

On the right side of the main content area, there is an "Events" section with a list of upcoming events:

- September 16 - 17, 2009**: Fall 2009 Research Review and Industrial Advisory Board Meeting Partnership meeting
- September 16 - 16, 2009**: Center for a-Design IAR Meeting Partnership meeting
- September 17 - 18, 2009**: NSF IUCRC Center for Health Organization Transformation Workshop Partnership meeting

Below the events section is a "My Weather" section showing the weather in Arlington, VA: 69°F, Cloudy. It also displays the date and time: "Wed, 16 Sep 2009 8:52 am EDT" and a "Enter Your Zip:" field with a "go!" button.

Visit Research.gov at:  
[www.research.gov](http://www.research.gov)

Questions or  
comments?

Email us at:  
[feedback@research.gov](mailto:feedback@research.gov)

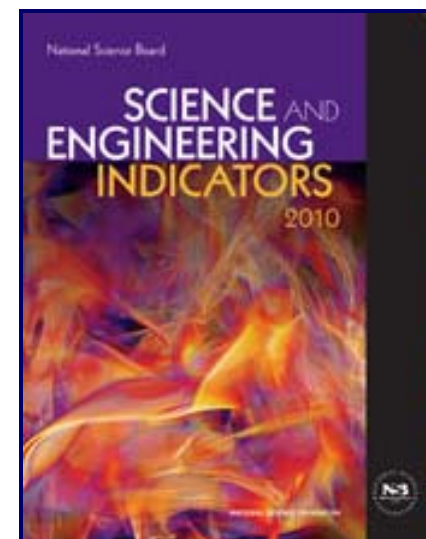
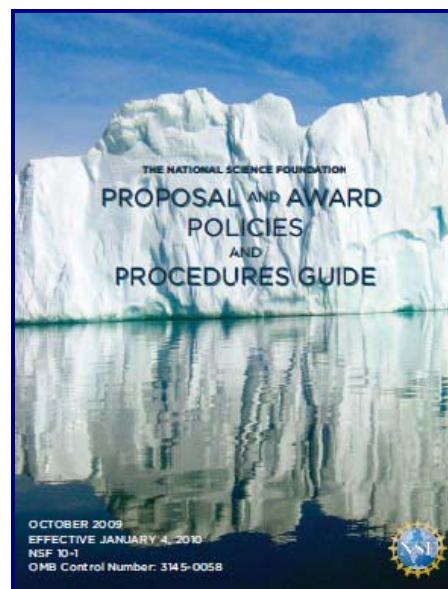
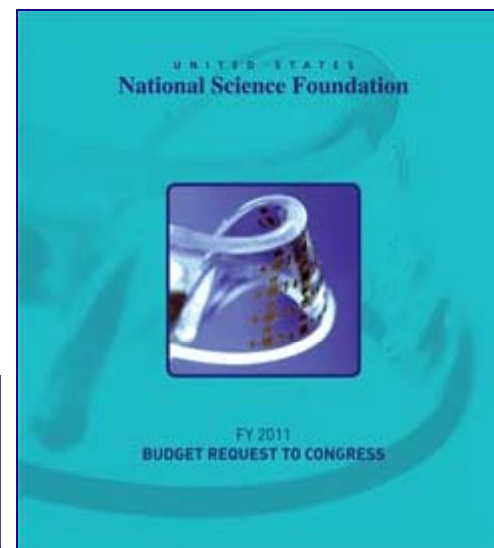


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# Key Documents

- ❖ FY 2011 NSF Budget Request to Congress
- ❖ Proposal & Award Policies & Procedures Guide
- ❖ Science & Engineering Indicators



**For More Information....**

**Ask Early, Ask Often**

[www.nsf.gov/staff](http://www.nsf.gov/staff)

[www.nsf.gov/staff/orglist.jsp](http://www.nsf.gov/staff/orglist.jsp)



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