



National Science Foundation Spring 2010 Policy Update

**NSF Business & Operations
Advisory Committee
May 18th, 2010**



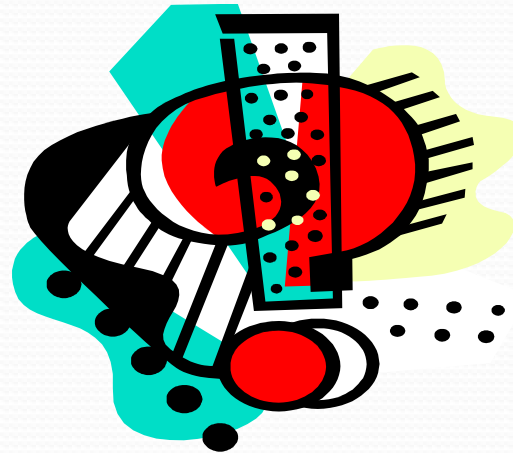
Ask Early, Ask Often

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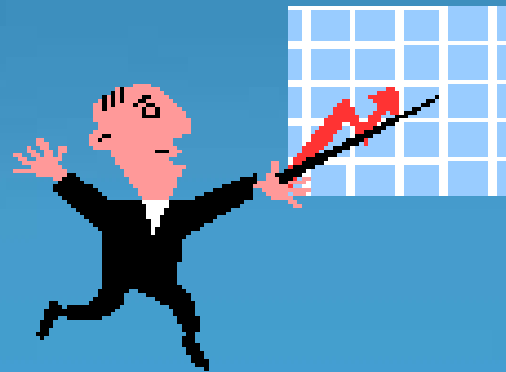
Topics Covered

- ◎ ARRA Reporting Update
- ◎ America COMPETES Act Update
 - Postdoctoral Mentoring
 - Responsible Conduct of Research
 - Public Outcomes Report
 - Cost Sharing
- ◎ Data Management Plans
- ◎ Research Performance Progress Report

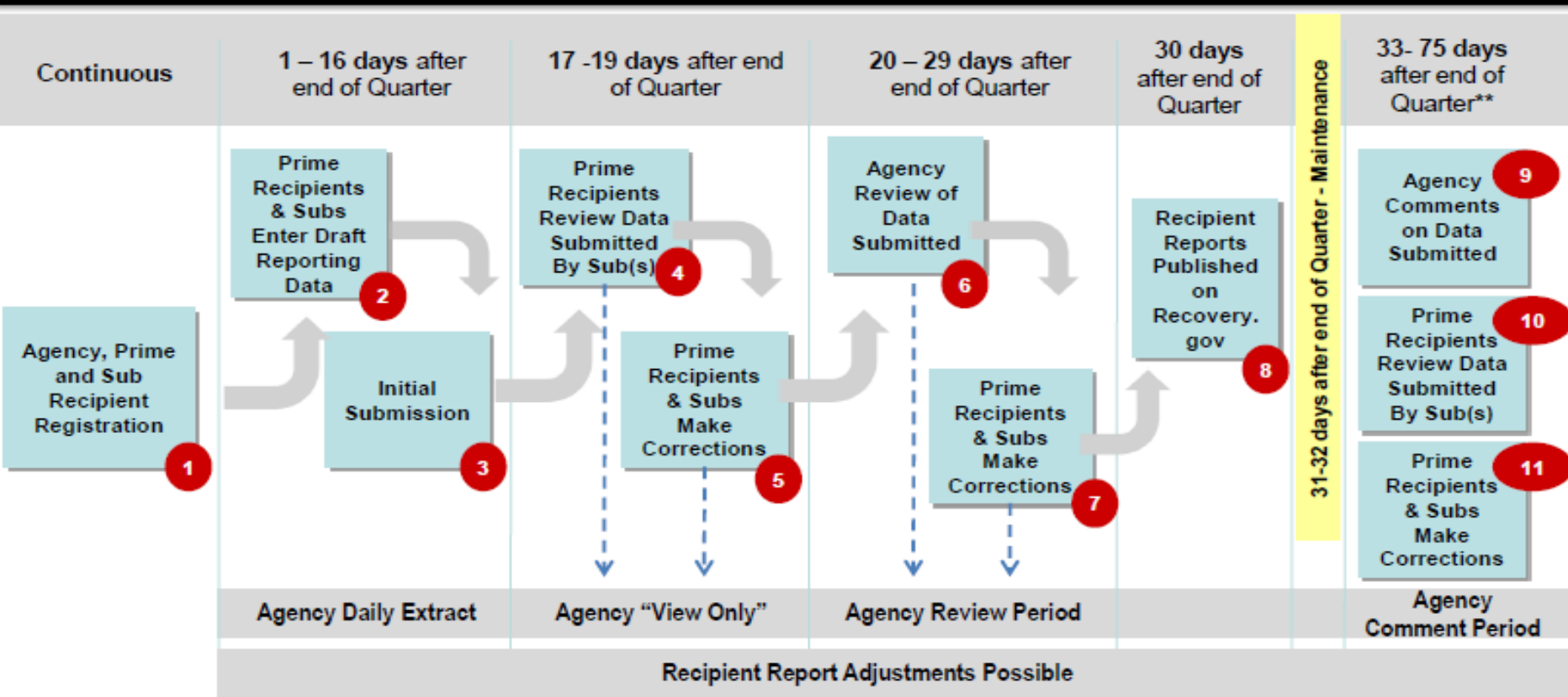


The American Recovery & Reinvestment Act of 2009

NSF Recipient Reporting Update



Reporting Timeline and Activities



Reporting Phase:



FederalReporting.gov



**Reports will be unlocked Days 33-75

**There will be no late submission during Days 33-75



NATIONAL SCIENCE FOUNDATION

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 Recipient Reporting:

Important Guidance Changes (Cont'd)

- M-10-17 dated 05/04/10, “Holding Recipients Accountable for Reporting Compliance under the American Recovery and Reinvestment Act”
 - Instructs Federal agencies to contact new recipients prior to the beginning of each reporting period to notify them of their reporting obligations.
 - Directs Federal agencies to contact recipients who in prior quarters have not reported when required and pursue consistent and comprehensive follow-up to achieve reporting.
 - Mandates use of available tools to actively monitor recipients during the reporting period and requires outreach to recipients that have not reported prior to the close of the reporting period.
 - Requires Federal agencies to obtain recipient compliance with their reporting responsibilities or pursue sanctions and remedies.
 - Requires Federal agencies to report non-compliant recipients to OMB within five days of the quarterly close.



NSF Recipient Reporting Instructions

- Crosswalk of data elements provided by OMB
- Assists NSF in reviewing reports
- Research.gov – Research Spending & Results



National Science Foundation (NSF)
 American Recovery & Reinvestment Act of 2009 (ARRA)
 Recipient Quarterly Reporting Instructions
 May 4, 2010 – changes are identified in red

The following information is provided to assist NSF recipients in consistent and quality data quarterly reporting under ARRA. This chart provides a cross-walk of the data elements listed in the Recipient Reporting Data Model issued by OMB in the Final Production Release v.3.0. Guidance: The data model, however, has been modified to include only those data elements that are applicable to NSF assistance awards. In an effort to ensure data quality and to assist recipients in reporting accurate data for ARRA quarterly reports, NSF is providing additional information, where appropriate, for use by the recipient. Following this additional guidance will assist NSF in reviewing recipient reports. As new information becomes available, this document will be updated accordingly.

Many of the data elements that are required to be submitted in the quarterly recipient reports can be found on Research.gov, (www.Research.gov) using the Research Spending and Results Service. From the main page of Research.gov, click the Research Spending and Results link to navigate to the search page. Type in the applicable Award ID Number into the Awardee or Award Information box and click Search. A [help sheet](#) that illustrates the location of many of the requisite responses is available for use by the recipient community.

Data Elements	Yellow – Input (user provided)
	Blue – System provided (e.g. CCR, Agency Code Reference Table)

RECIPIENT DATA ELEMENTS									
Data Element	OMB Definition (as specified in OMB Recipient Reporting Data Model, v3.0)	Type	Max Length	Example	Comments	Control	Validation and Business Rule(s)	Additional NSF Guidance where applicable	
Funding Agency Code	The Federal Agency name corresponding to the Federal Agency Code used	string	55	6800	Federal Agency code is mandatory for Recipient Reporting. The Funding Agency is the agency that receives the ARRA funds through the ARRA funds appropriation.	April 1, 2009 Federal Register Transparency Act Guidance March 30, 2007. Initial Reference: fips95-2.pdf Latest Reference: NIST Special Publication		Select/Enter '4900' for NSF awards. It is vital that this field be accurately completed as it is used by Federal Reporting.gov to forward the report to the appropriate agency.	



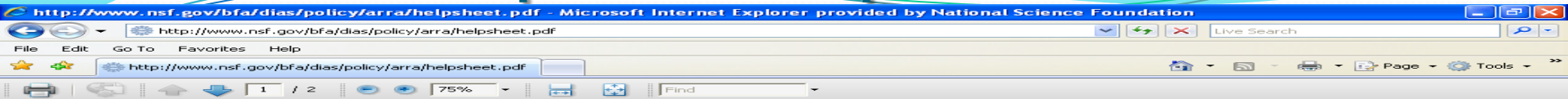
New NSF Reporting Instructions, dated May 4, 2010

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



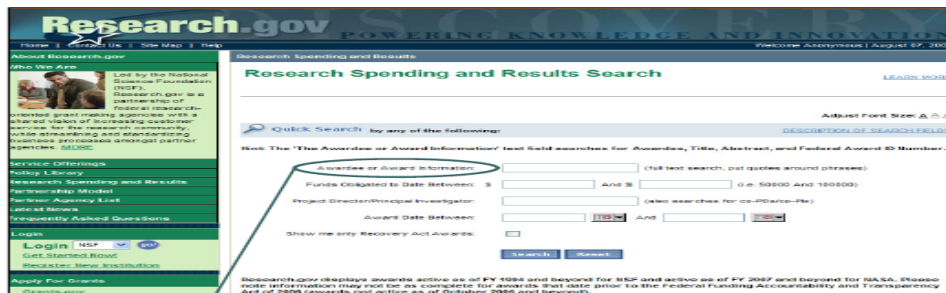
ARRA Recipient Reporting

Completing Reporting Requirements Using Information From Research.gov

Many of the data elements for your award that are required in the American Recovery and Reinvestment Act (ARRA) Recipient Reports can be found on Research.gov, using the Research Spending and Results Service.

Find Your Award

The Research Spending and Results service can be found at www.research.gov. From the main page of Research.gov, click the Research Spending and Results link to navigate to the search page.



Type in your Award ID Number into the Awardee or Award Information box and click Search



Get Your Information

Information you will need to complete your ARRA Recipient Report will be available in the Research Spending and Results Detail page for your award. The numbers listed below correspond to data elements listed in the Awardee Guidance document.

Research Spending and Results Detail

Grant Detail

AWARDEE:
 During Business As Name:
 ZSW:

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:
 Award DUNS ID:
 Program:
 Program Officer:

Awardee Location:
 Street:
 City:
 State:
 ZIP:

UNIVERSITY OF FLORIDA
 University of Florida
 Thurgood Marshall
 200-282-4205
 2890LUGR@UFL
 06/23/2009
 \$556,404
 \$556,404
 FY 2009 - \$556,404
 06/15/2009
 06/30/2012
 Grant
 NSF
 47-180
 400181 RNA RECOVERY ACT
 Dissection of the salivary acid-stress signaling pa
 08-2716
 088662816
 156031867
 0Y180020 DCF & SELF REC'D
 Michael L. Mashkin
 703-292-8442
 mmashk@nsf.gov

1 UNIVERSITY OF FLORIDA
 GAINESVILLE
 FL
 32611-2002

No.	Research.gov Element Name	ARRA Report Element Name
5	Primary Program Source	Program Source (TAS)
6	Federal Award ID Number	Award Number
7	DUNS ID	Recipient DUNS Number
10	CFDA Number	CFDA Number
20	Cong. District	Recipient Cong. District
23	Transaction Type	Award Type
24	Award Date	Award Date
25	Abstract at Time of Award	Award Description
26	Award Title or Description	Project Name or Proj/ Prog Title
33	Funds Obligated to Date	Amount of Award
48&	Street	Primary Place of

The America COMPETES Act

NSF Implementation Activities



SEC 7008: Postdoctoral Research Fellows

- ① “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.
- ① 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.
- ◎ Effective April 24, proposals that do not have the requisite plan will not be able to be submitted by the institution.



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

- ① While training plans are not required to be included in proposals submitted, institutions are advised that they are subject to review upon request.
- ① 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.
- ① NSF will support the development of an on-line digital library containing research findings, pedagogical materials, and promising practices regarding the ethical and responsible conduct of research.



SEC 7009: Responsible Conduct of Research – Status Update

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



SEC 7009: Responsible Conduct of Research – Status Update

- ◎ Funded on-line resources
 - NSF Award 0936857, PI: Fountain, University of Massachusetts, Amherst. <http://www.umass.edu/sts/digitallibrary/>
 - NSF Award 0936865, PI: Hollander, National Academy of Sciences. www.onlineethics.org/CMS/about/UserGuide/18848.aspx
- ◎ RCR Page on the NSF Policy Website
 - <https://www.nsf.gov/od/recr.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.



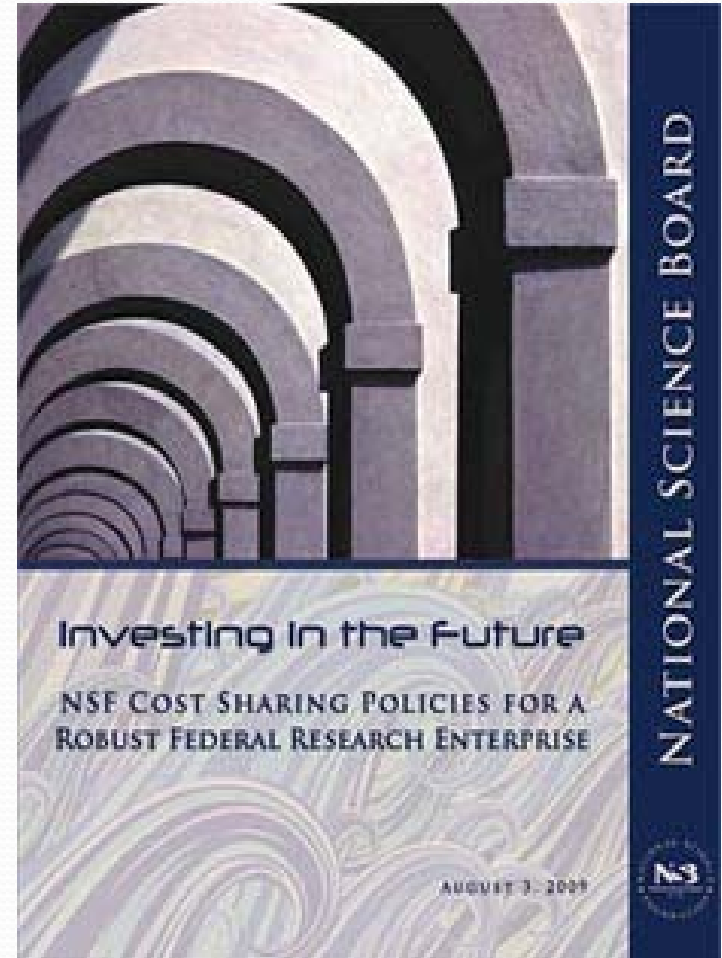
SEC 7010: Reporting of Research Results – NSF Implementation

- ① The new report will be prepared and submitted via Research.gov. PIs will be required to prepare a summary – developed specifically for the public – on the nature and outcomes of the award.
- ① Implemented via revisions to the NSF Agency Specific Requirements to the standard Grant Conditions
- ① Effective January 4, 2010, new awards and funding increments to existing awards incorporate the new requirement.

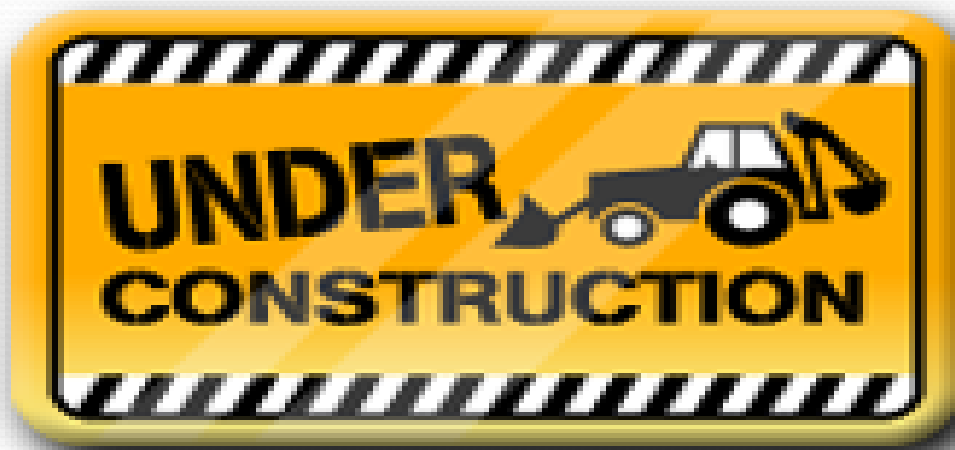


Section 7013: Cost Sharing

- 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.



NSF Revised Cost Sharing Policy



Changes to Implementation of NSF's Data Management Policy



Data Management Plans

- NSF is planning a change in the implementation of its existing data sharing policy
 - Existing policy requires awardees to share their data within a reasonable length of time, so long as the cost is modest.
 - This is the first step in what will be a more comprehensive approach to data.
 - The changes are designed to address trends and needs in the modern era of data-driven science.
 - NSF wants to avoid a one size fits all approach to the issue of data sharing.



Data Management Plans (Cont'd)

- 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
 - Similar to that used for mentoring plans



The Research Performance Progress Report (RPPR)

What is it?

How Does NSF Plan to Implement?



Background

- The RPPR proposal is an initiative of the Research Business Models (RBM) Subcommittee of the Committee on Science (CoS), a Committee of the National Science and Technology Council (NSTC)
- Objective of this initiative was to establish a uniform format for reporting performance on Federally-funded research projects
 - Format was developed as the “Research alternative” to the Performance Progress Report (PPR)
 - This proposed policy addresses interim progress reports only
 - The Subcommittee will consider a format for final reports once the progress report format has been issued



Overview

- Each of the categories in the RPPR is a separate reporting component.
- Agencies will direct their grant recipients to report on the mandatory category, and may direct them to also report on the optional categories, as needed.
- Agencies should direct recipients to complete only those questions that are relevant to the award or agency.
- Agencies will utilize the standard instructions that have been developed, but may provide additional program-specific instructions necessary to clarify a requirement for a particular program.



Overview (Cont'd)

- Agencies also may develop additional agency- or program-specific reporting categories and instructions; however, such use should be minimized, and OMB review and approval is required.
- Agencies may use other OMB-approved reporting formats, such as the PPR, for example, for research centers/institutes, clinical trials, or fellowship/training awards.



Agencies Submitting Burden Hour Estimates During FR Process

- ⊙ DHHS (including NIH)
- ⊙ DHS
- ⊙ DoC/NIST
- ⊙ DoC/NOAA
- ⊙ DoD
- ⊙ DoE
- ⊙ DoEd/IES
- ⊙ EPA
- ⊙ NASA
- ⊙ NEH
- ⊙ NSF
- ⊙ USDA/NIFA

Total number of annual progress reports covered by these agencies: 116,404



RPPR Components

- ◎ Cover Page Data Elements
- ◎ Mandatory Category
 - Accomplishments: What was done? What was learned?
- ◎ Optional Categories
 - Products: What has the project produced?
 - Participants & Other Collaborating Organizations: Who has been involved?
 - Impact: What is the impact of the project? How has it contributed?
 - Changes/Problems
 - Special Reporting Requirements
 - Budgetary Information
 - Appendix 1: Demographic Information for Significant Contributors



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 plan must address whether the agency plans to use the paper or electronic format and must have an anticipated implementation date.
 - Prior to this date, agencies must submit revisions to their currently approved progress reporting format for clearance by OMB.
- NSF will use Research.gov to provide a new online service for preparing and submitting this report.
- NSF will initially partner with NASA to deliver RPPR to the research community.



For More Information....

Ask Early, Ask Often

www.nsf.gov/staff

www.nsf.gov/staff/orglist.jsp

