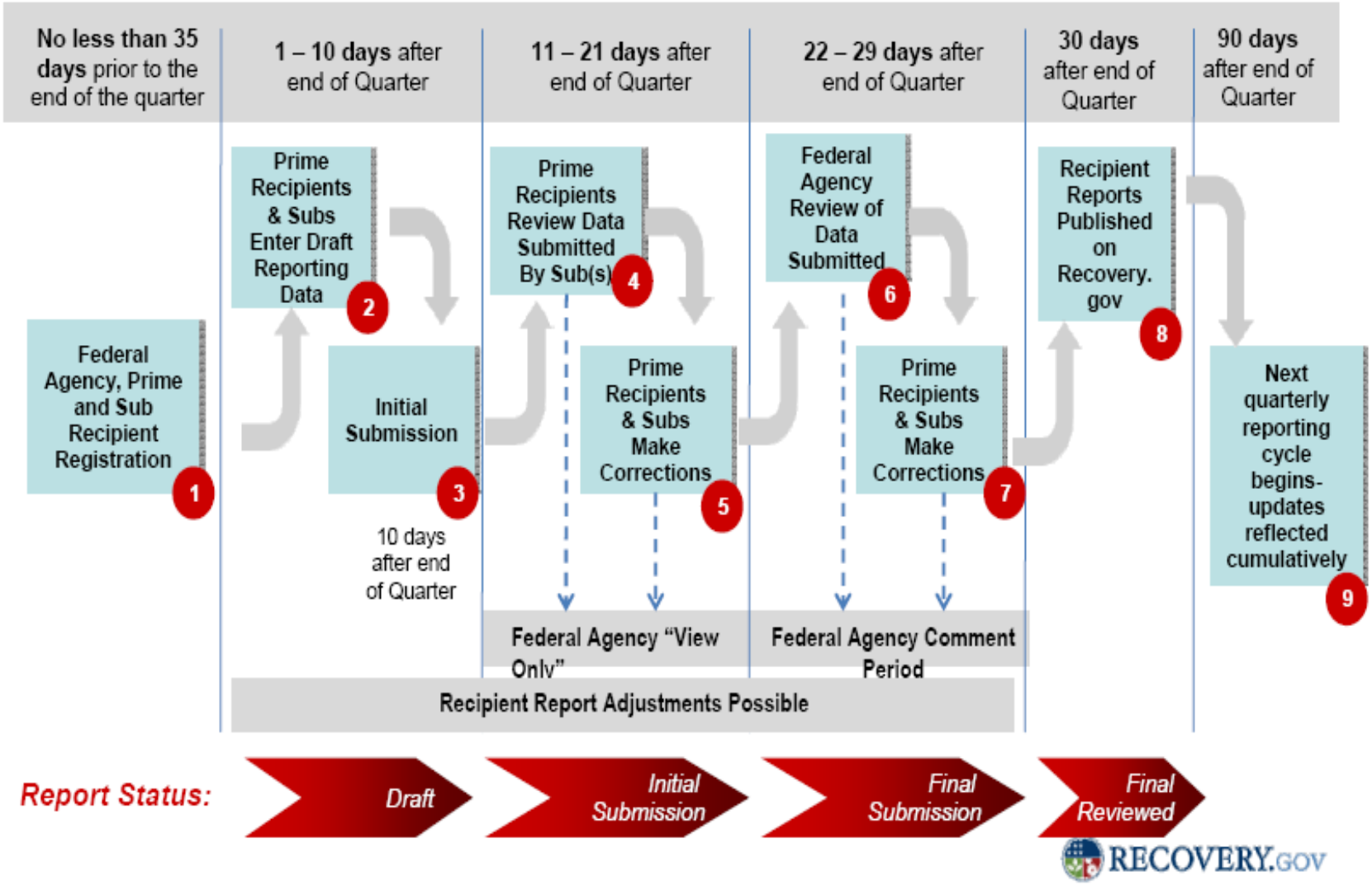
NSF ARRA Recipient Reporting Federal Review and Outreach

Briefing to the B&O Advisory Committee

November 18, 2009

In-bound Recipient Reporting (FederalReporting.Gov) Timeline and Activities



NSF ARRA Reporting

- Each NSF award that includes funds provided by the Recovery Act will require ***the recipient*** to submit quarterly reports to a central Federal website www.FederalReporting.gov by **October 10th .** There are 4 phases during the first 30 day period:

Phase I – Oct. 1st – 10th	• Recipient enters and submits reports
Phase 2 – Oct. 11th – 21st	• Recipients review and revise data
Phase 3 – Oct. 22nd – 29th	• Agencies conduct data quality reviews and notify recipients of errors; recipients make corrections
Phase 4 – Oct. 30th	• Reports are published on Recovery.gov

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

Agency Responsibilities
NSF's Approach to Federal Data Quality Review

- Recipient Reporting Tiger Team (BFA – DIAS,DFM,BD,DGA;DIS;OIG)
- Define severity categories

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

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

- Define screening protocol by core of NSF tiger team (Data Match, sampling, FFR match, No action)
- Develop NSF specific reporting guidance
- Initiated ongoing outreach to support recipient reporting
- Develop and Implement a multi-step data review process
- Implement recipient notification process and maintain compliance database
- Integrate with NSF advanced monitoring (AMBAP) with appropriate actions

NSF's Review Process: Days 22-29

- "Non-Reported" Awards
  - Recipients of these awards are notified via the website and NSF e-mail of non-compliance
  - A list of these awards and recipients is sent to the Recovery Act Board
- Reported data -is screened to identify material omissions or significant reporting errors." Fields reviewed are in 3 data elements:
  - Number of Jobs – Threshold (exceeds budgetary personnel by factor of 5)
  - Amount of Award – Threshold (exceeds 10%)
  - Total Amount of ARRA Expenditure – Threshold (exceeds award amount)
- Results – NSF had 3 reports we determined had significant reporting errors in FederalReporting.gov and they were all corrected by 29th

NSF's Review Process: Days 30-90

- 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 (@30 items)
- Sampling review - A manual sample pool of reports will be selected to review fields that cannot be reviewed through screening
  - 3 Fields include: Award Description, Quarterly Activities/Project Description, and Description of Jobs Created
  - Program Officers are integral to the process in reviewing the Quarterly Activities/Project Description and Job Narrative fields
- Expenditure check - Reported expenditure data is compared against FFR submission for that quarter.
- Recipient notified via e-mail to make corrections next quarter

ARRA Reporting Requirements

- 99 Data elements
- Federal Funding Agency
- Award identification
- Recipient D-U-N-S
- Recipient CCR information
- CFDA number
- Recipient Congressional District
- Recipient account number
- Project/grant period
- 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

Initial Results from Reporting Cycle 1 Stage 1 (through Day 30)

- Number of ARRA Awards Requiring Reporting: 4502
- Number of Reports Outstanding after Day 10: 300
- Number of Reports Outstanding after Day 30: 107
- Overall Submission Rate: 98%
- No Uncorrected Significant Errors Reported to OMB
- Most Frequent Issues:
  - Incorrect Data - Award Number, Agency Code
  - Submission issues – registration, draft
  - Jobs annualization
  - Award Date vs. Effective Date

Initial Results from Reporting Cycle 1 (Cont'd)

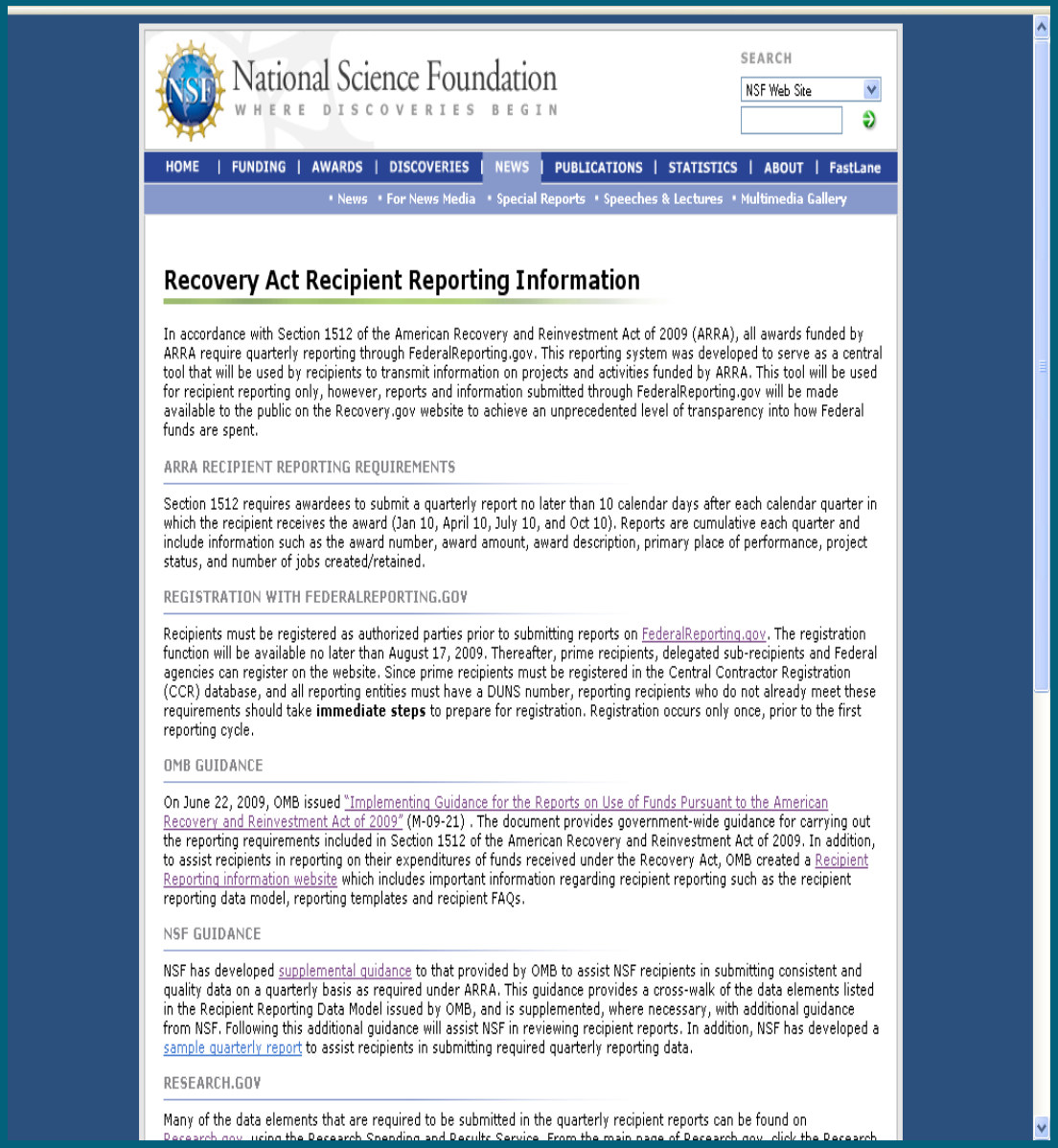
- Most Frequently Asked Questions:
  - Treasury Accounting Symbol
  - Activity Code
  - Contracting Agency Code
  - Do I have an NSF ARRA Award?
- Recipient reports created on FederalReporting.gov include six static fields which, when entered by a recipient cannot be changed without first deactivating the existing report and creating a new report. Together, these static fields create a business key, which is used by the system to identify recipient reports as well as enhance security.
  1. Award Number
  2. Award Type
  3. Calendar Year
  4. Calendar Quarter
  5. Recipient DUNS Number
  6. Order Number (for Federally Awarded Contracts)

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

NSF Recipient Outreach Activities

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

NSF Recipient Reporting Website



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Recovery Act Recipient Reporting Information

In accordance with Section 1512 of the American Recovery and Reinvestment Act of 2009 (ARRA), all awards funded by ARRA require quarterly reporting through FederalReporting.gov. This reporting system was developed to serve as a central tool that will be used by recipients to transmit information on projects and activities funded by ARRA. This tool will be used for recipient reporting only, however, reports and information submitted through FederalReporting.gov will be made available to the public on the Recovery.gov website to achieve an unprecedented level of transparency into how Federal funds are spent.

ARRA RECIPIENT REPORTING REQUIREMENTS

Section 1512 requires awardees to submit a quarterly report no later than 10 calendar days after each calendar quarter in which the recipient receives the award (Jan 10, April 10, July 10, and Oct 10). Reports are cumulative each quarter and include information such as the award number, award amount, award description, primary place of performance, project status, and number of jobs created/retained.

REGISTRATION WITH FEDERALREPORTING.GOV

Recipients must be registered as authorized parties prior to submitting reports on FederalReporting.gov. The registration function will be available no later than August 17, 2009. Thereafter, prime recipients, delegated sub-recipients and Federal agencies can register on the website. Since prime recipients must be registered in the Central Contractor Registration (CCR) database, and all reporting entities must have a DUNS number, reporting recipients who do not already meet these requirements should take **immediate steps** to prepare for registration. Registration occurs only once, prior to the first reporting cycle.

OMB GUIDANCE

On June 22, 2009, OMB issued "Implementing Guidance for the Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009" (M-09-21) . The document provides government-wide guidance for carrying out the reporting requirements included in Section 1512 of the American Recovery and Reinvestment Act of 2009. In addition, to assist recipients in reporting on their expenditures of funds received under the Recovery Act, OMB created a Recipient Reporting information website which includes important information regarding recipient reporting such as the recipient reporting data model, reporting templates and recipient FAQs.

NSF GUIDANCE

NSF has developed supplemental guidance to that provided by OMB to assist NSF recipients in submitting consistent and quality data on a quarterly basis as required under ARRA. This guidance provides a cross-walk of the data elements listed in the Recipient Reporting Data Model issued by OMB, and is supplemented, where necessary, with additional guidance from NSF. Following this additional guidance will assist NSF in reviewing recipient reports. In addition, NSF has developed a sample quarterly report to assist recipients in submitting required quarterly reporting data.

RESEARCH.GOV

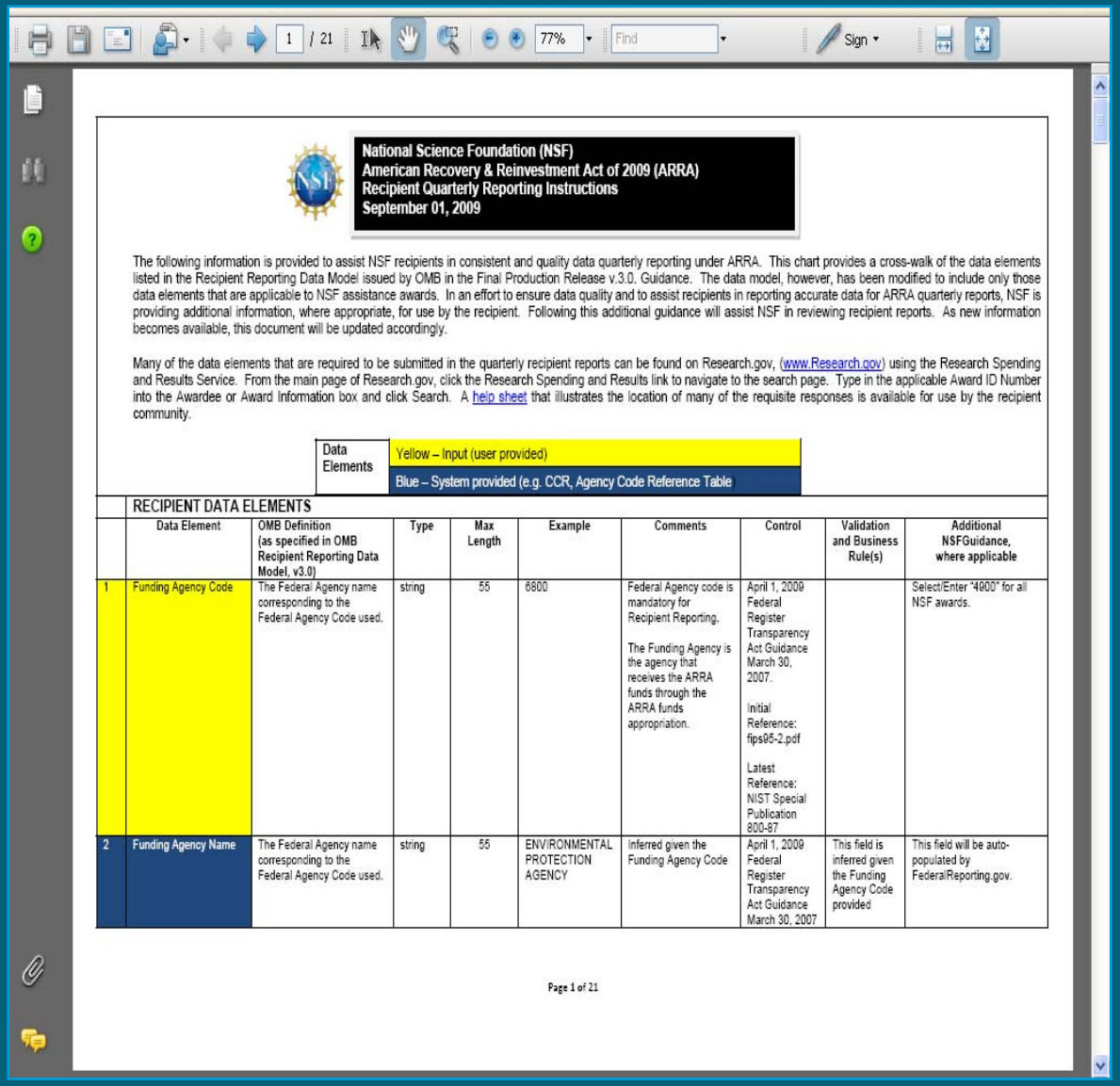
Many of the data elements that are required to be submitted in the quarterly recipient reports can be found on Research.gov, using the Research Spending and Results Service. From the main page of Research.gov, click the Research

- Registration with FederalReporting.gov
- OMB Guidance
- NSF Guidance

  http://nsf.gov/recovery/reporting.jsp

NSF Recipient Reporting Instructions

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



National Science Foundation (NSF)
American Recovery & Reinvestment Act of 2009 (ARRA)
Recipient Quarterly Reporting Instructions
September 01, 2009

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

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

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

RECIPIENT DATA ELEMENTS

	Data Element	OMB Definition (as specified in OMB Recipient Reporting Data Model, v3.0)	Type	Max Length	Example	Comments	Control	Validation and Business Rule(s)	Additional NSFGuidance, where applicable
1	Funding Agency Code	The Federal Agency name corresponding to the Federal Agency Code used.	string	55	6800	Federal Agency code is mandatory for Recipient Reporting. The Funding Agency is the agency that receives the ARRA funds through the ARRA funds appropriation.	April 1, 2009 Federal Register Transparency Act Guidance March 30, 2007. Initial Reference: fips95-2.pdf Latest Reference: NIST Special Publication 800-87		Select/Enter "4900" for all NSF awards.
2	Funding Agency Name	The Federal Agency name corresponding to the Federal Agency Code used.	string	55	ENVIRONMENTAL PROTECTION AGENCY	Inferred given the Funding Agency Code	April 1, 2009 Federal Register Transparency Act Guidance March 30, 2007	This field is inferred given the Funding Agency Code provided	This field will be auto-populated by FederalReporting.gov.

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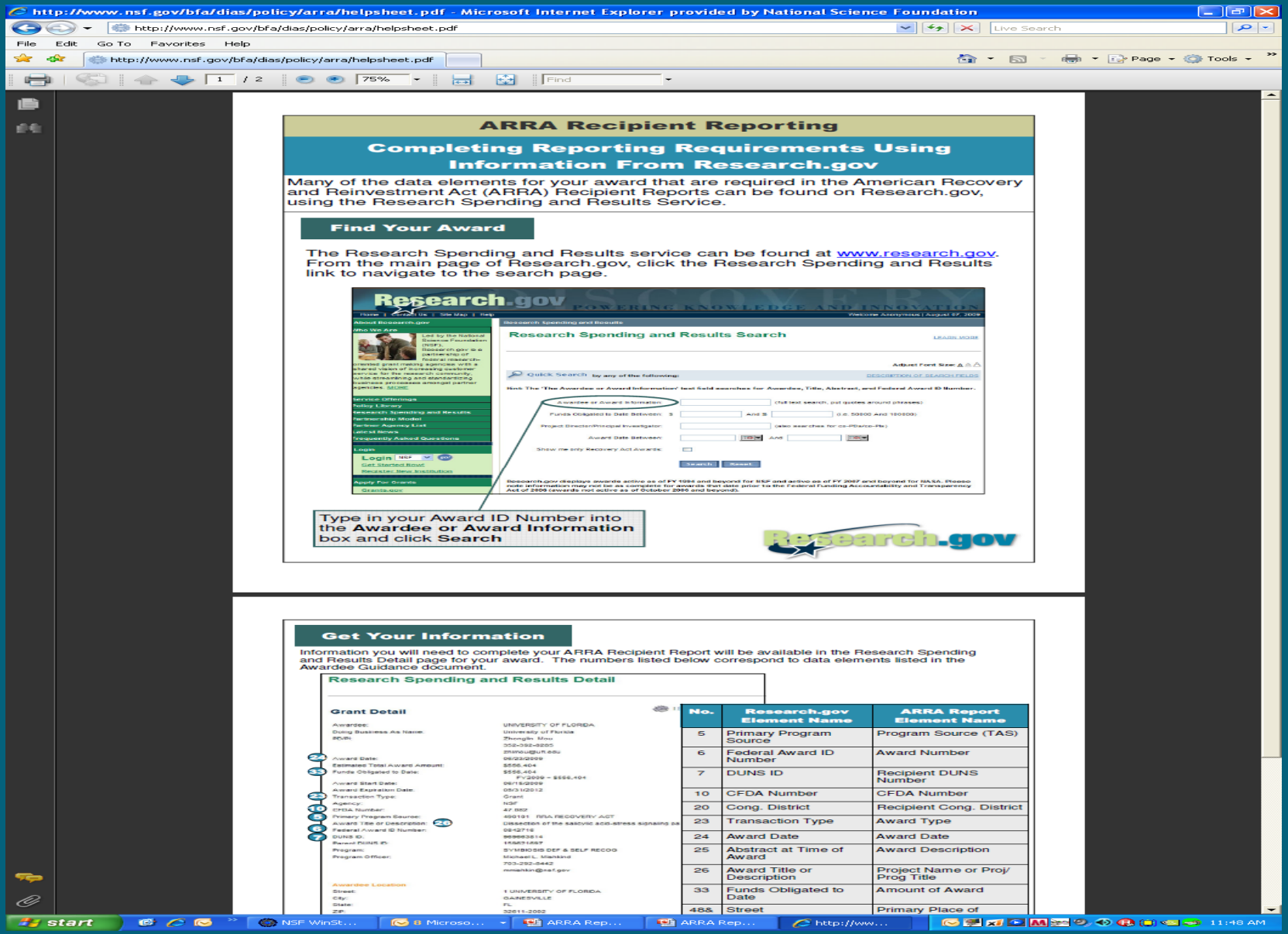
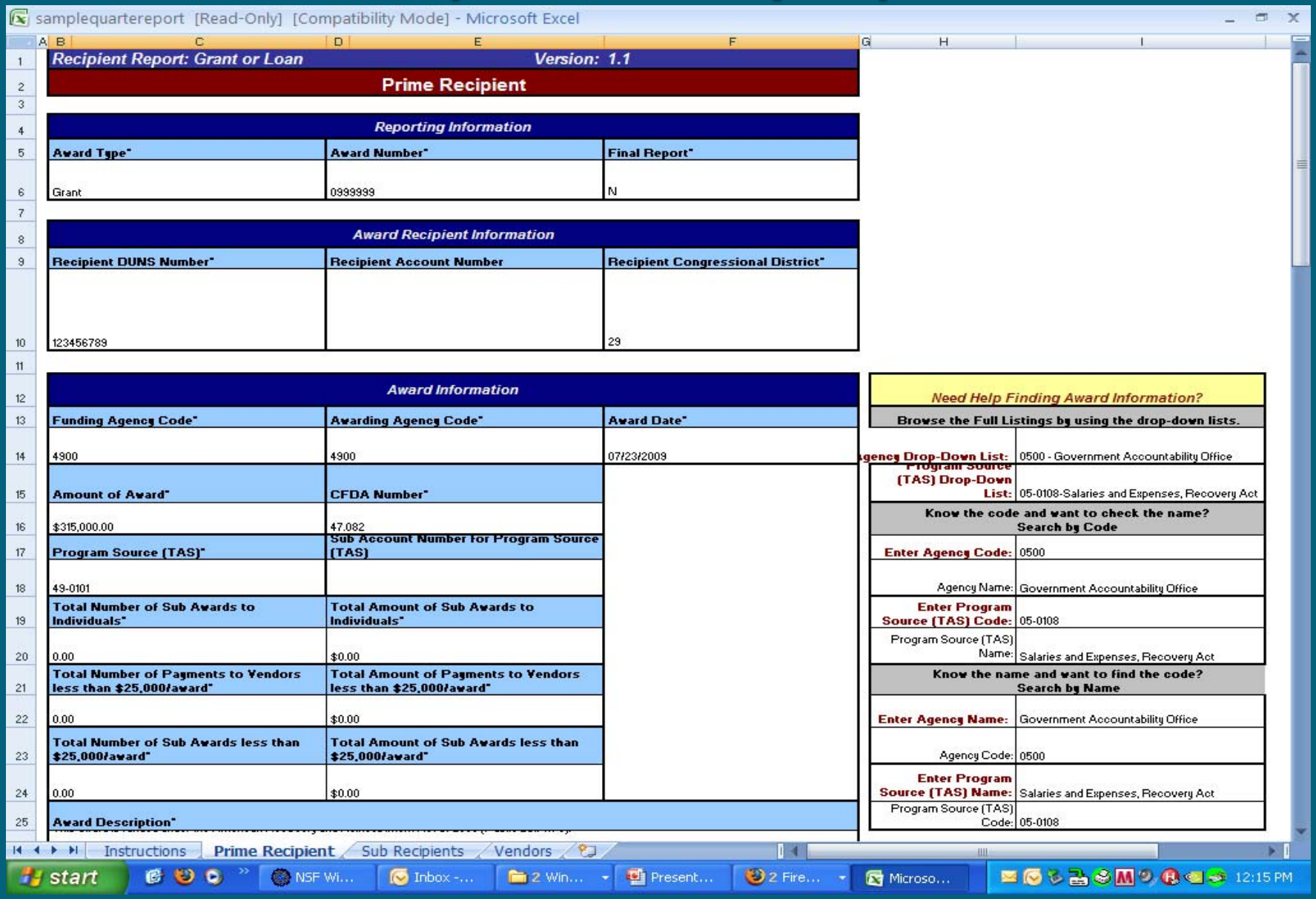
ARRA Recipient Help Sheet



Sample Quarterly Report



samplequartereport [Read-Only] [Compatibility Mode] - Microsoft Excel

Recipient Report: Grant or Loan — **Version: 1.1**

Prime Recipient

Reporting Information		
Award Type*	**Award Number***	**Final Report***
Grant	0999999	N

Award Recipient Information		
Recipient DUNS Number*	**Recipient Account Number**	**Recipient Congressional District***
123456789		29

Award Information	
Funding Agency Code*	**Awarding Agency Code***
4900	4900
Amount of Award*	**CFDA Number***
$315,000.00	47.082
Program Source (TAS)*	**Sub Account Number for Program Source (TAS)**
49-0101	
Total Number of Sub Awards to Individuals*	**Total Amount of Sub Awards to Individuals***
0.00	$0.00
Total Number of Payments to Vendors less than $25,000/award*	**Total Amount of Payments to Vendors less than $25,000/award***
0.00	$0.00
Total Number of Sub Awards less than $25,000/award*	**Total Amount of Sub Awards less than $25,000/award***
0.00	$0.00

Award Description*

Need Help Finding Award Information?	
Browse the Full Listings by using the drop-down lists.	
Agency Drop-Down List:	0500 - Government Accountability Office
Program Source (TAS) Drop-Down List:	05-0108-Salaries and Expenses, Recovery Act
Know the code and want to check the name? Search by Code	
Enter Agency Code:	0500
Agency Name:	Government Accountability Office
Enter Program Source (TAS) Code:	05-0108
Program Source (TAS) Name:	Salaries and Expenses, Recovery Act
Know the name and want to find the code? Search by Name	
Enter Agency Name:	Government Accountability Office
Agency Code:	0500
Enter Program Source (TAS) Name:	Salaries and Expenses, Recovery Act
Program Source (TAS) Code:	05-0108

Instructions | Prime Recipient | Sub Recipients | Vendors

start | NSF Wi... | Inbox -... | 2 Win... | Present... | 2 Fire... | Microso... | 12:15 PM

OMB Supplemental guidance

- Exerpt from Oct 20th email from Ed Deseve
- “Please look at those awards where funds have been received and no jobs have been created to determine if errors exist here. Also where jobs have been created but no funds have been received.”
- “Also please look at State by State totals to see if the results state by state seem to be consistent program by program.”
- NSF reported 2,507 jobs at 813 award recipients.

Charge

- Many NSF awards include tenured faculty in their personnel counts. How do we follow OMB request to review for underreporting or no jobs reported in light of issue with tenured faculty?

- Other suggestions on quarterly review protocol or our guidance tools.