NATIONAL SCIENCE FOUNDATION UPDATE

Federal Demonstration Partnership Meeting
January 26, 2011
Washington, DC
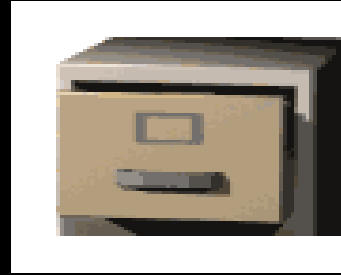
Ask Early, Ask Often

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Topics Covered

- Project Outcomes Reports for the General Public
- Data Management Plans
- Cost Sharing
- ARRA Reporting Update
- Primary Place of Performance
- NSF Sessions of Interest

Project Outcomes Report for the General Public Submitted via Research.gov

- 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.

Implementation

- New functionality implemented in Research.gov in August 2010
- Developed "How to Prepare and Submit NSF Project Outcomes Reports"
  - Available in Research.gov
- Developed Project Outcomes Reports FAQs
  - http://www.nsf.gov/publications/pub_summ.jsp?ods_key=porfaqs
- Conducted significant internal and external outreach to update NSF staff and community on new requirement
- Updated email notification to more clearly articulate new requirement to PIs

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 (Cont'd)

- 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.

- Data management requirements specific to the Directorate, Division, Office or other unit are available at: http://www.nsf.gov/bfa/dias/policy/dmp.jsp

Directorate/Division Specific Guidance

- Engineering Directorate (ENG)
  - Directorate-wide Guidance
- Geological Sciences Directorate (GEO)
  - Division of Earth Sciences
  - Integrated Ocean Drilling Program
  - Division of Ocean Sciences
- Mathematical and Physical Sciences Directorate (MPS)
  - Division of Astronomical Sciences
  - Division of Chemistry
  - Division of Materials Research
  - Division of Mathematical Sciences
  - Division of Physics
- Social, Behavioral and Economic Sciences Directorate (SBE)
  - Directorate-wide Guidance

Implementation

- FAQs have been developed to assist with compliance
  - Available electronically at: http://www.nsf.gov/bfa/dias/policy/dmpfaqs.jsp
- This is the first step in what will be a more comprehensive approach to data.
- NSB Task Force considering a variety of additional recommendations
- The changes are designed to address trends and needs in the modern era of data-driven science.

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 (Cont'd)

◉ 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 (Cont'd)

- ◉ Inclusion of voluntary *committed* cost sharing will be prohibited in solicited & unsolicited proposals.

  - To be considered voluntary committed cost sharing, the cost sharing must meet all of the standards of <u>2 CFR § 215.23</u>, 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 (Cont'd)

- 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 (Cont'd)

- 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.

Implementation

- 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 will be issued this week to address "effort reporting for voluntary uncommitted cost sharing."
  - Send additional questions to costsharing@nsf.gov

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 Guidance[i]

Recipient Reporting Data Element	Common Recipient Reporting Errors	Recommended Reporting Solutions and Additional Reporting Guidance
Award Number	• Incorrect data reported • Inclusion of division alphabetical prefix code (e.g., IIP-0123456)	• 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	• Incorrect data reported	• 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	• 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
		• 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.
		    o The "Total Federal Amount of ARRA Funds Received/Invoiced" should not exceed the "Total Federal Amount of ARRA Expenditure."
		    o 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

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.

NSF Sessions of Interest

- ERI Lunch Forum (Tuesday 11:45-1:00)
  - Charisse Carney-Nunes (BFA/OAD)
- eRA – Future of GMLOB (Tuesday 1:00-2:15)
  - Mary Santonastasso, (BFA/DIAS)
- STAR Metrics (Tuesday 1:00-2:15)
  - Julia Lane (SBE/OAD)
- eRA – STAR Metrics – A Technical Perspective (Tuesday 2:20-3:35)
  - Julia Lane (SBE/OAD)

NSF Sessions of Interest (Cont'd)

- NSF Merit Review Criteria (Tuesday 3:50-5:05)
  - Joanne Tornow (Executive Secretary, NSF Merit Review Task Force)
- Membership Standing Committee (Wednesday 8:00-9:00)
  - Joanna Rom (BFA/OAD)
- Faculty Committee (Discussion of RPPR) (Wednesday 9:00-10:15)
  - Jean Feldman & Erika Rissi (BFA/DIAS)
- Plenary – Research Compliance & Misconduct Issues from the OIG Perspective (Wednesday 10:30-11:45)
  - Allison Lerner & Peggy Fischer (NSF/OIG)