


Photograph by Richard Wahlstrom 1995

NSF Reporting Requirements

Annual due dates, overall expectations, & \$0 balance & final reports



Lynnette Madsen, DMR

August 4, 2011

PI Obligations

- ❖ see Award & Administration Guide (AAG), sister document to GPG in Proposal & Award Policies & Procedures Guide (PAPPG)

Section VI-9 #4: **4. Grantee Obligations**

- a. Acknowledgement of Support. Unless otherwise provided in the grant, the grantee is responsible for assuring that an acknowledgment of NSF support is made:
 - (i) in any publication (including Web pages) of any material based on or developed under this project, in the following terms: "This material is based upon work supported by the National Science Foundation under Grant No. (NSF grant number)."
 - (ii) NSF support also must be orally acknowledged during all news media interviews, including popular media such as radio, television and news magazines.

- ❖ **Acknowledge NSF (presentations, publications, press releases)**

NSF Grant Numbers

- 7 digits, similar to phone numbers but without dashes or spaces
- Sometimes there is a leading zero, e.g., for awards made in FY 2000 through FY 2009.
- Examples:
 - 1104912
 - 0956071
 - 0510138

PROPOSAL AWARD POLICIES AND PROCEDURES GUIDE (PAPPG)

Effective January 2011

NSF 11-1

Part II - Award & Administration Guidelines (AAG)

E. Technical Reporting Requirements

NSF **requires** technical project reports for all assistance awards.

Information from these reports is used in annual reports to Congress to demonstrate the Foundation's performance as mandated by the Government Performance and Results Act (GPRA) of 1993. These reports also provide NSF program officers and administrative offices with **information on the progress of supported projects and the way these funds are used.**

Information in these reports may be made available to the general public through the **Freedom of Information Act (FOIA)**. Technical reports must be submitted via the electronic project reporting system in FastLane.

PI Responsibilities

- ❖ Do not include journal articles, etc. in your annual and final reports that do NOT acknowledgement the grant (but instead acknowledgement other grants)
- ❖ Communicate significant accomplishments to Program Director (PD) (e.g., Nature/Science articles, Covers of recognized journals, press releases, etc.) so that NSF's Office of Legislative & Public Affairs (OLPA) can work with you and your institution
- ❖ Deliver highlights as requested/needed (e.g., DMR requests 1-2 pages annually)
- ❖ Submit reports on time
 - ❖ 1st NCE through SRO; 2nd through NSF
- ❖ Review proposals as appropriate & as time/schedule permits

Now: Three Types of Reports

1. Annual Project Reports
 - at least 90 days prior to the end of current budget period
2. Final Project Reports
 - Within 90 days of grant expiration
3. Project Outcome Report to General Public
 - ** NEW!! ****
 - Within 90 days of grant expiration
 - Submitted electronically via Research.gov and posted as submitted

Due Dates for Annual Reports

- Approximately every 12 months; initially may be earlier to facilitate “spend out”
- **Spend Out**: NSF spends its budget annually – this process starts in June of each year. Money not spent in a given program **may be swept** – and then is lost to the program, project & PI. Money not spent by NSF by the year-end (Sept. 30th) has been held against NSF in the next budget round.
- **Submit your reports on time!**

How to know when it is due

- Due: at least 90 days before end of your grant’s budget period
- Specific due dates are available in Fastlane
- Once due, you will receive reminders monthly
 - It is usually not necessary to submit the report immediately, aim to have it submitted within the first month to allow time for the PD to read it, request changes and approve it
 - You and your co-PIs cannot receive **any** NSF awards as a PI or co-PI until **ALL** overdue reports are cleared

Expectations

- Complete sections in template portion of report whenever possible
- Do NOT exceed 25 pages in total; short is better

Project Participants

- Senior Personnel
- Name: XXX, XXX
- Worked for more than 160 Hours: Yes
- Contribution to Project: ***** complete *****

Web/Internet Site

- URL(s): **http://web.mit.edu/dmse/xxx**
- Description: **PI group web site.**

Journal Publications

**** list papers in progress if none published ****

Books or Other One-time Publications

**** complete if applicable ****

Conference Proceedings

**** complete if applicable ****

Annual, but also Cumulative

- Project Participants, Publications, Books, Conf. Proc., & Other Specific Products:
 - **Cumulative**
- Other parts are **ANNUAL**:
 - If you keep the old part/s shown for reference, label them, e.g. **2008 to 2009**: (or year 1), and then label new parts: **2009 to 2010**: (or year 2)
 - You do not have to retain old sections; you may simply rewrite them

Final Reports & \$0

- Although it is not necessary to spend your funds year-by-year, it is **ESSENTIAL** to do so before submitting your final report
- Once the final report is approved, the money is gone – from you & from NSF – it is returned to Treasury
- Do not submit final reports unless the balance is zero; if you anticipate difficulty, request well in advance a No-Cost Extension (NCE) from your SRO
- Reason for NCE: Incomplete aspects of project (not unspent \$).

Overall Expectations

- Publications: at least consistent with level of funding
- Broader impact activities: carried out, and included in report, with an evaluation or assessment (where appropriate)
 - Equivalent activities acceptable; use **Changes in Objectives or Scope** in annual reports to indicate a change in the intellectual merit or broader impact activities

Reports vs. Highlights

- Reports:
 - Necessity to meet budgetary and reporting requirements
- Highlights:
 - Used internally for program promotion,
 - Used for illustration of project success (externally and internally),
 - For outreach to the Public including teachers and students,
 - Budget development,
 - Presentations (internal and external) by PD, DD, AD, and/or the Director, etc.