


**NSF
Reporting
Requirements**

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

Photograph by Richard Wahlstrom 1995



Lynnette Madsen, DMR

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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
- **Include your Proposal or Grant # in the subject line of all e-mails to NSF**

Grant Issues

- If you have questions or problems with your grant, please start by inquiring with your university's Office of Sponsored Projects.
- If you cannot resolve issues there, contact me (lmadsen@nsf.gov 703-292-4936),
or
have your Office of Sponsored Projects contact the cognizant Grants Officer (Elizabeth Gebremedhin, egebreme@nsf.gov, 703-292-4444) at NSF

PI Responsibilities

- ❖ Do not include journal articles, etc. in your annual and final reports that do NOT acknowledge the grant (but instead acknowledge 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 1-3 pages annually)
- ❖ Submit reports on time: **late reports in June or July may lose their increment**
- ❖ 1st NCE through SRO; 2nd through NSF
- ❖ Review proposals as appropriate & as time/schedule permits

PI Obligated to Ack NSF Support

- ❖ 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)**

- ***Your publications and presentations supported by NSF must acknowledge the grant support. Please note that the published papers listed in the fields of "Journal Publications" and "Conference Proceedings," as submitted by PI in annual and final reports, are automatically published online at <http://www.nsf.gov/awardsearch/showAward.do?AwardNumber=1234567> (replacing 1234567 with the 7-digit award number; the web page for this new award will be set up in a few days). This is a public web page and is searchable through various websites such as <http://www.nsf.gov/awardsearch> and <http://www.research.gov>. **The annual and final reports should include only those papers that acknowledge this grant, and we suggest "National Science Foundation (DMR-1234567)" (replacing 1234567 with the 7-digit award number, with a dash before the 7-digit number, but no dash between digits).** Please also use care and avoid typos when entering author names, article titles, and journal information in annual and final reports.***

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.

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

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
- *NCEs give you a new end date and may invoke the need for an immediate annual report*

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 by July 1st in a given program **may be swept** – and then is lost to the program, project & PI. Money not spent by NSF by the fiscal year-end has been held against NSF in the next budget round.
- **Submit your reports on time!**

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

**** include papers that acknowledge NSF support;
list papers in progress if none are 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

Reporting Requirements:

- You are required to submit an **Annual Project Report** via FastLane each year of your grant **prior** to your grant's anniversary date. NSF will send an Annual Project Report reminder three months prior to the anniversary date. ***We suggest that you submit an Annual Project Report 1-3 months prior to the anniversary date, or before June 1st, whichever comes first.*** Your submission and NSF approval of the Annual Project Report triggers the release of incremental funding for your grant.
- While no Annual Project Report is required for the final year of a grant, a **Final Project Report** and a **Project Outcomes Report for the general public** are required and are due within 90 days **after** the grant expiration date.
- **If you, as a PI or a co-PI, have an overdue report, any additional NSF funding will be held up, automatically, until the report is received and approved**

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; acknowledge NSF support
 - If multiple lines of support are acknowledged, make it clear what or who each agency funded
- 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

Highlights and Press Releases

Highlights:

- Each year, the Division of Materials Research (DMR) also requests highlights. These can effectively convey the excitement of scientific discovery NSF supports. They are accessible to the community and may be found at <http://www.nsf.gov/mps/dmr/highlights.jsp>. These highlights are useful to evaluate your progress, to recognize your contributions within NSF, and in documenting NSF activities for the Congress and the public.

Major Achievements / Press Releases:

- Advance notice of important discoveries and/or publications in high-impact journals is requested to assist NSF in preparation of press releases.
- Please also notify me whenever you receive honours from national/international scientific societies.

Reports vs. Highlights vs. Press Releases

- 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.
- Press Releases:
 - Get information out quickly and put focus on best new results
 - Good for PI, university, NSF (program visibility, overall budget, etc.)