

# NSF Financials Update

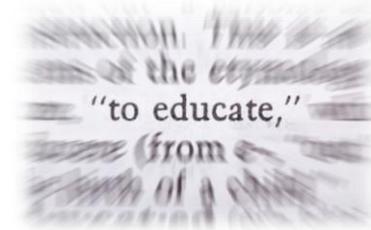
Mike Howe – Grantee Cash Management Section, Division  
of Financial Management, National Science Foundation

March 20, 2012





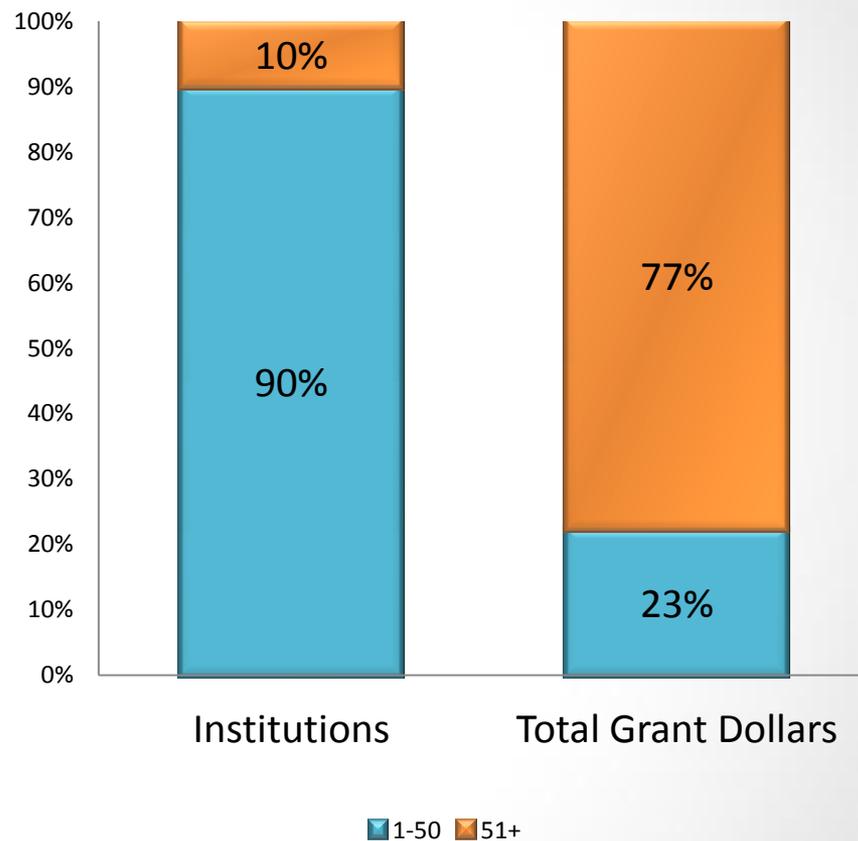
We are here to help.



## Institution Grant Distribution

Number of Grants	Institution Count	Percent
1	680	37.44%
2-3	430	23.68%
4-5	157	8.65%
6-15	229	12.61%
16-30	92	5.07%
31-50	52	2.86%
51-100	53	2.92%
101-200	44	2.42%
201-300	26	1.43%
301-500	29	1.60%
501+	24	1.32%
Grand Total	1816	100.00%

## Distribution of Grant Dollars



\*as of 01/2011

A cosmic scene featuring a large reddish-brown planet on the right, a crescent moon in the upper center, and a starry field with a blue nebula on the left. The text "Research.gov" is centered in white.

Research.gov

# Portal to NSF Financial Functions



Select *NSF User*  
Enter your *Last Name*,  
from the dropdown menu  
*NSF User ID*, and  
then click  
*Password* 

Research.gov uses  
the same credentials  
as FastLane

# Accessing NSF Financial Functions



The screenshot shows the Research.gov website interface. A callout box on the right side of the page highlights the 'Financial Functions' link in the 'NSF FastLane Services' section of the navigation menu. The callout box also lists several other financial-related items: 'FEDERAL FINANCIAL REPORT', 'FFR Attachment', 'FFR', 'Certification', 'Advances/Reimbursements', 'Awards Purged', and 'FFR History'. The main navigation menu includes 'Research.gov Services & Tools', 'NSF FastLane Services', and 'Research Administration'. The 'Financial Functions' link is highlighted with a blue border.

**FEDERAL FINANCIAL REPORT**

- FFR Attachment
- FFR
- Certification
- Advances/Reimbursements
- Awards Purged
- FFR History

**MY DESKTOP**

- Research.gov Services & Tools
  - Grant Application Status
  - Federal Financial Report
  - Research Spending & Results
  - User Management
  - Policy Library
  - Project Outcomes Report
- NSF FastLane Services
  - Proposals, Awards & Status
  - Research Administration
  - Financial Functions**
  - Grantee Cash Management
  - Section Contacts
  - Send a refund to NSF via Pay.gov
  - Lookup NSF ID

*Financial Functions* such as *Cash Request* and *EFT Update* can be accessed via *Single Sign-On* by selecting the link located under *NSF FastLane Services*

- NSF FastLane Services
  - Proposals, Awards & Status
  - Research Administration
    - Financial Functions**
    - Grantee Cash Management
    - Section Contacts
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## Financial Functions for State University

Please select the application by clicking on appropriate "GO" button. For FFRs and FCTR, select an appropriate quarter ending date.

Historical Federal Cash Transaction Report For Quarter Ending:

Cash Request

Cash Request History

Grantee EFT Update

Grantee EFT History

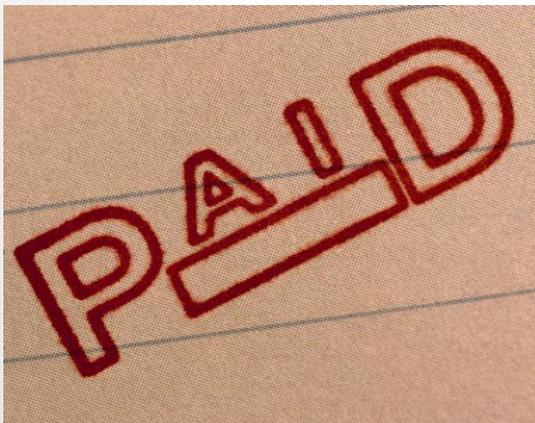
[Instructions for Financial Functions](#)

[Change Password](#)

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**National Science Foundation**  
4201 Wilson Boulevard  
Arlington, Virginia 22230, USA

Tel: 703-292-5111   
FIRS: 800-877-8339   
TDD: 703-292-5090 



## Grantee EFT Update

Listed below is the EFT profile for your organization. To modify this profile, change the data as required and then click on the 'Modify' button. Please note that NSF does NOT pay by WIRE. The routing number provided must be for EFT transactions. The name of the bank is determined based on the routing number you enter. Also, please verify the Tax Identification Number (TIN) and DUNS information for your organization.

### Organization Information

Organization Name: Test University  
TIN:   
DUNS Number:   
DUNS Qualifier:

### Electronic Funds Transfer Information

Bank Name: Wilmington Trust Company  
Routing Number:   
Account Number:   
Account Type:  Checking  Savings

Last Certified By: Frank FinFuncUser  
Last Certified Time: Dec 4 2009 3:30PM



## Cash Request Form

Organization ID: 0014316000      Name: Test University

Balance Authorized: \$ 0.00

Current Cash on Hand Balance:  [Help For This Field](#)

Transaction Type:

Advance FROM (mm/dd/yy):  TO (mm/dd/yy):

Reimbursement

Dollar Amount Requested:

Warehouse Cash Request Date (mm/dd/yy):

(Note: Use only if you would like to delay your payment from being processed by NSF.)

### *CERTIFICATION:*

I certify that to the best of my knowledge and belief the request for advance or reimbursement above is correct and that all outlays were or will be made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested.

*Date:* 01/04/12

Requester Name: Frank F. FinFuncUser      Title:

Telephone (Area Code, Number & Extension):

Organization E-Mail Address:

Note: This is the address to be used by NSF for the routing of all notices to this organization regarding Cash Requests.

**Please note that the Electronic Funds Transfer (EFT) profile for your organization was last certified by Frank FinFuncUser on Oct 21 2011 11:00AM.**

Submit Cash Request

Go Back to Financial Menu



Date	Doc.ID	Status	Tran.ID	Amount
03/12/09	0026825273	-Accepted-	1000203057	\$ 135,000.00
02/26/09	0026820278	-Accepted-	1000202423	\$ 150,000.00
02/13/09	0026812790	-Accepted-	1000201754	\$ 400,000.00
01/20/09	0026802770	-Accepted-	1000200102	\$ 200,000.00
12/18/08	0026746204	-Accepted-	1000198808	\$ 275,000.00
11/26/08	0026740283	-Accepted-	1000197846	\$ 135,000.00
11/21/08	0026737138	-Accepted-	1000197569	\$ 35,000.00
11/18/08	0026734763	-Accepted-	1000197299	\$ 130,000.00
11/03/08	0026726353	-Accepted-	1000196368	\$ 120,000.00
10/22/08	0026716363	-Accepted-	1000195719	\$ 56,000.00
10/16/08	0026714517	-Accepted-	1000195413	\$ 60,000.00
10/10/08	0026713172	-Accepted-	1000195064	\$ 200,000.00
09/24/08	0026659698	-Accepted-	1000194331	\$ 50,000.00
09/17/08	0026654694	-Accepted-	1000193993	\$ 300,000.00
09/10/08	0026601634	-Accepted-	1000193601	\$ 180,000.00

[Get Cash Request Detail](#)[Go Back](#)

## Cash Request Details

Organization ID: **0014316000**  
Organization Name: **Test University**  
Current Cash Balance: **-32,868.74**

Transaction DateTime: **11/12/08 10:57:29**  
Payment Request Date: **11/12/08**  
Transaction Type: **Reimbursement**  
Dollar Amount Requested: **32,868.74**  
Document ID: **0026730635**  
Transaction ID: **1000196964**

Name of the Official: **Frank FinFuncUser**  
Title: **Controller**  
E-Mail Address: **financial.contact@testuniveristy.edu**  
Phone Number: **212-111-2222**

Edit Status: **The Transaction has passed all edits**  
Posting Status: **CASH REIMBURSEMENT SUCCESSFULLY PROCESSED**

[Go back to previous page](#)[Go Back to Internal Financial Menu](#)



**FEDERAL FINANCIAL REPORT**

- FFR Attachment
- FFR
- Certification
- Advances/Reimbursements
- Awards Purged
- FFR History

**MY DESKTOP**

Research.gov Services & Tools

- Grant Application Status
- Federal Financial Report**
- Research Spending & Results
- User Management
- Policy Library
- Project Outcomes Report

NSF FastLane Services

- Proposals, Awards & Status
- Research Administration
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Access the *Federal Financial Report* (FFR) via the links provided in either location

## My Desktop

› Grants Application Status Dashboard

▼ Federal Financial Report (FFR) Dashboard

### Financial Report Dashboard

**Federal Financial Report (FFR) : 52 total FFRs**

Requires your action (1) | Pending Agency Action (0) | Approved (51)

› Project Outcomes Report Dashboard

› Headlines

Click on the current quarter end date to access the FFR. Status should be “Open” until the user submits the report to NSF.

- FEDERAL FINANCIAL REPORT
  - FFR Attachment
  - FFR
  - Certification
  - Advances/Reimbursements
  - Awards Purged
  - FFR History
- MY DESKTOP
  - Research.gov Services & Tools
    - Grant Application Status
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  - User Management
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  - NSF FastLane Services
    - Proposals, Awards & Status
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 [Print Page](#) Adjust Font Size: [A](#) [A](#) [A](#)

## Federal Financial Report History

[FFR Help](#)

14 FFRs found

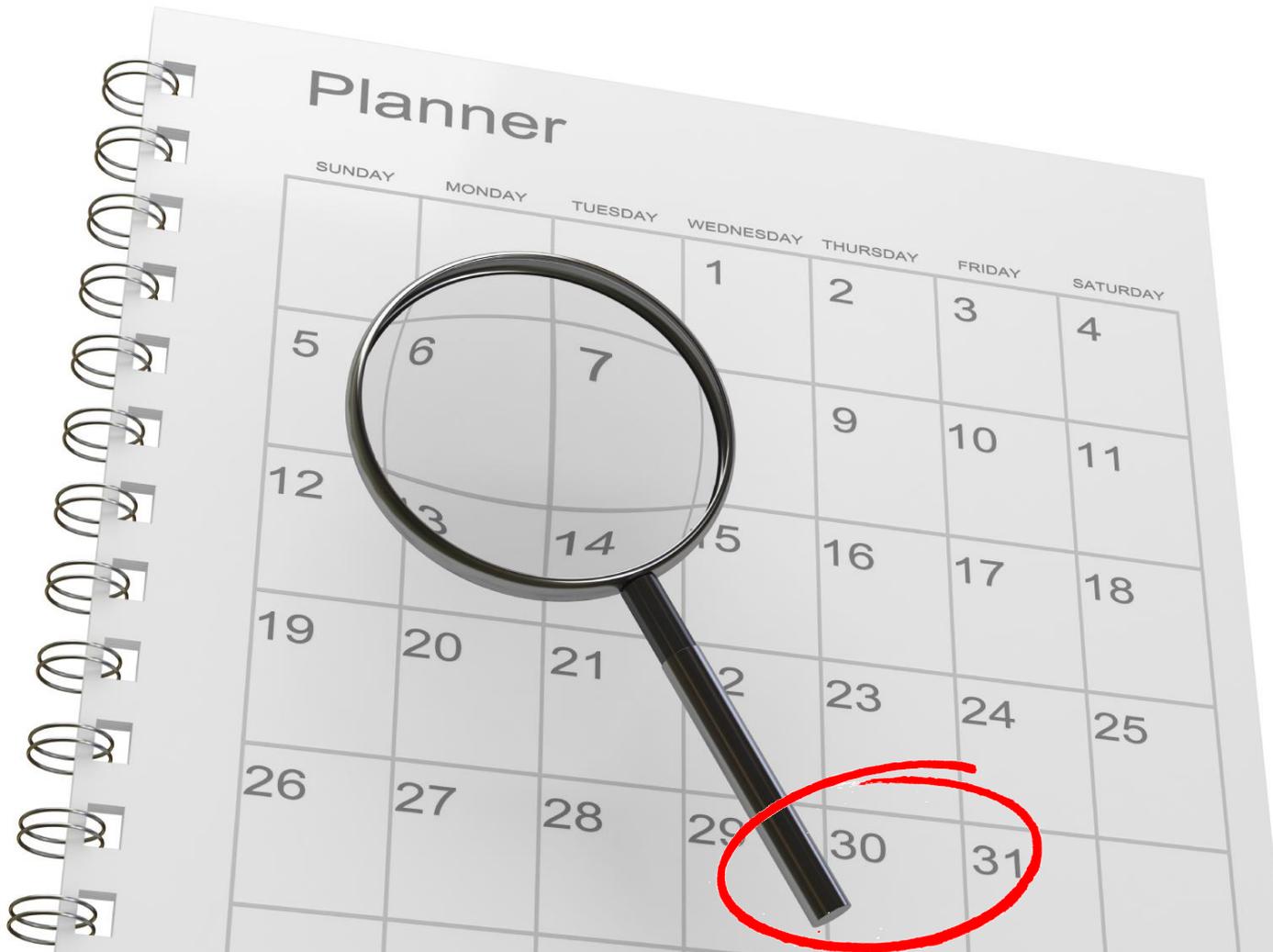
Showing Results 1-14

PAGE: 1 of 1

<a href="#">Quarter Ending</a>	<a href="#">Status</a>	<a href="#">Required</a>	<a href="#">FFR Type</a>
<a href="#">09/30/2011</a>	Open	Required	FFR
<a href="#">06/30/2011</a>	Not Submitted to NSF	Required	FFR
<a href="#">03/31/2011</a>	Posted to NSF	Required	FFR
<a href="#">12/31/2010</a>	Posted to NSF	Required	FFR
<a href="#">09/30/2010</a>	Posted to NSF	Required	FFR
<a href="#">06/30/2010</a>	Posted to NSF	Required	FFR
<a href="#">03/31/2010</a>	Posted to NSF	Required	FFR
<a href="#">12/31/2009</a>	Posted to NSF	Required	FFR
<a href="#">09/30/2009</a>	Posted to NSF	Required	FFR
<a href="#">06/30/2009</a>	Posted to NSF	Required	FFR
<a href="#">03/31/2009</a>	Posted to NSF	Required	FFR
<a href="#">12/31/2008</a>	Posted to NSF	Required	FFR
<a href="#">09/30/2008</a>	Posted to NSF	Required	FFR
<a href="#">06/30/2008</a>	Posted to NSF	Required	FFR

Export:  [Excel](#)

# FFR Due Dates



# FFR Attachment



OMB APPROVAL: 0348-0061

View

8 Grants Found.

Showing Results 1-8

PAGE: 1 of 1

[Perform in Excel](#) | [Print to PDF](#)

<a href="#">Federal Grant Number</a>	<a href="#">Recipient Account Number</a>	<a href="#">PI/PD Name</a>	<a href="#">From</a>	<a href="#">To</a>	<a href="#">Total Federal Funds Authorized (A1)</a>	<a href="#">Previous Cumulative Cash Disbursements (A2)</a>	<a href="#">Federal Share of Expenditures (Cumulative Cash Disbursements) (A3)</a>	<a href="#">Unobligated Balance of Federal Funds (A4)</a>	<a href="#">Hold Grant Open</a>
<a href="#">0703335</a>	04	Crowley, G.	09/07	08/11	\$291,000.00	\$226,975.40	\$0.00	\$64,024.60	
<a href="#">0719872</a>	03	Bust, G.	09/07	08/11	\$122,439.00	\$118,992.92	\$0.00	\$3,446.08	
<a href="#">0836508</a>	07	Bust, G.	01/09	12/11	\$85,500.00	\$82,804.82	\$0.00	\$2,695.18	
<a href="#">0840650</a>	10	Bust, G.	08/09	07/13	\$152,398.00	\$152,361.59	\$0.00	\$36.41	
<a href="#">0852393</a>	06	Crowley, G.	07/08	06/11	\$299,569.00	\$244,927.33	\$0.00	\$54,641.67	<input type="button" value="No"/> <input type="button" value="v"/>
<a href="#">1001088</a>	13	Crowley, G.	10/10	09/12	\$131,009.00	\$9,922.01	\$0.00	\$121,086.99	
<a href="#">1024849</a>	12	Rodrigues, F.	09/10	08/12	\$232,161.00	\$55,151.60	\$0.00	\$177,009.40	
<a href="#">1042239</a>	14	Crowley, G.	05/11	04/12	\$39,963.00	\$3,332.27	\$0.00	\$36,630.73	
<b>Totals</b>					<b>\$1,354,039.00</b>	<b>\$894,467.94</b>	<b>\$0.00</b>	<b>\$459,571.06</b>	

The columns outlined in orange are updated by the grantee. The cumulative amount reported cannot exceed the Total Federal Funds Authorized.

# FFR Single-Award Institution



1. Federal Agency and Organizational Element to Which Report is Submitted:	National Science Foundation, Division of Financial Management
2. Federal Grant or Other Identifying Number Assigned by the Federal Agency:	0531960
3a. Recipient Organization Name:	PA State System of Higher Education
3b. Recipient Organization Address:	
*(Line 1):	Dixon University Center      *City: Harrisburg
(Line 2):	2986 North Second Street      *State: PA
(Line 3):	*Zip: 17110
4a. DUNS Number:	786573764
4b. EIN:	232250505
5. Recipient Account Number or Identifying Number:	
6. Final Report:	
7. Basis of Accounting:	<input type="radio"/> Cash <input type="radio"/> Accrual
8. Project/Grant Period:	From: 09/01/2005 To: 09/30/2011
9. Reporting Period End Date:	09/30/2011
10. TRANSACTIONS:	
<b>Federal Cash:</b>	
Beginning Cash on Hand (COH) from previous FFR: -\$41,138.10	
Payments Received: \$41,137.86	
a. Cash Receipts = Beginning COH + Payments Received	-\$0.24
b. Cash Disbursements	\$0.00
Adjustments to Financially Closed Awards = New Federal Share of Expenditures (Cumulative Cash Disbursements) - Current Federal Share of Expenditures (Previous Cumulative Cash Disbursements)      \$0.00 <a href="#">Enter Adjustments</a>	
c. Cash on Hand = Cash Receipts - (Cash Disbursements + Adjustments to Financially Closed Awards)	-\$0.24
<b>Federal Expenditures and Unobligated Balance:</b>	
d. Total Federal funds authorized	\$388,457.61
e. Cumulative Federal Share Of Expenditures (Cumulative Cash Disbursement)	\$388,457.61
f. Federal share of unliquidated obligations (line 10d minus 10e)	--
g. Total Federal share (sum of lines 10e and 10f)	--
h. Unobligated balance of Federal funds	\$0.00

Institutions with only one active award will be routed directly to the FFR page for expenditure input.

The *NSF Award ID* is identified on line 2.

Line 5 is enabled for the preparer to enter a *Recipient Account Number or Identifying Number*.

The new *Cumulative Federal Share of Expenditures* is to be entered on line 10e.

# FFR Multi-Award Institution (Top Half)



1. Federal Agency and Organizational Element to Which Report is Submitted:	National Science Foundation, Division of Financial Management
2. Federal Grant or Other Identifying Number Assigned by the Federal Agency:	--
3a. Recipient Organization Name:	Case Western Reserve University
3b. Recipient Organization Address:	
*(Line 1):	Sponsored Projects Administration *City: Cleveland
(Line 2):	10900 Euclid Avenue *State: OH
(Line 3):	BioEnterprise Building *Zip: 441067037
4a. DUNS Number:	077758407
4b. EIN:	341018992
5. Recipient Account Number or Identifying Number:	--
6. Final Report:	<input type="radio"/> Yes <input type="radio"/> No
7. Basis of Accounting:	<input type="radio"/> Cash <input type="radio"/> Accrual
8. Project/Grant Period:	From: (mm/dd/yyyy) To: (mm/dd/yyyy)
9. Reporting Period End Date:	09/30/2011
10. TRANSACTIONS:	
<b>Federal Cash:</b>	
Beginning Cash on Hand (COH) from previous FFR:	\$230,067.64
Payments Received:	\$5,355,000.00
a. Cash Receipts = Beginning COH + Payments Received	\$5,585,067.64
b. Cash Disbursements = (A3 - A2 from FFR Attachment)	\$7,044,993.34
Adjustments to Financially Closed Awards = New Federal Share of Expenditures (Cumulative Cash Disbursements) - Current Federal Share of Expenditures (Previous Cumulative Cash Disbursements)	-\$244,085.36
c. Cash on Hand = Cash Receipts - (Cash Disbursements + Adjustments to Financially Closed Awards)	-\$1,215,840.34
<b>Federal Expenditures and Unobligated Balance:</b>	
d. Total Federal funds authorized = A1 from FFR Attachment	\$78,407,324.57
e. Federal Share of Expenditures = A3 from FFR Attachment	\$49,481,477.76
f. Federal share of unliquidated obligations (line 10d minus 10e)	--
g. Total Federal share (sum of lines 10e and 10f)	--
h. Unobligated balance of Federal funds = A1 - A3 from FFR Attachment	\$28,925,846.81
Balance Authorized = Unobligated Balance of Federal Funds - Cash on Hand	\$30,141,687.15

[Enter Adjustments](#)

If needed, enter adjustments to closed awards via the *Enter Adjustments* link.

It is important to reconcile the calculated *Cash on Hand* (line 10c) to your books.

# FFR Adjustments to Financially Closed Awards



## Enter Adjustments

- To enter adjustments, first enter a Federal Grant Number to populate the Previous Cumulative Cash Disbursements. Note that the Federal Grant Number must be financially closed to be adjusted and the expenses must have been incurred during the life of the grant.
- Next, enter the New Federal Share of Expenditures (Cumulative Cash Disbursements) to report adjustments to grants. Note that the difference between the Previous Cumulative Cash Disbursements and the New Federal Share of Expenditures (Cumulative Cash Disbursements must be  $\geq \pm \$300$ ).
- Next, enter a short justification.
- Click "Save" at any time and come back to your work later. Click "Save and Return to Report" to save your work and return to the FFR.
- To view the FFR Worksheet – Adjustments in PDF, click "Print to PDF".
- Required fields are indicated by an asterisk (\*).

[FFR Help](#)

Arizona State University | AZ | 0010819000  
Quarter Ending : 09/30/2011 | Due Date: 11/13/2011

0 Items found

Export: Excel Print to PDF

Adjustment Number	*Federal Grant Number	Previous Cumulative Cash Disbursements	*New Federal Share of Expenditures (Cumulative Cash Disbursements)	Adjustment Amount	*Justification
1	<input type="text"/>	\$0.00	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
2	<input type="text"/>	\$0.00	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
3	<input type="text"/>	\$0.00	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
4	<input type="text"/>	\$0.00	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
5	<input type="text"/>	\$0.00	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
6	<input type="text"/>	\$0.00	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
7	<input type="text"/>	\$0.00	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
8	<input type="text"/>	\$0.00	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
9	<input type="text"/>	\$0.00	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
10	<input type="text"/>	\$0.00	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	<input type="text"/>
<b>Totals</b>		\$0.00	\$0.00	\$0.00	

Enter the *NSF Award ID*, *New Cumulative Amount*, and a *Justification* in order to increase or decrease previously reported expenditures.

Adjustments of less than  $\pm \$300$  are not accepted.

**Recipient Share:**

i. Total recipient share required	--
j. Recipient share of expenditures	--
k. Remaining recipient share to be provided (line i minus j)	--

**Program Income:**

l. Total Federal Program Income Earned	\$0.00	<a href="#">Enter Program Income</a>
m. Program income expended in accordance with the deduction alternative	--	
n. Program income expended in accordance with the addition alternative	\$0.00	
o. Unexpended program income (line l minus line m or line n)	\$0.00	

**11. Indirect Expense:**

a. Type of Rate:	<input type="radio"/> Provisional <input checked="" type="radio"/> Predetermined <input type="radio"/> Final <input type="radio"/> Fixed
b. Rate:	--
c. Period From:	--
Period To:	--
d. Base:	--
e. Amount Charged:	--
f. Federal Share:	--
g. Totals:	--

**12. Remarks:**

*Include any explanation deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation. (850 characters)*

Save

Save & Continue

All institutions are required to access the Program Income worksheet and either *Enter Program Income* or validate that the institution has no program income to report.

Remarks are required when an institution has a positive *Cash on Hand* (line 10c) balance.

# FFR Improvements



New awards are highlighted in green text and have a green star.

View **New** ▾

19 Grants Found.

Showing Results 1-19

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[Perform in Excel](#) | [Print to PDF](#)

<a href="#">Federal Grant Number</a>	<a href="#">Recipient Account Number</a>	<a href="#">PI/PD Name</a>	<a href="#">From</a>	<a href="#">To</a>	<a href="#">Total Federal Funds Authorized (A1)</a>	<a href="#">Previous Cumulative Cash Disbursements (A2)</a>	<a href="#">Federal Share of Expenditures (Cumulative Cash Disbursements) (A3)</a>	<a href="#">Unobligated Balance of Federal Funds (A4)</a>	<a href="#">Hold Grant Open</a>
★1008527	302700	Kapp, P.	06/11	05/12	\$410,611.00	\$0.00	\$106,656.63	\$303,954.37	
★1049885	305450	Hodgins, G.	06/11	05/12	\$41,729.00	\$0.00	\$9,592.07	\$32,136.93	
★1052166	301110	Fares, H.	04/11	03/12	\$184,711.00	\$0.00	\$44,933.33	\$139,777.67	
★1057559	301010	Leahey, E.	05/11	04/12	\$125,005.00	\$0.00	\$53,064.65	\$71,940.35	

Awards with canceling appropriations are highlighted in red text and have a red flag.

View **Canceling** ▾

1 Grants Found.

Showing Results 1-1

PAGE 1 of 1

[Perform in Excel](#) | [Print to PDF](#)

<a href="#">Federal Grant Number</a>	<a href="#">Recipient Account Number</a>	<a href="#">PI/PD Name</a>	<a href="#">From</a>	<a href="#">To</a>	<a href="#">Total Federal Funds Authorized (A1)</a>	<a href="#">Previous Cumulative Cash Disbursements (A2)</a>	<a href="#">Federal Share of Expenditures (Cumulative Cash Disbursements) (A3)</a>	<a href="#">Unobligated Balance of Federal Funds (A4)</a>	<a href="#">Hold Grant Open</a>
🚩0611320	352890	Aldenderfer, M.	12/05	12/11	\$725,789.00	\$626,100.33	\$725,789.00	\$0.00	

[Save](#) [Save & Continue](#)

## RSR Award Detail

### Research Spending & Results

#### Award Detail

**Awardee:** ARIZONA STATE UNIVERSITY  
**Doing Business As Name:** Arizona State University  
**PD/PI:** Albert L McHenry  
(480) 727-1348  
albert.mchenry@asu.edu

**Co-PD(s)/co-PI(s):** Quentin Wheeler  
Antonio Garcia  
Robert Page  
Peter Crouch  
David Young  
Milton Glick  
Paul Johnson  
Elizabeth Capaldi

**Award Date:** 02/25/2005  
**Funds Obligated to Date:** \$ 7,200,000  
FY 2011=\$1,650,000  
FY 2010=\$850,000  
FY 2009=\$1,100,000  
FY 2007=\$1,800,000  
FY 2005=\$1,800,000

**Award Start Date:** 03/01/2005  
**Award Expiration Date:** 03/31/2012  
**Transaction Type:** Cooperative Agreements  
**Agency:** NSF  
**Awarding Agency Code:** 4900  
**Funding Agency Code:** 4900  
**CFDA Number:** 47.076  
**Primary Program Source:** 490106 NSF, EDUCATION & HUMAN RESOURC  
**Award Title or Description:** MGE@MSA AGEP Phase II (2004-2009)  
**Federal Award ID Number:** 0450137  
**DUNS ID:** 943360412  
**Parent DUNS ID:** 806345658  
**Program:** MINORITY GRADUATE EDUC ACTIVIT  
**Program Officer:** Jessie A. Dearo  
(703) 292-5350  
jdearo@nsf.gov

Clicking on an award number will now open the Research.gov award details page.

#### Abstract at Time of Award

The Center for Nanotechnology in Society at Arizona State University (CNS-ASU) helps ensure "that advances in nanotechnology bring about improvements in the quality of life for all Americans" (PL 108-153). The Center's vision is that research into the societal aspects of nanoscale science and engineering (NSE), carried out in close collaboration with NSE scientists and combined with public engagement, will improve deliberation and decision making about NSE. CNS-ASU builds the capacity to address the societal implications of NSE by creating a broad institutional network, instituting a coherent research program, promoting innovative educational opportunities, and engaging in meaningful participation and outreach activities, especially with under-represented communities. Its goal is nothing less than charting a path toward new ways of organizing the production of knowledge and developing and testing new processes of anticipatory governance to meet the emerging promises and challenges of NSE.

CNS-ASU joins Arizona State University with the University of Wisconsin - Madison, the Georgia Institute of Technology, North Carolina State University, Rutgers, The State University of New Jersey, and other universities, individuals, and groups in the academic and private sector, as well as the International Nanotechnology and Society Network ([www.nanoandsociety.org](http://www.nanoandsociety.org)) that ASU is developing. At ASU, the projects two guiding organizations are the Consortium for Science, Policy, and Outcomes ([www.cspo.org](http://www.cspo.org)), which provides an institutional home for science and technology policy scholarship and engagement, and the Biodesign Institute ([www.biodesign.org](http://www.biodesign.org)), which provides a substrate of NSE research and a test bed for interdisciplinary collaboration.

CNS-ASU will implement a program of research and engagement called "real-time technology assessment" (RTTA), which consists of four methods of inquiry: mapping the research dynamics of the NSE enterprise and its anticipated societal outcomes; monitoring the changing values of the public and of researchers regarding NSE; engaging researchers and various publics in deliberative and participatory forums; and reflexively assessing the impact of the information and experiences generated by its activities on the values held and choices made by the NSE researchers in its network. Through RTTA, CNS-ASU will probe the hypothesis that trajectories of NSE innovation can be steered toward socially desirable goals, and away from undesirable ones, by introducing a greater capacity for reflexivity - that is, social learning that can expand the range of conscious choice - into knowledge-producing institutions. It organizes the research around two broad NSE-in-society themes: freedom, privacy, and security; and human identity, enhancement, and biology.

The Center's educational and training plan includes innovations at the undergraduate, graduate, and postdoctoral level that encourage interdisciplinary opportunities among NSE students and social science and humanities students. Partnerships with proven programs, including the Hispanic Research Center ([www.asu.edu/cias/hrc](http://www.asu.edu/cias/hrc)) and the Center for Ubiquitous Computing (<http://cubic.asu.edu>), ensure recruitment and retention of students from under-represented groups. A collaboration with the Center for Research on Education in Science, Mathematics, Engineering, and Technology (<http://cresmet.asu.edu>), CNS-ASU generates training modules for high school teachers in NSE-in-society.

Designed as a "boundary organization" at the interface of science and society, CNS-ASU provides an operational model for a new way to organize research through improved contextual awareness, which can signal emerging problems, enable anticipatory governance, and guide trajectories of NSE knowledge and innovation toward socially desirable outcomes, and away from undesirable ones. In pursuit of this broadest impact, CNS-ASU trains a cadre of interdisciplinary researchers to engage the complex societal implications of NSE; catalyzes more diverse, comprehensive, and adventurous interactions among a wide variety of publics potentially interested in and affected by NSE; and creates new levels of awareness about NSE-in-society among decision makers ranging from consumers to scientists to high level policy makers.

#### Publications Produced as a Result of this Research

D. H. Guston. "A Still Small Voice" JOURNAL OF NANOPARTICLE RESEARCH, v.8, 2006, p.149

E. Fisher and R. Mahajan "Nanotechnology Legislation: Contradictory intent? US federal legislation on integrating societal concerns into nanotechnology research and development" SCIENCE AND PUBLIC POLICY, v.33(1), 2006, p.5

D. A. Scheufele "Five lessons in nano outreach" MATERIALS TODAY, v.9, 2006, p.64

E. fisher, R. Mahajan and C. Mitcham "Midstream Modulation of technology: governance from within." BULLETIN OF SCIENCE, TECHNOLOGY AND SOCIETY, v.26, 2006, p.486

# FFR Program Income



**Program Income accrued during the grant period is to be added to funds committed to the project. (see Section VI-F of the AAG)**

Enter the *NSF Award ID*, *Program Income Earned*, and *Program Income Expended* when income has been earned by the institution as a result of the grant activities.

**OR**

Check the box at the bottom of the worksheet if the institution has not earned program income.

## Enter Program Income

- To enter program income, first enter a Federal Grant Number.
- Next, enter the Federal Program Income Earned.
- Click "Save" at any time and come back to your work later. Click "Save and Return to Report" to save your work and return to the FFR.
- For more information on Federal Program Income please see the [NSF Proposal & Award Policies & Procedures Guide](#).
- To view the FFR Worksheet - Program Income in PDF, click "Print to PDF".
- Required fields are indicated by an asterisk (\*).

[FFR Help](#)

Arizona State University | AZ | 0010819000  
Quarter Ending : 09/30/2011 | Due Date: 11/13/2011

0 Items found

Export:  Excel  Print to PDF

Line Number	*Federal Grant Number	*Federal Program Income Earned	*Program Income expended in accordance with the addition alternative	*Unexpended Program Income	Remarks
1	<input type="text"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
2	<input type="text"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
3	<input type="text"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
4	<input type="text"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
5	<input type="text"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
6	<input type="text"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
7	<input type="text"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
8	<input type="text"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
9	<input type="text"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
10	<input type="text"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	\$0.00	<input type="text"/>
<b>Totals</b>		\$0.00	\$0.00	\$0.00	

No Program Income to Report

- Common issues institutions have:
  - Refunds credited to canceled appropriations don't appear on the FFR – this becomes a manual reconciliation item
  - Lingering difference that lasts until the final award expires leaving a balance at the end with no active awards
  - Reported expenditure or cash draw errors that are not caught during the institution reconciliations
  - Crediting refund errors
  - Tax debt offset credit withholdings either to/from NSF



## Preparer Certification

- Review the Certification below and update appropriate form fields as necessary.
- Click "Save" at any time and come back to your work later. Click "Save and Submit to NSF" to submit the complete FFR to NSF.
- To view the Certification click "Print to PDF." To view the complete FFR click "Print Full Report to PDF."

[FFR Help](#)

Case Western Reserve University | OH | 0001024000  
Quarter Ending : 09/30/2011 | Due Date: 11/13/2011

[Print to PDF](#)

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### 13. CERTIFICATION:

Cash Receipts (FFR Line 10a.)	\$5,585,067.64
Cash Disbursements (FFR Line 10b.)	-\$42,192,099.06
Adjustments to Financially Closed Awards (FFR.)	\$0.00
Cash on Hand (FFR Line 10c.)	\$47,777,166.70
Total Federal Program Income Earned (FFR Line 10n.)	\$0.00

- a. Name of Preparer: Deborah Elam
- b. Preparer's Email Address: [pjagarap@nsf.gov](mailto:pjagarap@nsf.gov)
- c. Preparer's Phone Number: 2163685944
- d. Preparer's Phone Extension:
- e. Preparer's Fax: 2163684866
- f. Name of Certifying Official: Robin Trail
- g. Title of Certifying Official:
- h. Certifying Official's Email Address: [pjagarap@nsf.gov](mailto:pjagarap@nsf.gov)
- i. Date Report Submitted:

Comments:

Cancel

Save

Forward For Certification

The FFR preparer will forward the report to the FFR certifier for certification once it has been completed by selecting

Forward For Certification

Users also have the option to print the full report to PDF from the Certification page

[Print Full Report to PDF](#)

# FFR Certification (Certifier)



## Certification

- Review the Certification below and update appropriate form fields as necessary.
- Click "Save" at any time and come back to your work later. Click "Save and Submit to NSF" to submit the complete FFR to NSF.
- To view the Certification click "Print to PDF." To view the complete FFR click "Print Full Report to PDF."

		<a href="#">FFR Help</a>
		ID: 0001024000 Date: 11/13/2011
		<a href="#">Report to PDF</a> submission
<b>The FFR has been forwarded to you in your role as the FFR Certifier by the Preparer to NSF.</b>		
<b>13. CERTIFICATION:</b>		
Cash Receipts (FFR Line 10a.)	\$12,579,774.25	
Cash Disbursements (FFR Line 10b.)	\$15,525,653.81	
Adjustments to Financially Closed Awards (FFR.)	\$0.00	
Cash on Hand (FFR Line 10c.)	-\$2,945,879.56	
Total Federal Program Income Earned (FFR Line 10n.)	\$0.00	

I certify:

(A) That to the best of my knowledge and belief, this report is true in all respects and that all disbursements have been made for the purposes and conditions (including cost-sharing requirements as stated in the NSF grant policy manual) of the awards

(B) That final closeout disbursements have been reported on all grants that expired prior to the beginning of this reporting quarter except for awards I have identified to be held open with 'unpaid obligations' on the FFR Attachment, and

(C) That awards requested to be held open for the payment of 'unpaid obligations' and appropriate measures have been taken to permit the earliest possible payment or deobligation

(D) Under penalties of perjury a willful false certification is a criminal offense, 18 U.S.C. 1001.

- a. Name of Preparer: Deborah Elam
- b. Preparer's Email Address: pjararap@nsf.gov
- c. Preparer's Phone Number: 2163685944
- d. Preparer's Phone Extension:
- e. Preparer's Fax: 2163684866
- f. Name of Certifying Official: Robin Trail
- g. Title of Certifying Official:
- h. Certifying Official's Email Address: pjararap@nsf.gov
- i. Date Report Submitted:

Comments:

The FFR certifier will be notified via email once the FFR preparer has forwarded the report. The FFR certifier will then need to review and approve the submission.

Certify the data by checking the box next to *I Certify*, and select the *Save and Submit to NSF* button.

I certify:

(A) That to the best of my knowledge and belief, this report is true in all respects and that all disbursements have been made for the purposes and conditions (including cost-sharing requirements as stated in the NSF grant policy manual) of the awards

(B) That final closeout disbursements have been reported on all grants that expired prior to the beginning of this reporting quarter except for awards I have identified to be held open with 'unpaid obligations' on the FFR Attachment, and

(C) That awards requested to be held open for the payment of 'unpaid obligations' have been reviewed to establish the validity of the 'unpaid obligations' and appropriate measures have been taken to permit the earliest possible payment or deobligation

(D) Under penalties of perjury a willful false certification is a criminal offense, 18 U.S.C. 1001.

Public Law 101-510 requires that all federal agencies financially close fixed year appropriation accounts and **cancel** any remaining balances by September 30th of the 5th year after the period of availability.



How does this affect you?

## Award Cash Management System (ACM\$)

## ***NEW APPROACH***

- ~~• Cash pooling~~
- Award level detail ✓



- Transparency
- Accountability
- Timeliness
- OMB Compliance

- NSF is currently in the design and development phase
- Target implementation date: 2013
- Timeline selected to minimize interference with awardee fiscal year end tasks
- Reconciliation process:
  - Insure all awardee balances match NSF award balances
  - Bring Cash on Hand (COH) balances to zero (\$0)

- What can you do now to prepare?
  - Reconcile the Cash on Hand (COH) balance reported on your quarterly FFR to the COH balance on your financial records
    - Identify any manual reconciliation items
  - Submit FFR each quarter before the due date
  - Bring operating COH balances as close to zero as possible until the implementation occurs

# ACM\$ Use Cases

- We are here to help your financial staff get set-up:
  - Gain access to Research.gov
  - Request cash payments
  - Submit quarterly reports
  - Use Research.gov and Financial Functions
- Outreach Visits
  - If interested, we could visit you on one of our next outreach trips to provide assistance

Before this happens...



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- ★ **Dorothy Battle** – [dbattle@nsf.gov](mailto:dbattle@nsf.gov) or (703) 292-4440  
AL, CO, FL, ID, KY, MA, MS, NH, RI, SC, UT, WI, and Fellowship payments
- ★ **Ilene Caruso** – [icaruso@nsf.gov](mailto:icaruso@nsf.gov) or (703) 292-8334  
CA, HI, IA, NM, NY, WY and all SBIR Phase I awards
- ★ **Karen Cavanaugh** – [kcavanau@nsf.gov](mailto:kcavanau@nsf.gov) or (703) 292-2411  
USP & Foreign Grantees (Monday and Tuesday only. Call any other accountant on other business days)
- ★ **Justin Poll** – [jpoll@nsf.gov](mailto:jpoll@nsf.gov) or (703) 292-4663  
IL, KS, LA, ME, MT, NC, NE, OK, OR, VA
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- ★ **Alisha Williams** – [aliwilli@nsf.gov](mailto:aliwilli@nsf.gov) or 703-292-4539  
AK, AR, DC, DE, IN, MD, MO, ND, NV, OH, SD, VT, WA, and WV