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## **FY 2013 Appropriations Language**

### **National Science Foundation**

#### **RESEARCH AND RELATED ACTIVITIES**

For necessary expenses in carrying out the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875), and the Act to establish a National Medal of Science (42 U.S.C. 1880-1881); services as authorized by 5 U.S.C. 3109; maintenance and operation of aircraft and purchase of flight services for research support; acquisition of aircraft; and authorized travel; \$5,983,280,000, to remain available until September 30, 2014, of which not to exceed \$500,000,000 shall remain available until expended for polar research and operations support, and for reimbursement to other Federal agencies for operational and science support and logistical and other related activities for the United States Antarctic program: *Provided*, That receipts for scientific support services and materials furnished by the National Research Centers and other National Science Foundation supported research facilities may be credited to this appropriation.

#### **EDUCATION AND HUMAN RESOURCES**

For necessary expenses in carrying out science, mathematics and engineering education and human resources programs and activities pursuant to the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875), including services as authorized by 5 U.S.C. 3109, authorized travel, and rental of conference rooms in the District of Columbia, \$875,610,000, to remain available until September 30, 2014.

#### **MAJOR RESEARCH EQUIPMENT AND FACILITIES CONSTRUCTION**

For necessary expenses for the acquisition, construction, commissioning, and upgrading of major research equipment, facilities, and other such capital assets pursuant to the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875), including authorized travel, \$196,170,000, to remain available until expended.

#### **AGENCY OPERATIONS AND AWARD MANAGEMENT**

For agency operations and award management necessary in carrying out the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-1875); services authorized by 5 U.S.C. 3109; hire of passenger motor vehicles; not to exceed \$8,280 for official reception and representation expenses; uniforms or allowances therefor, as authorized by 5 U.S.C. 5901-5902; rental of conference rooms in the District of Columbia; and reimbursement of the Department of Homeland Security for security guard services; \$299,400,000: *Provided*, That contracts may be entered into under this heading in fiscal year 2013 for maintenance and operation of facilities, and for other services, to be provided during the next fiscal year.

#### **OFFICE OF INSPECTOR GENERAL**

For necessary expenses of the Office of Inspector General as authorized by the Inspector General Act of 1978, as amended, \$14,200,000, to remain available until September 30, 2014.

## **OFFICE OF THE NATIONAL SCIENCE BOARD**

For necessary expenses (including payment of salaries, authorized travel, hire of passenger motor vehicles, the rental of conference rooms in the District of Columbia, and the employment of experts and consultants under section 3109 of title 5, United States Code) involved in carrying out section 4 of the National Science Foundation Act of 1950, as amended (42 U.S.C 1863) and Public Law 86-209 (42 U.S.C. 1880 et seq.), \$4,440,000: *Provided*, That not to exceed \$2,500 shall be available for official reception and representation expenses.

### **ADMINISTRATIVE PROVISION**

Not to exceed 5 percent of any appropriation made available for the current fiscal year for the National Science Foundation in this Act may be transferred between such appropriations, but no such appropriation shall be increased by more than 15 percent by any such transfers. Any transfer pursuant to this section shall be treated as a reprogramming of funds under section 505 of this Act and shall not be available for obligation except in compliance with the procedures set forth in that section.

**SUMMARY OF FY 2013 BUDGETARY RESOURCES BY ACCOUNT**

(Dollars in Millions)

	FY 2011 Actual	FY 2012 Estimate	FY 2013 Request	Change Over FY 2012 Estimate	
				Amount	Percent
<b>RESEARCH AND RELATED ACTIVITIES</b>					
Appropriation	\$5,575.03	\$5,719.00	\$5,983.28	\$264.28	4.6%
Unobligated Balance Available Start of Year	1.37	2.38		-\$2.38	
Unobligated Balance Available End of Year	-2.38				
Adjustments to Prior Year Accounts <sup>1</sup>	99.40				
Rescission Pursuant P.L. 112-10	-11.15				
<b>Subtotal, R&amp;RA</b>	<b>5,662.27</b>	<b>5,721.38</b>	<b>\$5,983.28</b>	<b>\$261.90</b>	<b>4.6%</b>
Transferred to/from other funds	-53.89	-30.00	-	30.00	
<b>Total Budgetary Resources</b>	<b>\$5,608.38</b>	<b>\$5,691.38</b>	<b>\$5,983.28</b>	<b>\$291.90</b>	<b>5.1%</b>
<b>EDUCATION AND HUMAN RESOURCES</b>					
Appropriation	\$862.76	\$829.00	\$875.61	\$46.61	5.6%
Unobligated Balance Available Start of Year	0.04	0.22		-\$0.22	
Unobligated Balance Available End of Year	-0.22				
Adjustments to Prior Year Accounts <sup>1</sup>	0.19				
Rescission Pursuant P.L. 112-10	-1.73				
<b>Total Budgetary Resources</b>	<b>\$861.04</b>	<b>\$829.22</b>	<b>\$875.61</b>	<b>\$46.39</b>	<b>5.6%</b>
<b>MAJOR RESEARCH EQUIPMENT &amp; FACILITIES CONSTRUCTION</b>					
Appropriation	\$117.29	\$167.06	\$196.17	\$29.12	17.4%
Unobligated Balance Available Start of Year	9.17	0.88		-\$0.88	
Unobligated Balance Available End of Year	-0.88				
Adjustments to Prior Year Accounts <sup>1</sup>	0.02				
Rescission Pursuant P.L. 112-10	-0.23				
<b>Subtotal, MREFC</b>	<b>\$125.37</b>	<b>\$167.94</b>	<b>\$196.17</b>	<b>\$28.24</b>	<b>16.8%</b>
Transferred to/from other funds	-	30.00	-	-30.00	
<b>Total Budgetary Resources</b>	<b>\$125.37</b>	<b>\$197.94</b>	<b>\$196.17</b>	<b>-\$1.77</b>	<b>-0.9%</b>
<b>AGENCY OPERATIONS AND AWARD MANAGEMENT</b>					
Appropriation	\$300.00	\$299.40	\$299.40	\$0.00	
Unobligated Balance - Expired	-0.11				
Rescission Pursuant P.L. 112-10	-0.60				
<b>Total Budgetary Resources</b>	<b>\$299.29</b>	<b>\$299.40</b>	<b>\$299.40</b>	<b>-</b>	

Totals may not add due to rounding.

<sup>1</sup>Adjustments include upward and downward adjustments to prior year obligations.

Technical Information

**SUMMARY OF FY 2013 B U DGETARY RESOURCES BY ACCOUNT**

(Dollars in Millions)

	FY 2011 Actual	FY 2012 Estimate	FY 2013 Request	Change Over FY 2012 Estimate	
				Amount	Percent
<b>NATIONAL SCIENCE BOARD</b>					
Appropriation	\$4.54	\$4.44	\$4.44	\$0.00	
Unobligated Balance - Expired	-0.06				
Rescission Pursuant P.L. 112-10	-0.01				
<b>Total Budgetary Resources</b>	<b>\$4.47</b>	<b>\$4.44</b>	<b>\$4.44</b>	<b>-</b>	
<b>OFFICE OF INSPECTOR GENERAL</b>					
Appropriation	\$14.00	\$14.20	\$14.20	\$0.00	
Unobligated Balance Available Start of Year - ARRA	1.93	1.84		-\$1.84	
Unobligated Balance - Expired	-0.06				
Unobligated Balance Available End of Year - ARRA	-1.84				
Rescission Pursuant P.L. 112-10	-0.03				
<b>Total Budgetary Resources</b>	<b>\$14.00</b>	<b>\$16.04</b>	<b>\$14.20</b>	<b>-\$1.84</b>	<b>-11.5%</b>
<b>TOTAL DISCRETIONARY, NATIONAL SCIENCE FOUNDATION</b>	<b>\$6,912.55</b>	<b>\$7,038.42</b>	<b>\$7,373.10</b>	<b>\$334.68</b>	<b>4.8%</b>
<b>EDUCATION AND HUMAN RESOURCES, H-1B</b>					
Appropriation, Mandatory (H1-B Non-Immigrant Petitioner Fees)	\$104.78	\$100.00	\$100.00	\$0.00	
Unobligated Balance Available Start of Year	50.15	60.93		-\$60.93	
Unobligated Balance Available End of Year	-60.93				
Adjustments to Prior Year Accounts <sup>1</sup>	2.29				
<b>Total Budgetary Resources</b>	<b>\$96.29</b>	<b>\$160.93</b>	<b>\$100.00</b>	<b>-\$60.93</b>	<b>-37.9%</b>
<b>DONATIONS</b>					
Mandatory Programs (Special or Trust Fund)	\$53.15	\$25.00	\$25.00	\$0.00	
Unobligated Balance Available Start of Year	45.63	52.34		-\$52.34	
Unobligated Balance Available End of Year	-52.34				
Adjustments to Prior Year Accounts <sup>1</sup>	0.10				
<b>Total Budgetary Resources</b>	<b>\$46.54</b>	<b>\$77.34</b>	<b>\$25.00</b>	<b>-\$52.34</b>	<b>-67.7%</b>
<b>TOTAL, NATIONAL SCIENCE FOUNDATION</b>	<b>\$7,055.38</b>	<b>\$7,276.69</b>	<b>\$7,498.10</b>	<b>\$273.75</b>	<b>3.8%</b>

Totals may not add due to rounding.

<sup>1</sup>Adjustments include upward and downward adjustments to prior year obligations.

**NSF FY 2013 FUNDING BY PROGRAM**

(Dollars in Millions)

PROGRAM	FY 2011 Actual	FY 2012 Estimate	FY 2013 Request	Change Over	
				FY 2012 Estimate Amount	Percent
<b>BIOLOGICAL SCIENCES</b>					
MOLECULAR AND CELLULAR BIOSCIENCES	\$123.93	\$125.79	\$132.68	\$6.89	5.5%
INTEGRATIVE ORGANISMAL SYSTEMS	212.55	212.33	220.52	8.19	3.9%
ENVIRONMENTAL BIOLOGY	142.72	142.56	139.73	-2.83	-2.0%
BIOLOGICAL INFRASTRUCTURE	129.28	126.18	129.68	3.50	2.8%
EMERGING FRONTIERS	103.79	105.52	111.25	5.73	5.4%
<b>Total, BIO</b>	<b>\$712.27</b>	<b>\$712.38</b>	<b>\$733.86</b>	<b>\$21.48</b>	<b>3.0%</b>
<b>COMPUTER AND INFORMATION SCIENCE AND ENGINEERING</b>					
COMPUTING & COMMUNICATION FOUNDATIONS	\$175.93	\$179.13	\$195.00	\$15.87	8.9%
COMPUTER & NETWORK SYSTEMS	210.26	212.50	233.50	21.00	9.9%
INFORMATION & INTELLIGENT SYSTEMS	169.14	176.50	193.00	16.50	9.3%
INFORMATION TECHNOLOGY RESEARCH	80.73	85.46	88.22	\$2.76	3.2%
<b>Total, CISE</b>	<b>\$636.06</b>	<b>\$653.59</b>	<b>\$709.72</b>	<b>\$56.13</b>	<b>8.6%</b>
<b>ENGINEERING</b>					
CHEMICAL, BIOENGINEERING, ENVIRONMENTAL & TRANSPORT SYSTEMS	\$158.82	\$171.45	\$179.40	\$7.95	4.6%
CIVIL, MECHANICAL & MANUFACTURING INNOVATION	189.62	203.58	\$217.06	13.48	6.6%
ELECTRICAL, COMMUNICATIONS & CYBER SYSTEMS	97.54	106.73	\$114.30	7.57	7.1%
INDUSTRIAL INNOVATION & PARTNERSHIPS SBIR/STTR	162.64 [126.47]	193.41 [152.76]	\$210.30 [165.20]	16.89 [12.44]	8.7% [8.1%]
ENGINEERING EDUCATION & CENTERS	125.76	120.00	\$123.27	3.27	2.7%
EMERGING FRONTIERS IN RESEARCH & INNOVATION	28.95	31.00	\$32.00	1.00	3.2%
<b>Total, ENG</b>	<b>\$763.33</b>	<b>\$826.17</b>	<b>\$876.33</b>	<b>\$50.16</b>	<b>6.1%</b>

<sup>1</sup>Formerly known as Division of Science Resources Statistics

<sup>2</sup>Excludes \$96.29 million in obligations in FY 2011 and an estimated \$100.0 million in receipts from H-1B Nonimmigrant Petitioner Fees in FY 2012 and FY 2013.

<sup>3</sup>Beginning in FY 2013, EHR proposes to move several programs from DUE to other EHR divisions. The Math Science Partnership (MSP) program moves into the Division of Research on Learning in Formal and Informal Settings (DRL). The Climate Change Education (CCE) program moves into the Division of Graduate Education (DGE). The Excellence Awards in Science and Engineering (EASE) program moves into the Division of Human Resources (HRD). Funding for all years is shown in the FY 2013 structure for comparability.

<sup>4</sup> FY 2011 Actual includes \$82,946 of obligations funded through the American Recovery and Reinvestment Act of 2009 (ARRA).

**NSF FY 2013 FUNDING BY PROGRAM**

(Dollars in Millions)

PROGRAM	FY 2011 Actual	FY 2012 Estimate	FY 2013 Request	Change Over	
				FY 2012 Estimate Amount	Percent
<b>GEOSCIENCES</b>					
ATMOSPHERIC & GEOSPACE SCIENCES	\$257.66	\$258.66	\$264.06	\$5.40	2.1%
EARTH SCIENCES	183.83	183.50	\$189.20	5.70	3.1%
INTEGRATIVE & COLLABORATIVE EDUCATION AND RESEARCH	91.62	91.21	91.21	0.00	-
OCEAN SCIENCES	352.21	351.90	\$361.97	10.07	2.9%
<b>Total, GEO</b>	<b>\$885.32</b>	<b>\$885.27</b>	<b>\$906.44</b>	<b>\$21.17</b>	<b>2.4%</b>
<b>MATHEMATICAL AND PHYSICAL SCIENCES</b>					
ASTRONOMICAL SCIENCES	\$236.78	\$234.55	\$244.55	\$10.00	4.3%
CHEMISTRY	233.55	234.06	243.85	9.79	4.2%
MATERIALS RESEARCH	294.90	294.55	302.63	8.08	2.7%
MATHEMATICAL SCIENCES	239.79	237.77	245.00	7.23	3.0%
PHYSICS	280.34	277.37	280.08	2.71	1.0%
MULTIDISCIPLINARY ACTIVITIES	27.06	30.64	29.07	-1.57	-5.1%
<b>Total, MPS</b>	<b>\$1,312.42</b>	<b>\$1,308.94</b>	<b>\$1,345.18</b>	<b>\$36.24</b>	<b>2.8%</b>
<b>SOCIAL, BEHAVIORAL AND ECONOMIC SCIENCES</b>					
SOCIAL AND ECONOMIC SCIENCES	\$95.68	\$97.18	\$100.25	\$3.07	3.2%
BEHAVIORAL AND COGNITIVE SCIENCES	91.11	92.69	95.43	2.74	3.0%
MULTIDISCIPLINARY ACTIVITIES	25.10	28.23	29.11	0.88	3.1%
NATIONAL CENTER FOR SCIENCE AND ENGINEERING STATISTICS <sup>1</sup>	35.44	36.15	34.76	-1.39	-3.8%
<b>Total, SBE</b>	<b>\$247.33</b>	<b>\$254.25</b>	<b>\$259.55</b>	<b>\$5.30</b>	<b>2.1%</b>

<sup>1</sup>Formerly known as Division of Science Resources Statistics

<sup>2</sup>Excludes \$96.29 million in obligations in FY 2011 and an estimated \$100.0 million in receipts from H-1B Nonimmigrant Petitioner Fees in FY 2012 and FY 2013.

<sup>3</sup>Beginning in FY 2013, EHR proposes to move several programs from DUE to other EHR divisions. The Math Science Partnership (MSP) program moves into the Division of Research on Learning in Formal and Informal Settings (DRL). The Climate Change Education (CCE) program moves into the Division of Graduate Education (DGE). The Excellence Awards in Science and Engineering (EASE) program moves into the Division of Human Resources (HRD). Funding for all years is shown in the FY 2013 structure for comparability.

<sup>4</sup> FY 2011 Actual includes \$82,946 of obligations funded through the American Recovery and Reinvestment Act of 2009 (ARRA).



**NSF FY 2013 FUNDING BY PROGRAM**

(Dollars in Millions)

PROGRAM	FY 2011 Actual	FY 2012 Estimate	FY 2013 Request	Change Over	
				FY 2012 Estimate Amount	Percent
<b>OFFICE OF INTERNATIONAL SCIENCE AND ENGINEERING</b>	\$49.03	\$49.85	\$51.28	\$1.43	2.9%
<b>OFFICE OF CYBERINFRASTRUCTURE</b>	\$300.75	\$211.64	\$218.27	\$6.63	3.1%
<b>OFFICE OF POLAR PROGRAMS</b>					
ARCTIC SCIENCES	\$105.86	\$102.76	\$108.51	\$5.75	5.6%
ANTARCTIC SCIENCES	69.07	69.75	75.80	6.05	8.7%
ANTARCTIC INFRASTRUCTURE & LOGISTICS	259.42	256.74	258.33	1.59	0.6%
U.S. Antarctic Logistical Support Activities	[67.52]	[67.52]	[67.52]	-	-
POLAR ENVIROMENT, HEALTH & SAFETY	6.35	6.62	7.10	0.48	7.3%
<b>Total, OPP</b>	\$440.70	\$435.87	\$449.74	\$13.87	3.2%
<b>INTEGRATIVE ACTIVITIES</b>					
EXPERIMENTAL PROGRAM TO STIMULATE COMPETITIVE RESEARCH (EPSCoR)	146.82	150.90	158.19	\$7.29	4.8%
OTHER INTEGRATIVE ACTIVITIES	112.78	198.69	273.33	\$74.64	37.6%
MAJOR RESEARCH INSTRUMENTATION (MRI)	[89.987]	[90.00]	[90.00]	-	-
<b>Total, IA</b>	\$259.60	\$349.59	\$431.52	\$81.93	23.4%
<b>U.S. ARCTIC RESEARCH COMMISSION</b>	\$1.58	\$1.45	\$1.39	-\$0.06	-4.1%
<b>Total, RESEARCH AND RELATED ACTIVITIES</b>	\$5,608.39	\$5,689.00	\$5,983.28	\$294.28	5.2%
<b>EDUCATION AND HUMAN RESOURCES</b>					
RESEARCH ON LEARNING IN FORMAL AND INFORMAL SETTINGS	\$322.47	\$290.43	\$309.51	\$19.08	6.6%
UNDERGRADUATE EDUCATION	217.28	235.65	246.65	11.00	4.7%
GRADUATE EDUCATION	176.58	173.29	184.82	11.53	6.7%
HUMAN RESOURCE DEVELOPMENT	144.71	129.63	134.63	5.00	3.9%
<b>Total, EHR<sup>2,3</sup></b>	\$861.04	\$829.00	\$875.61	\$46.61	5.6%

<sup>1</sup>Formerly known as Division of Science Resources Statistics

<sup>2</sup>Excludes \$96.29 million in obligations in FY 2011 and an estimated \$100.0 million in receipts from H-1B Nonimmigrant Petitioner Fees in FY 2012 and FY 2013.

<sup>3</sup>Beginning in FY 2013, EHR proposes to move several programs from DUE to other EHR divisions. The Math Science Partnership (MSP) program moves into the Division of Research on Learning in Formal and Informal Settings (DRL). The Climate Change Education (CCE) program moves into the Division of Graduate Education (DGE). The Excellence Awards in Science and Engineering (EASE) program moves into the Division of Human Resources (HRD). Funding for all years is shown in the FY 2013 structure for comparability.

<sup>4</sup>FY 2011 Actual includes \$82,946 of obligations funded through the American Recovery and Reinvestment Act of 2009 (ARRA).

**NSF FY 2013 FUNDING BY PROGRAM**

(Dollars in Millions)

PROGRAM	FY 2011 Actual	FY 2012 Estimate	FY 2013 Request	Change Over	
				FY 2012 Estimate Amount	Percent
<b>MAJOR RESEARCH EQUIPMENT AND FACILITIES CONSTRUCTION</b>	\$125.37	\$197.06	\$196.17	-\$0.89	-0.4%
<b>AGENCY OPERATIONS AND AWARD MANAGEMENT</b>	\$299.29	\$299.40	\$299.40	-	-
<b>NATIONAL SCIENCE BOARD</b>	\$4.47	\$4.44	\$4.44	-	-
<b>OFFICE OF INSPECTOR GENERAL<sup>4</sup></b>	\$14.00	\$14.20	\$14.20	-	-
<b>NATIONAL SCIENCE FOUNDATION</b>	\$6,912.56	\$7,033.10	\$7,373.10	\$340.00	4.8%

Totals may not add due to rounding.

<sup>1</sup>Formerly known as Division of Science Resources Statistics

<sup>2</sup>Excludes \$96.29 million in obligations in FY 2011 and an estimated \$100.0 million in receipts from H-1B Nonimmigrant Petitioner Fees in FY 2012 and FY 2013.

<sup>3</sup>Beginning in FY 2013, EHR proposes to move several programs from DUE to other EHR divisions. The Math Science Partnership (MSP) program moves into the Division of Research on Learning in Formal and Informal Settings (DRL). The Climate Change Education (CCE) program moves into the Division of Graduate Education (DGE). The Excellence Awards in Science and Engineering (EASE) program moves into the Division of Human Resources (HRD). Funding for all years is shown in the FY 2013 structure for comparability.

<sup>4</sup> FY 2011 Actual includes \$82,946 of obligations funded through the American Recovery and Reinvestment Act of 2009 (ARRA).

## OBJECT CLASSIFICATION

### NSF Consolidated Obligations

(Dollars in Millions)

Object Class Code	Standard Title	FY 2011 Actual	FY 2012 Estimate	FY 2013 Request
11.1	Full-time permanent	\$156	\$160	\$164
11.3	Other than fulltime permanent	12	13	14
11.5	Other personnel compensation	8	3	4
11.8	Special personal service payment	2	1	1
	Total personnel compensation	178	177	183
12.1	Civilian personnel benefits	40	42	43
21.0	Travel and transportation of persons	32	29	27
23.1	Rental payments	26	27	28
23.3	Communications, utilities, and miscellaneous charges	2	2	2
24.0	Printing and Reproduction	-	-	-
25.1	Advisory and assistance services	180	180	172
25.2	Other services	20	22	18
25.3	Purchases of goods and services from Government accounts	34	34	34
25.4	Operation and maintenance of facilities	359	359	359
25.5	Research and development contracts	12	12	12
26.0	Supplies and materials	6	6	6
31.0	Equipment	6	6	6
32.0	Land and Structures	-	-	-
41.0	Grants, subsidies, and contributions	6,160	6,381	6,608
	<b>Total, Direct obligations <sup>1</sup></b>	<b>\$7,055</b>	<b>\$7,277</b>	<b>\$7,498</b>

Totals may not add due to rounding.

<sup>1</sup>Includes mandatory obligations, but excludes obligations for reimbursable accounts.

## REIMBURSABLE ACTIVITY

Reimbursements for the Research and Related Activities Appropriation and the Education and Human Resources Appropriation are realized from other federal agencies that have entered into interagency agreements with the Foundation. NSF enters into agreements (including Memoranda of Understanding) with other U.S. government agencies, as authorized by the NSF Act, 42 U.S.C. 1870 (c) and the Economy Act: 31 U.S.C. 1535, under which NSF assumes some responsibility for activities supported by these agencies. These activities can include jointly funded projects and programs, support of research operations and logistics, and access to NSF supported research facilities.

### Reimbursements by Agency

(Dollars in Millions)

DEPARTMENT/AGENCY	FY 2011 Actual
<b>DEFENSE</b>	
<i>Air Force</i>	\$11.0
<i>Army</i>	\$5.2
<i>Other DOD (DARPA, NSA &amp; Intelligence)</i>	\$13.4
Subtotal, DOD	\$29.6
Agriculture	\$1.1
Commerce (Including Census, NOAA, & NIST)	\$25.7
Education	\$0.9
Energy	\$14.5
Environmental Protection Agency	\$1.1
Health & Human Services	\$17.5
Homeland Security	\$7.7
Justice	\$0.8
NASA	\$11.9
National Archives	\$1.0
State	\$2.3
Transportation	\$9.0
OTHER (less than \$500,000)	\$3.5
<b>TOTAL REIMBURSEMENTS</b>	<b>\$126.6</b>

Totals may not add due to rounding

Consistent with applicable legislation and GAO decisions, agreements include reimbursement for costs that are incurred in the management and administration of these awards.

In FY 2011, the largest portion of NSF's reimbursable activity came from joint activities with the Department of Defense (23.4 percent), Department of Commerce (including Census, NOAA, & NIST) (20.3 percent), the Department of Health and Human Services (13.8 percent), the Department of Energy (11.5 percent), National Aeronautics and Space Administration (9.4 percent), the Department of Transportation (7.1 percent), and the Department of Homeland Security (6.1 percent). Reimbursable activities with the Department of Defense were largely for the management of the National Center for Atmospheric Research (NCAR). Reimbursable activities with the Department of Health and Human Services are for non-medical biological research such as the Human Frontiers Science Program and the Macromolecular Structure Database (MSD) program.

**NSF Personnel Summary  
of Permanent Appointments**

	FY 2011 Actual
<u>Statutory Pay Systems</u>	<u>Appointments</u>
ES	73
AD	343
GS/GM-15	92
GS/GM-14	139
GS/GM-13	128
GS-12	118
GS-11	86
GS-10	15
GS-9	74
GS-8	28
GS-7	78
GS-6	4
GS-5	3
GS-4	-
Subtotal, GS/GM	765
Total, Permanent Appointments	1,181
Average Salary	\$116,758

All data are for permanent appointments.

## **FY 2011 CARRYOVER INTO FY 2012 BY ACCOUNT**

The National Science Foundation's (NSF) total unobligated balance of \$127.52 million from the FY 2011 Discretionary appropriation, the American Recovery and Reinvestment Act of FY 2009 (ARRA) appropriation, Incoming Interagency Reimbursable Agreements, and Mandatory accounts consist of amounts described below.

### **DISCRETIONARY**

Within the **Research and Related Activities (R&RA)** appropriation, NSF carried over \$2.38 million (i.e., 2-year: \$1.31 million; and no-year: \$1.07 million) into FY 2012. The major items include awards and contracts from various programs throughout NSF that were not ready for obligation in FY 2011. Obligation of these funds is expected by the second quarter of FY 2012.

Within the **Education and Human Resources (EHR)** appropriation, NSF carried over \$221,000 (i.e., 2-year: \$181,000; and no-year: \$40,000) into FY 2012 for awards and contracts that were not ready for obligation in FY 2011. Obligation of these funds is expected by the second quarter of FY 2012.

Within the **Major Research Equipment and Facilities Construction (MREFC)** appropriation, \$878,000 was carried over into FY 2012. This includes:

- \$694,000 for IceCube Neutrino Observatory (IceCube): Project closure activities and associated costs are currently being finalized.
- \$164,000 for South Pole Station Modernization (SPSM): Final project costs are being reconciled and will be concluded in FY 2012. If any of the remaining funds are required, they will be obligated in the second quarter of FY 2012.
- NSF recovered \$20,000 in FY 2011 following the conclusion of the Earthscope and NEES construction projects. These funds were carried over and are being applied to ongoing projects.

### **AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (ARRA)**

Within the **Office of Inspector General ARRA** appropriation, \$1.84 million was carried over from FY 2011 into FY 2012. These multi-year funds are intended explicitly for ARRA oversight. Obligation of these funds will occur over the period of availability, which was revised under P.L. 111-203 to be through December 31, 2012 pending a waiver process which could extend availability back to September 30, 2013.

### **INCOMING INTERAGENCY REIMBURSABLE AGREEMENTS**

- R&RA: Incoming two-year interagency funds were carried over into FY 2012 in the amount of \$4.73 million. Obligation of these funds is expected by the second quarter of FY 2012.
- EHR: Incoming two-year interagency funds were carried over into FY 2012 in the amount of \$4.20 million. Obligation of these funds is expected by the second quarter of FY 2012.

**MANDATORY**

Within the **H-1B Nonimmigrant Petitioner** account (Mandatory), \$60.93 million was carried over into FY 2012, which consisted of \$17.41 million in ITEST and \$43.52 million in S-STEM and includes third quarter H-1B receipts (received in July 2011) and \$32.5 million in fourth quarter receipts (received in October 2011). Since NSF receives the largest quarterly payment of H-1B visa fees in July, there is insufficient time to obligate the receipts on awards before the end of the fiscal year. These resources will allow for both I-TEST and S-STEM to support awards in the third quarter of FY 2012.

Within the **Donations** account, \$52.34 million was carried over into FY 2012. Donations were received from foreign governments, organizations, and individuals to fund various cooperative efforts in science, research, and education. This includes donations from the Bill and Melinda Gates Foundation (BMGF), which provided substantial funding ahead of schedule that enabled forward funding on several awards. NSF is currently ahead on spending the BMGF portion of funds.

**Discretionary and ARRA Appropriations, Incoming Interagency Reimbursable Agreements, Donations, and Mandatory Account**

**Distribution of FY 2011 Carryover into FY 2012**

(Dollars in Millions)

	FY 2012 Carryover from FY 2011	ARRA FY 2012 Carryover from FY 2011	Incoming Interagency Reimbursables	Total FY 2012 Carryover
Research and Related Activities (R&RA)	\$2.38	-	-	\$2.38
R&RA Incoming Reimbursables			4.73	4.73
Education and Human Resources (EHR)	0.22	-		0.22
EHR Incoming Reimbursables (EHR)			4.20	4.20
Major Research Equipment and Facilities Construction (MREFC)	0.88	-	-	0.88
Office of Inspector General (OIG)	-	1.84	-	1.84
<b>Subtotal</b>	<b>3.48</b>	<b>1.84</b>	<b>8.93</b>	<b>14.25</b>
<b>Mandatory</b>				
Mandatory (H-1B Non-Immigrant Petitioner)	60.93	-	-	60.93
Donations (Special or Trust Fund)	52.34	-	-	52.34
<b>Subtotal</b>	<b>113.27</b>	<b>-</b>	<b>-</b>	<b>113.27</b>
<b>Total</b>	<b>\$116.75</b>	<b>\$1.84</b>	<b>\$8.93</b>	<b>\$127.52</b>

Totals may not add due to rounding.

**Physicians' Comparability Allowance (PCA) Worksheet**

**Department: National Science Foundation**

**Table 1**

		<b>PY 2011 (Actual)</b>	<b>CY 2012 (Estimates)</b>	<b>BY 2013* (Estimates)</b>
1) Number of Physicians Receiving PCAs		0	1*	1
2) Number of Physicians with One-Year PCA Agreements		0	1*	1
3) Number of Physicians with Multi-Year PCA Agreements		0	0	0
4) Average Annual PCA Physician Pay (without PCA payment)		0	\$176,547	\$176,547
5) Average Annual PCA Payment		0	\$21,588 (prorated)	\$23,000
6) Number of Physicians Receiving PCAs by Category (non-add)	Category I Clinical Position	0	0	0
	Category II Research Position	0	0	0
	Category III Occupational Health	0	1*	1
	Category IV-A Disability Evaluation	0	0	0
	Category IV-B Health and Medical Admin.	0	0	0

\*FY 2013 data will be approved during the FY 2014 Budget cycle.

\*Upon return from LWOP-US

- 7) If applicable, list and explain the necessity of any additional physician categories designated by your agency (for categories other than I through IV-B). Provide the number of PCA agreements per additional category for the PY, CY and BY.

N/A

- 8) Provide the maximum annual PCA amount paid to each category of physician in your agency and explain the reasoning for these amounts by category.

NSF employs one physician in the occupational health category. This position has been covered by a PCA agreement since November 2006. The incumbent was placed in Leave Without Pay status for active duty military service beginning in August 2009. Under NSF's PCA Plan, a PCA is not paid during LWOP. NSF intends to resume PCA coverage of this position upon his expected return in September 2012. The maximum PCA amount previously paid was \$21,588. The 2009 PCA amount represented a modest increase from the previous year and balanced the combined PCA and salary of competing organizations utilizing physicians with comparable qualifications.

- 9) Explain the recruitment and retention problem(s) for each category of physician in your agency (this should demonstrate that a current need continues to persist).

NSF's one PCA covered position is Head of the Polar Environment, Health and Safety Office in the Office of Polar Programs. The OPP physician serves as the chief medical officer of the U.S. Antarctic Program which NSF manages on behalf of the nation pursuant to Presidential Memorandum 6646. The responsibilities of this physician include overseeing medical practices and facilities at three land-based medical clinics in Antarctica and Arctic Ocean waters, and at remote field stations in Antarctica and Greenland. The OPP physician is also responsible for workplace safety at these locations and for developing sound environmental, safety, and medical aspects of research and operations supported by NSF and conducted in the polar regions. These duties require the attention of a physician with outstanding management ability and extensive operational experience. Offering a physicians' comparability allowance is essential to attracting and retaining a qualified individual. Prior to obtaining PCA authority, OPP experienced considerable difficulty hiring a high quality candidate possessing the unique qualifications for this position.



10) Explain the degree to which recruitment and retention problems were alleviated in your agency through the use of PCAs in the prior fiscal year.

NSF's use of a PCA allowed the agency to offer compensation commensurate with the experience, background, and salary requirements of the best qualified pool of applicants. NSF was able to attract and retain a physician who previously received a PCA at another Federal agency.

11) Provide any additional information that may be useful in planning PCA staffing levels and amounts in your agency.

NSF has no plans to increase the use of PCA beyond the current level of one.



EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF MANAGEMENT AND BUDGET  
WASHINGTON, D. C. 20503

December 5, 2011

Pam Hammett  
Chief, Executive and Visiting Personnel Branch  
Division of Human Resource Management  
National Science Foundation  
4201 Wilson Boulevard  
Arlington, VA 22230

Dear Ms. Hammett,

This is to advise you that the proposed FY 2012 Physicians' Comparability Allowance (PCA) plan for the National Science Foundation is consistent with the policy on comparability based on data presented. The National Science Foundation's plan will be effective through September 30, 2012.

We appreciate the effort you and your staff have taken to prepare this PCA plan.

Sincerely,

A handwritten signature in blue ink, appearing to read "R. Mertens".

Richard A. Mertens  
Deputy Associate Director  
Energy, Science, and Water Division  
Office of Management and Budget