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FY 2014 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; \$6,212,290,000, to remain available until September 30, 2015, of which not to exceed \$520,000,000 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, \$880,290,000, to remain available until September 30, 2015.

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, \$210,120,000, 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; \$304,290,000: *Provided*, That contracts may be entered into under this heading in fiscal year 2014 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 \$14,320,000, to remain available until September 30, 2014, of which not to exceed \$400,000, shall remain available until September 30, 2015.

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.), \$4,470,000: *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 504 of this Act and shall not be available for obligation except in compliance with the procedures set forth in that section.

Summary of FY 2014 Budgetary Resources by Account

(Dollars in Millions)

	FY 2012 Actual	FY 2012 Enacted/ Annualized FY 2013 CR ¹	FY 2014 Request	Change Over FY 2013 Annualized Amount	CR Percent
RESEARCH AND RELATED ACTIVITIES					
Appropriation	\$5,719.00	\$5,754.00	\$6,212.29	\$458.29	8.0%
Unobligated Balance Available Start of Year	2.38	18.38		-18.38	
Unobligated Balance Available End of Year	-18.38				
Adjustments to Prior Year Accounts ²	85.30				
Subtotal, R&RA	5,788.30	5,772.38	\$6,212.29	\$439.91	7.6%
Transferred to/from Other Funds ³	-30.00	-	5.00	5.00	
Total Budgetary Resources	\$5,758.30	\$5,772.38	\$6,217.29	\$444.91	7.7%
EDUCATION AND HUMAN RESOURCES					
Appropriation	\$829.00	\$834.07	\$880.29	\$46.22	5.5%
Unobligated Balance Available Start of Year	0.22	5.17		-5.17	
Unobligated Balance Available End of Year	-5.17				
Adjustments to Prior Year Accounts ²	6.49				
Total Budgetary Resources	\$830.54	\$839.24	\$880.29	\$41.05	4.9%
MAJOR RESEARCH EQUIPMENT & FACILITIES CONSTRUCTION					
Appropriation	\$167.06	\$168.08	\$210.12	\$42.04	25.0%
Unobligated Balance Available Start of Year	0.88	0.69		-0.69	
Unobligated Balance Available End of Year	-0.69				
Adjustments to Prior Year Accounts ²	0.83				
Subtotal, MREFC	168.08	168.77	210.12	41.35	24.5%
Transferred to/from Other Funds ³	30.00	-	-	-	
Total Budgetary Resources	\$198.08	\$168.77	\$210.12	\$41.35	24.5%
AGENCY OPERATIONS AND AWARD MANAGEMENT					
Appropriation	\$299.40	\$301.23	\$304.29	\$3.06	1.0%
Unobligated Balance - Expired	-0.10				
Total Budgetary Resources	\$299.30	\$301.23	\$304.29	\$3.06	1.0%

Totals may not add due to rounding.

¹A full-year 2013 appropriation was not enacted at the time the budget was prepared. Therefore these accounts were operating under a continuing resolution (P.L. 112-175). The amounts shown for FY 2013 are placeholders and reflect an annualization of P.L. 112-175 at the account level.

²Adjustments include upward and downward adjustments to prior year obligations.

³In FY 2014, the Administration proposes to transfer \$5.0 million from the Department of Justice to the National Science Foundation for a forensic science grant program to establish forensic science research centers. In FY 2012, NSF transferred \$30.0 million from Research and Related Activities to Major Research Equipment and Facility Construction, per P.L. 112-55.

Technical Information

Summary of FY 2014 Budgetary Resources by Account

(Dollars in Millions)

	FY 2012 Actual	FY 2012 Enacted/ Annualized FY 2013 CR ¹	FY 2014 Request	Change Over FY 2013 Annualized Amount	CR Percent
NATIONAL SCIENCE BOARD					
Appropriation	\$4.44	\$4.47	\$4.47	\$0.00	0.0%
Unobligated Balance - Expired	-0.07				
Total Budgetary Resources	\$4.37	\$4.47	\$4.47	-	-
OFFICE OF INSPECTOR GENERAL					
Appropriation	\$14.20	\$14.29	\$14.32	\$0.03	0.2%
Unobligated Balance Available Start of Year - ARRA	1.84	1.15		-1.15	
Unobligated Balance - Expired	-0.07				
Unobligated Balance Available End of Year - ARRA	-1.15				
Total Budgetary Resources	\$14.82	\$15.44	\$14.32	-\$1.12	-7.3%
TOTAL DISCRETIONARY, NATIONAL SCIENCE FOUNDATION					
	\$7,105.41	\$7,101.53	\$7,630.78	\$529.25	7.5%
EDUCATION AND HUMAN RESOURCES, H-1B					
Appropriation, Mandatory (H1-B Non-Immigrant Petitioner Fees)	\$128.99	\$100.00	\$100.00	\$0.00	0.0%
Unobligated Balance Available Start of Year	60.93	99.31	75.00	-24.31	
Unobligated Balance Available End of Year ²	-99.31	-75.00			
Adjustments to Prior Year Accounts ³	3.55				
Total Budgetary Resources	\$94.16	\$124.31	\$175.00	\$50.69	40.8%
DONATIONS					
Mandatory Programs (Special or Trust Fund)	\$47.24	\$25.00	\$25.00	\$0.00	0.0%
Unobligated Balance Available Start of Year	52.34	42.13		-42.13	
Unobligated Balance Available End of Year	-42.13				
Adjustments to Prior Year Accounts ³	0.07				
Total Budgetary Resources	\$57.52	\$67.13	\$25.00	-\$42.13	-62.8%
TOTAL, NATIONAL SCIENCE FOUNDATION					
	\$7,257.09	\$7,292.97	\$7,830.78	\$579.94	8.0%

Totals may not add due to rounding.

¹A full-year 2013 appropriation was not enacted at the time the budget was prepared. Therefore these accounts were operating under a continuing resolution (P.L. 112-175). The amounts shown for FY 2013 are placeholders and reflect an annualization of P.L. 112-175 at the account level.

²In FY 2013 the unobligated balance available at the fiscal year end is estimated to be approximately \$75.0 million which will carry over into FY 2014.

³Adjustments include upward and downward adjustments to prior year obligations.

FY 2014 NSF Budget Request to Congress

NSF FY 2014 Funding by Program
(Dollars in Millions)

PROGRAM	FY 2012 Actual	FY 2012 Enacted/ Annualized FY 2013 CR ¹	FY 2014 Request	Change Over FY 2012 Enacted Amount	Percent
BIOLOGICAL SCIENCES					
MOLECULAR AND CELLULAR BIOSCIENCES	\$125.63	\$125.79	\$136.39	\$10.60	8.4%
INTEGRATIVE ORGANISMAL SYSTEMS	212.43	212.33	225.37	13.04	6.1%
ENVIRONMENTAL BIOLOGY	142.55	142.56	148.97	6.41	4.5%
BIOLOGICAL INFRASTRUCTURE	126.46	126.18	133.65	7.47	5.9%
EMERGING FRONTIERS	105.22	105.52	116.20	10.68	10.1%
Total, BIO	\$712.28	\$712.38	\$760.58	\$48.20	6.8%
COMPUTER AND INFORMATION SCIENCE AND ENGINEERING					
ADVANCED CYBERINFRASTRUCTURE	\$283.84	\$211.64	\$221.35	\$9.71	4.6%
COMPUTING & COMMUNICATION FOUNDATIONS	179.03	179.13	200.46	21.33	11.9%
COMPUTER & NETWORK SYSTEMS	212.36	212.50	238.87	26.37	12.4%
INFORMATION & INTELLIGENT SYSTEMS	176.58	176.50	200.42	23.92	13.6%
INFORMATION TECHNOLOGY RESEARCH	85.35	85.46	89.15	3.69	4.3%
Total, CISE	\$937.16	\$865.23	\$950.25	\$85.02	9.8%
ENGINEERING					
CHEMICAL, BIOENGINEERING, ENVIRONMENTAL & TRANSPORT SYSTEMS	\$171.51	\$171.45	\$185.30	\$13.85	8.1%
CIVIL, MECHANICAL & MANUFACTURING INNOVATION	203.59	203.58	224.02	20.44	10.0%
ELECTRICAL, COMMUNICATIONS & CYBER SYSTEMS	106.74	106.73	117.90	11.17	10.5%
INDUSTRIAL INNOVATION & PARTNERSHIPS SBIR/STTR	187.79 [146.86]	193.41 [152.76]	225.45 [177.15]	32.04 [24.39]	16.6% [16.0%]
ENGINEERING EDUCATION & CENTERS	123.93	120.00	126.25	6.25	5.2%
EMERGING FRONTIERS IN RESEARCH & INNOVATION	30.99	31.00	32.20	1.20	3.9%
Total, ENG	\$824.55	\$826.17	\$911.12	\$84.95	10.3%

¹A full-year 2013 appropriation was not enacted at the time the budget was prepared. Therefore these accounts were operating under a continuing resolution (P.L. 112-175). The amounts shown for FY 2013 are placeholders based on the FY 2012 Current Plan. The annualization of P.L. 112-175 is reflected in the adjustment at the account level.

Technical Information

NSF FY 2014 Funding by Program

(Dollars in Millions)

PROGRAM	FY 2012 Actual	FY 2012 Enacted/ Annualized FY 2013 CR ¹	FY 2014 Request	Change Over FY 2012 Enacted	
				Amount	Percent
GEOSCIENCES					
ATMOSPHERIC & GEOSPACE SCIENCES	\$258.65	\$258.66	\$266.61	\$7.95	3.1%
EARTH SCIENCES	183.43	183.50	191.20	7.70	4.2%
INTEGRATIVE & COLLABORATIVE EDUCATION AND RESEARCH	91.30	91.21	93.71	2.50	2.7%
OCEAN SCIENCES	351.79	351.90	377.44	25.54	7.3%
POLAR PROGRAMS [U.S. Antarctic Logistical Support]	436.20 [67.52]	435.87 [67.52]	464.90 [67.52]	29.03 -	6.7% -
Total, GEO	\$1,321.37	\$1,321.14	\$1,393.86	\$72.72	5.5%
MATHEMATICAL AND PHYSICAL SCIENCES					
ASTRONOMICAL SCIENCES	\$234.72	\$234.55	\$243.64	\$9.09	3.9%
CHEMISTRY	234.03	234.06	253.65	19.59	8.4%
MATERIALS RESEARCH	294.40	294.55	314.63	20.08	6.8%
MATHEMATICAL SCIENCES	237.72	237.77	244.54	6.77	2.8%
PHYSICS	277.44	277.37	289.02	11.65	4.2%
MULTIDISCIPLINARY ACTIVITIES	30.37	30.64	40.64	10.00	32.6%
Total, MPS	\$1,308.70	\$1,308.94	\$1,386.12	\$77.18	5.9%
SOCIAL, BEHAVIORAL AND ECONOMIC SCIENCES					
SOCIAL AND ECONOMIC SCIENCES	\$97.26	\$97.18	\$102.51	\$5.33	5.5%
BEHAVIORAL AND COGNITIVE SCIENCES	92.47	92.69	97.43	4.74	5.1%
MULTIDISCIPLINARY ACTIVITIES	28.22	28.23	30.65	2.42	8.6%
NATIONAL CENTER FOR SCIENCE AND ENGINEERING STATISTICS	36.23	36.15	41.76	5.61	15.5%
Total, SBE	\$254.19	\$254.25	\$272.35	\$18.10	7.1%

¹A full-year 2013 appropriation was not enacted at the time the budget was prepared. Therefore these accounts were operating under a continuing resolution (P.L. 112-175). The amounts shown for FY 2013 are placeholders based on the FY 2012 Current Plan. The annualization of P.L. 112-175 is reflected in the adjustment at the account level.

FY 2014 NSF Budget Request to Congress

NSF FY 2014 Funding by Program

(Dollars in Millions)

PROGRAM	FY 2012 Actual	FY 2012 Enacted/ Annualized FY 2013 CR ¹	FY 2014 Request	Change Over FY 2012 Enacted Amount	Percent
INTERNATIONAL AND INTEGRATIVE ACTIVITIES					
EXPERIMENTAL PROGRAM TO STIMULATE COMPETITIVE RESEARCH (EPSCoR)	\$150.85	\$150.90	\$163.58	\$12.68	8.4%
INTEGRATIVE ACTIVITIES MAJOR RESEARCH INSTRUMENTATION (MRI)	197.80 [90.00]	198.69 [90.00]	321.16 [90.00]	122.47 -	61.6% -
INTERNATIONAL SCIENCE AND ENGINEERING	49.95	49.85	51.88	2.03	4.1%
Total, IIA	\$398.60	\$399.44	\$536.62	\$137.18	34.3%
U.S. ARCTIC RESEARCH COMMISSION					
	\$1.45	\$1.45	\$1.40	-\$0.05	-3.8%
Total, RESEARCH AND RELATED ACTIVITIES	\$5,758.30	\$5,689.00	\$6,212.29	\$493.29	8.6%
FY 2013 Adjustment ²		65.00			
Total, RESEARCH AND RELATED ACTIVITIES	\$5,758.30	\$5,754.00	\$6,212.29		
EDUCATION AND HUMAN RESOURCES					
RESEARCH ON LEARNING IN FORMAL AND INFORMAL SETTINGS	\$273.23	\$272.43	\$277.87	\$5.44	2.0%
UNDERGRADUATE EDUCATION	190.54	190.65	226.97	36.32	19.1%
GRADUATE EDUCATION	237.37	236.29	245.15	8.86	3.7%
HUMAN RESOURCE DEVELOPMENT	129.41	129.63	130.30	0.67	0.5%
Total, EDUCATION AND HUMAN RESOURCES	\$830.54	\$829.00	\$880.29	\$51.29	6.2%
FY 2013 Adjustment ³		5.07			
Total, EDUCATION AND HUMAN RESOURCES^{4,5}	\$830.54	\$834.07	\$880.29		

¹A full-year 2013 appropriation was not enacted at the time the budget was prepared. Therefore these accounts were operating under a continuing resolution (P.L. 112-175). The amounts shown for FY 2013 are placeholders based on the FY 2012 Current Plan. The annualization of P.L. 112-175 is reflected in the adjustment at the account level.

²This budget line is included to adjust for two items specific to the FY 2013 continuing resolution: first is \$35.0 million for the 0.612 percent increase provided by the continuing resolution; second is an adjustment for the \$30.0 million transfer executed in FY 2012 from the Research and Related Activities account to the Major Research Equipment and Facility Construction account that is not included in the FY 2013 continuing resolution calculation.

³This budget line is included to adjust for an item specific to the FY 2013 continuing resolution: \$5.07 million for the 0.612 percent increase provided by the continuing resolution.

⁴Excludes \$94.16 million in obligations in FY 2012 and an estimated \$100.0 million in receipts from H-1B Nonimmigrant Petitioner Fees in FY 2013 and FY 2014.

⁵Beginning in FY 2014, EHR proposes to move three programs across EHR divisions. Cybercorps: Scholarships for Service (SfS) program moves into the Division of Graduate Education from the Division of Undergraduate Education. Project and Program Evaluation (PPE) and Integrated NSF Support Promoting Interdisciplinary Research and Education (INSPIRE) move from Division of Research on Learning to the Division of Graduate Education.

Technical Information

NSF FY 2014 Funding by Program

(Dollars in Millions)

PROGRAM	FY 2012 Actual	FY 2012 Enacted/ Annualized FY 2013 CR ¹	FY 2014 Request	Change Over	
				FY 2012 Enacted Amount	Percent
MAJOR RESEARCH EQUIPMENT AND FACILITIES CONSTRUCTION	\$198.08	\$197.06	\$210.12	\$43.07	25.8%
FY 2013 Adjustment ⁶		-28.98			
Total, MAJOR RESEARCH EQUIPMENT AND FACILITIES CONSTRUCTION	\$198.08	\$168.08	\$210.12		
AGENCY OPERATIONS AND AWARD MANAGEMENT	\$299.30	\$299.40	\$304.29	\$4.89	1.6%
FY 2013 Adjustment ⁷		1.83			
Total, AGENCY OPERATIONS AND AWARD MANAGEMENT	\$299.30	\$301.23	\$304.29		
NATIONAL SCIENCE BOARD	\$4.37	\$4.44	\$4.47	\$0.03	0.7%
FY 2013 Adjustment ⁸		0.03			
Total, NATIONAL SCIENCE BOARD	\$4.37	\$4.47	\$4.47		
OFFICE OF INSPECTOR GENERAL FY 2009 ARRA FUNDS	\$14.12 0.70	\$14.20	\$14.32	\$0.12	0.8%
FY 2013 Adjustment ⁹		0.09			
Total, OFFICE OF INSPECTOR GENERAL	\$14.82	\$14.29	\$14.32		
NATIONAL SCIENCE FOUNDATION	\$7,105.41	\$7,076.14	\$7,625.78	\$592.69	8.4%

Totals may not add due to rounding.

¹A full-year 2013 appropriation was not enacted at the time the budget was prepared. Therefore these accounts were operating under a continuing resolution (P.L. 112-175). The amounts shown for FY 2013 are placeholders based on the FY 2012 Current Plan. The annualization of P.L. 112-175 is reflected in the adjustment at the account level.

⁶This budget line is included to adjust for two items specific to the FY 2013 continuing resolution: first is \$1.02 million for the 0.612 percent increase provided by the continuing resolution; second is an adjustment for the \$30.0 million transfer executed in FY 2012 from the Research and Related Activities account to the Major Research Equipment and Facility Construction account that is not included in the FY 2013 continuing resolution calculation.

⁷This budget line is included to adjust for an item specific to the FY 2013 continuing resolution: \$1.83 million for the 0.612 percent increase provided by the continuing resolution.

⁸This budget line is included to adjust for an item specific to the FY 2013 continuing resolution: \$0.03 million for the 0.612 percent increase provided by the continuing resolution.

⁹This budget line is included to adjust for an item specific to the FY 2013 continuing resolution: \$0.09 million for the 0.612 percent increase provided by the continuing resolution.

OBJECT CLASSIFICATION

NSF Consolidated Obligations

(Dollars in Millions)

Object Class Code	Standard Title	FY 2012 Actual	FY 2012 Enacted/	FY 2014 Request
			Annualized FY 2013 CR ¹	
11.1	Full-time permanent	\$154	\$157	\$161
11.3	Other than full-time permanent	13	13	14
11.5	Other personnel compensation	2	2	2
11.8	Special personal service payment	-	1	1
	Total personnel compensation	169	173	178
12.1	Civilian personnel benefits	45	45	46
21.0	Travel and transportation of persons	27	27	27
23.1	Rental payments	26	27	31
23.3	Communications, utilities, and miscellaneous charges	3	2	2
24.0	Printing and Reproduction	-	-	-
25.1	Advisory and assistance services	170	171	159
25.2	Other services	22	21	20
25.3	Purchases of goods and services from Government accounts	46	41	45
25.4	Operation and maintenance of facilities	370	371	359
25.5	Research and development contracts	7	7	7
26.0	Supplies and materials	6	6	6
31.0	Equipment	3	5	3
32.0	Land and Structures	-	-	-
41.0	Grants, subsidies, and contributions	6,363	6,460	6,871
	Total, Direct obligations ²	\$7,257	\$7,356	\$7,754

Totals may not add due to rounding.

¹A full-year 2013 appropriation was not enacted at the time the budget was prepared. Therefore this account was operating under a continuing resolution (P.L. 112-175). The amounts shown for FY 2013 are placeholders and reflect an annualization of P.L. 112-175 at the account level.

²Includes mandatory obligations, but excludes obligations for reimbursable accounts.

NSF 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 2012 Actual
DEFENSE	
<i>Air Force</i>	\$13.9
<i>Army</i>	\$6.7
<i>Other DoD (DARPA, NSA & Intelligence)</i>	\$15.6
Subtotal, DoD	\$36.2
Agriculture	\$0.5
Commerce (Including Census, NOAA, & NIST)	\$10.4
Education	\$0.4
Energy	\$8.4
Environmental Protection Agency	\$1.7
Health & Human Services	\$22.1
Homeland Security	\$1.2
NASA	\$12.6
National Archives	\$0.5
State	\$0.5
Transportation	\$5.2
OTHER (less than \$500,000)	\$1.0
TOTAL REIMBURSEMENTS	\$100.8

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 2012, the largest portion of NSF's reimbursable activity came from joint activities with the Department of Defense (35.9 percent), the Department of Health and Human Services (21.9 percent), National Aeronautics and Space Administration (12.5 percent), Department of Commerce (including Census, National Oceanic and Atmospheric Administration, and National Institute of Standards and Technology) (10.3 percent), the Department of Energy (8.3 percent), the Department of Transportation (5.2 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 2012
<u>Statutory Pay Systems</u>	<u>Actual</u>
<u>Appointments</u>	
ES	74
AD	339
GS/GM-15	85
GS/GM-14	157
GS/GM-13	141
GS-12	114
GS-11	85
GS-10	11
GS-9	69
GL-9	1
GS-8	27
GS-7	72
GS-6	5
GS-5	7
GS-4	-
Subtotal, GS/GM	774
Total, Permanent Appointments	1,187
Average Salary	\$117,391

All data are for permanent appointments.

EXPLANATION OF FY 2012 CARRYOVER INTO FY 2013 BY ACCOUNT

The National Science Foundation's (NSF) total unobligated balance of \$166.83 million from the FY 2012 Discretionary and Mandatory accounts consist of amounts described below.

DISCRETIONARY

Within the **Research and Related Activities (R&RA)** account, NSF carried over \$14.81 million into FY 2013. Obligation of these funds is expected by the end of the third quarter of FY 2013.

- Office of Polar Programs (OPP): OPP carried over \$6.04 million of no-year funds that were recovered from several awards and contracts from prior years.
- Directorate for Engineering (ENG): ENG carried over \$6.0 million of Small Business Innovation Research and Small Business Technology Transfer (SBIR/STTR) FY 2012 funds into FY 2013.
- Office of Integrative Activities (OIA): OIA carried over \$890,000 in the Science and Technology Centers (STCs) line to support the STC Summary Panel and the five strategic planning workshops related to the new STC centers cohort in FY 2013.
- National Coordination Office/Networking and Information Technology Research and Development (NCO/NITRD): NCO/NITRD carried over \$120,000 of operational funds to continue government procurements and operations.
- The remaining \$1.76 million was recovered from several awards and contracts from various programs throughout NSF that were not ready for obligation in FY 2012.

Within the **Education and Human Resources (EHR)** account, NSF carried over \$960,000 (2-year: \$330,000 and no-year: \$630,000) into FY 2013 for awards and contracts that were not ready for obligation in FY 2012. Obligation of these funds is expected by the end of the third quarter of FY 2013.

Within the **Major Research Equipment and Facilities Construction (MREFC)** account, \$690,000 was carried over into FY 2013; however, the obligation of these no-year funds may be spread over several years.

- NSF carried over \$510,000 for the Atacama Large Millimeter Array (ALMA) into FY 2013. The FY 2012 appropriation provided \$3.0 million for ALMA construction, which represents the final amount necessary to complete funding for the 11-year project, totaling \$499.26 million. The remaining \$510,000 in FY 2012 MREFC will be obligated in FY 2013 to complete construction.
- NSF carried over \$180,000 for South Pole Station Modernization (SPSM) for closing-out costs.

AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (ARRA)

Within the **Office of Inspector General ARRA** account, \$1.15 million was carried over from FY 2012 into FY 2013. These multi-year funds are intended explicitly for ARRA oversight. These funds were obligated during the first quarter of FY 2013.

INCOMING INTERAGENCY REIMBURSABLE AGREEMENTS

- R&RA: Incoming two-year interagency funds were carried over into FY 2013 in the amount of \$3.57 million. Obligation of these funds is expected by the end of the third quarter of FY 2013.
- EHR: Incoming two-year interagency funds were carried over into FY 2013 in the amount of \$4.21 million. Obligation of these funds is expected by the end of the third quarter of FY 2013.

MANDATORY

Within the **H-1B Nonimmigrant Petitioner** account, \$99.31 million was carried over into FY 2013, which consists of \$19.31 million in Innovative Technology Experiences for Students and Teachers (ITEST) and \$80.0 million in NSF Scholarship in Science, Technology, Engineering, and Mathematics (S-STEM) and includes \$69.61 million in third quarter H-1B receipts (received in August 2012) and \$18.88 million in fourth quarter receipts (received in November 2012). Since NSF receives the largest quarterly payment of H-1B visa fees in August, there is insufficient time to obligate the receipts on awards before the end of the fiscal year. These resources will allow both ITEST and S-STEM to support awards through the third quarter of FY 2013.

Within the **Donations** account, \$42.13 million was carried over into FY 2013. Donations were received from foreign governments, organizations, and individuals to fund various cooperative efforts in science, research, and education.

**Discretionary and Mandatory Accounts
Distribution of FY 2012 Carryover into FY 2013**
(Dollars in Millions)

	Discretionary and Mandatory Accounts	Incoming Interagency Reimbursables	Total FY 2013 Carryover from FY 2012
Discretionary Accounts			
Research and Related Activities	\$14.81	\$3.57	\$18.38
Education and Human Resources	0.96	4.21	5.17
Major Research Equipment and Facilities Construction	0.69	-	0.69
Office of Inspector General (ARRA)	1.15	-	1.15
Subtotal	17.61	7.78	25.39
Mandatory Accounts			
H-1B Non-Immigrant Petitioner	99.31	-	99.31
Donations (Special or Trust Fund)	42.13	-	42.13
Subtotal	141.44	-	141.44
TOTAL	\$159.05	\$7.78	\$166.83

Totals may not add due to rounding.

PHYSICIANS' COMPARABILITY ALLOWANCE (PCA) WORKSHEET

Department: National Science Foundation

Table 1

		PY 2012 (Actual)	CY 2013 (Estimates)	BY 2014* (Estimates)
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	\$22,000	\$22,500
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.

- 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 October 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

November 5, 2012

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 2013 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, 2013.

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 "Paul Shawcross".

Paul Shawcross
Acting Deputy Associate Director
Energy, Science, and Water Division
Office of Management and Budget