

V. APPENDICES



DESCRIPTION OF NSF DIRECTORATES AND MANAGEMENT OFFICES

The **Directorate for Biological Sciences (BIO)** supports research programs ranging from the study of the structure and dynamics of biological molecules, such as proteins and nucleic acids, through cells, organs and organisms, to studies of populations and ecosystems. It encompasses processes that are internal to the organism as well as those that are external, and includes temporal frameworks ranging from measurements in real time through individual life spans, to the full scope of evolutionary times. Among the research programs BIO supports is fundamental academic research on biodiversity, environmental biology, and plant biology, including providing leadership for the Multinational Coordinated *Arabidopsis* Genome Project.

The **Directorate for Computer and Information Sciences and Engineering (CISE)** supports research on the theory and foundations of computing, system software and computer system design, human-computer interaction, as well as prototyping, testing and development of cutting-edge computing and communications systems to address complex research problems. CISE also provides the advanced computing and networking capabilities needed by academic researchers for cutting-edge research in all science and engineering fields.

The **Directorate for Education and Human Resources (EHR)** supports a cohesive and comprehensive set of activities that encompass every level of education and every region of the country. EHR promotes public science literacy and plays a major role in the Foundation's long-standing commitment to developing our nation's human resources for the science and engineering workforce of the future. Focus is given to programs that encourage the participation and achievement of groups underrepresented in science and engineering. NSF-supported education and training programs cover a broad spectrum -- from supporting students and teachers to creating new ways of teaching and learning to assisting school districts and other systems forge greater gains in learning.

The **Directorate for Engineering (ENG)** supports research and education activities that spur new technological innovations and create new products and services and more productive enterprises. ENG also makes critical investments in facilities, networks and people to assure diversity and quality in the nation's infrastructure for engineering education and research.

The **Directorate for Geosciences (GEO)** supports research in the atmospheric, Earth and ocean sciences. Basic research in the Geosciences advances our scientific knowledge of the Earth and advances our ability to predict natural phenomena of economic and human significance, such as climate change, weather, earthquakes, fish-stock fluctuations, and disruptive events in the solar-terrestrial environment. GEO also supports the operation of national user facilities.

The **Directorate for Mathematical and Physical Sciences (MPS)** supports research and education in astronomical sciences, chemistry, materials research, mathematical sciences and physics. Major equipment and instrumentation such as telescopes and particle accelerators are provided to support the needs of individual investigators. MPS also supports state-of-the-art facilities that enable research at the cutting edge of science and research opportunities in totally new directions.

The **Directorate for Social, Behavioral and Economic Sciences (SBE)** supports research to build fundamental scientific knowledge about human behavior, interaction, and social and economic systems, organizations and institutions. SBE also facilitates NSF's international activities by promoting partnerships between U.S. and foreign researchers, enhancing access to critical research conducted outside the U.S. and increasing knowledge of mutually beneficial research opportunities abroad. To improve understanding of the science and engineering enterprise, SBE also supports science resources studies that are the nation's primary source of data on the science and engineering enterprise.

The **Office of Polar Programs (OPP)**, which includes the U.S. Polar Research Programs and U.S. Antarctic Logistical Support Activities, supports multidisciplinary research in Arctic and Antarctic regions. These

geographic frontiers—premier natural laboratories—are the areas predicted to be the first affected by global change. They are vital to understanding past, present, and future responses of Earth systems to natural and man-made changes. Polar Programs support provides unique research opportunities ranging from studies of the Earth ice and oceans to research in atmospheric sciences and astronomy.

The **Office of Budget, Finance and Award Management (BFA)** is headed by the Chief Financial Officer who has responsibility for budget, financial management, grants administration and procurement operations and related policy. Budget responsibilities include the development of the Foundation’s annual budget, long range planning and budget operations and control. BFA’s financial, grants and other administrative management systems ensure that the Foundation’s resources are well managed and that efficient, streamlined business and management practices are in place. NSF has been acknowledged as a leader in the federal research administration community, especially in its pursuit of a paperless environment that provides more timely, efficient awards administration.

The **Office of Information and Resource Management (OIRM)** provides information systems, human resource management, and general administrative and logistic support functions to the NSF community of scientists, engineers, and educators as well as to the general public. OIRM is responsible for supporting staffing and personnel service requirements for staff members including visiting scientists; NSF’s physical infrastructure; dissemination of information about NSF programs to the external community; and administration of NSF’s sophisticated technological infrastructure, providing the hardware, software and support systems necessary to manage the Foundation’s grant-making process and to maintain advance financial and accounting systems.

**National Science Foundation
President's Management Agenda Scorecard
Baseline Results as of September 30, 2001**

Initiative	Current Status
<p>Human Capital: NSF received a red because its agency human capital strategy is not integrated into its budget and strategic plans and the agency does not implement succession plans. NSF does use staffing flexibilities well, such as that provided for in the Intergovernmental Personnel Act. NSF is moving expeditiously to develop a Training Academy and to conduct an Organizational Assessment Survey. The agency also will initiate a significant workforce analysis in 2002. The Foundation is developing a five-year administration and management strategic plan to lay out how it plans to address its workforce issues in the coming years.</p>	RED
<p>Competitive Sourcing: NSF has not launched a viable competitive sourcing initiative. In its 2000 analysis of workforce activities, NSF identified 533 positions as performing commercial functions. NSF has not decided if it will compete any positions at this time. The agency wants to wait until it gets results from its upcoming workforce analysis before it makes a decision on competing positions. At that rate it will be difficult for the agency to meet 2003 competition goals. NSF must develop and submit a competitive sourcing plan to meet near-term goals.</p>	RED
<p>Financial Management: NSF is a leader in financial management and has met all core criteria for a green rating for financial management. NSF's financial management systems meet federal financial management system requirements and it has received unqualified and timely audit opinions on its annual financial statements. NSF expects to maintain this position.</p>	GREEN
<p>E-Government: NSF meets most, but not all, of the standard core criteria for expanding E-Government. All major information technology projects provided sufficient business cases. However, NSF's Government Information Security Reform Act report reflects deficiencies in a number of important areas of security. These concerns include failure to implement information and risk of disruption of essential services. NSF has submitted its corrective action plans and will be reallocating 2002 funds to quickly correct identified problems.</p>	YELLOW
<p>Budget/Performance Integration: NSF's budget does not tie resources to results, provides limited focus on outcomes, and does not charge the full budgetary cost to individual activities. There are inherent difficulties in integrating the budget with performance, given the long-term nature of research in which results may not occur for ten years or more. Nonetheless, NSF could do more. In spring 2002, OMB and the White House office of Science and Technology Policy will work with major research agencies to develop criteria for evaluating basic research during the formulation of the 2004 budget.</p>	RED

KEY:

- Green indicates agency as met all core criteria for that initiative.
- Yellow indicates agency achievement of some but not all of OB's core criteria for the initiative and agency has no red conditions.
- Red indicates that at least one of the conditions identified by OMB for that initiative is in need of correction.

For a more detailed discussion of the President's Management Agenda, see the Budget of the United States Government, FY 2003.

HOW RESEARCH RESULTS ARE ASSESSED

NSF's Strategic Outcome Goals address how NSF investments have led to results important to the broad mission of the agency. These outcome goals do not lend themselves to quantitative reporting, therefore NSF has developed an alternative format--a qualitative scale that allows NSF to report whether or not the agency has been successful in achieving its outcome goals. Also, because many research results appear long after an investment is made, in some cases ten years or more, this assessment report of NSF's program performance is retrospective. That is, the outcome results reported in FY 2001 are from investments made prior to FY 2001. The results of the investments made in FY 2001 will not begin to be reported until beyond FY 2001.

In FY 2001, NSF's Strategic Outcome Goals of Ideas and Tools are expressed in a non-quantitative, qualitative form, each critical to ensure the progress of science. The results reported for the year are collected, tabulated and summarized by aggregating many individual reports prepared by committees of external experts assessing individual programs or clusters of programs throughout the fiscal year. The assessment is retrospective, covering a subset of one-third of NSF's programs that represent activities spanning the entire agency and covering a period of three years or more.

The Strategic Outcome Goal of People includes three performance indicators, of which two are quantitative measures.

The Assessment of Research Results: Committees of external experts are carefully selected to provide NSF with an objective, independent assessment of program results. These committees, known as Committees of Visitors (COVs) and Advisory Committees (ACs), assess approximately one-third of NSF's programs each year. In FY 2001, they were asked to evaluate the progress made by the programs in achieving each of NSF's outcome goals as well as the decision process leading to awards.

Programs are evaluated on a three-year cycle, thus for FY 2001, the years 1998, 1999 and 2000 were most likely to be the years reviewed by the COVs. This process means that each year a different subset of NSF's programs is evaluated by a different group of experts. Hence, in FY 2000, evaluators assessed one-third of NSF's programs and in FY 2001, evaluators assessed a different one-third subset of NSF's programs.

In addition to the programmatic assessments conducted by the COVs and ACs each year, there are program evaluations carried out by independent contractors to address specific issues. These program evaluations provide important information that enables NSF program staff to make better decisions about how to best invest NSF resources. These programmatic assessments do not directly address NSF's GPRA goals.

FY 2001 RESULTS OF NSF'S STRATEGIC OUTCOME GOALS

Strategic Outcome	FY 2001 Annual Performance Goal	Results for National Science Foundation
<p>People Strategic Outcome</p> <p>Outcome Goal: Development of "a diverse, internationally competitive and globally-engaged workforce of scientists, engineers, and well-prepared citizens."</p>	<p><u>Performance Goal:</u> NSF is successful when, in the aggregate, results reported in the period demonstrate significant achievement in one or more of the following indicators:</p> <ul style="list-style-type: none"> • Improved mathematics, science, and technology skills for U.S. students at the K-12 level, and for citizens of all ages, so that they can be competitive in a technological society. • A science and technology and instructional workforce that reflects America's diversity. • Globally engaged science and engineering professionals who are among the best in the world. • A public that is provided access to the benefits of science and engineering research and education. <p><u>FY 2001 Result:</u> Reports prepared by external experts during FY 2001 GPRA reporting provide assessments and retrospective examples of NSF-supported projects that document significant achievement. *A number of these assessments were emphatic that NSF must continue and increase its efforts related to diversity.</p>	<p>New goal in FY 2001</p> <p>FY 2001: NSF is successful.</p> <ul style="list-style-type: none"> • Demonstrated significant achievement • Demonstrated significant achievement* • Demonstrated significant achievement • Demonstrated significant achievement
	<p><u>Performance Goal:</u> Over 80 % of schools participating in systemic initiative programs will, after three years of NSF support: (1) implement a standard-based curriculum in science and mathematics; (2) further professional development of the instructional workforce; and (3) improve student achievement on a selected battery of tests.</p> <p><u>FY 2001 Result:**</u> The curriculum, instructional workforce, and improved achievement in science components of the goal were successful. However, less than 80% of schools met the goal of improved student achievement in mathematics.</p> <p>In FY 2002, appropriate technical assistance will be provided to schools not meeting the goal.</p>	<p>FY 1999: NSF successful</p> <p>FY 2000: NSF successful</p> <p>FY 2001: NSF is not successful. **</p>
	<p><u>Performance Goal:</u> Through systemic initiatives and related teacher enhancement programs, NSF will provide intensive professional development experiences for at least 65,000 pre-college teachers.</p> <p><u>FY 2001 Result:</u> In school year 1999-2000, EHR awards provided intensive professional development (60 hours or more) to a total of 79,000 teachers, exceeding substantially the GPRA goal of 65,000.</p>	<p>FY 1999: NSF successful</p> <p>FY 2000: NSF successful</p> <p>FY 2001: NSF is successful.</p>

FY 2001 RESULTS OF NSF'S STRATEGIC OUTCOME GOALS (continued)

Strategic Outcome	FY 2001 Annual Performance Goal	Results for National Science Foundation
<p>Ideas Strategic Outcome:</p> <p>Outcome Goal: Enabling “discovery across the frontier of science and engineering, connected to learning, innovation and service to society.”</p>	<p><u>Performance Goal:</u></p> <p>NSF is successful when, in the aggregate, results reported in the period demonstrate significant achievement in one or more of the following indicators:</p> <ul style="list-style-type: none"> • A robust and growing fundamental knowledge base that enhances progress in all science and engineering areas including the science of learning. • Discoveries that advance the frontiers of science, engineering and technology. • Partnerships connecting discovery to innovation, learning, and societal advancement. • Research and education processes that are synergistic. <p><u>FY 2001 Result:</u> Reports prepared by external experts during FY 2001 GPRA reporting provide assessments and retrospective examples of NSF-supported projects that document significant achievement.</p>	<p>New goal in FY 2001</p> <p>FY 2001: NSF is successful.</p> <ul style="list-style-type: none"> • Demonstrated significant achievement • Demonstrated significant achievement • Demonstrated significant achievement • Demonstrated significant achievement
<p>Tools Strategic Outcome</p> <p>Outcome Goal: Providing “broadly accessible, state-of-the art and shared research and education tools.”</p>	<p><u>Performance Goal:</u></p> <p>NSF is successful when, in the aggregate, results reported in the period demonstrate significant achievement in one or more of the following indicators:</p> <ul style="list-style-type: none"> • Shared use platforms, facilities, instruments, and databases that enable discovery and enhance the productivity and effectiveness of the science and engineering workforce. • Networking and connectivity that take full advantage of the Internet and make SMET information available to all citizens. • Information and policy analyses that contribute to the effective use of science and engineering resources. <p><u>FY 2001 Result:</u> Reports prepared by external experts during FY 2001 GPRA reporting provide assessments and retrospective examples of NSF-supported projects that document significant achievement. *There are very limited contributions and limited involvement of agency programs other than Science Resources Statistics (SRS) in developing information and other materials fundamental to national policy debates.</p>	<p>New goal in FY 2001</p> <p>FY 2001: NSF is successful.</p> <ul style="list-style-type: none"> • Demonstrated significant achievement • Demonstrated significant achievement • Demonstrated significant achievement*

FY 2001 RESULTS OF NSF'S MANAGEMENT GOALS

Performance Area	FY 2001 Annual Performance Goal	Results for National Science Foundation												
NSF Business Practices														
Electronic Proposal Submission	<p><u>Performance Goal:</u> 95% of full proposals will be received electronically through FastLane.</p> <table border="0"> <tr> <td>FY 1998 Baseline</td> <td>17%</td> </tr> <tr> <td>FY 1999 Result</td> <td>44%</td> </tr> <tr> <td>FY 2000 Goal</td> <td>60%</td> </tr> <tr> <td>FY 2000 Result</td> <td>81%</td> </tr> <tr> <td>FY 2001 Goal</td> <td>95%</td> </tr> <tr> <td><u>FY 2001 Result</u></td> <td>99%</td> </tr> </table>	FY 1998 Baseline	17%	FY 1999 Result	44%	FY 2000 Goal	60%	FY 2000 Result	81%	FY 2001 Goal	95%	<u>FY 2001 Result</u>	99%	<p>FY 1999: NSF successful FY 2000: NSF successful FY 2001: NSF is successful.</p>
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FY 1999 Result	44%													
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Electronic Proposal Processing	<p><u>Performance Goal:</u> In FY 2001, NSF will conduct ten pilot paperless projects that manage the competitive review process in an electronic environment.</p> <p><u>FY 2001 Result:</u> Ten pilot paperless projects were completed.</p>	<p>New goal in FY 2001 FY 2001: NSF is successful.</p>												
Video-Conference/Long-Distance Communications	<p><u>Performance Goal:</u> By the end of FY 2001, NSF will increase usage of a broad range of video-conferencing / long distance communications technology by 100 % over the FY 1999 level.</p> <p><u>FY 2001 Result:</u> 142 videoconferences were conducted, an increase of 184 % over the 1999 level.</p>	<p>New goal in FY 2001 FY 2001: NSF is successful.</p>												
NSF Staff														
Diversity	<p><u>Performance Goal:</u> NSF will show an increase over 1997 in the total number of hires to science and engineering positions from underrepresented groups.</p> <p>FY 1997 Baseline: 16 females and 15 members of underrepresented minority groups were hired.</p> <p>FY 2000 Result: 35 females and 19 members of underrepresented minority groups were hired.</p> <p><u>FY 2001 Result:</u> 38 females and 22 members of underrepresented minority groups were hired.</p>	<p>Goal revised in FY 2000 FY 1999: NSF successful for related goal FY 2000: NSF successful FY 2001: NSF is successful.</p>												

FY 2001 RESULTS OF NSF'S MANAGEMENT GOALS (continued)

Performance Area	FY 2001 Annual Performance Goal	Results for National Science Foundation
Work Environment	<p><u>Performance Goal:</u> NSF will establish various baselines that will enable management to better assess the quality of worklife and work environment within the Foundation.</p> <p><u>FY 2001 Result:</u> Development of an employee survey is underway. This survey will provide baseline information on the quality of worklife and work environment at NSF.</p> <p>In FY 2002, the survey will be made available to employees.</p>	<p>New goal in FY 2001</p> <p>FY 2001: NSF is not successful.</p>

FY 2001 RESULTS OF NSF'S INVESTMENT PROCESS GOALS

Performance Area	FY 2001 Annual Performance Goal	Results for National Science Foundation								
Proposal and Award Processes										
Use of Merit Review	<p><u>Performance Goal:</u> At least 85 % of basic and applied research funds will be allocated to projects that undergo merit review. *</p> <table data-bbox="506 657 760 768"> <tr> <td>FY 2000 Goal</td> <td>80%</td> </tr> <tr> <td>FY 2000 Result</td> <td>87%</td> </tr> <tr> <td>FY 2001 Goal</td> <td>85%</td> </tr> <tr> <td><u>FY 2001 Result</u></td> <td>88%</td> </tr> </table> <p><i>*During FY 2000, OMB re-defined what constitutes a merit-reviewed project and established a new target level of 70-90%.</i></p>	FY 2000 Goal	80%	FY 2000 Result	87%	FY 2001 Goal	85%	<u>FY 2001 Result</u>	88%	<p>Goal revised in FY 2000</p> <p>FY 1999: NSF successful for related goal</p> <p>FY 2000: NSF successful</p> <p>FY 2001: NSF is successful.</p>
FY 2000 Goal	80%									
FY 2000 Result	87%									
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<u>FY 2001 Result</u>	88%									
Implementation of Merit Review Criteria – Reviewers	<p><u>Performance Goal:</u> NSF performance in implementation of the merit review criteria is successful when reviewers address the elements of both generic review criteria.</p> <p><u>FY 2001 Result:</u> Program reports prepared by external experts during FY 2001 GPRA reporting provide assessment of implementation of merit review criteria for reviewers. In FY 1998 – FY 2000, reviewers did not consistently address the broader impacts criterion. In FY 2001, NSF added separate review screens to FastLane to enable reviewers to address each merit -review criterion separately. NSF also established an internal task force to examine strategies to improve both proposer and reviewer attention to the broader impacts criterion. A number of FY 2001 reports note that reviewers are making significant progress in utilizing both merit review criteria.</p> <p>In FY 2002, NSF will continue to develop and apply recommendations that focus on strategies that stress the importance of using both criteria. It will also collect and make available examples of broader impacts and develop a plan to disseminate them.</p>	<p>Goal revised in FY 2001.</p> <p>FY 2001: NSF is not successful.</p>								
Implementation of Merit Review Criteria – Program Officers	<p><u>Performance Goal:</u> NSF performance in implementation of the merit review criteria is successful when program officers address the elements of both generic review criteria when making their award decisions.</p> <p><u>FY 2001 Result:</u> Program reports prepared by external experts during FY 2001 GPRA reporting result in an assessment of successful for the foundation in implementation of both merit review criteria for program managers.</p>	<p>Goal revised in FY 2001.</p> <p>FY 2001: NSF is successful.</p>								

FY 2001 RESULTS OF NSF'S INVESTMENT PROCESS GOALS (continued)

Performance Area	FY 2001 Annual Performance Goal	Results for National Science Foundation												
Customer Service: Time to Prepare Proposals	<p><u>Performance Goal:</u> 95 % of program announcements will be available to relevant individuals and organizations at least three months prior to the proposal deadline or target date.</p> <table border="0"> <tr> <td>FY 1998 Baseline</td> <td>66%</td> </tr> <tr> <td>FY 1999 Result</td> <td>75%</td> </tr> <tr> <td>FY 2000 Goal</td> <td>95%</td> </tr> <tr> <td>FY 2000 Result</td> <td>89%</td> </tr> <tr> <td>FY 2001 Goal</td> <td>95%</td> </tr> <tr> <td><u>FY 2001 Result</u></td> <td>100%</td> </tr> </table>	FY 1998 Baseline	66%	FY 1999 Result	75%	FY 2000 Goal	95%	FY 2000 Result	89%	FY 2001 Goal	95%	<u>FY 2001 Result</u>	100%	<p>FY 1999: NSF not successful FY 2000: NSF not successful FY 2001: NSF is successful.</p>
FY 1998 Baseline	66%													
FY 1999 Result	75%													
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<u>FY 2001 Result</u>	100%													
Customer Service: Time to Decision	<p><u>Performance Goal:</u> For 70 % of proposals, be able to tell applicants whether their proposals have been declined or recommended for funding within six months of receipt.</p> <table border="0"> <tr> <td>FY 1998 Baseline</td> <td>59%</td> </tr> <tr> <td>FY 1999 Result</td> <td>58%</td> </tr> <tr> <td>FY 2000 Goal</td> <td>70%</td> </tr> <tr> <td>FY 2000 Result</td> <td>54%</td> </tr> <tr> <td>FY 2001 Goal</td> <td>70%</td> </tr> <tr> <td><u>FY 2001 Result</u></td> <td>62%</td> </tr> </table> <p><u>FY 2001 Result:</u> In FY 2001, 62% of proposals were processed within 6 months of receipt.</p> <p>In FY 2002, NSF will continue to focus on improving the efficiency of proposal processing, including the dissemination of best practices to program staff.</p>	FY 1998 Baseline	59%	FY 1999 Result	58%	FY 2000 Goal	70%	FY 2000 Result	54%	FY 2001 Goal	70%	<u>FY 2001 Result</u>	62%	<p>FY 1999: NSF not successful FY 2000: NSF not successful FY 2001: NSF is not successful.</p>
FY 1998 Baseline	59%													
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<u>FY 2001 Result</u>	62%													
Award Size	<p><u>Performance Goal:</u> NSF will increase the average annualized award size for research projects to \$110,000.</p> <table border="0"> <tr> <td>FY 1998</td> <td>\$90,000</td> </tr> <tr> <td>FY 1999</td> <td>\$94,000</td> </tr> <tr> <td>FY 2000</td> <td>\$105,800</td> </tr> <tr> <td>FY 2001 Goal</td> <td>\$110,000</td> </tr> <tr> <td><u>FY 2001 Result</u></td> <td>\$113,601</td> </tr> </table>	FY 1998	\$90,000	FY 1999	\$94,000	FY 2000	\$105,800	FY 2001 Goal	\$110,000	<u>FY 2001 Result</u>	\$113,601	<p>New goal in FY 2001. FY 2001: NSF is successful.</p>		
FY 1998	\$90,000													
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**RESULTS OF NSF'S INVESTMENT PROCESS GOALS
(continued)**

Performance Area	FY 2001 Annual Performance Goal	Results for National Science Foundation																
Award Duration	<p><u>Performance Goal:</u> NSF will increase the average duration of awards for research projects to at least three years.</p> <table border="0"> <tr> <td>FY 1998 Baseline</td> <td>2.7 years</td> </tr> <tr> <td>FY 1999 Goal</td> <td>2.8 years</td> </tr> <tr> <td>FY 1999 Result</td> <td>2.8 years</td> </tr> <tr> <td>FY 2000 Result</td> <td>2.8 years</td> </tr> <tr> <td>FY 2001 Goal</td> <td>3.0 years</td> </tr> <tr> <td><u>FY 2001 Result</u></td> <td>2.9 years</td> </tr> </table> <p><u>FY 2001 Result:</u> Resource limitations impacted NSF's ability to achieve both the award size and award duration goals. NSF focused its efforts on increasing average annualized award size.</p> <p>In FY 2002, NSF will continue to focus on increasing award size and duration in order to improve the efficiency of the research process.</p>	FY 1998 Baseline	2.7 years	FY 1999 Goal	2.8 years	FY 1999 Result	2.8 years	FY 2000 Result	2.8 years	FY 2001 Goal	3.0 years	<u>FY 2001 Result</u>	2.9 years	<p>FY 1999: NSF successful</p> <p>FY 2000: Not applicable</p> <p>FY 2001: NSF is not successful.</p>				
FY 1998 Baseline	2.7 years																	
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FY 2001 Goal	3.0 years																	
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Maintaining Openness in the System	<p><u>Performance Goal:</u> NSF will award 30 % of its research grants to new investigators.</p> <table border="0"> <tr> <td>FY 1997 Baseline</td> <td>27%</td> </tr> <tr> <td>FY 1998</td> <td>27%</td> </tr> <tr> <td>FY 1999 Goal</td> <td>30%</td> </tr> <tr> <td>FY 1999 Result</td> <td>27%</td> </tr> <tr> <td>FY 2000 Goal</td> <td>30%</td> </tr> <tr> <td>FY 2000 Result</td> <td>28%</td> </tr> <tr> <td>FY 2001 Goal</td> <td>30%</td> </tr> <tr> <td><u>FY 2001 Result</u></td> <td>28%</td> </tr> </table> <p>In FY 2002, NSF will continue its outreach to new investigators to promote awareness of research funding and to encourage new investigators to submit proposals.</p>	FY 1997 Baseline	27%	FY 1998	27%	FY 1999 Goal	30%	FY 1999 Result	27%	FY 2000 Goal	30%	FY 2000 Result	28%	FY 2001 Goal	30%	<u>FY 2001 Result</u>	28%	<p>FY 1999: NSF not successful</p> <p>FY 2000: NSF not successful</p> <p>FY 2001: NSF is not successful.</p>
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FY 2001 RESULTS OF NSF'S INVESTMENT PROCESS GOALS
(continued)

Performance Area	FY 2001 Annual Performance Goal	Results for National Science Foundation
Broadening Participation		
Reviewer Pool	<p><i>Performance Goal:</i> NSF will begin to request voluntary demographic data electronically from all reviewers to determine participation levels of members of underrepresented groups in the NSF reviewer pool.</p> <p><i>FY 2001 Result:</i> The reviewer system in FastLane was revised to gather voluntary demographic data.</p>	<p>New goal in FY 2001.</p> <p>FY 2001: NSF is successful.</p>
Facilities Oversight		
Construction and Upgrade	<p><i>Performance Goal:</i> For 90 % of facilities, keep construction and upgrades within annual expenditure plan, not to exceed 110 % of estimates.</p> <p><i>FY 1999 Result:</i> Majority of facilities within 110 % of annual spending estimates.</p> <p><i>FY 2000 Result:</i> Of the 11 construction and upgrade projects, all were within annual expenditure plans; most were under budget.</p> <p><i>FY 2001 Result:</i> Of 25 construction and upgrade projects, 24 (96 %) were within 110 % of annual expenditure plans.</p>	<p>Goal revised in FY 2001</p> <p>FY 1999: NSF successful for related goal</p> <p>FY 2000: NSF successful</p> <p>FY 2001: NSF is successful.</p>

FY 2001 RESULTS OF NSF'S INVESTMENT PROCESS GOALS
(continued)

Performance Area	FY 2001 Annual Performance Goal	Results for National Science Foundation
Construction and Upgrade	<p><u>Performance Goal:</u> 90% of facilities will meet all annual schedule milestones by the end of the reporting period.</p> <p>FY 1999 Result: Majority of facilities on schedule.</p> <p>FY 2000 Result: Majority (7 of 11) of construction/upgrade projects within the annual schedule goal.</p> <p><u>FY 2001 Result:</u> Of the 25 construction and upgrade projects, 21 (84 %) met all annual schedule milestones by the end of the reporting period.</p> <p>Project delays were caused in part by circumstances beyond the control of the facility, technical problems and personnel issues.</p> <p>In FY 2002, NSF will work with awardees to identify obstacles to successful performance and implement plans to avoid or mitigate their consequences in the future.</p>	<p>Goal revised in FY 2001.</p> <p>FY 1999: NSF successful for related goal</p> <p>FY 2000: NSF not successful for related goal</p> <p>FY 2001: NSF is not successful.</p>
Construction and Upgrade	<p><u>Performance Goal:</u> For all construction and upgrade projects initiated after 1996, keep total cost within 110 % of estimates made at the initiation of construction.</p> <p><u>FY 2001 Result:</u> One project was completed. The actual total cost was equal to the estimated total cost.</p>	<p>FY 1999 and FY 2000: There were no projects completed, therefore this goal did not apply.</p> <p>FY 2001: NSF is successful.</p>
Operations and Management of Facilities	<p><u>Performance Goal:</u> For 90 % of facilities, keep operating time lost due to unscheduled downtime to less than 10 % of the total scheduled operating time.</p> <p>FY 1999 Result: Reporting database under development.</p> <p>FY 2000 Result: Of the 26 reporting facilities, 22 (85%) met the goal of keeping unscheduled downtime to below 10% of the total scheduled operating time.</p> <p><u>FY 2001 Result:</u> Of the 29 reporting facilities, 25 (86 %) met the goal of keeping unscheduled downtime to below 10 % of the total scheduled operating time.</p> <p>Some causes of failure were outside the control of the facility or were related to technical problems.</p> <p>In FY 2002, NSF will continue to work with awardees to identify obstacles to successful performance and develop plans to avoid or mitigate their consequences in the future.</p>	<p>Goal revised in FY 2001.</p> <p>FY 1999: Inconclusive for related goal</p> <p>FY 2000: NSF not successful for related goal</p> <p>FY 2001: NSF is not successful.</p>

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List of Acronyms

AC	Advisory Committee	IPA	Intergovernmental Personnel Act
AGI	<i>Arabidopsis</i> Genome Initiative	IPAY	Integrated Payroll System
AMORE	Arctic Mid-Ocean Ridge Expedition	ITAS	Integrated Time and Attendance System
BFA	Office of Budget, Finance and Award Management	K-12	Kindergarten through Grade 12
BIO	Directorate for Biological Sciences	LTER	Long-term Ecological Research
CAREER	Faculty Career Early Development Program	MCC	Management Controls Committee
CFO	Chief Financial Officer	MPS	Directorate for Mathematical and Physical Sciences
CIO	Chief Information Officer	MRE	Major Research Equipment
CIP	Construction in Progress	MRI	Magnetic Resonance Imaging
CISE	Directorate for Computer and Information Science and Engineering	NAIC	National Astronomy and Ionosphere Center
CMB	Cosmic Microwave Background	NAPA	National Academy of Public Administration
COV	Committee of Visitors	NOAA	National Oceanic and Atmospheric Administration
CSRS	Civil Service Retirement System	NOAO	National Optical Astronomy Observatories
DGA	Division of Grants and Agreements	NRAO	National Radio Astronomy Observatories
DOL	U.S. Department of Labor	NSB	National Science Board
EFT	Electronic Fund Transfer	NSF	National Science Foundation
EHR	Directorate for Education and Human Resources	OIG	Office of Inspector General
ENG	Directorate for Engineering	OIRM	Office of Information and Resource Management
FASAB	Federal Accounting Standards Advisory Board	OMB	White House Office of Management and Budget
FECA	Federal Employees Compensation Act	OPAC	On-line Payment and Collection
FERS	Federal Employees Retirement System	OPM	Office of Personnel Management
FFMIA	Federal Financial Management Improvement Act of 1996	OPP	Office of Polar Programs
FFRDC	Federally Funded Research and Development Centers	PATS	Program Announcement Template
FMFIA	Federal Managers' Financial Integrity Act of 1982	PIT	People, Ideas Tools
FRTIB	Federal Retirement Thrift Investment Board	PP&E	Property, Plant and Equipment
GAO	General Accounting Office	PwC	PricewaterhouseCoopers LLP
GEO	Directorate for Geosciences	R&RA	Research and Related Activities
GPRA	Government Performance and Results Act of 1993	SBE	Directorate for Social, Behavioral and Economic Sciences
GSA	General Services Administration	SBIR	Small Business Innovation Research
HHS	U.S. Department of Health and Human Services	S&E	Salaries and Expenses
H-1B	Nonimmigrant Petitioner Visa	SFFAS	Statement of Federal Financial Accounting Standards
IG	Inspector General	UCAR	National Center for Atmospheric Research
		USC	United States Code
		USAP	U.S. Antarctic Program
		USI	Urban Systemic Initiative
		VSEE	Visiting Scientists, Engineers and Educators
		WTC	World Trade Center