

STEWARDSHIP

The NSF Strategic Plan for FY 2006-2011 defines the Stewardship strategic goal as supporting excellence in science and engineering research and education through a capable and responsible organization. Excellence in NSF's stewardship is essential to achieving the Foundation's mission and accomplishing its goals.

The activities that advance NSF's Stewardship goal are funded through five appropriations accounts. Additional details on each account are provided in the respective chapters.

Agency Operations and Award Management (AOAM): NSF proposes to change the name of the Salaries and Expenses account to Agency Operations and Award Management. AOAM increases by \$3.77 million, or 1.3 percent, to \$285.59 million in FY 2008. These resources include funding for personnel compensation and benefits, information technology (IT) enabled business systems, administrative travel, training, rent, and other operating expenses necessary for effective management of NSF's research and education activities.

Office of Inspector General (OIG) increases by approximately \$490,000 million, or 4.1 percent, to \$12.35 million in FY 2008. These resources include funding for personnel compensation and benefits, contract audits, training and operational travel, office supplies, materials, and equipment.

National Science Board (NSB) increases by approximately \$120,000, or 3.1 percent, to \$4.03 million in FY 2008. These resources include funding for personnel compensation and benefits, contracts, training and operational travel, office supplies, materials, and equipment.

Program Accounts - Research and Related Activities (R&RA) and Education and Human Resources (EHR) – increase by 14.30 million, or 4.1 percent, to \$61.86 million in the FY 2008. Stewardship costs directly related to programs are funded within R&RA and EHR. Direct program Stewardship activities include funding for Intergovernmental Personnel Act (IPA) agreements and certain Foundation-wide activities such as major studies, evaluations, outreach efforts, and NSF contributions to interagency e-Government activities. This funding includes the request for Research.gov.

Stewardship by Appropriations Account

(Dollars in Millions)

	FY 2006 Actual	FY 2007 Request	FY 2008 Request	Change over FY 2007	
				Amount	Percent
Agency Operations and Award Management	\$247.06	\$281.82	\$285.59	\$3.77	1.3%
Office of Inspector General	11.47	11.86	12.35	0.49	4.1%
National Science Board	3.94	3.91	4.03	0.12	3.1%
R&RA Appropriation	47.24	42.29	52.42	10.13	24.0%
EHR Appropriation	6.11	9.65	9.44	-0.21	-2.2%
Subtotal, Program Support	53.35	51.94	61.86	9.92	19.1%
Total	\$315.82	\$349.53	\$363.83	\$14.30	4.1%

Totals may not add due to rounding.

NSF Workforce					
Full-Time Equivalents (FTE)					
	FY 2006	FY 2007	FY 2008	Change over	
	Actual	Request	Request	FY 2007	
				Amount	Percent
<i>AOAM FTE Allocation</i>					
<i>Regular</i>	1,248	1,270	1,270	-	-
<i>Student</i>	35	35	35	-	-
<i>Subtotal, AOAM FTE Allocation</i>	1,283	1,305	1,305	-	-
AOAM FTE Usage (Actual/Projected)					
NSF Regular	1,163	1,255	1,270	15	1.2%
NSF Student	32	35	40	5	14.3%
Subtotal, AOAM FTE ¹	1,195	1,290	1,310	20	1.6%
Office of the Inspector General ²	63	63	63	-	-
National Science Board ³	15	14	14	-	-
Arctic Research Commission ⁴	4	4	4	-	-
Total, Federal Employees	1,277	1,371	1,391	20	1.5%
IPAs	135	170	170	-	-
Detailees to NSF	5	6	6	-	-
Contractors (est.)	318	376	430	54	14.4%
Total, Workforce	1,735	1,923	1,997	74	3.8%

¹Additional information regarding FTEs funded through the AOAM appropriation are available in the AOAM chapter.

²The Office of Inspector General is described in a separate chapter and is funded through a separate appropriation.

³The National Science Board is described in a separate chapter and is funded through a separate appropriation.

⁴The U.S. Arctic Research Commission is described in a separate chapter.

The staffing profile in the table above shows that a small but significant percentage of the NSF workforce – 170 people or more than 10 percent – consists of temporary employees hired through the authority provided by the IPA. IPAs do not count as federal FTE. A smaller number of visiting staff – roughly 40 people annually – are employed through NSF’s own Visiting Scientist, Engineer, and Educator Program (VSEE). VSEEs count as federal FTE and are included in the *Federal Employees* total (see table above). The use of IPAs and VSEEs, commonly referred to as rotators, has been a defining characteristic of NSF since its inception in 1950.

IPAs are considered federal employees for many purposes during their time at NSF, even though they remain employees of their home institutions. They are not paid directly by NSF and are not subject to federal pay benefits and limitations. NSF reimburses the home institution for the IPA’s salary and benefits using the traditional grant mechanism. IPAs are also eligible to receive *per diem*, relocation expenses, and reimbursement for any income foregone because of their assignment at NSF (i.e., lost consulting fees). VSEEs, by contrast, receive a salary directly from NSF (through the AOAM appropriation), although they continue to receive benefits through their home institutions, which are reimbursed by NSF.

At NSF, rotators function in a manner virtually identical to the Foundation’s permanent staff – leading the merit review process, overseeing awards, and shaping future program directions. To smooth their transition and help them appreciate their responsibilities at NSF, the NSF Academy organizes intensive

training activities, including a three-day, off-site Program Management Seminar offered several times each year for new rotators and permanent staff.

R&RA and EHR Program Support funds account for roughly 15 percent of the total Stewardship portfolio. More detailed information on the Program Support costs is shown in the tables below. The first table identifies the two cost elements of Program Support.

Summary of IPA and Program Support

(Dollars in Millions)

	FY 2006 Actual	FY 2007 Request	FY 2008 Request	Change over FY 2007	
				Amount	Percent
IPA Costs	32.70	31.00	32.42	1.42	4.6%
Program Related Administration	20.65	20.94	29.44	8.50	40.6%
Total, Program Support Costs	\$53.35	\$51.94	\$61.86	\$9.92	19.1%

IPA Costs: The following table breaks down the IPA costs by appropriation into basic compensation, travel, and other benefits.

IPA Costs by Appropriations

(Dollars in Millions)

	FY 2006 Actual	FY 2007 Request	FY 2008 Request	Change over FY 2007	
				Amount	Percent
R&RA					
IPA Compensation	\$23.95	\$20.38	\$21.56	\$1.18	5.8%
IPA Lost Consultant & Per Diem	2.57	2.13	2.23	0.10	4.7%
IPA Travel	2.12	2.92	3.10	0.18	6.2%
Subtotal, R&RA Costs	28.64	25.43	26.89	1.46	5.7%
EHR					
IPA Compensation	3.24	4.35	4.31	-0.04	-0.9%
IPA Lost Consultant & Per Diem	0.50	0.85	0.84	-0.01	-1.2%
IPA Travel	0.32	0.37	0.38	0.01	2.7%
Subtotal, EHR Costs	4.06	5.57	5.53	-0.04	-0.7%
Total, IPA Costs	\$32.70	\$31.00	\$32.42	\$1.42	4.6%

Totals may not add due to rounding.

Program Related Administration includes funding for certain Foundation-wide activities such as major studies, evaluations, outreach efforts, NSF contributions to interagency e-Government activities, and grants management applications that benefit the research community, such as a Reviewer Management System to more effectively plan for, and find, thousands of scientific experts required to support the merit review process. Additional information on the benefits of government-wide e-Government initiatives at NSF is included in the next section.

Also included is funding to enable NSF to leverage and align its plans for the next generation of FastLane with its new role as a Research Consortia Lead for the Grants Management Line of Business (GMLoB). The additional resources will be used to establish and provide a web portal, Research.gov, for research

institutions to conduct grants business with Federal research agencies. \$15.0 million is included in the request for Research.gov, a funding level that will enable the Foundation to phase-in the government-wide functionalities over several years.

E-Government Initiatives

The National Science Foundation (NSF) is providing funding contributions in FY 2007 and FY 2008 to the following government-wide E-Government Initiatives:

NSF FY 2007 Funding for E-Government Initiatives

Initiative	FY 2008 Agency Contributions	FY 2008 Agency Svc. Fees	NSF Total	Appropriations Account		
				Salaries & Expenses	R&RA	EHR
Grants.gov	\$520,570		\$520,570		\$437,279	\$83,291
Grants Management LoB	\$60,147		\$60,147		\$50,523	\$9,624
E-Authentication	\$0		\$0		\$0	\$0
E-Travel		\$127,000	\$127,000	\$127,000		
Geospatial LoB	\$15,000		\$15,000		\$12,600	\$2,400
E-Training*		\$370,000	\$370,000	\$370,000		
E-Rulemaking	\$155,000		\$155,000		\$130,200	\$24,800
Business Gateway	\$68,394		\$68,394		\$57,451	\$10,943
Recruitment One-Stop (USA Jobs)		\$4,004	\$4,004	\$4,004		
E-HRI**		\$17,600	\$17,600	\$17,600		
Integrated Acquisition Environment	\$4,288		\$4,288		\$3,602	\$686
Human Resources Management LoB	\$65,217		\$65,217		\$54,782	\$10,435
Financial Management LoB	\$83,333		\$83,333		\$70,000	\$13,333
Budget Formulation/Execution LoB	\$75,000		\$75,000		\$63,000	\$12,000
IT Infrastructure LoB	\$20,000		\$20,000		\$16,800	\$3,200
E-Payroll (incl. Shared Services)***		\$327,895	\$327,895	\$327,895		
Total	\$1,066,949	\$846,499	\$1,913,448	\$846,499	\$896,237	\$170,712

Totals may not add due to rounding.

NSF FY 2008 Funding for E-Government Initiatives

Initiative	FY 2008 Agency Contributions	FY 2008 Agency Svc. Fees	NSF Total	Appropriations Account		
				Salaries & Expenses	R&RA	EHR
Grants.gov	\$536,187		\$536,187		\$450,397	\$85,790
Grants Management LoB	\$174,360		\$174,360		\$146,462	\$27,898
E-Authentication	\$65,217		\$65,217		\$54,782	\$10,435
E-Travel		\$155,183	\$155,183	\$155,183		
Geospatial LoB	\$15,450		\$15,450		\$12,978	\$2,472
E-Training*		\$370,000	\$370,000	\$370,000		
E-Rulemaking	\$135,000		\$135,000		\$113,400	\$21,600
Business Gateway	\$22,000		\$22,000		\$18,480	\$3,520
Recruitment One-Stop (USA Jobs)		\$4,684	\$4,684	\$4,684		
E-HRI**		\$52,000	\$52,000	\$52,000		
Integrated Acquisition Environment	\$12,961		\$12,961		\$10,887	\$2,074
Human Resources Management LoB	\$65,217		\$65,217		\$54,782	\$10,435
Financial Management LoB	\$44,444		\$44,444		\$37,333	\$7,111
Budget Formulation/Execution LoB	\$85,000		\$85,000		\$71,400	\$13,600
IT Infrastructure LoB	\$20,000		\$20,000		\$16,800	\$3,200
E-Payroll (incl. Shared Services)***		\$327,895	\$327,895	\$327,895		
Total	\$1,175,836	\$909,762	\$2,085,598	\$909,762	\$987,702	\$188,134

Totals may not add due to rounding.

Benefits realized through the use of these initiatives are as follows:

- Grants.gov**

The Grants.gov Initiative benefits NSF and its grant programs by providing a single location to publish grant (funding) opportunities and application packages, and by providing a single site for the grants community to apply for grants using common forms, processes and systems. NSF will post all of its discretionary grants programs in Grants.gov Find and all of its funding opportunities in Grants.gov Apply beginning in FY07.
- Grants Management Line of Business**

This initiative benefits NSF by improving the delivery of services to grant recipients, improving decision-making, and decreasing costs associated with building and maintaining Grants Management IT systems. GM LoB identifies Federal Service Centers. These Service Centers work with customer agencies to define requirements, streamline processes, improve reporting, and host a grants management system. The grants management system can be used by multiple grant-making agencies to make awards. By sharing services, NSF's costs to build and maintain grants management systems decrease. NSF has been chosen as a consortia lead for grants made by the research community.
- E-Authentication**

The initiative benefits NSF by providing E-Authentication expertise, guidance, and documentation, including project planning and reporting templates, to enable NSF to achieve

production implementation of E-Authentication for aspects of its FastLane application. The E-Authentication Federation allows NSF to use identity credentials issued and managed by organizations within and outside the Federal Government, thereby relieving NSF of much of the cost of providing its own identity management solutions.

- **E-Travel**

This web-based service benefits NSF by helping to minimize technology costs and guarantee refreshed functionality for travel management services. The end-to-end service will enable NSF to capture real time visibility into the buying choices of travelers and assist in optimizing travel budgets.

- **Geospatial Line of Business**

NSF participates in activities related to the development of Geospatial Line of Business (GEO LoB) to ensure the effective and efficient provision of geospatial data to the research community.

NSF is able to realize cost savings by not having to process individual requests for data in an ad-hoc fashion. The public frequently requests maps and other geospatial data from NSF, particularly during emergency response situations. The Geospatial portal provides an integrated environment to coordinate (and focus) these requests, making the agency's response more efficient. It has the potential to reduce the cost of supporting such data requests.

NSF has had significant impact on the nation's research in the area of Geographic Information Systems. The National Center for Geographic Information and Analysis (NCGIA) centers at the University of California- Santa Barbara, the State University of New York at Buffalo, and the University of Maine-Orono have developed and demonstrated powerful practical applications of geospatial data and technology. The NSF Geographic and Regional Science Program sponsors research on the geographic distributions and interactions of human, physical, and biotic systems on the Earth's surface utilizing GIS at the State, county and city level. These research programs benefit from GOS as a resource for locating data and other geospatial resources for use in their studies.

- **E-Training**

This initiative supports the development of NSF's workforce and advancing the accomplishment of its mission through simplified and one-stop access to e-Training products and services. Use of NSF's learning management system, AcademyLearn, will enhance the agency's ability to attract, retain, manage, and continuously educate its workforce.

- **E-Rulemaking**

The Federal Docket Management System (FDMS) under the leadership of this initiative provides the research community a web-based, central location to track proposed regulations by NSF and to provide comment when applicable.

- **Business Gateway**

The Business Gateway Initiative helps NSF in its goals of promoting science, advancing the national health, and securing the national defense by helping small businesses partner with NSF. NSF has a program called "NSF SBIR/STTR" whose purpose is to increase "the incentive and opportunity for small firms to undertake cutting-edge, high risk, high quality scientific, engineering, or science/engineering education research that would have a high potential economic payoff if the research is successful."

Additionally, the Business.gov website provides easy access to all of the NSF forms/instructions relevant to businesses. The site also provides compliance assistance for companies seeking to meet all of the regulatory requirements of NSF and other Federal agencies.

- **Recruitment One-Stop**

NSF benefits through state-of-the-art online recruitment services to Federal job seekers including online job posting, intuitive job searching, resume warehousing, online application submission, automated eligibility and status feedback, applicant data mining and integration with sophisticated automated assessment tools.

- **Enhanced Human Resource Integration (EHRI)**

This initiative is developing policies and tools to streamline and automate the electronic exchange of standardized human resource data (such as the electronic office personnel file) needed for creation of an official employee record. The EHRI tool set and central data repository will provide comprehensive knowledge management workforce analysis, forecasting, and reporting for the strategic management of human capital.

- **Integrated Acquisition Environment**

Through adoption of the tools and services provided by IAE, NSF improves its ability to make informed and efficient purchasing decisions and allows it to replace manual processes. If NSF were not allowed to use the IAE systems, they would need to build and maintain separate systems to record vendor and contract information, and to post procurement opportunities. Agency purchasing officials would not have access to databases of important information from other agencies on vendor performance and could not use systems to replace paper-based and labor-intensive work efforts.

- **Human Resources Management Line of Business**

NSF benefits through its use of best-in-class HR services and systems provided by one of the approved service providers. Through its adoption of an approved service provider, the agency can achieve the benefits of “best-in-class” HR solutions without the costs of developing and maintaining their own HR systems. Employees across the agency benefit from improved HR services.

- **Financial Management Line of Business**

The initiative benefits NSF by providing the reference tools and templates needed to assist them in planning and managing their migration to a selected center of excellence. The FM LoB has established an Advisory Board to govern the activities and decision making process for the initiative. NSF’s involvement with this board affords them the opportunity to review critical issues that have an impact on their FM systems, voice their unique needs and concerns, and collaboratively offer recommendations and influence decisions on how best to implement the common solution. In the short term, NSF will be provided key tools such as an RFP framework and SLA guides to help them develop agency agreements with their selected service providers. In the long term, NSF will have the opportunity to play an active role in standardizing core FM business process and data elements. NSF’s involvement in this crucial task ensures their needs and requirements are addressed in the target FM LoB enterprise architecture supporting the FM LoB common solution. This work allows NSF to influence the future direction of financial management across the government from both an information technology and business process perspective.

- **Budget Formulation and Execution Line of Business**

This initiative enhances NSF budgeting capabilities by strengthening the Federal budgeting profession through a community of practice, establishing a clearinghouse for sharing best practices, improving tools for government-wide budget exercises and collaboration, and establishing standards for data, data exchange, and modularity that facilitate flexible solutions, sharing, and re-usability. The BF&E LoB has established a Task Force that governs LoB activities and makes decisions. NSF's involvement with the Task Force ensures that solutions developed by the BF&E LoB meet NSF's needs.

- **IT Infrastructure Line of Business**

The initiative benefits NSF by providing government-wide target service levels and infrastructure cost measurements to objectively evaluate NSF IT Infrastructure investments against standard government and industry averages. This will allow for objective evaluation of NSF IT Infrastructure performance in the areas of Desktop/Seat Mgt, Data Centers, and Voice/Data Networks and provide guidance to develop action plans for improvement through use of standard best practices, and where appropriate, use of consolidation, shared service providers, and aggregated purchase agreements. The goal is to reduce the total cost of commodity IT infrastructure while not degrading performance and service to NSF users.

- **E-Payroll**

NSF has migrated its payroll function to the Department of Interior (DOI) service center. We have seen good integration between payroll, human resource and finance functions as well as a high level of customer service from DOI.

Performance Highlights

NSF conducts a comprehensive assessment of Stewardship (formerly Organizational Excellence, OE) activities as part of its GPRA reporting activities. The Advisory Committee for GPRA Performance Assessment (AC/GPA) and the Advisory Committee for Business and Operations contributed to the assessment. These committees determined that NSF had demonstrated significant achievement in FY 2006 for the performance indicators associated with the OE goal. Those performance indicators were:

- Human Capital Management: develop a diverse capable, motivated staff that operates with efficiency and integrity.
- Technology-enabled Business Practices: utilize and sustain broad access to new and emerging technologies for business application.
- Performance Assessment: develop and use performance assessment tools and measures to provide an environment of continuous improvement in NSF's intellectual investments as well as its management effectiveness.
- Merit Review: operate a credible, efficient merit review system.

In the 2006 NSF Report to Employees, the Director and Deputy Director stated that NSF is recognized throughout the federal government as a leader for implementing outstanding results-oriented management practices and establishing collaborative partnerships with the scientific and federal communities. Among the accomplishments cited in this report are:

- NSF continues to maintain “Green” ratings for excellent management practices. NSF has sustained a “Green” rating for financial performance and e-Gov on the President’s Management Agenda (PMA) scorecard for over four years. In FY 2006, NSF was only one of three federal agencies to achieve four or more “Green” ratings in the five primary PMA initiatives. NSF has also achieved “Green” ratings for its two PMA programmatic initiatives of Eliminating Improper Payments and R&D Investment Criteria.
- NSF received its eighth consecutive unqualified “clean” audit opinion.
- In both the Department of Treasury’s Financial Management Service Scorecard and the CFO Council Metric Tracking System which tracks core financial metrics, NSF continued to have the most consistently high scores among all federal agencies.
- NSF is the only agency to receive the highest rating of “Effective” in all of its Program Assessment Rating Tool (PART) program evaluations from OMB.
- NSF received an “A” grade in the House Committee on Government Reforms study of 24 agencies’ security practices.
- After NSF co-chaired the Grants Management Line of business (GMLoB) task force, OMB selected NSF as one of the initial three consortia leads.
- NSF’s was awarded a Webby Award in a competition that Time Magazine calls the “online Oscars.” NSF’s website was named the “People’s Choice” among the best government websites.
- NSF’s *FY 2005 Performance Highlights* report received a League of American Communications Professionals (LACP) Honors Award at the 2005 Vision Awards. In a field of almost 2,000 entrants, NSF placed in the top 15 percent, and had the distinction of being the only federal government agency to be recognized for five years of distinction in its annual reports.
- NSF implemented AcademyLearn, a web-based learning management system to increase workforce productivity and aid in agency operations. AcademyLearn gives all employees access to approximately 2,000 professional and personal development online courses and provides proprietary e-business online tutorials.

