

AGENCY OPERATIONS AND AWARD MANAGEMENT

\$329,190,000
+\$29,190,000 / 9.7%

Summary of Agency Operations and Award Management

Major Categories

(Dollars in Millions)

	FY 2009 Actual	FY 2010 Estimate	FY 2011 Request	Change over	
				FY 2010 Estimate Amount	Percent
Human Capital					
Personnel Compensation & Benefits	\$186.61	\$203.66	\$217.89	\$14.23	7.0%
Management of Human Capital	12.90	8.92	12.46	3.54	39.7%
Operating Expenses	14.07	14.11	16.50	2.39	16.9%
Travel	6.22	9.00	9.50	0.50	5.6%
Subtotal, Human Capital	219.80	235.69	256.35	20.66	8.8%
Technology and Tools					
Information Technology	34.48	26.10	27.00	0.90	3.4%
Space Rental	24.42	26.00	26.39	0.39	1.5%
Other Infrastructure	15.39	11.40	15.45	4.05	35.5%
Subtotal, Technology and Tools	74.29	63.50	68.84	5.34	8.4%
Future NSF HQ	-	0.81	4.00	3.19	393.8%
Total, AOAM	\$294.09	\$300.00	\$329.19	\$29.19	9.7%

Totals may not add due to rounding.

AOAM in Context

Investments in Agency Operations and Award Management (AOAM), as part of the Foundation's Stewardship Strategic Goal, continue to be NSF's highest priority as this activity provides the fundamental framework through which the Foundation's science and engineering, research, and education programs are effectively and efficiently administered. AOAM funding covers NSF's scientific, professional, and administrative workforce, the physical and technological infrastructure necessary for a productive, safe and secure work environment, and the essential business operations critical to NSF's administrative processes.

AOAM is contained within Stewardship, one of NSF's four Strategic Goals. Long-term priorities for AOAM, as well as agency Stewardship include:

- Strengthening partnerships and developing new collaborations with key stakeholders in the research and education community;
- Improving processes to recruit and select highly qualified reviewers and panelists;
- Developing and implementing a suite of Human Capital Management initiatives including recruiting, hiring, and empowering highly qualified staff who reflect the diversity of our community; developing mechanisms to improve training and mentoring for program officers; implementing NSF's Human Capital Management Plan; and enhancing NSF as a learning organization;
- Improving the transparency, consistency, and uniformity of the merit review process; and
- Enhancing processes for management and oversight of large facilities.

The 1,350 FTE level represents an increase of 40 full-time equivalents (FTE) over the FY 2010 Estimate and is based on a workforce and staffing forecast that is commensurate with the portfolio of activities contained in the FY 2011 Request. The FY 2011 Personnel Compensation and Benefits (PC&B) increase over the FY 2010 Estimate includes \$2.76 million to fund the estimated 1.4 percent cost of living adjustment which impacts both salaries and benefits, as well as \$6.28 million for salaries and benefits to fund 40 additional FTEs. See the PC&B section for more details on the justification for this increase.

FY 2011 Request by Major Category

HUMAN CAPITAL (\$256.35 million)

Human Capital Funding

(Dollars in Millions)

			Change over		
	FY 2009	FY 2010	FY 2011	FY 2010	Estimate
	Actual	Estimate	Request	Amount	Percent
Personnel Compensation & Benefits	\$186.61	\$203.66	\$217.89	\$14.23	7.0%
Management of Human Capital	12.90	8.92	12.46	3.54	39.7%
Operating Expenses	14.07	14.11	16.50	2.39	16.9%
Travel	6.22	9.00	9.50	0.50	5.6%
Total, Human Capital	\$219.80	\$235.69	\$256.35	\$20.66	8.8%

Totals may not add due to rounding.

AOAM NSF Workforce

(Full-Time Equivalent (FTE) and Other Staff)

			Change over		
	FY 2009	FY 2010	FY 2011	FY 2010	Estimate
	Actual	Estimate	Request	Amount	Percent
NSF AOAM -- Regular	1,266	1,310	1,350	40	3.1%
NSF AOAM -- Student	34	40	40	-	-
Subtotal, FTE Allocation	1,300	1,350	1,390	40	3.0%
Detailees to NSF	3	6	6	-	-
Total, Workforce	1,303	1,356	1,396	40	2.9%

NSF funding for Human Capital covers four general areas:

- Personnel Compensation and Benefits funds the salaries of NSF’s federal employees and students, as well as the costs related to their employee benefits;
- Management of Human Capital encompasses a broad array of personnel-related services including recruiting, classification and staffing, workforce planning, policy development and execution, competency modeling, succession planning, and talent management. Resources devoted to this strategic investment ensure that the agency has highly qualified, motivated, and trained staff to facilitate the grant making process and assure that the best science, engineering, and education research is funded;
- Operating Expenses includes funding for supplies and equipment, as well as contracts for post-award monitoring and financial services consulting; and
- Travel includes outreach activities, post-award oversight and monitoring, and site visits.

Detailed justifications for each of these areas are provided on the following pages.

Personnel Compensation and Benefits (+\$14.23 million, to a total of \$217.89 million)

Personnel Compensation & Benefits

(Dollars in Millions)

	FY 2009 Actual	FY 2010 Estimate	FY 2011 Request	Change over FY 2010 Estimate	
				Amount	Percent
Regular FTE Allocation	1,295	1,310	1,350	40	3.1%
<i>Regular FTE Usage (actual/projected)</i>	<i>1,266</i>	<i>1,285</i>	<i>1,350</i>	<i>65</i>	<i>5.1%</i>
Regular Salary					
Base Salary ¹	\$142.93	\$149.14	\$156.59	\$7.45	5.0%
Salary Cost of Additional FTE	-	2.20	4.92	-	-
COLA & Locality Pay ²	-	2.71	2.76	-	-
Subtotal, Regular FTE Salary	\$142.93	\$154.05	\$164.27	\$10.22	6.6%
<i>Student FTEs</i>	<i>34</i>	<i>40</i>	<i>40</i>	<i>-</i>	<i>-</i>
Student Salary	\$1.23	\$1.49	\$1.52	\$0.03	2.0%
<i>Total, FTEs</i>	<i>1,300</i>	<i>1,325</i>	<i>1,390</i>	<i>65</i>	<i>4.9%</i>
Subtotal, FTE Pay	\$144.16	\$155.54	\$165.79	\$10.25	6.6%
Benefits and Other Compensation ³	42.45	48.12	52.10	3.98	8.3%
Total, PC&B	\$186.61	\$203.66	\$217.89	\$14.23	7.0%

¹The increase in the FY 2011 base salary reflects the full annual cost of employees hired throughout FY 2010.

²The pay increase includes the annualization of the FY 2010 pay raise, nine months of the projected FY 2011 pay raise, as well as anticipated within grades and promotion increases.

³This category includes employee benefits, detailees to NSF, terminal leave, awards, and other benefits.

- Personnel Compensation and Benefits (PC&B) funds the salaries of NSF's federal employees and students, as well as the costs related to their employee benefits.

The FY 2011 Request of \$217.89 million for PC&B represents an increase of \$14.23 million, or 7 percent over NSF's FY 2010 Estimate of \$203.66 million. The FY 2011 PC&B cost projection is based on salaries and benefits for 1,350 regular FTEs and also includes funding for a 1.4 percent pay raise, general workforce performance awards (GWFPFA), and SES pay for performance salary increases.

The 1,350 FTE level represents an increase of 40 FTE over the FY 2010 Estimate and is based on a workforce and staffing forecast that is commensurate with the anticipated workload associated with the total NSF portfolio in FY 2011. Of this increase, 11 FTE will be assigned to the Division of Acquisition and Cooperative Support to support the strengthening of NSF acquisition's activities by improving the capacity, capabilities, and effectiveness of the acquisition workforce. This increase is part of the government-wide effort to strengthen the acquisition workforce. A key priority for NSF is improving capabilities in the pre-solicitation phase of major acquisitions. In addition; as part of the Administration's government-wide initiative to strengthen program evaluation, 4 new FTE will be dedicated for the establishment of a centralized NSF capability for assessment and evaluation. The FY 2011 PC&B increase over the FY 2010 Estimate includes \$2.76 million to fund the estimated 1.4 percent cost of living adjustment which impacts salaries and benefits, as well as an additional \$6.28 million for salaries and benefits to fund 40 additional FTEs.

NSF uses a workforce and staffing forecast model to provide a data-driven rationale for NSF's annual staffing request. The analysis incorporates the relationship between NSF's budget and workload and takes into consideration the directorate workload, including: the volume and dollar threshold of awards; the number of declinations; the number of post award activities; the number of pre-proposals; and the historical ratio between support and program staff. The analysis is based primarily on the workload demands of activities related to merit review and the funding of awards on a transaction basis and does not include the additional and increasing responsibilities related to program planning and evaluation and the added demands of increased levels of reporting and accountability.

Management of Human Capital (+\$3.54 million, to a total of \$12.46 million)

Funding for the Management of Human Capital includes:

- Services in support of effective recruitment, marketing and outreach, employment and retention of staff;
- Health and employee assistance services, benefits and retirement counseling;
- Workforce and succession planning and implementation;
- Organizational development;
- Performance management system implementation;
- Training and talent management services to create and provide learning opportunities for NSF staff;
- Payments to shared service providers, such as the Department of the Interior's National Business Center, which provides central personnel and payroll services.

The \$3.54 million increase in FY 2011 will address improvements in agency management of human resources, giving priority to issues raised in the recent Federal Human Capital survey. Specifically, additional funds would be focused on the creation of a comprehensive management and leadership development training program, enhanced learning activities in support of staff development, improved performance management to include a focus on the assessment of rotator staff and on the skills needed to effectively address poor performance, and an in-depth review of workforce analysis and planning processes to implement more effective succession management and to review the optimal mix of permanent versus rotator staff.

Operating Expenses (+\$2.39 million, to a total of \$16.50 million)

- Operating Expenses includes funding for supplies and equipment, as well as contracts for post-award monitoring and financial services consulting.

The FY 2011 Request of \$16.50 million for Operating Expenses represents an increase of \$2.39 million, or 16.9 percent over the FY 2010 Estimate. The FY 2011 estimate includes funding for contracts for post-award monitoring, the e-procurement system, the Budget Internet Information System, Contracting Officer's Technical Representative (COTR) training, A-123 Internal Controls Monitoring, and financial services consulting. Operating expenses also include other general expenses such as the costs of supplies, equipment, training for individual staff members, and other operating expenses necessary for the management of NSF's award processing. The additional funding is for estimated contractual increases, the augmentation of NSF's acquisition capabilities, necessary resources for the establishment of a centralized NSF capability for assessment and evaluation, as well as additional supplies and equipment to support the expanded workforce.

Travel (+\$500,000, to a total of \$9.50 million)

- Travel includes funding for NSF staff to attend program-related meetings, conferences, and workshops as well as conduct outreach activities, post-award oversight and monitoring, and site visits.

The FY 2011 Request of \$9.50 million for Travel represents an increase of \$500,000 over the FY 2010 Estimate. The additional travel resources are required to accommodate the growing workforce and to conduct the travel necessary to meet programmatic needs and to carry out the necessary level of site reviews, post-award monitoring and oversight, and outreach activities

TECHNOLOGY AND TOOLS (\$68.84 million)

Technology and Tools Funding

(Dollars in Millions)

	FY 2009	FY 2010	FY 2011	Change over	
				FY 2010 Estimate	
				Actual	Estimate
Information Technology	\$34.48	\$26.10	\$27.00	\$0.90	3.4%
Space Rental	24.42	26.00	26.39	0.39	1.5%
Other Infrastructure	15.39	11.40	15.45	4.05	35.5%
Total, Technology and Tools	\$74.29	\$63.50	\$68.84	\$5.34	8.4%

Totals may not add due to rounding.

Information Technology for Administrative IT Investments (+\$900,000, to a total of \$27.0 million)

The FY 2011 Information Technology request for Agency Operations is \$27.0 million. This level will ensure high quality, reliable, and secure administrative applications and associated IT infrastructure support and services to meet the needs of the Foundation, including:

- Human Resource Information Systems supporting Workforce/Succession Planning, Performance Management, and Benefits/Retirement Management;
- Legacy financial accounting system and interfaces to payroll, travel, and training systems;
- Applications supporting NSF's administrative functions such as property tracking, time and attendance tracking, and conference room management;
- Infrastructure and operational support to maintain these applications; and
- Security and Privacy support to secure these applications and to protect the data that resides in them.

NSF funds administrative IT applications from the Agency Operations and Award Management account while mission-related IT investments are funded from Program Accounts. Resources to support mission-related IT investments, associated IT operations and infrastructure, and IT security and privacy services and support are discussed in the Program Related Technology (PRT) section of the Stewardship chapter.

Summary of Agency Operations Information Technology (IT)

(Dollars in Millions)

Agency Operations Information Technology	FY 2009	FY 2010	FY 2011	Change over	
	Actual	Estimate	Request	FY 2010 Estimate Amount	Percent
Applications Services and Support	\$13.37	\$11.81	\$12.75	\$0.94	8.0%
Associated IT Operations and Infrastructure	17.98	11.50	11.46	-0.04	-0.3%
Security and Privacy Services and Support	3.13	2.79	2.79	-	-
Total, Information Technology	\$34.48	\$26.10	\$27.00	\$0.90	3.4%

Totals may not add due to rounding.

Administrative Applications Services and Support (+\$940,000, to a total of \$12.75 million) Investments in this category support administrative applications such as NSF's human resources management systems, property system, procurement system, SharePoint system, external website, and maintenance of NSF's legacy financial and accounting system and related functions.

Associated IT Operations and Infrastructure (-\$40,000, to a total of \$11.46 million)

Investments in this category provide basic maintenance and operations levels for ongoing activities and support. This includes funds for systems administration and operations, network, phone, email, and remote access services related to administrative applications and technologies. Routine upgrades and periodic technology refresh are required to provide highly available, high quality performance and consistent operational stability of NSF administrative systems.

Security and Privacy Services and Support (unchanged from FY 2010, a total of \$2.79 million)

Investments in this category include automated configuration management tools that manage security patches and provide proactive protection from viruses, spyware, and other threats. This includes the relative portion of NSF's network security, application security, security control testing and tools, automated vulnerability assessment tools, and remediation and intrusion detection services related to administrative applications.

NSF's business cases can be found at: <http://it.usaspending.gov/>

Summary of Space Rental and Other Infrastructure by Function

(Dollars in Millions)

	FY 2009 Actual	FY 2010 Estimate	FY 2011 Request	Change over	
				FY 2010 Estimate	Percent
Space Rental & Other Infrastructure					
Space Rental	\$24.42	\$26.00	\$26.39	0.39	1.5%
Other Infrastructure	15.39	11.40	15.45	4.05	35.5%
- <i>Administrative Contracts</i>	9.42	6.00	9.44	3.44	57.3%
- <i>Government Goods and Services</i>	1.50	1.35	1.51	0.16	11.9%
- <i>Administrative Services Equipment & Supplies</i>	4.47	4.05	4.50	0.45	11.1%
Total, Space Rental & Other Infrastructure	\$39.81	\$37.40	\$41.84	\$4.44	11.9%

Space Rental (+\$0.39 million, to a total of \$26.39 million)

- Space Rental includes GSA rent, utilities, taxes, and security.

The FY 2011 request for Space Rental is \$26.39 million, an increase of \$390,000, or 1.5 percent, over the FY 2010 Estimate. NSF currently occupies 650,000 square feet of space, primarily in two adjoining, leased office buildings located in Arlington Virginia. Efforts are underway in FY 2010 to acquire approximately 10,000 additional square feet to accommodate existing staff. The additional \$390,000 being requested will support increased GSA rental costs, real estate taxes, utility costs, and the annualized cost for any additional space acquired in 2010.

Other Infrastructure (+\$4.05 million, to a total of \$15.45 million)

Other Infrastructure funding supports the following major sets of activities:

Administrative Contracts

Funds programs such as the physical security of the NSF workplace, conference room, meeting and travel management support, infrastructure maintenance and building services, records management, the intranet, and the transit subsidy program. The additional \$3.44 million being requested will support the re-competition of a multi-million dollar facilities support contract, enhanced meeting and travel management support to meet increased demands for services, and funding the agency's electronic records management system in support of the "Open Government Directive".

Government Goods and Services

Funds security guards, infrastructure maintenance and building services, building improvements, and reconfiguration and office space realignments. The additional \$160,000 is needed to support energy efficiency programs in compliance with Executive Order 13514.

Administrative Services Equipment and Supplies

Funds a full range of office machine and office furniture purchases, upgrades and installations, subscriptions to scientific and engineering databases and periodicals that support the NSF programs, and further development of video conferencing and other virtual technologies. The additional \$450,000 is to support administrative services and supplies necessary for the expanded workforce.

FUTURE NSF HQ (\$4.00 million)

Future NSF HQ					
(Dollars in Millions)					
	FY 2009 Actual	FY 2010 Estimate	FY 2011 Request	Change over	
				FY 2010 Estimate	Percent
Future NSF HQ	-	\$0.81	\$4.00	\$3.19	393.8%

Totals may not add due to rounding.

Future NSF HQ – Agency Headquarters Space Analysis and Planning (+\$3.19 million, to a total of \$4.0 million)

In preparation for the expiration of the current NSF Headquarters lease in 2013, the FY 2011 Request includes funding for the planning activities necessary to enter into a new long term lease arrangement as soon as possible, following the procedures and policies of the General Service Administration. Even though the costs analyses and negotiations are not yet complete, NSF expects that there will be substantial costs associated with this multi-year project over the next several fiscal years.

The major cost components for the Future NSF Headquarters Project in the FY 2011 Request include:

- (a) Program Management Costs for contractor support including a technology manager, project architect, relocation planning services, and a special program consultant.
- (b) Furniture and technology pilot and demonstration costs: includes costs associated with acquiring, installing and testing employee pilot projects for future office furniture and materials, virtual technology and/or other communications systems.
- (c) Technology design: design for the infrastructure for NSF's data, voice, and video distribution systems.

Agency Operations and Award Management by Object Class

The following table shows the planned distribution of general operating expenses (GOE) by object class. A brief explanation of each general operating expenses category follows.

AOAM Expenses by Object Class

(Dollars in Thousands)

	FY 2009 Actual	FY 2010 Estimate	FY 2011 Request	Change over FY 2010 Estimate	
				Amount	Percent
Personnel Compensation	\$152,326	\$165,107	\$176,821	\$11,714	7.1%
Personnel Benefits	36,001	38,553	41,070	2,517	6.5%
Travel and Transportation of Persons	6,228	9,000	9,500	500	5.6%
Transportation of Things	547	441	543	102	23.1%
Rental Payments to GSA	23,529	26,000	26,390	390	1.5%
Rental Payments to Others	987	797	979	182	22.8%
Communications, Utilities and Misc. Charges	2,030	1,638	2,014	376	23.0%
Printing and Reproduction	254	205	252	47	22.9%
Advisory and Assistance Services	46,431	37,474	46,069	8,595	22.9%
Other Services	9,092	7,338	9,021	1,683	22.9%
Purchases of Goods & Srvcs from Gov't. Accts	7,629	6,157	7,569	1,412	22.9%
Operation and Maintenance of Equipment	66	53	65	12	22.6%
Supplies and Materials	4,727	3,815	4,690	875	22.9%
Equipment	4,240	3,422	4,207	785	22.9%
Total, AOAM	\$294,087	\$300,000	\$329,190	\$29,190	9.7%

Totals may not add due to rounding.

A description of categories:

- **Personnel Compensation and Benefits:** Personnel compensation funds pay, awards/bonuses, details to NSF, overtime, and terminal leave. Benefits include the Government's contribution towards retirement systems, health and life insurance, thrift saving plans, special overseas allowances, and unemployment insurance.
- **Travel and Transportation of Persons:** These resources fund travel required for planning, outreach, and increased oversight of existing awards as recommended by the agency's Inspector General.
- **Transportation of Things:** This category consists of household moves associated with bringing new staff to NSF.
- **Rental Payments to GSA:** This category includes the rent charged by GSA for NSF's facility in Arlington, Virginia, and additional floors in an adjacent building.
- **Rental Payments to Others:** This category includes rent paid to a non-Federal source for rental of space, land, and structures.

- **Communications, Utilities, and Miscellaneous Charges:** This category includes all costs for telephone lines and services, both local and long distance, and postage.
- **Printing and Reproduction:** This category includes contract costs of composition and printing of NSF's publications, announcements, and forms, as well as printing of stationery and specialty items.
- **Advisory and Assistance Services:** This category includes development, learning, and career enhancement opportunities offered through the NSF Academy, contracts for human capital operational activities, work life initiatives, outreach and related services, assistance in award oversight and monitoring, and A-123 review.
- **Other Services:** This category includes warehousing and supply services, mail handling, proposal processing, equipment repair and maintenance, building-related costs, furniture repair, contract support for conference room services, security investigations, and miscellaneous administrative contracts.
- **Purchases of Goods and Services from Government Accounts:** This category includes reimbursable services purchased from GSA. These costs include security guard services, some electrical upgrades, and modest renovation services.
- **Operation and Maintenance of Equipment:** This category includes management and operation of the central computer facility 24x7 year-round; operation of the customer service center and FastLane help desk; maintenance of database server hardware and related peripherals; software licensing fees; data communications infrastructure and network systems support; electronic mail support; and remote access (e.g., internet and World Wide Web).
- **Supplies and Materials:** This category includes office supplies, library supplies, paper and supplies for the NSF central computer facility, and miscellaneous supplies.
- **Equipment:** This category includes new and replacement computing equipment, desktop computers, data communications equipment, video-teleconferencing equipment, office furniture, file cabinets, and support equipment such as audio-visual equipment.

Appropriation Language

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 ~~\$9,200~~\$9,000 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; ~~\$300,000,000~~.\$327,190,000: *Provided*, That contracts may be entered into under this heading in fiscal year ~~2010~~2011 for maintenance and operation of facilities, and for other services, to be provided during the next fiscal year.

Commerce, Justice, Science Appropriations Title V General Provisions:

SEC. 525. For an additional amount for the "Agency Operations and Award Management", National Science Foundation account, \$2,000,000, to increase the agency's acquisition workforce capacity and capabilities: Provided, That such funds shall be available only to supplement and not to supplant existing acquisition workforce activities: Provided further, That such funds shall be available for training, recruitment, retention, and hiring additional members of the acquisition workforce as defined by the Office of Federal Procurement Policy Act, as amended (41 U.S.C. 401 et seq.): Provided further, That such funds shall be available for information technology in support of acquisition workforce effectiveness or for management solutions to improve acquisition management.

**Agency Operations and Award Management
FY 2011 Summary Statement
(Dollars in Millions)**

	Enacted/ Request	Carryover/ Recoveries	Transfers ¹	Expired	Total Resources	Obligations Incurred/Est.
FY 2009 Appropriation	\$294.00		0.15	(0.06)	\$294.09	\$294.09
FY 2010 Current Plan (CP)	300.00				300.00	300.00
FY 2011 Request	329.19				329.19	329.19
\$ Change from FY 2010 CP						29.19
% Change from FY 2010 CP						9.7%

Totals may not add due to rounding.

¹FY 2009 Actual includes \$147,900 in funds provided by the U.S. Department of State for an award to the Civilian Research and Development Foundation that was a carryover from FY 2008 and obligated in FY 2009.

