

TECHNICAL INFORMATION

FY 2004 Appropriation 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; \$4,106,360,000, of which not to exceed \$375,000,000 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; the balance to remain available until September 30, 2005; *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 and used for authorized purposes of this account.

EDUCATION AND HUMAN RESOURCES

For necessary expenses in carrying out science 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, and rental of conference rooms in the District of Columbia, \$938,040,000, to remain available until September 30, 2005.

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, \$202,330,000, to remain available until expended.

SALARIES AND EXPENSES

For salaries and expenses 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 \$9,000 for official reception and representation expenses; uniforms or allowances therefore, as authorized by 5 U.S.C. 5901-5902; rental of conference rooms in the District of Columbia; reimbursement of the General Services Administration for security guard services; \$225,700,000: *Provided*, That contracts may be entered into under "Salaries and Expenses" in fiscal year 2004 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 \$8,770,000, to remain available until September 30, 2005.



SUMMARY OF FY 2004 BUDGET BY APPROPRIATION AND ACTIVITY

(DOLLARS IN THOUSANDS)

	FY 2002 APPROPRIATION	FY 2003 REQUEST	FY 2004 REQUEST	CHANGE	
				FY2004 Req/FY03 Req AMOUNT	PERCENT
RESEARCH AND RELATED ACTIVITIES					
Biological Sciences	\$509,645	\$525,620	\$562,220	\$36,600	7.0%
Computer and Information Science and Engineering	515,015	526,940	584,260	57,320	10.9%
Engineering	470,825	487,980	536,570	48,590	10.0%
Geosciences	609,546	691,070	687,920	-3,150	-0.5%
Mathematical and Physical Sciences	920,424	941,570	1,061,270	119,700	12.7%
Social, Behavioral and Economic Sciences ¹	183,973	195,610	211,740	16,130	8.2%
U.S. Polar Research Programs	230,517	235,740	261,860	26,120	11.1%
U.S. Antarctic Logistical Support Activities	70,270	68,070	68,070	0	0.0%
Integrative Activities	105,755	110,610	132,450	21,840	19.7%
Subtotal R&RA	\$3,615,970	\$3,783,210	\$4,106,360	\$323,150	8.5%
Unobligated Balance Available					
Start of Year	-1,923				
Unobligated Balance Available					
End of Year	3,015				
Recoveries of Prior Year Obligations	-7,286				
Adjustments to Prior Year Accounts	-58				
Unobligated Balance Lapsing	2,546				
Reduction Pursuant to P.L. 107-206	40				
Subtotal R&RA	\$3,612,304	\$3,783,210	\$4,106,360	\$323,150	8.5%
Transferred from other funds	-13,664				
Appropriation Total	\$3,598,640	\$3,783,210	\$4,106,360	\$323,150	8.5%
EDUCATION AND HUMAN RESOURCES					
Math and Science Partnerships	\$150,079	\$200,000	\$200,000	0	0.0%
EPSCoR	90,650	75,000	75,000	0	0.0%
Elementary, Secondary and Informal Education	210,757	211,690	194,450	-17,240	-8.1%
Undergraduate Education	142,697	135,600	142,100	6,500	4.8%
Graduate Education	105,970	128,380	156,880	28,500	22.2%
Human Resource Development	97,009	90,210	103,410	13,200	14.6%
Research, Evaluation and Communication	68,946	67,200	66,200	-1,000	-1.5%
Subtotal EHR	\$866,108	\$908,080	\$938,040	\$29,960	3.3%
H-1B Nonimmigrant Petitioner Receipts	57,306	92,500	0	-92,500	-100.0%
Subtotal EHR	\$923,414	\$1,000,580	\$938,040	-62,540	-6.3%
Unobligated Balance Available					
Start of Year	-201				
Unobligated Balance Available					
End of Year	29,198				
Recoveries of Prior Year Obligations	-1,038				
Adjustments to Prior Year Accounts	-12				
Unobligated Balance Lapsing	225				
H-1B Nonimmigrant Petitioner Receipts	-57,306	-92,500	0	92,500	-100.0%
Reduction Pursuant to P.L. 107-206	20				
Appropriation Total	\$894,300	\$908,080	\$938,040	\$29,960	3.3%

SUMMARY OF FY 2004 BUDGET BY APPROPRIATION AND ACTIVITY

(DOLLARS IN THOUSANDS)

	FY 2002 APPROPRIATION	FY 2003 REQUEST	FY 2004 REQUEST	CHANGE	
				FY2004 Req/FY03 Req AMOUNT	PERCENT
MAJOR RESEARCH EQUIPMENT & FACILITIES CONSTRUCTION					
Unobligated Balance Available	\$115,352	\$126,280	\$202,330	\$76,050	60.2%
Start of Year	-73,093				
Unobligated Balance Available					
End of Year	96,551				
Recoveries of Prior Year Obligations	-10				
Adjustments to Prior Year Accounts					
Appropriation Total	\$138,800	\$126,280	\$202,330	\$76,050	60.2%
SALARIES AND EXPENSES¹					
Unobligated Balance Available	\$169,927	\$202,950	\$225,700	\$22,750	11.2%
Start of Year					
Unobligated Balance Available					
End of Year					
Adjustments to Prior Year Accounts					
Unobligated Balance Lapsing	205				
Reduction Pursuant to P.L. 107-206	244				
Subtotal, S&E	\$170,376	\$202,950	\$225,700	\$22,750	11.2%
Transferred from other funds	-336				
Appropriation Total	\$170,040	\$202,950	\$225,700	\$22,750	11.2%
OFFICE OF INSPECTOR GENERAL					
Unobligated Balanced Available	\$6,700	\$7,700	\$8,770	\$1,070	13.9%
Start of Year	-73				
Unobligated Balanced Available					
End of Year	137				
Recoveries of Prior Year Obligations	-14				
Adjustments to Prior Year Accounts					
Unobligated Balance Lapsing					
Reduction Pursuant to P.L. 107-206	10				
Appropriation Total	\$6,760	\$7,700	\$8,770	\$1,070	13.9%
TOTAL, NATIONAL SCIENCE FOUNDATION	\$4,808,540	\$5,028,220	\$5,481,200	\$452,980	9.0%

Totals may not add due to rounding.

¹ FY 2002 includes an Appropriations Transfer from the Department of State in the amount of \$14.0 million for an award to the U.S. Civilian Research and Development Foundation.

LEVEL OF FUNDING BY PROGRAM

(Dollars in Thousands)

PROGRAM	FY 2002 ACTUAL	FY 2003 REQUEST	FY 2004 REQUEST	CHANGE	
				FY 2004 Req/FY03 Req AMOUNT	PERCENT
<u>BIOLOGICAL SCIENCES</u>					
<i>MOLECULAR AND CELLULAR BIOSCIENCES</i>					
Molecular & Cellular Biosciences Research	\$112,172	\$111,556	\$116,860	\$5,304	4.8%
Total	112,172	111,556	116,860	5,304	4.8%
<i>INTEGRATIVE BIOLOGY AND NEUROSCIENCE</i>					
Integrative Biology & Neuroscience Research	100,859	98,726	103,380	4,654	4.7%
Total	100,859	98,726	103,380	4,654	4.7%
<i>ENVIRONMENTAL BIOLOGY</i>					
Environmental Biology Research	101,108	99,768	104,770	5,002	5.0%
Total	101,108	99,768	104,770	5,002	5.0%
<i>BIOLOGICAL INFRASTRUCTURE</i>					
Research Resources	48,220	47,944	54,990	7,046	14.7%
Human Resources	24,990	24,376	24,970	594	2.4%
Total	73,210	72,320	79,960	7,640	10.6%
<i>EMERGING FRONTIERS</i>					
Emerging Frontiers	47,297	68,250	82,250	14,000	20.5%
Total	47,297	68,250	82,250	14,000	20.5%
<i>PLANT GENOME RESEARCH</i>					
Plant Genome Research	74,999	75,000	75,000	0	0.0%
Total	74,999	75,000	75,000	0	0.0%
Total, BIO	\$509,645	\$525,620	\$562,220	\$36,600	7.0%

LEVEL OF FUNDING BY PROGRAM

(Dollars in Thousands)

PROGRAM	FY 2002 ACTUAL	FY 2003 REQUEST	FY 2004 REQUEST	CHANGE	
				FY 2004 Req/FY03 Req AMOUNT	PERCENT
COMPUTER AND INFORMATION SCIENCE AND ENGINEERING					
<i>COMPUTER-COMMUNICATIONS RESEARCH</i>					
Computer-Communications Research	\$69,687	\$70,170	\$75,870	\$5,700	8.1%
Total	69,687	70,170	75,870	5,700	8.1%
<i>INFORMATION AND INTELLIGENT SYSTEMS</i>					
Information and Intelligent Systems Research	51,648	50,610	52,400	1,790	3.5%
Total	51,648	50,610	52,400	1,790	3.5%
<i>EXPERIMENTAL AND INTEGRATIVE ACTIVITIES</i>					
Experimental and Integrative Activities	63,153	62,160	57,670	-4,490	-7.2%
Total	63,153	62,160	57,670	-4,490	-7.2%
<i>ADVANCED COMPUTATIONAL INFRASTRUCTURE AND RESEARCH</i>					
Advanced Computational Infrastructure	80,143	78,490	78,190	-300	-0.4%
Advanced Computational Research	6,612	6,930	14,370	7,440	107.4%
Total	86,755	85,420	92,560	7,140	8.4%
<i>ADVANCED NETWORKING INFRASTRUCTURE AND RESEARCH</i>					
Advanced Networking Infrastructure	47,969	46,620	46,420	-200	-0.4%
Advanced Networking Research	21,798	21,290	21,230	-60	-0.3%
Total	69,767	67,910	67,650	-260	-0.4%
<i>INFORMATION TECHNOLOGY RESEARCH (ITR)</i>					
Information Technology Research (ITR)	174,005	190,670	218,110	27,440	14.4%
Total	174,005	190,670	218,110	27,440	14.4%
<i>CYBERINFRASTRUCTURE</i>					
Cyberinfrastructure	0	0	20,000	20,000	N/A
Total	0	0	20,000	20,000	N/A
Total, CISE	\$515,015	\$526,940	\$584,260	\$57,320	10.9%

LEVEL OF FUNDING BY PROGRAM

(Dollars in Thousands)

PROGRAM	FY 2002 ACTUAL	FY 2003 REQUEST	FY 2004 REQUEST	CHANGE	
				FY 2004 Req/FY03 Req AMOUNT	PERCENT
<u>ENGINEERING</u>					
<i>BIOENGINEERING AND ENVIRONMENTAL SYSTEMS</i>					
Bioengineering and Environmental Systems	\$41,317	\$43,870	\$47,910	\$4,040	9.2%
Total	41,317	43,870	47,910	4,040	9.2%
<i>CHEMICAL AND TRANSPORT SYSTEMS</i>					
Chemical and Transport Systems	57,214	58,940	66,200	7,260	12.3%
Total	57,214	58,940	66,200	7,260	12.3%
<i>CIVIL AND MECHANICAL SYSTEMS</i>					
Civil and Mechanical Systems	56,087	57,750	64,360	6,610	11.4%
Total	56,087	57,750	64,360	6,610	11.4%
<i>DESIGN, MANUFACTURE, AND INDUSTRIAL INNOVATION</i>					
Design, Manufacture, and Industrial Innovation	55,881	57,580	61,910	4,330	7.5%
Small Business-Industrial Innovation	79,110	83,650	101,150	17,500	20.9%
Total	134,991	141,230	163,060	21,830	15.5%
<i>ELECTRICAL AND COMMUNICATIONS SYSTEMS</i>					
Electrical and Communications Systems	64,746	66,700	70,760	4,060	6.1%
Total	64,746	66,700	70,760	4,060	6.1%
<i>ENGINEERING EDUCATION AND CENTERS</i>					
Engineering Education and Centers	116,470	119,490	124,280	4,790	4.0%
Total	116,470	119,490	124,280	4,790	4.0%
Total, ENG	\$470,825	\$487,980	\$536,570	\$48,590	10.0%

LEVEL OF FUNDING BY PROGRAM

(Dollars in Thousands)

PROGRAM	FY 2002 ACTUAL	FY 2003 REQUEST	FY 2004 REQUEST	CHANGE	
				FY 2004 Req/FY03 Req AMOUNT	PERCENT
<u>GEOSCIENCES</u>					
<i>ATMOSPHERIC SCIENCES</i>					
Atmospheric Sciences Research Support	\$125,832	\$145,320	\$151,100	\$5,780	4.0%
National Center for Atmospheric Research	76,317	73,600	78,820	5,220	7.1%
Total	202,149	218,920	229,920	11,000	5.0%
<i>EARTH SCIENCES</i>					
Earth Sciences Project Support	95,376	116,940	109,160	-7,780	-6.7%
Instrumentation and Facilities	30,897	36,200	35,100	-1,100	-3.0%
Total	126,273	153,140	144,260	-8,880	-5.8%
<i>OCEAN SCIENCES</i>					
Ocean Section	104,044	120,010	115,760	-4,250	-3.5%
Integrative Programs Section	93,635	104,000	104,080	80	0.1%
Marine Geosciences Section	83,445	95,000	93,900	-1,100	-1.2%
Total	281,124	319,010	313,740	-5,270	-1.7%
Total, GEO	\$609,546	\$691,070	\$687,920	-\$3,150	-0.5%

LEVEL OF FUNDING BY PROGRAM

(Dollars in Thousands)

PROGRAM	FY 2002 ACTUAL	FY 2003 REQUEST	FY 2004 REQUEST	CHANGE	
				FY 2004 Req/FY 03 Req AMOUNT	PERCENT
<u>MATHEMATICAL AND PHYSICAL SCIENCES</u>					
<i>ASTRONOMICAL SCIENCES</i>					
Astronomical Research	\$165,993	\$161,250	\$183,070	\$21,820	13.5%
Total	165,993	161,250	183,070	21,820	13.5%
<i>CHEMISTRY</i>					
Chemistry Research	162,825	160,800	181,710	20,910	13.0%
Total	162,825	160,800	181,710	20,910	13.0%
<i>MATERIALS RESEARCH</i>					
Materials Research	219,371	219,320	246,120	26,800	12.2%
Total	219,371	219,320	246,120	26,800	12.2%
<i>MATHEMATICAL SCIENCES</i>					
Mathematical Sciences	151,529	181,870	201,870	20,000	11.0%
Total	151,529	181,870	201,870	20,000	11.0%
<i>PHYSICS</i>					
Physics Research	195,879	193,310	217,500	24,190	12.5%
Total	195,879	193,310	217,500	24,190	12.5%
<i>MULTIDISCIPLINARY ACTIVITIES</i>					
Research Project Support	24,827	25,020	31,000	5,980	23.9%
Total	24,827	25,020	31,000	5,980	23.9%
Total, MPS	\$920,424	\$941,570	\$1,061,270	\$119,700	12.7%

LEVEL OF FUNDING BY PROGRAM

(Dollars in Thousands)					
PROGRAM	FY 2002 ACTUAL	FY 2003 REQUEST	FY 2004 REQUEST	CHANGE	
				FY 2004 AMOUNT	Req/FY03 Req PERCENT
<u>SOCIAL, BEHAVIORAL AND ECONOMIC SCIENCES</u>					
<i>SOCIAL AND ECONOMIC SCIENCES</i>					
Social and Economic Sciences	\$68,289	\$77,610	\$83,920	\$6,310	8.1%
Total	68,289	77,610	83,920	6,310	8.1%
<i>BEHAVIORAL AND COGNITIVE SCIENCES</i>					
Behavioral and Cognitive Sciences	58,564	65,300	71,120	5,820	8.9%
Total	58,564	65,300	71,120	5,820	8.9%
<i>SCIENCE RESOURCES STATISTICS</i>					
Science Resource Statistics	16,277	25,700	26,700	1,000	3.9%
Total	16,277	25,700	26,700	1,000	3.9%
<i>INTERNATIONAL SCIENCE AND ENGINEERING</i>					
Office of International Science and Engineering	40,843	27,000	30,000	3,000	11.1%
Total	40,843	27,000	30,000	3,000	11.1%
Total, SBE ¹	\$183,973	\$195,610	\$211,740	\$16,130	8.2%
<u>UNITED STATES POLAR RESEARCH PROGRAMS</u>					
	\$230,517	\$235,740	\$261,860	\$26,120	11.1%
<u>UNITED STATES ANTARCTIC LOGISTICAL SUPPORT ACTIVITIES</u>					
	\$70,270	\$68,070	\$68,070	\$0	0.0%
<u>INTEGRATIVE ACTIVITIES</u>					
	\$105,755	\$110,610	\$132,450	\$21,840	19.7%
Total, RESEARCH AND RELATED ACTIVITIES	\$3,615,970	\$3,783,210	\$4,106,360	\$323,150	8.5%

LEVEL OF FUNDING BY PROGRAM

(Dollars in Thousands)

PROGRAM	FY 2002 ACTUAL	FY 2003 REQUEST	FY 2004 REQUEST	CHANGE	
				FY 2004 Req/FY03 Req AMOUNT	PERCENT
EDUCATION AND HUMAN RESOURCES					
<i>MATH & SCIENCE PARTNERSHIP</i>					
Math & Science Partnership	\$150,079	\$200,000	\$200,000	\$0	0.0%
Total	150,079	200,000	200,000	0	0.0%
<i>EXPERIMENTAL PROGRAM TO STIMULATE COMPETITIVE RESEARCH (EPSCoR)</i>					
Innovation Partnership Activities ¹	10,970	0	0	0	N/A
Experimental Program to Stimulate Competitive Research (EPSCoR)	79,680	75,000	75,000	0	0.0%
Total	90,650	75,000	75,000	0	0.0%
<i>ELEMENTARY, SECONDARY AND INFORMAL EDUCATION²</i>					
Instructional and Assessment Materials Development	28,861	28,990	28,990	0	0.0%
Teacher & Student Development	126,214	127,700	115,460	-12,240	-9.6%
Informal Science Education	55,682	55,000	50,000	-5,000	-9.1%
Total	210,757	211,690	194,450	-17,240	-8.1%
<i>UNDERGRADUATE EDUCATION</i>					
Curriculum, Laboratory & Instructional Development	85,588	79,740	71,740	-8,000	-10.0%
Workforce Development	57,109	55,860	70,360	14,500	26.0%
Total	142,697	135,600	142,100	6,500	4.8%
<i>GRADUATE EDUCATION</i>					
Graduate Student Support	105,970	128,380	156,880	28,500	22.2%
Total	105,970	128,380	156,880	28,500	22.2%
<i>HUMAN RESOURCE DEVELOPMENT</i>					
Undergraduate/ Graduate Student Support	55,072	50,770	62,970	12,200	24.0%
Research & Education Infrastructure	25,300	23,200	25,200	2,000	8.6%
Opportunities for Women and Persons with Disabilities	16,637	16,240	15,240	-1,000	-6.2%
Total	97,009	90,210	103,410	13,200	14.6%
<i>RESEARCH, EVALUATION AND COMMUNICATION</i>					
Research	55,910	54,560	54,560	0	0.0%
Evaluation	13,036	12,640	11,640	-1,000	-7.9%
Total	68,946	67,200	66,200	-1,000	-1.5%
Subtotal, EHR	866,108	908,080	938,040	29,960	3.3%
H-1B Nonimmigrant Petitioner Receipts ³	57,306	92,500	0	-92,500	-100.0%
Total, EHR	\$923,414	\$1,000,580	\$938,040	-\$62,540	-6.3%

¹FY 2002 Actual includes \$10.97 million for the Partnerships for Innovation program, which is funded in Integrative Activities in the Research and Related Activities Appropriation in the FY 2003 and FY 2004 Requests.

²FY 2002 Actual and FY 2003 Request for Elementary, Secondary and Informal Education (ESIE) includes \$45.06 million and \$40.25 million, respectively, from Education System Reform (ESR). For the FY 2004 Request, EHR proposes to move funds designated for the remaining ESR projects to consolidate K-12 programs into a single subactivity.

LEVEL OF FUNDING BY PROGRAM

(Dollars in Thousands)					
PROGRAM	FY 2002 ACTUAL	FY 2003 REQUEST	FY 2004 REQUEST	CHANGE FY 2004 Req/FY03 Req	
				AMOUNT	PERCENT
MAJOR RESEARCH EQUIPMENT AND FACILITIES CONSTRUCTION	\$115,352	\$126,280	\$202,330	\$76,050	60.2%
Total, MREFC	\$115,352	\$126,280	\$202,330	\$76,050	60.2%
SALARIES AND EXPENSES	\$169,927	\$202,950	\$225,700	\$22,750	11.2%
Total, S&E ¹	\$169,927	\$202,950	\$225,700	\$22,750	11.2%
OFFICE OF INSPECTOR GENERAL	\$6,700	\$7,700	\$8,770	\$1,070	13.9%
Total, OIG	\$6,700	\$7,700	\$8,770	\$1,070	13.9%
TOTAL, NATIONAL SCIENCE FOUNDATION	\$4,831,363	\$5,120,720	\$5,481,200	\$360,480	7.0%

Totals may not add due to rounding.

¹FY 2002 includes an Appropriations Transfer from the Department of State in the amount of \$14.0 million for an award to the U.S. Civilian Research and Development Foundation. (\$13.66 million in SBE and \$336,000 in S&E)

OBJECT CLASSIFICATION

NSF Consolidated Budget by Object Classification

(Includes All Appropriation Headings) ¹

<i>(Dollars in Millions)</i>				
Object Class Code	Standard Title	FY 2002 Actual	FY 2003 Request	FY 2004 Request
11.1	Full-time permanent	92	102	103
11.3	Other than fulltime permanent	7	7	7
11.5	Other personnel compensation	4	5	6
11.8	Special personal service payment	1	1	1
	Total personnel compensation	104	115	117
12.1	Civilian personnel benefits	22	24	24
21.0	Travel and transportation of persons	15	16	17
23.1	Rental payments to GSA	16	17	19
23.3	Communications, utilities, and miscellaneous charges	2	3	3
25.1	Advisory and assistance services	48	53	58
25.2	Other services	24	27	28
25.3	Purchases of goods and services from Government accounts	8	8	9
25.4	Operation and maintenance of facilities	202	202	202
25.5	Research and development contracts ²	26	15	10
25.7	Operation and maintenance of equipment	6	13	14
26.0	Supplies and materials	2	3	3
31.0	Equipment	14	18	31
41.0	Grants, subsidies, and contributions	4,342	4,607	4,946
	Total, Direct obligations ³	\$4,831	\$5,121	\$5,481

Totals may not add due to rounding.

¹Excludes obligations for the Donations Account.

²The funding pattern for research and development contracts varies in accordance with annual appropriations for construction of the South Pole Station within the Major Research Equipment and Facilities Construction (MREFC) account.

³Excludes carryover and includes H-1B Nonimmigrant Petitioner obligations.

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.

REIMBURSABLE AWARDS BY AGENCY

(Dollars in Millions)

DEPARTMENT/AGENCY	FY 2002
DEFENSE	
<i>AIR FORCE</i>	2.8
<i>ARMY</i>	4.5
<i>DARPA</i>	5.6
<i>NAVY</i>	2.8
SUBTOTAL, DOD	\$15.7
AGRICULTURE	0.7
ARCHIVES	1.0
ARMY CORP OF ENGINEERS	0.9
CIA	5.5
COMMERCE	5.4
EDUCATION	2.7
ENERGY	8.3
EPA	0.6
HEALTH & HUMAN SERVICES	16.7
HUD	0.9
JUSTICE	1.0
NASA	19.2
TRANSPORTATION	1.1
OTHER (less than \$500,000)	1.5
TOTAL REIMBURSEMENTS	\$81.2

Totals may not add due to rounding.

Since the 1980s, the number of interagency agreements NSF handles has increased dramatically. This increase is indicative of the growth in the breadth and complexity of the Foundation's programmatic activity. 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 2002, the largest portion of NSF's reimbursable activity came from joint activities with NASA, (23.6 percent) the Department of Health and Human Services (20.6 percent) and the Department of Defense (19.3 percent). Reimbursable activities with NASA were primarily for support of the National Center for Atmospheric Research (NCAR), as well as for the support and use of the national astronomy centers. 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 protein data bank.

PERSONNEL SUMMARY

	FY 2002	FY 2003 ¹	FY 2004	Change	
	Actual	Request	Request	Amount	Percent
Full-Time Equivalent Employment	1,243	1,274	1,264	-10	-0.8%
Average GS Grade	10.60	10.43	10.64	0.21	2.0%
Average Salary	\$79,109	\$86,165	\$86,615	\$450	0.5%

DETAIL OF PERMANENT APPOINTMENTS

	FY 2002	FY 2003 ¹	FY 2004
	Actual	Estimate	Estimate
Executive Level II	1	1	1
Executive Level III	1	1	1
Subtotal	2	2	2
ES-6	12	14	14
ES-5	9	14	14
ES-4	29	35	35
ES-3	16	12	12
ES-2	11	7	7
ES-1	4	0	0
Subtotal	81	82	82
AD	268	289	282
GS/GM-15	77	80	82
GS/GM-14	88	81	92
GS/GM-13	99	94	102
GS-12	96	118	106
GS-11	52	52	55
GS-10	12	14	15
GS-9	77	72	77
GS-8	64	83	65
GS-7	127	117	127
GS-6	33	43	35
GS-5	22	25	24
GS-4	0	8	4
Subtotal	747	787	784
Total Permanent Appointments	1,098	1,160	1,150
FTE	1,243	1,274	1,264

¹The source of the FY 2003 figures is the FY 2003 Congressional Request. These figures have not been updated.

EXPLANATION OF CARRYOVER 2002

The National Science Foundation's total unobligated balance of \$128.90 million from the FY 2002 Appropriation consists of amounts displayed below.

- In Research and Related Activities (R&RA), \$3.02 million is carried over into FY 2003. \$1.42 million is for funding of the Small Business Innovation Research (SBIR) Phase II program. The remaining amounts are from several awards in various programs that were not ready for obligation in FY 2002.
- In Education and Human Resources (EHR) \$29.20 million is carried over into FY 2003. \$9.65 million is for funding of the Math and Science Partnership, \$19.37 million for the Federal Cyber Service: Scholarship for Service program included in the FY 2002 Supplemental Appropriations Act (P.L 107-206) and \$180,000 for the Presidential Awards for Excellence in Science, Mathematics and Engineering Mentoring.
- In Major Research Equipment and Facilities Construction \$96.55 million is carried over into FY 2003. \$56.47 million is funding of the South Pole Station Modernization, \$35.0 million is for Terascale Computing System, \$4.88 million is for IceCube Research and Development, \$115,000 is for Polar Support Aircraft Upgrades, and \$84,980 for the South Pole Safety project.
- A total of \$137,405 in FY 2002 Office of Inspector General appropriated funds is carried over into FY 2003 to cover priority audits that are contracted out, fund the next phase of a contract to develop an OIG knowledge management system, and protect the appropriation against unanticipated variations between obligations and expenditures.

Distribution of FY 2002 Carryover into FY 2003

(Dollars in Thousands)

	FY 2003 Request	FY 2003 Carryover from FY 2002	Total FY 2003 Estimate
Research and Related Activities	3,783,210	3,015	3,786,225
Education and Human Resources ¹	908,080	29,198	937,278
Major Research Equipment and Facilities Construction	126,280	96,551	222,831
Salaries and Expenses	202,950	-	202,950
Office of Inspector General	7,700	137	7,837
Total	5,028,220	128,901	5,157,121

Totals may not add due to rounding.

¹Carryover excludes \$64.14 million of H-1B Nonimmigrant Petitioner Fees. \$38.16 million will be obligated by the Division of Undergraduate Education for scholarship awards; \$25.98 million will be obligated by the Division of Elementary, Secondary and Informal Education K-12 activities involving private-public partnership.

**NATIONAL SCIENCE FOUNDATION
FY 2004 CONGRESSIONAL REQUEST
FULL BUDGETARY COSTING**

The tables below show two methods for allocating the full budgetary cost of the NSF FY 2004 Request. The first shows the full budgetary costs allocated to each of NSF's operating directorates. The second shows these costs allocated to NSF's three strategic outcome goals: People, Ideas, and Tools. These allocations represent initial steps, using readily available information, in NSF's plans to achieve the integration of budget, cost, and performance, consistent with the President's Management Agenda.

What is Full Budgetary Cost? OMB Circular A-11 defines "full-cost" as the sum of all budget resources used by an agency to achieve program outputs and outcomes. These include both *direct* program costs and *indirect* costs, which generally include administrative costs and other activities that are not directly attributable to a single program or activity. For two of NSF's appropriations, Research and Related Activities (R&RA) and Education and Human Resources (EHR), all funds are directly attributable to directorates and outcome goals. For NSF's other three appropriations, Major Research Equipment and Facilities Construction (MREFC), Salaries and Expenses (S&E), and the Office of Inspector General (OIG), the funds are distributed using the methodologies described below.

Allocation by Directorate

The current budget structure contains program activities within R&RA and EHR that equate to directorates. Therefore, R&RA and EHR funding is already aligned by directorate. MREFC funds projects that are managed by a particular NSF directorate. Therefore, each MREFC project can be directly associated with a particular directorate. In addition, each managing directorate is responsible for the initial planning, design and follow-on operations and maintenance costs that are funded R&RA. The MREFC program funds were assigned to the managing directorate responsible for oversight of a particular project. (Table 1)

All budget items funded through the S&E and OIG appropriations accounts are defined as A&M and are allocated to directorates. More than half of the S&E account can be precisely associated with an individual directorate. These S&E Direct budget items consist of distributed funding for travel, training, equipment, supplies, incentive awards and premium pay. Also, space rental and personnel compensation and benefits (PC&B) of employees in a particular directorate are attributed to that directorate in the financial accounting system.

Once S&E Direct budget items that are directly associated with a particular directorate have been assigned, then budget items associated with the Office of Information and Resource Management (IRM), Office of Budget, Finance and Awards Management (BFA), the staff offices in the Office of the Director (OD), and OIG are allocated. These S&E Indirect budget items are allocated to a particular directorate based on the proportion of the total FY 2004 Directorate Request. The FY 2004 OIG budgetary costs are assigned using the same methodology as the S&E Indirect costs total. (Table 1)

Allocations by Strategic Outcome Goal

The full budgetary costing by PIT was derived by using the same methodology as stated above, except the Direct S&E budget items, Indirect S&E budget items, and total OIG funding were assigned using the PIT percentages for the applicable directorate. (Table 2)

FY 2004 FULL BUDGETARY COSTING

**Table 1: Allocation of Major Research Equipment and Facilities Construction (MREFC),
Salaries and Expenses (S&E), and the Office of Inspector General (OIG)
(Dollars in Thousands)**

	BIO	CISE	ENG	GEO	MPS	SBE	OPP	IA	R&RA Total	EHR	TOTAL
FY 2004 CONGRESSIONAL REQUEST	562,220	584,260	536,570	687,920	1,061,270	211,740	329,930	132,450	4,106,360	938,040	5,044,400
MREFC											
Large Hadron Collider (LHC)									-	-	-
NEES			8,000						8,000	-	8,000
Terascale Computing Syst (TCS)									-	-	-
HIAPER				25,530					25,530	-	25,530
South Pole Station							960		960	-	960
Earth Scope				45,000					45,000	-	45,000
NEON	12,000								12,000	-	12,000
IceCube							60,000		60,000	-	60,000
ALMA					50,840				50,840	-	50,840
MREFC Subtotals	12,000	-	8,000	70,530	50,840	-	60,960	-	202,330	-	202,330
Total Directorate FY 2004 Request including MREFC	574,220	584,260	544,570	758,450	1,112,110	211,740	390,890	132,450	4,308,690	938,040	5,246,730
Direct S&E											
Space Rental Direct	1,068	910	1,253	939	1,149	1,223	478	-	7,020	1,564	8,584
PC&B Direct	11,265	7,246	14,690	12,977	15,782	18,677	6,405	-	87,042	16,995	104,037
Distributed S&E Direct	961	729	1,168	785	1,208	836	528	-	6,215	969	7,184
Direct S&E Subtotals	13,294	8,885	17,111	14,701	18,139	20,736	7,411	-	100,277	19,528	119,805
Indirect S&E Cost Allocation	11,839	12,055	11,295	15,748	23,026	4,345	8,146	-	86,454	19,441	105,895
S&E Direct & Indirect Subtotals	25,133	20,940	28,406	30,449	41,165	25,081	15,557	-	186,731	38,969	225,700
OIG Allocation	981	998	936	1,305	1,906	360	674	-	7,160	1,610	8,770
NSF TOTAL	600,334	606,198	573,912	790,204	1,155,181	237,181	407,121	132,450	4,502,581	978,619	5,481,200

FY 2004 FULL BUDGETARY COSTING

**Table 2: Allocation by People, Ideas, and Tools
(Dollars in Thousands)**

Total Directorate FY 2004	BIO	CISE	ENG	GEO	MPS	SBE	OPP	IA	R&RA	EHR	TOTAL
People	53,499	59,806	89,053	38,444	130,200	17,504	6,804	14,000	409,310	811,229	1,220,539
Ideas	471,885	371,943	464,845	416,030	699,978	173,716	82,394	24,450	2,705,241	147,662	2,852,903
Tools	74,950	174,449	20,014	335,730	325,003	45,961	317,923	94,000	1,388,030	19,728	1,407,758
FULL BUDGETARY COST	600,334	606,198	573,912	790,204	1,155,181	237,181	407,121	132,450	4,502,581	978,619	5,481,200

Subtotals may not add due to rounding.

From the Friday, August 30, 2002 *Federal Register* (Vol. 67, No. 169), pages 55728-55729

NATIONAL SCIENCE FOUNDATION

45 CFR Part 672

Antarctic Conservation Act of 1978, Civil Monetary Penalties

AGENCY: National Science Foundation.

ACTION: Final rule with a request for comments.

SUMMARY: The National Science Foundation (NSF) is adjusting civil monetary penalties that may be imposed for violations of the Antarctic Conservation Act of 1978 to reflect inflation since the last effective adjustment.

DATES: This rule is effective September 30, 2002. Comments, however, are welcome at any time and will be considered in making future revisions.

ADDRESSES: All comments should be addressed to: John Chester, Assistant General Counsel, Office of the General Counsel, Room 1265, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

FOR FURTHER INFORMATION CONTACT: John Chester on (703) 292-8060 (voice) and (703) 2926-9041 (facsimile)—those are not toll-free numbers—or by electronic mail as jchester@nsf.gov through INTERNET.

SUPPLEMENTARY INFORMATION: The Federal Civil Penalties Inflation Adjustment Act of 1990 (104 Stat. 890; 28 U.S.C. 2461 note) as amended by the Debt Collection Improvement Act of 1996 [section 31001(s)(1) of the Omnibus Consolidated Rescissions and Appropriations Act of 1996, Pub. L. 104-134, approved 4/26/96] directs each Federal agency to adjust, by regulation, each civil monetary penalty provided by law within the jurisdiction of that agency to compensate for the effects of inflation. The only civil monetary penalties within the jurisdiction of the National Science Foundation are those imposed for violations of the Antarctic Conservation Act of 1978 (16 U.S.C. 2401 *et seq.*). On June 16, 1998 NSF published an amendment to its rules governing enforcement of that law adding a new section setting out the penalties for inadvertent and deliberate violations and adjusting those penalties for inflation as provided in the Debt Collection Improvement Act. The General Accounting Office recently informed the Foundation that the second adjustment made at that time exceeded the amount allowable under the cited statute. This amendment corrects that error by recognizing that the second adjustment was ineffective and therefore the initial adjustment remained in effect. It also adjusts the penalty amounts for violations occurring after August 31, 2002 to reflect the approximately nine percent inflation from June 1998, the year when the penalty was adjusted, through June 2001. Because of the rounding rules applicable to these adjustments, no change will be made to the penalty for knowing violations. This amendment also changes the language used to describe the two levels of violations to incorporate that used in the relevant section of the Antarctic Conservation Act [16 U.S.C. 2407(a)].

Future adjustments will be made at least once every four years as called for in the amended Debt Collection Improvement Act.

Because this action merely makes adjustments required by statute, public comments were not solicited prior to its issuance.

Determinations

Under the criteria set forth in Executive Order 12866 as amended by Executive Order 13258, that this rule is not a significant regulatory action requiring review by the Office of Information and Regulatory Affairs. Consequently, this rule is also not subject to Executive Orders 13045 and 13211.

The rule is not an economically significant rule or a major rule under the Congressional Review Act. The Congressional Review Act provides that agencies shall submit a report, including a copy of all final rules, to each House of Congress and the Comptroller General of the United States. The Foundation will submit this report, identifying this rule as non-major, upon the publication of this rule in the **Federal Register**.

The Unfunded Mandate Reform Act of 1995, in sections 202 and 205, requires that agencies prepare several analytic statements before proposing a rule that may result in annual expenditures of \$100 million by State, local and Indian tribal governments, or by the private sector. As this rule will not result in expenditures of that magnitude, such statements are not necessary. As required by the Regulatory Flexibility Act, it is hereby certified that this rule will not have a significant impact on a substantial number of small businesses.

The provisions of the Paperwork Reduction Act of 1995, Public Law 104– 13, 44 U.S.C. 3501 *et seq.*, and its implementing regulations, 5 CFR Part 1320, do not apply to this rule because there are no new or revised recordkeeping or reporting requirements. This action does not have a substantial direct effect on one or more Indian tribes, on the relationship between the Federal Government and Indian tribes, or on the distribution of power and responsibilities between the Federal Government and Indian tribes as specified by Executive Order 13175 and accordingly is not subject to that Order. Finally, NSF has reviewed this rule in light of Section 2 of Executive Order 12778 and certifies that this rule meets the applicable standards provided in sections 2(a) and 2(b) of that order.

List of Subjects in 45 CFR Part 672

Administrative practice and procedure, Antarctica.

For the reasons set out in the preamble, 45 CFR Part 672 is amended as follows:

PART 672—ENFORCEMENT AND HEARING PROCEDURES; TOURISM GUIDELINES

1. The authority citation for Part 672 continues to read as follows:

Authority: 16 U.S.C. 2401 *et seq.*, 28 U.S.C. 2461 note

2. Revise § 672.24 to read as follows:

§ 672.24 Maximum civil monetary penalties for violations.

- (a) For violations occurring before August 1, 1998, the maximum civil penalty that may be assessed under §§ 672.20(b) and 672.23(a) is set by the statute at \$5,000 for any violation and \$10,000 for knowing violations.

(b) For violations occurring between August 1, 1998 and August 31, 2002, the maximum civil penalty was adjusted under authority of the Federal Civil Penalties Inflation Adjustment Act of 1990 (28 U.S.C. 2461 note) as amended by the Debt Collection Improvement Act of 1996 (Pub. L. 104-134) to \$5,500 for any violation and \$11,000 for knowing violations.

(c) For violations occurring after August 31, 2002, the maximum civil penalty is adjusted under authority of the Federal Civil Penalties Inflation Adjustment Act of 1990 (28 U.S.C. 2461 note) as amended by the Debt Collection Improvement Act of 1996 (Pub. L. 104-134) to \$6,500 for any violation and \$11,000 for knowing violations.

National Science Foundation.

Dated: July 18, 2002.

Lawrence Rudolph,

General Counsel.

[FR Doc. 02-22152 Filed 8-29-02; 8:45 am]

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