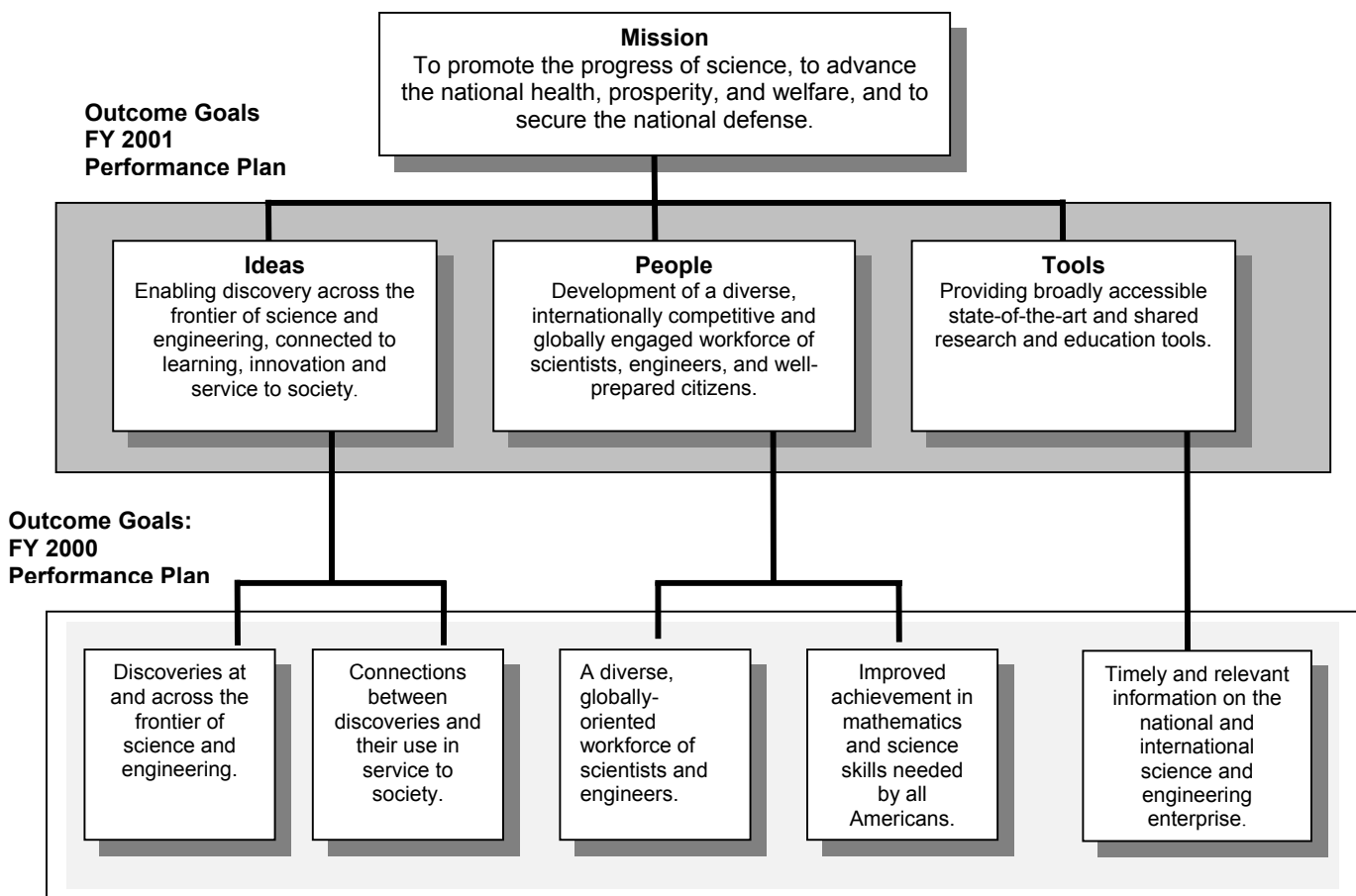


IX. TRANSITION FROM FY 2000 TO FY 2001

The NSF FY 2001 Performance Plan was based on our updated GPRA *Strategic Plan FY 2001 – 2006*, finalized in September 2000, and upon newly developed Strategic Outcomes included therein. The chart below clarifies the linkage between our new goals for FY 2001 and those described in earlier NSF GPRA documents. The new Strategic Outcome Goal areas of developing People, enabling Ideas, and providing Tools serve as the linkage between NSF's mission and annual performance goals. The goals in the FY 2001 Performance Plan took into account lessons learned in FY 1999 and FY 2000, recommendations from the NSF Strategic Planning Integration Group, and input from the research community, auditors, Congressional groups, and stakeholders. Additional discussion of annual performance goals and indicators pertaining to these Outcome areas may be found in the NSF FY 2001 Performance Plan.



ANNUAL PERFORMANCE GOALS FOR NSF STRATEGIC OUTCOMES

- FY 2000 Outcome Goal: A diverse, globally oriented workforce of scientists and engineers.
- FY 2000 Outcome Goal: Improved achievement in mathematics and science skills needed by all Americans.

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These goals are incorporated under the FY 2001 Strategic Outcome: People-A diverse, internationally competitive and globally engaged workforce of scientists, engineers, and well-prepared citizens.

- FY 2000 Outcome Goal: Discoveries at and across the frontier of science and engineering.
- FY 2000 Outcome Goal: Connections between discoveries and their use in service to society.

These goals are incorporated under the FY 2001 Strategic Outcome: Ideas - Discovery across the frontier of science and engineering, connected to learning, innovation and service to society.

- FY 2000 Outcome Goal: Timely and relevant information on the national and international science and engineering enterprise.

This goal addresses the concerns of Science Resources Studies (SRS) customers regarding the accuracy of and the ability to obtain needed information on science and engineering personnel and resources. The goal was adjusted to determine what data are needed to better reflect the 21st century science and technology enterprise – to develop, assess, and begin implementation of design options for recasting SRS science and engineering resources data collections. This goal is incorporated under the FY 2001 Strategic Outcome: Tools - Broadly accessible state-of-the-art and shared research and education tools.

ANNUAL PERFORMANCE GOALS FOR NSF MANAGEMENT

- FY 2000 Performance Goal: By the end of FY 2000, all staff will receive an orientation to FastLane, and at least 80% of program and program support staff will receive practice in using its key modules.

NSF offers a comprehensive training program and strongly encourages all employees to keep current with technology improvements as well as government regulations. This goal was not continued in FY 2001.

- FY 2000 Performance Goal: NSF will complete all activities needed to address the Year 2000 problem for its information systems according to plan, on schedule and within budget.

OMB guidelines and milestones for assessment, renovation, validation and implementation were followed and achieved. External validation of NSF's systems compliance with Y2K guidance was accomplished. This goal is no longer relevant.

- FY 2000 Performance Goal: During FY 2000, at least 85% of all project reports will be submitted through the new electronic Project Reporting System.

Since the system was fully utilized the goal was not continued in FY 2001.

- FY 2000 Performance Goal: By the end of FY 2000, NSF will have the technological capability to take competitive proposals submitted electronically through the entire proposal and award/declination process without generating paper within NSF.

This goal has been modified to focus on the review process. NSF will conduct 10 pilot paperless projects that manage the competitive review process in an electronic environment.

CHANGES IN ANNUAL PERFORMANCE GOALS FOR NSF'S INVESTMENT PROCESS

- FY 2000 Performance Goal: At least 90% of NSF funds will be allocated to projects reviewed by appropriate peers external to NSF and selected through a merit-based competitive process.

This performance goal was revised from that stated in FY 1999 and early 2000 in order to be consistent with the government-wide definition of merit-reviewed scientific research as specified by OMB in FY 2000:

NSF exceeded the original goal of 90% for FY 1999 and FY 2000 by achieving results of 95% for both years. Nevertheless, NSF has calculated a new baseline, goals, and results based on OMB's revised merit review definition issued in FY 2000.

- FY 2000 Performance Goal: NSF's performance in implementation of the new merit review criteria is successful when reviewers address the elements of both generic review criteria appropriate to the proposal at hand and when program officers take the information provided into account in their decisions on awards, as judged by external independent experts.

This goal was separated into its component parts and directed toward reviewers and program officers to better measure the performance of each.

- FY 2000 Performance Goal: Identify possible reasons for customer dissatisfaction with NSF's merit review system and with NSF's complaint system.

The information is being utilized in staff training and in developing goals. This goal was not continued in FY 2001.

- FY 2000 Performance Goal: Identify best practices and training necessary for NSF staff to conduct merit review and answer questions about the review criteria and process. Identify best practices and training necessary for NSF staff to answer questions from the community and to deal with complaints in a forthright manner.

Customer service continues to be of the highest priority for NSF. NSF continues to address these concerns, particularly those involving the merit review process and handling of customer complaints and will concentrate on improving its Merit Review Process (see FY 2001 performance goals V-4 and V-5.) This goal was not continued in FY 2001.

- FY 2000 Performance Goal: Improve NSF's overall American Customer Satisfaction Index (ACSI) compared to the FY 1999 index of 57 (on a scale of 0 to 100.)

Customer service continues to be a high priority for NSF. The results of these surveys were used to identify issues of importance to respondents, which enables NSF to design meaningful goals. This goal was not continued in FY 2001.

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- FY 2000 Performance Goal: Develop a plan and system to request that Principal Investigators address the integration of research and education in their proposals, and develop a system to verify that PIs have done so.

The goal is incorporated into the Implementation of Merit Review Criteria Goals for FY 2001 (see FY 2001 performance goals V-2 and V-3). Each program announcement, NSF's Guide to Programs and the Grant Proposal Guide explain the review criteria.

The plan was developed and is being utilized. Issuance of Important Notice #125 reminded PIs of the importance of addressing this topic. This goal was not continued in FY 2001.

- FY 2000 Performance Goal: Develop and implement a system/mechanism to request and track reviewer comments tied to merit review criterion #2, "what are the broader impacts of the proposed activity?".

The system was developed and is being utilized. The goal above is incorporated into the Implementation of Merit Review Criteria Goals for FY 2001 (see FY 2001 performance goals V-2 and V-3). Each program announcement, NSF's Guide to Programs and the Grant Proposal Guide explain the review criteria (see Implementation of Merit Review Criteria.) This goal was not continued in FY 2001.

- FY 2000 Performance Goal: In FY 2000, NSF will identify mechanisms to increase the number of women and underrepresented minorities in the proposal applicant pool, and will identify mechanisms to retain that pool.

This goal is incorporated under the FY 2001 Strategic Outcome: People—A diverse, internationally competitive and globally engaged workforce of scientists, engineers, and well-prepared citizens, and also under the Implementation of Merit Review Criteria Goals (reviewer and Program Officer goals) for FY 2001.

This goal was not continued as stated. In FY 2001, NSF focused its "broadening participation" performance area initially on diversification of the reviewer pool.