National Science Foundation
Advisory Committee for Business and Operations
Fall 2015 Meeting

December 8-9, 2015
Room 1235

Tuesday, December 8, 2015

1:00 pm **Welcome/Introductions/Recap**
Co-Chairs: Greg Jackson and Susan Sedwick

1:15 pm **BFA/OIRM/OLPA Updates**
Presenters: Marty Rubenstein, BFA, Joanne Tornow, OIRM, Tony Gibson, Office of Legislative and Public Affairs

1:45 pm **NSF Headquarters Relocation Update**
The NSF Relocation Office will update the Committee on the status of the relocation project. Specifically, the presentation will address the status of design and construction, overall project schedule and how the project team will use an Integrated Project Schedule, a strategic communications plan, and union negotiations.

Presenter: Brian MacDonald, OIRM

2:30 pm **Modernizing the Workforce - IT-Driven Change Management**
The presentation will describe some of the previous experience with automation of business processes, as well as some observations on predictable and unanticipated outcomes. It will then describe some new IT developments related to business intelligence, more open access, and new reporting capabilities that will likely change elements of the work environment at NSF. These developments have the potential to give users the capability to perform higher-value work and to create analyses that can assist with data-driven decision making. However, fully capturing this potential likely requires the NSF workforce to adapt to new ways of doing things and to gain new skills and abilities quickly. This raises questions on how we ready the NSF workforce for this new data-driven world.

Committee Action/Feedback:
- To what extent have your organizations experienced similar change in IT-enabled capabilities?
- How have you managed adaptation in the workforce in light of such change?
- Updating the capabilities of the existing workforce
- Modifying the skills and abilities you are looking for in hiring new employees
- What guidance do you have for NSF as we manage the current confluence of opportunities?

Presenter: Judy Sunley, OIRM

Discussant: Chuck Grimes

3:15 pm **Break**

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3:30 pm   **Document Management and Digitization Project**
Two drivers, external and internal, are leading NSF to address records management at this time: Compliance with Presidential Memorandum M-12-18 to "reform records management policies and practices and to develop a 21st-century framework for the management of government records" by December 31, 2019; and NSF's impending relocation to Alexandria – The space allocation will not allow the same central filing space as in the current headquarters, therefore reduction is required.

NSF is currently working on a pilot focusing on the document management and digitization of non-grant records. The goal is to recommend an electronic system that will best meet NSF's needs by reducing paper working files.

Committee Action/Feedback:
- Have your organizations identified or implemented industry standards for electronic document management systems?
- What guidance do you have for NSF to effectively manage, improve, and implement the transition from paper to electronic formats?
- Do you have best practices from private industry that could be shared to aid NSF through this transition?

Presenter: Wonzie Gardner, OIRM

Discussant: Jim Barbret

4:15 pm   **National Academy of Public Administration (NAPA) Study of NSF's Use of Cooperative Agreements to Support Large Scale Investments in Science and Technology (CLOSED SESSION)**
At the spring 2015 meeting, NSF informed the NSF Advisory Committee for Business and Operations that the Director and the National Science Board had commissioned the National Academy of Public Administration (the Academy) to scrutinize NSF's use of Cooperative Agreements to support the development, construction, and operation of state-of-the-art, large-scale research facilities. The Academy appointed an expert Panel, supported by a professional study team, to explore other federal funding mechanisms and agency practices and to recommend improvements to NSF's processes that support large-scale research facilities.

The study is expected to conclude later this month, and NSF management requests that the Committee review the draft Academy report and provide expert advice on how best to implement recommendations.

Committee Action/Feedback:
NSF is considering formation of a subcommittee of the NSF Business and Operations Advisory Committee to advise the agency as it prepares to assess the Academy recommendations and consider implementation. NSF seeks the Committee's perspective on the formation of a subcommittee, its charge and potential subcommittee members. NSF also seeks the Committee's feedback on the draft Academy report and any other potential next steps.

Presenter: Fae Korsmo, Office of the Director

5:30 pm   **Adjourn**

6:30 pm   **Dinner - SER**

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Wednesday, December 9, 2015

8:45 am   **Preparation for Discussion with Dr. Córdova and Dr. Buckius**

9:30 am   **Discussion with Dr. Córdova and Dr. Buckius**

10:30 am   **Break**

10:45 am   **Presidential Transitions: What Agencies Can Do to Prepare**
NSF is only a year away from the next presidential transition. All Federal agencies face the challenge of needing to take concrete steps to prepare for the transition well in advance of knowing who the next President will be or what transition materials will be required. NSF would like to use limited time and human resources productively and efficiently to make the transition as smooth as possible. Comprehensive preparation based on the assumption that the new administration will want or need information on anything or everything is likely not an efficient use of limited staff hours. Learning what practices and strategies have proven effective to other federal agencies could help NSF make sound decisions about gathering transition materials.

NSF also faces the challenge of planning for the future without knowing the priorities of the next administration. GPRA Modernization requires agencies to update their strategic plans with the change in administration. NSF's draft strategic plan will be due only six months post-transition. The development of a new strategic plan is generally a lengthy process that involves the participation of representatives and gathering of input from across the agency. Mechanisms to gather contextual information and input from stakeholders outside of the agency is also an important part of plan development. NSF needs to consider how much of this process should be undertaken in advance of guidance or specific knowledge of administration priorities.

Committee Action/Feedback:
NSF would appreciate the Committee's input on how NSF can plan for the transition and the agency's future in productive useful ways. Below are some questions about specific challenges.

- What are some best practices from previous transitions or other agencies that NSF should consider?
- What types of background materials are most useful to prepare?
- Is it useful for agencies to analyze different scenarios to anticipate (such as via campaign materials, party platforms, etc.) the types of information that might be of interest to an incoming administration?
- How much of the strategic planning process can reasonably be undertaken in advance of the transition?
- Is the expectation that the incoming administration will provide specific guidance? If so, what time frame can agencies anticipate?

Presenters: Michael Sieverts, BFA / Pamela O'Neil, BFA

Discussant: John Kamensky

11:30 am   **Wrap-Up**

12:00 pm   **Adjourn**

Spring 2015 Recommendations from the Business and Operations Advisory Committee

Title	Meeting Date	Recommendation	Date of Mtg	NSF Contact	Status	Explanation/Outcome	Fiscal Year	Theme
Change Management	Spring 2015	Engagement with the labor union is urged as it is critical to successful change management.	2015 Spring		Closed		FY15	Change Management;Human Resources
NSF Relocation	Spring 2015	Senior management must set the tone from the top and be visible and actively engaged.	2015 Spring		Closed		FY15	Change Management;Human Resources
NSF Relocation	Spring 2015	Communications must be two-way, transparent and ongoing.	2015 Spring		In Progress		FY15	Change Management;Human Resources
NSF Relocation	Spring 2015	Use GSA experience in project management.	2015 Spring		Closed		FY15	Advice on OIRM Operations;Change Management;
NSF Relocation	Spring 2015	Consider hiring temporary runners/maintenance to mitigate the challenges of being in a new building where lack of familiarity is pervasive	2015 Spring		Open		FY15	Advice on OIRM Operations;Change Management;Human Resources;Other
NSF Relocation	Spring 2015	Solutions to the daycare and sparse food service options should be a priority	2015 Spring		Closed		FY15	Advice on BFA Operations;Strategic Planning & Performance
NAPA Report on Large Facilities	Spring 2015	As NSF awaits NAPA's report the agency should contemplate the following considerations: • How does NSF define and measure cooperative agreement success? Tools such as portfolio analysis can assess if project is on schedule and on budget and whether projects have delivered near expectations. • How does NSF engage/leverage the active user committees of operating facilities? Facilities' scientists are hiring project management staff, but NSF is the steward and facilities are monitored very carefully to determine if they are scientifically viable. • One cooperative agreement may not fit all. The Committee hopes that NAPA is considering that a cooperative agreement may need to be very unique with specific provisions appropriate for the particular facility it supports. • Paying attention to the front-end of the cooperative agreement is important to yield discovery. NSF and the awardee must define, in measurable terms, what the facility is to accomplish. While NSF understands that facilities are built to enable scientific discovery, NSF must work with facility teams, prior to the final award of funds, to understand the model of service delivery for the proposed scientific facility. NSF must work with facility scientists to clearly define: 1. a facility's or project's scientific goals 2. the processes that will be used to manage the project during the construction and, separately, during operations phases; and	2015 Spring		Open		FY15	Large Facilities
		3. the set of quantitative and qualitative performance metrics NSF will use to evaluate performance against design criteria and the quality of the user experience.						
CEOSE Report	Spring 2015	The Committee appreciated the CEOSE presentation and supported the initiatives described by Alicia Knoedler such as, leveraging the relationship between CEOSE and NSF's priority goals, integrating these issues throughout NSF, naming a CEOSE liaison to the Industrial Research Institute group, increasing the number of underrepresented minorities in NSF activities.	2015 Spring		Closed		FY15	Broadening Participation

Nature of Agenda Item: NSF Headquarters Relocation- Status Update

Presentation:

The NSF Relocation Office will update the Committee on the status of the relocation project. Specifically, the presentation will address the status of design and construction, overall project schedule and how the project team will use an Integrated Project Schedule, a strategic communications plan, and union negotiations.

Committee Action/Feedback

None

Contact Person(s):
Brian MacDonald
Project Director, NSF Relocation Office
703-292-7561
brmacdon@nsf.gov

Agenda

- Construction Status

- Project Schedule

- Integrated Project Schedule

- Strategic Communications

- Union Negotiations

- Budget

- Q&A

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Construction Status

- Curtainwall on South building face is ongoing.

- Installing 19th floor windows.

- Working on all elevators.

- Hanging drywall on the 8th – 13th floors.

- Lobby framing and overhead work is underway.

- West penthouse roof is ongoing.

- Tiling bathrooms on 2nd, 6th, and 7th floors.

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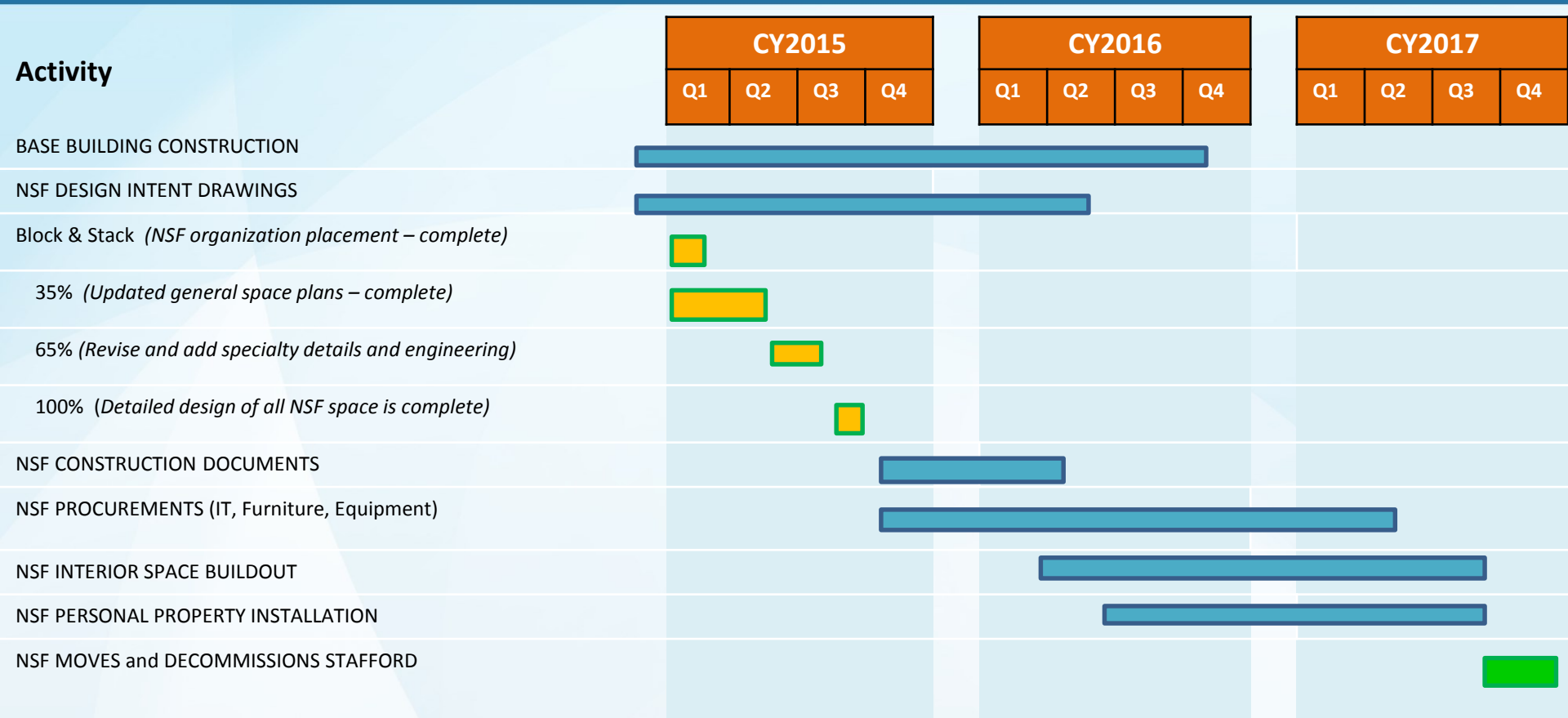Chief Information Officer

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Project Schedule

- General Services Administration (GSA) and the owner reset the project schedule as part of the Federal Services Impasses Panel (FSIP) settlement.

  - Move in starts September 2017

- The project is on schedule.

  - NSF has met all deadlines

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Integrated Project Schedule

- Office of Information and Resource Management (OIRM) developing an Integrated Project Schedule.

  - Ensures all activities are identified and monitored

  - Assigns management and funding responsibilities

  - Uncovers overlap or gaps

  - Primary tool to assess project health

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Strategic Communications

- Agency communication critical to ensure successful relocation.

- Current communication methods include,

  - FNSF email and Inside NSF intranet site

  - Weekly Wire updates

  - Monthly Tours to site

  - News Central - Digital Display slides

  - OIRM Open House, Town Hall, Directorate Information Sessions, Directorate Liaisons Sessions

- Draft Strategic Communications plan currently being reviewed by leadership. Outlines communications efforts for next 2+ years.

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Union Negotiations

- Phase 2 negotiations completed.

- Used a collaborative approach to reach agreement on many substantive issues, including the furniture designs and seating assignments.

- Phase 3 negotiations schedule to commence in January.

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Original Project Funding Strategy

- Project funding derived from two sources:
  - Lease concessions
  - NSF annual appropriations

- Original funding strategy:
  - Lease concessions fund design and construction.
    - Agencies must augment lease concessions with annual appropriations to fully fund design and construction.
      - NASA allocated $27M of appropriated funds to its recent headquarters project
      - HHS allocated $69M of appropriated funds for a recent headquarters project
  - NSF annual appropriations fund NSF procurements (furniture, IT, AV, security, physical move, etc.).

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Total Project Cost & Funding

- Total Design & Construction cost estimate based on 65% Design Intent Drawings (DIDs).

  - 100% DIDs, 75% Construction Drawings (CDs), and 100% CDs follow

  - Construction bid off 75% CDs

- Estimates were peer reviewed by professional estimating firm.

- Final cost will be known in early calendar year 2016.

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Q & A

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Status of BOAC Relocation Recommendations		
Meeting Date	**Recommendation**	**Explanation/Status**
Fall 2014	Committee members stressed the importance of frequent communication with the staff and the need to engage the business community in the new neighborhood	The NSF Relocation Office continues to release regular status updates on the project. The topics of our communications have been limited due to ongoing union negotiations, however, we are poised to start producing communications that focus on the user experience and benefits of the new building. In particular, the NSF Relocation Office is developing a strategic communications plan that ties our outreach to key project milestones and leverages other communications resources throughout the Agency. This plan will set the communications schedule for the remainder of the project. The plan includes: (1) Weekly Wire Updates, (2) Monthly Tours to the Site (to increase in frequency as the relocation draws closer), (3) News Central/Digital Signage displays, (4) OIRM's Open House, (5) Monthly Directorate Liaison Meetings, (6) Quarterly Directorate Information Sessions/Town Halls (to increase in frequency as the relocation draws closer), and development and maintenance of a SharePoint site which provides an archive of Weekly Wire Updates, FAQ's and key information related to the relocation. As it relates to the Business Community, the NSF Relocation Office has developed a relationship with Alexandria Economic Development Partnership. Quarterly meetings have been established to coordinate NSF's efforts within future neighborhood.
Fall 2014	Members of the committee also encouraged the agency to continue its focus on developing a succession planning strategy, but challenged them to couple it with efforts to retain those members of the staff who are important to the future of the agency. The **upcoming move of the headquarters to Alexandria** will make retention a bigger problem. That makes effective change management strategies that much more important. Suggestions included:	
	• Focus on removing those things that are "dissatisfiers" for staff members;	Across NSF, there are efforts underway to streamline work processes and address employee workload concerns -- the #1 "dissatisfier" for most staff. We are also working toward more complete use of our FTE and IPA authorities so that we have the personnel we need on board to carry out the work.
	• Look at creative ways to address the childcare issues that are presented by the fact that NSF will no longer have an onsite childcare facility. Work with the business community to address the issue.	Management and our union partners are exploring ways to mitigate the loss of an onsite child care center. Numerous solutions are under consideration and our hope is that the impact on the 25 NSF employees that utilize the on-site child care center will be negligible. The NSF Relocation Office continues to work with the City of Alexandria to identify suitable locations and operators for a child care center near the new building. According to the City, no less than five day care operators are searching for new child care center sites within walking distance of the new building. The City is well aware of NSF's desire for adequate daycare and continues to pursue opportunities for additional daycare within the development area. NSF is currently negotiating with the union on child care services; since this is an ongoing issue, we respectfully request the Committee to not further discuss the issue at this time due to sensitivity of the negotiation.

	Status of BOAC Relocation Recommendations	
	•Look for ways to expand opportunities for alternative workplaces and arrangements.	Increasing flexibility and reducing long-term occupancy costs are design guidelines for NSF's future space. NSF is positioned to take advantage of workplace trends, which continue to evolve, with minimal effort. In addition to "future proofing" the physical environment, the information technology and audio-visual design are also designed to make mobile work (whether desk sharing, teleworking, etc.) easy for employees.
Fall 2014	Recommendations related to the overall Change Management theme of the Fall 2014 meeting:	
	• Focus communications on the quality of the employee's experience in the new facility;	Please see the response above.
	Learn from past experiences with disrupting merit panel review committees and avoid the same mistakes;	Minimizing the disruption to the merit panel review committees is one of the key factors for the NSF Relocation Office's analysis of move scenarios. The goal is to move the agency as efficiently as possible with the least impact on mission.
	• Engage the leadership constantly in setting the tone for change; and,	We agree, and senior leadership is engaged and supportive in setting the tone for change. At the very highest level, the NSF Director has directly expressed her support and she and the Chief Operating Officer are actively engaged and ensuring that our NSF's senior leadership team is involved and committed as well. The Relocation Executive Advisory Group has representatives from across NSF and remains active in its support and leadership. We regular brief the leadership through meetings of SMaRT and the Deputy AD's, as well as Directorate all-staff meetings in which we share information and talk with employees about their concerns. As we develop the agency's Strategic Communications Plan we will further define roles through all levels of the organization to ensure that we not only set the tone, but have roles and responsibilities to help us manage the change in a transparent and engaged way with staff. Specifically to OIRM, because of the significant role we have in the relocation, the NSF Director has expressed her support to us as key drivers of the change. OIRM has established a senior management working group that is exploring ways we can set the example for the rest of the agency by setting the tone within OIRM to make the move a positive and visible element of the future for all employees.
	• Routinely and religiously update the FAQs on the relocation and negotiations with the union.	The FAQs will be updated on a regular basis so the most accurate and up-to-date information is available to all NSF staff.
Spring 2015	Recommendations from the Spring 2015 meeting related to the relocation:	
	• Senior management must set the tone from the top and be visible and actively engaged.	See above response to related question from Fall 2014
	• Communications must be two-way, transparent and ongoing.	The NSF Relocation Office continues to engage employees with regular, in-person update sessions that offer staff an opportunity to ask questions and provide feedback. We expect more two-way engagement as the strategic communications plan is finalized and executed upon.
	• Use GSA experience in project management.	GSA recently replaced the project manager with a seasoned project executive with years of experience managing high-profile projects for the federal government, including the renovation of the West Wing in the White House.

Status of BOAC Relocation Recommendations	
• Consider hiring temporary runners/maintenance to mitigate the challenges of being in a new building where lack of familiarity is pervasive.	The company hired to manage the physical relocation to the new building will provide "help desks" on each floor in the new building during and after the move. The staff will serve as guides and troubleshooters for employees unaccustomed to working in a new environment.
• Solutions to the daycare and sparse food service options should be a priority.	While there are numerous food service options located within a 5 minute walk of the new building, NSF is constructing a full-service cafeteria on the 2nd floor of the new building. The cafeteria will serve breakfast and lunch as well as provide catering services to the panel conferences. NSF is partnering with the Alexandria Economic Development Partnership regarding other food options in the area.

Nature of Agenda Item: Modernizing the Workforce- IT-Driven Change Management- Advice Needed

Presentation:

The presentation will describe some of the previous experience with automation of business processes, as well as some observations on predictable and unanticipated outcomes. It will then describe some new IT developments related to business intelligence, more open access, and new reporting capabilities that will likely change elements of the work environment at NSF. These developments have the potential to give users the capability to perform higher-value work and to create analyses that can assist with data-driven decision making. However, fully capturing this potential likely requires the NSF workforce to adapt to new ways of doing things and to gain new skills and abilities quickly. This raises questions on how we ready the NSF workforce for this new data-driven world.

Committee Action/Feedback

We will pose the following questions for the Committee members:

- To what extent have your organizations experienced similar change in IT-enabled capabilities?
- How have you managed adaptation in the workforce in light of such change?
- Updating the capabilities of the existing workforce
- Modifying the skills and abilities you are looking for in hiring new employees
- What guidance do you have for NSF as we manage the current confluence of opportunities?

Contact Person:

Judy Sunley
Division Director, Human Resource Management, 703-292-4561, jsunley@nsf.gov

The NSF Tradition: Automating Paper Processes

Program Business Systems

- External facing: FastLane; Review/Panel submission; Grants.gov; early elements of Research.gov

- Internal facing: Reviewer selection; eJacket for declinations and awards; Award system

Other Business Systems

- Financial management: FAS; iTRAK

- HR processing

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Outcomes from Automation

Predictable Outcomes

- Efficiency
- Allowed individuals to manage higher proposal loads
- Automated reporting capabilities on key elements
- Minimized requirements for document retention and storage

Unanticipated Outcomes

- Great variety in how organizations implemented the electronic processes
- Shifts in who did what work
- Program staff tied to their computers & "process"
- Needed reporting capabilities not supported by the systems

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Beyond Automation

Business Intelligence Capability

- Research.gov

- Evaluation capabilities in E&HR; ENG; and OIA

- HR Business Intelligence

New Reporting Capabilities

- iTRAK

- webTA

Sharing Processes and Information

- Web-based capabilities

- Social media

- Public Access to results of NSF-supported research

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Beyond Automation: Potential Outcomes

Enhanced Program Capabilities

- Award portfolio scenarios, analysis
- Outcome evaluation
- Increased transparency about NSF programs

Enhanced Business Capabilities

- Managing workload across programs and individuals
- Tracking processes and work flows
- More consistency in managing processes

Shifts in the Types of Work and Skills Needed

- Award management, evaluation, information to the public
- Need to be able to ask the right questions
- Enhanced data analytics for decision making

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Confluence of Opportunities

- New IT-enabled opportunities for doing things differently

- Government-wide emphases on data-driven decision making

- Government-wide emphases on transparency

- Upcoming relocation

- High level of retirement eligibility

Together, these provide an opportunity to reshape NSF's workforce.

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Questions for the Advisory Committee

- To what extent have your organizations experienced similar change in IT-enabled capabilities?

- How have you managed adaptation in the workforce in light of such change?
    - Updating the capabilities of the existing workforce
    - Modifying the skills and abilities you are looking for in hiring new employees

- What guidance do you have for NSF as we manage the current confluence of opportunities?

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Backgrounder: Fall 2015
NSF Advisory Committee for Business and Operations

Nature of Agenda Item: Document Management and Digitization Project- Advice Needed

Presentation/Background:

Two drivers, external and internal, are leading NSF to address records management at this time:
- Compliance with Presidential Memorandum M-12-18 to "reform records management policies and practices and to develop a 21st-century framework for the management of government records" by December 31, 2019; and
- NSF's impending relocation to Alexandria – The space allocation will not allow the same central filing space as in the current headquarters, therefore reduction is required.

NSF is currently working on a pilot focusing on the document management and digitization of non-grant records. The goal is to recommend an electronic system that will best meet NSF's needs by reducing paper working files.

Committee Action/Feedback

NSF is looking for advice from the Committee in the following ways:
- Have your organizations identified or implemented industry standards for electronic document management systems?
- What guidance do you have for NSF to effectively manage, improve, and implement the transition from paper to electronic formats?
- Do you have best practices from private industry that could be shared to aid NSF through this transition?

Contact Person:

Wonzie Gardner,
Acting Division Director, OIRM, Division of Administrative Services, 703-292-7935,
wgardner@nsf.gov

Digitization Pilot Objective

- The pilot program seeks to address the issue of limited filing space at the Alexandria HQ location (2017 move)
  - NSF does not currently have a solution for electronic document or records management for non-grant records
  - Large volume of temporary/working records in paper format
- Need to identify leading edge electronic document management solution to reduce paper working files
- Need to convert remaining non-grant permanent records to electronic format

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Pilot Background

- Earlier in 2015, DAS and National Science Foundation Relocation Office (NRO) collaborated on the Document Management and Digitization Project to address non-grant records.

- A Task Order (TO) for the Pilot was issued against the NRO Indefinite Delivery Indefinite Quantity contract in Oct 2015.

- The objectives of the TO are to analyze, recommend and conduct a digitization pilot of three areas within NSF (GEO/PLR, BFA and IRM/DAS).

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Pilot Background Cont.

- The vendor is to come back with a recommendation for an electronic system that will best meet the agency's needs.

- The pilot is still underway, however we have learned some valuable information thus far that will help us move to the next steps.

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Why is this Pilot Important Now?

There are two primary drivers:

1. External – Compliance with Presidential Memorandum M-12-18 to "reform records management policies and practices and to develop a 21st-century framework for the management of government records" by December 31, 2019, and;

2. Internal – Agency relocation to Alexandria Q4 CY2017 – The space allocation in the future headquarters are not equivalent to the current footprint, therefore reduction is required.

In short, we are running out of space and time for paper records.

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What Have We Learned So Far?

The Pilot addresses "permanent records" stored in central filing areas. The assumptions were based on the 2012 File Analysis conducted by the NRO. Initial Pilot results show:

- Approximately 10% of the records on hand are permanent records, i.e. material that must be transferred to NARA for retention;

- About 70 – 75% of the remaining material is temporary, i.e. has a disposition schedule or can be destroyed after a specific period; and

- The remaining 15 – 20% represent working files.

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How can the BOAC assist?

In anticipation of the move, the agency as a whole must reduce the number of temporary records on hand in central filing areas as they will not fit into the new space configurations.

- Have your organizations identified or implemented industry standards for electronic document management systems?

- What guidance do you have for NSF to effectively manage, improve, and implement the transition from paper to electronic formats?

- Do you have best practices from private industry that could be shared to aid NSF through this transition?

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Backgrounder: Fall 2015
NSF Advisory Committee for Business and Operations

Nature of Agenda Item: Closed Session to Consider Pre-decisional Information and Next Steps, Including Potential Formation of a Subcommittee

Presentation:

At the spring 2015 meeting, NSF informed the NSF Advisory Committee for Business and Operations that the Director and the National Science Board had commissioned the National Academy of Public Administration (the Academy) to scrutinize NSF's use of Cooperative Agreements to support the development, construction, and operation of state-of-the-art, large-scale research facilities. The Academy appointed an expert Panel, supported by a professional study team, to explore other federal funding mechanisms and agency practices and to recommend improvements to NSF's processes that support large-scale research facilities.

The study is expected to conclude later this month, and NSF management requests that the Committee review the draft Academy report and provide expert advice on how best to implement recommendations.

Committee Action/Feedback:

NSF is considering formation of a subcommittee of the NSF Business and Operations Advisory Committee to advise the agency as it prepares to assess the Academy recommendations and consider implementation. NSF seeks the Committee's perspective on the formation of a subcommittee, its charge and potential subcommittee members. NSF also seeks the Committee's feedback on the draft Academy report and any other potential next steps.

Contact Person: Fae Korsmo, Office of the Director, 703-292-8002 or fkorsmo@nsf.gov.

National Academy of Public Administration
Highlights of Draft Report

National Science Foundation:
Use of Cooperative Agreements to Support Large Scale Investment in Research

Overall Conclusion

Cooperative Agreements (CA) are the appropriate mechanism to support large-scale research facilities.

But there are critical success factors:

- ❖ Project management discipline
- ❖ Rigor of core business processes
- ❖ Capacity and capability of skilled workforce to carry out project management responsibilities

Cost Estimating and Surveillance

CAs are subject to audit requirements per OMB's Uniform Guidance. NSF has incorporated these requirements into its policies, and strengthened its cost surveillance policies, e.g., through business system reviews (BSRs) based on identified project risks.

Recommendation:

❖ CAAR analyzes pre-award project cost estimates and makes recommendations, but they are advisory. To improve NSF's ability to address cost proposal issues, instances where the grants and program offices do not accept CAAR's recommendations should be reviewed by the Large Facilities Office (LFO), and the CFO should make a final determination in writing.

Contingency

NSF has strengthened its methodological approach to contingency cost estimating and analysis. Its contingency development policy complies with OMB guidance.

Recommendations:

❖ To bolster accountability and create incentives for the judicious use of contingency funds, NSF should retain a portion of contingency funds and distribute them as needed.

❖ To further strengthen NSF's cost estimating policy, the Large Facilities Manual (LFM) should make clear that awardees are expected to follow GAO's Cost Estimating and Assessment Guide and the Schedule Assessment Guide.

No recommendation that contingency funds be tracked once expensed, but NSF should ensure awardees are creating the required work breakdown structure reports.

Management Fee

Despite recent changes to NSF's policy on management fee, the panel finds insufficient clarity whether or when management fee is appropriate.

Recommendation:
- ❖ To eliminate administrative burden and risk, NSF should eliminate the practice of awarding a management fee in CAs.

Effective Stewardship of MREFC Projects

Recommendations:

- ❖ Create a joint NSF/NSB 'duties and responsibilities' document to clarify roles and improve management oversight.
- ❖ Re-scope MREFC panel duties to include reviews of projects in development and construction phases focusing on cost, schedule, and performance.
- ❖ Authorize the LFO to hire two more staff and make the LFO Head a voting member of the MREFC panel.
- ❖ Establish communities of practice to share best practices and implement a 'lessons learned' requirement for all MREFC projects.
- ❖ Reassess the need for a separate Facility Plan.
- ❖ Establish a Federal Advisory Committee to give the Director objective insight on large research projects.

Additional Project Management Expertise

Recommendation:
- ❖ Identify project management skill requirements for relevant NSF staff, and develop and implement the required training.

Recommendation:
Add project management knowledge and expertise in several specific additional areas -
- ❖ Board Members
- ❖ External project reviewers
- ❖ Award recipient project managers

Presidential Transitions: What Agencies Can Do to Prepare

Presentation:

NSF is only a year away from the next presidential transition. All Federal agencies face the challenge of needing to take concrete steps to prepare for the transition well in advance of knowing who the next President will be or what transition materials will be required. NSF would like to use limited time and human resources productively and efficiently to make the transition as smooth as possible. Comprehensive preparation based on the assumption that the new administration will want or need information on anything or everything is likely not an efficient use of limited staff hours. Learning what practices and strategies have proven effective to other federal agencies could help NSF make sound decisions about gathering transition materials.

NSF also faces the challenge of planning for the future without knowing the priorities of the next administration. GPRA Modernization requires agencies to update their strategic plans with the change in administration. NSF's draft strategic plan will be due only six months post-transition. The development of a new strategic plan is generally a lengthy process that involves the participation of representatives and gathering of input from across the agency. Mechanisms to gather contextual information and input from stakeholders outside of the agency is also an important part of plan development. NSF needs to consider how much of this process should be undertaken in advance of guidance or specific knowledge of administration priorities.

Committee Action/Feedback

NSF would appreciate the Committee's input on how NSF can plan for the transition and the agency's future in productive useful ways. Below are some questions about specific challenges.

1. What are some best practices from previous transitions or other agencies that NSF should consider?
2. What types of background materials are most useful to prepare?
3. Is it useful for agencies to analyze different scenarios to anticipate (such as via campaign materials, party platforms, etc.) the types of information that might be of interest to an incoming administration?
4. How much of the strategic planning process can reasonably be undertaken in advance of the transition?
5. Is the expectation that the incoming administration will provide specific guidance? If so, what time frame can agencies anticipate?

Contact Person(s)[name, phone, e-mail]:

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Advisory Committee for Business and Operations

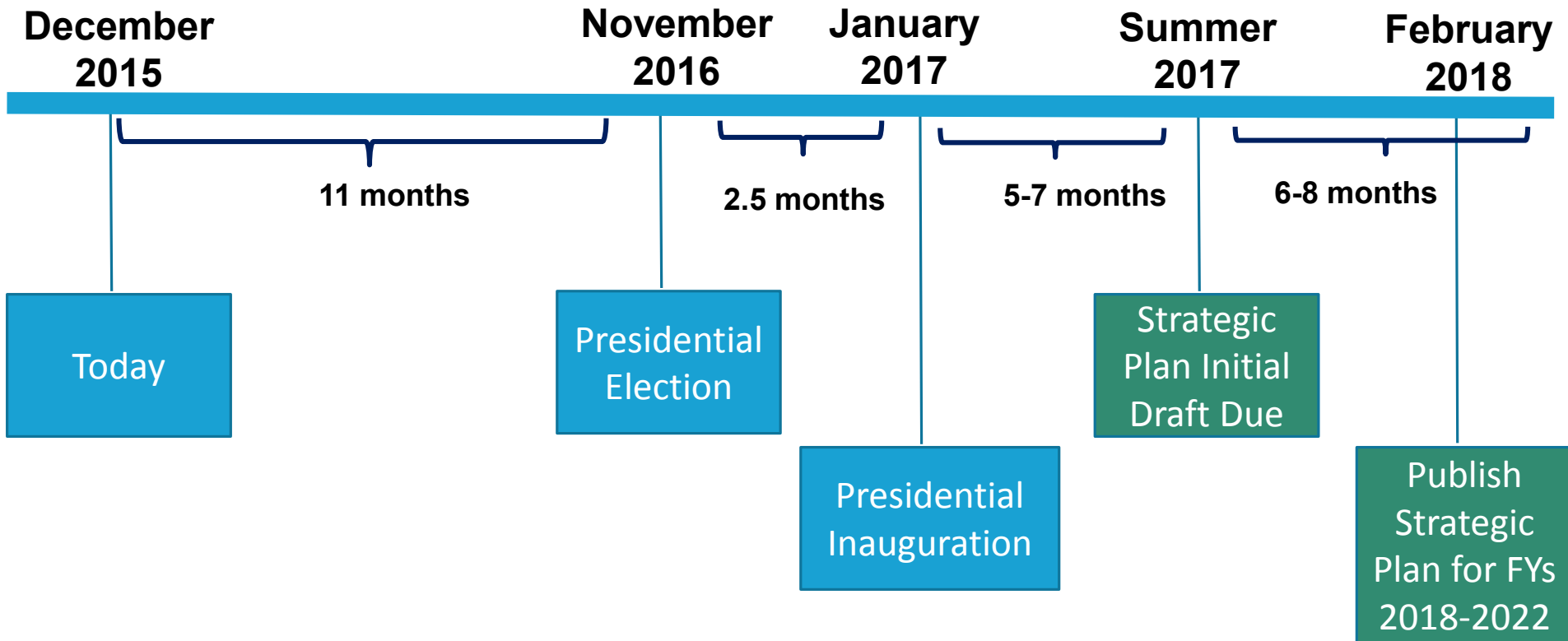## Presidential Transitions:
What Agencies Can Do to Prepare

Michael Sieverts, Division Director, Budget Division, &

Pamela O'Neil, Ph.D., Deputy Performance Improvement Officer, Budget Division

Discussant: John Kamensky, Senior Fellow

IBM Center for The Business of Government

Timeline

December 2015	November 2016	January 2017	Summer 2017	February 2018

11 months   2.5 months   5-7 months   6-8 months

Today

Presidential Election

Presidential Inauguration

Strategic Plan Initial Draft Due

Publish Strategic Plan for FYs 2018-2022

Questions for the Advisory Committee:
Transition Preparation

1. What are productive/useful ways for agencies to make a change in administration as smooth as possible? What are some best practices from previous transitions?

2. What types of background materials are most useful to prepare?

3. Is it useful for agencies to analyze different scenarios to anticipate (such as via campaign materials, party platforms, etc.) the types of information that might be of interest to an incoming administration?

Questions for the Committee:
Planning for the future.

GPRA Modernization expects agencies to update their Strategic Plans with the change in administration. Draft plan is due Summer 2017 (i.e., ~ 6 months after the inauguration).

1. Is it valuable to initiate this process in advance of the transition? What are the pros and cons?

2. Is the expectation that the incoming administration will provide specific guidance? If so, what time frame can agencies anticipate?