National Science Foundation
Advisory Committee for Business and Operations
Fall 2016 Meeting

November 29-30, 2016
Room 1235

Tuesday, November 29, 2016

1:00 pm **Welcome/Introductions/Recap**
Co-Chairs: Chuck Grimes and Susan Sedwick

1:15 pm **BFA/OIRM/OLPA Updates**
Presenters: Marty Rubenstein, BFA, Joanne Tornow, OIRM; Tony Gibson, OLPA and Michael Sieverts, BFA/Budget (Joint Update)

1:45 pm **Update on Relocation of NSF Headquarters**
The first part of the presentation will inform the Committee of the current status of the relocation project including:

- Enhancements to help NSF achieve its mission
- Project Timeline
- Schedule and Budget update
- Managing Risks

The discussion will then shift to communications with staff to connect to the new building and how to best position NSF and its staff after the move has been completed.

Committee Action/Feedback:
Questions for the Committee regarding the post-move transition to the new headquarters building:

- What can we start planning now to prepare for post-move?
  - After the move is complete, how do we avoid a "letdown" for the team and staff that worked on the relocation?
  - What are some best practices to help staff get acquainted quickly and comfortably with the new surroundings and new processes?

Presenter: Joanne Tornow, OIRM; Brian MacDonald, OIRM/NRO

Discussant: Jim Barbret

2:30 pm **NSF Strategic Plan**
The idea of a Strategic Goal for NSF originated in the 2001-2002 timeframe, when a Strategic Plan for Administration and Management was created. Subsequently with the help of the BOAC, a strategic goal called "Organizational Excellence" was included in the FY 2003-2008 Strategic Plan for NSF. This was the first strategic plan for NSF where a Strategic Goal around its business operations was at the same level as goals for science, engineering and education (at that time, called People, Ideas and Tools).

In the current NSF Strategic Plan (FY 2014-18), the goal is called "Excel as a Federal Science Agency."

Additionally, the Committee has stressed the importance that this operations-oriented strategic goal be owned by all of NSF, not just BFA and OIRM. As stated in the notes of the fall 2005 meeting when providing feedback for NSF's FY 2006-2011 Strategic Plan:

We will review the process and timeline of the construction of NSF's new strategic plan before moving to the feedback areas for the Committee.

Committee Action/Feedback:
Questions as related to the current/future Excel as a Federal Science Agency strategic goal:

1. Do you have additional rationale for why the goal should remain a strategic goal versus being considered a "management objective?" (OMB material/definitions provided)
2. How can the goal continue to provide a mechanism to enable fundamental research?
3. How can the goal evolve to the next level as to helping NSF excel as a Federal science agency?

4. How can NSF better integrate the three strategic goals (this business goal and the two science, engineering and education goals) so all of the goals resonate with staff across the agency (i.e., program, administration and operations)?
5. How can enterprise risk management (ERM) be incorporated in the strategic plan? ERM would cut across all three strategic goals.
6. What elements of the goal, if any, are no longer relevant?

Presenter: Steve Meacham, OIA

Discussant: John Kamensky

3:30 pm **Break**

3:45 pm **BOAC and Operations with its Subcommittees**

In past years, the NSF Advisory Committee for Business & Operations has successfully undertaken the practice of using the formal subcommittee mechanism to examine specific business matters in more depth and with broader external membership than would normally be on the Committee itself. At the Fall 2010 meeting of, the Committee recommended that NSF continue this practice, and NSF accepted this recommendation, and at the Spring 2011 Committee meeting. Thereafter, the Committee sought to better understand the relevant legal information, its options for frameworks, and to identify best practices. NSF staff conducted research, including interviewing past subcommittee participants and identified draft best practices and draft subcommittee guidance that was never adopted.

NSF staff has updated the draft guidance on subcommittees, and shared this draft with members in advance of this meeting. This presentation will present a high-level summary of the updated draft guidance.

Committee Action/Feedback:
NSF requests that Committee consider the updated draft guidance and recommend that it be finalized and implemented as part of the Committee's internal operations going forward.

Presenter: Charisse Carney-Nunes, BFA

4:15 pm **Update from the Subcommittee on National Academy of Public Administration (NAPA) Implementation Regarding NSF's Use of Cooperative Agreements to Support Large Scale Investments in Science and Technology**

The Subcommittee on NAPA Implementation was charged with preparing a report for BOAC approval that recommends actions to NSF for implementing a subset of National Academy of Public Administration recommendations related to NSF-wide oversight of large-scale research facilities in the report, National Science Foundation: Use of Cooperative Agreements to Support Large Scale Investment in Research. Specifically, the Subcommittee has been charged with providing options for appropriate agency-wide oversight for the NSF Office of the Director (OD) for the following four tasks:

- Re-scope of the role, duties, and membership of the Major Research Equipment and Facilities Construction (MREFC) Panel to include status update reviews of projects in the development and construction phases focusing on cost, schedule, and performance. [NAPA Recommendation 6.2]
- Evaluate the potential value in extending the MREFC Panel's role to operating facilities, including divestment (i.e. full life-cycle).
- Evaluate the potential value in creating an internal agency "senior official" position in OD charged with reporting to the Director and Deputy Director/Chief Operating Officer on large facilities.
- Evaluate the potential value in creating a new Federal Advisory Committee Act (FACA) committee to provide the NSF Director with a sounding board for objective insight on large research projects. [NAPA Recommendation 6.4]

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Committee Action/Feedback:
The Subcommittee met at NSF on Aug 3-4, 2016. We will provide a summary of our provisional findings and recommendations for discussion with the Committee.

Presenter: Mike Holland

5:00 pm **Application of Lessons Learned from Other Lessons-Learned Programs**

NAPA Recommendation 6.9 stated that NSF should formally establish communities of practice and implement a "lessons learned" requirement for all MREFC projects. The Panel and study team identified DOE and NASA as comparator science agencies whose large capital investment projects most closely align with NSF. However, DOE and NASA "own and operate" the research infrastructure they build, while NSF is banned from operating facilities (except Antarctic stations). NSF funds other organizations (recipients) to build and operate the research infrastructure. NSF and their recipients have multiple communities of practice and have conducted various lesson learned workshops.

NSF has achieved some success in sharing best practices and lessons-learned through various communities of practice. However, lessons learned are being done in a non-systemic manner. In developing a response to the NAPA recommendation, NSF is examining how to balance the lessons learned requirements with the benefits.

Committee Action/Feedback:
NSF is seeking committee advice on best practices and potential missteps with lessons learned programs when creating a culture of continuous improvement within a multidisciplinary, vertically-segregated organization.

Based on the committee member's organization experience, how is a culture of continuous improvement established?
What are the key elements of a lessons learned programs that drive the benefits to your organization?
How communities of practices, lessons are learned documents, and changes to policy and/or procedures tied together?

How does your organization share lessons learned externally?
Are there any issues with sharing lessons learned outside your organization?

Suggestions on how to address the NAPA Recommendation 6.9?

Presenter: Rebecca Yasky, BFA/LFO

Discussant: Theresa Pardo

5:45 pm **Adjourn**

6:30 pm **Dinner- SER**

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8:00 am **Results from the 2016 Federal Employee Viewpoint Survey (FEVS)**

The presentation will update the Committee on the results from the 2016 Federal Employee Viewpoint Survey (FEVS). The survey was administered to NSF employees during May and June 2016.

Key results from the 2016 FEVS:

- NSF is third highest among medium and small agencies on Employee Engagement scores (behind Office of Management and Budget and the Nuclear Regulatory Commission).
- All question scores higher than government average except for two (76 out of 78)
- High response rate of 74% (government-wide average is 46%).
- Ongoing focus areas are workload, career development, and performance management.

We will also discuss comparisons to benchmark agencies and next steps for employee engagement action planning.

Committee Action/Feedback:

- How does NSF continue to maintain its progress in the coming year?
- How do we avoid complacency?
- How do supervisors and managers best engage with employees on the results?

Presenter: Joanne Tornow, OIRM

Discussant: John Palguta

9:00 am **Preparation for Discussion with Dr. Córdova and Buckius**

9:45 am **Break**

10:00 am **Discussion with Dr. Córdova and Buckius**

11:00 am **Update: Committee on Equal Opportunities in Science and Engineering (CEOSE)**

Update on CEOSE activity and the NSF INCLUDES program.

Presenter: Alicia Knoedler

11:30 am **Wrap Up/Loose Ends**

12:00 pm **Adjourn**

Spring 2016 Recommendations from the Business and Operations Advisory Committee

Title	Meeting Date	Recommendation	Date of Mtg	NSF Contact	Status	Explanation/Outcome	Fiscal Year	Theme
Enterprise Risk Management	Spring 2016	NSF should ensure that opportunities aren't missed to recognize risk exposure; start by identifying risk, document, mitigation plans, cost benefit analyses, and use ERM models to develop best practices and better internal controls	Spring 2016	Wetklow; Cotto	In Progress	NSF has incorporated the Committee's advice into its planned approach for implementing Enterprise Risk Management. The agency's initial steps include: risk management governance structure; process for considering risk appetite and risk tolerance levels; methodology for developing a risk profile; general implementation timeline; and plan for maturing the comprehensiveness and quality of the risk profiles over time. As part of its communication process, NSF plans to conduct institution-wide workshops to assist staff in identifying risk exposure and risk management practices. NSF is in the process of completing its planning phase and obtaining feedback from NSF stakeholders by December 31, 2016.		
Enterprise Risk Management	Spring 2016	ERM should be a continuous process paired with effective reporting; indicate probabilities and impacts and avoid overestimating risk	Spring 2016	Wetklow; Cotto	In Progress	NSF has incorporated the Committee's advice into its planned approach for implementing Enterprise Risk Management. The agency's initial steps include: risk management governance structure; process for considering risk appetite and risk tolerance levels; methodology for developing a risk profile; general implementation timeline; and plan for maturing the comprehensiveness and quality of the risk profiles over time. As part of its communication process, NSF plans to conduct institution-wide workshops to assist staff in identifying risk exposure and risk management practices. NSF is in the process of completing its planning phase and obtaining feedback from NSF stakeholders by December 31, 2016.	FY16	Enterprise Risk Management
Enterprise Risk Management	Spring 2016	NSF should have a dedicated person in charge of risk management, to own and facilitate the process	Spring 2016	Wetklow; Cotto	In Progress	NSF has incorporated the Committee's advice into its planned approach for implementing Enterprise Risk Management. The agency's initial steps include: risk management governance structure; process for considering risk appetite and risk tolerance levels; methodology for developing a risk profile; general implementation timeline; and plan for maturing the comprehensiveness and quality of the risk profiles over time. As part of its communication process, NSF plans to conduct institution-wide workshops to assist staff in identifying risk exposure and risk management practices. NSF is in the process of completing its planning phase and obtaining feedback from NSF stakeholders by December 31, 2016.	FY16	Enterprise Risk Management
Enterprise Risk Management	Spring 2016	ERM should be integrated into culture and everyone should understand it from their own perspective. Consider ways to foster employee willingness to adapt to new risk management practices	Spring 2016	Wetklow; Cotto	In Progress	NSF has incorporated the Committee's advice into its planned approach for implementing Enterprise Risk Management. The agency's initial steps include: risk management governance structure; process for considering risk appetite and risk tolerance levels; methodology for developing a risk profile; general implementation timeline; and plan for maturing the comprehensiveness and quality of the risk profiles over time. As part of its communication process, NSF plans to conduct institution-wide workshops to assist staff in identifying risk exposure and risk management practices. NSF is in the process of completing its planning phase and obtaining feedback from NSF stakeholders by December 31, 2016.	FY16	Enterprise Risk Management
Enterprise Risk Management	Spring 2016	It's a good point to start at the highest level when assessing risk, but don't stop there. Make the effort to cascade down through the organizations	Spring 2016	Wetklow; Cotto	In Progress	NSF has incorporated the Committee's advice into its planned approach for implementing Enterprise Risk Management. The agency's initial steps include: risk management governance structure; process for considering risk appetite and risk tolerance levels; methodology for developing a risk profile; general implementation timeline; and plan for maturing the comprehensiveness and quality of the risk profiles over time. As part of its communication process, NSF plans to conduct institution-wide workshops to assist staff in identifying risk exposure and risk management practices. NSF is in the process of completing its planning phase and obtaining feedback from NSF stakeholders by December 31, 2016.	FY16	Enterprise Risk Management
Enterprise Risk Management	Spring 2016	Change the culture from one where risks are hidden or distorted to one where sharing of risks is openly communicated and rewarded	Spring 2016	Wetklow; Cotto	In Progress	NSF has incorporated the Committee's advice into its planned approach for implementing Enterprise Risk Management. The agency's initial steps include: risk management governance structure; process for considering risk appetite and risk tolerance levels; methodology for developing a risk profile; general implementation timeline; and plan for maturing the comprehensiveness and quality of the risk profiles over time. As part of its communication process, NSF plans to conduct institution-wide workshops to assist staff in identifying risk exposure and risk management practices. NSF is in the process of completing its planning phase and obtaining feedback from NSF stakeholders by December 31, 2016.	FY16	Enterprise Risk Management
Enterprise Risk Management	Spring 2016	There are always new risks. In terms of how to define the metrics, let the people who define the risk define the metric	Spring 2016	Wetklow; Cotto	In Progress	NSF has incorporated the Committee's advice into its planned approach for implementing Enterprise Risk Management. The agency's initial steps include: risk management governance structure; process for considering risk appetite and risk tolerance levels; methodology for developing a risk profile; general implementation timeline; and plan for maturing the comprehensiveness and quality of the risk profiles over time. As part of its communication process, NSF plans to conduct institution-wide workshops to assist staff in identifying risk exposure and risk management practices. NSF is in the process of completing its planning phase and obtaining feedback from NSF stakeholders by December 31, 2016.	FY16	Enterprise Risk Management
Enterprise Risk Management	Spring 2016	An institutionally-wide perspective should be considered when developing and deploying ERM models	Spring 2016	Wetklow; Cotto	In Progress	NSF has incorporated the Committee's advice into its planned approach for implementing Enterprise Risk Management. The agency's initial steps include: risk management governance structure; process for considering risk appetite and risk tolerance levels; methodology for developing a risk profile; general implementation timeline; and plan for maturing the comprehensiveness and quality of the risk profiles over time. As part of its communication process, NSF plans to conduct institution-wide workshops to assist staff in identifying risk exposure and risk management practices. NSF is in the process of completing its planning phase and obtaining feedback from NSF stakeholders by December 31, 2016.	FY16	Enterprise Risk Management
From Systems to Data and Beyo	Spring 2016	Establish a safe and accessible test environment outside the enterprise data system for exploratory work and encourage widespread usage	Spring 2016	Northcutt; McRe	Complete	NSF has considered the Committee's advice and will incorporate it into the upcoming implementation of the initiative	FY16	From Systems to Data and Beyond
From Systems to Data and Beyo	Spring 2016	NSF should consider what data are necessary to inform the process of policy and decision making prior to the development of new information or business systems	Spring 2016	Northcutt; McRe	Complete	NSF has considered the Committee's advice and will incorporate it into the upcoming implementation of the initiative	FY16	From Systems to Data and Beyond
From Systems to Data and Beyo	Spring 2016	Clear rules for the use, sharing, and access of data must be established	Spring 2016	Northcutt; McRe	Complete	NSF has considered the Committee's advice and will incorporate it into the upcoming implementation of the initiative	FY16	From Systems to Data and Beyond

Title	Meeting Date	Recommendation	Date of Mtg	NSF Contact	Status	Explanation/Outcome	Fiscal Year	Theme
From Systems to Data and Beyo	Spring 2016	Six variables that could make data more useful for an organization: 1) being able to communicate the usefulness of the data 2) agreement and buy-in in terms of what's important 3) having comparison data 4) having a baseline in terms of where is it now and where you're trying to take it 5) longitudinal data (so it's not just a snapshot in time) 6) Make sure the data is useful in decision making processes	Spring 2016	Northcutt; McRe	Complete	NSF has considered the Committee's advice and will incorporate it into the upcoming implementation of the initiative	FY16	From Systems to Data and Beyond
From Systems to Data and Beyo	Spring 2016	Questions to Consider when collecting and using data: -Do we have a good understanding of data assets? -Do decision makers know what the agency knows? -Is the data fit for use? -Is the data relevant? -How will the data be used? -Is the current data being collected informing anything?	Spring 2016	Northcutt; McRe	Complete	NSF has considered the Committee's advice and will incorporate it into the upcoming implementation of the initiative	FY16	From Systems to Data and Beyond
Recommendations of the National Academy of Public Administration (NAPA) Study of NSF's Use of Cooperative Agreements to Support Large Scale Investments in Science and Technology	Spring 2016	Timeline to establish subcommittee and produce a draft report (by April 2017) may be too aggressive. Concerns this timeline will not fix the root problems but only provide stopgap measures.	Spring 2016	Hawkins; Korsmo	Complete	NSF has considered the Committee's advice and has accepted it. NSF will continue to support the Committee and subcommittee in completing the activities set forth in the charge as soon as possible but not necessarily by April 2017. NSF will receive periodic updates of subcommittee progress via Committee meetings.	FY16	Recommendations of the National Academy of Public Administration (NAPA) Study of NSF's Use of Cooperative Agreements to Support Large Scale Investments in Science and Technology
Modernization of Business Processes and Workforce Structures: A Discussion of Lessons Learned	Spring 2016	NSF should have a high-level champion to drive change and create clear, consistent messages	Spring 2016	Ratliff	Completed	NSF has considered the Committee's advice, but due to timing, workload and other factors will not be attempting to implement a major modernization in the near future. However, if NSF does undertake a major modernization effort in the future, we agree that it could not be successful without a high-level champion.	FY16	Modernization of Business Processes and Workforce Structures: A Discussion of Lessons Learned

CFO Update
B&O Advisory Committee Meeting (Fall 2016)

- **BFA Senior Staff Changes**
  - Division of Grants & Agreements (DGA): Ms. Jamie French began as the Division Director, DGA, replacing Karen Tiplady, who retired at the end of October. Jamie was the DGA Director of Operations for 5 years and has been with NSF since 2007. She has 22 years of federal experience including nearly 20 years of grants experience. Jamie has served NSF with distinction and is an outstanding representative and recognized leader in the grants community with our awardees and across government. She holds a B.A. and M.A. from West Virginia University.
  - Division of Financial Management (DFM): In June, NSF expanded the DFM "Deputy Division Director" title to "Controller and Deputy Division Director". Adding "Controller" to the "Deputy Division Director" title reflects John Lynskey's (incumbent) vital role in leadership and oversight of NSF's day-to-day financial operations. This change is also consistent with several other CFO Act Agency structures. During John's 13 years of outstanding leadership of DFM, NSF has a sustained track record of financial excellence, clean audit opinions, and financial leadership across government.
  - Division of Institution and Award Support (DIAS): Ms. Rochelle Ray has been appointed Branch Chief, *Resolution and Advanced Monitoring*, under a restructuring of the Cost Analysis and Audit Resolution Branch (CAAR). Rochelle brings 25 years of experience at NSF, and has served over nine years as Team Lead with responsibility for audit resolution and post-award adjustment reviews.
  - DIAS: Mr. Charles Zeigler has been appointed Branch Chief, *Cost Analysis and Pre-award*, under the CAAR restructure. Charlie has 30 years of NSF experience, having served nearly five years as Team Lead with responsibility for indirect cost rate negotiation and pre-award reviews.

- **DIAS Restructures Cost Analysis & Audit Resolution Branch to Strengthen Oversight**
  - As noted in the previous two staff announcements, DIAS is in the process of restructuring its CAAR Branch to strengthen its pre- and post-award oversight functions. Creation of the *Cost Analysis and Pre-award Branch* and *Resolution and Advanced Monitoring Branch* allows for the leveraging of like functions and deepening of staff subject matter expertise, as well as facilitates individual staff development and supervision. In addition, the position of Staff Associate for Oversight has been introduced to the DIAS Front Office to facilitate proactive strategic planning, greater engagement in key inter- and intra-agency efforts, effective liaison with key accountability stakeholders across NSF, and effective integration of Division-wide oversight efforts.

- **NSF Financial Statement**
  - NSF has completed its FY 2016 Federal Information Security Management Act Report and the unaudited FY 2016 Agency Financial Report (AFR). The agency issued both reports to the Office of Management and Budget (OMB) by the established deadlines.

- The new auditor, Kearney & Company, has committed to completing an audit report with a final audit opinion by January 13, 2017 or sooner. The OMB formally gave NSF an audit extension. NSF is giving OMB periodic progress reports on the audit.
- NSF has also submitted documentation to support the potential closing of the significant deficiency related to the monitoring of construction-type cooperative agreements.

➢ **Government-wide reporting on NSF's audit –NSF/ OMB/GAO discussion**

- NSF and NSB are concerned about the impact of the financial statement audit delay on government-wide audit reporting. While we are doing all we can to expedite our responses to the auditors, based on the current audit timeline, we will miss GAO's government-wide audit reporting deadline.
- On November 22, BFA, OIG, OMB, and GAO are scheduled to discuss GAO's approach to reporting on the status of NSF's audit in their government-wide audit report if NSF's audit report is not finalized. An update on this conversation will be provided during the B&O Advisory Committee meeting.

➢ **Enterprise Risk Management (ERM)**

- On September 28, 2016, we met with OMB's Office of Performance and Personnel Management and Office of Federal Financial Management to discuss NSF's planned approach to implement ERM. OMB agreed with NSF's proposed approach. Our initial implementation steps include developing the following: (1) Risk management governance structure, (2) Process for considering risk appetite and risk tolerance levels, (3) Methodology for developing a risk profile, (4) General implementation timeline, and (5) Plan for maturing the comprehensiveness and quality of the risk profiles over time.
- As part of our communication process, NSF plans to conduct institution-wide workshops with process experts to assist staff in identifying risk exposure and risk management practices. NSF is in the process of completing its planning phase and obtaining feedback from NSF stakeholders by December 31, 2016.

➢ **Digital Accountability and Transparency Act (DATA Act)**

- BFA and OIRM staff are continuing activities to support NSF's implementation of the DATA Act, the government-wide initiative led by the U.S. Department of Treasury and OMB aimed at making information on federal spending more transparent. OMB and Treasury have published government-wide guidance and technical specifications, though uncertainties related to technical implementation and resources still exist. NSF has communicated these concerns to OMB and Treasury on multiple occasions, including a meeting with the OMB Controller, Treasury's Assistant Fiscal Secretary, and other high-level senior staff.
- NSF expects to meet the DATA Act's implementation deadline by May 2017, and is also assessing the risks that could affect agency readiness. To mitigate risk, NSF is pursuing multiple options to ensure compliance. The NSF OIG will complete its DATA Act readiness review by November 30, 2016. Its official draft report on the review found that NSF was making progress toward

implementation success, while recognizing external factors that could impact goal achievement and recommending strengthened program management activities. The final draft will incorporate NSF's response, and the agency will submit a corrective action plan. NSF has included OIG staff in agency implementation activities as an ex officio member and OIG has access to all materials.

- **iTRAK Completes Second Full Year of Operations**
  - NSF completed its second successful year of iTRAK operations on September 30, 2016, with a more effective year-end closing process. During this second year of operations, NSF continued its focus on (1) maturing iTRAK system and business processes to improve operational efficiencies, (2) training users in targeted areas to improve user skills, and (3) providing financial data to the agency's data warehouse to enable users to combine financial and programmatic data for more informed decision-making. As iTRAK continues to mature, NSF will continue to expand its analytical capabilities towards a more mature and performance driven system that better supports NSF's mission. The following is an update on our key goals and challenges for FY 2016:

Goals	Challenges
a. Reduce Helpdesk tickets resulting in reduced contractor costs to support iTRAK	Develop users' iTRAK knowledge, skills, and ability to reduce reliance on the Helpdesk
b. Conduct targeted training in areas where users are having problems processing their work in iTRAK to increase user proficiency	Identify solutions for users who continue to struggle using iTRAK after attending multiple training sessions and receiving hands on support
c. Develop a reporting maturity model that moves the focus from operational reporting to decision support	Limited funding in FY 2016 for this activity
d. Comply with Government-wide mandates, i.e., the Digital Accountability and Transparency Act (DATA Act)	Although the FY 2016 Budget Request was not fully funded, the Office of Director is ensuring that $1.45M is available for this effort.

Status Update:

- Goal A - Helpdesk tickets continue to decrease and have been below the target level (average 250 per month) since November 2015.
- Goal B - NSF continues to train users and conduct targeted training in areas such as interagency agreement, purchase cards, and financial reporting. NSF released its first comprehensive *Training User Guide* April 1, 2016, and we also held our first iTRAK User Group meeting in February 2016. This group meets every two months to discuss business process issues and other concerns users have working in the iTRAK environment.
- Goal C - We continue to work on this as we move to optimize use and reporting of the system.
- Goal D - NSF has a robust DATA Act plan and working group. NSF is actively taking steps to ensure on time compliance. This includes developing a back-up plan to mitigate the risk of Oracle patches not being delivered in enough time for testing and implementation.

- **Early Issuance of FY 2017 Critical Dates Memo**
  - Over the summer, BFA worked with OIRM, program leadership, and the Union to issue guidance to provide advance notice on early closeout planning to accommodate NSF's relocation in FY 2017. Because the move will occur during what is typically the peak period for making awards, all award-related deadlines have been pushed approximately two weeks earlier.
  - The complete list of FY 2017 Critical Dates was issued at the end of October, about four months earlier than prior years.
  - BFA, in coordination with OIRM, will plan Town Hall sessions after the holidays and utilize a variety of communication venues to keep staff and the awardee community informed throughout FY 2017 to support closeout during this year of transition.
  - Program offices are being encouraged to adjust program solicitation deadlines in order to hold panels earlier and to focus on making funding decisions rather than award declinations, which are typically used to meet NSF's time-to-decision (i.e., "dwell time") performance goal.

- **Budget Update: FY 2017 Request and Congressional Action to Date**

FY 2017 Funding Comparison
(dollars in millions)

		Change over FY 2016 Enacted		Change over FY 2017 Request (Discretionary)	
		Amount	Percent	Amount	Percent
FY 2016 Enacted	$7,463	-	-	-	-
FY 2017 Request	$7,564	$101	1%	-	-
FY 2017 House Markup	$7,406	-$57	-0.8%	-$158	-2%
FY 2017 Senate Markup	$7,510	$46	0.6%	-$54	-0.7%

- NSF's FY 2017 Budget Request is $7.56 billion in Discretionary funding, an increase of $101 million, or about one percent, over the FY 2016 Enacted level. This analysis excludes $400 million in requested Mandatory funding, which Congress has indicated it will not consider.
- The FY 2017 Request reflects a carefully chosen portfolio that supports the fundamental research that is NSF's hallmark and includes two areas of major emphasis: Clean Energy R&D and strengthening support for core activities, with a special focus on early career investigators.
- In the House:
  - In March 2016, two hearings were held: (1) Appropriations Committee - Commerce, Justice, Science, and Related Agencies Subcommittee (CJS), and (2) Committee on Science, Space and Technology - Subcommittee on Research and Technology.
  - In May 2016, the full Appropriations Committee approved the CJS funding bill. In this, NSF's mark is $57 million below FY 2016 Enacted and $158 million below FY 2017 Request.
- In the Senate:
  - No hearings were held.

- In April 2016, the full Appropriations Committee approved the CJS funding bill. In this, NSF's mark is $46 million above the FY 2016 Enacted and $54 million below FY 2017 Request.

- Of note in committee report language, there is conflicting support for the Regional Class Research Vessel project. NSF requested funding for two ships. House language provides for zero ships, whereas Senate language provides for three ships.
- In late September 2016, Congress passed and the President signed a temporary funding bill, H.R. 5325 *Continuing Appropriations and Military Construction, Veterans Affairs, and Related Agencies Appropriation Act, 2017, and Zika Response and Preparedness Act*. This bill provides funding through December 9, 2016.
- Congress returned to work following the election. Most recent news reports indicate Congress will not complete its annual funding duties this year. Rather, it is expected they will pass another short term spending measure that will provide funding through March 31, 2017.

➢ **Status of Transfers**

- National Ecological Observatory Network (NEON) - In June 2016, NSB approved an increase in NEON's Total Project Cost from $433.72 million to $469.30 million. This $35.58 million increase is provided through transfers from the Research and Related Activities (R&RA) account to the Major Research Equipment and Facility Construction (MREFC) account: $20.0 million from FY 2016 funds (completed) and $15.58 million from FY 2017 funds (expected).
- Relocation - $27 million was transferred from R&RA to the Agency Operations & Award Management (AOAM) account in FY 2016. For FY 2017, any potential transfer for relocation depends on the final appropriation. House and Senate marks for AOAM are below NSF's Request by $43 million and $33 million, respectively.

➢ **FY 2018 Budget Planning**

We have not yet received formal guidance on FY 2018. We expect to find out more in the next few weeks.

OIRM Talking Points
for the B&O Advisory Committee Meeting (Spring 2016)

OIRM Senior Staff Changes

- As you may recall, Dr. Judy Sunley, former Division Director for Human Resource Management, retired from NSF in September 2016. At our last meeting, I informed you that I had selected Dianne Campbell from the US Patent and Trademark Office as our new HRM Division Director. Dianne joined us on May 29th, and I'd like to personally introduce her to you.
- Also, I'd like to announce the selection of Mr. Javier Inclán as the new Deputy Division Director in DAS. Javier joins us from the US Department of Transportation, where he served as Associate Director, Property and Space Management.

Relocation Update

- Later on the agenda, we'll discuss the relocation, so I will only briefly touch on it here. The project remains on schedule. The external construction is virtually complete and interior space construction is underway.
- Our Data Center is complete and commissioned.
- We completed build out of the 5th floor and have begun to order our furniture.
- We recently completed workspace and furniture selections for employees, and are now working towards a round 2 to include those mis-matches from the first round, and any new employees.
- We have also announced to staff the sequencing and schedule for the physical move of NSF staff to the new building. The move will take place over a 6-week period, commencing on August 24th through October 1st.

FEVS 2016 Results

- NSF has received its 2016 Federal Employee Viewpoint Survey (FEVS) results.
- We continue to enjoy a very high response rate. Our 74% (for permanent staff) continues to be significantly higher than the government-wide response rate, which this year was 46%. In OIRM, we had an 85% response rate, highest among NSF offices.
- Overall, NSF scores continue to increase steadily, showing continued improvement in the work environment, employee satisfaction and employee engagement. Satisfaction increased by three or more points on over 40% of the 71 questions on the survey.
- NSF moved up in ranking to 8th among 37 large agencies in both Employee Engagement and Global Satisfaction Indices). Among the 24 CHCO agencies, NSF ranks 4th on Employee Engagement (behind only NASA, OMB, and NRC)
- The survey results also reveal that concerns with workload remain a significant issue (NSF's Workload index score remained unchanged at 53%).
- We are currently providing leadership and employees with more detailed 2016 FEVS results and updates on NSF's employee engagement action planning efforts, all of which will help identify areas for new or continued improvement efforts.

Federal Hiring Excellence Initiative

- On November 1, OPM and OMB co-issued a memorandum on Institutionalizing Hiring Excellence to Achieve Mission Outcomes. The memo provides guidance to support and empower agencies in hiring the best talent by overcoming common common barriers agencies face in the Federal hiring process.
- The guidance incorporates feedback from over 3,000 supervisors and HR professionals.
- There are three hiring excellence objectives with associated proven practices identified as critical to successful hiring outcomes.
- NSF, along with all agencies, is being asked to engage in activities to support the objectives and test out the proven practices to improve hiring, as well as establish a Hiring Excellence Team.
- By December 16th, NSF will identify a Hiring Excellence Team, led by me, the CHCO, and including the NSF's Performance Improvement Officer as well as senior leaders throughout the Foundation.

IT Modernization

- We continue to support NSF's core mission by focusing IT modernization efforts to reduce the administrative burden to the research community and NSF staff associated with the proposal and award lifecycle. We are engaged in a continuous, incremental modernization of the systems that support the merit review process. This initiative currently involves in excess of approximately 150 internal stakeholders.
- Now that we have implemented core financial functions with iTRAK, we are looking at opportunities to modernize additional financial management capabilities, such as budget formulation.
- We have been fully focused on resourcing the relocation to the NSF headquarters in Alexandria, including ensuring that staff will continue to be able to access the IT services they need to do their work during the physical move.
- We have been partnering with NSF's Evaluation and Assessment Capability office to build out NSF's analytics capabilities. We are continuing to treat data as a major Foundation asset and as an important investment area for IT.
- Additionally, we have been partnering with the Public Access initiative team to improve electronic access to the results of NSF-funded research. In January 2016, NSF implemented a Public Access Repository (NSF- PAR) in partnership with the Department of Energy's Office of Scientific and Technical Information to make NSF-funded research publications available to the public.

Records Management

- OIRM continues to work towards meeting two federally-mandated records requirements: email management and electronic permanent records.
- Additionally, in preparation for our move to Alexandria, we are working with the Records Custodians in each of our Directorates and Offices to inspect files and essential records information, develop electronic file structures for Doucment, the new eRecords Repository, dispose of hard copy files, digitize hard copy files and transfer hard copy

records to the Federal Records Center. So far, we have shipped 492 boxes to the Federal Records Center and since July 2016, we have scanned 275 boxes (totaling 26,078 lbs. of paper records.

- We also have completed a draft policy on email management for Senior Officials, and the OIRM offices of DIS and DAS are collaborating on both the records policy and IT required for final implementation.

Green Out 500K Challenge

- DAS has a new initiative, the Green Out 500K, with a goal of disposing of 500,000 pounds of materials before we move to the new building. We are doing this by scanning and retiring documents (as mentioned above), as well as recycling, excessing equipment/furniture and disposing of trash. As of November 1st, we had disposed of 105,543 pounds!

NSF Budget / Congressional Update

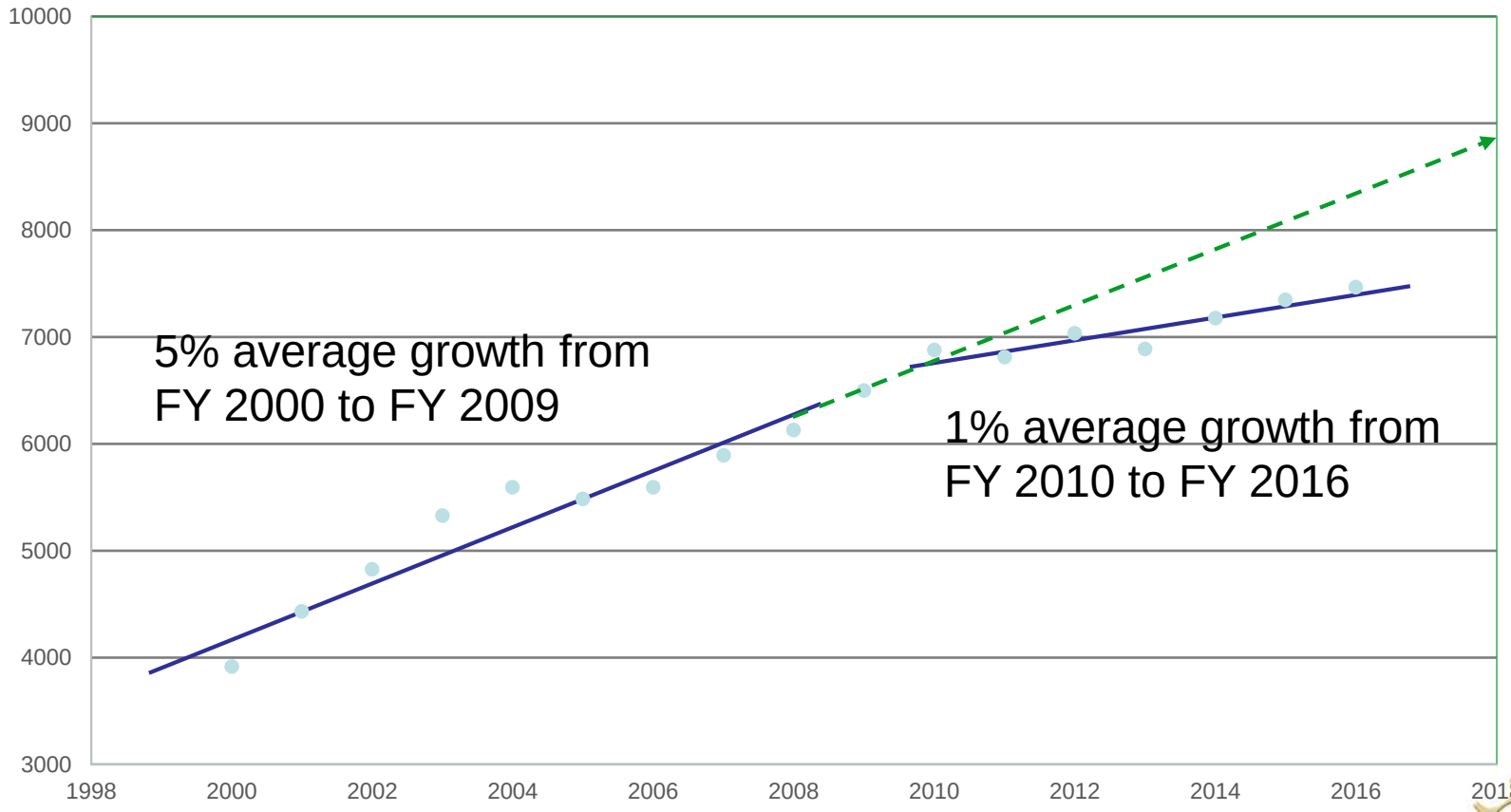
NSF Business & Operations Advisory Committee
November 29, 2016

Michael Sieverts
Division Director, Budget Division
Office of Budget, Finance, and Award Management

Anthony Gibson
Senior Advisor, Office of Legislative and Public Affairs

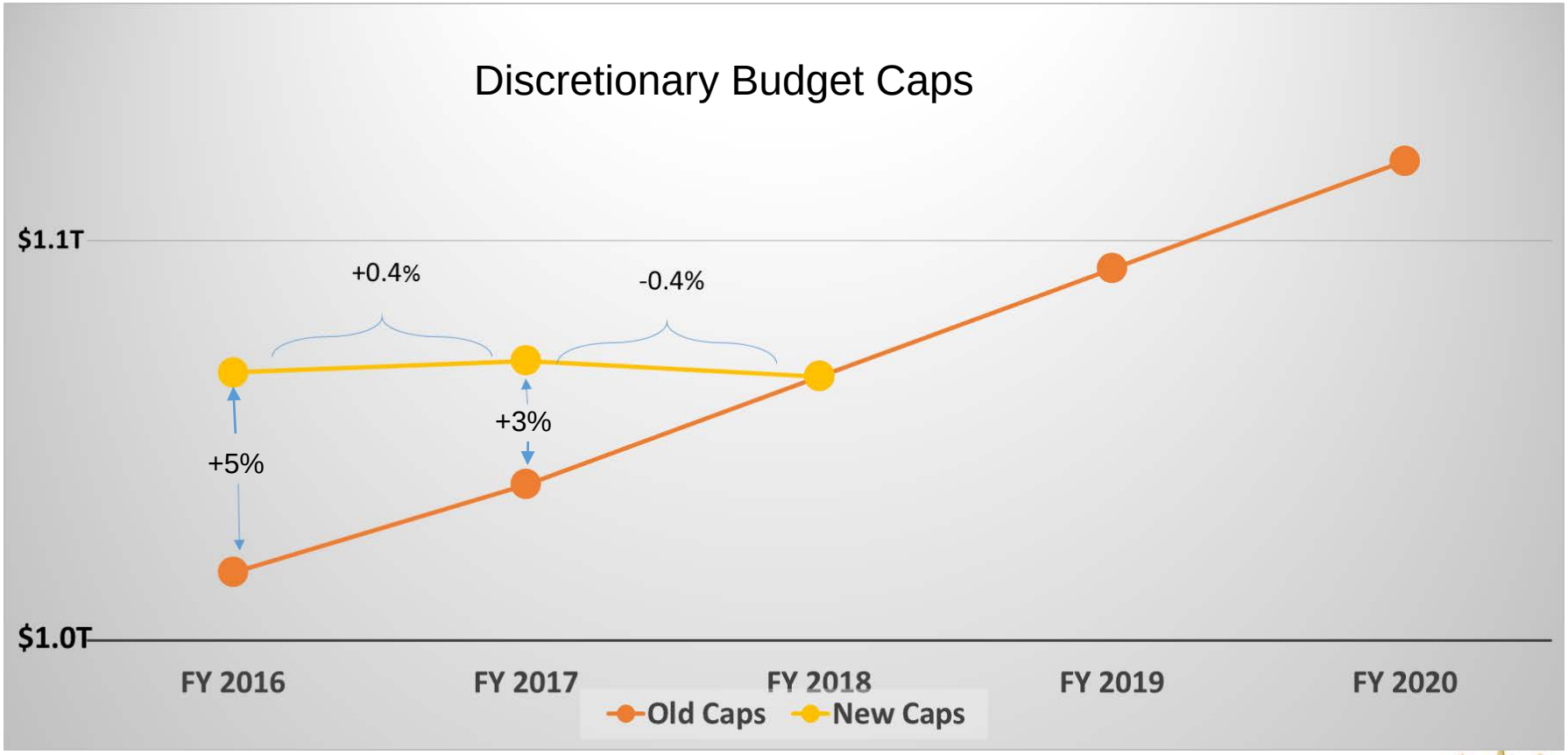
NSF Appropriations FY 2000 – FY 2016

(Millions of Current Dollars)



*FY 2009 excludes $3,002 million for ARRA.

Bipartisan Budget Act of 2015 (P.L. 114-74)



NSF FY 2017 Budget Request to Congress

National Science Foundation
FY 2017 Budget Request to Congress
(Dollars in Millions)

Account	FY 2016 Estimate	FY 2017 Request - Discretionary	FY 2017 Request Discretionary over FY 2016 Estimate		FY 2017 Request - Mandatory	FY 2017 Request - Total	FY 2017 Request Total over FY 2016 Estimate	
			Amount	Percent			Amount	Percent
Research & Related Activities	$6,034	$6,079	$46	0.8%	$346	$6,425	$392	6.5%
Education & Human Resources	880	899	19	2.1%	54	953	73	8.3%
Major Research Equipment & Facilities Construction	200	193	(7)	-3.6%	-	193	-7	-3.6%
Agency Operations & Award Management	330	373	43	13.0%	-	373	43	13.0%
National Science Board	4	4	*	0.2%	-	4	*	0.2%
Office of Inspector General	15	15	*	0.3%	-	15	*	0.3%
Total, NSF	$7,463	$7,564	$101	1.3%	$400	$7,964	$501	6.7%

Totals may not add due to rounding.
* denotes amounts <$500K.

FY 2017 NSF Funding Comparisons

- $7.6 B – Request (Discretionary)
- $8.0 B – Total Request (inc. $400 M mandatory)
- $7.4 B – House
- $7.5 B -- Senate

- $7.5 B – FY 2016 Enacted

What is meant by mandatory funding?

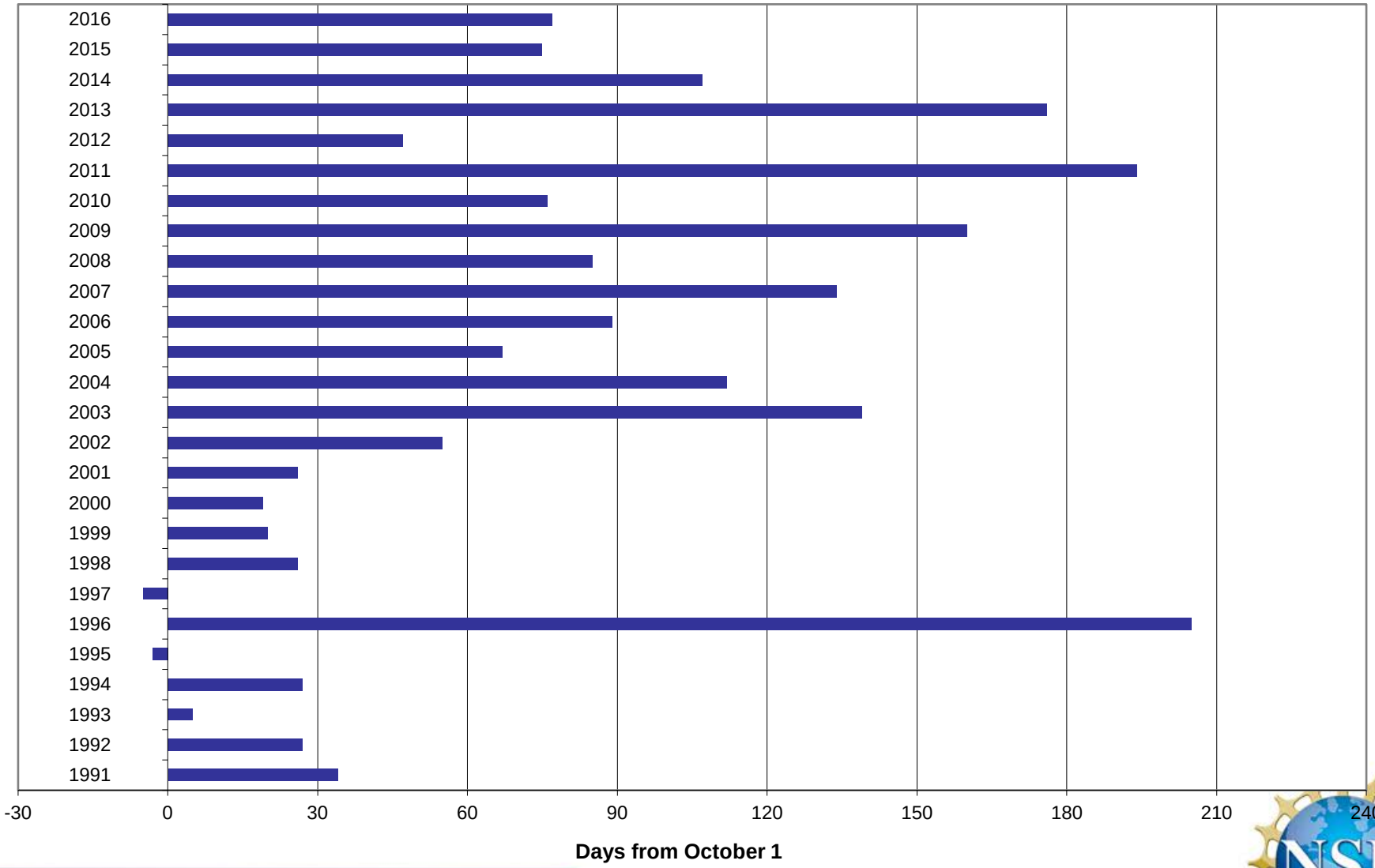
- Different category of Federal spending than NSF typically sees
- Also known as “direct spending”
- GAO Definition: budget authority that is provided in laws other than appropriations acts
- Most commonly associated with entitlement programs (Social Security, Medicare, etc.) but also supports R&D
- *Not subject to discretionary caps*
- In FY 2017, the Administration is seeking legislation to provide mandatory funding for NSF on a one-time basis

FY 2017 Status

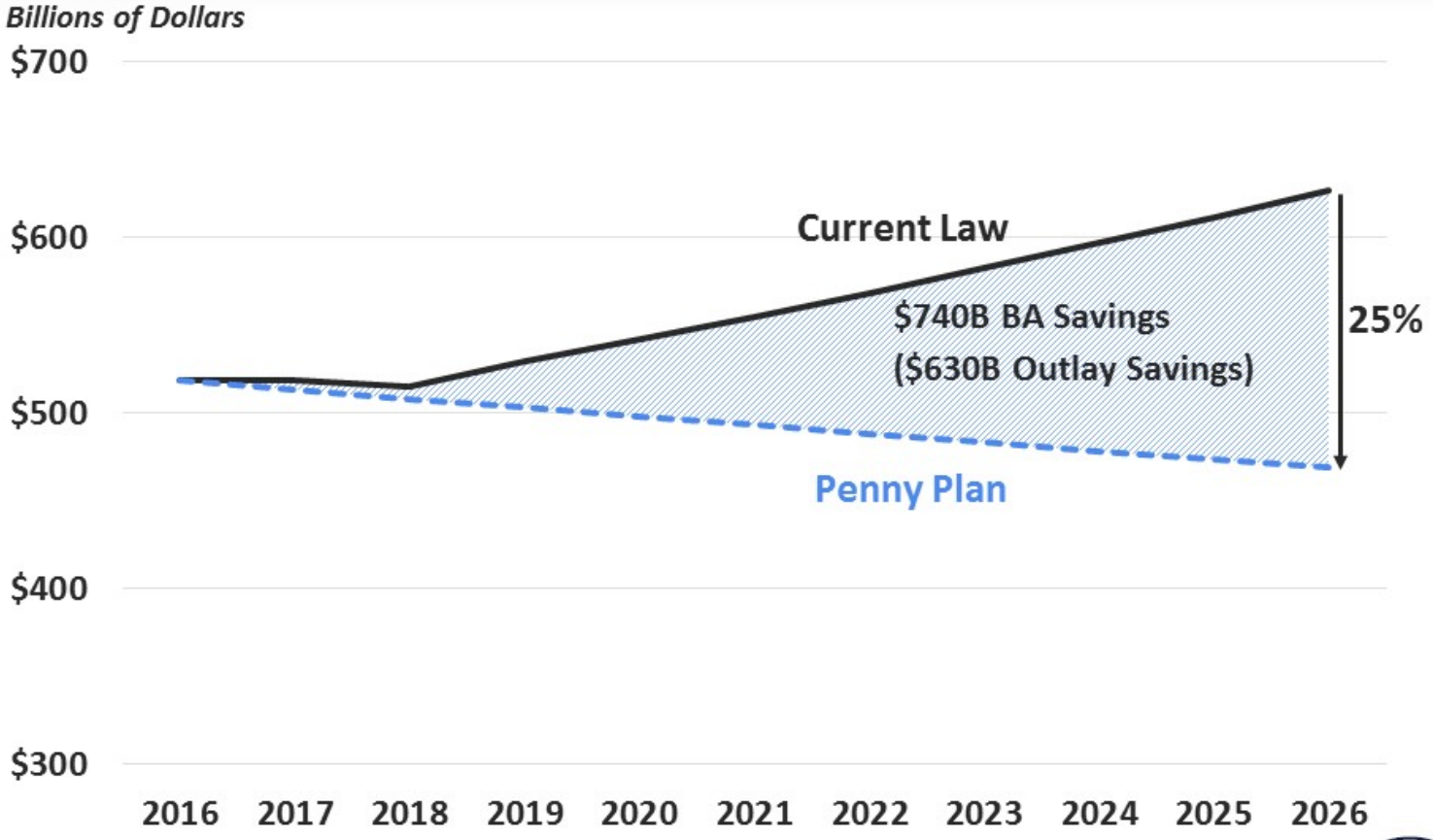
- Continuing Resolution through Dec. 9
  - Enacted Sept. 29, 2016
  - P.L. 114-223

- Congress to return after election to complete action on FY 2017

APPROPRIATIONS DRIFT
NSF Appropriations Dates versus Start of Federal Fiscal Year Oct. 1



Penny Plan Would Significantly Reduce NDD Budget Authority



Source: Congressional Budget Office, CRFB calculations

CRFB.org

2016 Election Results

SENATE	114th Congress	115th Congress - 2016 Election Results*	Change**
Republicans	54	51	-3 seats
Democrats	46*	48*	+2 seats

* 2 Independents caucus with Democrats
** Louisiana will hold a runoff election on December 10, 2016

HOUSE OF REPRESENTATIVES	114th Congress	115th Congress – 2016 Election Results**	Change**
Republicans	247	238	-9 seats
Democrats	188	193	+5 seats

** Four House races have not yet been called (including two House districts in Louisiana, which will hold a runoff election on December 10, 2016).

Senate

- Republicans retain leadership of the Chamber
  - Maintain control over Committees, schedule/calendar, Executive nominations, treaties
- Appropriations – Commerce, Justice, Science, and Related Agencies
  - Vice Chairwoman Barbara Mikulski (D-MD) has retired, Sen. Mark Kirk (R-IL) was not reelected
- Authorizing – Commerce, Science, Transportation Committee
  - Subcommittee on Science, Space, and Competitiveness – no change*
- Authorizing – Committee on Health, Education, Labor, and Pensions
  - Barbara Mikulski (D-MD) has retired, Sen. Mark Kirk (R-IL) was not reelected

House of Representatives

- Republicans retain leadership of the Chamber
  - Maintain control over Committees, schedule/calendar, rules of business
- Appropriations – Commerce, Justice, Science, and Related Agencies
  - Rep. David Jolly (R-FL) and Ranking Member Mike Honda (D-CA) were not reelected. Rep. Chaka Fattah (D-PA) resigned during the 114th Congress
- Authorizing – Science, Space, and Technology Committee
  - Subcommittee on Research and Technology – Rep. Randy Neugebauer (R-TX) retired, Rep. Donna Edwards (D-MD) and Rep. Alan Grayson (D-FL) did not seek reelection

Backgrounder: Fall 2016
NSF Advisory Committee for Business and Operations

Nature of Agenda Item: Update on the Relocation of NSF Headquarters and Feedback on Post-Move Transition

Presentation:

The first part of the presentation will inform the Committee of the current status of the relocation project including:

- Enhancements to help NSF achieve its mission
- Project Timeline
- Schedule and Budget update
- Managing Risks

The discussion will then shift to communications with staff to connect to the new building and how to best position NSF and its staff after the move has been completed.

Committee Action/Feedback

Questions for the Committee regarding the post-move transition to the new headquarters building:

- What can we start planning now to prepare for post-move?
    - After the move is complete, how do we avoid a "letdown" for the team and staff that worked on the relocation?
    - What are some best practices to help staff get acquainted quickly and comfortably with the new surroundings and new processes?

Contact Persons:

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Brian MacDonald, 703-292-7561, brmacdon@nsf.gov

National Science Foundation
OFFICE OF INFORMATION & RESOURCE MANAGEMENT

Update on the Relocation of NSF Headquarters

Business and Operations Advisory Committee

November 29, 2016

Dr. Joanne Tornow

Brian MacDonald

People | Place | Technology

Your Success is Our Success!

Administrative Services
Human Resource Management
Information Systems
Chief Information Officer

Project Overview

- NSF relocating to Alexandria in 2017
  - Moving 2,250 people
  - Moving into brand new building
  - NSF located under one roof
  - Relocate between August and October 2017
  - Rent reduced by $6 million per year

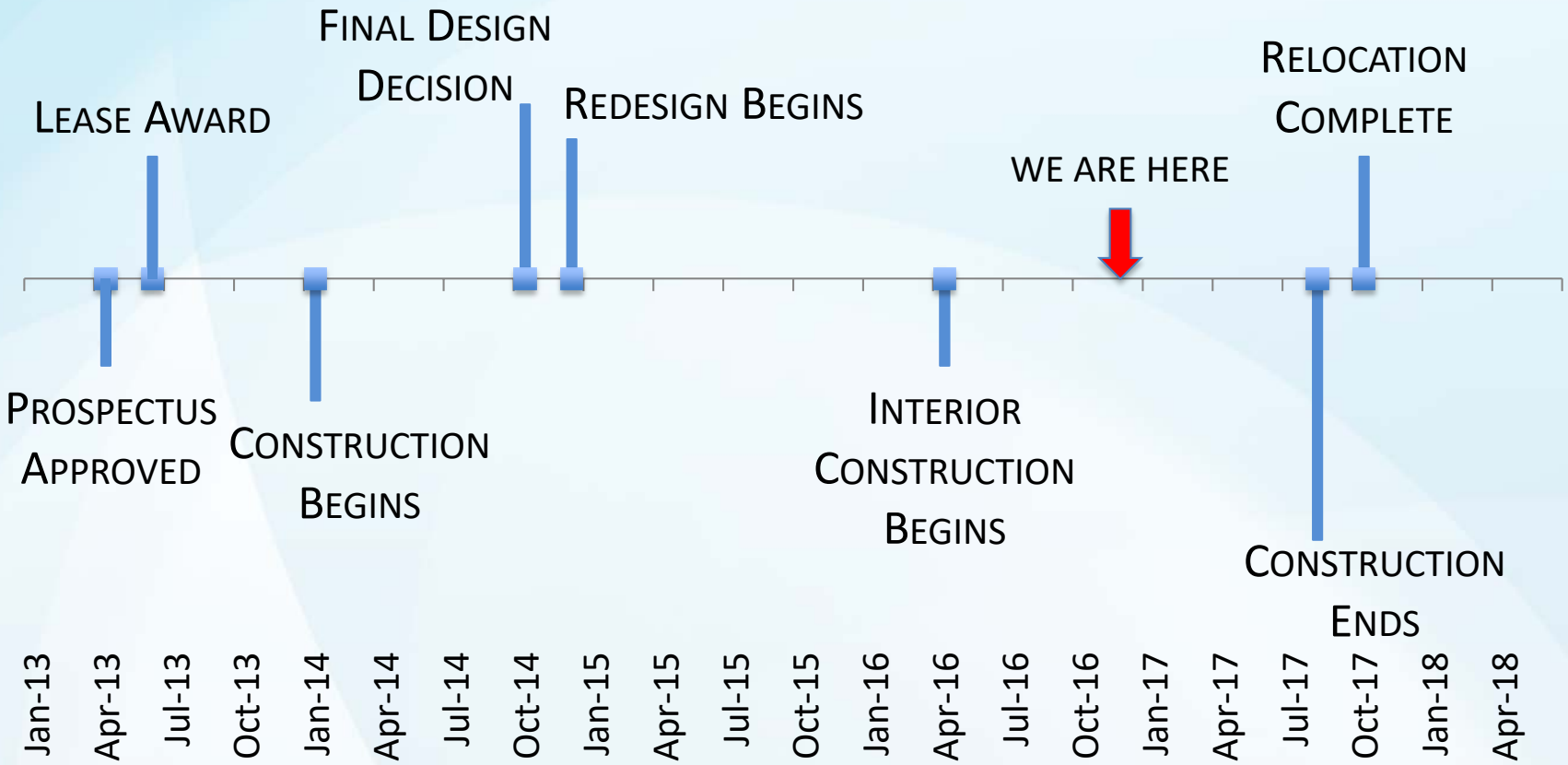
Helping NSF achieve its mission

- New Panel Conference Center
  - 37 conference rooms accommodating 1,200 people
  - Modern AV capabilities
  - Visitor Center, Business Lounge, Pre-Function Area
- Work from anywhere in the building
  - Robust Wi-Fi, print to any printer, VoIP system
- Improves NSF's compliance with various federal mandates, statutes, and Executive Orders.

Helping NSF achieve its mission

- NSF controls building security
  - Dedicated NSF parking garage w/controlled access
  - NSF-only vs. public space
- Improved building design
  - Smart elevator system reduces wait times by 60%
  - Improved energy efficiency (LEED Silver certification)
  - Employee amenities (full service cafeteria, fitness center)

Project Timeline



Schedule and Budget Update

- Project is on schedule
  - Data Center complete & commissioned
  - 5th floor construction 95% complete
  - Employee workspace and furniture selections complete
  - Absorbing schedule slippage
  - Sequence of moves established

- Project costs are trending slightly below budget
  - Upcoming high value procurements
  - Sufficient contingency remaining

Managing Risks

- Integrated Project Schedule
  - Tracking critical path activities
- Business operations readiness
  - Collaborating across OIRM
- Partnering with BFA

Building Skyline

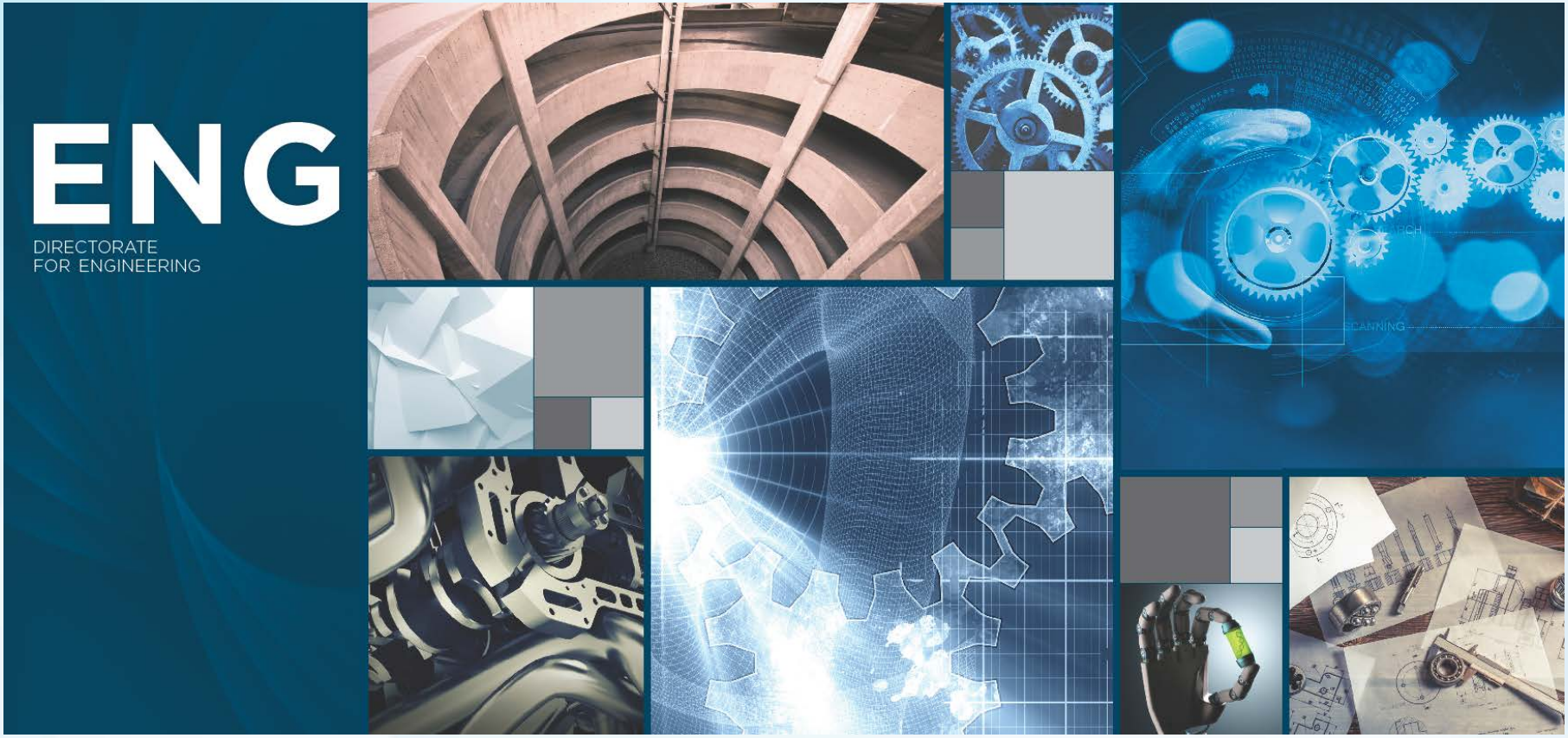
Building Exterior

5th Floor

Change Management/Communications

- FY16 FEVS: 74% satisfied with communications about the move
- Integrated communications team
- Connecting to the new building:
  - Relocation resources on Inside NSF
  - Workspace selection
  - Monthly bus tours to vicinity
  - Directorate branding
  - Video tour
  - Plan to initiate building tours in late winter 2017

Directorate Branding



Office of Information & Resource Management

Your Success is Our Success!

Administrative Services
Human Resource Management
Information Systems
Chief Information Officer

Directorate Branding

Office of Information & Resource Management

Your Success is Our Success!

Administrative Services
Human Resource Management
Information Systems
Chief Information Officer

Video Tour

What happens after we get there?

- What do we need to start doing now to prepare for post-move?
  - Avoiding let-down for staff responsible for all aspects of relocation.
  - Best practices for agency staff to adjust to new surroundings/new processes.

Backgrounder: Fall 2016

NSF Advisory Committee for Business and Operations

Nature of Agenda Item: Feedback for Current Iteration of NSF's Strategic Plan

Presentation:

The idea of a Strategic Goal for NSF originated in the 2001-2002 timeframe, when a Strategic Plan for Administration and Management was created. Subsequently, a strategic goal called "Organizational Excellence" was included in the FY 2003-2008 Strategic Plan for NSF. This was the first strategic plan for NSF where a Strategic Goal around its business operations was at the same level as goals for science, engineering and education (at that time, called People, Ideas and Tools).

The BOAC was instrumental in helping to create the Organizational Excellence strategic goal. The goal as stated in the FY 2003-2008 Strategic Plan:

> An agile, innovative organization that fulfills its mission through leadership in state-of-the-art business practices.

The Committee stated the following in the minutes of its summer 2003 meeting:

> The committee has believed since its inception that administration and management deserve greater prominence in NSF's planning, and that many of NSF's activities could provide models for other agencies. By establishing the Organizational Excellence goal, NSF is sending a clear signal that it cannot achieve its mission in science and engineering without a commensurate commitment to excellence in business systems and processes.

In the current NSF Strategic Plan (FY 2014-18), the goal is called "Excel as a Federal Science Agency." This current NSF Strategic Plan has been sent to you as a pre-read for this topic.

Additionally, the Committee has stressed the importance that this operations-oriented strategic goal be owned by all of NSF, not just BFA and OIRM. As stated in the notes of the fall 2005 meeting when providing feedback for NSF's FY 2006-2011 Strategic Plan:

> The committee supports NSF's commitment to recasting the OE (Organizational Excellence) goal so that it is "owned" by the entire agency, rather than being seen as the province of BFA and IRM.

We will review the process and timeline of the construction of NSF's new strategic plan before moving to the feedback areas for the Committee.

Committee Action/Feedback

Questions as related to the current/future Excel as a Federal Science Agency strategic goal:

1. Do you have additional rationale for why the goal should remain a strategic goal versus being considered a "management objective?"

2. How can the goal continue to provide a mechanism to enable fundamental research?
3. How can the goal evolve to the next level as to helping NSF excel as a Federal science agency?
4. How can NSF better integrate the three strategic goals (this business goal and the two science, engineering and education goals) so all of the goals resonate with staff across the agency (i.e., program, administration and operations)?
5. How can enterprise risk management (ERM) be incorporated in the strategic plan? ERM would cut across all three strategic goals.
6. What elements of the goal, if any, are no longer relevant?

Contact Persons:

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Teresa Grancorvitz- 703-292-4435, tgrancor@nsf.gov

DEVELOPMENT OF NSF STRATEGIC PLAN FOR 2018 - 2022

Discussion wih Advisory Committees
Fall, 2016

SCOPE

- The process of developing the next strategic plan
- Key elements of the current strategic plan
- How to provide input

Background

- **Timeframe**
  - Draft Plan will go to OMB late-May, 2017
  - Final version – published February 2018.
- **Process and Structure**
  - Follows guidance provided by OMB
- **Not a university strategic plan!**
  - Very high-level
  - Identifies broad, long-term objectives and values that help NSF achieve its mission
- **Looking for feedback on current Strategic Plan (FY 2014 – FY 2018)**
  - Provides a starting point

Your Feedback is Encouraged!

Within next couple of weeks:

- **Look a current plan**
- **Provide individual comments on key elements of current plan through the strategic planning web-site:**

  https://www.nsf.gov/od/oia/strategicplan/feedback.jsp
- **Provide feedback from AC as a whole via email to:**

  strategicplan@nsf.gov

Mission (NSF Act of 1950)

- *To promote the progress of science;*
- *to advance the national health, prosperity, & welfare;*
- *to secure the national defense;*
- *and for other purposes.*

Some High-level Questions

- What are the interests, values and emergent science and policy issues that the Strategic Plan should recognize?
- How can NSF help maintain US leadership in an evolving global research and education landscape?
- How can the plan best underscore the importance to the Nation of fundamental research and its broader impacts?
- What are the few management objectives that would contribute most to the achievement of NSF's mission and to the well-being of its staff?
- What elements of the Plan, if any, are no longer relevant?

Key Elements of Strategic Plan

- **Vision**
- **Core Values**
- **Strategic Goals**
- **Strategic Objectives**

Vision (current SP)

"A Nation that creates and exploits new concepts in science and engineering and provides global leadership in research and education."

Core Values (current SP)

Scientific Excellence – engaging the vision and expertise of our staff with that of the scientific community to create a portfolio of awards that support transformation and innovation;

Organizational Excellence – investing the resources entrusted to us optimally and efficiently, and realizing the full potential of our people in managing a capable, motivated, inclusive, and positive work environment;

Learning – continually identifying opportunities for learning and professional growth inside and outside the agency, and sharing our best insights with others;

Inclusiveness – seeking and embracing contributions from all sources, including underrepresented groups, regions, and institutions;

Accountability for Public Benefit – operating with integrity and transparency, and maintaining the highest standards of performance in administration, business processes, management, and oversight, thereby providing the best value to the U. S. taxpayer.

Strategic Goals & Objectives (current SP)

G1: Transform the Frontiers of Science and Engineering

- G1/O1: Invest in fundamental research to ensure significant continuing advances across science, engineering, and education [IDEAS]
- G1/O2: Integrate education and research to support development of a diverse STEM workforce with cutting-edge capabilities [PEOPLE]
- G1/O3: Provide world-class research infrastructure to enable major scientific advances [TOOLS]

G2: Stimulate Innovation and Address Societal Needs through Research and Education

- G2/O1: Strengthen the links between fundamental research and societal needs through investments and partnerships
- G2/O2: Build the capacity of the Nation to address societal challenges using a suite of formal, informal, and broadly available STEM educational mechanisms

Management Objectives (current SP)

G3: Excel as a Federal Science Agency

G3/O1: Build an increasingly diverse, engaged, and high-performing workforce by fostering excellence in recruitment, training, leadership, and management of human capital.

G3/O2: Use effective methods and innovative solutions to achieve excellence in accomplishing the agency's mission

Subcommittee Backgrounder: Fall 2016
NSF Advisory Committee for Business and Operations

Presentation:

In past years, the NSF Advisory Committee for Business & Operations has successfully undertaken the practice of using the formal subcommittee mechanism to examine specific business matters in more depth and with broader external membership than would normally be on the Committee itself. At the Fall 2010 meeting of, the Committee recommended that NSF continue this practice, and NSF accepted this recommendation, and at the Spring 2011 Committee meeting. Thereafter, the Committee sought to better understand the relevant legal information, its options for frameworks, and to identify best practices. NSF staff conducted research, including interviewing past subcommittee participants and identified draft best practices and draft subcommittee guidance that was never adopted.

NSF staff has updated the draft guidance on subcommittees, and shared this draft with members in advance of this meeting. This presentation will present a high-level summary of the updated draft guidance.

Committee Action/Feedback

NSF requests that Committee consider the updated draft guidance and recommend that it be finalized and implemented as part of the Committee's internal operations going forward.

Contact Person:

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Finalizing NSF Business & Operations Advisory Committee on its Use of Subcommittees

CHARISSE CARNEY-NUNES (BFA) | NOVEMBER 29, 2016

Agenda

- Fall 2010 Recommendation
- Post-Recommendation Action
  - Interviews, best practices
  - Draft Guidance
- Updated Draft Guidance
- Adoption of Draft Guidance

Fall 2010 Committee Recommendation

- Use the formal subcommittee mechanism to examine specific business matters in more depth and with broader external membership than would normally be on the Committee itself. In the past few years, subcommittees have been successful at examining key business processes.

Post-Recommendation Actions

- Spring 2011 recommended 3 new SCs; recommended report templates
- Fall 2011 NSF interviewed SC members; drafted report template; identified best practices
- Spring 2012 NSF presented draft guidance to BOAC; additional contemplated subcommittees did not happen
- Spring 2016 BOAC recommended NAPA SC

Updated Draft Guidance

- Flexibility - Guidance
- Topics covered
  - Purpose
  - Background & Introduction regarding subcommittees
  - Subcommittee Creation
  - Subcommittee Membership
  - Subcommittee Operations & Communications
  - Report Issuance

Guidelines (Highlights)

- **Creation**
  - NSF DFOs create subcommittees, either at a BOAC meeting or in between meetings (collaborative process with BOAC);
  - SC chair should be named early & included in the finalization of charge;
  - Charge should be drafted from the BOAC to the SC, and
    - should define scope of advice BOAC seeks from SC;
    - may include reminders that NSF DFOs or their designees should not participate on the SC or contribute to the advice, and that NSF may not receive advice directly from the SC;
    - should include targeted timeframes and a termination date.
  - Standing subcommittees are strongly discouraged. If the subcommittee needs to act for a lengthy period of time, renewals should be built into the charge.

Guidelines (Highlights)

- **Membership**
  - NSF DFOs (or their designees or an NSF organizing committee) should collaboratively to agree on subcommittee membership with the BOAC.
  - NSF DFOs or designees should generally attend subcommittee meetings.
  - BOAC member as liaison or subcommittee member if possible.
  - Number of BOAC members on SC can't exceed BOAC quorum.
- **Operations & Communications**
  - NSF staff supports SC logistics, operations and communication.
  - NSF and SC communication should be as frequent as necessary or appropriate, keeping in mind that NSF should not participate on the subcommittee or contribute to the advice.
  - Agree early re: underlying data necessary for SC work (access to sensitive and personally identifiable information, Privacy Act, Paperwork Reduction Act – NSF DFO may consult OGC).
  - Resolve conflicts by SC chair, inclusion of minority opinions in report.

Guidelines (Highlights)

- **Subcommittee report**
  - Should contain advice, findings, recommendations; template may not be appropriate.
  - NSF opportunity to suggest edits to clarify or correct factual errors.
  - BOAC chairs may suggest edits
  - SC submits report to BOAC chairs, not NSF
- **BOAC Responsibilities**
  - Discuss report at duly organized BOAC meeting, accept it, reject it, send it back to the SC for revisions.
  - Ultimately make it publicly available.
  - Provide feedback/comments via NSF DFO cover letter.
  - Forward report to NSF DFOs.

Can we put this issue to bed?

NSF requests that the BOAC consider the updated draft guidance and recommend that it be finalized and implemented as part of the BOAC's internal operations going forward.

National Science Foundation
Business and Operations Advisory Committee
Guidance Document for the Creation and Operation of Subcommittees

I. Purpose

This document provides a consolidated reference for the creation and operation of subcommittees of the NSF Business and Operations Advisory Committee (the BOAC or the Committee).

II. Background

The BOAC is an NSF federal advisory committee established pursuant to the Federal Advisory Committee Act, 42 U.S.C. §1861 et. seq. (FACA), to provide advice to the Head, Office of Budget, Finance, and Award Management (BFA) and to the Head, Office of Information and Resource Management (OIRM) of NSF. The BFA and OIRM Office Heads are the NSF Designated Federal Officials (DFOs) for the Committee.

The work of the BOAC focuses on issues related to oversight, integrity, development, and enhancement for improved performance of the Foundation's business operations. The Committee strives to provide advice that is relevant, objective, and timely. Because the BOAC is subject to FACA, its meetings are open to the public.

A subcommittee is a group that reports directly to the BOAC, not to NSF, and is not subject to FACA unless NSF voluntarily elects to apply the Act. Subcommittees may not report directly to NSF, unless they are duly established under FACA.

III. Introduction

The BOAC's charter provides that NSF may form subcommittees for any purpose consistent with the charter. Indeed, from the time that the BOAC was established, the agency has used the subcommittee mechanism from time to time when it sought a more in depth examination of a particular issue. At its Fall 2010 meeting, the Committee formally recommended that NSF:

> Use the formal subcommittee mechanism to examine specific business matters in more depth and with broader external membership than would normally be on the Committee itself. In the past few years, subcommittees have been successful at examining key business processes.

NSF implemented this recommendation, conducted additional research and subsequently developed and then finalized this guidance document to inform the agency's future use of BOAC subcommittees.

IV. Subcommittee Creation

a. NSF DFOs must approve the creation and operation of any subcommittees.
b. Subcommittees do not need a separate charter, rather to initiate at subcommittee, NSF should work collaboratively with the BOAC *and the subcommittee chair(s)* to develop a charge which:
    i. defines the subcommittee's work, specifically setting forth the advice that the BOAC is seeking from the subcommittee;

ii. may include reminders that NSF DFOs or their designees should not participate on the subcommittee or contribute to the advice that it provides to the BOAC, and that NSF may not receive advice directly from the subcommittee;
iii. estimates the number of in-person meetings that will be required, and a proposed budget for the work of the subcommittee;
iv. includes a targeted timeframe for delivering a subcommittee report with advice and recommendations to the BOAC co-chairs; and
v. includes a statement that the subcommittee will terminate upon completion of the activities set forth in the charge and estimates that date if possible.

c. Standing subcommittees are strongly discouraged. If the subcommittee needs to act for a lengthy period of time, renewals should be built into the charge.
d. NSF may create subcommittees in between BOAC meetings with DFO approval, as long as the agency works collaboratively with the BOAC co-chairs and appropriate members.

V. Subcommittee Membership

a. Though NSF ultimately selects subcommittee membership, NSF and the subcommittee chair(s) (in consultation with the BOAC) should work collaboratively to agree on membership. When appropriate, NSF may use an organizing committee of NSF staff to help select members and to address other logistics.
b. The subcommittee chair or co-chairs should be defined at the time it is charged or as soon after as is reasonably possible, and should participate in refinement of the charge.
c. The NSF DFOs should serve as (or designate) the cognizant NSF staff member for each subcommittee. The NSF DFOs or their designees should generally attend subcommittee meetings.
d. While there is no legal requirement that a BOAC member serve on a subcommittee, every effort should be made to include at least one BOAC member as a liaison to or a member of each subcommittee created.
e. NSF staff and other federal employees may serve on subcommittees, except that the Designated Federal Officers of the BOAC may not serve.
f. The number of BOAC members who serve on a particular subcommittee, may not exceed the number that constitutes a quorum of the BOAC at any given time.

VI. Subcommittee Operations and Communications

a. Subcommittee operations should proceed keeping the cognizant NSF staff member informed.
b. NSF should consider creating an NSF cognizant organizing committee comprised of NSF-wide staff when the subcommittee's advice will impact a broad cross-section of the agency or is particularly sensitive, important or concerns challenging issues.
c. NSF staff should support subcommittee logistics but involve the subcommittee chair (or defer as appropriate) in meeting administration matters such as agenda setting, room set up, appropriate use of remote technologies.
d. Communication between subcommittee chairs and cognizant NSF staff member should be as frequent as necessary or appropriate, keeping in mind that NSF should not participate on the subcommittee or contribute to the advice.
e. The cognizant NSF staff member and subcommittee chairs should agree early on and to the greatest extent possible with respect to data and information to which the subcommittee will need access to conduct its business. Where access to sensitive or personally identifiable

information is required or where external information must be collected, the NSF Office of General Counsel should be consulted.

f. The subcommittee chair should resolve conflicts that may arise in the conduct of subcommittee business. To the extent conflicts cannot be resolved, the chair should include minority opinions/unresolved conflicts in the subcommittee's report so that the BOAC and NSF will be informed of the conflict.
g. Subcommittee chairs or the cognizant NSF staff member should make every effort to use a short template to update the BOAC on subcommittee activities in between BOAC meetings.

VII. Subcommittee Report

a. Upon completion of the activities set forth in the charge, the subcommittee chair(s) should prepare a final report containing its advice, findings and recommendations for the BOAC and deliver it to the BOAC chair(s). While use of a report template may not work for every subcommittee, reports should generally contain the sections set forth in the BOAC template.
b. Prior to delivering the final subcommittee report to the BOAC chair(s), the subcommittee chair(s) may share it with the cognizant NSF staff member(s), who may suggest edits to clarify or correct factual errors. NSF staff members should refrain from making substantive edits to the draft report. NSF staff is also *prohibited* by FACA from receiving subcommittee advice at this point in the process.
c. Prior to delivering the final subcommittee report to the BOAC chair(s), the BOAC chair(s) may suggest changes.
d. Upon receipt of the final subcommittee report, the BOAC chair(s) shall submit it to the full BOAC in advance of its next formal BOAC meeting.
e. Subcommittee advice and recommendations must be discussed and deliberated at a duly organized BOAC meeting prior to submission to NSF.
f. Once the subcommittee's report has been discussed and deliberated at a duly organized BOAC meeting, the BOAC shall discuss the subcommittee's report, accept it, reject it, or send it back to the subcommittee for revisions. Once a subcommittee report is accepted, the BOAC will make it publicly available to the extent that the report does not contain proprietary, personal or other non-public information. The BOAC may also provide additional written feedback to NSF, including any comments or opinions it has to offer regarding the report or its findings and recommendations by way of a cover letter to the NSF DFOs.

Backgrounder: Fall 2016

NSF Advisory Committee for Business and Operations

Nature of Agenda Item

Progress Report from the BOAC Subcommittee on NAPA Implementation

Presentation

The Subcommittee on NAPA Implementation was charged with preparing a report for BOAC approval that recommends actions to NSF for implementing a subset of National Academy of Public Administration recommendations related to NSF-wide oversight of large-scale research facilities in the report, **National Science Foundation: Use of Cooperative Agreements to Support Large Scale Investment in Research**.

Specifically, the Subcommittee has been charged with providing options for appropriate agency-wide oversight for the NSF Office of the Director (OD) for the following four tasks:

- Re-scope of the role, duties, and membership of the Major Research Equipment and Facilities Construction (MREFC) Panel to include status update reviews of projects in the development and construction phases focusing on cost, schedule, and performance. [NAPA Recommendation 6.2]
- Evaluate the potential value in extending the MREFC Panel's role to operating facilities, including divestment (i.e. full life-cycle).
- Evaluate the potential value in creating an internal agency "senior official" position in OD charged with reporting to the Director and Deputy Director/Chief Operating Officer on large facilities.
- Evaluate the potential value in creating a new Federal Advisory Committee Act (FACA) committee to provide the NSF Director with a sounding board for objective insight on large research projects. [NAPA Recommendation 6.4]

Committee Action/Feedback

The Subcommittee met at NSF on Aug 3-4, 2016. We will provide a summary of our provisional findings and recommendations for discussion with the Committee.

Contact Person

Michael Holland
646-997-0513
mike.holland@nyu.edu

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Update from the Subcommittee on NAPA Implementation

FALL 2016 BOAC MEETING

Michael Holland
November 29, 2016

DRAFT

The subcommittee is scheduled to meet in advance of the Fall 2016 BOAC meeting. As such, these slides are subject to change.

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Subcommittee Membership

Michael Holland	Executive Director, Center for Urban Science & Progress; New York University
Patrick Looney	Chair, Sustainable Energy Technologies Department; Brookhaven National Laboratory
Kevin Marvel	Executive Officer, American Astronomical Society
Katy Schmoll	Chief Financial Officer, NEON
Dick Seligman	Associate Vice President, Office of Research Administration; Caltech
Stephanie Short	Associate Deputy Director for Field Operations, DOE Office of Science
Dan Stanzione, Jr.	Executive Director, Texas Advanced Computing Center; The University of Texas at Austin
John Tao	President, O-Innovation Advisors LLC
David Trinkle	Director, Berkeley Research Development Office; University of California, Berkeley
Joseph Whittaker	Dean, School of Computer, Mathematical & Natural Sciences; Morgan State University

DRAFT

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Subcommittee Charge

The Subcommittee has been charged with providing options for appropriate agency-wide oversight for the NSF Office of the Director (OD) for the following four tasks:

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DRAFT

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General Observations

On the basis of our briefings and review of materials NSF has provided to the Subcommittee, we have the following general observations:

- NSF confounds approvals (for moving from one stage to the next in a stage-gate process) and oversight of performance within a stage (CDR, PDR, construction, ops, etc). Greater clarity in each task is required.
- NSF does not appear to have a systematic approach to risk-management. The Subcommittee believes this is a tractable issue.
- Early stage facility investments (pre-CDR) are opaque to NSF leadership and oversight. The Subcommittee believes this is a tractable issue.
- Recent actions by Director Cordova are encouraging. The challenge is to determine the best approach for embedding those early actions in NSF culture.
- We have not delved into the NSB role and responsibilities with respect to major facilities. Based on conversations with NSB staff, the subcommittee thinks the NSB role and competencies merits attention beyond our formal charge, but we have no findings or recommendations at this time.

DRAFT

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Re-scope MREFC Panel

Charge

Re-scope of the role, duties, and membership of the Major Research Equipment and Facilities Construction (MREFC) Panel to include status update reviews of projects in the development and construction phases focusing on cost, schedule, and performance. [NAPA Recommendation 6.2].

Finding

NSF's current process mixes elements of a stage-gated approval process with oversight of project performance at each stage of the facility's life cycle.

Recommendation

- NSF should create separate, well-coordinated processes for approvals and for project oversight, since the appropriate questions and expertise required for approvals differs from that of oversight.
- The MREFC Panel's role should focus on approvals that move projects through each stage in their life cycle.

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Full Life-cycle Role

Charge

Evaluate the potential value in extending the MREFC Panel's role to operating facilities, including divestment (i.e. full life-cycle).

Finding

Major research facilities require routine oversight throughout their full lifecycle, and the NSF needs a consistent framework for risk monitoring independent of the budget account funding any given project.

Recommendation

- NSF should establish a standing internal committee that will meet regularly to review not only the cost, schedule, and performance of all NSF projects in the development and construction stages as well as the operational performance metrics the full portfolio of NSF large facilities to ensure that they are delivering the maximum scientific benefit possible.
- Dr. Cordova's interim watchlist group fulfills many of the functions that we envision for this committee

DRAFT

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Senior Official

Charge

Evaluate the potential value in creating an internal agency “senior official” position in OD charged with reporting to the Director and Deputy Director/Chief Operating Officer on large facilities.

Recommendation

Still under discussion.

DRAFT

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Facilities FACA

Charge

Evaluate the potential value in creating a new Federal Advisory Committee Act (FACA) committee to provide the NSF Director with a sounding board for objective insight on large research projects. [NAPA Recommendation 6.4]

Finding

The Subcommittee does not believe an additional external review of individual projects is appropriate. Independent project and cost estimating reviews of individual MREFC projects must be designed into the LFO process.

Recommendation

- A standing subcommittee of BOAC is capable of periodically reviewing the rigor of NSF's large facilities oversight processes in a manner analogous to the role a Committee of Visitors has in providing external expert assessment of the quality and integrity of program operations and program-level technical and managerial matters pertaining to proposal decisions.

DRAFT

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Outstanding Issues

The Subcommittee is working to embed a systematic approach to risk management in our recommendations

- NSF should conduct an "institutional risk screening" associated with all projects with a total project cost above a threshold
- A preliminary risk analysis would be completed by NSF prior to the development of a conceptual design, and certainly before a contractor has been formally identified.

Reporting lines vs. Competencies

- Institutional knowledge resides with the Feds. However, the Feds frequently report formally to rotating IPAs and appointees. The Subcommittee sees a conflict that is difficult to resolve.

NSB Role

DRAFT

The subcommittee is scheduled to meet in advance of the Fall 2016 BOAC meeting. As such, these slides are subject to change.

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THANK YOU

DRAFT

The subcommittee is scheduled to meet in advance of the Fall 2016 BOAC meeting. As such, these slides are subject to change.

Backgrounder: Fall 2016
NSF Advisory Committee for Business and Operations

Nature of Agenda Item: Application of Lessons Learned from Other Lessons-Learned Programs

Presentation:

NAPA Recommendation 6.9 stated that NSF should formally establish communities of practice and implement a "lessons learned" requirement for all MREFC projects. The Panel and study team identified DOE and NASA as comparator science agencies whose large capital investment projects most closely align with NSF. However, DOE and NASA "own and operate" the research infrastructure they build, while NSF is banned from operating facilities (except Antarctic stations). NSF funds other organizations (recipients) to build and operate the research infrastructure. NSF and their recipients have multiple communities of practice and have conducted various lesson learned workshops.

NSF has achieved some success in sharing best practices and lessons-learned through various communities of practice. However, lessons learned are being done in a non-systemic manner. In developing a response to the NAPA recommendation, NSF is examining how to balance the lessons learned requirements with the benefits.

Committee Action/Feedback

NSF is seeking committee advice on best practices and potential missteps with lessons learned programs when creating a culture of continuous improvement within a multidisciplinary, vertically-segregated organization.

Based on the committee member's organization experience, how is a culture of continuous improvement established?
What are the key elements of a lessons learned programs that drive the benefits to your organization?
How communities of practices, lessons are learned documents, and changes to policy and/or procedures tied together?

How does your organization share lessons learned externally?
Are there any issues with sharing lessons learned outside your organization?

Suggestions on how to address the NAPA Recommendation 6.9?

Contact Person: Rebecca Yasky, Large Facilities Advisor, LFO
703-292-4309, ryasky@nsf.gov

National Science Foundation
OFFICE OF BUDGET FINANCE & AWARD MANAGEMENT

Advisory Committee for Business & Operations
November 29-30, 2016

Application of Lessons Learned from Other Lessons-Learned (LL) Programs

Rebecca Yasky
Large Facilities Office (LFO)

Background

- NAPA Recommendation 6.9: NSF should formally establish communities of practice (CoP) to share best practices and implement a "lessons learned" requirement for all MREFC projects.

- Panel identified comparator science agencies – DOE and NASA.
  - Key Difference: NSF's Primary Role is Oversight, not Management

- Lessons learned is an organizational responsibility
  - NSF is multi-disciplined, vertically-segregated
  - NSF does more than just MREFC* projects

*Major Research Equipment and Facilities Construction

Examples of Existing NSF CoP's and LL's

- Integrated Project Teams – Internal, cross-Directorate
- Program Officers Forum – Internal, cross-Directorate
- Large Facilities Workshop – Internal and External
- Federal Project Management CoP - External
- Directorate led community meetings/workshops - External
- Synchrotron Program Officers – NIH, DOE, NSF
- ALMA Science Operations Lessons Learned - Recipient
- Business System Review Lessons Learned – NSF

Concerns with Formalized LL Programs

- Establishing an environment that participants feel comfortable sharing
- “Lesson Learned” often has a negative connotation
- Administrative burden with no clear value-added
- Management support needed - culture and resources

BOAC Member Experiences on Implementation

- What are the key elements of a successful lessons learned program?
- How do identified best practices from your organization's communities of practices become implemented into policy and/or procedures?
- Are any external organizations part of your LL program? If yes, how does it work?

Lessons Learned for LL Programs

- Do's and Don'ts in establishing a LL Program.
- Are there potential legal and/or public affairs type issues with sharing LL between organizations?
- What guidance do you have for NSF?
  - To address the NAPA recommendation
  - For implementation of a formal, documented lessons learned program

Backgrounder: Fall 2016

NSF Advisory Committee for Business and Operations

Nature of Agenda Item: Update on Results from the 2016 Federal Employee Viewpoint Survey and Feedback on the Challenge Areas

Presentation:

The presentation will update the Committee on the results from the 2016 Federal Employee Viewpoint Survey (FEVS). The survey was administered to NSF employees during May and June 2016.

Key results from the 2016 FEVS:

- NSF is third highest among medium and small agencies on Employee Engagement scores (behind Office of Management and Budget and the Nuclear Regulatory Commission).
- All question scores higher than government average except for two (76 out of 78)
- High response rate of 74% (government-wide average is 46%).
- Ongoing focus areas are workload, career development, and performance management.

We will also discuss comparisons to benchmark agencies and next steps for employee engagement action planning.

Committee Action/Feedback

- How does NSF continue to maintain its progress in the coming year?
- How do we avoid complacency?
- How do supervisors and managers best engage with employees on the results?

Contact Person:

Joanne Tornow, 703-292-8100, jtornow@nsf.gov

National Science Foundation
OFFICE OF INFORMATION & RESOURCE MANAGEMENT

2016 FEVS Results
Employee Engagement Action Planning

Presentation to the Business and Operations Advisory Committee

November 30, 2016

Dr. Joanne Tornow

People | Place | Technology

Your Success is Our Success!

Administrative Services
Human Resource Management
Information Systems
Chief Information Officer

2016 FEVS Results Overview

Accolades

- NSF recognized for improvement in Employee Engagement and New IQ in OPM's government-wide FEVS report
- 3 point increase in NSF's Employee engagement score from 2015 to 73%
- 3 point increase in NSF's New IQ index of diversity and inclusion from 2015 to 65%

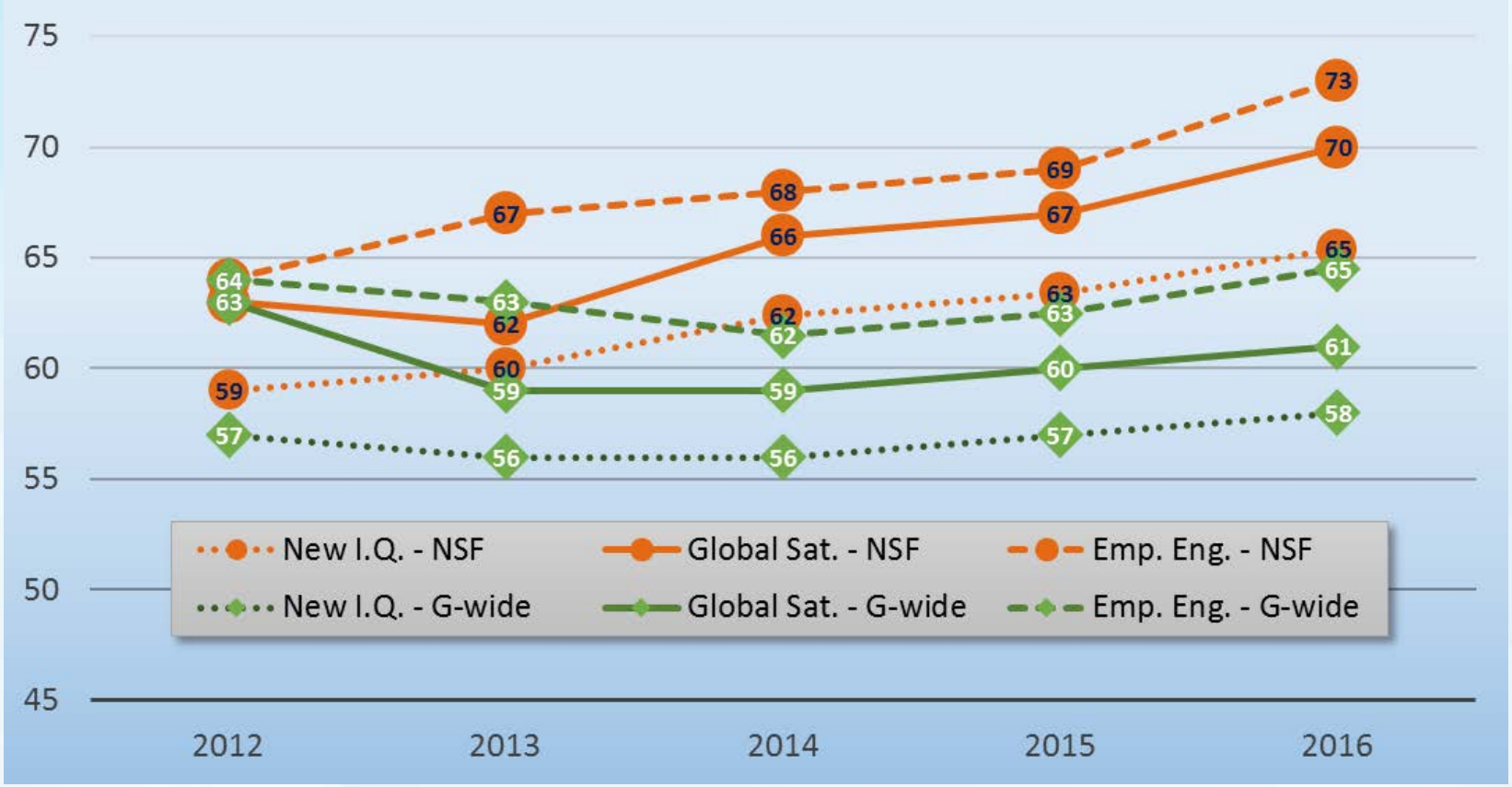
Benchmarking

NSF is third highest among medium and small agencies on Employee Engagement scores (behind OMB's 78% and NRC's 74%)

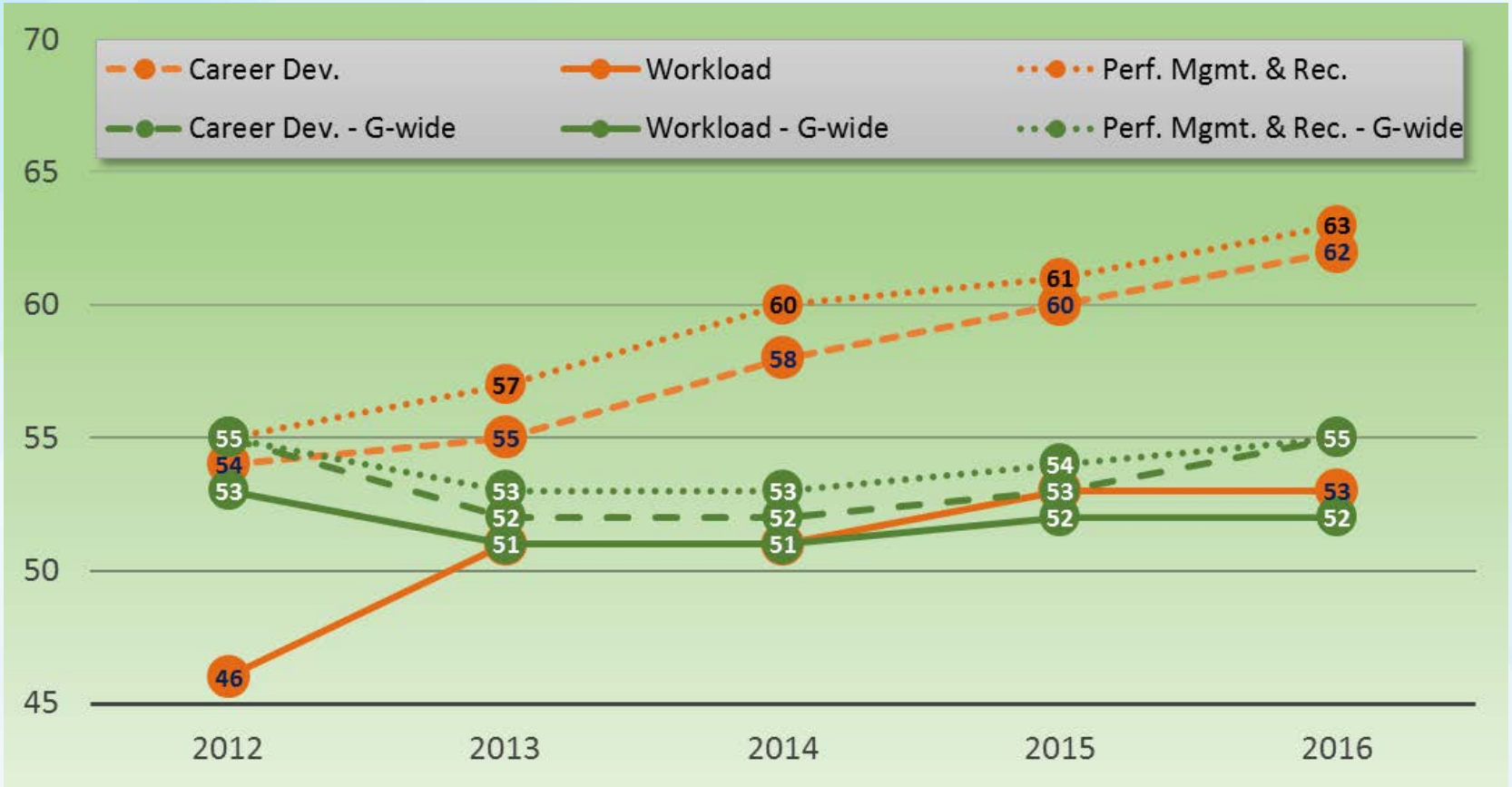
2016 FEVS Results Overview

- 74% response rate (government-wide 46%)
- All item scores at or above government average except two
  - My workload is reasonable (NSF = 50%, G-wide = 57%)
  - Prepared for potential security threats (NSF = 75%, G-wide = 77%)
- Most directorate/office index scores at or above OPM's "strength threshold" of 65%
- On-going focus areas: workload, career development, performance management

OPM's FEVS Index Scores by Year



NSF's FEVS Index Scores by Year



Office of Information & Resource Management

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2016 FEVS Item-Level Results Overview

Greatest Increase 2012-2016	(64) How satisfied are you with the information you receive from management on what's going on in your organization?	14.6
Greatest Decrease 2012-2016	N/A - No questions had a net decrease over 2012-2016	N/A
Greatest Increase 2015-2016	(54) My organization's leaders maintain high standards of honesty and integrity.	7.3
Greatest Decrease 2015-2016	(14) Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.	-3.8

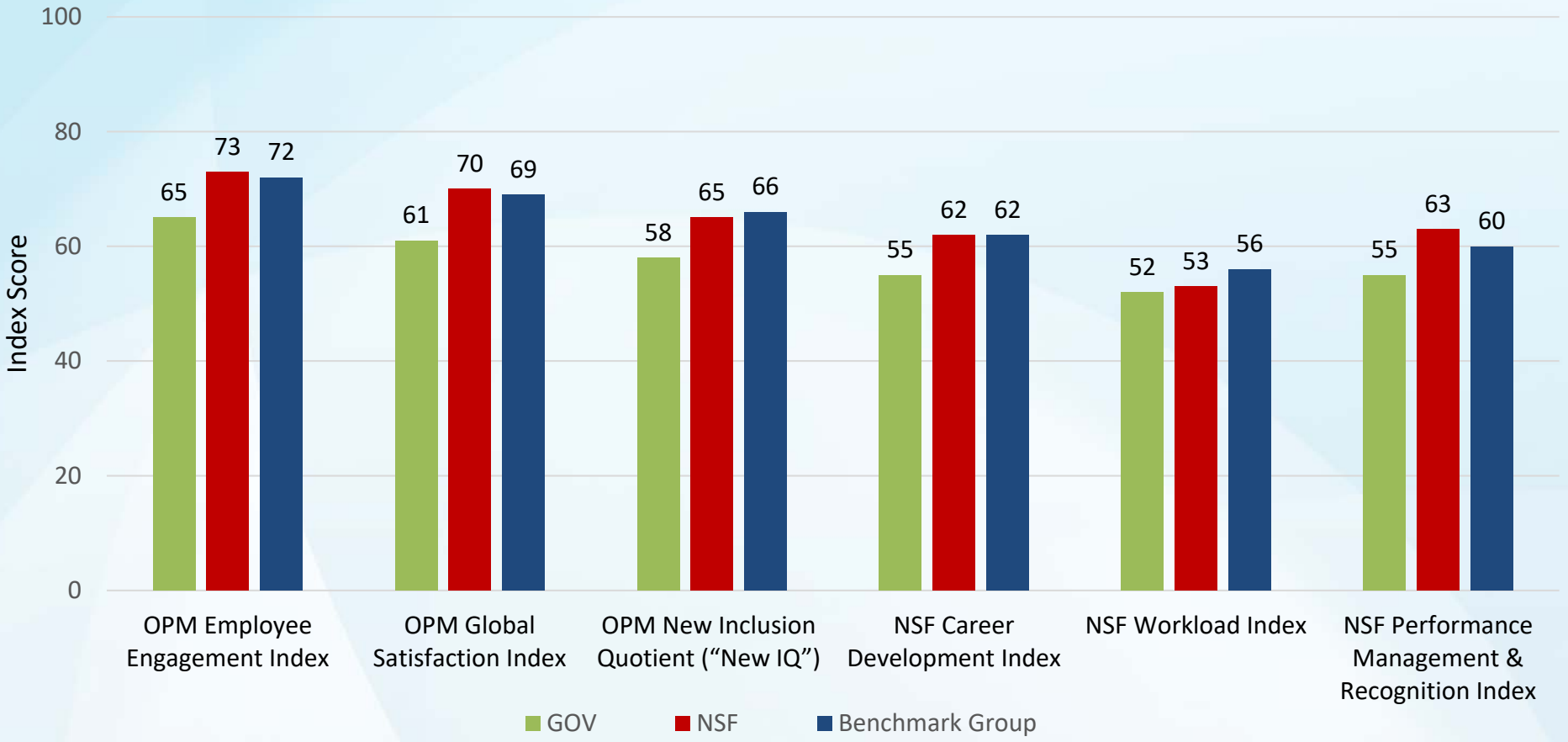
Top Five Largest Increases 2012 to 2016	NSF 2012	NSF 2016	Δ 2012-2016
(64) How satisfied are you with the information you receive from management on what's going on in your organization?	46.2%	60.8%	↑14.6
(44) Discussions with my supervisor/team leader about my performance are worthwhile.	59.1%	72.7%	↑13.6
(19) In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (for example, Fully Successful, Outstanding).	62.4%	75.2%	↑12.8
(66) How satisfied are you with the policies and practices of your senior leaders?	40.1%	52.4%	↑12.3
(15) My performance appraisal is a fair reflection of my performance.	67.2%	79.5%	↑12.3

2016 NSF-Specific Item Results

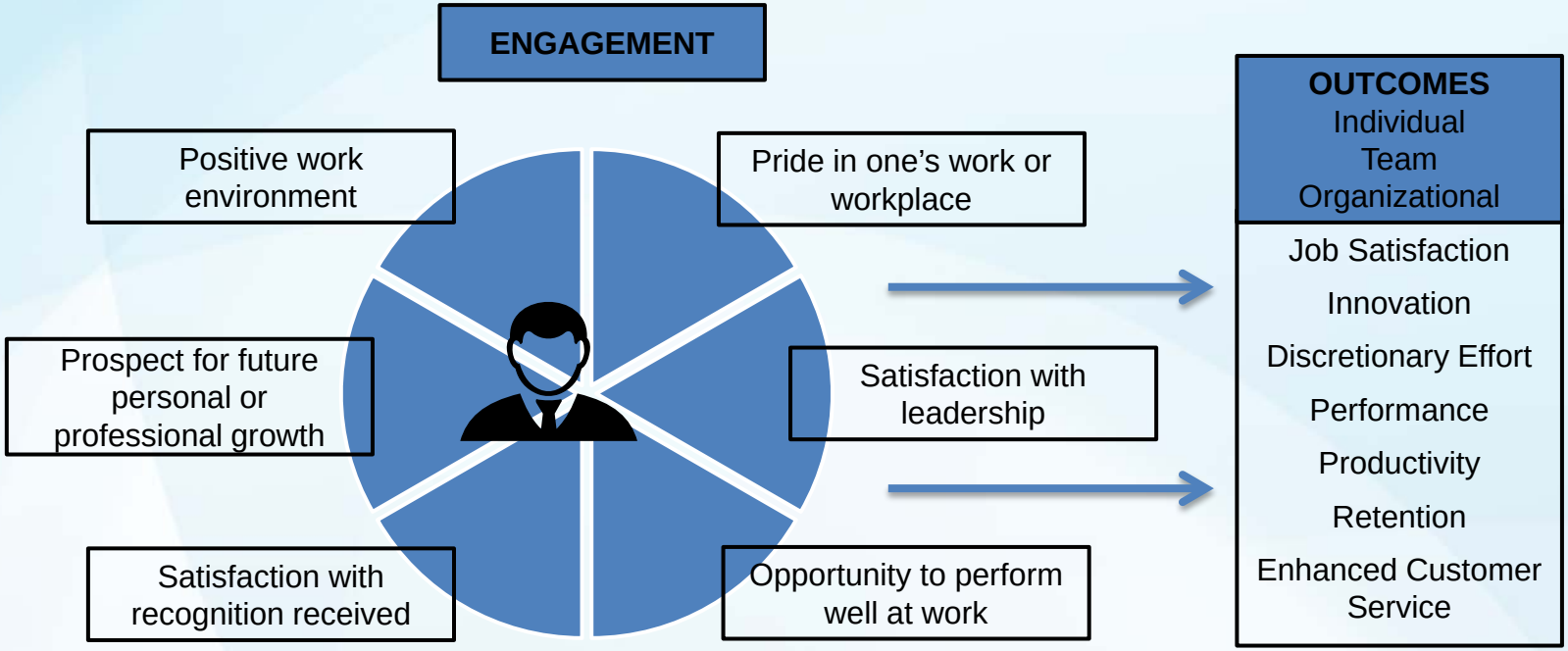
- Relocation (communications and intent to leave)
- Inclusive environment
- Resolving disagreements

Comparison of Index Scores
Across Perm & Supplemental FEVS Results for 2015 and 2016

Agency Benchmark Results – 2016



Employee Engagement Model



Adapted from: OPM, *Engaging the Federal Workforce: How to Do It and Prove It,* and MSBP Report, *The Power of Federal Employee Engagement*

FY17 Directorate Engagement Action Planning Timeline

Start FY17 Employee Engagement Cycle

Customized Support (options range from hands-on advising to self-directed guidance/tools)

October

Conduct Preparing for Action Planning Briefing (AMG/DLG)

November

- Share guidance
- Schedule Action Planning advising meetings
- Identify desired level of action planning support

January-March

- Assess progress, diagnose challenges, and develop FY17-19 Action Plans
- Conduct advising meetings

Action plans due 3/31/17

April-Sept

Promising practices series

October-December

Conduct check-in meetings based on 2017 FEVS

Feedback from the Committee

- How does NSF continue to maintain its progress in the coming year?
- How do we avoid complacency?
- How do supervisors and managers best engage with employees on the results?

COMMITTEE ON EQUAL OPPORTUNITIES IN SCIENCE AND ENGINEERING (CEOSE) UPDATE

Alicia J. Knoedler, CRA, PhD

Executive Associate Vice President for Research

University of Oklahoma

CEOSE Liaison to BOAC

November 30, 2016

CEOSE ACTIVITIES

- CEOSE Workshop on *Assessing Performance and Developing an Accountability System for Broadening Participation*
- CEOSE Biennial Report
- NSF INCLUDES Update

CEOSE REMINDER

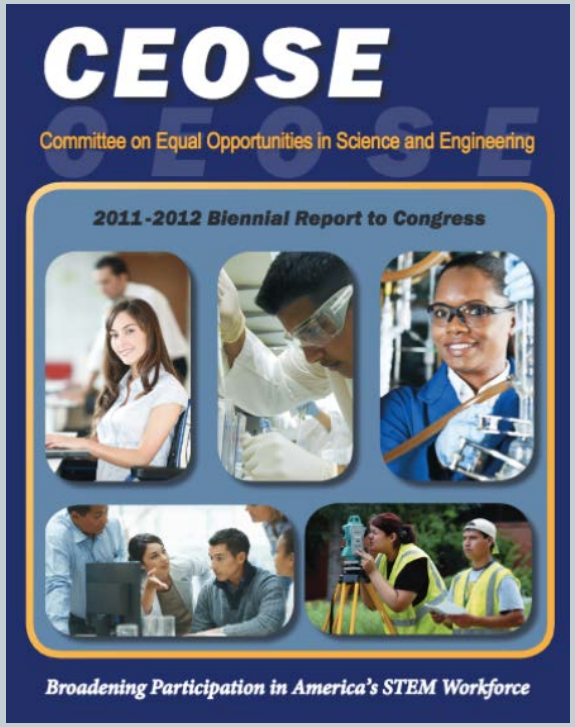
- The Committee on Equal Opportunities in Science and Engineering (CEOSE) is a Congressionally mandated advisory committee to the National Science Foundation that advises the Foundation on policies and programs to encourage full participation by women, underrepresented minorities, and persons with disabilities within all levels of America's science, technology, engineering and mathematics enterprise. (*http://www.nsf.gov/od/iia/activities/ceose/index.jsp)*
- 16 members, mostly from universities (*http://nsf.gov/od/iia/activities/ceose/members.jsp*)
- Diverse in gender, race/ethnicity, position, discipline, region, age, disabilities.
- We each serve as a CEOSE liaison to another advisory committee within NSF.
- Every two years, the Committee prepares and transmits to the NSF Director a report on its activities during the previous two years and proposed activities for the next two years.
- NSF's positive response to the CEOSE call in the 2011-2012 report for a "bold new initiative" included the development of NSF INCLUDES.

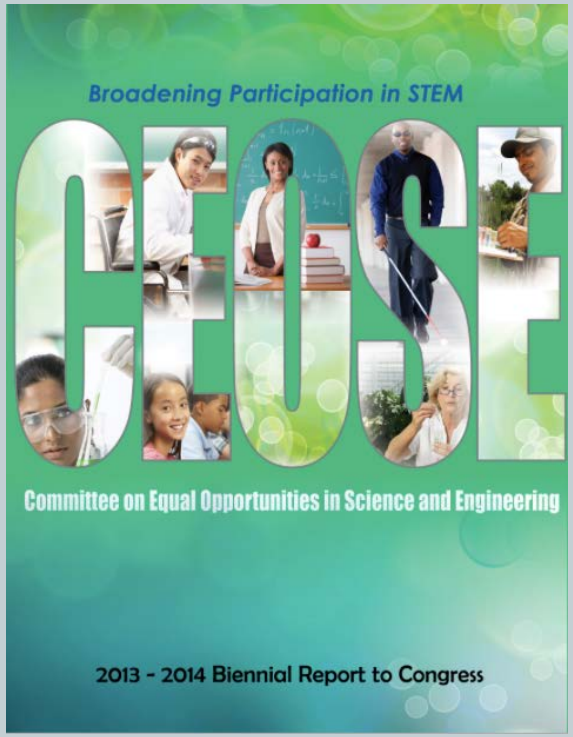
WORKSHOP ON ASSESSING PERFORMANCE AND DEVELOPING AN ACCOUNTABILITY SYSTEM FOR BROADENING PARTICIPATION

- Held October 13-14, 2016, with approximately 50 participants/attendees.
- Purpose: Contribute to creating a framework for developing and implementing a broadening participation-accountability system useful for federal agencies, institutions of higher education, private foundations, and non-profit and for-profit organizations.
- Panel Presentations, each followed by small and large group discussion
  - Panel presentation on exemplary programs, their implementation, and scalability
  - Panel presentation on metrics and measurement
  - Panel presentation on developing and implementing an accountability system for broadening participation
- Outcomes include a workshop report and content to be included in the 2015-2016 CEOSE Biennial Report.

2015-2016 CEOSE BIENNIAL REPORT

- The 2015-2016 Biennial Report (defined as 3rd in a series) is to articulate a set of recommendations for assessing the bold new initiative, with emphasis on developing an accountability system





Some Super Awesome cover that we are designing now!!!

NSF INCLUDES in FY 2016: An NSF-Wide Effort

- *Working Group Co-chairs*: Sylvia James (EHR), Mario Rotea (ENG), Don Millard (ENG)
- *Working Group Members*: Bernice Anderson, Kellina Craig-Henderson, Jacquelina Falkenheim, Tom Jones, Matthew Kane, Julio Lopez-Ferrao, James Moore, Karen Pearce, and Richard Yuretich, Clark Cooper, Diane McKnight, Fahmida Chowdhury, Ashley Huderson, and Pamela Hawkins
- *Prelim Panels*: 40 Program officers and 21 administrative staff; 192 panelists
- *Full Launch Pilot Proposal Panels*: 15 program officers and 7 administrative staff; 72 panelists
- *Full Conference Grant Panels*: Two program officers, 2 administrative staff; 16 panelists

Launch Pilot Awardee Institutions

- American Physical Society
- Columbia University
- Morgan State University*
  - SRI International
  - Jackson State University
  - Kentucky State University*
  - North Carolina Agricultural & Technical State University
- Princeton University
- Randolph-Macon College
- San Francisco State University
- Carleton College
- University Corporation for Atmospheric Research
  - Michigan State University
  - University of Arizona
- University of California-San Francisco
- University of Delaware*
- University of Florida
  - University of Wisconsin-Madison
- University of Illinois at Chicago
- University of Rochester
- University of Texas at El Paso
- University of The Virgin Islands*
  - Southern Utah University
  - Pennsylvania State University
- University of Utah
- University of Washington
  - Western Washington University
  - Oregon State University
- Utah Valley University
- Great Minds in STEM

*Denotes EPSCoR Jurisdiction

Launch Pilot Awardee Institutions, cont'd

- Associated Universities Inc/National Radio Astronomy Observatory
- Association of Public and Land-Grant Universities
- Auburn University*
  - Alabama State University*
  - Tuskegee University*
  - Vanderbilt University
- California State University-Fullerton Foundation
- Mississippi State University*
- New York Hall of Science
- North Carolina Agricultural & Technical State University
  - North Carolina Central University
- Northern Michigan University
- Northern New Mexico College*
- Quality Education for Minorities Network
- Saddleback College
- University of Colorado at Boulder
- University of Georgia Research Foundation Inc
- University of Maine*
- University of Nebraska-Lincoln*
- University of Wisconsin-Madison
- New Mexico State University*
- National Society of Black Engineers

*Denotes EPSCoR Jurisdiction

Launch Pilot Awardee Institutions

Design and Development Launch Pilots

- 10 R1 universities
- 1 community college
- 9 non-profit organizations
- 5 MSIs

Conference Grants

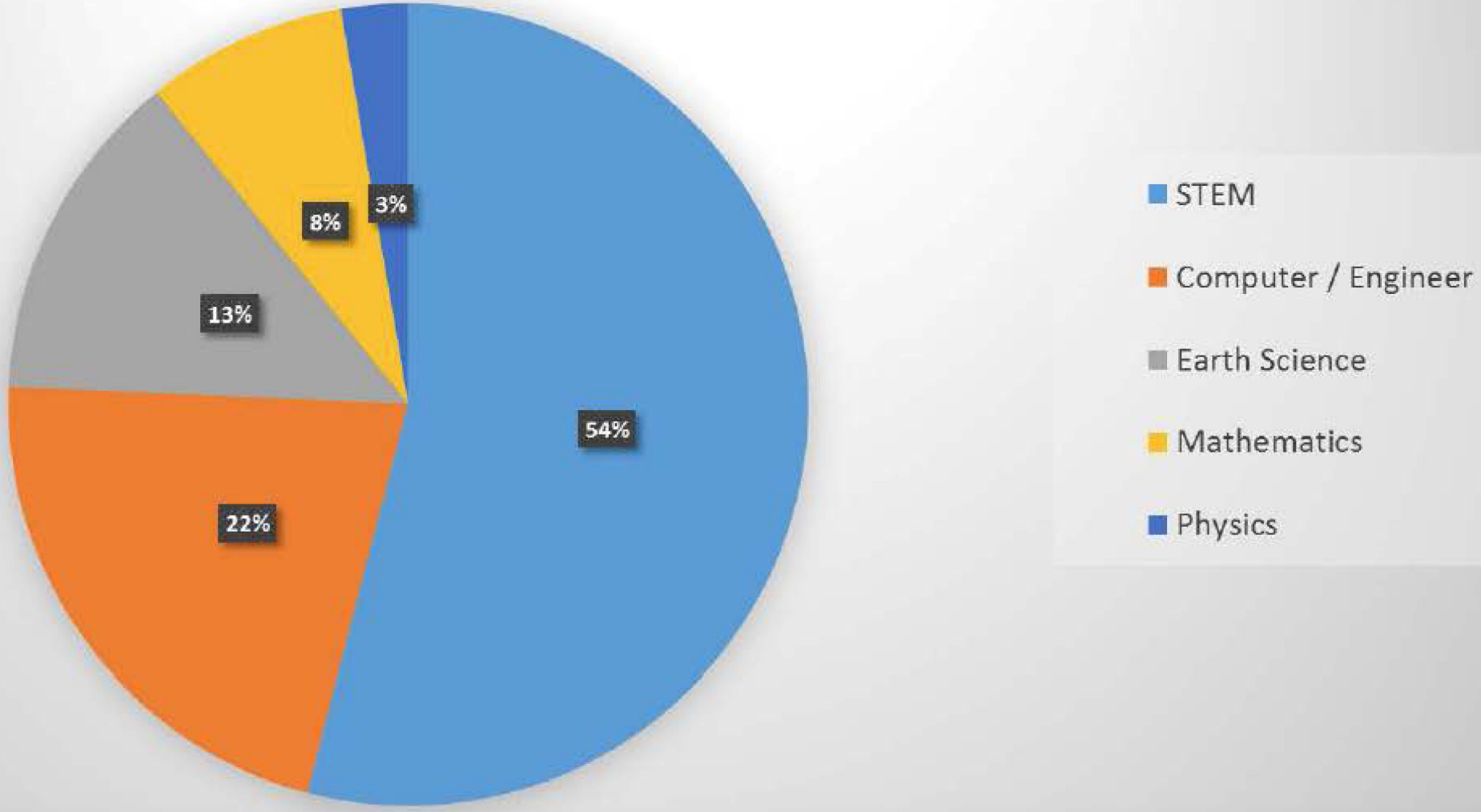
- 4 R1 universities
- 5 non-profit organizations
- 1 MSI

Conference Grants

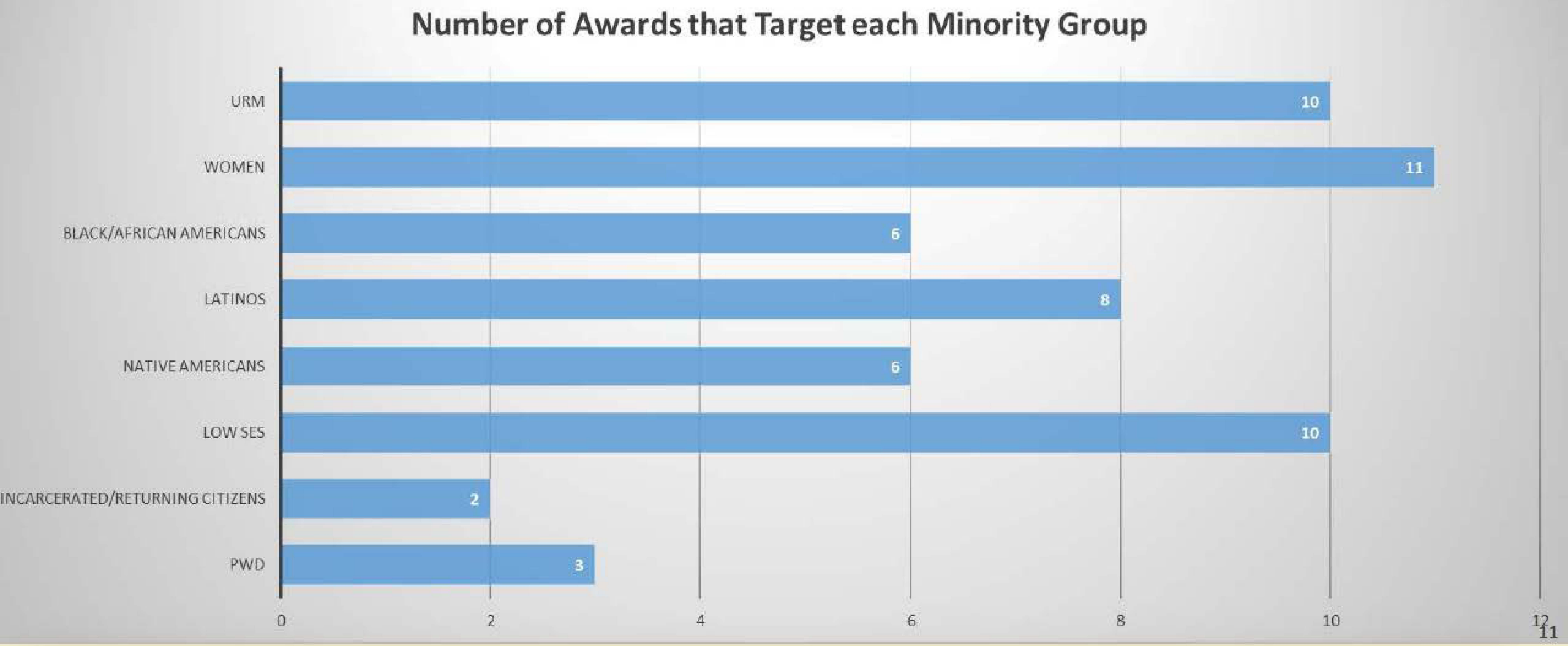
- SRI International
- National Alliance for Partnerships in Equity Education Foundation
- University of California-Irvine
- University of Cincinnati Main Campus
- National Opinion Research Center and TERC Inc
- University of Missouri-Kansas City* and University of Tennessee Knoxville*
- University of Akron
- University of California - Merced
- American Association for Advancement of Science
- University of California-San Diego

*Denotes EPSCoR Jurisdiction

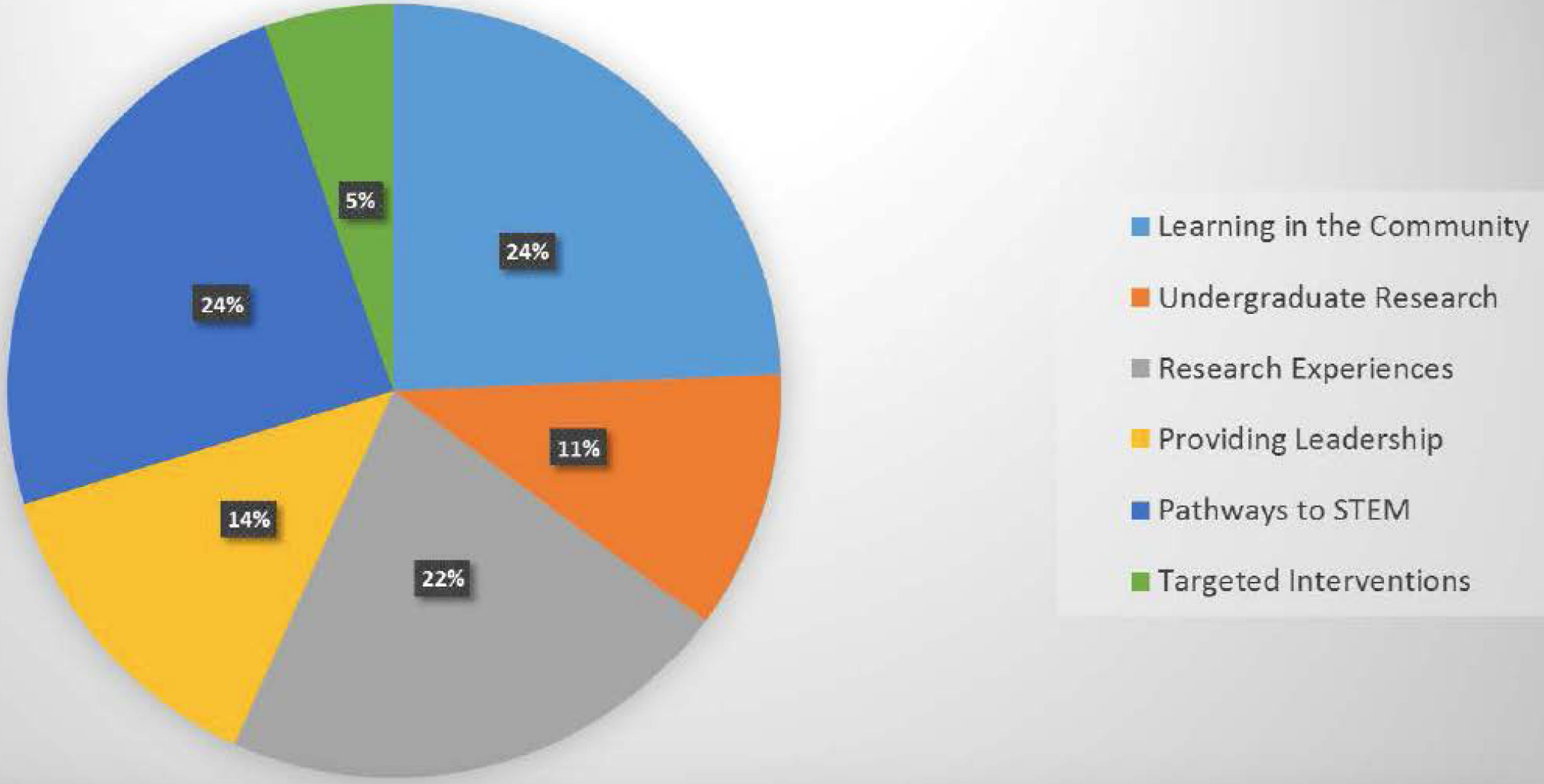
Proposed Disciplinary Focus of Launch Pilots



Number of Awards that Target each Priority Group



INCLUDES Launch Pilot Clusters



Upcoming Activities

- Workshops to inform Launch Pilot (in FY2017): CEOSE Members are invited to attend these meetings. More information to follow.
- Launch Pilot PI meeting – November 30 – December 2, 2016
  - Focus on building community among the new Launch Pilot PIs
  - Building common goals and shared measurement
  - Discussions around creating broader alliances
- New Solicitations for Launch Pilots, Alliances and Backbone to be issued in FY2017
- Discussions of evaluation, data collection, implementation research

Special Thanks to Dr. Suzl Iacono, Dr. Bernice Anderson, Dr. Joan Ferrini-Mundy, Dr. Grace Wang, Dr. Roger Wakimoto, Joan Burrelli, Vickie Fung, and my CEOSE colleagues.

QUESTIONS?