National Science Foundation
Advisory Committee for Business and Operations
Fall 2017 Meeting

December 6-7, 2017
Room E 2030

Wednesday, December 6, 2017

1:00 pm   **Welcome/Introductions/Recap**

Co-Chairs: Chuck Grimes and Susan Sedwick

1:15 pm   **BFA/OIRM/OLPA/Budget Updates**

Presenters: Teresa Grancorvitz, BFA, Joanne Tornow, OIRM; and Amanda Greenwell, OLPA

1:45 pm   **Subcommittee on NSF's Strengthened Oversight of Large Facility Cost Surveillance**

At our Spring 2017 Advisory Committee meeting we recommended formation of a subcommittee on NSF End-to-End Cost Surveillance. The purpose of the Subcommittee is to use its members' in-depth knowledge of project management cost estimating and cost accounting, to evaluate NSF's strengthened policies and procedures relating to cost estimating, cost monitoring oversight and end-to-end cost surveillance.

This review came about because in January 2015, as part of the resolution of several of audit recommendations in connection with NSF's oversight of Large Facility Awards, the agency's Chief Operating Officer and Audit Resolution Follow-up Official noted that NSF has begun to strengthen cost estimating and cost monitoring oversight procedures and called for increased end-to-end cost surveillance policies and procedures. The COO committed the agency to inviting a qualified third-party organization to review NSF procedures once implemented. The subcommittee will prepare a report for the Committee that will evaluate NSF's current cost surveillance policies and procedures to ensure that they are sufficient to ensure sound, end-to-end oversight of all NSF Large Facility construction and operations awards.

NSF constituted the subcommittee with members who were recommended by the Committee and NSF staff. The subcommittee held an initiating conference call on Monday, October 23, 2017. Its first in-person meeting is scheduled for Monday, December 18, 2017. The subcommittee will conclude its work by June 2018.

Presenter: Kim Moreland

2:15 pm   **Break**

2:30 pm   **Shared Services: Best Practices and Case Studies**

The goal of shared services solutions is to efficiently aggregate resources and systems to improve the quality, timeliness, and cost effectiveness of service delivery to customers. In the federal government, there has been a good deal of discussion about the potential of these solutions, as well as the risks. These conversations occur on multiple levels, including system-wide solutions across multiple agencies, business process or task-level solutions and whether such solutions should be mandatory. NSF is highly motivated to seek solutions that would increase efficiency and reduce staff workload and associated costs.

As NSF strategically manages its business infrastructure in this still-maturing shared-services environment, the agency must consider its options regarding what to choose, how to evaluate and what to expect. The agency, therefore, values advice from others' experiences with shared services at other levels of government and other types of institutions (e.g. universities, non-profits and private organizations).

Committee Action/Feedback:

NSF asks BOAC members to share their respective organizations' successes and challenges with shared services, both as providers and as customers. In hearing these examples, NSF seeks advice regarding:
- Best practices and lessons learned relating to shared services;
- Better understanding of the drivers pushing organizations towards shared services and how they may or may not align with organizational priorities;
- Useful resources (e.g. guidance, training, learning communities) for selecting, planning, and implementing shared services;
- Enhancing our understanding of the characteristics of processes/functions that lend themselves to shared services (at multiple levels);
- Enhancing our understanding of the characteristics of processes/functions that do not lend themselves to shared services (at multiple levels).

Presenter: Theresa Pardo

Discussant: Adam Goldberg

3:15 pm   **Preparation for Meeting with Dr. Ferrini-Mundy**

3:30 pm   **Meeting with Dr. Ferrini-Mundy**

4:30 pm   **Break**

4:45 pm   **Tour of Alexandria Headquarters**

Tour Guide: Brian MacDonald

5:30 pm   **Adjourn**

6:30 pm   **Dinner – Delia's**

Thursday, December 7, 2017

8:00 am	**Update: Committee on Equal Opportunities in Science and Engineering (CEOSE)**

Update on CEOSE activities

Presenter: Alicia Knoedler

8:15am	**Strategic Coordination of NSF's Participation and Outreach with External Organizations**

NSF views its public outreach to the research community as fundamental to fulfilling its mission and accomplishes this by leveraging relationships with external organizations. The Foundation conducts this kind of outreach on many different levels. For example:

- Office of Legislative and Public Affairs sponsors NSF Days, which instruct researchers how to better compete for NSF funding,
- NSF's Policy Office within BFA's Division of Institution and Award Support is responsible for outreach activities to educate the research and administration communities about current and evolving policies related to proposal preparation, merit review and the effective management of NSF awards; and
- BFA's Division of Financial Management, Cash Management Branch conducts outreach to enhance grantees' understanding of Federal Financial management and the NSF cash management process.

The BOAC will hear a five-minute overview from three NSF experts in outreach. They will share how, when and where NSF conducts to the research community, including a description of their outreach strategy.

Committee Action/Feedback:
The Foundation seeks advice from the Committee on considering opportunities that may exist to leverage our existing activities to develop an interconnected strategy supporting both the research community and effective use of NSF resources (e.g. staff, budget and internal agency tools and facilities).

Specifically, NSF asks the Committee to consider the following with respect to our outreach to the research community:

- Should NSF create a way to document and share the agency's overarching outreach enterprise both internally and externally?

- Is NSF making effective use of its opportunities to conduct outreach? Are there additional prioritization strategies to consider?

- How should we manage the demand on staff time required to conduct outreach?

- Is NSF effectively using virtual technologies for outreach?

Presenter: Teresa Grancorvitz, BFA; Panelists: Kimberly Nelson, OLPA, Jeremy Leffler, BFA/DIAS, John Sholhead, BFA/DFM

Discussant: Rachel Levinson

9:15 am	**Break**
9:30 am	**Renewing NSF**

On April 12, 2017, the Office of Management and Budget (OMB) released Memorandum M-17-22, titled "Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Civilian Workforce," for all executive departments and agencies. The memorandum instructed agencies to submit Agency Reform Plans to OMB as part of their FY 2019 budget submissions. In developing these plans, agencies were asked to consider their roles and responsibilities, what activities they should perform, and how to improve their existing business processes.

In a memo to staff shortly afterward, Dr. Córdova emphasized that this Memorandum constitutes an important opportunity to think deeply and critically about how we as an organization could transform to support and sustain NSF's long-term research agenda. While the FY 2019 budget process is ongoing, NSF is committed to taking advantage of this opportunity. Specifically, following an agency-wide brainstorming process in spring 2017 that resulted in over 200 suggestions contributed by NSF staff, four broad areas contributing to renewing and re-imagining the agency's future emerged:
- Making information technology work for us;
- Adapting the NSF workforce to our current and future work;
- Expanding public and private partnerships; and
- Streamlining, standardizing, and simplifying programs and processes.

NSF is now planning to establish a steering group and multiple working groups that will help shape activities in these areas, including effectively engaging all NSF staff, communicating to external stakeholders, and rigorously measuring performance and long-term impact on NSF's mission.

Committee Action/Feedback:
NSF seeks advice and perspective on how to ensure NSF moves forward effectively on the four broad areas identified above. Specifically:

- Re: the implementation strategy: What are the committee's thoughts on the implementation strategy, notably a steering group overseeing multiple working groups? How does this strategy relate to past successful efforts in other federal and non-federal contexts?
- Re: how to engage the workforce: What are the committee's thoughts on how to quickly and effectively engage staff across all levels of the Foundation, particularly as we ramp up our efforts in the four broad areas described above? What lessons are to be learned from past successful efforts in other federal and non-federal contexts?

Presenter: Erwin Gianchandani, NSF

Discussants: John Kamensky and Joe Thompson

10:15 am	**Results from 2017 Federal Employee Viewpoint Survey (FEVS) and Maximizing Employee Performance**

NSF has received its 2017 FEVS results. NSF continues to enjoy a very high participation rate by staff, well above the government average, and scores in most areas rank among the top federal agencies. As reflected in NSF's FEVS scores on topics such as supervisor feedback, recognition, and communicating performance expectations, the employee performance management culture at NSF has shown continuous improvement over the last five years. While we have steadily improved and have strong FEVS scores in these areas, there is always room for reflection and improvement.

In the Office of Management and Budget (OMB) Memorandum M-17-22, the White House has required that each federal agency develop a Plan to Maximize Employee Performance. NSF prepared a response to address the five items required by OMB, as they relate to enhancing our performance culture by increasing employee engagement and accountability. OMB approved NSF's plan in late July 2017.

Following OMB's approval, our plan was shared in leadership briefings and employee focus groups to gather internal feedback on all aspects of the plan. This feedback will be incorporated into the implementation of significant changes, to include performance and conduct policy revisions and enhancements to our employee training and guidance in these areas. Implementation of required items is to be completed by October 2018.

Our improvement efforts will also incorporate insights from our FEVS results.

Committee Action/Feedback:
- How do we ensure employee engagement in the planning efforts?
- How do we evaluate the effectiveness of our planning efforts?

Presenter: Joanne Tornow, OIRM and Dianne Campbell, OIRM

Discussant: John Palguta and Jan Jones

11:15 am	**Break**
11:30 am	**Committee Business/Wrap Up**
12:00 pm	**Adjourn**

Spring 2017 Recommendations from the Business and Operations Advisory Committee

Title	Meeting Date	Recommendation	NSF Contact	Status	Explanation/Outcome	Theme
Reforming the Federal Government	Spring 2017	Use the opportunity to reform the agency according to what works best for the agency and the culture there. Keep the process transparent to the NSF employees. It will be necessary to identify barriers to accomplish major and disruptive change.	Tornow, J.; Grancorvitz, T.	Completed	The NSF Director and Chief Operating Officer thought BOAC's recommendations were important guiding principles that should, and did, inform our overall reform plans. Senior leadership took to heart the need to keep the NSF mission and science central to our efforts, make changes that meet NSF's agency needs, and involve the staff throughout the process.	Advice on Reform
Reforming the Federal Government	Spring 2017	Make sure NSF mission needs are met first and foremost. Be bold in pursuing both small improvements and transformational change that may require heavy lifting by not being limited by what seems possible.	Tornow, J.; Grancorvitz, T.	Completed	The NSF Director and Chief Operating Officer thought BOAC's recommendations were important guiding principles that should, and did, inform our overall reform plans. Senior leadership took to heart the need to keep the NSF mission and science central to our efforts, make changes that meet NSF's agency needs, and involve the staff throughout the process.	Advice on Reform
Reforming the Federal Government	Spring 2017	Use the reform opportunity to make the changes that agency always wanted to make, perhaps by moving toward standardization and changing the way science is done. Identify the changes and outcomes desired while considering the decentralized culture at NSF. Aim at incremental changes to see results that are tangible.	Tornow, J.; Grancorvitz, T.	Completed	The NSF Director and Chief Operating Officer thought BOAC's recommendations were important guiding principles that should, and did, inform our overall reform plans. Senior leadership took to heart the need to keep the NSF mission and science central to our efforts, make changes that meet NSF's agency needs, and involve the staff throughout the process.	Advice on Reform
Reforming the Federal Government	Spring 2017	Be cautious of the guidance received. Jump in early and be the first adopters so other agencies can follow your lead. Keep science at the forefront of what you do and define the message. Model reform here at NSF, and then roll it out for the entire science agency community.	Tornow, J.; Grancorvitz, T.	Completed	The NSF Director and Chief Operating Officer thought BOAC's recommendations were important guiding principles that should, and did, inform our overall reform plans. Senior leadership took to heart the need to keep the NSF mission and science central to our efforts, make changes that meet NSF's agency needs, and involve the staff throughout the process.	Advice on Reform
Report on Implementation of the Recommendations of the Subcommittee on NAPA Implementation	Spring 2017	Keep in mind that operational engineers who are certified as PEs are not the same as innovative engineers. It is important that staff in the LFO should speak both languages.	Korsmo, F.		All LFO staff were hired (in part) because of their intrinsic interest in NSF's science and innovation mission; not solely because of their PM or PE certifications. In addition, by appointing a Senior Official for Research Facilities having full lifecycle oversight responsibility helps ensure a perspective of discovery and innovation at the highest levels within the agency.	NAPA recommendation

Spring 2017 Recommendations from the Business and Operations Advisory Committee

Title	Meeting Date	Recommendation	NSF Contact	Status	Explanation/Outcome	Theme
Formation of New Subcommittee on Oversight for Cost Surveillance/Large Facilities	Spring 2017	Items the subcommittee should consider: 1) Once the Cost surveillance oversight is addressed NSF should consider a third party to review the effort; 2) Ensure that the scope with regard to large facilities is properly defined; 3) Understand whether cooperative agreements foster more interaction between parties; 4) Consider the impact of indirect costs; 5) Expect the receipient to identify key areas where they are waiting for the latest technology.	Hawkins, M.; Lupis, J.	Completed	(1) NSF does not plan an additional review of the subcommitees's work as it considers this group the independent third party. In addition, GAO is conducting a review of NSF's cost and schedule oversight of major facilities as mandated by Congress; (2) NSF now requires the scope of the construction award to be clearly articulated in the award Terms & Conditions by WBS element as described in the NSF-approved Project Execution Plan; (3) NSF's experience is that cooperative agreements do foster a more productive interaction between the agency and the Recipient/community. A good example is the recent transition of the International Ocean Discovery Program (IODP) from a contract to a cooperative agreement; (4) Indirect cost will be part of the subcommittee's evaluation; (5) NSF will better articulate the expectation that Recipient acquisition plans should incorporate the latest technology at the latest possible point in project construction. All risks, including the cost of implementing evolving technology during construction, are expected to be costed appropriately in a well articulated Basis of Estimate.	Formation of New Subcommittee on NSF's Strengthened Oversight of Large Facility Cost Surveillance

CFO Update
(November 28, 2017)

➢ **BFA Senior Staff Changes**
- *BFA leadership*: At the beginning of August, Marty Rubenstein retired after 37 years of federal service. Marty's retirement resulted in a number of staffing shifts to cover key leadership positions while the Director's Office leads the recruitment process for a new CFO and BFA Office Head. These are as follows:
  - Teresa Grancorvitz is Acting CFO and BFA Office Head
  - Michael Sieverts is Acting BFA Deputy Office Head
  - Tony DiGiovanni is Acting Budget Division Director
  - Mace Barron, a detailee from EPA, is Acting Budget Division Deputy Director

- *Budget Division*: Michael Sieverts has announced his planned retirement in February 2018 after 27 years of federal service. An announcement has been issued to fill the position of Division Director for Budget.

➢ **NSF Financial Statement Audit**
- The Office of Inspector General (OIG) issued the [FY 2017 Financial Statement Audit Report](#) on November 14, 2017. The OIG's audit contractor, Kearney & Company, issued an unmodified opinion on the agency's FY 2017 financial statements, without any material weaknesses or significant deficiencies. The FY 2016 significant deficiency related to information technology access control and monitoring processes was closed.

➢ **Evaluation of NSF's Enhanced Cost Surveillance Policies and Procedures via a Subcommittee of BOAC**
- NSF has finalized the charge and membership for this subcommittee of the BOAC, and the first meeting of the subcommittee took place by phone on October 23, 2017. The first in-person meeting of the subcommittee is scheduled to occur on December 18, 2017. The subcommittee is expected to deliver a final report to BOAC in the summer of 2018.

- The BOAC subcommittee was formed to evaluate the effectiveness of NSF's current cost surveillance policies and procedures in providing sound oversight of all NSF major facility construction and operations awards. The term 'cost surveillance' refers to NSF's oversight framework relating to major facility costs including the following: (1) proposal cost estimates, (2) NSF cost analysis of those estimates, and (3) post-award cost and performance monitoring.

➢ **Government Accountability Office (GAO) Review of NSF Major Projects**
- [Senate Report 114-239](#), which was part of the Consolidated Appropriations Act of 2017, directed GAO to review programs funded within NSF's Major Research Equipment and Facilities Construction account, including identifying technical risks and cost overruns over the construction life of projects, and explaining any tradeoffs NSF intends to execute to meet its no cost overrun policy. An entrance conference was held with GAO on September 26, 2017; and, since then, NSF has responded to numerous data requests from GAO as they begin their review of major projects and the associated NSF policies. GAO's anticipated timeframe for this engagement is to have a report completed by the spring of 2018.

➢ **GAO Audit of NSF's Indirect Cost Rate Setting Process**

GAO issued their audit report *National Science Foundation: Actions Needed to Improve Oversight of Indirect Costs for Research (GAO-17-721)* on September 28, 2017. This GAO audit was initiated in 2016 and assessed NSF's (1) indirect costs over time, (2) policies and indirect cost reimbursement rates compared to other funding agencies, (3) controls for validating indirect costs, and (4) adherence to established guidance for indirect costs. NSF concurred with all GAO recommendations. Below is a summary of the recommendations:

- NSF should require staff to follow written internal guidance for setting indirect cost rates and update its database to reflect the status of awardees for which NSF has cognizance.

- NSF should add details to NSF's internal guidance for setting indirect cost rates specifying the criteria to be used by the supervisor for assessing the level of risk and steps for mitigating the risks at each level and the steps for supervisory review of the indirect cost rate setting process and documentation of the results of the review.

- NSF should add procedures to NSF's internal guidance for implementing the applicable new provisions of the Office of Management and Budget (OMB) *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,* including updating links to the OMB guidance and monitoring the indirect cost rates that the Department of Interior (DOI) negotiates on NSF's behalf.

A formal response to the final audit report, including NSF's proposed corrective actions, was submitted to the appropriate members of the House and Senate by Dr. Córdova on November 15, 2017.

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

- On Friday, April 28, 2017, NSF certified data required by the DATA Act, culminating a two-year coordinated government-wide implementation initiative. Certification kicks off a new era of access to government-wide award and financial data for which NSF and other agencies are in the earliest of stages of imagining a use case.

- The DATA Act statute requires the Inspector General of each federal agency to review a sample of FY2017 Quarter 2 financial data for completeness, timeliness, quality, and accuracy, as well as the implementation and use of consistent data standards by each agency.

- The NSF DATA Act audit report was published on November 17, 2017 and found that NSF spending data did not meet the quality requirements as outlined by OMB. While NSF was pleased that the final report appropriately separated government-wide reporting errors that are beyond NSF's control from errors they found attributable to the agency and generally agreed with the auditors' recommendations, we identified three areas of differences with the auditors' report:

  o We differ with the auditors with respect to a substantial percentage of the NSF-attributed errors because we were aware of these accounting adjustment transactions and documented them as legitimate in accordance with OMB guidance.

  o We do not agree with the underlying methodology used to calculate the error rates because it is based on OMB guidance from 2010 that needs updating to redefine errors at the data element, rather than at the transaction, level.

- o We do not agree with the causes and their linkage to the effects stated in the report, and we believe that NSF has sufficient reconciliation and quality control procedures embedded into our data submission processes to ensure that information is accurate, complete and timely.
- o NSF can confidently state that its submission substantially complies with all required data elements and presents NSF data in all material respects, meeting the transparency goals of the DATA Act.
- o NSF will submit a Corrective Action Plan to the OIG in mid-January 2018.

➢ **Grants Oversight and New Efficiency (GONE) Act**
- The [GONE Act](#) was signed by President Obama on January 28, 2016. The goal of the GONE Act is to close out expired grants and return funds to the Treasury in a timely manner. The GONE Act requires the OMB to instruct each agency, in coordination with the Department of Health and Human Services (HHS), to submit to Congress and HHS by December 31, 2017 a report for grants that have been expired for two or more years (end date of September 30, 2015 or prior) that have not been closed. The report should:
  - o Provide the total number of federal grant awards, including the number of grants by time period of expiration, that meet the criteria;
  - o Include the number with zero dollar balances, and the number with undisbursed balances;
  - o Describe the challenges leading to delays in grant closeout; and,
  - o Explain, for the 30 oldest federal grant awards, why each has not been closed out.

- No later than one year after the Director, NSF, submits the agency's report, NSF must report to HHS whether it has closed out the covered grants discussed in its report. HHS is required to compile this information government-wide and provide it to Congress.

- In accordance with the OMB guidance for the GONE Act, NSF provided the GONE Act report to OMB and issued summary data in the FY 2017 Agency Financial Report. NSF reported 483 awards that met the criteria listed above. None of the NSF awards had balances. The overwhelming majority of the awards were still open due to late technical progress reports.

➢ **FY 2018 Appropriation**
The House and Senate have both marked up their versions of the Commerce, Justice, Science and Related Agencies (CJS) Appropriations Bills.
- The CJS Appropriation Bill passed the full House of Representatives on September 14, 2017.
- The Senate Appropriations Committee voted out the CJS Bill on July 27, 2017; there is no information on the schedule for Senate action on the bill.
- Details on each with comparisons to the FY 2018 Request and the FY 2017 Enacted are in the tables below.
- Noteworthy items:
  - o Report language supports the importance of NSF's overall investment
  - o Strong support for major facilities
  - o MREFC: Regional Class Research Vessels not included in House bill; fully funded in Senate
  - o Continued emphasis on programs for Hispanic Serving Institutions and Historically Black Colleges and Universities
  - o No directorate level allocations

The current FY 2018 Continuing Resolution expires on December 8, 2017.
- Press reports indicate Congress plans to pass a short term Continuing Resolution through the end of December or early January.

National Science Foundation
Summary Table
FY 2018 House CJS Mark

(Dollars in Millions)

| NSF by Account | FY 2017 Enacted | FY 2018 Request | FY 2018 House CJS Mark | FY 2018 Mark change over: | | | |
| | | | | FY 2017 Enacted | | FY 2018 Request | |
				Amount	Percent	Amount	Percent
Research & Related Activities	$6,033.65	$5,361.65	$6,033.65	-	-	$671.99	12.5%
Education & Human Resources	$880.00	$760.55	$880.00	-	-	$119.45	15.7%
Major Research Equipment & Facilities Construction	$209.00	$182.80	$77.80	-$131.20	-62.8%	-$105.00	-57.4%
Agency Operations & Award Management	$330.00	$328.51	$328.51	-$1.49	-0.5%	-	-
National Science Board	$4.37	$4.37	$4.37	-	-	-	-
Office of Inspector General	$15.20	$15.01	$15.20	-	-	$0.19	1.3%
Total, NSF	**$7,472.22**	**$6,652.89**	**$7,339.53**	**-$132.69**	**-1.8%**	**$686.64**	**10.3%**

National Science Foundation
Summary Table
FY 2018 Senate CJS Mark

(Dollars in Millions)

| NSF by Account | FY 2017 Enacted | FY 2018 Request | FY 2018 Senate Mark | FY 2018 Mark change over: | | | |
| | | | | FY 2017 Enacted | | FY 2018 Request | |
				Amount	Percent	Amount	Percent
Research & Related Activities	$6,033.65	$5,361.65	$5,917.80	-$115.84	-1.9%	$556.15	10.4%
Education & Human Resources	$880.00	$760.55	$862.40	-$17.60	-2.0%	$101.85	13.4%
Major Research Equipment & Facilities Construction	$209.00	$182.80	$182.80	-$26.20	-12.5%	-	-
Agency Operations & Award Management	$330.00	$328.51	$328.51	-$1.49	-0.5%	-	-
National Science Board	$4.37	$4.37	$4.37	-	-	-	-
Office of Inspector General	$15.20	$15.01	$15.20	-	-	$0.19	1.3%
Total, NSF	**$7,472.22**	**$6,652.89**	**$7,311.08**	**-$161.13**	**-2.2%**	**$658.19**	**9.9%**

- **FY 2019 Budget Request to Congress**
  - NSF submitted the FY 2019 Budget Submission to OMB in September.
  - We are now working with the Administration to prepare the President's FY 2019 Budget which is due to Congress on February 5, 2018.
- **Issuance of NSF's FY 2017 Agency Financial Report**
  - The FY 2017 Agency Financial Report (AFR), focuses on financial management and accountability and was published on November 15, 2017.

OIRM Update
for the B&O Advisory Committee Meeting (Fall 2017)

OIRM Senior Staff Changes
- I'm pleased to announce that Dorothy Aronson, Division Director, Information Systems, has very recently been appointed as NSF's CIO. Dorothy has been reassigned to the Office of the Director, reporting directly to the Director. I'm also pleased that Dan Hofherr, our DIS DDD, has agreed to serve as the acting DD in DIS. We congratulate Dorothy on her new appointment, and thank Dan for stepping up to the acting DD position!

Relocation Is Complete!
- Greetings from our beautiful new headquarters here in Alexandria!
- Since our last meeting, we have completed the NSF Relocation, with the last wave of employees reporting to work in Alexandria on October 2, 2017. We completed the relocation project on schedule and within budget, thanks to the development and use of our integrated project schedule. We also met our goal of moving a functioning agency while minimizing impact on the mission. And, through extensive communications and engagement efforts, we minimized impact on employee morale, as evidenced by strong FEVS scores and low attrition of staff.
- Due to a successful effort in scanning and retiring documents, as well as recycling, excessing equipment/furniture and disposing of trash, we disposed of over 1M pounds of material, simplifying the move and the decommissioning of the Arlington buildings.
- The decommissioning and return to ownership of the leased facilities in Arlington and Rosslyn was completed on schedule in spite of constraints requiring the majority of the moving to be done at night, and the discovery of some essential Internet utilities within the old NSF spaces. This accomplishment negated NSF's responsibility to pay "double rent", and therefore provided a cost avoidance of several million dollars.
- This project has served as a testament to the agency-wide planning and coordination that went into making it a success. Throughout NSF, for several years, staff at all levels worked closely to achieve this. The partnership of OIRM and BFA particularly on budgetary and financial management issues played a significant role in this major accomplishment.
- Later this afternoon, we will provide you with a tour of the new building.

Security
- Now that we are in the building, we've been able to fully implement new headquarters security systems and protocols. We now meet or exceed, by design, Interagency Security Committee requirements for a facility and staff of this size. The cornerstone is our state-of-the-art Security Command Center which features integrated perimeter surveillance and building access control with expandability for future capabilities.
- In order to comply with our new security posture, we also established a new process whereby we conduct the screening (vetting) of new personnel prior to extending a final offer letter. In this manner, new personnel receive their PIV card on the first day of New Employee Orientation, thus facilitating their access to the building and the NSF network.

FEVS 2017

- Results from the 2017 Federal Employee Viewpoint Survey (FEVS) were again positive. (you'll hear more about this in my presentation later in the agenda).
- In short, NSF's FEVS scores continue a five-year trend of increases.
    - Among mid-sized agencies, NSF ranks 4th for Employee Engagement and 5th for Inclusion (New IQ)
    - Among CFO Act agencies, NSF ranks 4th for Employee Engagement, 5th for New IQ, and 3rd for Global Satisfaction
- 52 of the 71 core survey items (73%) are identified as strengths (i.e., positive scores of 65% or higher). No items identified as challenge areas (i.e., negative scores of 35% or more negative).
- NSF's 2017 response rate remains high at 76% (compared to 46% government-wide).
    - CISE, OIRM, and BFA had the highest response rates for 2017.
    - The response rate to the supplemental survey (for IPAs, VSEEs and other temp employees who do not receive the primary FEVS survey) was also 76%; NSF pays OPM to survey this additional population.

Employee Engagement

- NSF continues to implement an agency-wide *Plan for Engaging the Workforce*. The plan establishes a framework for engagement that serves as a foundation for agency-wide and directorate action planning.
- The agency-wide plan focuses on four key areas: career development, performance and recognition, workload, and diversity and inclusion. We have Executive Champions for each of the four focus areas; champions meet quarterly to discuss promising practices, broader actions for their focus areas, and ways to maintain leadership attention on employee engagement.
- We launched an Employee Engagement SharePoint Site, *Together We Thrive*. The site includes information on engagement at NSF and action planning as well as tools and resources to be updated on a regular basis.
- We are conducting employee engagement action plan check-ins with all directorates and offices to determine changes needed in FY17-FY19 directorate/office action plans based on the 2017 FEVS results. In addition, promising practices will be collected to share within the agency.

GPRA/PMA Benchmarking

- NSF collaborates annually with OPM, the General Services Administration (GSA) and the President's Management Council to collect data and conduct analyses about the costs and effectiveness of agencies' "mission support functions" including human capital management, federal real property and IT services, all areas within OIRM's portfolio.
- The FY 17 results for the 24 CFO Act agencies are in: NSF's "Human Capital Services" ranked #1 in customer satisfaction for the second consecutive year while costs have dropped by 20% during the two-year period. NSF's IT Commodity Services ranked #2; while Real Property Services ranked #3.

- The FY18 effort begins with costs data collection in Q1 of FY18 and customer satisfaction data collection (via GSA survey) in Q2.

IT News
- We successfully submitted the FY 2017 Federal Information Security Modernization Act (FISMA) report to the Office of Management and Budget (OMB) and the Department of Homeland Security (DHS) on October 31. The OIG rated NSF's IT Security Program at maturity Level 4, "Managed and Measurable," which describes NSF's ability to consistently implement, monitor, and manage risks associated with IT security and maintain an effective IT security program. With the completion of this year's review, NSF's FISMA reports have been free of significant deficiencies for the past thirteen years.
- In FY18, NSF is focused on preserving secure, reliable day-to-day operations of our IT systems and services. We also plan to protect efforts essential to realizing long term benefits for NSF staff and the research community through efficient and effective continuous modernization of NSF's business systems, while working to improve data quality – a key theme among IT governance groups.
- IT modernization efforts continue to provide incremental improvements to NSF staff, reducing administrative burden while improving the ability of the workforce to support NSF's mission. The initial release of the Proposal Submission Tool will be the first phase in replacing the FastLane proposal submission functionality, a major step toward reducing administrative burden on the research community. A demonstration of the new Proposal Submission Tool to over 60 PIs and Administrators at the annual Grants Conference in November was received with great enthusiasm. This new tool is scheduled for public preview in February 2018 prior to the anticipated release in April.
- We continue to partner with NSF's Evaluation and Assessment Capability office to build out NSF's analytics capabilities. This fiscal year, we plan to identify a path forward for "data governance" as part of our initiative to identify improvements in IT governance. Recognizing that data governance intersects with information and analytics governance, we anticipate aligning with the emerging NSF effort to establish a dissemination policy for outputs using non-public NSF data.
- We are also looking to make improvements in IT governance, to better enable senior leaders to make informed decisions about investments in IT in support of NSF's mission. Specifically, there is a need to better align and hasten IT modernization efforts to support the business of the Foundation; to provide increased resiliency (availability) of IT resources; and to refresh IT governance to align with Agency-wide perspectives. One way we hope to improve IT governance is to connect IT to the business of NSF, enabling a conversation about IT investments in terms of their "value" to the Agency. As part of the "NSF modernization", which you'll hear more about later on the agenda, NSF has identified IT as an area of focus.

Backgrounder: Fall 2017
NSF Advisory Committee for Business and Operations

Nature of Agenda Item: Update from the Liaison to the Subcommittee on NSF End-to-End Cost Surveillance

Presentation/Discussion:

At our Spring 2017 Advisory Committee meeting we recommended formation of a subcommittee on NSF End-to-End Cost Surveillance. The purpose of the Subcommittee is to use its members' in-depth knowledge of project management cost estimating and cost accounting, to evaluate NSF's strengthened policies and procedures relating to cost estimating, cost monitoring oversight and end-to-end cost surveillance.

This review came about because in January 2015, as part of the resolution of several of audit recommendations in connection with NSF's oversight of Large Facility Awards, the agency's Chief Operating Officer and Audit Resolution Follow-up Official noted that NSF has begun to strengthen cost estimating and cost monitoring oversight procedures and called for increased end-to-end cost surveillance policies and procedures. The COO committed the agency to inviting a qualified third-party organization to review NSF procedures once implemented. The subcommittee will prepare a report for the Committee that will evaluate NSF's current cost surveillance policies and procedures to ensure that they are sufficient to ensure sound, end-to-end oversight of all NSF Large Facility construction and operations awards.

NSF constituted the subcommittee with members who were recommended by the Committee and NSF staff. The subcommittee held an initiating conference call on Monday, October 23, 2017. Its first in-person meeting is scheduled for Monday, December 18, 2017. The subcommittee will conclude its work by June 2018.

Committee Action/Feedback

The Subcommittee's Liaison to the Committee will update the Committee on Subcommittee membership, the initial conference call and the agenda for the upcoming meeting. Any committee feedback is welcome.

Contact Persons:

Discussant:
Kim Moreland: (608) 263-1083; kmoreland@rsp.wisc.edu

NSF:
Jeff Lupis (703) 292-7944; jlupis@nsf.gov
Matt Hawkins (703) 292-7407; mjhawkin@nsf.gov

Charge from the Business and Operations Advisory Committee to
The Subcommittee on NSF's Strengthened Oversight of Major Facility Cost Surveillance

Rev: September 14, 2017

The National Science Foundation (NSF) hereby initiates the formation and operation of an ad hoc Subcommittee of the NSF Business and Operations and Advisory Committee (the Committee) on End-to-End Cost Surveillance. The purpose of the Subcommittee is to issue a report to the Committee that fully evaluates NSF's strengthened "end-to-end cost surveillance policies and procedures" for Major Facility projects (i.e., Large Facilities). The report should specifically state whether or not the Subcommittee feels the strengthened policies and procedures are sufficient. The report may include recommendations to NSF for further improvement depending on the outcome. The review will pertain to both construction and operations awards.

Context:

On May 24, 2014, NSF's Office of Inspector General (OIG) issued an Escalation Memorandum in connection with five recommendations related to NSF's oversight of Large Facility Awards. As NSF's Audit Resolution Follow-up Official, NSF's Chief Operating Officer, Richard O. Buckius, provided detail of his review and conclusions regarding these recommendations in a memorandum entitled *"NSF's Management of Large Facilities Construction Projects,"* dated January 13, 2015, and addressed to Allison Lerner, Inspector General, and Marty Rubenstein, Chief Financial Officer (Attached).

One of the OIG's escalated recommendations stated, in part, the following:

> *"NSF management, using a risk-based approach, develops end-to-end cost surveillance policies and procedures for its cooperative agreements to ensure adequate stewardship over federal funds."*

Dr. Buckius' response to this recommendation established NSF's commitment to completing the third-party analysis detailed in this document, as follows:

> *"NSF has begun to strengthen cost estimating and cost monitoring oversight procedures, as outlined in the attached SOG 2014-2 (Attachment B). NSF will call for increased end-to-end cost surveillance policies and procedures. Once these are implemented, NSF will invite a qualified third-party organization to evaluate the results. The third-party expert needs to have in-depth knowledge of project management cost estimating and cost accounting."* [Emphasis added.]

Charge to the Subcommittee:

The Committee hereby charges the Subcommittee to prepare a report for the Committee in support of the Foundation's goal to ensure that its current cost surveillance policies and procedures are sufficient to ensure sound, end-to-end oversight of all NSF Large Facility construction and operations awards. Specifically, the Subcommittee should review and evaluate NSF's current oversight framework relating to Large Facility costs including the following: (1) proposal cost estimates; (2) NSF cost analysis of those estimates; and (3) post-award cost and performance monitoring.

With respect to the three areas of review delineated above, the Subcommittee's evaluation should include review of the following components of NSF's Large Facilities cost surveillance policies and procedures:

**Charge from the Business and Operations Advisory Committee to
The Subcommittee on NSF's Strengthened Oversight of Major Facility Cost Surveillance**

Rev: September 14, 2017

- **Proposal Cost Estimates:** Large Facilities Manual (LFM 17-066, dated March 2017), Sections 2.0: "Large Facility Life Cycle and the MREFC Process," and 4.2: "Cost Estimating and Analysis."
- **Cost Analysis of Proposal Estimates:**
    o Standard Operating Guidance (SOG) 16-4: "Standardized Cost Analysis Guidance." (DACS/CSB) – Under Revision
    o SOG 2017-XX: "Selection of Independent Cost Estimate Reviews" (LFO) - New
    o SOG 2015-1: "FL99 $10M CAAR Pre-award Budget Reviews" (CAP) – Under Revision
    o SOG 2017-YY: "Indirect Cost Rate" (CAP) – New
- **Post-Award Cost and Performance Monitoring:**
    o SOG LFO-2017-2: "Earned Value Management System (EVMS) Validation, Surveillance, and Acceptance" (LFO)
    o SOG 2017-3: "Guidance on Pre and Post-award Cost Monitoring Procedures for Large Facility Construction and Operations Awards Administered by CSB." (DACS/CSB)

At a minimum, the Committee recommends that the Subcommittee meet with the following:

- Program staff
- BFA staff including Division of Acquisition and Cooperative Support (DACS)/Cooperative Support Branch (CSB) and Contracts Branch; Large Facilities Office (LFO); and Division of Institution and Award Support (DIAS)/Cost Analysis and Pre-award Branch (CAP)
- MREFC Panel discussants and Office of the Director (OD) support staff
- NSB discussants for recent projects authorized by the Board (see below)
- Representatives from other agencies with analogous facilities (as necessary)

The Committee requests that the Subcommittee focus on the following Large Facilities projects, which have moved forward under NSF's strengthened policies:

- Regional Class Research Vessel (RCRV) Cost Analysis #3 – Construction Award.
- Antarctic Infrastructure Modernization for Science (AIMS) Cost Analysis #2 – Establishing the Total Project Cost and plans for an Independent Cost Estimate (ICE). This project is awarded through a Federal Acquisition Regulation (FAR)-based contract, but processes are analogous.
- National Ecological Observatory Network (NEON) – Supplement to the initial operations award.
- Large Hadron Collider High Luminosity Up-Grades (LHC-HL) Cost Analysis #1 and plans for cost analysis #2 and ICE.
- Ocean Observatories Network (OOI) – Cost analysis of the operations proposals (re-competition).

The Subcommittee may collaborate with the Committee if the Subcommittee deems it necessary to do so.

Subcommittee Membership: The Subcommittee shall include:

- Subcommittee Liaison from the BOAC

Rev: September 14, 2017

- Independent, qualified individuals from outside NSF with an in-depth knowledge of project management, cost estimating and cost accounting

This may include other members from the BOAC or representatives from other federal agencies or organizations.

Additional Background:

- Summary status of cost-related National Academy of Public Administration (NAPA) recommendations to-date.
- Pertinent language from the American Innovation and Competitiveness Act (AICA) of 2017; Section 110.

Activities of the Subcommittee: The Subcommittee is requested to provide a written report to the Committee providing an assessment of its end-to-end review of NSF's strengthened cost surveillance policies and procedures. The Committee requests an update on Subcommittee activities at three-month intervals and a final report by June 30, 2018. NSF will organize and convene at least one in-person meeting at NSF, comprised of the Subcommittee, NSF staff cognizant of the projects and issues concerning the Subcommittee, and with the individuals mentioned above necessary to carry out this charge. Additional in-person meetings will be considered depending on need and budgetary resources. NSF will provide logistical and travel support for invited non-local participants. Participants will be invited to submit written materials to the Subcommittee for reference in their report preparation. The Subcommittee may organize additional meetings by conference call or other virtual technology as it deems necessary to do so. The Subcommittee chair will submit its written report to the Committee and provide a verbal presentation at a duly organized Committee meeting subsequent to submittal to NSF. The Subcommittee liaison to the Committee will facilitate this presentation, and will ensure that the report is discussed and deliberated at the meeting. Once accepted and finalized, the Committee will deliver the report to NSF and make it publicly available. The Committee may also provide any additional comments it has to offer on the report by way of a cover letter to NSF. On or before the meeting where the Subcommittee's written report is discussed, the Committee's Designated Federal Officials may extend the Subcommittee's charge and activities as deemed necessary by NSF. Otherwise, the Subcommittee will terminate upon completion of the activities set forth in the charge.

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National Science Foundation
Advisory Committee for Business and Operations
Subcommittee on NSF's Strengthened Oversight of
Major Facility Cost Surveillance

</div>

Monday, December 18, 2017

8:30 am   **Welcome / Introductions**
     Chair: Neil Albert

     Committee Charge: An overview of the charge and the questions to which NSF is seeking an answer, as well as the proposed schedule.

     Presentations / Background Documents:
- Charge from NSF to the Cost Surveillance Subcommittee

8:50 am   **Current State of NSF Policies and Procedures Related to Major Facility Cost Surveillance**
     A brief refresher on the context for the request for convening the subcommittee and an overview of the strengthened cost surveillance policies / procedures will be provided for the Design, Construction and Operations Stages. The presentation will focus solely on policies / procedures associated with cost proposal submission, pre-award cost analysis, and post-award cost surveillance.

     Presenters: Matt Hawkins, Office Head, NSF Large Facilities Office and Jeff Lupis, Division Director, NSF Division of Acquisition and Cooperative Support (DACS)

     Presentations/Background Documents:
- PPT Presentation

9:15 am   **Drill Down on Cost Surveillance Policies**
     The full listing of cost surveillance policies/procedures and their linkages will be discussed, including both existing policies/procedures and those that are currently in development. To aid the examination of how these policies apply to individual awards, a recently developed A-123 Major Facilities Oversight Process Narrative will be used to provide context. The proposed list of projects to be evaluated and a summary of cost-related documents for each project will also be provided.

     Presenters: Matt Hawkins, Office Head, NSF Large Facilities Office (LFO) and Bill Kinser, Branch Chief, Cooperative Support Branch

     Presentations / Background Documents:
- Sections 4.2, 4.3 and 4.4 of the Major Facilities Oversight Process Narrative
- Sections 2.3, 2.4, 2.5 and 4.2 and of the Large Facilities Manual
- Project document matrix

10:15 am   **Break**

National Science Foundation
Advisory Committee for Business and Operations
Subcommittee on NSF's Strengthened Oversight of
Major Facility Cost Surveillance

10:30 am   **Case Studies – Application of Cost Surveillance Policies to the Regional Class Research Vessel (RCRV) (Construction) and NEON (Operations) Projects**
Using these recently awarded projects to provide case studies for context, NSF will walk through the projects from inception to its current status and demonstrate how cost surveillance policies and procedures referenced earlier in the day were applied to the projects, which ones were not, and the rationale as to why.

Presenter: Bill Kinser, Branch Chief, Cooperative Support Branch, NSF Division of Acquisition and Cooperative Support (CSB/DACS) with the Program Officers, Grants and Agreements Officers, and NSF Large Facility Office Liaisons for the Projects.

Presentations / Background Documents:
- PPT Presentation
- Example documents from SharePoint site.

11:45 am   **Working Lunch**

12:45 pm   **Identification of Tasks / Potential Sub-groups**
Potential Working Group Meeting Dates
Identification of Areas Where More Information is needed from NSF
Agreement on Deliverables, Timeline, and Milestones
Chair: Neil Albert

2:00 pm   **Adjourn**

Contact List for Members of The Subcommittee on NSF's Strengthened Oversight of Major Facility Cost Surveillance

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3	Dr.	Debra	Emmons	debra.l.emmons@aero.org	(703) 812-0653	Principal Director, Science & Technology Programs, NASA & Civil Programs Division	The Aerospace Corporation, Civil & Commercial Operations
4	Mr.	Ned	Holland	ned.holland@hotmail.com	(816) 678-8132	Assistant Secretary for Administration (Retired)	U.S. Department of Health and Human Services
5	Mr.	Ronald	Lutha	ronald.lutha@science.doe.gov	(630) 252-8173	FRIB & APS-U Federal Project Director	U.S. Department of Energy
6	Ms.	Kim	Moreland	kmoreland@rsp.wisc.edu	(608) 262-3822	Associate Vice Chancellor, Director	University of Wisconsin - Madison
7	Mr.	William	Roets, II	roetsb@yahoo.com	(202) 358-4483	Director, Contract and Grant Policy Division	National Aeronautics and Space Administration (NASA)

* Subcommittee Chair

Nature of Agenda Item: Shared Services: Best Practices and Case Studies

Presentation:

The goal of shared services solutions is to efficiently aggregate resources and systems to improve the quality, timeliness, and cost effectiveness of service delivery to customers. In the federal government, there has been a good deal of discussion about the potential of these solutions, as well as the risks. These conversations occur on multiple levels, including system-wide solutions across multiple agencies, business process or task-level solutions and whether such solutions should be mandatory. NSF is highly motivated to seek solutions that would increase efficiency and reduce staff workload and associated costs.

As NSF strategically manages its business infrastructure in this still-maturing shared-services environment, the agency must consider its options regarding what to choose, how to evaluate and what to expect. The agency, therefore, values advice from others' experiences with shared services at other levels of government and other types of institutions (e.g. universities, non-profits and private organizations).

Committee Action/Feedback

NSF asks BOAC members to share their respective organizations' successes and challenges with shared services, both as providers and as customers. In hearing these examples, NSF seeks advice regarding:
- Best practices and lessons learned relating to shared services;
- Better understanding of the drivers pushing organizations towards shared services and how they may or may not align with organizational priorities;
- Useful resources (e.g. guidance, training, learning communities) for selecting, planning, and implementing shared services;
- Enhancing our understanding of the characteristics of processes/functions that lend themselves to shared services (at multiple levels);
- Enhancing our understanding of the characteristics of processes/functions that do not lend themselves to shared services (at multiple levels).

Contact Persons:

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Adam Goldberg, (202) 874-5734, a_h_g@yahoo.com

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National Science Foundation
Business and Operations Advisory Committee

A Brief Presentation on Shared Services

Presenter: Theresa A. Pardo
Discussant: Adam Goldberg

December 6, 2017

Alexandria, Virginia

This Session

- Larger Context
  - Shared Services being considered as a pathway efficient and effective service delivery at all levels of government and the private sector.

- Federal Government
  - Discussions about the potential of SS solutions and the risks.

- NSF
  - Seeking shared services solutions that would increase efficiency and reduce staff workload and associated costs.
  - Seeking advice from others' experiences with shared services.

Critical Outstanding Questions Facing NSF

- What more do we need to know to help us determine:
  - What to choose?
  - How to evaluate?
  - What to expect?
- What are the drivers pushing organizations toward shared services?
- How do these drivers align with organizational priorities?
- What are the characteristics of those processes/functions that lend and do not lend themselves to shared services?

Shared Services: Some Useful Definitions

- **Shared Services**
  - Financial and administrative services provided by a single organization established to provide such services efficiently and effectively for the benefit of multiple organizations or entities.
- **Shared Services Provider or Shared Service Center**
  - A separate and distinct organization established to provide financial services to other entities efficiently and effectively. Providers may be in-house (captive) providers, external federal providers (Centers of Excellence) or external private sector providers.
- **Shared Services User**
  - The organization or entity that receives the service; the customer or client.

  Source: AGA Corporate Partner Advisory Group Research, 2005

- Shared Services arrangements occur when an organization extracts activities supporting core business processes from multiple business units and consolidates them into a separate operating unit relying on community ICT to support service delivery.

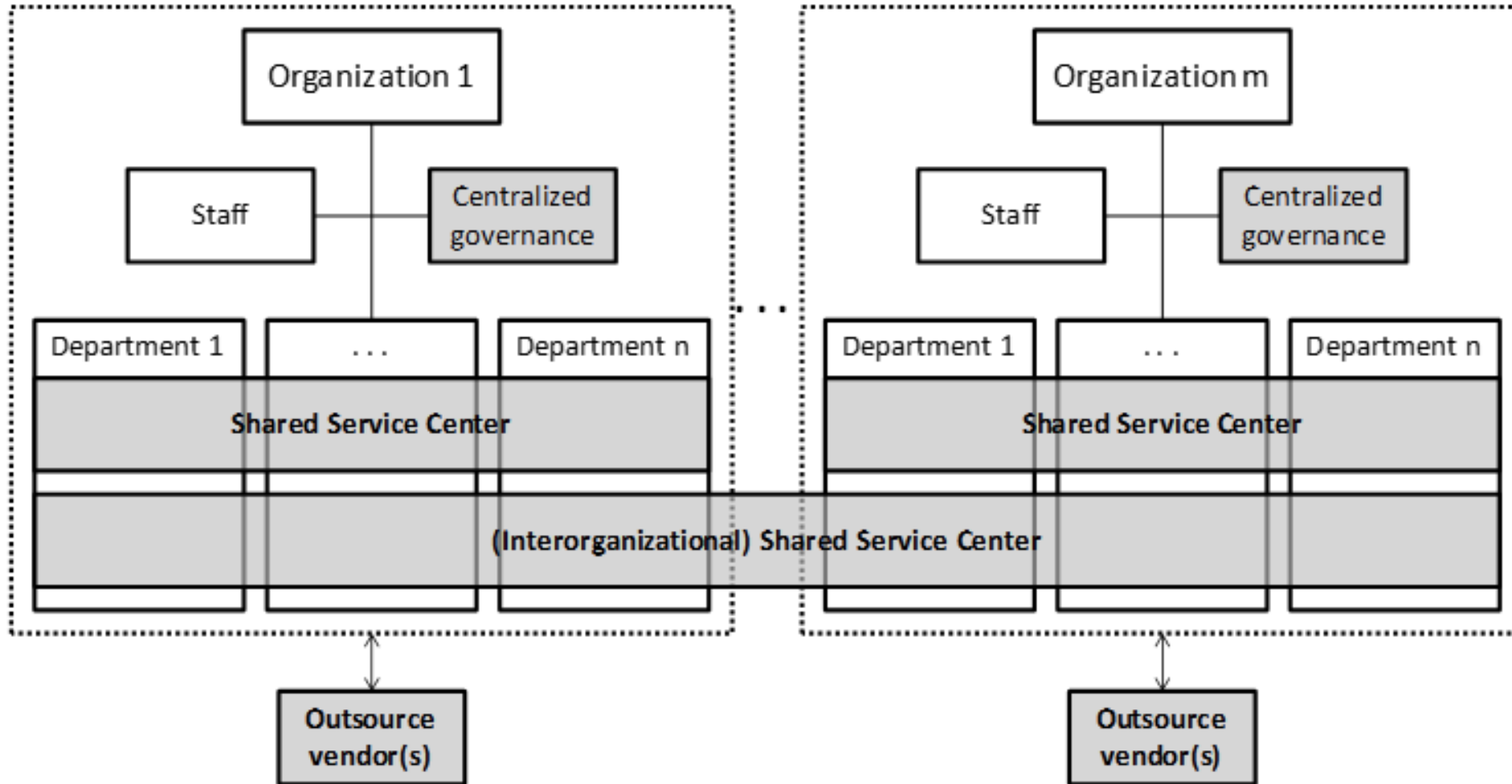 *Source: Tomasino, Fedorowicz and Williams, 2017*

Figure 1. Positioning of the SSC (from (Janssen & Joha, 2006))

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2017 ARC Customer Meeting

Communications Bulletin (December 2017)
(PDF, 53K)

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- Department of Homeland Security

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Shared Services

Human Resources Shared Services: The General Services Administration (GSA), HR Shared Services provides innovative human resources and compensation management solutions for the Federal Government. By leveraging GSA shared services, agencies can focus on their unique mission - enabling a more effective and efficient government for the American people.

Payroll Shared Services: The GSA's Payroll Services Branch (PSB) provides a full range of payroll services for over 20,000 employees, which includes GSA and more than 30 independent agencies or presidential commissions.

Last Reviewed 2017-08-13

Print

Research on Shared Services

- Bergeron Framework (2005)

  – Most Cited Shared Services Framework.

- Focus on Back Office

  – "Current research focuses mostly on practices to commoditize these back office services to achieve cost control, consolidation of ICT resources, and standardized customer service." Tomasino, Fedorowicz and Williams, 2017

- Focus on the Private Sector

  – Relatively few shared services studies focus on planning and implementation in the public sector. (McIvor et al, 2011)

Some Motivations for Pursuing Shared Services in Government Organizations

- Cost reduction
- Improve quality of service
- Improve efficiency and effectiveness/productivity
- Access to external resources
- Standardize processes
- Focus on core competencies
- Concentration of innovation
- Improve customer orientation
- Exchange of internal capabilities
- Improve control

Source: Paagman, Tate, Furtmueller, de Boom, 2014.

Some of the Latest Research on Shared Services

- Adaptations to Bergeron by Tomasino, Fedorowicz and Williams, 2017
  - Back office versus mission critical processes.
  - The unique and important role of public policy.
  - Can research and guidelines on establishing, using, and evaluating private sector SSCs supporting back-office processes be applied to the public sector or to mission critical processes without critical reexamination?

- Wicked and Complex Problems and the Role of Context

What makes it work?

- Back office operations and or mission critical services?
- Context characteristics; how and in what way do they matter?
- Generic versus customized approaches?
- Business case versus public policy?
- Big bang approach versus incremental?
- Workforce perceptions and implications?
- Context specific critical success factors?
- Cost?

Best Practice and Case Examples

- NYS Municipal Shared Services

- Urban Blight Information System

- ITS Transformation

- Yours?

https://www.ny.gov/programs/shared-services-initiative

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Shared Services Initiative

SHARE SHARED SERVICES

COUNTY-WIDE SHARED SERVICES INITIATIVE

Reducing Property Taxes and Lowering Costs of Local Government

Governor Cuomo's new initiative to reduce property taxes requires counties to assemble local governments to find efficiencies for real, recurring taxpayer savings.

The County-Wide Shared Services Initiative, included in the enacted FY 2018 Budget, requires county officials to develop localized plans that find property tax savings by coordinating and eliminating duplicative services and propose coordinated services to enhance purchasing power.

The property tax is the largest tax burden to the New York taxpayer, with the typical taxpayer paying 2.5 times more in property taxes than in income taxes. While Governor Cuomo has made reducing this burden a central priority of his administration, the tax is still a significant expense for property owners. The goal of this new initiative is to save taxpayers money by identifying collaborative opportunities for shared services between as many local governments as possible.

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https://www.ny.gov/programs/shared-services-initiative

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HOW IT WORKS

The Chief Executive Official of each county, excluding NYC, will:

Establish a Shared Services Panel

The panel will include the mayor of each city or village and the supervisor of each town. A representative of a school district, board of cooperative education services, and/or special improvement district may be also invited to participate.

Develop a Property Tax Savings Plan

The panel will develop a County-Wide Shared Service Property Tax Savings Plan to identify, propose and implement new actions to save taxpayers money through shared, coordinated and more efficient services between local governments within the county.

Have Opportunity for State Match Funding

Plans that create actual and demonstrable savings across multiple jurisdictions may be eligible for a one-time match of the net savings resulting from new actions implemented pursuant to the Plan.

Counties have submitted their plans for 2017

VIEW SHARED SERVICES PLANS

A STATEWIDE RESOURCE FOR INFORMATION SHARING

A *shared information resource* for NYS municipalities to share data about properties, property owners, landlords, contractors as well as core processes associated with code enforcement, building permits, landlord registration, vacant properties, public assembly, demolition, and foreclosure management .

Increasing Complexity
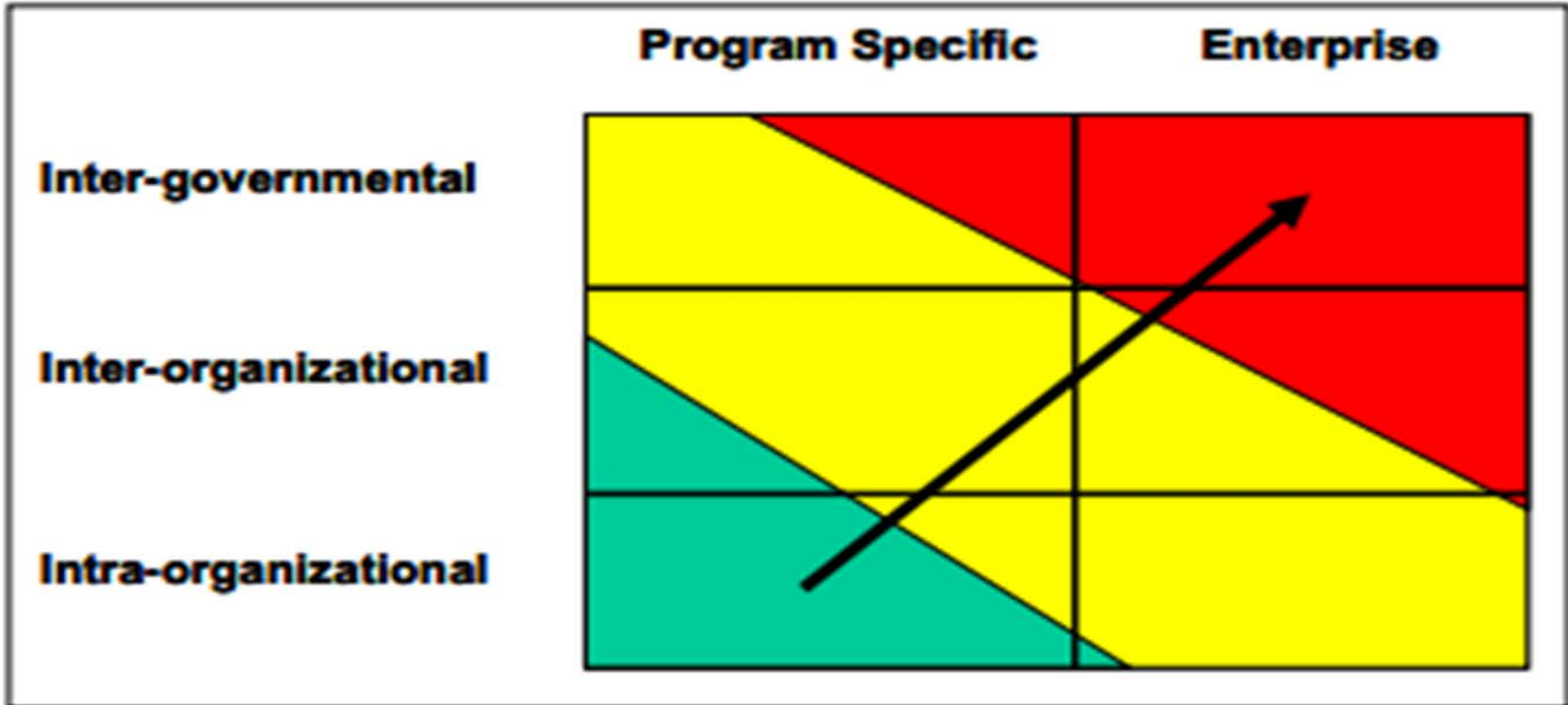
**National Science Foundation
Business and Operations Advisory Committee**

A Brief Presentation on Shared Services

Discussant: Adam Goldberg

December 6, 2017

Alexandria, Virginia

CENTER FOR TECHNOLOGY IN GOVERNMENT
UNIVERSITY AT ALBANY State University of New York

National Science Foundation
Business and Operations Advisory Committee

A Brief Presentation on Shared Services

Presenter: Theresa A. Pardo
Discussant: Adam Goldberg

December 6, 2017

Alexandria, Virginia

Nature of Agenda Item: Strategic Coordination of NSF's Participation and Outreach with External Organizations

Presentation:

NSF views its public outreach to the research community as fundamental to fulfilling its mission and accomplishes this by leveraging relationships with external organizations. The Foundation conducts this kind of outreach on many different levels. For example,

- Office of Legislative and Public Affairs sponsors NSF Days, which instruct researchers how to better compete for NSF funding;

- NSF's Policy Office within BFA's Division of Institution and Award Support is responsible for outreach activities to educate the research and administration communities about current and evolving policies related to proposal preparation, merit review and the effective management of NSF awards; and

- BFA's Division of Financial Management, Cash Management Branch conducts outreach to enhance grantees' understanding of Federal Financial management and the NSF cash management process.

The BOAC will hear a five-minute overview from three NSF experts in outreach: Kim Nelson (OLPA), Jeremy Leffler (BFA/DIAS) and John Sholhead (BFA/DFM). They will share how, when and where NSF conducts outreach to the research community, including a description of their respective strategies.

Committee Action/Feedback

The Foundation seeks advice from the Committee on considering opportunities that may exist to leverage our existing activities to develop an interconnected strategy supporting both the research community and effective use of NSF resources (e.g. staff, budget and internal agency tools and facilities).

Specifically, NSF asks the Committee to consider the following with respect to our outreach to the research community:

- Should NSF create a way to document and share the agency's overarching outreach enterprise both internally and externally?

- Is NSF making effective use of its opportunities to conduct outreach? Are there additional prioritization strategies to consider?

- How should we manage the demand on staff time required to conduct outreach?

- Is NSF effectively using virtual technologies for outreach?

Contact Persons:

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

Strategic Coordination of NSF's Participation and Outreach with External Organizations

Teresa Grancorvitz, Acting BFA Office Head/CFO

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1

Overview: Strategic Coordination

- Outreach fundamental to NSF mission

- Rationale for this session

- Consider/communicate benefits – outreach enterprise

- Consider demand on staff resources/travel budgets

- Making decision about emphasizing our relationships with specific external organizations

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Questions to consider:

- Should NSF create a way to document and share the agency's overarching outreach enterprise both internally and externally?

- Is NSF making effective use of its opportunities to conduct outreach? Are there additional prioritization strategies to consider?

- How should we manage the demand on staff time required to conduct outreach?

- Is NSF effectively using virtual technologies for outreach?

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3

National Science Foundation
Office of Legislative and Public Affairs (OLPA)
Outreach to the Scientific Community

Kim Nelson
Public Affairs Specialist
NSF Advisory Committee
for Business and
Operations
Dec. 7, 2017

Office of Legislative and Public Affairs' Vision

OLPA's vision is to advance awareness of NSF and its entire mission through strategic communications to external audiences.

Global Leadership

Economy

Security

NSF invests in basic research and people to create knowledge that transforms our future

Stakeholders

Scientific community

Industry

State and local government

Media

Office of Legislative and Public Affairs

NEWS

General public

Congress
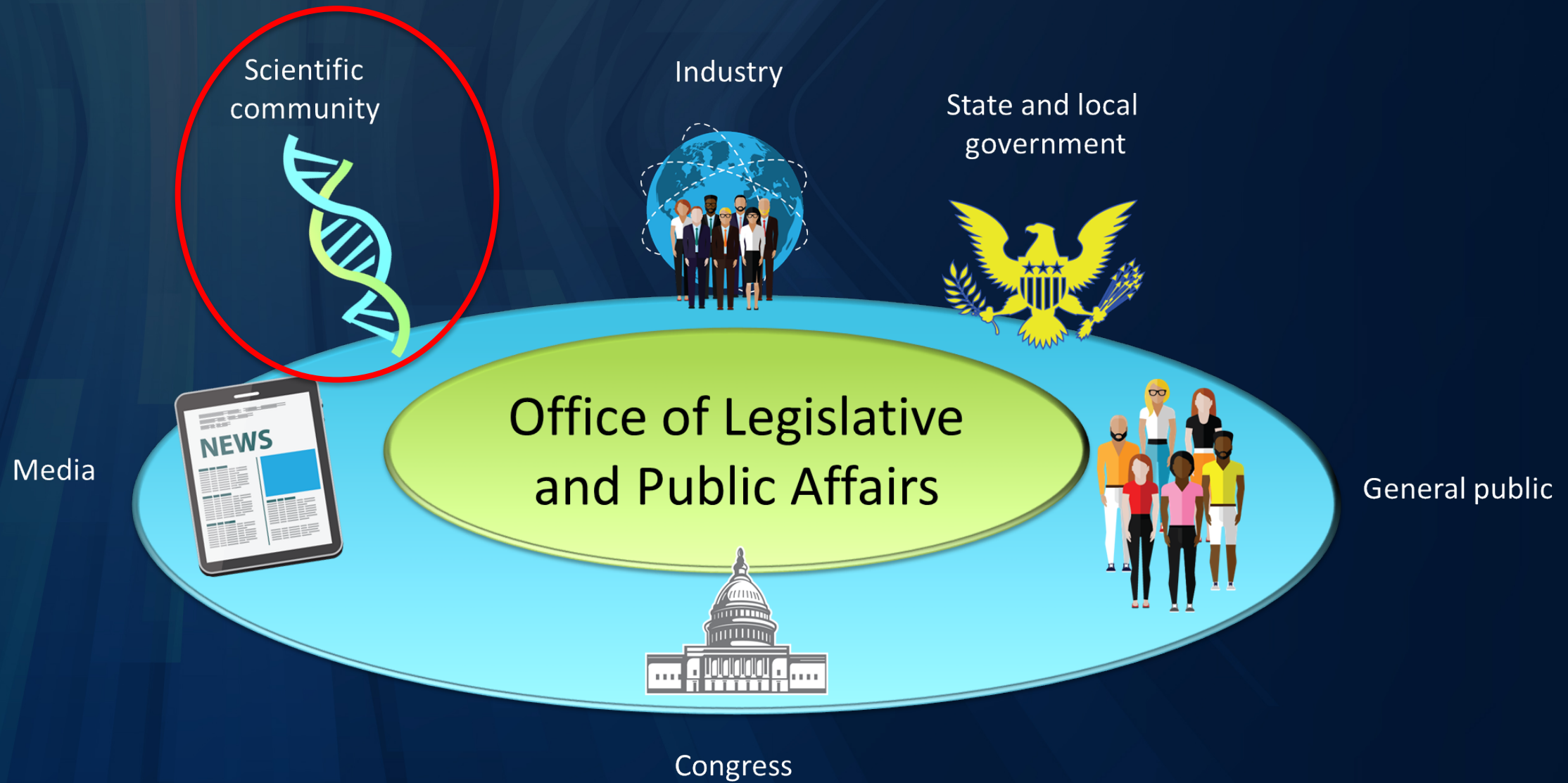
Scientific Community Outreach

Audience 1: Potential and Current NSF-funded Researchers

Call for NSF Impact Stories

NSF Days

Exhibits for Public Events

NSF-funded graduate researcher developed multi-finger touch function now used in smartphones

NSF Days

- Interactive 1-day workshop – Educates researchers to more effectively apply for NSF funding opportunities

- Running since 2002 – Have reached every U.S. state

- NSF Program Officers from every directorate/office

- Attendees encouraged to interact and continue to consult program officers in grant-writing process

NSF Days

- Attracts between 150-250 researchers per NSF Day (mostly early career faculty)

- Popular lunch panel with NSF-funded PIs to share wisdom

- Evaluations report a 100% increase of knowledge of NSF among respondents

- 4 NSF Days scheduled for FY18 – Criteria: Congressional interest, Current NSF funding, date of last NSF Day, special interest

- Congressional Involvement

Scientific Community Outreach

Audience 2: Communications & Gov't Relations Staff at Scientific and University Societies and Associations

NSF & Congress
Toolkit

These tools and resources--providing information about the impact of NSF's investments in science and engineering research and education--are available for viewing online and downloading.

Overview   Videos   Reports   Online tools   Useful URLs   NSF Responses
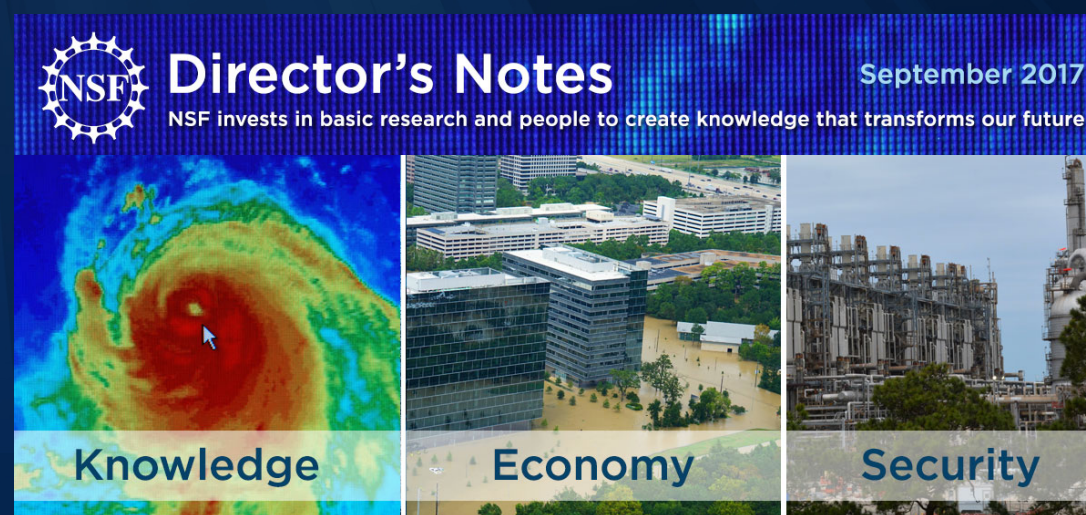
Video: How NSF enhances our nation's security

Thank You!

Agenda

- Objectives
- Strategy
- Advantages
- State Assignment Map
- Increase Webinars
- Enhanced Grantee Outreach Over Time

Objectives

- Get our message out to as many Grantees as possible to provide valuable detailed grants operational information to ensure a successful and rewarding grants outcome and experience

- Continue to reduce canceling funds. This number has gone down from $9.5 million at FY15 Year-end close to $3.9 million at FY16 Year-end close to $2.8 million at FY17 Year-end close (open balances requiring de-obligation)

- Allow Universities to better understand Federal Financial management and the NSF grants and cash management process

- Provide a higher level of customer service by providing our grantees a visible point-of-contact to reach out to when they have questions or issues

ACQUISITION & COOPERATIVE SUPPORT | BUDGET | **FINANCIAL MANAGEMENT**
GRANTS & AGREEMENTS | INSTITUTION & AWARD SUPPORT | LARGE FACILITIES

3

Strategy

- Reorganize staff duties to match the NCURA Regional mapping

- Leverage NCURA Conference to present to more universities

- Strategically design outreach visits to Colleges and Universities to

  - Annually attend 4 to 6 Regional Conferences to give all Universities equal opportunity to hear our message

  - Design outreach visits to address both size of grant dollars or size of grants to visit larger grantees but also assure every NSF grantee has had an opportunity to know who we are and understand our services (i.e. 20 percent of NSF Grantees receive 80% of NSF Grants)

- Conduct joint DIAS/DGA/DFM NCURA presentations to include Pre-Award, Award and Post Award discussion

- Monitor University saturation map to measure outreach performance

ACQUISITION & COOPERATIVE SUPPORT | BUDGET | FINANCIAL MANAGEMENT
GRANTS & AGREEMENTS | INSTITUTION & AWARD SUPPORT | LARGE FACILITIES

4

Advantages

- Each Regional Conference has between 200 to 700 Conference attendees. We will:

  – Conduct Group Conference presentations for 30 to 200 Universities at one conference, plus

  – Conduct **in-reach** visits during Regional conferences to share handouts, make contact and ultimately provide increased customer service

  – Conduct local outreach in surrounding conference area

  – At the same cost as prior outreach plan

- This will allow us to reach 700 to 1,500 colleges and universities per year at the same cost
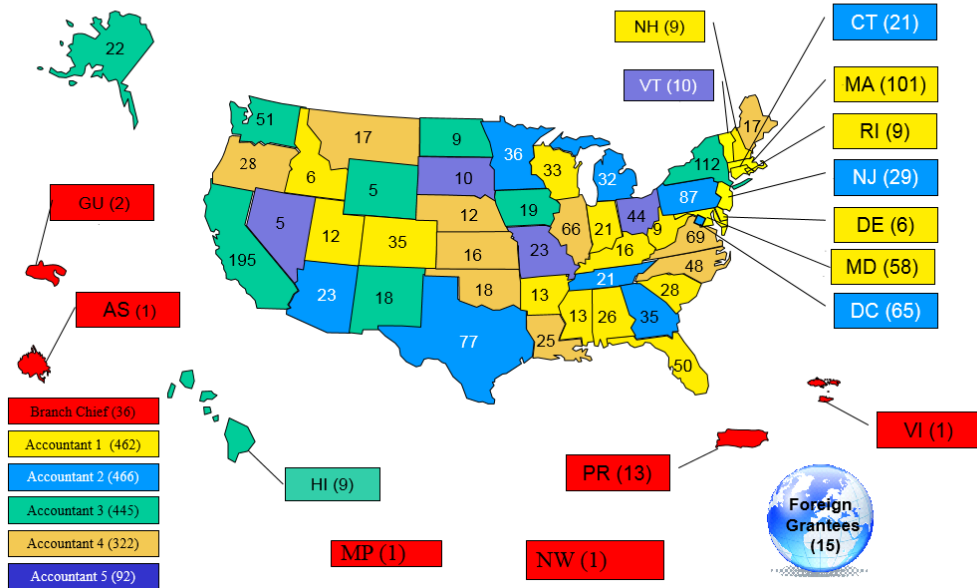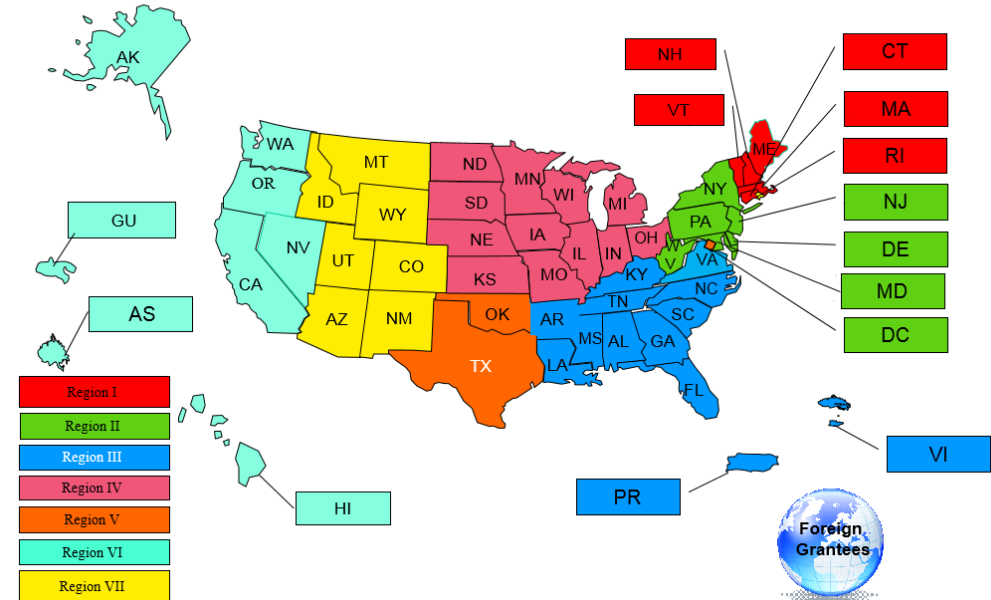
ACQUISITION & COOPERATIVE SUPPORT | BUDGET | FINANCIAL MANAGEMENT
GRANTS & AGREEMENTS | INSTITUTION & AWARD SUPPORT | LARGE FACILITIES
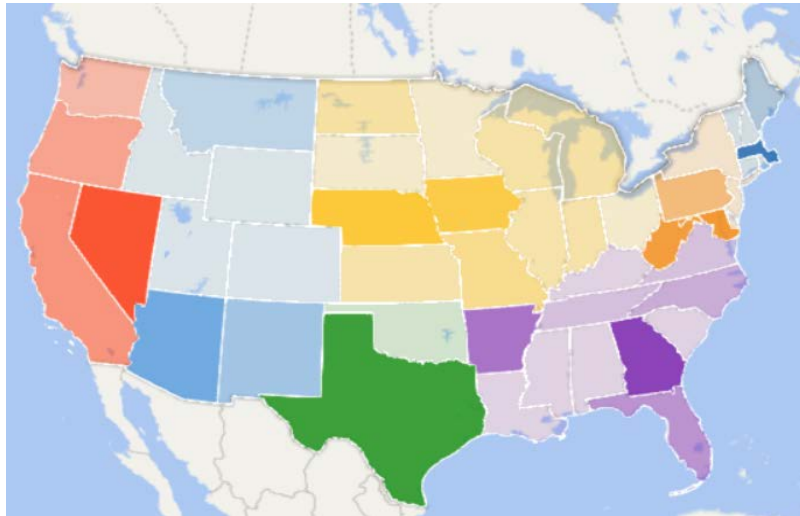
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State Assignment Map Comparison

Webinars

- New NSF Grantees **(new)**
- Canceling Funds
- Small Dollar Grantees ($10 million and under) **(new)**
- SBIR Grantees
- Regional Based Outreach Webinar **(new)**
- Annual Cash Management Update

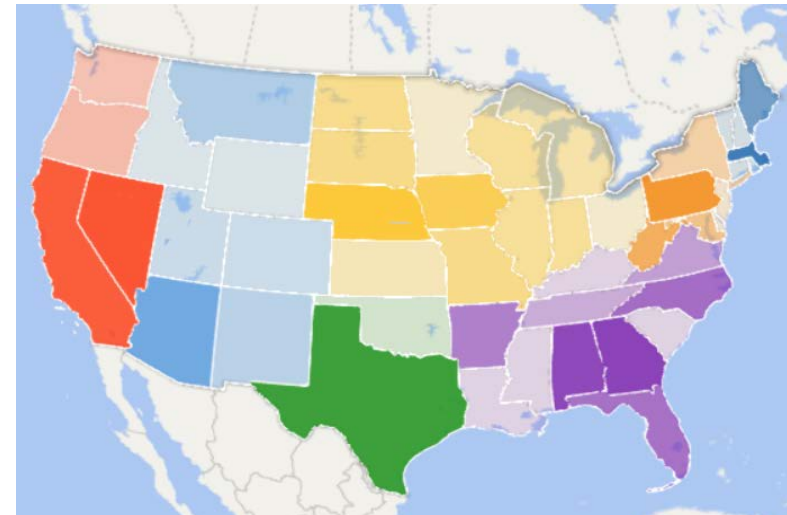# Enhanced Grantee outreach Over time

2018

2019

Over time the heat maps above will show saturation of Universities presented to over time, ultimately providing outreach to over 90 percent of our Grantees within 3-4 years. States will darken in color over time.

ACQUISITION & COOPERATIVE SUPPORT | BUDGET | FINANCIAL MANAGEMENT
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Outreach to External Stakeholders
NSF Grants Conference

- Audience: Early-career faculty/researchers and research administrators

- Purpose: Understand NSF, its policies, processes and programs

- NSF Attendees: All directorates, OISE, OIA, OISE, BFA, OIG

- Frequency: Bi-annual

- Coordination: Policy Office with contractor assistance

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Outreach to External Stakeholders | NSF Grants Conference
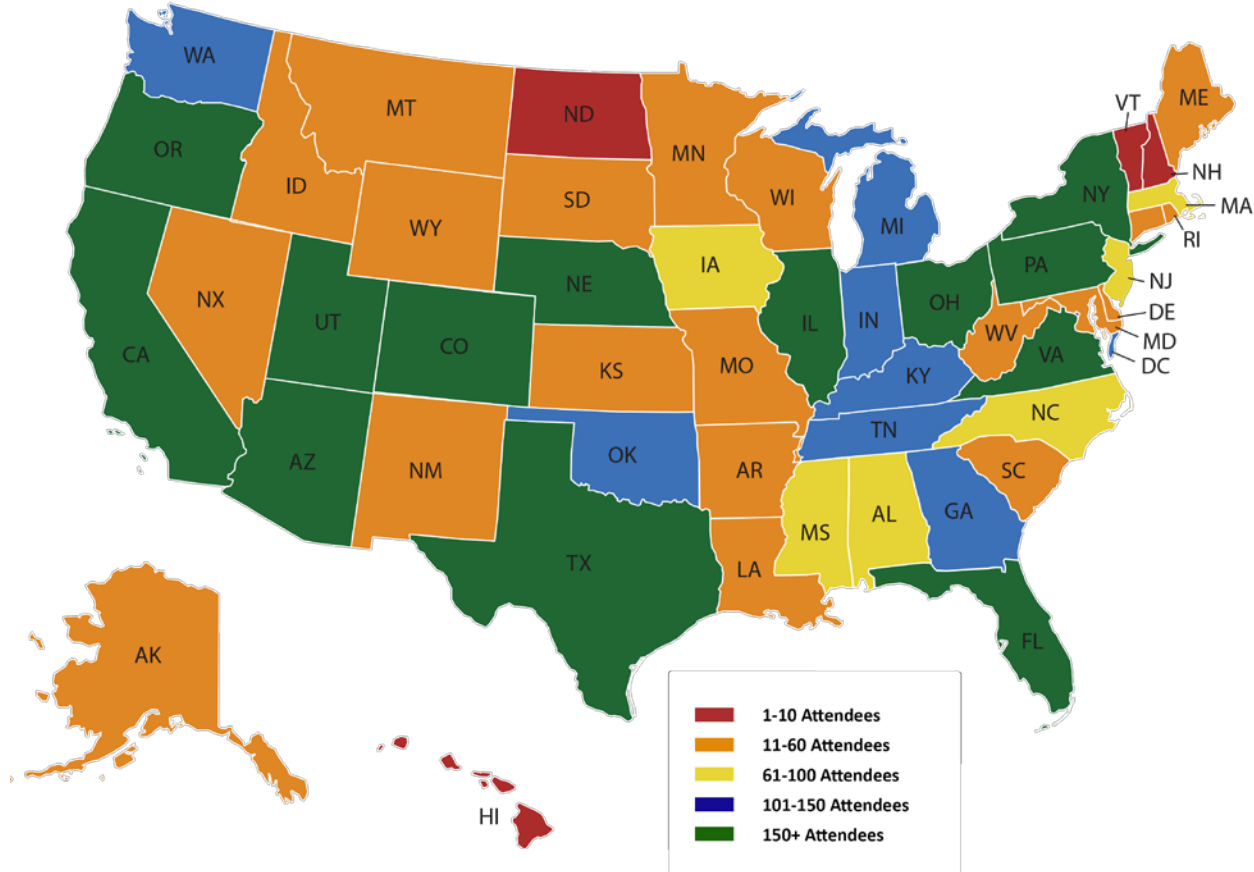
Since spring 2007, almost 5,000 faculty and administrators from all 50 states have attended 21 grants conferences

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GRANTS & AGREEMENTS | INSTITUTION & AWARD SUPPORT | LARGE FACILITIES

3

Outreach to External Stakeholders
Research Administration Professional Groups

- Audience: Research Administrators belonging to a wide variety of professional organizations
  - NCURA, SRA, FDP, COGR, CLASP, AASCU, ICO, etc.
- Purpose: Understand current and evolving NSF policies and procedures related to pre- and post-award issues
- Frequency: Throughout the calendar year
- Coordination: Policy Office

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GRANTS & AGREEMENTS | INSTITUTION & AWARD SUPPORT | LARGE FACILITIES

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Outreach to External Stakeholders | Strategies and Resources

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GRANTS & AGREEMENTS | INSTITUTION & AWARD SUPPORT | LARGE FACILITIES

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Backgrounder: Fall 2017
NSF Advisory Committee for Business and Operations

Nature of Agenda Item: Renewing NSF

Presentation:

On April 12, 2017, the Office of Management and Budget (OMB) released Memorandum M-17-22, titled "Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Civilian Workforce," for all executive departments and agencies. The memorandum instructed agencies to submit Agency Reform Plans to OMB as part of their FY 2019 budget submissions. In developing these plans, agencies were asked to consider their roles and responsibilities, what activities they should perform, and how to improve their existing business processes.

In a memo to staff shortly afterward, Dr. Córdova emphasized that this Memorandum constitutes an important opportunity to think deeply and critically about how we as an organization could transform to support and sustain NSF's long-term research agenda. While the FY 2019 budget process is ongoing, NSF is committed to taking advantage of this opportunity. Specifically, following an agency-wide brainstorming process in spring 2017 that resulted in over 200 suggestions contributed by NSF staff, four broad areas contributing to renewing and re-imagining the agency's future emerged:
- Making information technology work for us;
- Adapting the NSF workforce to our current and future work;
- Expanding public and private partnerships; and
- Streamlining, standardizing, and simplifying programs and processes.

NSF is now planning to establish a steering group and multiple working groups that will help shape activities in these areas, including effectively engaging all NSF staff, communicating to external stakeholders, and rigorously measuring performance and long-term impact on NSF's mission.

Committee Action/Feedback:

NSF seeks advice and perspective on how to ensure NSF moves forward effectively on the four broad areas identified above. Specifically:

- Re: the implementation strategy: What are the committee's thoughts on the implementation strategy, notably a steering group overseeing multiple working groups? How does this strategy relate to past successful efforts in other federal and non-federal contexts?
- Re: how to engage the workforce: What are the committee's thoughts on how to quickly and effectively engage staff across all levels of the Foundation, particularly as we ramp up our efforts in the four broad areas described above? What lessons are to be learned from past successful efforts in other federal and non-federal contexts?

Contact Person:

Erwin Gianchandani, Deputy Assistant Director, Computer and Information Science and Engineering; 703-292-8900; egiancha@nsf.gov.
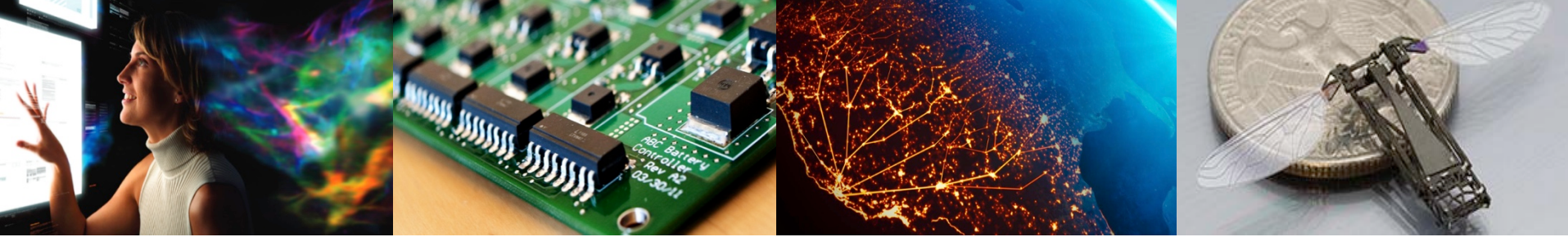
Renewing the National Science Foundation

Advisory Committee for Business and Operations
Winter 2017 Meeting

Erwin Gianchandani
Deputy Assistant Director
Computer and Information Science and Engineering
National Science Foundation

FY 2019 Budget Timeline

Memo issued 4/12

Draft to OMB 6/30

OMB meeting 7/19

Final to OMB 9/11

FY 19 Budget Rollout

April	May	June	July	August	September	February '18

Initial AD briefing 4/18

OD memo 5/8

Staff brainstorming

Public comments

AD retreat

Select candidate ideas to discuss with OMB

Transmit to OMB

OMB meeting

Detailed analysis

Agency Reform Town Hall

Finalize reform ideas to be incorporated into budget

Submit FY 19 Budget

FY 19 budget and reforms publicly released

2

From the last BOAC: NSF's Approach

Generate Ideas

- Staff brainstorming
- Public comments

Refine and Select

- Analytical framework
- OMB discussions
- Select reform proposals through budget process

Implement Reforms

- Engage internal and external stakeholders
- Multiyear plan
- Report on progress
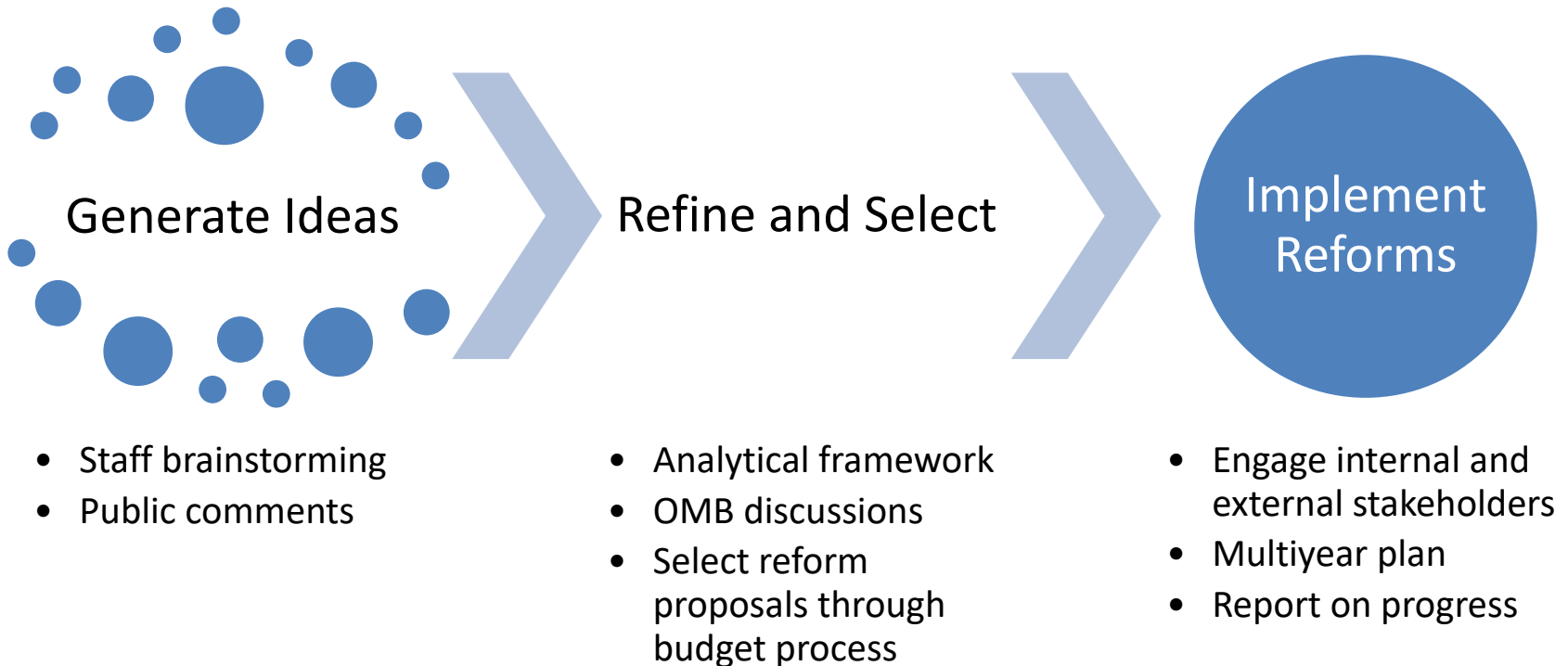
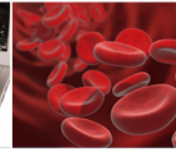# Today: Four Broad Priorities Looking Forward

- Making information technology work for us

- Adapting the NSF workforce to the work

- Expanding and deepening public and private partnerships

- Streamlining, standardizing, and simplifying programs and processes

Implementation Strategy

Committee Action/Feedback

- <u>Implementation strategy:</u> What are the committee's thoughts on the implementation strategy, notably a steering group overseeing multiple working groups?

- <u>How to engage the workforce:</u> What are the committee's thoughts on how to quickly and effectively engage staff across all levels of the Foundation, particularly as we ramp up our efforts in the four broad areas described above?

- Does the committee have additional thoughts or questions?

Backgrounder: Fall 2017
National Science Foundation
Advisory Committee for Business and Operations

Nature of Agenda Item: 2017 Federal Employee Viewpoint Survey (FEVS) results and use of the FEVS data in NSF's effort to maximize employee performance, pursuant to OMB M-17-22.

Presentation:
NSF has received its 2017 FEVS results. NSF continues to enjoy a very high participation rate by staff, well above the government average, and scores in most areas rank among the top federal agencies. As reflected in NSF's FEVS scores on topics such as supervisor feedback, recognition, and communicating performance expectations, the employee performance management culture at NSF has shown continuous improvement over the last five years. While we have steadily improved and have strong FEVS scores in these areas, there is always room for reflection and improvement.

In the Office of Management and Budget (OMB) Memorandum M-17-22, the White House has required that each federal agency develop a Plan to Maximize Employee Performance. NSF prepared a response to address the five items required by OMB, as they relate to enhancing our performance culture by increasing employee engagement and accountability. OMB approved NSF's plan in late July 2017.

Following OMB's approval, our plan was shared in leadership briefings and employee focus groups to gather internal feedback on all aspects of the plan. This feedback will be incorporated into the implementation of significant changes, to include performance and conduct policy revisions and enhancements to our employee training and guidance in these areas. Implementation of required items is to be completed by October 2018.

Our improvement efforts will also incorporate insights from our FEVS results.

Committee Action/Feedback

- How do we ensure employee engagement in the planning efforts?
- How do we evaluate the effectiveness of our planning efforts?

Contact Persons:

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

Dianne Campbell Krieger, 703-292-8180, diacampb@nsf.gov

2017 FEVS Highlights

- NSF's FEVS scores among the highest in Federal Government
  - 4th for Employee Engagement, 5th for New Inclusion Quotient (New IQ) among medium-sized agencies
  - 4th for Employee Engagement, 5th for New IQ, 3rd for Global Satisfaction among CFO Act agencies
- Item and Index scores have steadily increased since 2012
- Staff workload remains a key challenge

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2017 FEVS Highlights

- NSF's response rate remains high at 76% (46% government-wide)

- 52 of the 71 core survey items (73%) identified as strengths (i.e., positive scores of 65% or higher)

- <u>No</u> items identified as challenge areas (i.e., negative scores of 35% or higher)

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2017 FEVS Item-Level Results Overview

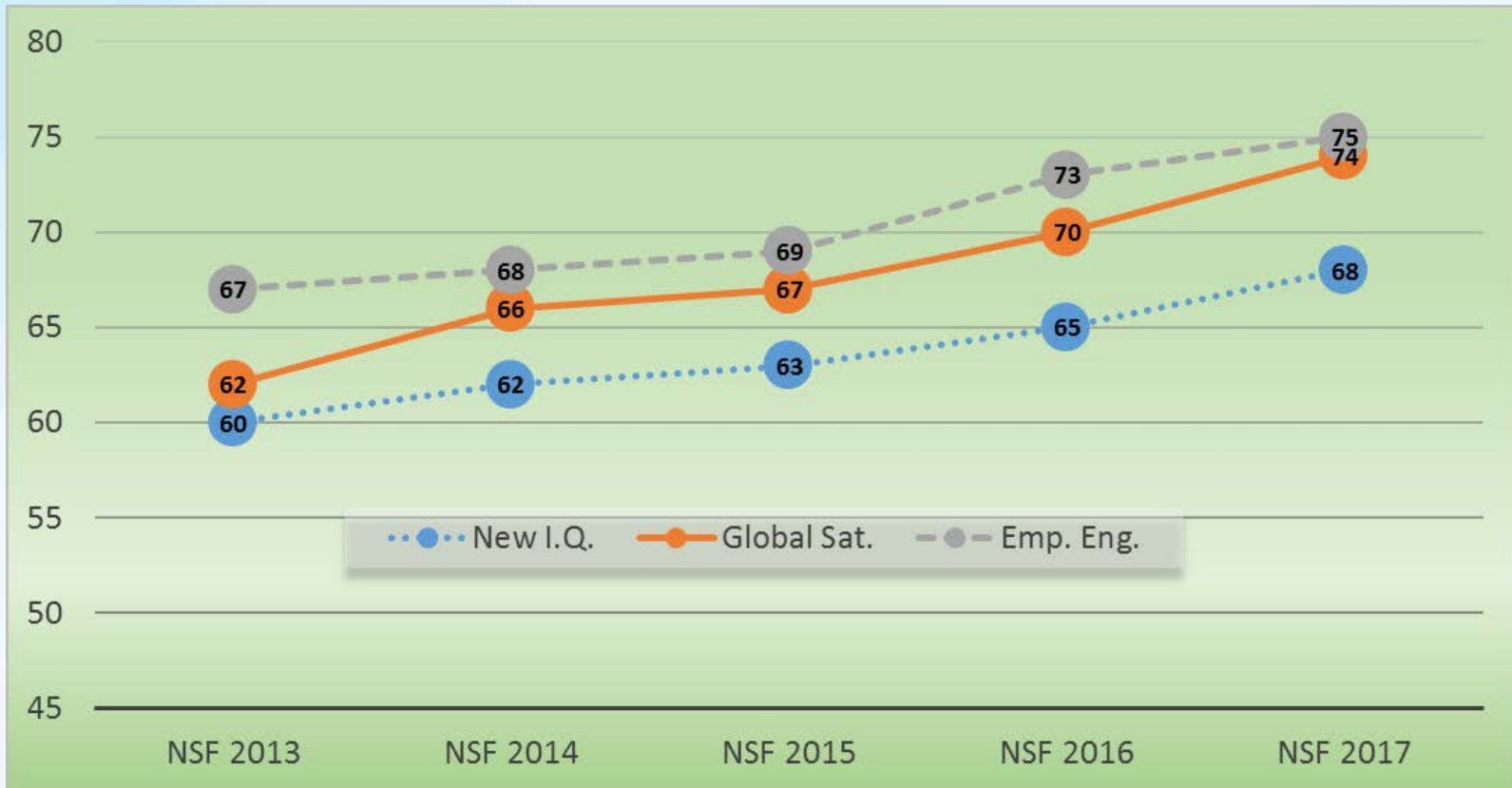| Greatest Increase 2013-2017	(18) My training needs are assessed	+15.6 percentage points (from 43.9% to 59.5%)
Greatest Decrease 2013-2017	*N/A - No net decreases from 2013 to 2017*	*N/A*
Greatest Increase 2016-2017	(55) Managers/supervisors/team leaders work well with employees of different backgrounds.	+6.7 percentage points (from 65.9% to 72.6%)
Greatest Decrease 2016-2017	(1) I am given a real opportunity to improve my skills in my organization.	-1.3 percentage points (from 77.7% to 76.4%)

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Top Five Increases from 2016 to 2017

Question	NSF 2013	NSF 2014	NSF 2015	NSF 2016	NSF 2017	Δ 2016-2017
(55) Managers/supervisors/ team leaders work well with employees of different backgrounds.	59.6%	63.0%	61.6%	65.9%	72.6%	+6.7
(31) Employees are recognized for providing high quality products and services.	49.3%	53.9%	55.8%	56.1%	62.0%	+5.9
(58) Managers promote communication among different work units (for example, about projects, goals, needed resources).	53.4%	55.4%	58.8%	59.5%	65.4%	+5.9
(57) Managers review and evaluate the organization's progress toward meeting its goals and objectives.	57.1%	61.4%	65.5%	66.0%	71.5%	+5.5
(36) My organization has prepared employees for potential security threats.	75.6%	72.8%	76.9%	75.0%	80.5%	+5.5

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NSF FEVS Index Scores Compared to Government-wide

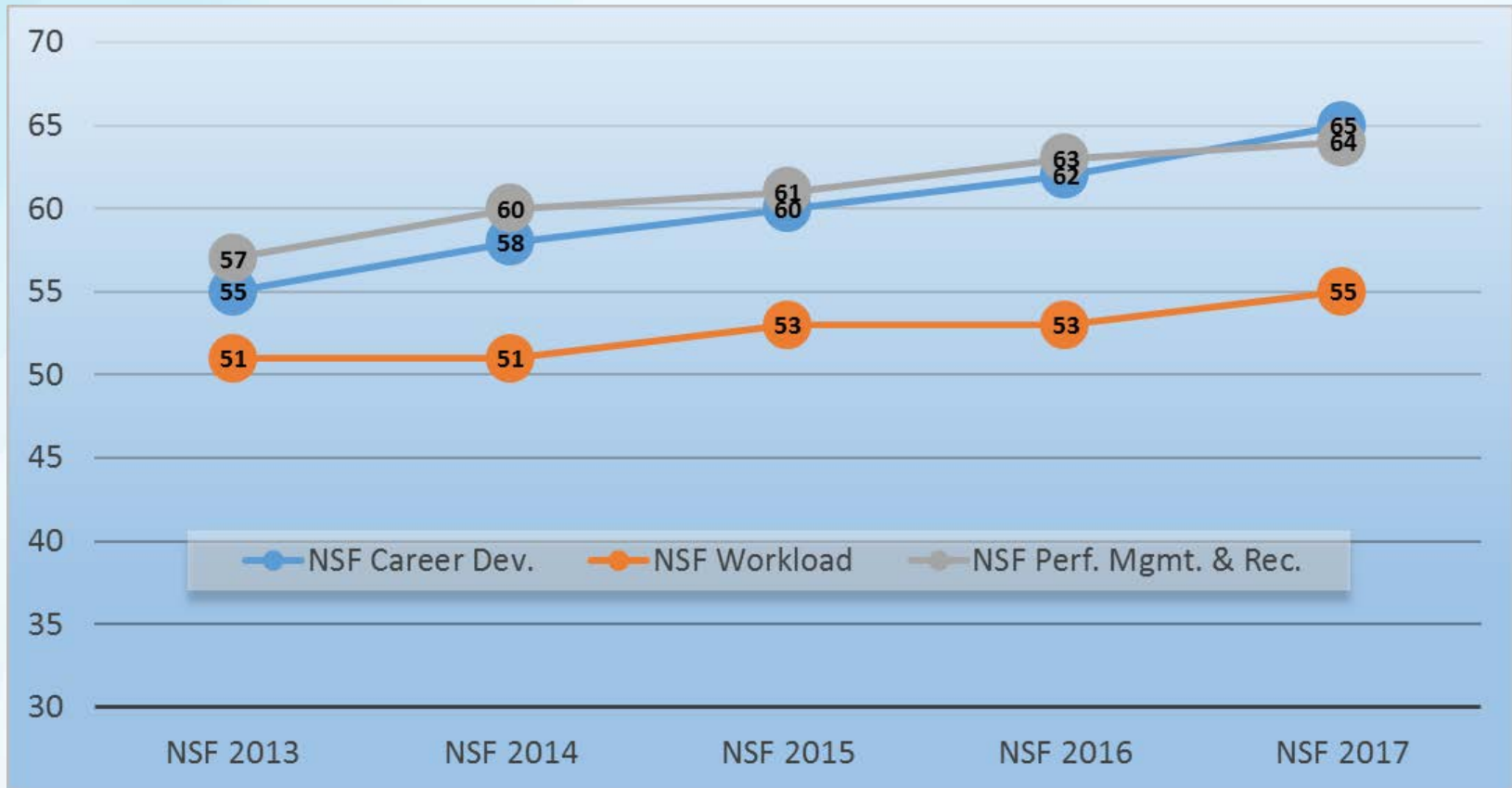| Index	NSF 2013	NSF 2014	NSF 2015	NSF 2016	NSF 2017	Δ 2013-2017	Δ 2016-2017
OPM New Inclusion Quotient ("New IQ")	60	62	63	65	68	+8	+3
OPM Global Satisfaction Index	62	66	67	70	74	+12	+4
OPM Employee Engagement Index	67	68	69	73	75	+8	+2
NSF Career Development Index	55	58	60	62	65	+10	+3
NSF Workload Index	51	51	53	53	55	+4	+2
NSF Performance Management & Recognition Index	57	60	61	63	64	+7	+1
Index	**GOV 2013**	**GOV 2014**	**GOV 2015**	**GOV 2016**	**GOV 2017**	**Δ 2013-2017**	**Δ 2016-2017**
OPM New Inclusion Quotient ("New IQ")	56	56	57	58	60	+4	+2
OPM Global Satisfaction Index	59	59	60	61	64	+5	+3
OPM Employee Engagement Index	63	62	63	65	67	+4	+2
NSF Career Development Index	52	52	53	55	56	+4	+1
NSF Workload Index	51	51	52	52	53	+2	+1
NSF Performance Management & Recognition Index	53	53	54	55	56	+3	+1

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Employee Engagement

- *NSF Plan for Engaging the Workforce FY 2017 – FY 2019* focuses on Workload, Career Development, and Performance and Recognition, with Diversity and Inclusion as the foundation

- In October 2017, we launched *Together We Thrive*, an NSF-wide employee engagement website, which provides engagement tools and resources

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Background

- M-17-22: an opportunity to improve performance culture

- NSF is using our 2017 FEVS data on performance to inform our improvement efforts

- Goal is to give NSF supervisors the tools they need to foster a high-performing and engaged workforce

Index	NSF 2013	NSF 2014	NSF 2015	NSF 2016	NSF 2017	Δ 2013-2017	Δ 2016-2017	GOV 2013	GOV 2014	GOV 2015	GOV 2016	GOV 2017	Δ 2013-2017	Δ 2016-2017
OPM Employee Engagement Index	67	68	69	73	75	+8	+2	63	62	63	65	67	+4	+2
NSF Performance Management & Recognition Index	57	60	61	63	64	+7	+1	53	53	54	55	56	+3	+1

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Comparing Perceptions by Job Family

2017 FEVS	NSF's Performance Management & Recognition Index		
Job Family	Performance Sub-index	Award & Recognition Sub-index	Supervisor Section
Non-managerial	65%	51%	78%
Managerial	79%	73%	89%
NSF Overall 2017	67%	55%	80%
NSF Overall 2013	58%	43%	74%

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Guiding Principles to Maximize Employee Performance

- Ensure the workforce has opportunities to provide feedback and participate in development

- Promote a strong performance culture, supporting supervisors' efforts to recognize high performers and address poor performers

- Collaborate with NSF leadership, supervisors, and AFGE Local 3403 (the Union) to gain input on potential changes

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The 5 Key Milestones of NSF's Plan

- Review and update formal agency policies related to employee performance and conduct

- Provide transparency around the Performance Improvement Plan (PIP) process

- Ensure managers and supporting human resources (HR) staff are appropriately trained

- Ensure accountability for leadership responsibilities in manager performance plans

- Ensure real-time supervisor support mechanisms to manage challenges with staff

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Discussion

What are your ideas for assessing the effectiveness of a strong performance management system?

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