



**Annual Congressional Report
Fiscal Year 2010**



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THE ANNUAL CONGRESSIONAL REPORT
A Summary of National Academy of Public Administration
Studies, Projects, and Activities
October 1, 2009 – September 30, 2010

The National Academy of Public Administration's (Academy) Congressional Charter (Public Law 98-257, Sec. 3) assigns the following responsibilities to the organization:

- (1) Evaluating the structure, administration, operation, and program performance of Federal and other governments and government agencies, anticipating, identifying and analyzing significant problems and suggesting timely corrective action;
- (2) Foreseeing and examining critical emerging issues in governance, formulating practical approaches to their resolution;
- (3) Assessing the effectiveness, structure, administration, and implications for governance of present or proposed public programs, policies, and processes, recommending specific changes;
- (4) Advising on the relationship of Federal, State, regional, and local governments; increasing public officials', citizens', and scholars' understanding of requirements and opportunities for sound governance and how these can be effectively met; and
- (5) Demonstrating by the conduct of its affairs a commitment to the highest professional standards of ethics and scholarship.

The Congressional Charter also gives the Academy a particularly important responsibility with respect to the Federal government, stipulating that the Academy "shall, whenever called upon by Congress, or the Federal government, investigate, examine, experiment, and report upon any subject of government..." Accordingly, Congress often tasks the Academy to study, assess and recommend solutions to critical issues in government. The Academy exists to help governments serve the public better and achieve excellence.

WHO WE ARE

The Academy is a non-profit, independent coalition of top public management and organizational leaders that tackles the nation's most critical and complex challenges. Unique to the Academy is the expertise and insight provided by its nearly 700 Fellows. Academy Fellows are elected by peers based on their impressive contributions to and experience in the field of public leadership and management. The Fellowship includes the nation's top leaders, policymakers and public managers in federal, state and local government; distinguished scholars of public policy and public administration; and talented business executives and labor leaders. They bring passion and commitment to our mission of improving government. Individually, they are experts and trusted thought leaders; collectively they are a national treasure.

WHAT WE DO

Much of the Academy's work is requested by Congress or government agencies that seek assistance with complex management problems. Working with the client, the Academy develops a scope of work and draws from its pool of Fellows to form a panel with experience tailored to the client's needs. The panel oversees the project, providing the high-level expertise and broad experience that clients seek. Academy staff and consultants support the work of the panel with top quality research and analysis. In Fiscal Year 2010, Academy panels:

- Addressed long-term budget challenge facing the federal government by providing a framework that leaders and others can use to systematically consider a range of choices putting the federal budget on a sustainable course;
- Assisted the U.S. Coast Guard in evaluating and validating its Financial Management, Procurement and Acquisition, and Asset Management functions;
- Served as an independent third party to the Department of Housing and Urban Development in its strategic planning and business transformation management consulting services in the areas of Acquisition, Human Resources, and Information Technology;
- Identified opportunities that would allow the National Park Service to address the parks' environmental challenges while raising public awareness about the condition of our nations parks and promoting scientifically-based decision-making at the national, regional, and park levels;
- Studied and analyzed organizational options for the creation of a Climate Service within the National Oceanic and Atmospheric Administration with an emphasis on maximizing effectiveness and efficiency; and
- Conducted an independent review for the Department of Defense of its Defense Civilian Intelligence Personnel System to assess its design and implementation, as well as its impact on diversity and career progression.

In addition to client-driven work, the Academy receives some additional support from foundation grants and support from other organizations committed to good government as well as charitable gifts to develop reports, convene forums and conferences, and design creative approaches for civic engagement in order to tackle some of the nation's biggest challenges. Most often, these issues cannot be resolved by a single government agency, a single level of government or even by the government alone, but instead require interdepartmental, intergovernmental or networked solutions. The Academy work products include:

- In-depth studies, analyses and research reports;
- Advisory services and technical assistance;
- Forums and conferences;
- Congressional and agency briefings; and
- Congressional testimony and statements for the Record.

ACADEMY STUDIES

The Academy completed the following projects and activities during Fiscal Year 2010, from October 1, 2009 to September 30, 2010. Reports for completed studies can be accessed at www.napawash.org.

Federal Emergency Management Agency (FEMA) **Integration and Preparedness**

Congress directed the Academy to conduct an independent assessment of FEMA's integration of preparedness functions and its progress developing robust regional offices.

An Academy Panel found that while FEMA has made considerable progress within these two areas, it has yet to define specific goals and outcomes to determine if these two key components have been achieved. The Panel also noted the continuing challenge for FEMA stakeholders who are not yet full partners in national preparedness. Finally, the Panel identified serious concern with FEMA's ineffective internal business practices with particular reference to inadequate strategic human capital planning. To meet Congressional mandates and public expectations, FEMA must build upon its progress to fully integrate preparedness, strengthen the capacity of the regional offices, establish working partnerships with stakeholders, and improve internal business practices that support its mission-related programs.

Report: *FEMA's Integration of Preparedness and Development of Robust Regional Offices (October 2009)*.

John D. and Catherine T. MacArthur Foundation **Choosing Our Nation's Fiscal Future**

At the request of and with support from the John D. and Catherine T. MacArthur Foundation and using procedures of the National Research Council, the Academy of

Sciences (NAS) and the Academy jointly undertook a two-year study of the long-term fiscal challenge facing the United States. The work was performed by a stellar committee representing diverse disciplines and practices. Together, its members possessed a wealth of experience with the federal budget and various public policies, and held a wide range of political and policy views.

The Academy's report thoroughly discusses the magnitude of the long-term budget challenge facing the federal government. While other studies have called attention to this issue, this effort provides a framework that leaders and others can use to systematically consider a range of choices to put the federal budget on a sustainable course.

The resulting report represents the outcome of this shared effort between the Academy and NAS. In their respective spheres, these two institutions play important roles in offering expert advice on some of the most significant challenges facing our nation.

Report: *Choosing Our Nation's Fiscal Future (January 2010)*.

The National Park Service (NPS)
Natural Resource Stewardship and Science Directorate

The Natural Resource Stewardship and Science Directorate (NRSS) is responsible for providing usable natural and social science information throughout the National Park Service (NPS). NRSS leadership requested a review of the directorate's performance on five core functions, its relationships with key internal NPS stakeholders, and its performance measurement system.

An Academy Panel determined that NRSS is a highly regarded organization that provides independent, credible scientific expertise and technical information. The Panel also found that NRSS and NPS have additional opportunities to advance natural resource stewardship throughout the Service. If implemented, the Panel's eight major recommendations will help the Service respond to the parks' environmental challenges while raising public awareness about the condition of these special places; strengthen NRSS as an organization; promote scientifically-based decision-making at the national, regional, and park levels; and improve the existing performance measurement system.

Report: *Strengthening America's Best Idea: An Independent Review of the National Park Service's Natural Resource Stewardship and Science Directorate (June 2010)*.

National Oceanic and Atmospheric Administration (NOAA)
Organizational Options for a Climate Service

The Academy was directed by Congress to study and analyze organizational options for the creation of a Climate Service within NOAA with an emphasis on maximizing effectiveness and efficiency.

A panel of experts was assembled to conduct this study utilizing an approach to organizational assessment that focuses on three key elements: (1) the agency's mandate; (2) baseline assessment of current and desired performance; and (3) stakeholder expectations. The Academy tapped into the considerable knowledge base that exists in academia, the private sector, and in government by convening roundtable discussions with subject matter experts, including representatives from NOAA.

Report: *Building Strong for Tomorrow: Recommendations for the Organizational Design of the NOAA Climate Service (September 2010).*

Department of Defense (DoD)
Review of the Defense Civilian Intelligence Personnel System—Phase I

The FY 2010 National Defense Authorization Act (NDAA) directed that an independent organization conduct a review of the Defense Civilian Intelligence Personnel System (DCIPS) to assess its design and implementation, as well as its impact on diversity and career progression. The Academy was selected to conduct the review and the Academy Panel issued its report on June 1, 2010. The Panel concluded that DCIPS' design was fundamentally sound; its implementation had been flawed; and it was too soon to determine its impact. The Panel's overall recommendation was that DoD should proceed with DCIPS' implementation using a phased approach tied to a readiness-based assessment of each DoD intelligence component. Additionally, the Panel offered a number of recommendations to strengthen DCIPS' design and to address problems with its implementation.

Report: *Department of Defense: Defense Civilian Intelligence Personnel System Review Phase I (June 2010)*

Amtrak Office of Inspector General (OIG)
Organizational Assessment Phase I

A Panel and Study Team of the Academy conducted an independent organizational assessment of the Amtrak Office of Inspector General (OIG). The objective was to examine the current operations of the OIG office and identify issues and opportunities in need of further attention by Senior Leadership, including as initial points of reference, the strategies and actions identified in Goal Six of the Strategic Plan – *Leading by Example as a Model OIG*. Based on extensive research and analysis, the final report addressed eight critical areas of focus: Internal Communications, External Communications, Work Planning and Prioritization, Quality and Timely Work Processes, Independence, Policy Management and Updates, Human Capital Management, and Performance Measurement.

For each of these areas, the Academy identified a desired future state, key observations, critical risks, “quick win” opportunities, and long-term recommendations. The results of the organizational assessment form the basis for the development of the Implementation Roadmaps in Phase II.

Report: *The Amtrak Office of Inspector General: An Organizational Assessment (August 2010)*

On occasion the Academy is asked to provide advice and consultation to government executives. The Academy assisted the following agencies with these services:

United States Coast Guard

Modernization Program Review, Phase II -- Financial Management Project

The U.S. Coast Guard (USCG), an organization that is both geographically dispersed and extraordinarily complex, is pursuing a substantial transformation and engaged the Academy in 2008 to review the USCG Modernization Program and Financial Transformation. Following upon the Academy Panel recommendations that were made at the end of Phase I of this review, USCG asked the Academy to provide assistance with evaluating and validating USCG Financial Management, Procurement and Acquisition, and Asset Management functions.

An internal guidance paper containing findings and recommendations was provided to USCG in March 2010.

Department of Housing and Urban Development (HUD)

Transformation Support Services Project

HUD engaged the Academy as an independent third party to provide HUD with strategic planning and business transformation management consulting services in the areas of Acquisition, Human Resources (HR), and Information Technology (IT). HUD was seeking an assessment of the progress of its current acquisition, HR, and IT initiatives. HUD also sought to identify impediments, recommend performance standards and measures for these three functional areas, and to discover both critical risks and opportunities for improvement. The assessment facilitated recommendations for improvement and the ability to map how these organizations link to each other relative to providing services.

The outcomes for this project were: (1) an independent review of the HUD organization that documents current organizational characteristics (e.g., workload, activities, outcomes, issues, staffing); (2) identification of strengths, weaknesses, barriers and priority issues and areas to be addressed in future planning efforts; and (3) recommendations for taking immediate action on areas identified as needing improvement.

An internal guidance paper containing the findings and recommendations was provided to HUD in April 2010.

Federal Bureau of Investigation (FBI)

An Independent Assessment of the FBI's Facilities Acquisition Process

The FBI's Finance Division (FD) and Procurement Section (PS), in collaboration with Facilities and Logistics Services Division (FLSD), contracted with the Academy to

conduct an independent assessment of the FBI's facilities acquisition processes. This assessment included a review of the end-to-end procurement related activities conducted by the Facilities Contract Unit (FCU) and the FLSD, as well as a comparative analysis of several other federal agencies facilities acquisition programs and processes.

The overall goal of the assessment was to identify and understand the systemic barriers to the PS's and FLSD's performance, identify the most pressing problems, and develop recommendations that would be the foundation for a more efficient and collaborative working environment to effectively meet the Bureau's mission needs.

Based on the research conducted with FCU, FLSD and the benchmarked agencies, the Academy's Sub-Panel concluded that the FBI's facilities procurement processes require major changes. The Academy determined that the existing processes were too slow and inefficient to meet the FBI's current and future needs. The Academy concluded that both the FCU and FLSD must make changes in their individual processes and work more collaboratively together. Additionally, it was recommended that FD and FLSD leadership reconsider facilities procurements from a more strategic perspective which takes into account the FBI's long-range requirements.

An internal guidance paper containing findings and recommendations was provided to the FBI in September 2010.

ACADEMY STUDIES BEGINNING IN FISCAL YEARS 2009 AND 2010

The Academy began work on the following projects and activities during Fiscal Year 2009 and Fiscal Year 2010, which were either completed during Fiscal Year 2010 or plan to be completed in Fiscal Year 2011. Reports for completed and ongoing studies can be accessed at www.napawash.org.

Amtrak Office of Inspector General (OIG)

Organizational Assessment Phase II: Implementation Roadmap Development

The Amtrak Office of Inspector General (OIG) engaged the Academy to conduct an organizational assessment that examines the current operations of the OIG office. The organizational assessment identified core organizational strengths and weaknesses, and recommended specific, prioritized actions to improve OIG processes, policies and management practices that will help the office achieve the goals outlined in its five-year strategic plan.

As part of Phase II, the Academy partnered with the OIG Senior Leadership to provide assistance in developing Implementation Roadmaps guiding progress towards the organizational change and operational improvements which were identified as critical in Phase I of the Organizational Assessment. The findings of the Organizational Assessment acknowledge that there are many elements that need to be considered as the OIG moves toward its desired future state.

Report: *Amtrak Office of Inspector General Organizational Assessment Phase II: Implementation Roadmap Development* (March 2011).

Department of Defense (DoD)

Review of the Defense Civilian Intelligence Personnel System—Phase II

The FY 2010 National Defense Authorization Act (NDAA) directed that an independent organization conduct a review of DCIPS to assess its design and implementation, as well as its impact on diversity and career progression. The Academy was selected to conduct the review, and the Academy Panel issued its report on June 1, 2010. The Panel concluded that DCIPS' design was fundamentally sound; its implementation had been flawed; and it was too soon to determine its impact. The Panel's overall recommendation was that DoD should proceed with DCIPS' implementation using a phased approach tied to a readiness-based assessment of each DoD intelligence component. Additionally, the Panel offered a number of recommendations to strengthen DCIPS' design and to address problems with its implementation.

The Secretary of Defense (SECDEF) decided it was not in the best interest of the Department to proceed with implementation of the performance-based compensation elements of DCIPS (affecting base pay) beyond the National Geospatial-Intelligence Agency. Instead, the SECDEF authorized an action plan that requires implementing the Panel's recommendations to improve other core elements of DCIPS: a common occupational structure, the performance management system, and an improved reward system that links bonuses to performance.

To implement the SECDEF Action Plan, the Office of the Under Secretary of Defense for Intelligence (OUSD(I)) decided to exercise the option for Phase II of the DCIPS Review to support the continuing evolution of DCIPS. This second phase of work allowed the Academy to continue its review of DCIPS' design and implementation by providing independent review, verification, and validation services for DCIPS plans, policies, strategies, and tools, as well as its improved change management and communications plans. In addition to assessing the analytic approach used to assess the results of the DCIPS survey and the bonus payouts resulting from the first DCIPS payout, the Phase II review focuses on the following areas: governing DCIPS policies, change management and communications, performance management, modified compensation structure, equity analysis, and DCIPS performance measures.

Report: *Department of Defense: Defense Civilian Intelligence Personnel System Review Phase 2* (Anticipated June 2011).

U.S. Department of Energy (DOE), Office of Health, Safety and Security (HSS) **A Worker Dialogue: Improving Health, Safety and Security at the U.S. Department of Energy**

HSS partnered with the Academy in 2010 to host an online discussion that would tap into workers' first-hand knowledge, experience, and expertise on several topics of interest to

both HSS and labor union representatives. These topics included: worker safety training, the implementation of DOE's Worker Safety and Health Program (10 CFR 851, also known as the 851 Rule), and knowledge transfer for the next generation of workers. This Internet-based discussion, titled *A Worker Dialogue: Improving Health, Safety, and Security at the Department of Energy* (the Dialogue) allowed participants to submit ideas in response to open-ended discussion questions and refine them in open conversation by rating and commenting on one another's suggestions.

Report: *A Worker Dialogue: Improving Health, Safety and Security at the U.S. Department of Energy* (November 2010)

World Bank **Stolen Assets Recovery Initiative (StAR)**

The World Bank engaged the Academy as an independent third-party to evaluate the effectiveness, impact, and other aspects of the Stolen Assets Recovery Initiative (StAR) initiative to inform the World Bank Group (WBG) and the United Nations Office on Drugs and Crime (UNODC) decision-making and policy.

Launched in September 2007, the Stolen Asset Recovery (StAR) Initiative is a joint initiative of the WBG and the UNODC. StAR emphasizes that developed and developing countries share a joint responsibility in tackling corruption, and that international collaboration and collective action are needed to facilitate asset recovery and prevent asset theft.

The objective of StAR is to encourage and facilitate a more systematic and timely return of assets stolen by politically exposed persons through acts of corruption. In order to meet this objective, StAR is supported by donor countries and advisory experts (the "Partnership").

Report: *Annexes External Review of the Stolen Assets Recovery Initiative* (December 2010).

Green and Healthy Homes Initiative (GHHI) **The National Dialogue on Green and Healthy Homes**

The Green and Healthy Homes Initiative (GHHI) and the Academy partnered on a new online dialogue to examine ideas and leading practices for integrating health, safety, energy efficiency and weatherization interventions in low to moderate-income homes. The purpose of this dialogue was to identify ways to overcome the barriers that prevent children, families, and communities from having healthy, safe, and energy efficient housing.

Report: *Achieving Green and Healthy Homes in America* (March 2011).

Federal Bureau of Investigation (FBI)
Protecting Against Supply Chain Corruption

At the request of the Federal Bureau of Investigation (FBI) Director's Advisory Board (Board), FBI Director Mueller tasked the Assistant Director (AD) of the Finance Division (FD) to investigate how other federal agencies protect against supply chain corruption. The Board specifically recommended that the FBI look closely at the procedures used by the CIA, a government agency with a reputation for doing this particularly well. The Board's overarching recommendation was to consider implementing measures or processes that "obscure the purchase." To this end, the AD requested that the Academy provide a white paper comparing the FBI's procedures with those of the Central Intelligence Agency (CIA) and one other government agency.

The Academy produced a white paper examining the procedures currently used by the FBI in procuring information technology (IT) hardware and software, communications equipment, and other electronic equipment and their effectiveness in managing and mitigating the risk of supply chain corruption. It also compares the FBI's procedures and their effectiveness against those used by the CIA and the National Geospatial Intelligence Agency (NGA). In addition, the Academy recommended steps the FBI can take to improve and strengthen its procedures for protecting against supply chain corruption.

An internal guidance paper containing the findings and recommendations was provided to the FBI in October 2010.

Federal Bureau of Investigation (FBI)
Comparison of FBI and other Federal Agency Field Financial Operations

The Academy assisted the FBI with a study comparing the results of an earlier Academy FBI FM review with the field financial operations of six other federal agencies. This comparison study was intended to provide the FBI CFO, as he embarked on enhancing and restructuring the FBI's FM Program and its operations, with information on different agency approaches to financial management in federal field networks.

The purpose of this study was to catalogue and compare the different ways of carrying out financial functions. It does not recommend particular actions to the FBI or its CFO. Instead, based on the Academy's initial study and its long-standing relationship with the FBI FD, this study offers observations in areas the Academy considers particularly relevant to the FBI.

An internal guidance paper containing the findings and recommendations was provided to the FBI in December 2010.

U.S. Agency for International Development (USAID) and Management Systems International, Inc. (MSI)
Iraq Civil Services Curriculum

As a follow-on to its original work to develop several short courses for the Iraq Civil Service, the Academy received a second task order from Management Systems International, Inc., (MSI), under funding from the U.S. Agency for International Development (USAID), to perform the following tasks: (1) evaluate and certify the short courses and (2) design a curriculum for building the civil service in Iraq.

The Academy's rigorous validation process assessed the quality of courses on 18 separate standards across 3 major areas including: (1) support for Iraq's development of a professional, effective, and merit-based civil service, (2) course content and (3) instructional strategies and course processes/procedures. The Academy validated a total of 11 courses across 6 areas including: (1) government budgeting, (2) human resources, (3) information technology, (4) leadership and communications, (5) procurement, and (6) project management.

The project culminated with the Academy presenting validation certificates for courses at a conference held in Baghdad (January 2011).

Department of Defense Panel on Contracting Integrity (DoD Panel)
Research Support for DoD Review of Post-Employment Restrictions

The FY 2010 National Defense Authorization Act (the Act) mandated that the Department of Defense Panel on Contracting Integrity (DoD Panel) review policies relating to post-employment restrictions on former DoD personnel. The Act also directed DoD to engage the Academy in assessing the findings and recommendations of its review. However, this project was strictly limited to research support for the DoD Panel's review. The Academy team worked closely with DoD to identify the best ways to supplement the DoD staff's own research within a limited period of time.

The Academy's research summarized broad themes and ideas from the interviews and focus groups and incorporated guidance from expert sources. The report only presented observations based on the Academy's research and did not make recommendations or advocate any of the positions presented. The report concluded by identifying areas that DoD may wish to consider further, either as part of the DoD Panel's work or in the future.

The Academy presented its research in a briefing with DoD titled: Research Support for Department of Defense Review of Post-Employment Restrictions (November 2010).

The Collaboration Project

The Collaboration Project is an independent forum of leaders, powered by the National Academy of Public Administration, who share a commitment to the adoption and use of collaborative technologies to solve complex management challenges. Established in

2008, the Collaboration Project drives the integration of Web 2.0 approaches into government management by building a community of practice, producing and sharing knowledge and research, and aiding agencies and departments in assessing and implementing collaborative solutions.

More information on the Collaboration Project can be found at collaborationproject.org.

ACADEMY'S CONGRESSIONAL TESTIMONY

The following Academy Fellow was formally invited to testify on an Academy study and report:

Christine Springer, Panel Member, Report: *FEMA's Integration of Preparedness and Development of Robust Regional Offices: An Independent Assessment (2009)*

Ms. Springer provided witness testimony on March 16, 2010 before the U.S. House of Representatives Subcommittee on Emergency Communications, Preparedness, and Response of the Committee on Homeland Security at a hearing entitled, "Ensuring Strong FEMA Regional Offices: An Examination of Resources and Responsibilities." Ms. Springer was invited to testify based on her work as a member of the Panel on the Federal Emergency Management Administration (FEMA) at the Academy. The congressionally requested study conducted a comprehensive assessment of FEMA's implementation of two key mandates within the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA): preparedness integration and the development of robust regional offices.